Climate Investment Funds

PPCR/SC.7/4
October 28, 2010

Meeting of the PPCR Sub-Committee
Washington, D.C.
November 10, 2010

PILOT PROGRAM FOR CLIMATE RESILIENCE (PPCR)
RESULTS FRAMEWORK

Proposed Decision by PPCR Sub-Committee

The PPCR Sub-Committee reviewed document PPCR/SC.7/4, *PPCR Results Framework*, and welcomes the progress made in developing the results framework for the program.

In reviewing the document, the Sub-Committee wishes to highlight the following for consideration by the SCF Trust Fund Committee when it is reviewing the document for approval:
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INTRODUCTION

1. Results monitoring and periodic evaluation of performance and financial accountability of the multilateral development banks (MDB) is a core activity of the Clean Technology Fund (CTF) and the Strategic Climate Fund (SCF) Trust Fund Committees as outlined in the governance frameworks of the CTF and SCF[1]. In its meeting in March 2010, the joint CTF-SCF Trust Fund Committee approved the logic models for the Climate Investment Funds (CIF), Clean Technology Fund (CTF), Pilot Program for Climate Resilience (PPCR) and Scaling-Up of Renewable Energy in Low Income Countries (SREP). The FIP logic model has been presented in June 2010 to the FIP Sub-Committee and is currently finalized. The CIF harmonized results frameworks formalize the commitment of Trust Fund Committees and its partners to accountability for this program and to achieving results. The results framework for the PPCR is outlined in this document.

2. Even though the world's poorest nations emit substantially less carbon than developed countries, they are the most vulnerable to the impacts of climate change. At the same time, capacity and resource constraints make low income countries the least able to cope. The PPCR is designed to pilot how highly vulnerable developing countries, particularly low income countries, can integrate climate risk and resilience in their core development planning. PPCR, a targeted program under the Strategic Climate Fund, operates in two phases:

i. Phase one supports a range of activities in the process of development of a Strategic Program for Climate Resilience (SPCR), including reviews of development policies with a view to identify how to make them more climate resilient and technical assistance to prepare and create the enabling environment for the implementation of an underlying investment program. A main outcome of phase one is the presentation of the SPCR to the PPCR Sub-Committee for endorsement; phase one also lays the groundwork for the preparation of program and project proposals for PPCR financing.
ii. Phase two provides financing to implement the SPCR.

3. Bangladesh, Bolivia, Cambodia, Nepal, Niger, Mozambique, Tajikistan, Yemen and Zambia are PPCR pilot countries. PPCR also includes regional programs in the Caribbean and the Pacific. All PPCR country and regional programs are currently in phase one. Although the program is in its early stages of development it is important to initiate discussion about the accountability framework.

4. The proposed logic model and results framework for the PPCR are submitted to the SCF Trust Fund Committee for approval. The document is based on (i) approved policy documents; (ii) formal and informal discussions with the Trust Fund Committee

[1] See CIF 2008. Governance Framework for the Clean Technology Fund, paragraphs 17 and 25. See CIF. 2008. Governance Framework for the Strategic Climate Fund, paragraphs 20 and 55.

members; (iii) consultations with the MDBs; and (iv) stakeholder consultations at the country and global level.

5. The results framework communicates in a transparent and coherent approach the expectations of the Trust Fund Committees and Sub-Committees for projects-funded under the CIF. The results framework does not replace managing for development results (MfDR) at the program, project or country level. Projects and programs still need to develop comprehensive results frameworks to manage projects towards the CIF or national development objectives. However, projects and programs need to demonstrate clearly how operations are linked to the PPCR output/outcome and catalytic replication level.

6. Projects and programs will have other project specific impact, outcome and output indicators but depending on the objective of the project, there is a requirement to report against the proposed indicators to ensure that there is a strong link between operations at the country level and the higher order CIF objectives.

7. The main purpose of the suggested results framework is to establish a basis for monitoring and future evaluation of the impact, outcomes and outputs of PPCR-funded activities. In addition, the document is designed to guide pilot countries and MDBs in developing their results frameworks to ensure that PPCR-relevant results and indicators are integrated in the country's own M&E systems at the country level and the MDB's results monitoring approaches at the project/program level.

8. Section 2 of this report describes briefly the process of establishing the CIF and PPCR M&E system. Section 3 introduces the PPCR logical model which has been approved by the CTF-SCF Trust Fund Committees in March 2010. Based on the logical model section 4 outlines the PPCR results frameworks with result statements and indicators. Section 5 focuses on the performance measurement strategy. The concluding section outlines the next steps in establishing a comprehensive CIF M&E system.

MEASURING RESULTS – A THREE STEP APPROACH

9. The process of establishing a comprehensive monitoring and evaluation (M&E) system for the CIF has three steps:

a. **Agreement on the results** – This is a strategic, high level process with some technical discussions to develop the causal results chain and develop results statements.

b. **Agreement on the indicators –** This is a more technical process with definitions of indicators articulated, research on data availability, and specification of measurement methodologies.

c. **Agreement on a performance measurement strategy** – This is a technical process for the collection of baseline data, a strategic process for setting

targets of expected performance, and a technical process determining how data will be collated, aggregated, and reported.

10. Following harmonization and integration of the results frameworks there is a need to agree on an approach to performance measurement. Performance measurement includes definitions of indicators and identification of the means by which progress on achieving results will be measured. Typically this includes the source of the data, the methodology by which the data will be collected, and the responsibility for data collection.

11. Associated with these details about performance measurement is performance reporting. This includes how information will be collated or "rolled-up" and then reported. Given the structure of the funds and programs performance reporting will take place at a number of different levels – individual project and program, country, CIF program and Fund (CTF, SREP, PPCR, and FIP), and overall CIF level.

THE PPCR LOGIC MODEL

12. The logic model is a diagram intended to demonstrate the cause and effect "chain" of results from inputs and activities through to outputs, higher level outcomes, and impacts. One of the strengths of the logic model is the flexibility with which it can be applied to a variety of circumstances and contexts. The logic model is not intended to show how these results will be measured through indicators. The results framework is presented in the subsequent section. For the CIFs the logic model is an ideal tool for demonstrating the results chain since the CIFs have the following characteristics:

- Multiple programs that converge towards a single high level result.
- Multiple funds that converge towards a high level result.
- An overall "mechanism", the CIF, which is greater than the sum of its parts, but that also, encapsulates the funds and programs that constitute it.
- Programs and funds that are implemented by multilateral development banks (MDBs), each with their own results framework structures.

13. As with all results frameworks these logic models should not be seen as a blueprint for implementation, but rather a framework that can be adjusted as progress is made and lessons are learnt, especially at the project and country levels of the results chain.

14. The overall objective of PPCR interventions is to support efforts to promote and enhance climate resilient development.2 The impact of the PPCR will need to be judged

[2] Resilience is often defined as "the capacity of a system to absorb disturbance and reorganize while undergoing change, so as to still retain essentially the same function, structure, identity, and feedbacks. […] resilience is not just an outer process: it is also an inner one, of becoming more flexible, robust and skilled. Transition Initiatives try to promote this through offering skills-sharing, building social networks, and creating a shared sense of this being a historic opportunity to build the world anew." See Resurgence Rob

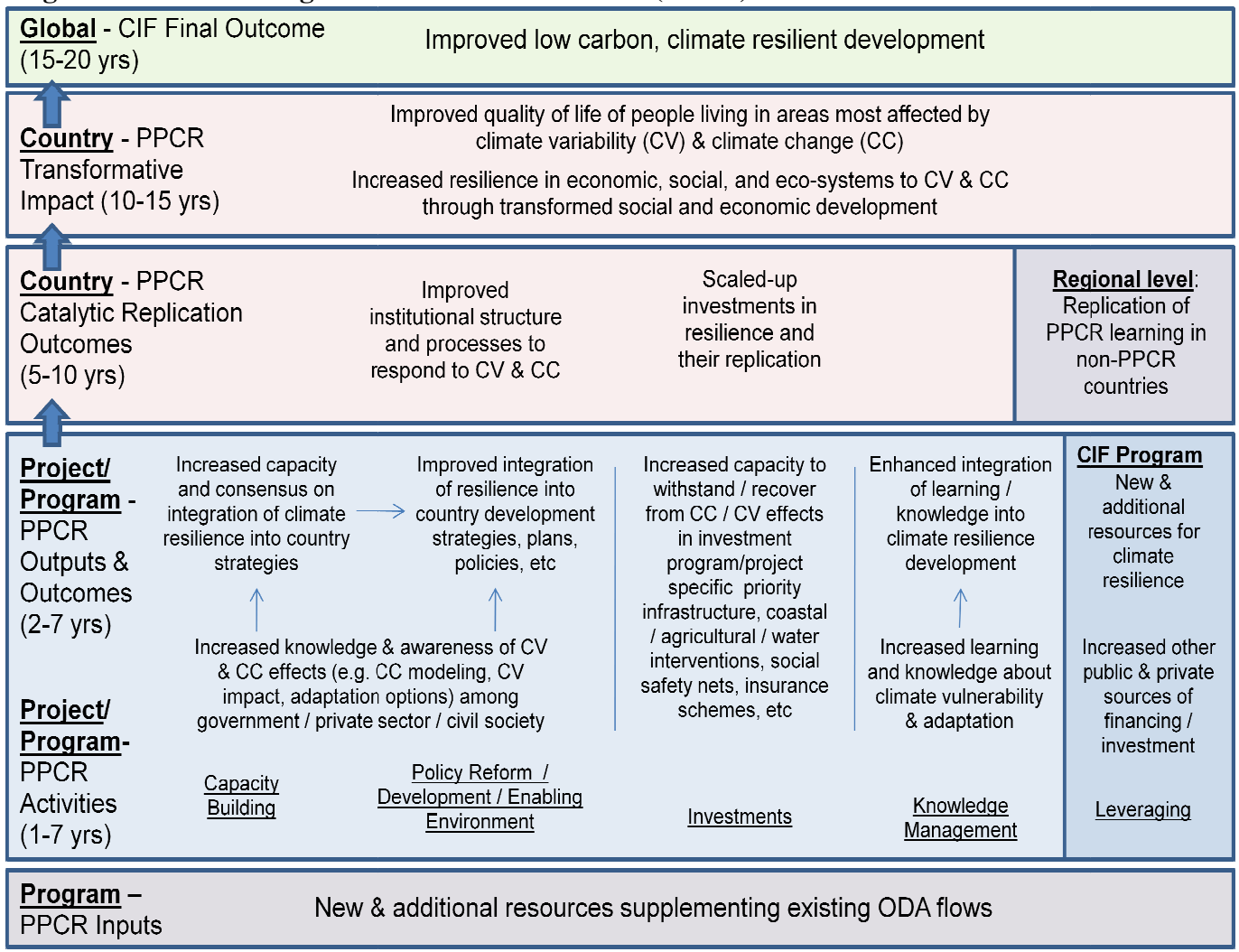
on the basis of how successful societies respond to projected climate change and climate variability. It is mainly about reducing the sensitivity of societies, communities and women, men and children and/or enhancing coping mechanisms to increase their adaptive capacity. For achieving development objectives, particularly the Millennium Development Goals (MDG) adaptation to changing climate conditions over time is key. There are an infinite number of ways that a country – and the communities and women and men within it - can improve its resilience to climate change. However, climate resilient activities need to aim mainly on the vulnerability and capacities to respond to climate change related challenges or opportunities. A critical analysis of the plausible climate change scenarios is a prerequisite in formulating a strategic response to a long-term adaptation process.

15. For the purposes of the results framework the ways of addressing vulnerability and coping mechanisms have been generally categorized as physical infrastructure, economic systems, and social processes. Through various MDB projects and effective coalitions between different stakeholders (government, private sector, civil society) the PPCR intends to catalyze change and spur replication at this level. The entry points for doing this are through integration of resilience into the process of national development planning, improving knowledge and awareness, and increasing the resources available for this work.

16. The PPCR logic model has been approved by the CTF-SCF Trust Fund Committees in March 2010. It is suggested to change the logic model slightly with respect to broaden the PPCR Transformative Impact and include a specific reference to the development dimension of the PPCR. It is expected that through transformed social economic development the quality of life of people in areas most affected by climate variability (CV) and climate change (CC) is improved. The PPCR Replication Outcomes also include now a specific reference to the investments for climate resilience. The PPCR Outcomes and Outputs have remained the same but have been reformulated to give more emphasis to the kind of investments which are expected under the PPCR. The proposed framework is designed with a high degree of flexibility to guide design of PPCR financed program and project M&E systems. The framework is also cognoscente of the fact that the MDBs have robust M&E systems, which will be underlying the PPCR financed activities. As suggested in March 2010 by the Trust Fund Committee, a results statement on the PPCR's role as a pilot to learn from its operations and apply the lessons learned in climate resilient development within the country, across PPCR countries, other non-PPCR countries or at the global level is also included.

Hopkins. Resilience Thinking. In Resurgence No 257. November/December 2009. (http://transitionculture.org/wp-content/uploads/keynotes_resilience_2571.pdf)

Figure 1: Logic model – Pilot Program for Climate Resilience (PPCR)



PPCR RESULTS FRAMEWORK

17. It is important to note that the main monitoring and evaluation function in the first couple of years will focus on the project/program and country level because achieving the results at the PPCR program level will require that a substantive part of the overall program is implemented or under implementation as discussed in paragraphs 21 and 22. Nevertheless, efforts will be made to aggregate data across projects, programs and MDBs for Trust Fund Committees reporting.

18. The results framework in table 1 summarizes the core elements of the performance measurement system. It combines the results statements with the indicators. The first column represents the results statements as stated in the logic model. The results framework starts with the PPCR Transformative Impact, then the PPCR Catalytic Replication Outcomes, and concludes with the MDB PPCR Project Outputs and Outcomes. The framework does not include activities, products and services because these are managed within a project management approach. Such an approach emphasizes also the commitment to a managing for development results (MfDR) approach with emphasis on impact and outcomes.

19. The columns three to six represent the indicators for each result. The performance indicators together with the baseline and target column are what the program will use to measure expected results. Agreement in an early stage on the performance indicators, baselines and targets is important for the design of the SPCRs and particularly the investment programs because both instruments will also need to develop results frameworks to demonstrate how operations are linked to the overall objectives of the PPCR. Efforts have been made to ensure a mix between qualitative and quantitative indicators. The target and baseline column is still blank and can only be filled in close cooperation with the MDBs and particularly the country teams. As mentioned above some of these indicators have very different time frames. Baselines might only be established in the medium-term (1-2 years) and a true impact reporting is probably not possible for a significant time span (10-15 years).The sixth column raises some issues related to the reliability and validity of the indicators and the difficulties operations might face when addressing these. The last column briefly outlines the means of verification or data source.

Table 1: Results Framework – Pilot Program for Climate Resilience (PPCR)

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
PPCR Transformative Impact[3]						
1.Improved quality of life of people living in areas most affected by climate variability and climate change	The highest level result desired by the PPCR is the improvement of the lives of people who are most affected by climate variability and climate change.	a) Human Development Index (HDI) Score in PPCR countries b) Millennium Development Goals (MDG) indicators 1.1 to 1.9, 4.1, 4.2, 5.1, 6.6, 7.1-7.10, and 8.15-16 c) Percent (%) of people classified as poor (women and men) and food insecure (women and men) in most affected regions d) Number of lives lost / injuries from extreme climatic events (women/men) e) Damage / economic losses ($) from extreme climatic events			The HDI is a composite of life expectancy, literacy, and standard of living. These indicators will measure human development with a particular focus on the anticipated severe effects of climate variability and climate change. The data will be analyzed across countries, over time and will be aggregated where appropriate.	UNDP Country M&E/ UN – The Millennium Development Goals Report Country M&E EM-DAT International Disaster Database (http://www.emdat.be/about)

[3] The transformative impact dimension of the PPCR is determined by many factors which are outside of the direct influence of PPCR operations in a specific country. Systematic and coherent improvements in this dimension cannot be observed in the short-term and not attributed to a single development actor. Transformation will be the result of the initiative of multiple development partners in a specific country over a longer period of time.

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
2.Increased resilience in economic, social, and eco-systems to climate variability and climate change through transformed social and economic development	To achieve improved quality of life for people in areas affected by climate variability and climate change development processes need to be transformed. This transformation entails a shift away from "business as usual" to growth paths anchored upon comprehensive resilience to climate variability and climate change. This will include change in systems and processes - economic, social, and ecological - to sustainably withstand and adapt to the effects of climate variability and climate change while still providing increased social and economic benefits.	a) Country outcome indicators (e.g., existence and effectiveness of early warning system for extreme climate events; changes in land degradation (soil protection, afforestation); scope of social safety nets; existence of risk insurances; access to credit to transform agricultural practices as a result of increasing climate risks; diversifying income sources; etc) b) Changes in budget allocations of all levels of government to take into account effects of climate variability and climate change across sectors and regions.			The indicators used to measure climate resilient development will differ from one country context to another. At this planning stage only illustrative examples can be provided. It will not be know whether aggregation is possible across countries until country specific indicators have been developed and agreed upon. For instance, a review of disaster risk management plans could be undertaken under at least two aspects: (i) are the risks scenarios taking into account climate resilience; and (ii) do funds for preparedness and recovery benefit the most vulnerable groups, including women and youth.	Country M&E system (ideally results framework of the National Development Plan) Periodic qualitative assessment at the country level and sub-national level- Public expenditure reviews

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
PPCR Catalytic Replication Outcomes						
1.Improved institutional structure and processes to respond to climate variability and climate change	In order to streamline climate resilience a number of results will need to be catalyzed at the country, sub-national, and local / community levels.	a) Number and quality of policies introduced to address climate change risks or adjusted to incorporate climate change risks b) Quality of participatory planning process (as assessed by private sector, CSOs)			Indicators will differ from one country context to another. However, they are likely to include similar types of indicators. It will not be know whether aggregation is possible across countries until country specific indicators have been developed and agreed upon.	Country M&E system Satisfaction survey

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
	Institutional structures and processes will need to systematically take account of climate variability and climate change. These structures and processes will need to embody increased coordination, cross-sectoral planning and implementation, climate science based decision-making, and multi-stakeholder participation, at all levels of government. These processes will be modeled through the PPCR which is intended to catalyze broader institutional change.	c) Extent to which national results monitoring and evaluation system includes process to monitor adaptation efforts (at all levels of government) and related indicators are publically available d) Extent to which development decision making is made based on country-specific climate science, local climate knowledge (regional and eco-regional level), and (gender-sensitive) vulnerability studies			This indicator is easily measurable and is a more robust way of assessing whether development planning truly integrates climate resilience. It is also an institutional indicator that goes beyond the life of the PPCR program, if it is combined with public dissemination of the results.	Periodic qualitative assessment at the country level, including sub-national Periodic qualitative assessment at the country level, including sub-national

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
2.Scaled-up investments in climate resilience and their replication	Streamlining climate resilience will also need significant investments. Scaled up from existing with resources leveraged and catalyzed by the PPCR and replicated from successful pilots, building on PPCR learning.	a) Number and value of investments (national and local government, non government, private sector, etc) in $ by type of climate resilient investments (e.g., flood protection, irrigation, roads, dams, social safety nets, insurance schemes, etc.) b) Evidence of integrating lessons learned (national and local government, non government, private sector) from PPCR pilot projects/programs c) Evidence of increased capacity to manage climate resilient investments			The indicators used to measure scale-up and replication will differ from one country context to another. At this planning stage only illustrative examples can be provided. It will not be know whether aggregation is possible across countries until country specific indicators have been developed and agreed upon. Capacity to manage the increased funding might need to be developed in many PPCR countries. This is clearly outside of the mandate of the PPCR but vital for a sustainable financial management structure.	Country M&E system Budget allocations at all levels MDB cross-country qualitative review

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
3.Replication of PPCR learning in non-PPCR countries	The learning from the PPCR program of what works and what does not should also catalyze change in non-PPCR countries through CIF programmatic knowledge management and outreach.	a) Number of non-PPCR countries and sectors within the country applying climate proofing and resilience principles in country development strategy planning and sharing it through PPCR knowledge management b) Number of non-PPCR countries replicate PPCR project approach (e.g., investment documents citing PPCR pilot project documents)			The CIF knowledge management function will collate and aggregated data for this indicator.	MDB cross-country review

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
PPCR Outputs & Outcomes						
1.Improved integration of resilience into country development strategies, plans, policies, etc. (at the national and local level)	In order to catalyze systemic changes in institutional structures and scaled-up investments the PPCR will support integration of climate variability and climate change into country development strategies, plans, and policies.	a) Degree to which development plans integrate climate resilience by subjecting planning to climate proofing and assessments of vulnerability (including gender dimension) and including measures to better manage and reduce related risk, and is disseminated broadly b) Budget allocations (at all levels) to take into account effects of climate variability and climate change (vulnerabilities) across sectors and regions			These indicators are qualitative in nature and country context specific. They will require in-depth analysis to determine the extent of progress.	Periodic qualitative review of strategies and other dev. Plans and policies Periodic public expenditure reviews – budget allocations

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
2.Increased capacity to integrate climate resilience into country strategies	Integration of resilience into country development planning and implementation processes will require new and enhanced skills, knowledge, and abilities with in a variety of government bodies. An important facet of this capacity will be the ability to integrate climate variability and climate change into the mechanisms for coordination and cooperation needing to be established and resourced with knowledgeable staff.	a) Evidence of a functioning cross-sectoral mechanism that takes account of climate variability and climate change b) Evidence of line ministries or functional agencies lead in updating or revising country strategies (moving from 'outside management' to country ownership)			These indicators are qualitative in nature and country context specific. They will require in-depth analysis to determine the extent of progress.	Project M&E Project M&E

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
3.Increased knowledge & awareness of climate variability and climate change impacts (e.g. climate change modeling, climate variability impact, adaptation options) among government / private sector / civil society / education sector	The knowledge base is a crucial part of the change required in development processes. This includes knowledge of the impact of climate variability and climate change, vulnerability assessments, risk analyses, gender dimensions, etc. In addition, this knowledge will need to be widespread, in the form of increased understanding across society, in the government, private sector, and civil society.	Coverage (comprehensiveness) of climate risk analysis and vulnerability assessments within the limits that current scientific evidence permits (project-specific: sector, geographical area, sex, population group, location etc.)			This indicator is qualitative in nature and country context specific. It will require in-depth analysis to determine the extent of progress.	Project M&E – qualitative assessment Project M&E

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
4. Increased capacity to withstand / recover from CC / CV effects in investment program/ project specific priority infrastructure, coastal / agricultural / water interventions, social safety nets, insurance schemes, etc	The PPCR will fund a variety of project investments in building resilience. The nature and scope of these investments will vary greatly across the PPCR as they will be determined by the needs of the country or regional context and the assessments of, and risks related to climate change and climate variability. While it is not possible to specify the types of investments in advance of the SPCR development at the country level, it is anticipated that there will be significant investments in the areas of agriculture, water, coastal areas, priority infrastructure, among others.	PPCR program/project outcome indicators – sex disaggregated [e.g., reduction in losses (lives, income, yields, housing) in climate change/climate variability affected areas; decreased salt water intrusion; continuity of supply and access to water resources for domestic use, irrigation, livestock, taking into account: changing climate conditions; continuity of services provided by the infrastructure (transport, education, health, etc.); etc. – disaggregated by men and women and social group (poor)]			The indicators used to measure the resilience provided by PPCR investments will differ from one country / project context to another. At this planning stage only illustrative examples can be provided. It will not be known whether aggregation is possible across countries until project specific indicators have been developed and agreed upon.	Project documents, M&E

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
5.Enhanced integration of learning / knowledge into climate resilient development	Non-PPCR countries will be introduced to the learning from the PPCR pilots through knowledge management and a CIF programmatic approach, providing them with an opportunity to integrate and replicate the learning and knowledge into their own climate resilience development processes and projects.	a) Relevance (demonstrated by complementing and integration with other initiatives) and quality (stated by external experts) of knowledge assets (e.g., publications, studies, knowledge sharing platforms, learning briefs, communities of practice, etc.) created b) Evidence of use of knowledge and learning			The CIF knowledge management function along with the MDBs will measure the extent to which PPCR and non-PPCR countries integrate PPCR learning. It should be possible to undertake basic aggregation across countries. This is an indicator that would need to be measured periodically through use of opinion/poll survey techniques. The results could be presented with many different cuts, including government stakeholders in different ministries separately to assess actual coordination, women/men, different income groups, populations living in high/low risk areas, etc. It also responds directly to the desired PPCR outcome of broad stakeholder engagement.	Project documents, M&E CIF – AU qualitative assessment Project documents, M&E

Results	Explanation of the result statement	Indicators	Baseline	Targets	Details on Measurement and Aggregation	Means of Verification
6.New and additional resources for climate resilient development	The PPCR aims at leveraging additional resources for adaptation to CV and CC. This will occur in the context of the SPCR and specific programs/projects within the SPCR investment program where multiple sources of funding will be leveraged by PPCR for particular investments.	Leverage factor of PPCR funding; $ financing from other sources (contributions broken down by MDBs, governments, multilaterals and bilaterals, CSOs, private sector)			Measurement of leveraged resources will be routinely undertaken and aggregated across projects and countries.	Project budgets, M&E Country budget allocations Donor allocations to climate variability and climate change

PERFORMANCE MEASUREMENT STRATEGY

20. The performance measurement strategy outlines how the data for all the indicators should be collected, collated, analyzed and reported. There is a need to be consistent across the results frameworks in terms of the timeframes in which different levels of results can be expected, the levels of contribution and attribution, how measureable change will be, and potential measurement strategies for data collection.

21. Table 2 takes each level of results from the logic models for the funds and programs and indicates the timeframe for result achievement. In addition the table provides a sense of the attribution and contribution to results. In terms of measurement that table also shows the likely performance measurement strategy and the purpose / use of the performance information that is gathered about each level. It is worth noting that the majority of data collection conducted regarding results attributable to the CIF will be done in the context of MDBs programs and projects. Most data on impacts, relevant for future strategic planning, will be collected after the CIF has ended.

22. It is important to recognize the limitations of the proposed results framework. The main objective is to provide the Trust Fund Committees and Sub-Committees with a strategic monitoring and evaluation tool on the overall program level. The PPCR results framework provides reassurance to the Committees that the program is performing as intended. The results framework will allow the Committees to take corrective action (provide additional resources to address bottlenecks, or instigate an evaluation to determine why a program is not moving as expected).

23. The results frameworks also do not include operational data such as resource inputs, activities, disbursements, contract awards, etc. Such operational data is collated through the portfolio or pipeline management system and reported on a regular basis to the CIF Administrative Unit through the MDBs.

Table 2: Timeframe and attribution

Result Levels	Time Dimension	Contribution of CIF to Results	Measurement and Attribution	Measurement Strategy	Purpose / Use of Performance Information
CIF Final Outcome	+ 15 – 20 years	CIF makes a small contribution along with many other factors.	Indicators are measureable but not able to attribute change to CIF	• National statistics • Global data collection	• Long-term strategic planning
Transformative Impacts	+ 10-15 years	CIF makes a small contribution along with many other factors.	Indicators are measureable, it may be possible to attribute some change to CIF	• National statistics • Global data collection • Post-CIF evaluation	• Medium-term strategic planning
Catalytic Replication Outcomes	+ 5-10 years	CIF has some influence along with many other factors	Indicators are measureable, it should be possible to link some change to CIF	• National statistics • Global data collection • Post-CIF evaluation • MDB evaluation	• Learning • Future program design • Medium-term strategic planning
MDB Project Outcomes and Outputs	+ 2-7* years	CIF interventions directly influence outcomes through the delivery of outputs	Indicators are measureable and change is attributable to CIF	• MDB project monitoring • MDB evaluation • Special CIF evaluation	• Project Management • Fund / Program Management • Learning • Future program design
Activities	+ 1-7* years	Undertaken by CIF projects	Measurement and attribution are routine	• MDB Project monitoring	• Project Management • Fund / Program Management • Learning • Future program design
Inputs	Start of intervention	Provided to CIF	Measurement and attribution are routine	• CIF Admin. Data	• Fund / Program Management

*MDB project lengths are typically 5-8 years

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24. A performance measurement strategy is a plan for the collection of the necessary data necessary to measure progress on achieving results. For each indicator it is necessary to indicate through what method the information will be collected, by whom and how often.

25. Table 3 summarizes the performance measurement strategy for the PPCR. As indicated, results at the transformative and catalytic replication level occur at the country level. Data for the proposed indicators can only be collected when a significant part of the country's SPCR has been implemented. Mid-term and final evaluations provide the opportunities to assess the impact of the PPCR program with in-depth data analysis. However, it is necessary for countries to establish baselines and targets in order to allow for progress reporting. Such a process will also help the countries to identify data gaps or capacity deficits which they might like to address before a full mid-term evaluation of the PPCR program is envisaged. Investing in developing capacity and refining national M&E systems is fully justified considering that moving towards a climate resilient development growth path is a long-term process which requires long-term commitment, engagement, and ownership.

26. Reporting against the PPCR Transformative Impact and PPCR Catalytic and Replication Outcomes is the responsibility of the respective PPCR country. Ideally, the PPCR results statements help countries to shape their own results monitoring and evaluation system and indicators are integrated within the sectoral plans or national development strategies. For instance, the monitoring and evaluation framework of a PPCR country might include the following 13 indicators:

- Human Development Index (HDI) Score in PPCR countries
- Progress reporting – Millennium Development Goals selected indicators
- Percentage (%) of people classified as poor (women/men) and food insecure (women/men) in most affected regions
- Number of lives lost/injuries from extreme weather events (disaggregated by sex, income level)
- Damage/economic losses ($) from extreme climatic events
- Changes in budget allocations of all levels to take into account effects of climate variability and climate change across sectors and regions
- Number and quality of policies introduced to address climate change risks or adjusted to incorporate climate change risks
- Quality of participatory planning processes (as assessed by private sector, CSOs)
- Extent to which national results monitoring and evaluation system includes process to monitor adaptation efforts (at all levels of government) and related indicators are publically available
- Extent to which development decision making is made based on country-specific climate science, local climate knowledge (regional and eco-regional level), and (gender-sensitive) vulnerability studies
- Number and value of investments in $ by type of climate resilient investments
- Evidence of integrating lessons learned from PPCR pilot projects/programs
- Evidence of increased capacity to manage climate resilient investments

27. Reporting against PPCR Project/Program Outputs and Outcome indicators is mainly the responsibility of the MDBs. In designing PPCR-funded projects, the key performance indicators in table 1 provide a set of indicators against which reporting is required. However, not all projects will have to report against all the indicators.

28. The identification of indicators for the investment projects and programs is a challenge for the PPCR results framework. Phase 1 across all country programs shows consistency in terms of influencing the national development plans and strategies. For this area, though most indicators are of qualitative nature, attempts can be made to aggregate experiences across PPCR countries. Identifying indicators for phase 2 - the actual investments is much harder. The SPCRs reflect the country-specific response to the challenges posed by climate variability and climate change. The proposed SPCRs for Bangladesh and the Republic of Niger already show a broad spectrum of investments for climate resilient development. [4] It is to expect that this broad spectrum will even be broader when other countries come forward with their SPCRs. Hence, it will be only over time and when all SPCRs are finalized and endorsed that there will be a full understanding of the scale and depth of investments in a specific thematic or sectoral area. For the time being, only generic indicators can be proposed for capturing the nature of the investments. Reporting will have to reflect this challenge until a clearer investment pattern emerges. However, it is expected that a fully developed project at pre-appraisal stage, presented to the PPCR Sub-Committee, includes a results framework with specific investment relevant indicators as outlined in table 1.

29. The monitoring and evaluation framework of an institutional capacity building project/program may include the following eight indicators:

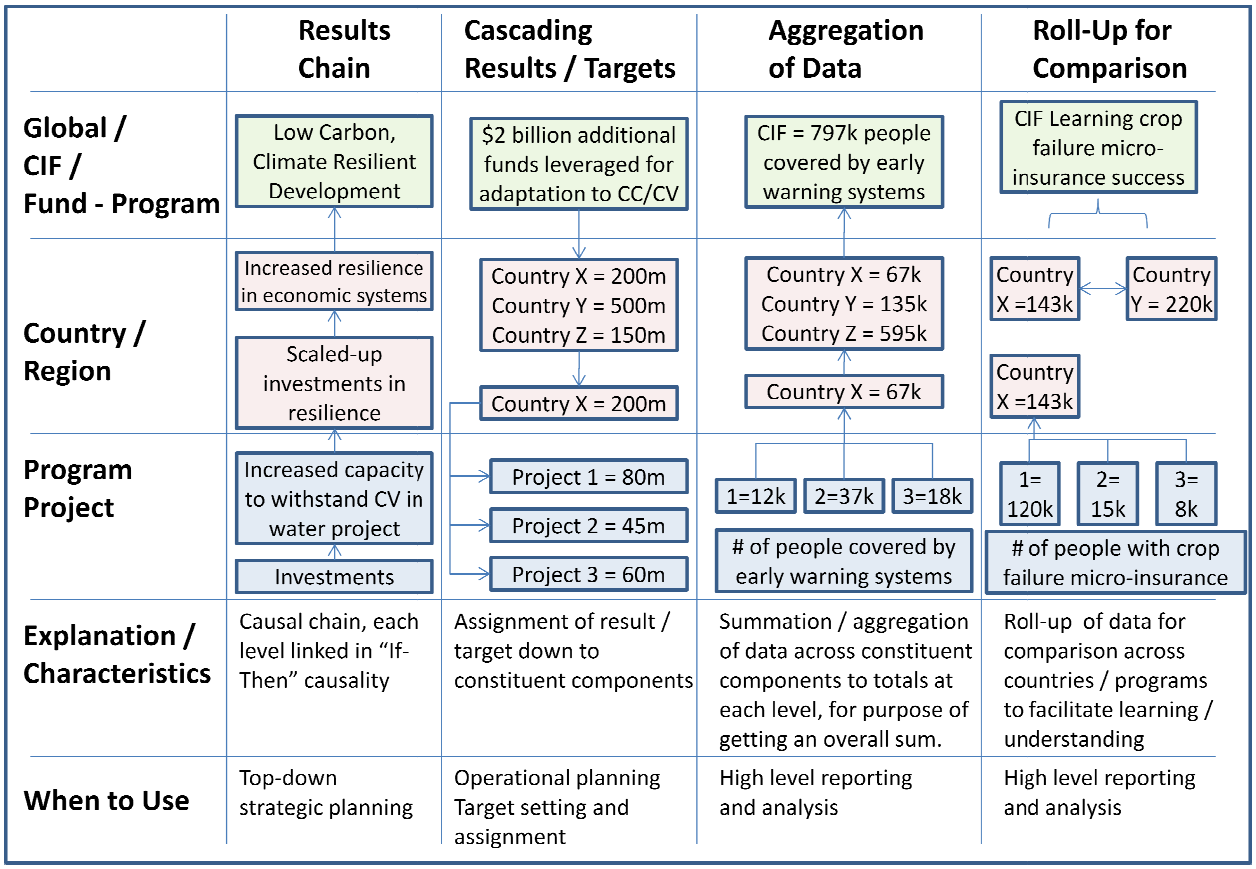
- Degree to which development plan integrates climate resilience by subjecting planning to climate proofing and assessments of vulnerability and including measures to better manage and reduce risks, and is disseminated broadly
- Budget allocations (at all levels) to take into account effects of climate variability and climate change (vulnerabilities) across sectors and regions
- Evidence of functioning cross-sectoral mechanism that take account of climate variability and climate change
- Evidence of line ministries or functional agencies' lead in updating or revising country strategies (moving from 'outside' management to country ownership)
- Coverage (comprehensiveness) of climate risk analysis and vulnerability assessments (project-specific: sector, geographical area, population group, location, etc.)

[4] Bangladesh will focus its investments outlines in the SPCR mainly on promoting climate resilient agriculture and food security, coastal embankments improvement and afforestation project, coastal climate resilient water supply and infrastructure improvement, preparation of feasibility studies for a program of individual climate resilient family housing in the coastal zone, capacity building for mainstreaming resilience to climate change and knowledge management; strengthening capacity of the Climate Change Department of Ministry of Environment and Forest (MOEF). Sub-projects are aimed at climate resilient water supply and drainage development, climate resilient infrastructure improvement, and climate resilient small-scale water resources improvement. The SPCR of the Republic of Niger outlines the following investment projects: improvement of weather and climate forecasting systems and operationalization of early warning systems, management and control of water resources, and community action project for climate resilience to integrate innovative activities in the areas of sustainable land management, social protection and climate governance.

- Number and type of knowledge assets (e.g., publications, studies, knowledge sharing platforms, learning briefs, communities of practice, etc.) created
- Evidence of use of knowledge and learning
- Leverage factor of PPCR funding; $ financing from other sources (contributions broken down by MDBs, governments, multilaterals and bilateral, CSOs, private sector)

30. It is important to note that the project monitoring and evaluation system of specific projects may include many other indicators, as many as the respective MDB may wish to pursue, but the PPCR proposed indicators in table 1 are mandatory to ensure some consistency and linkages.[5]

Figure 2: Data management



31. The MDBs will include these indicators within the PPCR funded project/program design and provide updated project implementation and results reports to the CIF AU on an annual basis. The CIF AU will consolidate the reports of the MDBs and provide feedback to the Trust

[5] The proposed indicators are mandatory but it is not expected that all projects will report against all the proposed indicators. Project or program M&E results frameworks will only reflect the project/program-specific, relevant indicators. A capacity development project in the national environment agency will most likely not include indicators related to infrastructure investments in coastal protection or rural roads.

Fund Committees within the CIF Annual Report and occasionally in thematic results reports. Such an approach will ensure that Trust Fund Committees receive an annual update on the status of implementation and achievement of results by projects at the CIF programmatic level.

32. Figure 2 outlines the process of data aggregation and analysis. The main data collection units are the program/project and the country level. Data will be aggregated across projects when feasible, and presented at the country level. In a subsequent step, data at the country level can be either aggregated at the PPCR level or compared across countries, depending on the overall PPCR objective. Figure 2 shows examples of the process of consolidating data of leveraging additional funding for adaptation; number of people covered by early warning systems; and lessons learned from an insurance scheme across countries.

33. Baselines and targets will need to be developed for each results statement and indicator, where appropriate. This can either be done during the development of SPCRs or as a separate exercise in a stakeholder consultation process, if an SPCR is already in an advanced stage or has been approved. It is suggested that the MDBs work closely within the next 12-24 months (field testing phase) with governments to assess carefully the capacity and capability of the countries' own reporting system and to assess how the CIF and MDBs reporting system can be integrated into the country system as agreed in the Paris Declaration.[6]

[6] See http://www.oecd.org/document/18/0,3343,en_2649_3236398_35401554_1_1_1_1,00.html.

Table 3: **Performance Measurement Strategy – Pilot Program for Climate Resilience (PPCR)**

Results	Indicators	Data Source/ Collection Method	Responsibility for collection	Timing/Frequency		
				Ongoing	Mid-term Evaluation	Final Evaluation
PPCR Transformative Impact						
1.Improved quality of life of people living in areas most affected by climate variability and climate change	a) Human Development Index (HDI) Score in PPCR countries	National statistics	Government/UNDP		X	X
	b) Millennium Development Goals (MDG) indicators 1.1 to 1.9, 4.1, 4.2, 5.1, 6.6, 7.1-7.10, and 8.15-16	UN Millennium Development Goals Report	Government/UN		X	X
	c) Percent (%) of people classified as poor (women and men) and food insecure (women and men) in most affected regions	National statistics	Government		X	X
	d) Number of lives lost / injuries from extreme climatic events (women and men)	EM-DAT International Disaster Database	Government		X	X
	e) Damage / economic losses ($) from extreme climatic events	EM-DAT International Disaster Database	Government		X	X

Results	Indicators	Data Source/ Collection Method	Responsibility for collection	Timing/Frequency		
				Ongoing	Mid-term Evaluation	Final Evaluation
2.Increased resilience in economic, social, and eco-systems to climate variability and climate change through transformed social and economic development	a) Country outcome indicators (e.g., existence and effectiveness of early warning system for extreme climate events; changes in land degradation (soil protection, afforestation); scope of social safety nets; existence of risk insurances; access to credit to transform agricultural practices as a result of increasing climate risks; etc)	Country M&E (ideally results framework of the National Development Plan)	Government		X	X
	b) Changes in budget allocations of all levels of government to take into account effects of climate variability and climate change across sectors and regions	Public expenditure reviews – budget documents Qualitative assessment	Government/MDBs		X	X
PPCR Catalytic Replication Outcome						
1.Improved institutional structure and processes to respond to climate variability and climate change	a) Number and quality of policies introduced to address climate change risks or adjusted to incorporate climate change risks	Country M&E	Government		X	X
	b) Quality of participatory planning process (as assessed by private sector, CSOs)	Survey-based assessment	Government/MDBs		X	X

Results	Indicators	Data Source/ Collection Method	Responsibility for collection	Timing/Frequency		
				Ongoing	Mid-term Evaluation	Final Evaluation
	c) Extent to which national results monitoring and evaluation system includes process to monitor adaptation efforts (at all levels of government) and related indicators are publically available	Periodic qualitative assessment at the country level, including sub-national	Government/MDBs		X	X
	d) Extent to which development decision making is made based on country-specific climate science , local climate knowledge (regional and eco-regional level), and (gender-sensitive) vulnerability studies	Qualitative assessment – policy and institutional review at the country level, including sub-national				
2.Scaled-up investments in climate resilience and their replication	a) Number and value of investments (national and local government, non government, private sector, etc) in $ by type of climate resilient investments (e.g., flood protection, irrigation, roads, dams, social safety nets, insurance schemes, etc.)	Country M&E, Budget allocations	Government/MDBs		X	X
	b) Evidence of integrating lessons learned (national and local government, non government, private sector) from PPCR pilot projects/programs	MDB cross-country qualitative review	Government/MDBs		X	X

Results	Indicators	Data Source/ Collection Method	Responsibility for collection	Timing/Frequency		
				Ongoing	Mid-term Evaluation	Final Evaluation
	c) Evidence of increased capacity to manage climate resilient investments	Qualitative review	Government		X	X
3.Replication of PPCR learning in non-PPCR countries	a) Number of non-PPCR countries and sectors within the country applying climate proofing and resilience principles in country development strategy planning and sharing it through PPCR knowledge management	MDB cross-country qualitative review	CIF-AU/MDBs	X	X	X
	b) Number of countries of non-PPCR countries replicate PPCR project approach	MDB cross-country qualitative review	CIF-AU/MDBs	X	X	X
PPCR Outputs and Outcomes						
1.Improved integration of resilience into country development strategies, plans, policies, etc. (at the national and	a) Degree to which development plans integrate climate resilience by subjecting planning to climate proofing and assessments of vulnerability (including gender dimension) and including measures to better	Periodic qualitative review of strategies and other development plans and policies	MDBs	X	X	X

Results	Indicators	Data Source/ Collection Method	Responsibility for collection	Timing/Frequency		
				Ongoing	Mid-term Evaluation	Final Evaluation
local level)	manage and reduce related risk, and is disseminated broadly					
	b) Budget allocations (at all levels) to take into account effects of climate variability and climate change (vulnerabilities) across sectors and regions	Periodic public expenditure reviews – budget allocations	MDBs	X	X	X
2.Increased capacity to integrate climate resilience into country strategies	a) Evidence of a functioning cross-sectoral mechanism that takes account of climate variability and climate change	Project M&E	MDBs	X	X	X
	b) Evidence of line ministries or functional agencies lead in updating or revising country strategies (moving from outside management to country ownership)	Project M&E	MDBs	X	X	X
3.Increased knowledge and awareness of climate variability and climate change impacts (e.g., climate change modeling, climate variability	Coverage (comprehensiveness) of climate risk analysis and vulnerability assessments within the limits that current scientific evidence permits (project-specific: sector, geographical area, sex, population group, location etc.)	Project M&E	MDBs	X	X	X

Results	Indicators	Data Source/ Collection Method	Responsibility for collection	Timing/Frequency		
				Ongoing	Mid-term Evaluation	Final Evaluation
impact, adaptation options) among government/ private sector/ civil society						
4. Increased capacity to withstand / recover from CC / CV effects in investment program/project specific priority infrastructure, coastal / agricultural / water interventions, social safety nets, insurance schemes, etc	PPCR program/project outcome indicators – sex disaggregated [e.g., reduction in losses (lives, income, yields, housing) in climate change/climate variability affected areas; decreased salt water intrusion; continuity of supply and access to water resources for domestic use, irrigation, livestock, taking into account: changing climate conditions; continuity of services provided by the infrastructure (transport, education, health, etc.); etc. – disaggregated by men and women and social group (poor),]	Project documents, M&E	MDBs	X	X	X
5.Enhanced integration of learning/ knowledge into climate resilient development	Relevance (demonstrated by complementing and integration with other initiatives) and quality (stated by external experts) of knowledge assets (e.g.,	Project documents, M&E CIF-AU qualitative assessment	MDBs	X X X	X X X	X X X

Results	Indicators	Data Source/ Collection Method	Responsibility for collection	Timing/Frequency		
				Ongoing	Mid-term Evaluation	Final Evaluation
	publications, studies, knowledge sharing platforms, learning briefs, communities of practice, etc.) created					
	Evidence of use of knowledge and learning	Project documents, M&E	CIF-AU MDBs	X	X	X
6.New and additional resources for adaptation	Leverage factor of PPCR funding; $ financing from other sources (contributions broken down by MDBs, governments, multilaterals and bilaterals, CSOs, private sector)	Project budgets, M&E Country budget allocation	MDBs	X	X	X

CONCLUSION

34. The proposed PPCR results framework is being submitted to the SCF Trust Fund Committee for approval with the understanding that results frameworks need to be flexible to allow for adjustments based on actual PPCR implementation experience. The current frameworks are models and based on broad assumptions. These assumptions need to be tested, verified and reviewed. As a result of this process some indicators might change over time. An important first step in this process is for the MDBs to start to work with the PPCR framework, because only on this basis will it be possible to refine the indicators.

35. This approach calls for an iterative process. Selecting new indicators may lead to some re-articulation of the results statements. Indicators may then need to be revised as the process of developing the performance measurement strategy may lead to alternate indicators being proposed or some indicators being de-selected. Hence, the following process is proposed:

a) **Field Testing**. The PPCR results framework provides the basis to start the monitoring process and to field test the validity and cost effectiveness of some of the indicators. MDBs will need clear guidance on how to link programs and projects to the PPCR framework. The CIF Administrative Unit will develop guidelines, in close cooperation with the MDB Committee, and the respective results specialists. After experimenting with cascading down indicators, it should be possible to assess whether the assumptions implied in the logic model are coherent with the reality at the field level. This process will require operations to have been initiated at all levels. It is expected, therefore, that early lessons will not be available before 2011. Field testing is crucial because no other development organization has yet established a set of key performance indicators for climate resilience which the CIF can adapt. The proposed PPCR results framework is a first attempt by the MDBs to establish a set of common indicators across countries.
b) **Monitoring and Evaluation**. The monitoring and evaluation strategy needs to take into account the long term nature of many of the PPCR results. For example, many MDB projects and development interventions of other development partners are 5 to 8 years in length. This is the amount of time that will be required to produce the fund and program outputs and outcomes. The process of catalyzing changes and spurring replication may take an additional 1 to 5 years. This has implications for the relative emphasis of monitoring versus evaluation. Monitoring is more likely to provide valuable performance information on an ongoing basis at the MDB project output and outcome levels. The catalytic replication level and transformational levels will probably be better served through ex-post evaluation. The resources for, and management of, these evaluations needs to be considered early on in the process to ensure that they are planned and take place.
c) **Setting up a results monitoring system takes time and requires resources**. It will take at least 2-3 years for the CIFs to establish a system which can provide reliable data for consistent monitoring at the Trust Fund Committee level. This is not unusual, and probably quite an ambitious target, considering the early stages of some of the programs and projects. However, the earlier the process is started, the more time is available for testing and improving the proposed frameworks.

36. The MDB Committee agreed to seek the SCF Trust Fund Committee's approval at this early stage with a view to moving forward, recognizing that the frameworks will continue to evolve and will need to be kept under review by the PPCR Sub-Committee.