

# CLIMATE INVESTMENT FUNDS

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

Agenda 4

**REPORT ON PPCR MONITORING AND REPORTING STOCKTAKING REVIEW**

## **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.



**PPCR** PILOT PROGRAM  
FOR CLIMATE  
RESILIENCE

## Report on PPCR Monitoring and Reporting Stocktaking review June 2017



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## List of Abbreviations

ADB:	Asian Development Bank
AfDB:	African Development Bank
IDB:	Inter-American Development Bank
IFC:	International Finance Corporation
CIF:	Climate Investment Funds
CIF AU:	CIF Administrative Unit
CSO:	Civil Society Organization
EBRD:	European Bank for Reconstruction and Development
IBRD:	International Bank for Reconstruction and Development
M&R:	Monitoring and Reporting
MDBs:	Multilateral Development Banks
NAPA:	National Adaptation Programs of Action
NGO	Non-Governmental Organization
PNG:	Papua New Guinea
PPCR:	The Pilot Programs for Climate Resilience
SCF:	Strategic Climate Funds
SPCR:	Strategic Programs for Climate Resilience
SVG:	Saint Vincent and the Grenadines

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## **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

## 1. Introduction

1. This document summarizes the findings and recommendations from a stocktaking review that the CIF Administrative Unit conducted in collaboration with the MDBs on the Pilot Program for Climate Resilience (PPCR) Monitoring and Results (M&R) system.

### 1.1 Background

2. The Pilot Program for Climate Resilience (PPCR) is a USD 1.2 billion targeted program of the Strategic Climate Fund (SCF), which is one of two funds within the USD 8.3 billion Climate Investment Funds (CIF). Established in 2008, the objective of the PPCR is to pilot and demonstrate ways to integrate climate risk management and resilience into core development planning, while complementing other ongoing activities. The PPCR fosters a programmatic approach and builds on National Adaptation Programs of Action (NAPA) and other national development programs and plans.
3. Overall, there are 28 countries and two regions participating in PPCR. The original group of 18 pilots comprises<sup>1</sup> and two regional programs (Caribbean and South Pacific). In May 2015, a group of 10 new pilot countries<sup>2</sup> were selected.
4. Since 2012, the CIF and the multilateral development banks (MDBs)<sup>3</sup> have supported the original 18 PPCR pilot countries and two regional programs to develop country-led Monitoring and Reporting (M&R) systems. The design of the PPCR M&R system is rooted in the desire to maintain the programmatic and inclusive thrust of the Strategic Plan for Climate Resilience (SPCR) during 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 peoples 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<sup>4</sup> and 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 itself since 2014.

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<sup>1</sup> These include Bangladesh, Bolivia, Cambodia, Mozambique, Nepal, Niger, Tajikistan, Zambia, Yemen, Dominica, Grenada, Haiti, Jamaica, St. Lucia, and St. Vincent and the Grenadines (SVG), Papua New Guinea, Samoa.

<sup>2</sup> These include Bhutan, Ethiopia, Gambia, Honduras, Kyrgyz Republic, Madagascar, Malawi, Philippines, Rwanda, and Uganda.

<sup>3</sup> ADB, AFDB, IDB, IBRD, IFC, EBRD

<sup>4</sup> **Core Indicator 1:** “Degree of integration of climate change into national, including sector, planning”

**Core Indicator 2:** Evidence of strengthened government capacity and coordination mechanisms to mainstream climate resilience.”

**Core Indicator 3:** Quality and extent to which climate responsive instruments/investment models are developed and tested.

**Core Indicator 4:** Extent to which vulnerable households, communities, businesses, and public sector services use improved PPCR-supported tools, instruments, strategies, and activities to respond to climate variability and climate change.

**Core Indicator 5:** Number of people supported by the PPCR to cope with the effects of climate change.

5. Anchored in its core principle of Learning by Doing, the PPCR M&R system has been devised as a living system that can evolve over time. The system's design recognizes that monitoring and reporting is an iterative learning process and that it will continuously be reviewed and improved as lessons from its application and usage are generated. Three years into M&R implementation, and with the expansion of PPCR investments into new countries, it is an opportune time to review progress under the M&R system.
6. The review was motivated by the PPCR Sub-Committee's decision on the revised PPCR Results Framework (December 2012), which stipulates: "Each PPCR pilot country, in collaboration with the MDBs, will implement the approved revised results framework from 2013-2016 and report back to the Sub-Committee after three years of implementation on the usefulness and feasibility of the results framework." The PPCR Results Report 2015 further recommended to assess the monitoring and reporting system in light of challenges experienced during three years of program implementation and to recommend improvements for the future.

## 1.2 Purpose and Scope of the Stocktaking Review

7. The purpose of the stocktaking review was to assess the relevance, effectiveness and the sustainability of the PPCR monitoring and reporting system after three years of implementation.
8. The assessment covered two different components of the system:
  - **PPCR M&R System Design and Guidance:** This part of the review assessed the effectiveness and usefulness of the M&R system's design and the guidance provided. The review focused mainly on the suitability of indicators and toolkits, the arrangements for data collection and reporting, and the quality assurance mechanisms put in place.
  - **PPCR M&R System Implementation:** This part of the review covered all aspects of the system's implementation, including the reporting process, country engagement, quality assurance aspects, as well as the quality of support provided to countries by MDBs and the CIF Administrative Unit.
9. The primary intended audience of the PPCR M&R stocktaking review are the PPCR pilot countries, as they are the main implementers of the system. Another key group will be the PPCR Sub-Committee members, who will be called upon to make decisions on the future design of the system. The review will also be useful and relevant to other CIF stakeholder groups, such as the MDBs, donors, observers, and others. Given the increased financing and monitoring/results demands around climate change initiatives, it is expected that the review will also be of broader interest to organizations and financing institutions working in the climate change arena, such as the GEF, Adaptation Fund, and Green Climate Fund.
10. The remainder of the report is divided into three main sections:
  - Section 2 briefly describes the methodology used during the stocktaking review
  - Section 3 presents comprehensive insights of the key findings of the Review

- Section 4 presents overall conclusions
- Section 5 presents the recommendations.

## 2. Methodology

11. The review focused on eliciting feedback from relevant stakeholders on the benefits (or lack thereof) generated by the PPCR M&R system over the last three years. The review adopted a mixed-methods approach encompassing both quantitative and qualitative analytical tools. Based on the objectives and scope described in the Approach Paper, the review was planned and carried out in three phases:

- **Phase 1:** A comprehensive review of PPCR policies, strategies, and guidance documents was conducted pertaining to the results frameworks, as well as a review of similar M&E toolkits from other relevant organizations in the field of climate change. A SWOT Analysis (Strengths, Weaknesses Opportunities, and Threats) was conducted to identify factors that influence the functioning of the M&R system and to provide very useful information to design interview questionnaires.
- **Phase 2:** Interviews were conducted with key stakeholders, including country focal points and M&E specialists, donors and MDBs. Standardized interview protocols were developed for each group. 17 out of the 18<sup>5</sup> original PPCR pilot countries and 2 regional programs, MDBs, and donor countries were invited to complete an in-depth interview and survey questionnaire, of which 14 PPCR pilot countries, 1 regional organization, 5 MDBs, and 2 donor countries were able to do so.
- **Phase 3:** A stakeholder consultation workshop was convened on April 26-28, 2017 in Washington DC, where a set of suggested changes to the PPCR M&R system was presented for discussion. The specific purposes of the workshop were threefold: (i) Share the experiences of countries, MDBs, and donors with the PPCR M&R system by shedding light on what has worked well and what the common challenges have been; (ii) Present research findings from the core stocktaking components; (iii) Discuss and decide how to enhance the effectiveness and usefulness of the PPCR M&R system moving forward. The validation workshop drew lively participation of approximately 57 representatives from 21 PPCR countries, including new pilot countries, 2 regional organizations, 4 MDBs, 2 observers, and 1 donor country. The list of workshop participant is available in annex 1.

## 3. Key Findings of the PPCR M&R Stocktaking Review

12. Key findings from the PPCR M&R stocktaking review span several areas of inquiry related to the two main components of the system described in Section 1.2. These areas include: (1) Overall effectiveness of the system; (2) Integration of the system into countries' M&E systems; (3) Utilization and relevance of the system; (4) Data collection processes; (5) Scoring workshop execution; (6) Country satisfaction with MDBs' and the CIF AU's engagement; (7) Capacity

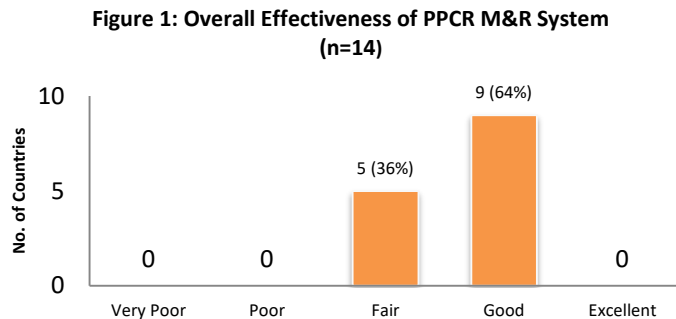
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<sup>5</sup> Only the 18 original countries and two regional programs with endorsed SPCRs are requested by the CIF to report on the 5 core indicators. Yemen was not invited due to the country internal crisis. The 10 new PPCR countries are not requested to report yet.

changes and limitations; (8) Relevance of the indicators and toolkit to countries’ climate change context. The review allowed further space for MDBs and donors to provide general feedback on the effectiveness, relevance, and sustainability of the system. It also included a series of breakout discussions during the validation workshop during which country representatives brainstormed around possible solutions for the system’s main implementation and sustainability challenges.

### 3.1 Overall Effectiveness of the PPCR M&R System, Successes, and Challenges

13. The majority of PPCR countries rated the M&R system’s overall effectiveness as “Good,” whereas all other PPCR country respondents rated its overall effectiveness as “Fair.” The stocktaking review thus found good general buy-in for the system with no countries qualifying its effectiveness as “Very Poor” or “Poor.” Respondents also highlighted a range of minor challenges and shortcomings in the system that prevented its effectiveness from being seen as “Excellent.”



14. Country focal points and monitoring and evaluation specialists lauded the unique design of the PPCR M&R system as an active component of the climate resilience development process rather than a simple mechanism for channeling project and program data to the CIF and its donors. The participatory approach has allowed for wide stakeholder coverage and engagement, for example, in addition to good country ownership of the process. The system was further described as having created a platform for multi-sectoral collaboration, synergies, and climate change awareness-raising among and beyond government actors. Others found the system to be successful for its ability to build capacity at the government level both in the area of climate resilience itself, as well as in the area of monitoring and evaluation more broadly. In some cases, the PPCR monitoring and reporting system has also led to significant uptake and institutionalization, inspiring government coordination mechanisms and frameworks for climate change governance.

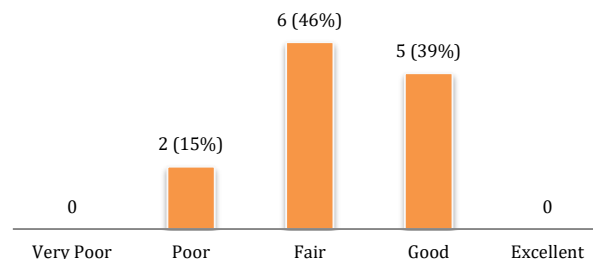
15. The key drivers of the PPCR M&R system’s ineffectiveness relate mostly to implementation challenges and technical clarifications rather than macro-design issues. One of the most prevalent challenges identified was inconsistency in participation at the scoring workshops with many government agency representatives shifting from year to year due to staff turnover, mobility, and division of labor. Countries often reported weak M&E capacity as an undergirding challenge to the system, either in terms of technical staff available or technical capacity of the scoring workshop participants. Some countries cited logistical challenges for inclusive, cost-effective data collection and participation. On the design side, a perceived subjectivity of

qualitative scoring also emerged as a challenge for some PPCR countries' technicians. Finally, the overall sustainability of the M&R system was also called into question.

### 3.2 Integration of the PPCR M&R System into Country M&E Systems

16. The integration of the PPCR M&R system into countries' national M&E system(s) for climate change proved highly variable across countries with six countries ranking the integration as "Fair," five countries ranking it as "Good," and two countries ranking it as "Poor." Integration is an important proxy for the system's sustainability as a whole and the extent to which countries utilize the information it generates within their respective institutional contexts. The question of integration and sustainability becomes even more crucial as the implementation of specific PPCR projects is completed.

Figure 2: Integration of PPCR M&R into National M&E for Climate Change (n=13)



17. As expected, the degree to which the PPCR M&R system was integrated into a country's national M&E system for climate change/climate adaptation depended greatly on the current state and nature of their national M&E systems for climate change/climate adaptation, including the timeline of developing such systems in cases where they do not already exist. The diversity of arrangements taking place was further exemplified when countries reported whether specific PPCR core indicators had been integrated into national climate change M&E systems, other M&E systems, policies, strategic documents, or other contexts.

18. The most common trend emerging from these data is that many countries are currently in the process of developing systems for climate change monitoring and evaluation, with PPCR indicators being assessed and considered for inclusion (six countries). Depending on context, this is not always an M&E system per se but could be a national adaptation plan, a national development strategy, or a public sector investment plan. Three countries also displayed significant structural barriers to integration of the system within their institutional frameworks.

19. However, good integration into appropriate climate change policy frameworks, sector M&E systems, national development strategies, or M&E systems has taken place in many PPCR countries. The programmatic PPCR M&R system has positively influenced a number of PPCR countries in the development of their own climate change 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.
- Nepal's 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. The annual

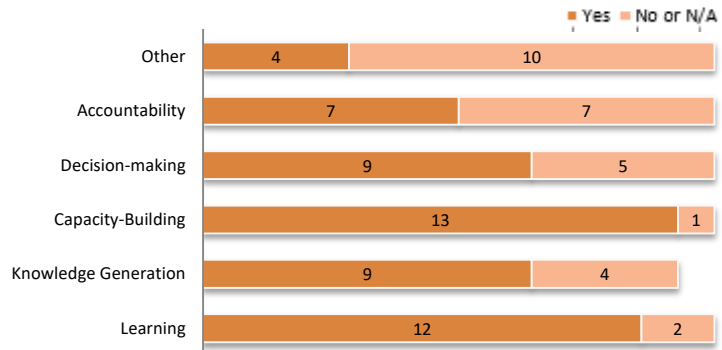
results report produced is addressed to the Prime Minister’s Office and widely shared with different levels of government and with the CIF AU.

- Mozambique has developed a national climate change M&E system thanks to a technical assistance project financed by the PPCR.

### 3.3 Utilization and Relevance of the PPCR M&R System

20. Promoting country ownership of the M&R process requires a deeper understanding of systemic functionality, the stakeholders who are involved, general usage, and relevance. PPCR countries were therefore asked to qualify if and how they use the PPCR M&R system in line with the following purposes: learning, knowledge generation, capacity-building, decision-making, accountability, and other purposes.

Figure 3: Utilization of the PPCR M&R System (n=14)



21. 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, and sharing information. Approximately two-thirds of countries also affirmed decision-making and knowledge generation as ways in which they utilized the M&R system (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. However, many viewed learning, knowledge generation, decision-making, and accountability as fluid components of the same systemic whole with significant overlap of these purposes via the same monitoring and reporting processes.

### 3.4 Data Collection

22. Data collection processes also varied notably according to country context. In all cases, a network of climate-relevant national government agencies and project management units (PMUs) served as the primary contributors and data sources. Approximately 43% of cases (6 of 14 countries) also relied on their lead multilateral development bank or its affiliated consultants to source and collect data. The CIF Administrative Unit has not been involved with data collection, and some countries have sourced additional information from international NGO reports, those of regional organizations, or national statistics available to them.

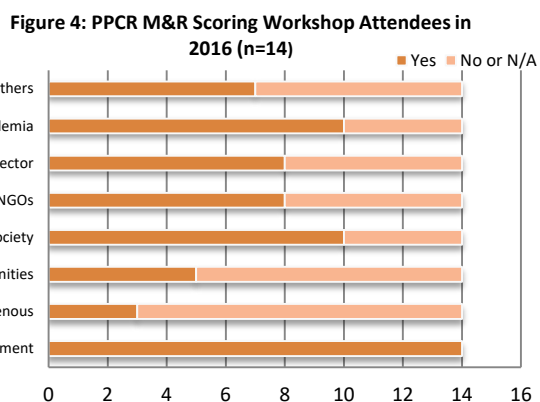
### Case Study 1: Data Collection

**Niger** promotes a participatory data collection process in which each stakeholder is responsible for collecting M&R data/useful information and sharing it with other team members at the time of their work. They have identified specific government institutions for specific types of data, such as The National Institute of Statistics for socio-economic data, the National Center for Environmental and Ecological Oversight for certain ecological and environmental data, and the BEEEI for information on environmental and social safeguards. Cooperation during data collection is more concentrated in national stakeholders, whereas MDBs are involved in technical/strategic guidance as needed.

**Saint Vincent and the Grenadines** currently employs an online portal for M&R data collection, which they have borrowed and adapted from the Caribbean Community Climate Change Center (CCCC). Previously, an M&R consultant would engage each PPCR project and personally conduct interviews to collect project-level data for Core Indicators 3, 4, and 5. However, now the country is able to receive project-level reporting responses electronically. Each project management unit receives a link to the online portal and a window of time to respond. The M&R focal point follows up as needed and brings the aggregated data from the online portal to the scoring workshop.

### 3.5 Scoring Workshop

23. The scoring workshop is the core pillar of PPCR’s monitoring and reporting system and the key mechanism that endows the system with its innovative, participatory qualities. Overall, the scoring workshop was deemed to be a useful platform for country-driven monitoring and reporting processes. General consensus was reached among respondents and workshop participants that the quality of reporting has been improving with each successive reporting cycle.
24. Conversely, new difficulties have arisen in terms of high participant turnover and meaningful stakeholder engagement. When participants change from year to year – often due to government staff turnover or general mobility – new representatives must be thoroughly trained in the scoring workshop methodology. Otherwise, the scoring process risks longitudinal incoherence and arbitrariness of results. Many country-level monitoring and evaluation specialists found this to be a sizeable burden and continue to strategize around the most effective approach for bringing new participants up to speed with each new reporting cycle.
25. Likewise, some countries have struggled to engage non-state actors in a sustainable and meaningful manner. Without their regular and active participation, the process risks its multi-stakeholder backbone and the collaboration intended through the reinforcement of a climate





change community. Among the least represented stakeholder groups during last year's scoring workshops were indigenous groups and local communities. Civil society organizations and NGOs, while at least minimally represented in 10 of 14 PPCR scoring workshops last year, have often remained limited in terms of robustness, breadth, and depth of participation.

26. A sample taken of gender-disaggregated participants in the 2016 scoring workshops estimates 61% male vs. 39% female participation. Several PPCR M&R focal points expressed problems promoting equitable gender participation in the scoring workshops, since government line ministries and other stakeholder groups' attendees typically self-elect representatives for participation according to internal criteria.

### **Case Study 2: Scoring Workshop**

Saint Lucia's annual scoring workshop was undertaken by the National Climate Change Coordinating Committee (NCCC). This committee comprises all Government ministries, National Insurance Council of Saint Lucia, Saint Lucia Bankers Association, National Conservation Authority, Saint Lucia Electricity Services Limited, Saint Lucia Solid Waste Management Authority, Saint Lucia Air and Sea Ports Authority, and the Water & Sewerage Company. Other agencies, groups, or persons are co-opted as necessary.



For the 2016 reporting round, the DVRP Climate Change Coordinator held eleven (11) meetings during the period from January 7, 2016 to February 3, 2016 with various agencies to undertake scoring of their respective areas for the period from January to December 2015. Criteria used for scoring were those which had been developed during the first reporting (2014) by the NCCC.

During the meetings, 33 participants of agencies discussed achievements for the year 2015 and determined if these achievements warranted a change in the previous year's scores for Indicators 1 and 2. Agencies also examined the status of investments being implemented by their respective agencies under the DVRP and provided a score for the respective instrument/investment model with respect to Indicator 3.

The information generated by these series of meetings were collated by the DVRP Climate Change Coordinator in the form of a draft evaluation report and presented to the National Climate Change Committee (NCCC) on March 29, 2016 for discussion, verification and finalization. The NCCC was given a brief refresher on the PPCR M&E process, which was followed by plenary discussions to verify and finalize scores for the various indicators. Based on comments received at the verification exercise, a revised draft was prepared and submitted to the World Bank for review and acceptance. The final report was then distributed to the NCCC and other stakeholder groups.

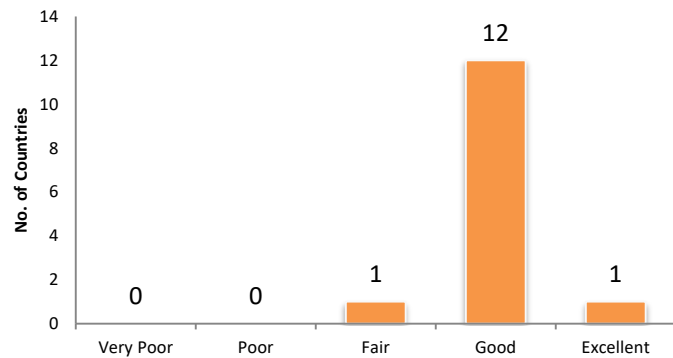
### 3.6 Quality Assurance Process

27. Only 50% of countries interviewed (7 of 14) established a separate quality assurance committee as part of the PPCR monitoring and reporting process. A common reason provided from countries that did not establish a separate quality assurance committee is that the deliberative, multi-stakeholder nature of the scoring workshop process already fulfills a sufficient quality assurance function. Among the countries that did establish a separate quality assurance committee, some viewed it as an expedient political instrument that can be utilized to bring PPCR findings to higher-level government attention. Yet others reported involving the MDBs in a kind of quality assurance function.

### 3.7 Relevance of Indicators and Toolkit

28. In assessing the overall relevance of the five PPCR core indicators to their country’s climate adaptation context, over 85% of country respondents (12 of 14 countries) rated the toolkit as “Good.” Only one country rated the toolkit’s suitability as “Fair” and one as “Excellent.” This response mirrors the overall support for the system that countries expressed in their assessment of its overall effectiveness

Figure 5: Suitability of PPCR Core Indicators to Countries' Climate Resilience Context (scale 1-5;N=14)



(Section 3.1), further suggesting very good country buy-in, ownership, and appreciation of the M&R system paired with some minor technical criticisms and implementation challenges.

29. Perceptions of the toolkit’s relevance to country-specific climate adaptation contexts coalesced around the following four points:

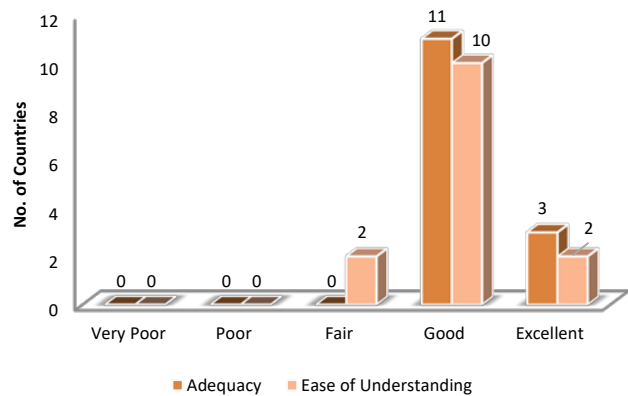
- (1)The toolkit’s ability to track information at multiple levels;
- (2)The toolkit’s utility as a tool for development planning and climate change governance;
- (3)The flexibility of the scoring system to be contextualized to country-specific reporting needs;
- (4)Some negative perceptions of the toolkit’s “subjective” methodology with a view toward learning how to strengthen methodological rigor when implementing it.

30. The five PPCR core indicators were then individually assessed in terms of (a) country-specific utility and (b) whether they have posed specific monitoring and reporting problems for each country. (Further details of each indicator’s technical problems and solutions can be found in Annex 2.)

- **PPCR Core Indicators 1 and 2<sup>6</sup>**, the two national-level indicators, were deemed most useful and least problematic by the countries; many appreciated their broad-based potential for national development planning purposes, needs assessment, information-sharing, and related processes.
- **PPCR Core Indicator 3<sup>7</sup>** was deemed the least useful indicator in the toolkit, failing to measure specific attributes of climate change technologies and instruments (apart from just enumerating their presence). Some countries found this indicator moderately useful as a means to track and coordinate the tools, investments, and technologies being developed.
- **PPCR Core Indicator 4<sup>8</sup>** was mostly deemed useful, though countries in early stages of project implementation expect the data from this indicator to become more relevant as their portfolio matures. A small majority of countries experienced problems related to the indicator, such as inconsistently applied definitions of “households, communities, businesses, and public services”, double-counting, and data access problems.
- **PPCR Core Indicator 5<sup>9</sup>**, although considered useful, was deemed the most problematic indicator in the toolkit – despite its deceptively straightforward definition, “beneficiaries assisted by the CIF.” In practice, countries faced serious difficulties matching definitions of “beneficiaries” across the drastically different project types being implemented in the PPCR portfolio and aggregating the total number accordingly. They faced challenges isolating the number of “vulnerable” beneficiaries in all PPCR projects, as well as the number of beneficiaries falling below the poverty line (without recourse to updated poverty line data).

31. As seen in Figure 6, the overall relevance of the guidance provided in the toolkit was by and large deemed good. However, users raised specific technical issues as well as need for further guidance and precision on some unclear terminology or measurement criteria specific to each indicator in the toolkit. For instance, the definition of “expertise” used in one of the sub-questions of core indicator 2: “Is the necessary climate

Figure 6 Guidance and Quality of PPCR M&R Toolkit (n=14)



<sup>6</sup> Core Indicator 1: “Degree of integration of climate change into national, including sector, planning” Core Indicator 2: Evidence of strengthened government capacity and coordination mechanisms to mainstream climate resilience.”

<sup>7</sup> Core Indicator 3: Quality and extent to which climate responsive instruments/investment models are developed and tested.

<sup>8</sup> Core Indicator 4: Extent to which vulnerable households, communities, businesses, and public sector services use improved PPCR-supported tools, instruments, strategies, and activities to respond to climate variability and climate change.

<sup>9</sup> Core Indicator 5: Number of people supported by the PPCR to cope with the effects of climate change

change expertise available?” seems unclear to some users.

### **3.8 Capacity Changes and Limitations**

32. The decision to address “capacity” in the stocktaking review stems from two objectives: (a) understanding the enabling environment for the M&R process in diverse country contexts, and (b) determining the extent to which M&R implementation has gained or lost systemic capacity over time.
33. While countries had the flexibility to self-determine what they considered to be “significant examples” of capacity changes, all except two (12 of 14 countries) responded affirmatively that such changes had taken place. It is clear from the stocktaking review that the quality of scoring workshops has generally improved with each successive reporting cycle. The PPCR M&R focal points attested that participants seem to display improved participation capacity with each passing year, increased interest, and a better understanding of the system. This was especially true in countries with well-defined scoring criteria.
34. Another notable capacity change is that several countries have made significant strides in developing their national climate change M&E systems since the launch of PPCR. Meanwhile, a range of capacity limitations continues to hinder PPCR countries from optimizing their M&R systems. The overall technical capacity of scoring workshop participants still frustrates the process in some countries, even despite the global improvements in the process and improved capacity displayed among successive scoring workshop participants. As mentioned in Section 3.1, this is often due to staff turnover and a steady stream of new scoring workshop participants who did not participate in the process during previous reporting cycles. Several countries also face technical capacity limitations within the PPCR focal point government institutions. Often these government units suffer from a shortage of M&E technical persons, or the limited M&E technical persons are delegated to undertake PPCR responsibilities part-time in conjunction with other professional responsibilities.
35. A second capacity limitation identified was stakeholder engagement and coordination, particularly for non-state actors in the climate change space. Monitoring and reporting focal points questioned how to sustainably engage local NGOs, CSOs, private sector actors, and others who may not be directly involved in PPCR’s implementation activities.

### **3.9 Country Satisfaction with MDB and CIF AU Engagement**

36. Almost all countries (11 of 13) expressed “Good” or “Excellent” satisfaction with the support they have received from MDBs for PPCR monitoring and reporting. The plurality underscored the technical assistance made available to them with others referencing good financial support from MDBs, tools validation, trainings, and MDB participation in the scoring workshops.
37. However, two PPCR countries rated the support they received from MDBs as “Poor.” These cases faced specific problems like M&E activities being too consultant-driven, poor availability of

capacity-building and frustrating delays in receiving proper guidance and support. The other case suggested that their lead MDB has become more and more distant as the funding for their country has decreased.

38. Feedback on the CIF Administrative Unit's country engagement for monitoring and reporting was also positive, with 9 of 13 countries interviewed having provided a "Good" or "Excellent" score. The remaining 4 PPCR countries assessed their satisfaction with the CIF Administrative Unit's engagement as "Fair." Overall, regional and country trainings were greatly appreciated when and where they took place. The tools and resources provided by the CIF Administrative Unit were also well-received. Justifications of the less positive scores were based on requests for more scoring workshop capacity-building support in-country, desired feedback after reporting, and requests for various forms of technical assistance. The stocktaking review also found widespread support for the Community of Practice group emails previously sent to countries, which has been difficult to sustain due to capacity limitations within the CIF Administrative Unit.

### **3.10 Regional M&R Systems**

39. The PPCR M&R system encompasses, in addition to the country-level M&R systems, two regional programs: one for the Pacific Region and one for the Caribbean Region. Originally, regional reporting involved the regional program PMU submitting a reporting template directly to the CIF without country participation.
40. Based on PPCR country experiences with the participatory approach, the Caribbean Region then collaborated with MDBs and the CIF AU to pilot (2016) a regional scoring workshop composed of country-level participants. The piloted regional scoring workshop was well-received for its collaborative approach to facilitate reporting and its ability to create awareness across a wide cross-section of stakeholders, though more technical and capacity-building work is necessary to strengthen the system for future reporting cycles.
41. The Pacific Region has not held a regional scoring workshop to date. The stocktaking review revealed their support for moving toward this type of approach, since regional reporting is best implemented through a collection of national perspectives rather than how individual PMUs view program progress. Further bilateral discussions were held between the Pacific Region and the Caribbean Region during the PPCR M&R validation workshop as a platform for brainstorming strategies on shared learning, scaling up, and other M&R issues relevant at the regional level.

### **3.11 Findings from Donors and MDBs**

42. The donor representatives who were interviewed for the stocktaking review held mixed opinions on the utility of the current system. One of the donors stated that the system seems far more useful in theory than in practice. The system is challenging to implement in practice, as is the case with many M&R systems in the climate resilience arena. Another donor, however, praised the 0-10 scoring approach for its contextual flexibility and its direct reflection of the pathways that

countries expect to follow toward climate resilience. In their view, the scoring workshop evokes a joint reflection and planning exercise that stimulates a results orientation among stakeholders.

43. The multilateral development bank (MDB) representatives who were interviewed expressed general agreement that the overall system and its indicators are relevant to the needs of CIF countries, donors, and MDBs. They further reiterated the sentiment that the process has experienced good country ownership in most cases. From their perspective, the consultation scoring process is unique in multilateral institutional projects and well-positioned to generate conversations on planning and climate change.

### **3.12 Findings on the Data Gap for PPCR's Interim Results**

44. In-depth dialogue between the CIF Administrative Unit, MDBs, and donors also identified a gap in the results being reported through the current system as a serious problem needing to be addressed.
45. The PPCR monitoring and reporting system is based on a set of five core indicators that are measured and tracked by all pilot countries and reported annually to the CIF AU. Although the above findings illustrate that the approach has been viewed as a practical, convenient, and viable framework to report aggregated data and share lessons, they have also made evident some of the system's limitations:
  - The five core indicators, which are 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. This is a critical challenge, as many of the PPCR projects are currently in the early stages of implementation and are only delivering output-level results at this time.
  - Although the 2012 PPCR revised Results framework<sup>10</sup> (page 6) clearly stipulates that the MDBs' project/program-level reporting is a complementary and necessary addition to the country reports, such reports are not currently being shared with the CIF AU.

### **3.13 Findings on Proposed Solutions**

46. All parties at the validation workshop (i.e. countries, MDBs, donors, and observers) discussed and endorsed a set of improvements to the current system based on the findings of the stocktaking review.

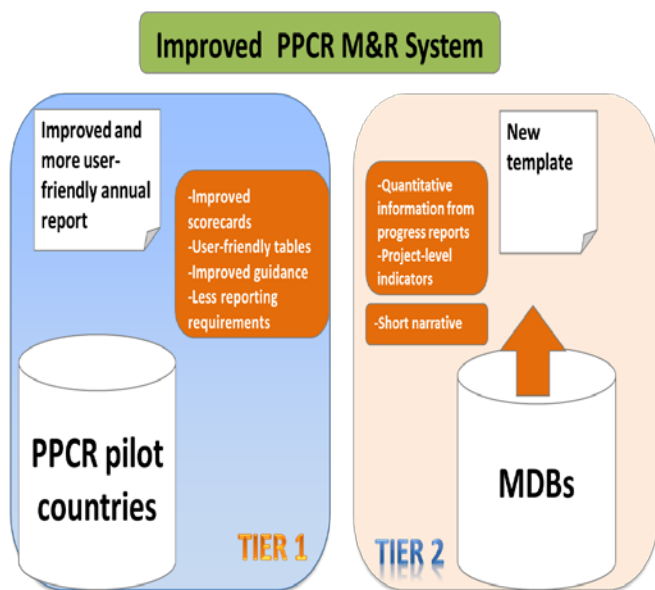
#### **3.13.1 Proposed Two-Tiered PPCR M&R System**

47. Owing to the challenges identified in the country reporting system and the data gap for interim results discussed in Section 3.12, the improved PPCR M&R System will be composed of two tiers:

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Figure 7: Improved PPCR M&R System



48. Tier 1 will remain the backbone of the PPCR M&R System. The participatory, country-led reporting system will be improved through several small-scale solutions designed to address the specific technical challenges raised by PPCR M&R practitioners during the stocktaking review and the validation workshop. Reporting on Indicators 1, 2, 4, and 5, for example, will remain a requirement, whereas Indicator 3 will be made optional due to its poor track record over the past three reporting cycles. Most of the other agreed-upon improvements will reflect minor changes to

indicator sub-questions, the degree of data disaggregation, and the format of the reporting template, which will be adjusted to optimize clarity and reduce ineffectiveness. This improved system will aim to be more user-friendly with detailed guidance and less reporting requirements. A full list of agreed-upon changes is available in Annex 2.

49. **Tier 2** is the proposed addition to the PPCR M&R system. **The new MDB reporting template** will complement the current country reporting by providing more granular, project-level results data (mostly output level). The objective of this complementary pillar of reporting is to solve the interim data gap problem identified in Section 3.12. This new component of the system will leverage the existing data already being collected by the MDBs to provide a more comprehensive picture of the results achieved by the PPCR throughout the entire program cycle. This approach will also have the distinct advantage of not imposing any new reporting burdens to the pilot countries. The new MDB template is presented in Annex 3.

### 3.13.2 Proposed Improvements to the Implementation and Sustainability of the PPCR M&R System

50. Other findings from the review were endorsed at the workshop in order to strengthen the overall PPCR M&R function, better support the pilot countries in their reporting effort, and address some of the systemic challenges facing countries. The most prevalent implementation challenges included weak national M&E capacity barriers to sustainability and institutionalization of M&E systems, and poor national stakeholder engagement. Workshop participants proposed possible solutions for countries, MDBs, and the CIF AU to address these issues.

51. A detailed overview of the solutions proposed can be found in Annex 4.

#### 4. Conclusion

52. The PPCR Monitoring and Reporting System's multi-stakeholder, participatory approach is deeply innovative among multilateral institutional M&E systems, a key point that was reinforced through the stocktaking review and validation workshop. The strength of the country-led, participatory scoring approach was vindicated as an effective mechanism to report on national climate resilience, build capacity within countries, create awareness on climate issues, and generate knowledge on how countries' yearly activities contributed to or deviated from the climate resilience development pathway. The predominant challenges identified related mostly to successful capacity-building and implementation of the system rather than substantive criticism of 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 workshop.
53. The PPCR M&R toolkit and indicators were deemed to be of high quality, of great relevance, and of a useful nature. Small technical adjustments to indicator sub-questions, data disaggregation, and report formatting were discussed and agreed upon at the time of the workshop.
54. Owing to an overall gap of accessible interim results for the PPCR portfolio, the CIF Administrative Unit is in need of more information on project- and output-level indicators reported through updated MDB results frameworks and progress reports. The country-driven monitoring and reporting channel should continue to occupy the central place in the PPCR M&R system. However, taking advantage of data that MDBs are already collecting would allow the CIF to better aggregate interim results data and show results prior to the projects reaching its outcome goals.
55. Sustainability of the M&R system for climate resilience is also crucial. The stocktaking review illustrated a high degree of variability in the extent to which PPCR pilot countries have integrated the PPCR M&R system into national M&E systems for climate change, as well as relevant strategies, policies, and other climate resilience contexts.

#### 5. Recommendations

56. 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). Five recommendations emerged from the process.
57. **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.
58. **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.
59. **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.).
60. **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.
61. **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.
62. **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

## Annexes

### Annex 1: List of Workshop Participants

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## Annex 2: Agreed Changes to the PPCR M&R Toolkit

	Technical issues raised	Agreement on changes/improvements (endorsed by the workshop)
<b>Core Indicator 1</b> <b>(Scorecard 1)</b>	<ul style="list-style-type: none"> <li>– Some sub-questions are not clearly defined or are too broad.</li> <li>– Similarities or redundancies in some of the sub-questions in Indicator 1 and Indicator 2 create confusion in scoring.</li> </ul>	<ul style="list-style-type: none"> <li>– Reporting on Core Indicator 1 will remain a requirement.</li> <li>– -Sub-questions will not be changed.</li> <li>– -CIF AU will provide more technical guidance and examples in the toolkit.</li> </ul>
<b>Core Indicator 2</b> <b>(Scorecard 2)</b>	<ul style="list-style-type: none"> <li>– Some sub-questions are not clearly defined or are too broad. E.g. the terminology “expertise” used in the sub-question “Is the necessary climate change expertise available?” seems unclear to some users.</li> <li>– Similarities or redundancies in Indicator 1 and Indicator 2 sub-questions create confusion in scoring.</li> </ul>	<ul style="list-style-type: none"> <li>– Reporting on Core Indicator 2 will remain a requirement.</li> <li>– CIF AU will provide more guidance on the definition of “expertise” in the sub-question, “Is the necessary climate change expertise available?”</li> <li>– Coordination mechanism: the scorecard will be modified to allow countries to report on this section by sector if appropriate.</li> </ul>
<b>Core Indicator 3</b> <b>(Scorecard 3)</b>	<ul style="list-style-type: none"> <li>– Indicator too broad, not “SMART”, and would be more suitable as an evaluation question</li> <li>– Scorecard not appropriate for this project-level indicator</li> </ul>	<ul style="list-style-type: none"> <li>– Reporting on Core Indicator 3 will become optional.</li> <li>– Countries are no more required to report on this indicator.</li> </ul>



	<ul style="list-style-type: none"> <li>- Data generated not reliable and not good quality, difficult to analyze</li> <li>- Information about instrument/investment model can be collected through Core Indicator 4</li> <li>- Indicator not found very useful by donors or some countries</li> </ul>	
<p><b>Core Indicator 4</b> <b>(Table 4)</b></p>	<ul style="list-style-type: none"> <li>- Table 4 is not user-friendly</li> <li>- Challenging to identify and report on appropriate tools/investment models/instruments</li> <li>- Challenging to identify the appropriate targeted group (households, civil services, communities, businesses)</li> </ul>	<ul style="list-style-type: none"> <li>- Reporting on Indicator 4 will remain a requirement.</li> <li>- Develop a new, more user-friendly Reporting Template 4, including a short narrative section on how the households, communities, public services, and businesses are benefitting from the tools/investment models/instruments provided by the project to increase their adaptive/resilience capacity (see model below)</li> <li>- Provide more guidance in the toolkit on the type of tools/investment models/instruments that need to be reported; Develop an annex with examples of tools/investment models/instruments related to the PPCR sectors (e.g. <i>Agriculture and Landscape Management; Water Resources Management, etc.</i>)</li> </ul>

<p><b>Core Indicator 5</b></p> <p><b>(Table 5)</b></p>	<ul style="list-style-type: none"> <li>- Defining direct vs indirect beneficiaries challenging</li> <li>- Difficulties being experienced with reporting on beneficiaries below the poverty line: (i) data not available; (ii) sub-component considered redundant as the PPCR already targets vulnerable and poor people below the poverty line; (iii) data not reported by PPCR countries in general</li> <li>- Gender disaggregation</li> </ul>	<ul style="list-style-type: none"> <li>- Reporting on Indicator 5 will remain a requirement.</li> <li>- Gender disaggregation will include “male” and “female” sections, required for reporting.</li> <li>- Vulnerability and poverty line will be made optional for reporting.</li> <li>- Defer to project-level definitions of direct beneficiaries to include in the reporting. Disaggregated information and brief metadata on project context for the definition of “beneficiaries” is encouraged.</li> <li>- Borrow from technical guidance developed by DFID based on beneficiaries (1) targeted, and (2) intensity—level. CIF will revisit the technical guidance in this section.</li> </ul>
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## **Annex 3: New MDB Reporting Template**

### **Introduction**

This template is designed to support the wider PPCR Monitoring and Reporting (M&R) system by including project-level indicators within its reporting. The new PPCR M&R system will be based on the following two annual components: i) this template, which the PPCR implementing MDBs are requested to complete with information on the progress of the PPCR projects being implemented; and ii) the report that PPCR pilot countries currently complete on an annual basis and focus on the core indicators.

The structure of this template is as follows:

**Section A. General Progress:** Information about the overall status of the project's implementation and progress on key activities that took place during the reporting period;

**Section B. Critical Bottlenecks:** Information or updates on current /potential challenges that are delaying project implementation and brief recommendations for follow-up;

**Section C. Contributions to Lessons Learned:** Information on lessons learned

**Section D. Updated Achieved Results.** MDBs are required to either fill out this section with the achieved results, or share the corresponding implementation status reports or equivalent reports with the CIF Administrative Unit. The example displayed in this section is an illustration based on a World Bank project. It is recognized that the template and format used by each MDBs are different, but we expect that the updated project results frameworks include at least these fundamental information: **Indicators; baselines; actual results, and targets.**

**Deadline for reporting:** The completed template should be submitted **annually** to the CIF Administrative Unit by **no later than June 30.**



### Pilot Program For Climate Resilience

### MDB Monitoring and Reporting Template

Project Name	<b>EXAMPLE: Niger Community Action Project for Climate Resilience</b>
Country:	NIGER
Lead MDB	IBRD
Reporting Date :	

#### **A. GENERAL PROGRESS**

*Please briefly describe the overall implementation status of the project and any progress on key activities that took place during the reporting period.*

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**B. CRITICAL OPERATIONS BOTTLENECKS**

*If applicable, please provide a brief update on current (or potential) challenges that are delaying project implementation. Please also include brief recommendations for follow-up.*

**Recommendations for follow-up:**

**C. CONTRIBUTIONS TO LESSONS LEARNED**

*Please briefly illustrate any important lessons learned from design and implementation of resilience/adaption project.*

#### Section D. Updated Achieved results (Quantitative Information on Project Implementation)

*(Please copy and paste what appears in your latest internal result reporting document; e.g. Implementation Status Reports-ISR; Project Results framework /Log frame including actual results or equivalent or attach the document to this template).*

**Example: ISR of the project Community Action Project for Climate Resilience (for illustration purpose).**

##### ► Forage yield increase in the project's areas of intervention (Percentage, Custom)

	Baseline	Actual (Previous)	Actual (Current)	End Target
Value	--	5.00	60.99	20.00
Date	19-Dec-2011	31-Dec-2014	31-Dec-2015	30-Jun-2017

##### ► Crop yield increase in the project's areas of intervention (Percentage, Custom)

	Baseline	Actual (Previous)	Actual (Current)	End Target
Value	0.00	15.00	53.24	30.00
Date	19-Dec-2011	04-Nov-2014	31-Dec-2015	30-Jun-2017

##### ► Direct project beneficiaries (Number, Core)

	Baseline	Actual (Previous)	Actual (Current)	End Target
Value	0.00	85387.00	146062.00	140000.00
Date	19-Dec-2011	31-Dec-2014	31-Dec-2015	30-Jun-2017

## Annex 4: Proposed Solutions to PPCR M&R Implementation and Sustainability Challenges

Challenges	Proposed solutions
<b>Weak M&amp;E Capacity</b>	<p><b><u>Countries</u></b></p> <ul style="list-style-type: none"> <li>– Consider M&amp;E early in the planning process, including personnel and budget lines needed.</li> <li>– The government itself should recognize M&amp;E and incorporate it into the SPCR, as well as into the national climate change framework.</li> <li>– Identification or establishment of a clear coordination mechanism for M&amp;E, project management personnel, government, and other stakeholders, including specific focal points in each agency (as appropriate to context)</li> </ul> <p><b><u>CIF AU &amp; MDBs</u></b></p> <ul style="list-style-type: none"> <li>– MDBs to provide more resources and technical assistance as needed</li> <li>– CIF to play information-sharing role, perhaps including best practices via online platform, 1-on-1 country dialogues, sharing of cases, etc.</li> <li>– CIF to provide support in terms of capacity-building in countries, training, and technical guidance as needed</li> </ul>
<b>Sustainability and Institutionalization of M&amp;E Systems</b>	<p><b><u>Countries</u></b></p> <ul style="list-style-type: none"> <li>– Identify exit strategy from the beginning, planning phase. Institutionalization should be taken into account even before logistical and financial challenges.</li> <li>– Identify who will be the consumers of the system and its data (i.e. which institutions and stakeholders) and how they will use them.</li> <li>– Build on the institutions and strengths that already exist within the national system, not at project level but at program level and national institutional level. Some countries have been successful with national coordinating committees and others integrating within overall national development planning processes (SIDS).</li> <li>– Target champions within the government to help mainstream programs across sectors and institutions.</li> <li>– Prioritization of budget line and actors involved.</li> <li>– Consider online reporting platform (like Saint Vincent) if contextually appropriate.</li> </ul>

	<p><b><u>CIF AU &amp; MDBs</u></b></p> <ul style="list-style-type: none"> <li>- CIF and MDBS should promote sustainable financing.</li> <li>- MDBs can broker knowledge exchanges, technical assistance, and institutionalization.</li> <li>- CIF to play advocacy role for climate resilience M&amp;E systems, engaging governments and sharing lessons learned.</li> </ul>
<p><b>Stakeholder Engagement including non-state actors (e.g. CSOs, indigenous people etc.)</b></p>	<p><b><u>Countries</u></b></p> <ul style="list-style-type: none"> <li>- Stakeholders to be engaged at the beginning of the process, not later on.</li> <li>- Need to have an institution with convening power to bring together the other stakeholders. Sector working groups could be an entry point for this. Could also target long-standing committees in government, which are broad-based and likely to be less susceptible to project cycles/staff turnover.</li> <li>- Incentivize participation as appropriate to country context (can be knowledge, professional networking, PPCR token items, etc.).</li> <li>- Develop national communication strategy across and outside government.</li> <li>- Develop climate networks or technical working groups to improve knowledge-sharing.</li> <li>- Continuous and regular communication, even as simple as copying a broader range of stakeholders on emails and listservs.</li> <li>- Promote private sector buy-in, how they can benefit, and how they can partner in the process prior to the scoring workshop taking place.</li> <li>- Local communities also need to be involved from an early stage, see the value of the projects, perceive ownership, and the projects' effects on them. Some countries have Ministries of Local and Community Development that can help engage local communities.</li> </ul> <p><b><u>CIF AU &amp; MDBs</u></b></p> <ul style="list-style-type: none"> <li>- CIF could bring more non-state stakeholders into meetings and workshops</li> <li>- Support stakeholder mapping/engagement trainings to countries as needed</li> </ul>



## Annex 5: Pictures of Workshop Participants

<https://www.flickr.com/photos/cifaction/albums/72157680250877574> (Photo Album)

