

CLIMATE INVESTMENT FUNDS

PPCR/SC.11/CRP.4
November 1, 2012

Meeting of the PPCR Sub-Committee
Istanbul, Turkey
November 1, 2012

Agenda Item 6

REVISED PPCR RESULTS FRAMEWORK

PROPOSED DECISION

The PPCR Sub-Committee, having reviewed document PPCR/SC.11/CRP.4 *Revised PPCR Results Framework*, endorses the revised results framework and recommends that it be approved by the SCF Trust Fund Committee. The Sub-Committee requests the CIF Administrative Unit to submit the endorsed revised results framework to the SCF Trust Fund Committee together with the Sub-Committee's recommendation that it be approved.

The Sub-Committee further requests each PPCR pilot country, in collaboration with the MDBs, to implement the approved revised results framework from 2013 - 2016 and report back to the Sub-Committee by November 2016 on the usefulness and feasibility of the results framework, and in particular to:

- a) align the previously endorsed SPCR results frameworks with the revised PPCR results framework;
- b) prepare a work plan for their monitoring against the core indicators and any other optional indicators with and in support of their national systems by end March 2013 and to submit the work plan to the Sub-Committee for information at its meeting in May 2013.
- c) establish baselines and targets for SPCR specific indicators by August 31, 2013, and communicate the baselines and targets to the CIF Administrative Unit for posting on the CIF website; and
- d) report on an annual basis on SPCR outcomes in accordance with the agreed outcome level indicators in the revised PPCR results framework. Pilot country reports should be submitted to the CIF Administrative Unit by July 30 each year, starting in 2014, and posted on the website.

The Sub-Committee requests the CIF Administrative Unit, in collaboration with the MDB Committee, to review annually the SPCR progress reports, including a check for completeness and consistency, and prepare a synthesis report on results for consideration by the PPCR Sub-Committee.

REVISED PPCR RESULTS FRAMEWORK

BASIC PRINCIPLES

The revised PPCR results framework is a living document to serve as a basis for moving forward in developing M&E systems for strategic programs for climate resilience (SPCR) and related projects and programs. The application of the PPCR results framework (in common with all the results frameworks under the Climate Investment Funds) is based on the following principles:

- a) **National monitoring and evaluations (M&E) systems** – The results framework is designed to operate: (i) within existing national monitoring and evaluation systems; and (ii) the MDBs’ own managing for development results (MfDR) approach. The development of parallel structures or processes for PPCR monitoring and evaluation will be avoided. National systems and capacities will be taken into account when applying the results framework.
- b) **Flexible and pragmatic approach** – The framework will be applied flexibly and pragmatically taking into account pilot country circumstances. As noted above, the proposed indicators need to be field tested. Country circumstances need to be taken into account in selecting relevant indicators and subsequent reporting. However, it is expected that pilot countries include PPCR program outcome indicators in their SPCR results frameworks. The results framework embraces the CIF principle of learning - a trial-and-error learning approach is explicitly encouraged. Existing SPCR results framework will need to be revised and the PPCR Sub-Committee notified of the revisions.
- c) **Data collection and reporting standards** – In order to be able to aggregate country-level results at the programmatic level (SPCR), **a set of core indicators**¹ will be measured using compatible methodologies. The other indicators are optional and should be adapted to national requirements as and when useful.

¹ Four indicators in table 1 are core indicators, the other seven are optional. Results frameworks of specific projects can comprise many other indicators, but for the purpose of aggregation and comparison the core indicators should be used within the national M&E systems and the project/program results frameworks.

I. INTRODUCTION

1. In its meeting in November 2010, the joint meeting of the CTF and SCF Trust Fund Committees approved the logic model for the Pilot Program for Climate Resilience (PPCR) as a living document with the understanding that it would be revised after field testing. The six pilot countries and the multilateral development banks (MDB) have attempted to apply the approved results framework in developing strategic programs for climate resilience (SPCR) and project/program interventions, but significant difficulties have emerged. Subsequently pilot countries and MDBs indicated that the originally approved PPCR results framework was too ambitious and complex and would benefit from simplification.

The key constraints were:

- a) The results chain was unclear; in consequence pilot countries had difficulties developing their own results chains.
- b) There were too many indicators across multiple levels, creating confusion over objectives and raising the transaction cost.
- c) Most of the indicators did not correspond to the data/statistics that countries/MDBs collect through existing processes, making it very difficult and costly to establish baselines.
- d) Many indicators did not allow uniform application and aggregation across all programs, hence making it impossible to report on overall results of PPCR.

2. In line with approved *Measures to Improve the Operations of the Climate Investment Funds*, the CIF Administrative Unit and the MDBs have prepared a revised, simplified PPCR logic model and results framework.² This proposal is based on (a) an interpretation of the key PPCR objectives; (b) an improved understanding of what is possible as part of the development and implementation of a SPCR; and (c) consultations with the MDBs and recipient country counterparts, including a discussion in the PPCR pilot country meeting in March 2012 in Zambia.

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

4. Section 2 introduces the revised PPCR logical model. Based on the logic model, section 3 outlines the proposed PPCR results frameworks with result statements and indicators. The last section of this document outlines briefly necessary changes in the project/program documentation to reflect the simplified M&E approach.

² See CIF. 2011. *Proposed Measures to Improve the Operations of the Climate Investment Funds*, paragraph 39.

II. THE REVISED PPCR LOGIC MODEL

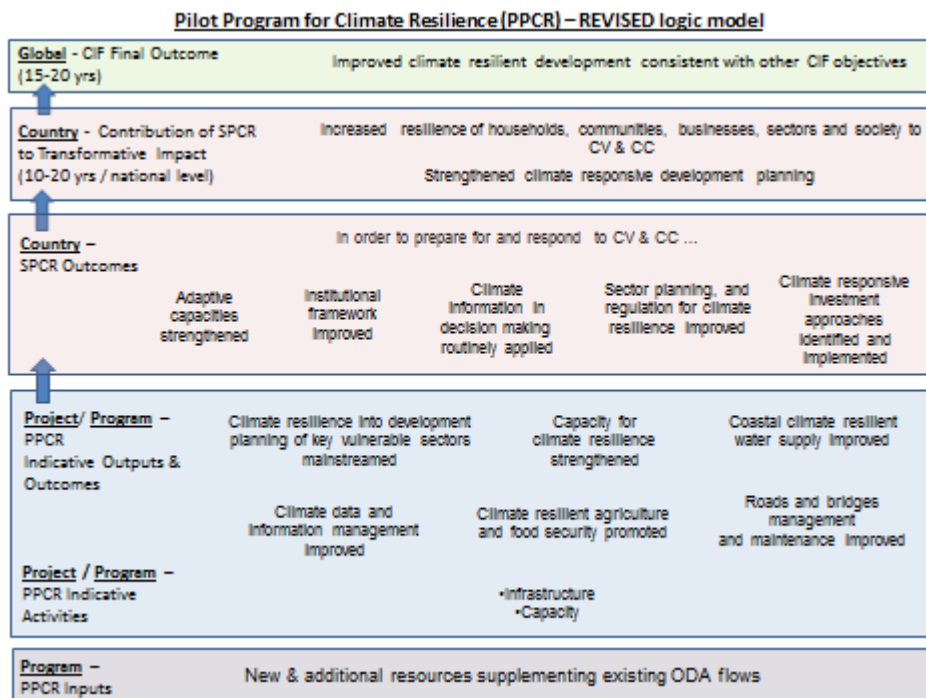
5. The logic model (figure 1) is a diagram intended to demonstrate the cause and effect chain of results from inputs and activities through to project outputs, program outcomes, and national/international impacts. The logic model is not intended to show how these results will be measured through indicators. One of the strengths of the logic model is the flexibility with which it can be applied to a variety of circumstances and contexts. 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.

6. The original PPCR logic model was approved by the joint meeting of the CTF and SCF Trust Fund Committees in November 2010. Later, as mentioned before, it was suggested that the initial logic model should be modified to give greater focus to the key operational objectives of PPCR. This is what the present PPCR logical model in this document does.

7. The stated impact objectives for PPCR are (a) increased resilience of households, communities, businesses, sectors and society to climate variability (CV) and climate change (CC); and (b) improved climate responsive development planning. The proposed outcome objectives for PPCR are: (a) adaptive capacities strengthened; (b) adequate institutional frameworks in place; (c) climate information in decision making routinely applied; (d) improved sector planning, and regulation for climate resilience improved; (e) innovative climate responsive investment approaches identified and implemented.

8. PPCR will contribute to achieving these results outlined in the paragraph above (impact objectives (a) to (e) through programs and projects that build infrastructure, develop capacity, and provide financing.

Figure 1: Logic model – Pilot Program for Climate Resilience (PPCR) – REVISED
 The elements of this logic model is based on the M&E session discussion in Zambia in March 2012.



III. PPCR RESULTS FRAMEWORK

9. The following tables contain the expected results flowing from the logic models and the indicators that are proposed to measure them.

10. 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 two columns represent the results statements as stated in the logic model. The results framework outlines the PPCR transformative impact and the PPCR program outcomes. The transformative impact cannot be achieved only by PPCR interventions. It requires a truly national effort to move into a climate resilient development pathway by increasing resilience of households, communities, businesses, sectors and society and improved climate responsive development planning. PPCR is an important part and catalyst for this bigger change agenda in the PPCR pilot countries.³ However, it is expected that PPCR projects/programs contribute directly to the PPCR outcomes: (a) strengthened adaptive capacities; (b) improved institutional frameworks in place; (c) climate information in decision making routinely applied; (d) improved sector planning and regulation for climate resilience; and (e) innovative climate responsive investment approaches identified and implemented.

11. The framework does not include project/program outputs, activities, products and services because these are specific to each project/program. The MDBs will develop detailed results frameworks with indicators for each individual project/program financed by the MDBs. In most cases, these frameworks will utilize indicators that are more sector-specific than the indicators in this PPCR framework. Such an approach emphasizes also the commitment to a managing for development results (MfDR) approach with emphasis on impact and outcomes and the requirement to work within the MDBs' own project/program management approach.

12. 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. The targets and baseline are currently available only for a limited number of indicators. The pilot countries and the MDBs have to cooperate closely to fill the gaps. Some of these indicators have very different time frames and a true impact reporting is probably not possible for a significant time span (10-15 years). The sixth column summarizes some assumptions related to the reliability or 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.

13. Four of the eleven indicators in the PPCR results framework are considered **core indicators**, which should be translated into the respective SPCR, project/program results frameworks. In addition to the core indicators, pilot countries have the flexibility to determine their own additional country, project/program specific indicators. It is suggested that after four years of working (2013 – 2016) with those core indicators they should be reviewed in terms of their quality, validity, usefulness, usability and measurability and adjusted if necessary.

³ PPCR will also face the attribution gap challenge. The further up in the results chain, factors come into play that are not directly or indirectly under the influence of projects or programs. Changes towards low carbon, climate resilient development will be influenced by many variables and therefore will be difficult to attribute "exclusively" to PPCR interventions. However, projects and programs should make efforts to articulate a results chain from project and program interventions up to PPCR outcomes and impact to allow future evaluations to assess the underlying assumptions at project and program design stage.

14. The reporting responsibility for reporting on progress in achieving transformation rests with the PPCR focal point or the agency by the pilot country government, supported by the MDBs. The PPCR focal point will report progress in implementing the SPCR to the PPCR Sub-Committee on an annual basis.

15. Complementary to the above, the MDBs will report progress in implementing their SPCR portfolio within their own institutional and organizational reporting requirements and will share, their project/program reporting with the pilot country and the CIF Administrative Unit. For private sector operations MDBs may share internal project/program reporting information directly with the CIF Administrative Unit, subject to commercial confidentiality considerations.

16. Overview on reporting responsibilities

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 by November 2016 on the usefulness and feasibility of the results framework, and in particular:

- a) align the previously endorsed SPCR results frameworks with the revised PPCR results framework;
- b) prepare a work plan for their monitoring against the core indicators and any other optional indicators with and in support of their national systems by end March 2013 and to submit the work plan to the Sub-Committee for information at its meeting in May 2013.
- c) establish baselines and targets for SPCR specific indicators by August 31, 2013, and communicate the baselines and targets to the CIF Administrative Unit for posting on the CIF website; and
- d) report on an annual basis on SPCR outcomes in accordance with the agreed outcome level indicators in the revised PPCR results framework. Pilot country reports should be submitted to the CIF Administrative Unit by July 30 each year, starting in 2014, and posted on the website.

The **CIF Administrative Unit, in collaboration with the MDB Committee** will review the SPCR progress reports annually, including a check for completeness and consistency, and prepare a synthesis report on results for consideration by the PPCR Sub-Committee.

17. Climate change related monitoring and evaluation needs and capacity constraints in pilot countries will become evident when aligning the previously endorsed SPCR results frameworks with the revised PPCR results framework, when preparing a work plan for their monitoring against core indicators and when establishing baselines and targets for SPCR specific indicators.

The pilot countries are invited to summarize their findings in form of a brief assessment of their climate change monitoring and evaluation needs. These assessments could inform a discussion with the wider PPCR stakeholder community about how best the M&E capacity constraints could be addressed.

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

Results	Explanation of the result statement	Indicators	Baseline	Targets	Assumptions	Reporting responsibility
TRANSFORMATIONAL IMPACT						
A1. Increased resilience of households, communities, businesses, sectors and society to climate variability and climate change	The highest result level desired by PPCR is the improvement of the lives of people who are most affected by climate variability and change. The success of the program will depend to a large extent on the scale of reaching out and providing particularly poor people with short-term options to deal with extreme climate-related events and to cope with long-term climatic changes. The transformation process entails a shift away from the “business-as-usual” to growth paths anchored in resilience to sustainably withstand and adapt to the effects of CV and CC.	INDICATOR A1.1 (optional): Change in percentage of households (in areas at risk) whose livelihoods have improved (acquisition of productive assets, food security during sensitive periods of the year)		Country-defined according to SPCR	Most of the PPCR intervention will have a geographic focus based on climate modeling. Socio-economic assessments are needed for targeting. Establishing baselines for vulnerable households will be a challenge.	PPCR coordination unit/agency
		INDICATOR A1.2 (optional): Change in damage/losses (\$) from extreme climate events in areas at risks that are the geographical focus of PPCR intervention	Pre-PPCR investment period extreme climatic events	Country-defined according to SPCR	It is expected that climate change will lead to an increase in extreme climatic events. Most PPCR countries have experienced extreme events in the past and have a basic understanding of the economic losses.	PPCR coordination unit/agency
		INDICATOR A1.3: (core) Numbers of people supported by the PPCR to cope with effects of climate			Support is broadly defined, including directly from the projects/programs and involved in activities supported by the PPCR. Multiple filters to further	PPCR coordination unit/agency

Results	Explanation of the result statement	Indicators	Baseline	Targets	Assumptions	Reporting responsibility
		change			capture data: (i) sector; (ii) beneficiaries targeted or indirect (iii) proportion that is poor and (iv) gender.	
		INDICATOR A1.4: (Optional) Percentage of people with year round access to reliable and safe water supply (domestic, agricultural, industrial)			From a climate hazard point of view, this indicator could be considered, because the entry point of climate change into terrestrial systems is the hydrological cycle. Changes in rainfall, surface and groundwater availability can be directly linked to climate change and can be directly related to water access.	PPCR coordination unit/agency
A2. Strengthened climate responsive development planning	Streamlining climate resilient development requires a “new” way of development planning. The objective of the PPCR is “... to pilot and demonstrate ways to integrate climate risk and resilience into core development planning ...” [...] “... in integrating consideration of climate resilience into national development planning consistent with poverty reduction and	INDICATOR A2.1: (core) Degree of integration of climate change in national, including sector planning - e.g., national communications to UNFCCC, national strategies, PRSPs, core sector strategies, annual development plans and budgets, and NAPs			A qualitative assessment (e.g. through a standardized scorecard) of the various strategic plans and documents is needed on regular intervals to observe changes in terms of CC streamlining and quality. The qualitative assessment would focus on the following criteria: (i) existence of climate change plan or strategy or dedicated strategy embedded in the principal planning documents at	PPCR coordination unit/agency

Results	Explanation of the result statement	Indicators	Baseline	Targets	Assumptions	Reporting responsibility
	sustainable development goals.” ⁶				various levels (national, sector, ministry); (ii) assigned responsibility to coordinate climate change planning and actions; (iii) specific measures to address climate change (adaptation/mitigation); (iv) screening of climate-relevant initiatives for climate risks; (v) existence of a formal climate safeguard system that integrates climate risk screening, climate risk assessment (where required), climate risk reduction measures, evaluation, learning into planning	
		INDICATOR A2.2: (optional) Changes in budget allocations at national and possibly sub-national level of government to take into account effects of CV&CC	Budget allocations in 2009 and 2010	country-defined according to SPCR	A budget re-allocation per se does not mean that CC or CV has been taken into account. However, a significant increase over time in climate-relevant sectors/geographic areas might be an indication for a more CC/CV streamlined approach.	PPCR coordination unit/agency

⁶ CIF. 2008. *Pilot Program for Climate Resilience – Design Document*, paragraphs 3 and 4.

Results	Explanation of the result statement	Indicators	Baseline	Targets	Assumptions	Reporting responsibility
PPCR PROGRAM OUTCOMES						
B1. Strengthened adaptive capacities	For achieving the transformational impact, countries need to have strengthened adaptive capacity and institutional frameworks in order to develop tools, instruments, strategies to respond to CV and CC. Integration of resilience into planning and implementation processes will require new and enhanced skills,	INDICATOR B1: (core) Extent to which vulnerable households, communities businesses and public sector services use improved PPCR supported tools, instruments, strategies, activities to respond to CV&CC			This indicator is qualitative and/or quantitative in nature and country specific. The qualitative aspects will require an in-depth analysis or a scorecard approach to determine the extent of the progress.	PPCR coordination unit/agency
B2. Improved institutional framework in place	knowledge, and abilities within a variety of government bodies. An important facet of this will be the ability to integrate CV and CC into the mechanisms for coordination and cooperation; the need to be established and resourced with knowledgeable staff.	INDICATOR B2: (core) Evidence of strengthened government capacity and coordination mechanism to mainstream climate resilience			This indicator relates to indicator A2.1 and could be measured by the same and/or extended scorecard.	PPCR coordination unit/agency

Results	Explanation of the result statement	Indicators	Baseline	Targets	Assumptions	Reporting responsibility
B3. Use of climate information in decision making routinely applied	The knowledge base is a crucial part of the change required in development processes. This includes knowledge of the impact of CV and CC, vulnerability assessments, risk analysis, gender dimension, etc. This knowledge needs to be widespread and flow into decision making processes.	INDICATOR B3: (optional) Evidence showing that climate information products/services are used in decision making in climate sensitive sectors			This indicator is qualitative in nature and country specific. It will require an in-depth analysis and / or a scorecard approach to capture the understanding of the political economy determining decisions.	PPCR coordination unit/agency
B4. Climate responsive investment approaches identified and implemented	Streamlining climate resilience will also need significant investments. Scaled up from existing resources leveraged by the PPCR and replicated from successful pilots, building on PPCR learning.	INDICATOR B4.: (optional) Leverage of PPCR funding against public and private investments in climate sensitive sectors		Country/ project-specific targets need to be established.	Measurement of leveraged and primarily financial resources will be routinely undertaken and aggregated across projects and countries.	MDBs
		INDICATOR B5. 2: (optional) Quality of and extent to which climate responsive instruments/ investment models are developed and tested			This indicator is aimed to capture the divers and pilot nature of PPCR investments.	MDBs

IV. CONCLUSION

18. The revised results framework is based on the first-hand experiences of the pilot countries and the MDBs in implementing the original PPCR results framework. A preliminary analysis across the SPCRs revealed that most pilot countries do not have the capacity to establish a complex M&E system, which would have been required under the original results framework. Hence, this proposal was developed with MDB and pilot country input to simplify the PPCR results framework before countries get too advanced in project/program preparation.

19. The revised PPCR results framework reduces the number of indicators from 22 to 11. Four of them are core indicators. The eleven indicators cover two M&E levels – transformative impact (six indicators) and PPCR program outcomes (five indicators). The indicators cover resilient development planning, adaptive capacity, decision making, and innovative investment approaches to reflect the expected transformation process in PPCR countries. Although there would be fewer indicators, it will still be necessary to test the practicality of the results framework, particularly linking projects/programs with higher level country objectives.

20. As project level output/intermediate indicators are specific to each project/program, and the priorities of each country that this represents, it is proposed that they are not specified by the PPCR results framework. However, project/program documentation will demonstrate how the output indicators that are selected will help achieve outcomes at the PPCR program (country) level.

21. For any SPCR that has been endorsed prior to approval of the revised results framework, the country and the MDBs are requested to review the results framework initially submitted with the SPCR and to make any revisions that are necessary to align the plan's results framework with the revised PPCR results framework. The country should inform the PPCR Sub-Committee of any revisions that are made.⁷

22. Progress reports, including reporting against the core indicators, will be provided to the PPCR Sub-Committee annually. Pilot country reports should be submitted to the CIF Administrative Unit by July 30 each year, starting in 2014, and posted on the website.

⁷ This step might have resource implications for the MDBs. There might be a need to assess country-by-country the need and the availability of resources for revising the results frameworks of the SPCRs.