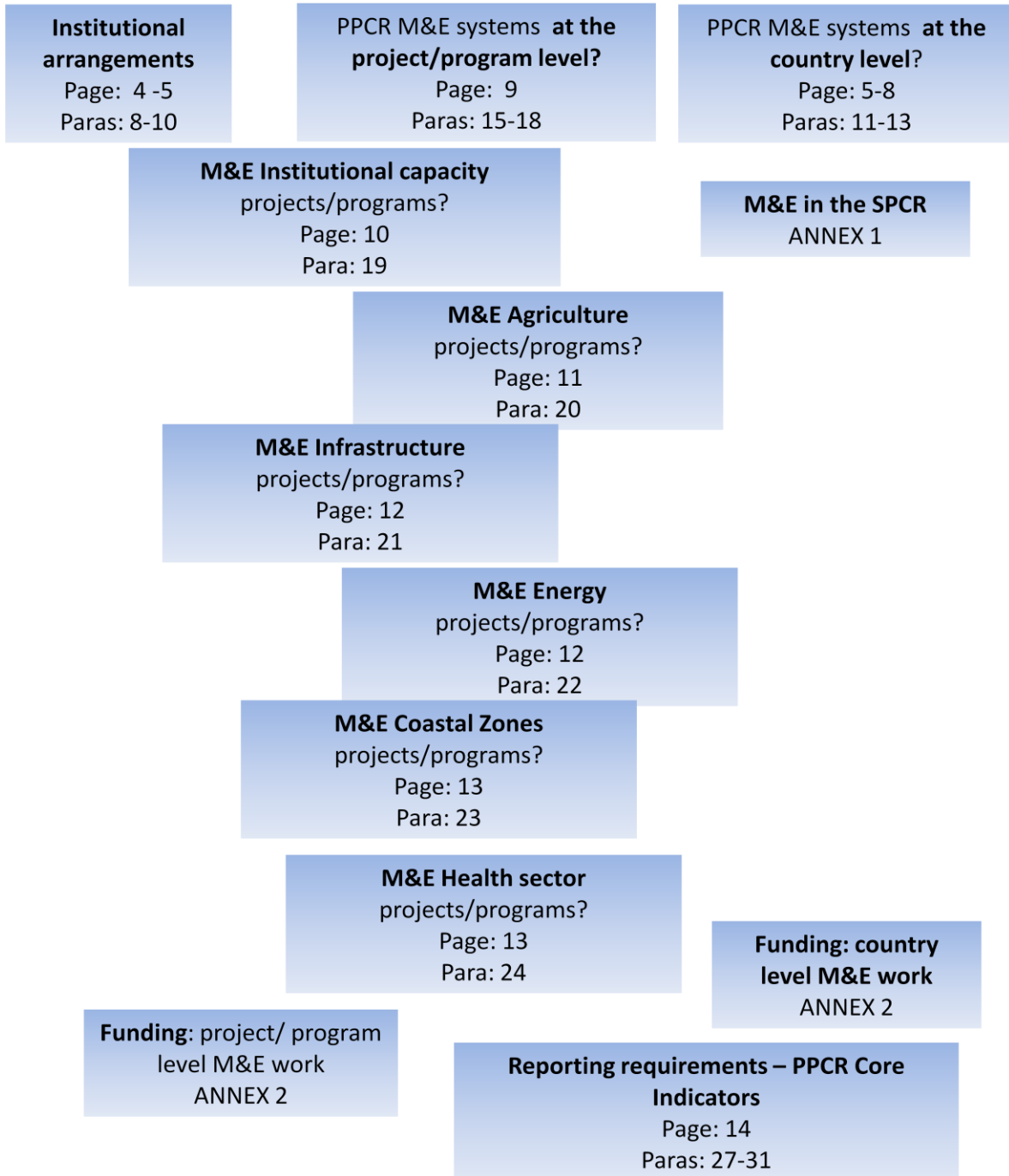


# PPCR MONITORING AND EVALUATION

## Preliminary Guidance Note for PPCR Country Teams

### What are you looking for?



## **PPCR MONITORING AND EVALUATION**

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#### **I. INTRODUCTION**

1. A results framework for the PPCR has been approved by the Joint CTF/SCF Trust Fund Committee in November 2010. MDB task teams need to work with PPCR pilot countries to implement the results frameworks as soon as possible to build the foundation for results reporting.
2. Implementation comprises: working with pilot countries to integrate M&E activities in the preparation and implementation of PPCR financed (i) country and regional strategic programs for climate resilience (SPCR); and (ii) related projects/programs involving public and private sector operations. The M&E system needs to reflect the interdependencies among these two levels. There is an urgent need to establish a comprehensive M&E system to ensure that projects/programs under the SPCR are indeed anchored within the overall strategic approach.
3. To provide a common framework for this undertaking, this note summarizes the (i) objective and institutional arrangement; (ii) Country level PPCR Monitoring and Evaluation; (iii) Project/Program level PPCR Monitoring and Evaluation; and (iv) reporting.

#### **II. OBJECTIVE AND INSTITUTIONAL ARRANGEMENTS**

4. The PPCR aims to pilot and demonstrate ways to integrate climate risk and resilience into developing countries' core development planning and activities. The PPCR provides incentives for scaled-up action and transformational change, and offers additional financial resources to help fund public and private sector investment for climate resilient development plans. The objective of PPCR M&E activities, therefore, is to help to strengthen national M&E systems to monitor and evaluate the impact of activities aimed to address climate resilient development. The M&E system will support countries to monitor implementation of projects and programs and take corrective action/decisions based on information generated through the M&E system. The results frameworks are designed to operate: (i) within existing national monitoring and evaluation systems; and (ii) the MDBs' own managing for development results (MfDR) approach.
5. By integrating the PPCR M&E results frameworks into national M&E systems, countries will take the lead and establish a managing for results philosophy that will help enhance the design and impact of their investments. They also gain the opportunity to share experiences and lessons with others, thereby helping to accelerate the CIF's "learning-by-doing" process in support of the replication of good practices for managing and sustaining climate change transformation at the country level.
6. There are three key elements of the PPCR M&E approach that need to be followed by PPCR financed projects:

## **a) Planning**

- PPCR project/program planning should use a flexible planning approach, with results cascading from the country level to projects and indicator reporting from projects/programs aggregated at the country level.
- Regional programs will also have to develop results frameworks demonstrating how country level initiatives are linked to the overall regional results.
- There should be a logic model in each SPCR that sets the strategic direction and identifies the results that identified priority projects/programs must contribute to.
- SPCRs should articulate the issues, priorities for investments, challenges, and risks to be addressed in a country or regional context.
- Catalytic results – beyond the immediate output of projects/programs under the PPCR – should also be clearly identified and the reporting approach outlined in the SPCR.
- Project and program documents should describe the expected results of individual interventions, linked to the overall results framework for the pilot country and the region, if applicable.
- Project and program documents should include results frameworks, indicators, baselines, and targets and the methodology how the data will be produced. These documents should be shared with the CIF Administrative Unit.

## **b) Monitoring and Reporting**

- PPCR financed projects and programs are implemented using MDB processes, procedures and systems. However, there is a set of indicators for the PPCR that must be included in projects/programs.
- Countries and regional institutions (for the regional programs) supported by the MDBs are mainly responsible for collecting and reporting data on all these key indicators. The government will identify and charge an executing agency with reporting responsibility.
- Project outputs and outcomes are expected to be monitored and reported on a regular basis using the key indicators. Reporting is expected at the start when establishing the baselines, at mid-term and upon completion. Annual reporting is desirable whenever feasible.
- Countries are the main reporting units of the PPCR. Reporting against the implementation of the SPCRs/strategies is at the core of the PPCR M&E system. The government will identify and charge an executing agency with reporting responsibility.
- A programmatic approach at the country or regional level requires that country or regional institutions take the lead in consolidating data from projects/programs at the country level and report these to the PPCR Sub-Committee through the CIF Administrative Unit. Countries need to nominate a national or regional institutional focal point for M&E – taking the responsibility to manage the PPCR M&E efforts, particularly the reporting to the PPCR Sub-Committee.

### c) Learning and Knowledge Management<sup>1</sup>

- CIF knowledge management activities are closely linked to CIF's work on monitoring and reporting.
- PPCR projects and programs will need to include knowledge management activities involving identifying, creating, organizing, sharing and using lessons learned, and good practices in PPCR pilot country programs and projects.
- PPCR's knowledge management activities have themselves to be targeted towards a set of KM results that must be monitored and reported on.

7. With the approval of the results frameworks as living documents, the joint CTF/SCF Trust Fund Committee established the basis for an adaptive M&E approach. The data generated through the M&E system should allow countries to take corrective action based on information/evidence. The adaptive management approach requires a constant and sustained feedback mechanism which allows countries to reflect on measures, approaches, methodologies etc. and initiate change when data or observations point towards the need to adapt to changing circumstances.

8. A robust M&E system requires appropriate institutional arrangements for assigning functions and responsibilities for managing the integration of M&E systems. The institutional setting will be determined as part of the preparation of the individual investments. They will be a consequence of the nature of proposed M&E priorities, existing institutional structures and arrangements, and the fact that the M&E system development needs to be managed at the government level (see Table1).

9. Capacity development needs to be a key element in all efforts to strengthen a results-oriented management approach of individual projects/programs but also the management of the SPCR. Hence, the identification of capacity needs is essential for successful strategic management of CIF operations in pilot countries and regions.

10. The capacity of country or regional institutions to carry out above and other M&E activities would, as required, be strengthened through

- upgrading of existing, or acquisition of new, equipment and services to effectively link local teams to web-based performance measurement systems;
- capacity development on the use of appropriate methodologies to measure results;
- using local consultant services (when feasible) to establish baselines and upgrade M&E systems;
- using local [staff] (when feasible) and/or consultants to manage the country/project sites for generating and reporting performance data;
- using local [staff] and/or consultants (when feasible) to capture and document experiences and lessons in developing and implementing strategic country programs and their investment

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<sup>1</sup>Detailed guidance on information sharing and lessons-sharing activities (ISL) is available in *Integrating Information Sharing and Lessons-Learning CIF Country Programs and Projects – A Guidance Note for MDB Task Teams*, shared with the MDBs on March 14, 2011.

- projects (including possible out-sourcing to local organizations and academic institutions);
- contracting for the organization, holding, and documenting outcomes of M&E activities through workshops with local stakeholders; and
- facilitating the participation [travel, accommodation] of local team members in CIF pilot/partner country meetings and other relevant external knowledge sharing events.

**Table 1:** Possible Institutional Arrangements for Managing for Results

<i>Responsibility</i>	<i>Function</i>
Unit or agency within the pilot country with enhanced M&E capacity (lead for development and implementation of the strategic country or regional program) <sup>2</sup>	<ul style="list-style-type: none"> <li>- Coordinate the integration of the PPCR results framework into the national M&amp;E system and ensure that M&amp;E arrangements are reflected in the SPCR document submitted for SC review and approval.</li> <li>- Monitor or assess the catalytic replication indicators.</li> <li>- Manage the assessment of current M&amp;E capacity and gap analysis in terms of baselines, targets, technology (IT support) and HR capacity.</li> <li>- Manage the progress reporting in implementing the SPCRs.</li> <li>- Prepare progress reports on SPCR implementation to the Trust Fund Committees/Sub-Committees annually.</li> <li>- Monitor project/program implementation and request regular project performance updates in line with agreed procedures from the relevant government agencies and MDBs.</li> </ul>
Sector ministries/private sector arms of the MDBs on behalf of private sector entities	<ul style="list-style-type: none"> <li>- Manage the M&amp;E systems at the project/program level and ensure regular progress reporting to (i) the coordinating unit; and (ii) communicate with all relevant stakeholders.</li> <li>- Private sector entities report through the respective MDBs managing the relationship as the legal and implementation agreement is between the private client and the MDB only. The private sector MDB will include the PPCR core M&amp;E indicators as well as relevant project-specific indicators to its standard institutional reporting requirements and communicate these to the unit or agency leading the SPCR M&amp;E approach in the pilot country</li> </ul>
Implementation units (public/private sector) for individual CIF funded projects	<ul style="list-style-type: none"> <li>- Manage the establishment of M&amp;E systems for each individual project/program.</li> <li>- As agreed with the central program coordination unit report on progress on outputs and outcomes indicators on a regular basis.</li> </ul>

### III. COUNTRY/REGIONAL LEVEL PPCR MONITORING AND EVALUATION

#### a) Setting up the PPCR M&E system at the country / regional level<sup>3</sup>

11. Regions and countries which are in the process of finalizing their SPCR design should discuss and present the envisaged M&E approach in the SPCR. It is expected that the M&E section in the SPCR comprises: (i) a results framework to monitor progress and evaluate the implementation of the SPCR; (ii) a brief description of the institutional arrangements with assigning roles and responsibilities; and (iii)

<sup>2</sup> In the case of a regional project, it would be appropriate for the entity selected for managing the regional component of the project to assume the coordinating function for ISL activities.

<sup>3</sup> The term “regions” in the context of PPCR refers to the PPCR’s regional programs, namely the Caribbean and South Pacific regional program.

outlining the resource requirements to establish and manage the M&E approach.<sup>4</sup> Annex 1 outlines in more details how the M&E section in the SPCR could be developed and specific aspects of M&E this section in the SPCR might highlight. Regions and countries which have already approved SPCRs will need to re-engage, if necessary, with the MDBs to discuss the M&E approach.

12. The following detailed steps for the country/regional level M&E approach are suggested:

Step	Activity	Expected output	Lead	Support
1	<i>access technical data and methodologies, information, and lessons learned</i> from other managing for development results (MfDR) initiatives. A stock-taking exercise is needed to explore whether other initiatives are already promoting enhanced M&E system development. The PPCR might build on or complement these ongoing initiatives.	Synergies with other managing for development results initiatives	Government/ regional institutions (if applicable)	MDB
2	<i>identify technical, system and capacity gaps</i> for M&E in climate change. It is expected that this analysis will provide a better idea about the nature of interventions needed to establish the regional/country M&E system. This step should also include a cost estimate for establishing the M&E system.	Gap analysis – better understanding of the needs	Government/ regional institutions (if applicable) – implementing entity	MDB
3	<i>discuss the institutional and organizational setting for the M&amp;E system.</i> It is expected that investment plans include a paragraph about the envisaged M&E approach. This section should discuss and provide which agency/ organization is taking the lead in managing PPCR M&E.	Clear institutional and organizational structure for PPCR M&E at the country level	Government/ regional institutions (if applicable)	MDB
4	<i>assess baselines and establish targets</i> for catalytic and replication results at the country level. The SPCRs should include a results framework with country specific indicators. Ideally the results framework incorporates the suggested PPCR key indicators with baselines and targets. At least, the SPCR should outline an approach how to establish baselines for relevant indicators.	Results framework at the SPCR level with baselines and targets	Implementing entity	MDB
5	<i>share lessons with other pilot countries in assessing and establishing M&amp;E systems.</i> Pilot countries	Learning from experiences	Government/ regional	MDB

<sup>4</sup> Baselines and targets are very important to establish a sound basis for an effective M&E approach. It can be expected that for some indicators it might be rather difficult to establish baselines or targets at the time of SPCR formulation. However, it is important to outline briefly in the M&E section how the country is going about establishing targets and baselines for indicators which do not have these at the time when the SPCR is presented to the PPCR Sub-Committee.

Step	Activity	Expected output	Lead	Support
	should document the process of establishing PPCR M&E systems and share these lessons with stakeholders within and outside the PPCR pilot countries.		institutions (if applicable): PPCR coordination unit with implementing entities	

### b) PPCR indicators at the country level

13. Baselines and targets at the national level need to be established to the extent possible for the following approved PPCR key indicators:

Results	Indicators	Means of Verification
1. Improved quality of life of people living in areas most affected by climate variability and climate change <sup>5</sup>	<p>a) Change in the Global Adaptation Index (GaIn)</p> <p>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</p> <p>c) Percent (%) of people classified as poor (women and men) and food insecure (women and men) in most affected regions</p> <p>d) Number of lives lost / injuries from extreme climatic events (women/men)</p> <p>e) Damage / economic losses (\$) from extreme climatic events</p>	<p>Global Adaptation Institute</p> <p>Country M&amp;E/ UN – The Millennium Development Goals Report Country M&amp;E</p> <p>EM-DAT International Disaster Database (<a href="http://www.emdat.be/about">http://www.emdat.be/about</a>)</p>
2. Increased resilience in economic, social, and eco-systems to climate variability and climate change through transformed social and economic development	<p>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)</p> <p>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.</p>	<p>Country M&amp;E system (ideally results framework of the National Development Plan)</p> <p>Periodic qualitative assessment at the country level and sub-national level- Public expenditure reviews</p>

<sup>5</sup> The indicators for the impact level are rather high level and macro indicators. There is clear understanding that issues of attribution might arise when the PPCR is evaluated. However, this issue is not unique for PPCR operations but a general concern in the sphere of Managing for Development Results (MfDR). It is expected that impact evaluation instruments in the future might be able to assess some potential causal linkages between PPCR project/program activities at the local level and the high level impact.

Results	Indicators	Means of Verification
<b>PPCR Catalytic Replication Outcomes</b>		
1. Improved institutional structure and processes to respond to climate variability and climate change	<p>a) Number and quality of policies introduced to address climate change risks or adjusted to incorporate climate change risks</p> <p>b) Quality of participatory planning process (as assessed by private sector, CSOs)</p> <p>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</p> <p>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</p> <p>e) staff in key line agencies that address climate resilience as part of the development agenda</p>	<p>Country M&amp;E system</p> <p>Satisfaction survey</p> <p>Periodic qualitative assessment at the country level, including sub-national</p> <p>Periodic qualitative assessment at the country level, including sub-national</p>
2. Scaled-up investments in climate resilience and their replication	<p>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.)</p> <p>b) Evidence of integrating lessons learned (national and local government, non government, private sector) from PPCR pilot projects/programs</p> <p>c) Evidence of increased capacity to manage climate resilient investments</p>	<p>Country M&amp;E system</p> <p>Budget allocations at all levels</p> <p>MDB cross-country qualitative review</p>
3. Replication of PPCR learning in non-PPCR countries	<p>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</p> <p>b) Number of non-PPCR countries replicate PPCR project approach (e.g., investment documents citing PPCR pilot project documents)</p>	MDB cross-country review

**c) PPCR financing for establishing PPCR M&E systems at the country level**

14. The amount of PPCR project grant funding sought for integrating the CIF results frameworks into national M&E systems will depend in each case on (i) the existing M&E system and related institutional capacities, (ii) the extent to which ongoing activities are already in place to satisfactorily allow impact monitoring and evaluation (e.g., national M&E systems for monitoring and evaluating climate change action plans); and (iii) the availability of non-CIF sources of funding for this purpose (e.g., MfDR activities of bilateral or multilateral donors). Hence, there is no fixed limit to CIF funding. Countries and

MDBs will incur additional costs in developing PPCR-related national M&E systems. Funding arrangements are outlined in annex 2.

#### IV. PROJECT/PROGRAM LEVEL PPCR MONITORING AND EVALUATION

15. Project/program level PPCR M&E needs to ensure a close link with the expected results at the country level. The project/program design document needs to outline clearly the envisaged results chain.

##### a) Setting up the PPCR M&E system at the country / regional level

16. The following steps are suggested to establish the M&E system for PPCR financed projects/programs:

Step	Activity	Expected output	Lead	Support
1	<i>discuss the logic model with stakeholders</i> The logic model discussion is important to ensure that there is a clear understanding how the envisaged project is fitting into the country's approach in initiating transformational change and climate resilient development.	Results chain: project/program outputs – country outcomes – impact	MDB	Government / implementing entity/ agency
2	<i>discuss the results framework with respective project/ program implementing entity</i> . This process will help to identify the relevant indicators. Not all proposed indicators in the results frameworks will be relevant for all the projects/programs.	Agreement on the core indicators for tracking project/program progress	MDB	Implementing entity/ agency
3	<i>discuss the institutional and organizational setting for the M&amp;E system.</i> It is expected that SPCRs include a paragraph about the envisaged M&E approach. This section should discuss and provide which agency/ organization is taking the lead in managing PPCR M&E.	Clear institutional and organizational structure for project/program M&E responsibility	MDB	Implementing entity/ agency
4	<i>assess baselines and establish targets</i> for the relevant indicators. A cost estimate for assessing baselines is needed at this stage.	Results framework at the project/program level with baselines and targets	MDB	Implementing entity/agency
5	<i>Develop a detailed M&amp;E plan</i> for the implementation of the project/program and submit M&E plan for MDB Committee approval	M&E Plan	Implementing entity/agency	MDB
6	<i>Share lessons with other projects/programs in assessing and establishing M&amp;E systems.</i> Implementing entity/agency should document the process of establishing PPCR M&E systems and share these lessons with stakeholders within and outside the pilot country.	Learning from experiences	Implementing entity/agency	MDB

**a) PPCR indicators at the project/program level**

17. PPCR financing is foreseen for several adaptation-relevant sectors, including water, agriculture, infrastructure, energy sector, coastal zones, disaster risks, hydrometeorology, climate information systems, and the health sector. Hence, the project/program results frameworks need to reflect the key indicators for each of these areas.

18. The PPCR results framework is designed to provide a flexible framework to allow for (i) country-driven, country-context specific projects/programs with a rather broad set of interventions; and (ii) working within the MDBs own managing for results approach. This means that the concept of mandatory indicators needs be applied practically. Not all projects need to reflect all the indicators. For instance, agriculture projects focus on agricultural sector relevant indicators, energy sector projects on energy project relevant indicators and health sector projects on health relevant indicators. Nevertheless, the indicators on leveraging additional resources and on knowledge management and learning should be part of every single project/program – irrespective of the sector focus.

19. **Institutional capacity development project/programs** may include the following indicators with baselines and targets (if feasible) in the project/program M&E frameworks:

<b>Results</b>	<b>Indicators</b>	<b>Means of Verification</b>
1.Improved integration of resilience into country development strategies, plans, policies, etc. (at the national and local level)	<p>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</p> <p>b) Budget allocations (at all levels ) to take into account effects of climate variability and climate change (vulnerabilities) across sectors and regions</p>	<p>Periodic qualitative review of strategies and other dev. Plans and policies</p> <p>Periodic public expenditure reviews – budget allocations</p>
2.Increased capacity to integrate climate resilience into country strategies	<p>a) Evidence of a functioning cross-sectoral mechanism that takes account of climate variability and climate change</p> <p>b) Evidence of line ministries or functional agencies lead in updating or revising country strategies (moving from ‘outside management’ to country ownership)</p>	<p>Project M&amp;E</p> <p>Project M&amp;E</p>
3.Increased knowledge & awareness of climate variability and climate change impacts (e.g. climate change modeling,	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.)	<p>Project M&amp;E – qualitative assessment</p> <p>Project M&amp;E</p>

<b>Results</b>	<b>Indicators</b>	<b>Means of Verification</b>
climate variability impact, adaptation options) among government / private sector / civil society / education sector		
5.Enhanced integration of learning / knowledge into climate resilient development	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	Project documents, M&E CIF – AU qualitative assessment  Project documents, M&E
6. Leveraging – new and additional resources for clean technology projects	Leverage factor of PPCR funding; \$ financing from other sources (contributions broken down by MDBs, governments, multilaterals and bilaterals, CSOs, private sector)	Project M&E

20. **Agriculture projects/programs** may include the following indicators with baselines and targets (if feasible) in the project/program M&E frameworks:

<b>Results</b>	<b>Indicators</b>	<b>Means of Verification</b>
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	a) Change in percent change in availability of drought/salt-tolerant, certified seeds/crops  b) Change in hectares of farms with sustainable access to irrigation and drinking water	Project M&E  Project M&E
Enhanced integration of learning / knowledge into climate resilient development	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	Project documents, M&E CIF – AU qualitative assessment  Project documents, M&E
Leveraging – new and additional resources for clean technology projects	Leverage factor of PPCR funding; \$ financing from other sources (contributions broken down by MDBs, governments, multilaterals and bilaterals, CSOs, private sector)	Project M&E

21. **Infrastructure projects/programs** may include the following indicators with baselines and targets (if feasible) in the project/program M&E frameworks:

<b>Results</b>	<b>Indicators</b>	<b>Means of Verification</b>
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	a) Change in km of roads built/rehabilitated according to climate-resistant codes and standards (e.g. raised roads, improved cover materials)	Project M&E
	b) Change in number of peoples with access to climate resilient housing and shelter	Project M&E
Enhanced integration of learning / knowledge into climate resilient development	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	Project documents, M&E CIF – AU qualitative assessment
	b) Evidence of use of knowledge and learning	Project documents, M&E
Leveraging – new and additional resources for clean technology projects	Leverage factor of PPCR funding; \$ financing from other sources (contributions broken down by MDBs, governments, multilaterals and bilaterals, CSOs, private sector)	Project M&E

22. **Energy sector projects/programs** may include the following indicators with baselines and targets (if feasible) in the project/program M&E frameworks:

<b>Results</b>	<b>Indicators</b>	<b>Means of Verification</b>
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	a) Change in number of energy-related infrastructure integrating climate resilience features	Project M&E
	b) Availability of tools to assess climate risks to power plants and other sources of energy	Project M&E
Enhanced integration of learning / knowledge into climate resilient development	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	Project documents, M&E CIF – AU qualitative assessment
	b) Evidence of use of knowledge and learning	Project documents, M&E

Results	Indicators	Means of Verification
Leveraging – new and additional resources for clean technology projects	Leverage factor of PPCR funding; \$ financing from other sources (contributions broken down by MDBs, governments, multilaterals and bilaterals, CSOs, private sector)	Project M&E

23. **Coastal Zones projects/programs** may include the following indicators with baselines and targets (if feasible) in the project/program M&E frameworks:

Results	Indicators	Means of Verification
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	Change in percentage of coastal area with natural buffer zones (e.g. green belts on embankments) to manage sea level rise and extreme storms (hurricanes, cyclones, typhoons)	Project M&E
Enhanced integration of learning / knowledge into climate resilient development	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	Project documents, M&E CIF – AU qualitative assessment  Project documents, M&E
Leveraging – new and additional resources for clean technology projects	Leverage factor of PPCR funding; \$ financing from other sources (contributions broken down by MDBs, governments, multilaterals and bilaterals, CSOs, private sector)	Project M&E

24. **Health sector projects/programs** may include the following indicators with baselines and targets (if feasible) in the project/program M&E frameworks:

Results	Indicators	Means of Verification
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	a) Change in response time for national and local emergency response units to extreme climatic events  b) Change in percent in access of population in project/program area to health products mitigating the risks of water-born diseases due to the impacts of climate change	Project M&E  Project M&E

<b>Results</b>	<b>Indicators</b>	<b>Means of Verification</b>
Enhanced integration of learning / knowledge into climate resilient development	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	Project documents, M&E CIF – AU qualitative assessment
	b) Evidence of use of knowledge and learning	Project documents, M&E
Leveraging – new and additional resources for clean technology projects	Leverage factor of PPCR funding; \$ financing from other sources (contributions broken down by MDBs, governments, multilaterals and bilaterals, CSOs, private sector)	Project M&E

25. There might be other sectors which will be added when all SPCRs have been developed and endorsed.

**a) PPCR financing for establishing PPCR M&E systems at the project/program level**

26. Funding requirements for establishing PPCR M&E systems for each project/program will depend on the country- context (e.g., existing capacity at the project level); and (ii) the nature of the individual project/program. Countries and MDBs will incur additional costs in developing project/program specific M&E systems. Funding arrangements are outlined in annex 2.

**V. REPORTING**

27. **CORE INDICATORS** – The logic model and the results framework are designed to provide a basis for long-term reporting and eventually evaluation efforts. Therefore, it is important to establish comprehensive M&E systems within a pilot country based on the PPCR results framework. However, for medium-term progress reporting to the PPCR Sub-Committee there is a need for focusing on a limited set of core indicators. These core indicators provide the basis for a more standardized approach across the pilot countries and regional pilots. It is expected that the country teams discuss these core indicators with all the pilot countries and regional programs (if applicable) and establish baselines and targets for these core indicators within the next three months. The PPCR Sub-Committee expects that core indicators are in place for all the programs by November 2011, so that reporting against these indicators can start in 2012.

28. The following core indicators are suggested for PPCR medium-term reporting:

Indicator	Baseline	Target
<b>SPCR level</b>		
Change in number of national-level economic sector and development policies and regulatory frameworks integrate climate resiliency and vulnerability reduction considerations (incl. insurance systems)		
Change in Global Adaptation Index (GaIn)		
Effective national early warning system (incl. accurate weather forecast and lead time for response)		
Change in percent in budget allocation to take into account effects of climate variability and climate change (vulnerabilities) by economic sector and country regions		
Leverage factor of PPCR funding: \$ financing from other sources (contributions broken down by governments, MDBs, other multilateral and bilateral partners, CSOs, private sector)		
<b>Project/program level</b>		
Change in hectares (ha) of area in project/program area with management plan that integrate climate change considerations		
Change in number of institutions/communities in project/program area with knowledge on climate change and response options		
<p>PPCR program/project outcome indicators by economic sector and vulnerable regions (applicability depends on sectors addressed in each SPCR), e.g.:</p> <p>Change in percentage of households (in areas at risk) whose livelihoods have improved (acquisition of productive assets, food security during particularly sensitive periods of the year, nutrition for &lt; 5 year old children, etc.)</p> <p>Evidence of change in number/quality/frequency of forms of solidarity (mutual support, ‘tontines’, organization of community works, etc.) among beneficiary households/communities</p> <p><i>Agriculture:</i></p> <ul style="list-style-type: none"> <li>- Change in percent change in availability of drought/salt-tolerant, certified seeds/crops</li> <li>- Change in hectares of farms with sustainable access to irrigation and drinking water</li> </ul> <p><i>Infrastructure:</i></p> <ul style="list-style-type: none"> <li>- Change in km of roads built/rehabilitated according to climate-resistant codes and standards (e.g. raised roads, improved cover materials)</li> <li>- Change in number of peoples with access to climate resilient housing and shelter</li> </ul> <p><i>Energy Sector:</i></p> <ul style="list-style-type: none"> <li>- Change in number of energy-related infrastructure integrating climate resilience features</li> <li>- Availability of tools to assess climate risks to power plants and other sources of energy</li> </ul> <p><i>Coastal Zones:</i></p>		

Indicator	Baseline	Target
<p>- Change in percentage of coastal area with natural buffer zones (e.g. green belts on embankments) to manage sea level rise and extreme storms (hurricanes, cyclones, typhoons)</p> <p><i>Health Sector:</i></p> <p>- Change in response time for national and local emergency response units to extreme climatic events</p> <p>- Change in percent in access of population in project/program area to health products mitigating the risks of water-borne diseases due to the impacts of climate change</p> <p><i>Others?</i></p>		

29. The number of core indicator reporting for PPCR is significantly higher than for the other programs because of the nature of the PPCR results framework reflecting the complexity of climate resilient development. It is suggested that country teams review carefully the above indicators and report only against the indicators for the sectors which the SPCR is going to address. Other sector core indicators can be ignored. Such an approach will allow the MDBs and the CIF AU to cover the whole range of SPCR operations.

30. These core indicators need to be complemented with data concerning the portfolio development. There is no need for any additional analysis or data mining, project portfolio performance data should be extracted from the MDBs' own project portfolio review system. Basic essential information on the projects/programs including: (i) financial information (commitments, expenditures, contract awards, etc.); (ii) project rating; (iii) thematic and operational priorities; (iv) rating on covenants; and (v) major issues and problems.

31. Based on the project/program reporting, the countries will consolidate the reports in a comprehensive implementation progress report to the PPCR Sub-Committee. The progress report will have to demonstrate how countries are performing in terms of established goals and objectives. The CIF AU will consolidate the reports of the countries and provide feedback to the Sub-Committee within the CIF Annual Report, Semi-Annual reports on PPCR Operations, and occasionally in thematic results reports. Such an approach will ensure that the PPCR Sub-Committee receives updates on the status of the implementation and achievement of results by investment plan at the CIF programmatic level on a regular basis.

32. **LEARNING** - Annual reports to the PPCR Sub-Committee concerning the development of establishing M&E systems are needed. Hence, the MDBs are advised to document the process of setting up the PPCR M&E system in a pilot country and share these country-specific reports with the CIF AU. In addition, MDBs are requested to assist their government counterparts to prepare and share lessons concerning M&E in annual PPCR pilot country meetings.

## **Monitoring and Evaluation in the SPCR**

The SPCR should outline the M&E approach. It is expected that the M&E section in the SPCR comprises: (i) a results framework to monitor progress and to provide the basis for evaluating the implementation of the SPCR; (ii) a brief description of the institutional arrangements with assigning roles and responsibilities; and (iii) outlining the resource requirements to establish and manage the M&E approach. The following approach for preparing the M&E section is suggested:

### **A. Preparation of the results framework**

The results framework is the more important element of the M&E section. It is key to develop a country/SPCR specific results framework to ensure that the country's own climate resilient development approach can be monitored and henceforth managed.

The following steps are recommended:

Step 1: Discuss the need for a PPCR logic model results framework with the pilot country

Step 2: Develop a country-specific PPCR results framework and agree on indicators

Step 3: Establish baselines and targets for the results indicators

### **B. Institutional and organizational arrangements for SPCR M&E**

Clear assignments of roles and responsibilities are required to establish an efficient and effective M&E system. Reporting requirements and responsibility need to be mapped out. For the CIF, is key to identify an organization which takes the lead M&E of the SPCR. This can be either a lead ministry, a specialized government agency, a think tank or any other institutional or organizational setting the pilot country would like to consider.

Step 1: Analyze the existing (or non-existing national) M&E system for climate related activities

Step 2: Assess the adequacy of the existing M&E in meeting the requirements in A (preparation of the results framework)

Step 3: Identify gaps and propose measures to address the gaps

Step 4: Propose and agree on the institutional arrangements and responsibility for M&E of PPCR investments/activities

### **C. Resource requirements**

Pilot countries need to identify areas where they may need support in setting up the M&E system. Needs may include technical support, hard and software, and capacity development. It would be very useful to quantify the needs and identify the approach to access these resources. Annex 2 provides an overview of the CIF modalities to cover expenses incurred by the pilot countries and the MDBs.

## Financing Mechanisms

### A. Preparation of Country-level PPCR M&E Results Frameworks for Inclusion in Strategic Programs for Climate Resilience (SPCR)

Cost Category	Financing Mechanisms
<i>Country costs</i> incurred in completing activities set out in para.12 in the main text.	TA grants to pilot countries for SPCR preparation.
<i>MDB costs</i> for supporting above country-led preparation activities.	CIF administrative budget resources for MDB support to country-led programming of SPCR resources.

### B. Preparation of M&E Components in Individual Projects/Programs

Cost Category	Financing Mechanisms
<i>Country costs</i> for detailed development of PPCR M&E components in individual projects/programs contained in the SPCR. This includes (i) preparation of a capacity building project (or project component ) designed to support integration of the PPCR M&E results framework (developed under (a) above) in the national M&E system, and (ii) preparation of project/program level PPCR results frameworks/logic models in all SPCR projects/programs.	TA grants to pilot countries for project preparation.
<i>MDB costs</i> for supporting above country-led preparation activities.	Covered under arrangements approved by the SDF TFC on June 23, 2011 (ref. SCF/TFC.7/6, <i>MDB Project Implementation Services under SCF's Targeted Programs: Sources of Funding and Implementation Arrangements</i> ) - First payment (50% of the initial estimate of MPIS costs) to be made to MDBs at time of IP endorsement; the second payment (final estimate of MPIS costs less first payment) would be transferred at time of SC approval of proposed project. Payments for MPIS are to be funded out of the reserve

Cost Category	Financing Mechanisms
	funds that have been set aside by the PPCR Sub-Committee in its decision on the allocation of funds pledged to the targeted program.

### C. Implementation of M&E Components in Individual Projects/Programs

Cost Category	Financing Mechanisms
<i>Country costs</i> for implementing M&E activities defined in project/program level M&E components	PPCR project grants to pilot countries
<i>MDB costs</i> for supporting and supervising country-led implementation of PPCR M&E components at project/program level	Covered under the provisions approved by the SCF TFC for Payments for MDB Project Implementation Services (MPIS) – see above.