

**PPCR
MONITORING
AND
REPORTING
TOOLKIT**

PPCR PILOT PROGRAM
FOR CLIMATE RESILIENCE 2018

ON COVER:

Rehabilitated canals in Zambia, supported by PPCR, can better regulate water supply during drought and flood seasons.

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PPCRPILOT PROGRAM FOR CLIMATE RESILIENCE 2018

ACKNOWLEDGEMENTS

The revised PPCR Monitoring and Reporting Toolkit (2018) is the outcome of the PPCR monitoring and reporting stocktaking review that assessed the firsthand experiences of PPCR pilot countries and multilateral development banks that implemented the original PPCR M&R Toolkit from 2014 to 2017. This collaborative, consultative review culminated in a final validation workshop attended by 21 PPCR countries, regional organizations, multilateral development banks, observers, and donor countries. This toolkit reflects a common understanding of monitoring and reporting and a common set of indicators within and across all PPCR countries. The CIF Administrative Unit expresses its sincerest appreciation to all those who contributed to this effort.

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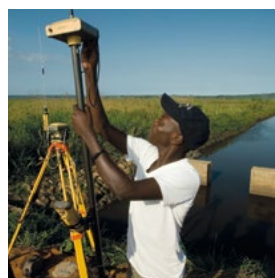
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Early PPCR project results from Nepal indicate that by 2016, over 15,000 farmers, including 6,500 women, were trained on adopting water management practices and higher-yielding crop varieties that are more resilient to extreme weather conditions like drought.

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1. **OVERVIEW** PPCR MONITORING AND REPORTING SYSTEM

As the scale and volume of climate change adaptation finance grows worldwide, so do the number of climate resilience activities and the need for data to inform decision making and demonstrate progress toward national, regional, and international goals, such as the Sustainable Development Goals and the Paris Agreement. Countries require strong monitoring and evaluation systems to collect and report accurate, timely, and harmonized data that can be used to strengthen projects and programs, promote accountability, and gain financial support.

The Pilot Program for Climate Resilience (PPCR), a targeted program of the USD 8.3 billion Climate Investment Funds (CIF), is a pioneer in climate finance monitoring and results reporting. Created in

2008, PPCR is a USD 1.2 billion concessional financing mechanism designed to pilot and demonstrate ways to integrate climate risk management and resilience into core development planning and complement ongoing activities in developing countries around the world. It has established a monitoring and reporting (M&R) system that supports recipient countries in their efforts to track progress in climate resilience action.

Unique in the global climate finance architecture, this system is founded on the principles of country ownership and multi-stakeholder participation, with a focus on learning as much as tracking program results. This toolkit offers practical guidance to in-country PPCR stakeholders on enabling the PPCR M&R system.

PRINCIPLES OF PPCR M&R SYSTEM

↘ Country Ownership

The PPCR M&R system is country-driven, managed in-country by the PPCR country focal point and supported by the MDBs.

↘ Participatory Approach

Local stakeholders actively contribute to the system. This approach empowers beneficiaries, builds country ownership, fosters knowledge exchange, and ensures accountability and transparency.

↘ Use of Mixed Methods

The system combines quantitative and qualitative methods to collect, analyze, and generate knowledge and lessons on implementing PPCR investments.

↘ Learning-by-Doing

This is a living system designed to evolve and adapt over time. It recognizes that monitoring and reporting is an iterative, learning-driven process. The system is reviewed and improved continuously as lessons are generated around its use.

PARTICIPATORY, PROGRAMMATIC APPROACH

Like all CIF programs, PPCR fosters a programmatic approach to investment planning and implementation. Working through a transparent, country-led process that engages a range of stakeholders—including government ministries, civil society, indigenous peoples, private sector, and the multilateral development banks (MDBs) that implement PPCR funding¹—PPCR supports each country in developing a Strategic Program for Climate Resilience (SPCR). This program coherently links a series of actions and investments that mutually reinforce each other and build on National Adaptation Programs of Action and other national development programming.

Under national government leadership with support from the MDBs, PPCR stakeholders continue to work together to implement the SPCR. They use the PPCR M&R system to track the performance of PPCR investments and ensure accountability, learning, progress, and results in advancing climate-resilient development. This commitment to an inclusive, programmatic approach from investment design to completion is time intensive, but serves to enrich the entire process for maximized results.

KEY COMPONENTS AND ROLES

The PPCR M&R system is structured to enable annual tracking and reporting on PPCR progress at multiple levels—from project to country to global program. It calls on participants from PPCR

¹ All CIF funding and technical support is implemented in recipient countries via partner MDBs: African Development Bank (AfDB), Asian Development Bank (ADB), European Bank for Reconstruction and Development (EBRD), Inter-American Development Bank (IDB) and World Bank Group, including International Finance Corporation (IFC).

countries, MDBs, and the CIF Administrative Unit to make it function.

The system rests on the foundation of **the PPCR results framework**², which serves as the basis for monitoring and reporting the impacts, outcomes, and outputs of all PPCR-funded activities. Over time and based on user feedback, the PPCR results framework has streamlined the use of five core indicators that every PPCR country is required to monitor and report on annually over the lifetime of their SPCR. These indicators cover resilient development planning, adaptive capacity, decision making, and innovative investment approaches and are meant to reflect the expected transformation process taking place in PPCR countries (see Annex 1).

The PPCR results framework is designed to guide countries and MDBs in further developing their own results frameworks to track progress in climate resilience action. Such built-in flexibility is meant to ensure that PPCR-relevant results and indicators are integrated into pre-existing monitoring and evaluation systems at the country and project/program level. The CIF Administrative Unit and partner MDBs support PPCR pilot countries in developing participatory, country-led M&R processes based on need and upon request.

The PPCR M&R system provides for two complementary streams of annual data collection and reporting: country reporting, which takes place at the national level and is led by countries in a participatory fashion, and MDB reporting,

² This toolkit refers to the Revised PPCR Results Framework approved by the PPCR Sub-Committee in 2012. See Annex 1.

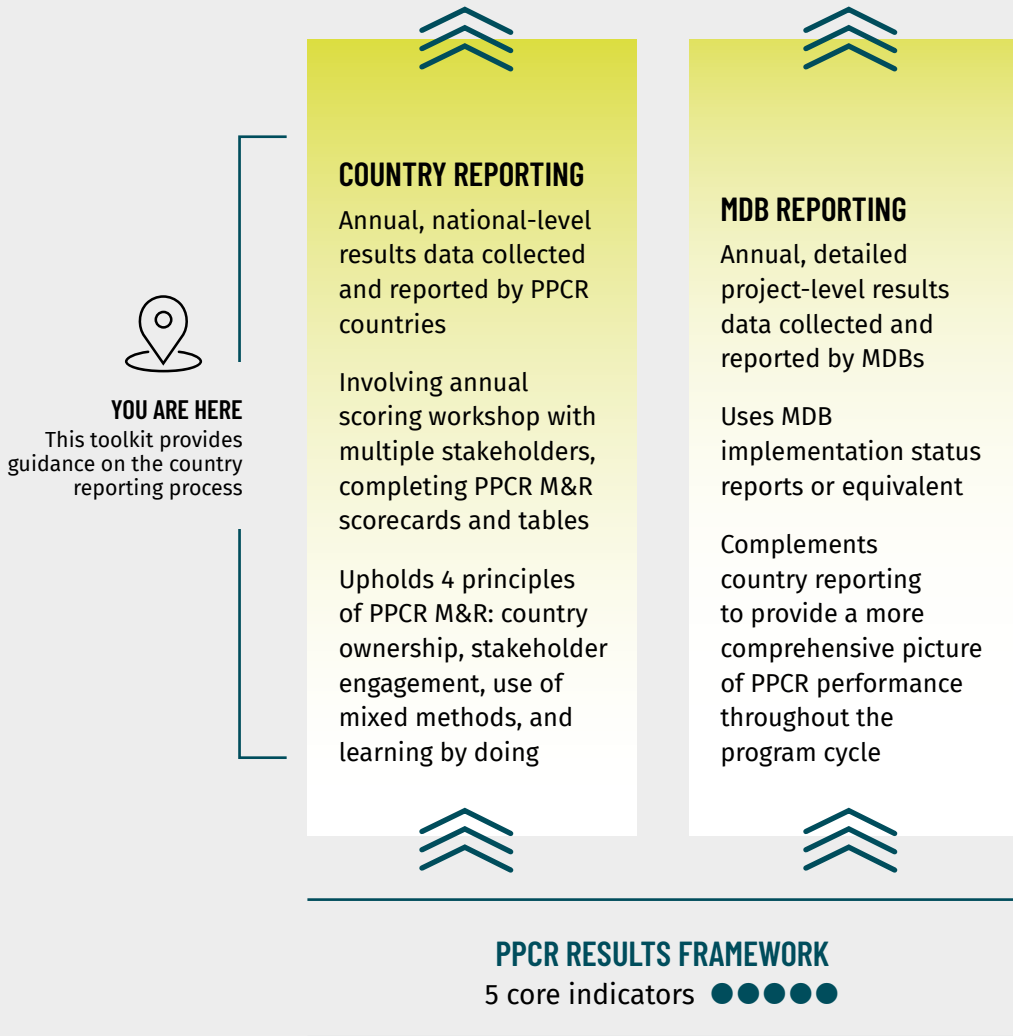
PPCR CORE INDICATORS

- 1 Degree of integration of climate change in national, including sector, planning
- 2 Evidence of strengthened government capacity and coordination mechanism to mainstream climate resilience
- 3 Quality and extent to which climate responsive instruments/investment models are developed and tested (optional)
- 4 Extent to which vulnerable households, communities, businesses, and public-sector services use improved PPCR-supported tools, instruments, strategies, and activities to respond to climate variability or climate change
- 5 Number of people supported by PPCR to cope with the effects of climate change

PPCR MONITORING AND REPORTING SYSTEM

Tracking the performance of PPCR investments to ensure accountability, learning, progress, and results in advancing climate-resilient development

Annual PPCR operations and results report to the PPCR Sub-Committee
produced by the CIF Administrative Unit with reporting from all PPCR countries and MDBs



which involves MDBs providing project-level data directly to the CIF Administrative Unit.

Country reporting is fundamental to the PPCR and a hallmark of its programmatic, participatory approach. **It is the primary focus of this toolkit.** As the main administrator of PPCR in-country activities, the PPCR country focal point oversees country reporting to produce an annual national-level PPCR results report for submission to the CIF Administrative Unit by March 15 of each year.

This involves annual data collection and results reporting on the five core indicators through a process that engages a range of in-country PPCR stakeholder groups. They can include government institutions at national, sub-national, and local levels; civil society; indigenous peoples; academia; and the private sector. At the invitation of the PPCR country focal point, they gather at an annual PPCR scoring workshop to discuss progress made in implementing the SPCR, share lessons learned, and identify feasible solutions to challenges.

MDB reporting is designed to complement country reporting data with more granular and intermediary project-level results data reported directly to the CIF Administrative Unit by the MDBs on an annual basis.

Like all CIF programs, PPCR financing is implemented in recipient countries by multiple partner MDBs that monitor and report on projects through their own institutional arrangements. To satisfy PPCR’s MDB reporting requirement, each MDB typically submits its most recent implementation status report, or equivalent, for each project under its implementation. Because this element of the

M&R ROLES AND RESPONSIBILITIES*

➤ PPCR country focal point

Manages the national PPCR M&R process, particularly preparing and facilitating annual scoring workshop, including:

- Identifying attendees
- Gathering, presenting, and storing evidence base
- Finalizing annual country results report for submission to the CIF Administrative Unit by March 15 of each year

➤ Lead MDB representative

Supports the PPCR focal point in this effort

➤ In-country PPCR stakeholders

Participate in annual scoring workshop to track PPCR progress at the national level; may include government, civil society, indigenous peoples, private sector, academia, and others

➤ In-country project manager

Supports data collection for annual scoring exercise; participates in workshop

➤ MDB HQ focal point

Provides annually implementation status report or equivalent for each project under their implementation to the CIF Administrative Unit by March 15 of each year; supports their project implementation teams to carry out their PPCR M&R responsibilities, including scoring workshop participation

➤ CIF Administrative Unit

Collects and aggregates national and project reporting from all PPCR countries and MDBs to produce the annual PPCR program-level operations and results report for the PPCR Sub-Committee by November of each year

* Exact titles and responsibilities vary as determined by country

M&R CONSIDERATIONS THROUGHOUT PPCR PROGRAMING CYCLE

1 SPCR DESIGN

Country establishes a results framework for the SPCR, incorporating indicators and guidance from the PPCR results framework.

2 PROJECT PREPARATION

MDBs develop detailed results framework for each project, incorporating relevant PPCR core indicators, as well as protocols for collecting the requisite data.

3 IMPLEMENTATION

Once the first project begins implementation, annual country reporting begins. Project teams collect project-level results data and country focal point organizes annual scoring exercise.

4 CONCLUSION

As projects close, MDBs assess them against project-level targets. Country reporting continues until the final project reaches its completion date. Lessons learned implementing PPCR investments feed future projects and programs.

PPCR M&R system depends on each MDB's prescribed policies, practices, and indicators, this toolkit does not provide specific guidance on MDB reporting.

M&R FROM DESIGN TO FINISH

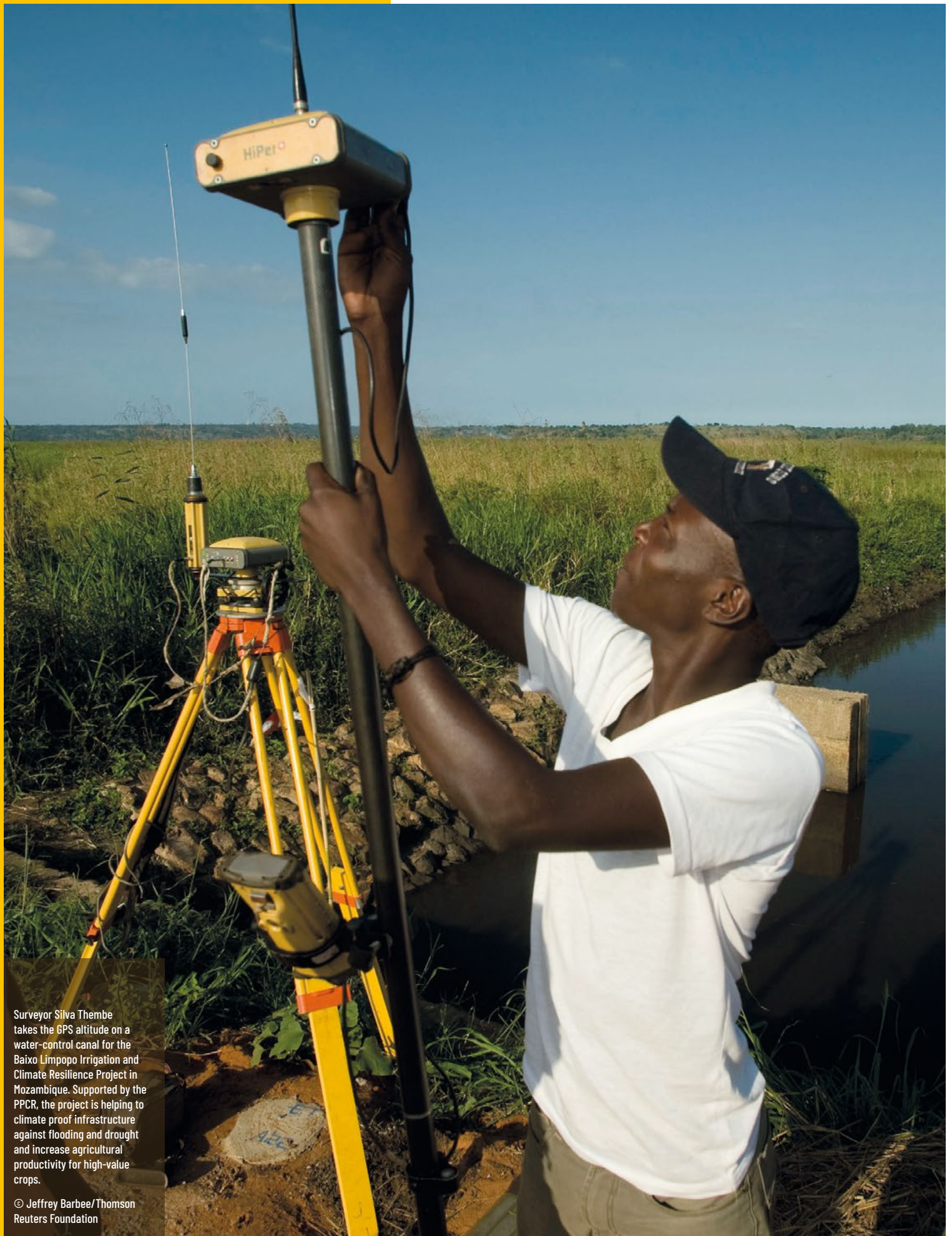
The PPCR M&R system facilitates a continuous, iterative cycle that spans the entire lifetime of a SPCR. It necessitates that PPCR national and project teams, MDBs, and other stakeholders anticipate their data, monitoring, and reporting needs from the SPCR design phase all the way through to completion of the final project implemented under the SPCR.

The system is designed to operate within existing national monitoring and evaluation systems and avoid parallel structures or processes to track PPCR progress and performance. For countries with low national monitoring capacities, the lead MDB—which the country designates in its SPCR to liaise on

“The PPCR monitoring and reporting process has been very beneficial for our country. It has helped to reverse the silos between some national institutions and to improve collaboration between the public administration and other development stakeholders.”

Chaibou Dan Bakoye, PPCR Niger M&E Expert

administrative matters at the national level—can provide additional support to enhance in-country capacity to monitor and report on PPCR results. This flexibility ensures the PPCR M&R system remains country-led and aligned to national processes even as they evolve and strengthen with PPCR and MDB involvement. ■



Surveyor Silva Thembe takes the GPS altitude on a water-control canal for the Baixo Limpopo Irrigation and Climate Resilience Project in Mozambique. Supported by the PPCR, the project is helping to climate proof infrastructure against flooding and drought and increase agricultural productivity for high-value crops.

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2. PROCESS

PPCR COUNTRY REPORTING

The PPCR country focal point is responsible for leading the annual country data collection and reporting process, beginning once the first project of the SPCR starts implementation and continuing until the final project concludes. He/She submits the annual country results report to the CIF Administrative Unit by no later than March 15 of each year. The reporting period is twelve months, from January 1 to December 31 of the previous year, and indicates progress on the five core indicators of the PPCR results framework.

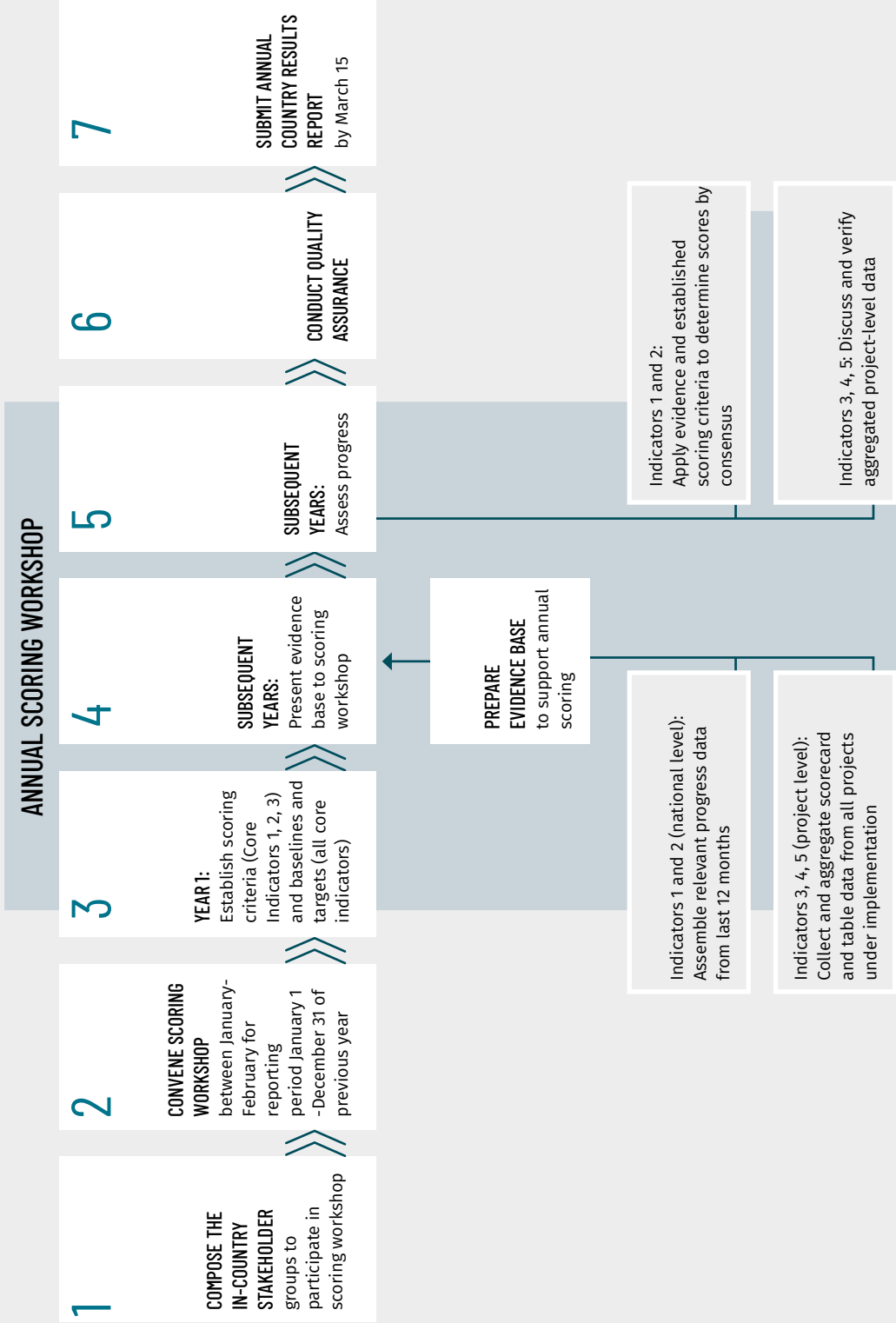
CORE INDICATORS

Every PPCR country is expected to report on these five core indicators over the lifetime of their SPCR, with the option to forgo Indicator 3 if a country deems the requisite information is sufficiently captured in Indicator 4. As the table illustrates, these five core indicators measure progress at either the national or project/program level, and there are different PPCR-provided instruments (scorecards or tables) to collect data based on indicator type (qualitative or quantitative). Section 3 of this toolkit describes in depth these core indicators, including samples of their corresponding data collection instrument.

PPCR CORE INDICATORS

	CORE INDICATOR	LEVEL OF DATA COLLECTION	DATA COLLECTION INSTRUMENT
1	Degree of integration of climate change in national, including sector, planning	National level	Scorecard 1
2	Evidence of strengthened government capacity and coordination mechanism to mainstream climate resilience	National level	Scorecard 2
3	Quality and extent to which climate responsive instruments/investment models are developed and tested (optional)	Project level, aggregated at national level	Scorecard 3
4	Extent to which vulnerable households, communities, businesses, and public-sector services use improved PPCR-supported tools, instruments, strategies, and activities to respond to climate variability or climate change	Project level, aggregated at national level	Table 4
5	Number of people supported by the PPCR to cope with the effects of climate change	Project level, aggregated at national level	Table 5

7 STEPS OF ANNUAL PPCR COUNTRY REPORTING



STEP BY STEP

The PPCR country reporting process can be broken down into seven distinct steps. Every PPCR country manages these steps in its own manner, calling on the CIF Administrative Unit and MDBs for support as needed to build capacity and ensure inclusivity.

The defining feature of the country reporting process is the annual PPCR scoring workshop, which brings together a wide spectrum of stakeholders once per year to assess SPCR progress against the five core indicators. In addition to validating results reporting data, the workshop adds value through a number of additional benefits, including:

- Providing a practical and viable platform to strengthen multi-sectoral cooperation and collaboration
- Building awareness and creating synergies among government and other actors on climate change
- Building capacity in climate resilience and in monitoring and evaluation, more broadly
- Promoting learning, information sharing, government decision making, and knowledge generation
- Providing a specific mechanism for accountability

Step 1: Compose in-country stakeholder group

- Every year, the PPCR country focal point identifies at least two representatives from these PPCR stakeholder groups to participate in the annual scoring exercise:
 - National government (e.g., national climate change agency, priority sector ministries)

- Private sector
- Civil society (e.g., non-governmental organizations, traditional authorities/ indigenous groups, academic and research institutions)

- Representatives of each stakeholder group should be knowledgeable about climate resilience programs in the nation and include both women and men. Countries are encouraged to invite stakeholders from as many varieties of civil society groups as possible. In some cases, representatives from the relevant MDBs may also attend.

Step 2: Convene a scoring workshop

- The PPCR country focal point then invites the stakeholders defined in Step 1 to a scoring workshop to assess SPCR progress on the five core indicators. It is held between January and February to ensure consistency with the PPCR annual reporting cycle.
- The reporting period to be discussed during the scoring workshop is from January 1 to December 31 of the previous year. For example, if a country holds a scoring workshop in May 2018, the participants discuss all PPCR and national activities that took place from January 1, 2017 through December 31, 2017.

Step 3: First-year workshop: Establish scoring foundation

- Establish scoring criteria for Indicators 1, 2, and 3
 - Before starting the scoring process, the PPCR country focal point invites participants to establish scoring criteria (from 0 to 10) for each sub-question on the three scorecards used to assess Indicators 1, 2, and 3. These indicators are qualitative in nature, so defining clear scoring criteria makes the

subjective assessment more objective, reliable, and consistent.

- This step is only undertaken once for each indicator, typically at the beginning of the first year’s scoring workshop. The scoring criteria remain constant throughout the life of the SPCR, so they must be developed carefully with a longitudinal perspective in mind (i.e., a consistent set of criteria used to measure the same sub-questions from one year to the next).
 - The PPCR M&R system is designed to allow flexibility in scoring criteria from country to country. Scoring criteria often reflect the development process that a country expects to undertake to reach its target outcome(s). In this sense, criteria 0 to 10 might reflect the 10 major milestones that the country expects to meet toward the end-line outcome. Scoring criteria take into consideration the unique institutional and policy ecosystem of each country. This means that a score of 7 for one country will not carry the same meaning as a score of 7 for another country. See Annexes 2 to 4 for examples of scoring criteria for Indicators 1, 2, and 3.
- Establish baselines and targets for five core indicators
- Once scoring criteria are set, the PPCR country focal point leads the group in establishing baselines and expected results (or targets) for the five core indicators, considering the following:
 1. Baseline data for the scoring criteria only need to be identified for Indicators 1 and 2, reflecting the national institutional and policy conditions on climate change at the time of the SPCR endorsement date. This date is typically two to three years prior to the first year of the scoring workshop,

so participants set these baselines retrospectively using historical evidence provided by the country focal point. All additional developments in these areas should be calibrated to the country’s scoring criteria (0-10) per indicator.

2. The baselines for Indicators 3, 4, and 5 are set to zero (0) without the need for a baseline level of evidence. This is because these indicators measure new activity as a result of PPCR-funded interventions.
3. Expected results for Indicators 1, 2, and 3 are implicitly set at 10 (complete), which corresponds to the (10) segment of the scoring criteria.
4. Expected results are tabulated for Indicators 4 and 5 by aggregating the project-level expected results corresponding to these indicators for each PPCR project under implementation in the country. As new PPCR projects begin implementation, expected results for Indicators 4 and 5 must be recalculated. They will increase as this occurs.
5. A country’s SPCR is designed to work toward continuous improvement. Therefore, the expected results date is the completion date of the SPCR, (i.e., the date when all PPCR projects/programs are completed). The end date may change if future projects/programs are approved with additional expected results.

Step 4: Subsequent-years workshops: Prepare and present the evidence base

- Before scoring exercises begin, the PPCR country focal point presents workshop participants with a body of evidence that they can use to assess progress and inform their scoring decisions.

This evidence base consists of information and data detailing SPCR performance during the reporting period. The PPCR country focal point gathers this information and data prior to the workshop using the appropriate methods for each core indicator:

- For Indicators 1 and 2, which relate to national-level institutional and policy conditions on climate change, the PPCR country focal point assembles relevant information and achievements from the past 12 months, such as policy briefs, government status reports, planning documents, or other related evidence.
 - For Indicators 3, 4, and 5, which relate to project-level activities, the PPCR country focal point engages project managers to complete the corresponding scorecards and tables for every PPCR project under implementation. He/She then collects and aggregates these scores and quantitative data into national-level Scorecard 3 and Tables 4 and 5.
- Once completed, the PPCR country focal point stores all evidence base materials for future reference. See Section 3 of this toolkit for detailed descriptions of the types of evidence that best support reporting on each core indicator.

Step 5: Subsequent-years workshops: Assess progress

- Determine scores for Indicators 1 and 2 by consensus
- To promote scoring uniformity, the PPCR country focal point presents the scoring criteria for each scorecard's sub-questions to the scoring workshop participants. Based on the scoring criteria, the presented

evidence base, and personal knowledge, each participant individually scores the sub-questions in Scorecards 1 and 2 (corresponding to Indicators 1 and 2, respectively).

- The scoring group then comes together to present and discuss the individual scores assigned. Through this deliberative process, the scoring group negotiates a singular score for each sub-question on each scorecard, including an evidence-based justification with narrative description. The end product is one scorecard per indicator that represents, by consensus, the responses of all those collaborating in the process.
- The focal point further polishes the scorecards for submission to the CIF Administrative Unit by adding supporting narrative descriptions of each sub-questions' score, based on workshop discussion and minutes. See Annexes 5 and 6 for examples of completed Scorecards 1 and 2.

TAKE NOTE:

Each time a PPCR project begins implementation, expected results for Core Indicators 4 and 5 must be recalculated.

“The information collected during scoring workshops has assisted us in identifying gaps in the climate change portfolio and in making decisions about how these will be addressed.”

Claire Bernard, PPCR Country Focal Point Jamaica

- Verify aggregated project-level data for Indicators 3, 4, and 5
 - The PPCR country focal point presents the aggregated project-level data as part of the evidence base needed to inform the overall scoring. Participants discuss and provide feedback on the aggregated data to finalize Scorecard 3 and Tables 4 and 5.

Step 6: Quality assurance

- The PPCR country focal point is encouraged, in collaboration with the lead MDB, to invite a wider group of stakeholders to review the country results report, including the scores on the PPCR scorecards, before sharing the results with the CIF Administrative Unit.
- Based on national context, each country determines how to conduct this review. Generally, it tends to be less technical, more high level to raise awareness of PPCR in-country activities. Some countries may choose to do this review as part of an annual, multi-stakeholder, national-level steering committee meeting on SPCR implementation.
- Given that the scoring process is itself a multi-stakeholder platform with a built-in quality assurance mechanism, this second level of quality assurance is not required.

Step 7: Submit results report to the CIF Administrative Unit³

- The PPCR country focal point submits the annual country results report to the CIF Administrative Unit by no later than March 15 of each year. This includes all national-level scorecards and tables for the five core indicators and a summary of the annual scoring workshop, describing participation, scoring criteria and processes, and quality assurance measures (see Annex 8).
- The CIF Administrative Unit collects and aggregates country reporting from all PPCR countries, as well as MDB reporting, to produce a synthesis PPCR annual operations and results report that it submits to the PPCR Sub-Committee for approval during its fall meeting every year.

The rigor of the country reporting process depends largely on the strength, coherence, and robustness of each country’s scoring criteria, followed by the ability of the annual scoring workshop participants to clearly identify evidence that illustrates achievement across the five core indicators. The numerical scores reported are only analytically meaningful insofar as they are supported by direct evidence using both quantitative and qualitative information. ■

3 The CIF Administrative Unit is developing an online reporting system, the CIF Collaboration Hub (CCH). This toolkit will be updated with new guidance once the CCH is operational.

PPCR M&R IN ACTION:

ANNUAL PPCR SCORING WORKSHOP IN SAINT LUCIA



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Following the basic steps of the PPCR country reporting process, Saint Lucia conducted national-level M&R for the 2015 reporting year in the following manner:

Compose in-country stakeholder groups: The National Climate Change Coordinating Committee (NCCC) undertakes Saint Lucia's annual PPCR scoring workshop. It comprises all government ministries, the National Insurance Council of Saint Lucia, Saint Lucia Bankers Association, National Conservation Authority, Saint Lucia Electricity Services Limited, Saint Lucia Solid Waste Management Authority, Saint Lucia Air and Sea Ports Authority, and the Water & Sewerage Company. Other agencies, groups, or individuals are brought in as necessary.

Prepare evidence base: To prepare for the scoring workshop to assess progress made during the 2015 reporting year, the PPCR country focal point of Saint Lucia held 11 meetings over the course of a month in early 2016 with 33 participants from various agencies to undertake scoring in their respective areas. Using scoring criteria established in the first PPCR scoring workshop in 2014, they discussed achievements in 2015 and whether changes in the previous year's scores for Indicators 1, 2, and 3 were warranted. She then collated the information generated by these meetings and drafted an evaluation report.

Convene workshop and present evidence base: The PPCR country focal point called the annual PPCR scoring workshop in March 2016

“There is an element of learning during the validation process... This sharing facilitates ongoing synergy building and collaboration among the various climate change adaptation and resilience-building players.”

Susanna Scott, PPCR/DVRP Climate Change Coordinator, Saint Lucia

and presented the evaluation report to attendees from the NCCC for discussion, verification, and finalization.

Assess progress: After a brief refresher on the PPCR M&R process, plenary discussions were held to verify and finalize scores for the various indicators. Based on comments received during the scoring exercise, the PPCR country focal point prepared the final country results report and submitted it to the CIF Administrative Unit. The final report was then distributed to the NCCC and other stakeholder groups.



In 2016, the CIF and MDB partners conducted PPCR M&R regional trainings in Jamaica for Caribbean countries and Tonga for Pacific countries.
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3.

TOOLS

REPORTING AND TECHNICAL GUIDANCE

This section contains detailed information about collecting and reporting data on the five core indicators of PPCR, including the rationale and methodology supporting each. It provides technical definitions and specification on data collection sources and reporting tools, including samples of blank scorecards and tables that relate to each core indicator. The Annex contains additional examples of country-completed scoring criteria and scorecards.

PPCR CORE INDICATORS

- 1 Degree of integration of climate change in national, including sector, planning
- 2 Evidence of strengthened government capacity and coordination mechanism to mainstream climate resilience
- 3 Quality and extent to which climate responsive instruments/investment models are developed and tested (optional)
- 4 Extent to which vulnerable households, communities, businesses, and public-sector services use improved PPCR-supported tools, instruments, strategies, and activities to respond to climate variability or climate change
- 5 Number of people supported by PPCR to cope with the effects of climate change

1

PPCR CORE INDICATOR 1

DEGREE OF INTEGRATION OF CLIMATE CHANGE IN NATIONAL, INCLUDING SECTOR, PLANNING

RATIONALE

This indicator is designed to capture the extent to which considerations of climate resilience (risks, opportunities) are integrated into planning processes at national and sectoral levels. It is relevant to interventions intended to build country capacity to address climate resilience through the development of climate plans, strategies, and mainstreaming mechanisms and systems.

The achievement of this indicator cannot be attributed to PPCR alone. This indicator provides reference data about the strength of a country's climate-responsive development planning.

METHODOLOGY

Measurement of Core Indicator 1 is at the national level by way of PPCR Scorecard 1. This indicator is a qualitative assessment of the various strategies, policies, plans, and documents that demonstrate observed changes in the integration of climate change priorities into national, including sector, planning.

Defining clear scoring criteria for each sub-question in the scorecard makes the subjective assessment of Core Indicator 1 more objective, reliable, and consistent.

The first annual scoring workshop establishes scoring criteria (0 to 10) that track with the transformation the country seeks to achieve with PPCR support. This includes setting baseline and target scores that reflect the evidenced national institutional and policy conditions on climate change at the time of the SPCR endorsement date (baseline 0) and expected conditions at the SPCR completion date (target 10).

Subsequent scoring workshops assess progress using these scoring criteria, which remain constant throughout the life of the SPCR.





METHODOLOGY (continued)

The following scorecard sub-questions are utilized for the assessment. These sub-questions are regarded as complementary, but not strictly sequential. Each should be assessed annually using the specific scoring criteria established for it during Year 1:

- a) List of **sectors identified as priorities** in the SPCR and other priority sectors for integrating climate change into planning⁴
- b) Is there an approved **climate change plan** for the nation/sector?
- c) Have **climate resilience strategies** been embedded in the central government's/sector's principal planning documents?
- d) Has **responsibility been assigned** to institutions or persons to integrate climate resilience planning?
- e) Have **specific measures** to address climate resilience been identified and prioritized (e.g., laws, regulations, and incentives in these policies, plans, investments, and/or programs)?
- f) Do all planning processes **routinely screen** for climate risks?

In addition, the following open-ended, narrative sub-questions also require response. They do not require specific scoring criteria:

Gender mainstreaming: To what extent and in what ways have gender and socioeconomic vulnerability concerns been mainstreamed with the climate resilience planning processes at national and sector levels (e.g., through budgeting approaches, gender needs assessments and consultations, or similar, including coordination with the Ministry of Women's Affairs or other women's organizations)?

Lessons learned: What have been the key successes when integrating climate change into national, including sector, planning? What have been the key challenges and what opportunities for improvement do you see?

Sharing experiences: Please provide some insights into your country's experiences integrating climate change into national, including sector, planning.



⁴ This indicator first calls for national-level reporting on the sub-questions. Subsequently, each priority sector listed is also assessed according to the same sub-questions.



TECHNICAL DEFINITIONS

Degree refers to the depth of the process of integration of climate resilience within national, ministry, and sector planning.

Integration refers to embedding climate resilience priorities into new and existing development planning.

National, including sector, planning refers to the processes for developing strategies, policies, plans, laws, regulations, and institutional arrangements to promote and integrate climate resilience.

Routine screening for climate risks in planning refers to the process of identifying and prioritizing hazards, current vulnerabilities, and risks from projected climate changes, as well as identifying options to increase resilience. This definition equally applies to more strategic planning (e.g., elaboration of a national or sector adaptation program) and physical or infrastructure planning (e.g., construction of bridges or roads).

Approval of a climate change plan is determined per country but may refer to ratification at the parliamentary or executive level.

DATA SOURCES AND COLLECTION

Background data is sourced from official policy planning documents to establish a baseline and subsequent monitoring of the extent to which climate change is integrated into national, including sector, planning. In addition, baseline information may be drawn from national repositories, including meeting documents, workshop and budget reports, policy papers, and other relevant reports available from the civil society and PPCR stakeholder community.

This information helps scoring workshop participants to calibrate and justify the appropriate responses to the qualitative Scorecard 1. The PPCR country focal point stores all relevant information that informs the self-assessment (i.e., the evidence base) for future reference.

REPORTING TOOLS

An example of scoring criteria for Core Indicator 1 is available in Annex 2. This example can be customized based on individual country contexts and development objectives.

The blank template for Scorecard 1 follows herein. This reporting tool is available to all countries and is maintained from year to year to track the evolution of scores as the SPCR progresses.

An example of Scorecard 1 completed by a PPCR pilot country is available in Annex 5.



PPCR SCORECARD 1

1

PPCR SCORECARD 1

PPCR CORE INDICATOR 1: DEGREE OF INTEGRATION OF CLIMATE CHANGE INTO NATIONAL PLANNING

DATA COLLECTION METHOD: DATA SCORED AT THE COUNTRY LEVEL

SAMPLE SPCR

REPORTING PERIOD:

From:

Complete below the sectors identified as a priority in the SPCR. Insert other priority sectors or ministries below(optional)

Is there an approved climate change plan for the nation/sector?

Have climate resilience strategies been embedded in the central government's/sector's principal planning documents?

A	B		C	
	SCORE-YN-1 REPORTING PERIOD (LAST YEAR)	SCORE-YN REPORTING PERIOD (NEW)	SCORE-YN-1 REPORTING PERIOD (LAST YEAR)	SCORE-YN REPORTING PERIOD (NEW)
NATIONAL PLANNING				
How do you justify the increase (or decrease) in scores between scores reported last year (Yn-1) and scores reported this year (Yn)? Please explain.				
PRIORITY SECTOR #1				
How do you justify the increase (or decrease) in scores between scores reported last year (Yn-1) and scores reported this year (Yn)? Please explain.				
PRIORITY SECTOR #2				
How do you justify the increase (or decrease) in scores between scores reported last year (Yn-1) and scores reported this year (Yn)? Please explain.				
PRIORITY SECTOR #3				
How do you justify the increase (or decrease) in scores between scores reported last year (Yn-1) and scores reported this year (Yn)? Please explain.				
PRIORITY SECTOR #...				
How do you justify the increase (or decrease) in scores between scores reported last year (Yn-1) and scores reported this year (Yn)? Please explain.				

INSTRUCTIONS:

1. Please establish scoring criteria for each aspect of this scorecard and submit them with your report. This should be done once, preferably at baseline stage, and used during subsequent reporting years.
2. If you have previously established your scoring criteria, use them and submit them with your report.
3. Score each cell with a score between 0 and 10 (refer to your scoring criteria defined for this scorecard).
4. Provide explanation of change in scores between Yn-1 and Yn in appropriate cells and avoid abbreviations.

GENDER MAINSTREAMING

To what extent and in what ways have gender and socioeconomic vulnerability concerns been mainstreamed with the climate resilience planning processes at national and sector levels? (e.g., through gender budgeting approaches, gender needs assessments and consultations, or similar, including coordination with the Ministry of Women's Affairs, women's organizations)

DATE OF REPORT:

MM/DD/YY

To:

Has responsibility been assigned to institutions or persons to integrate climate resilience planning?

Have specific measures to address climate resilience been identified and prioritized (e.g., investments and programs)?

Do all planning processes routinely screen for climate risks?

D

E

F

SCORE-YN-1 REPORTING PERIOD (LAST YEAR)

SCORE-YN REPORTING PERIOD (NEW)

SCORE-YN-1 REPORTING PERIOD (LAST YEAR)

SCORE-YN REPORTING PERIOD (NEW)

SCORE-YN-1 REPORTING PERIOD (LAST YEAR)

SCORE-YN REPORTING PERIOD (NEW)

LESSONS LEARNED

What have been the key successes when integrating climate change in national, including sector, planning during the last calendar year?

What have been the key challenges and what opportunities for improvement do you see?

SHARING EXPERIENCES

Please let us have some insights into the particular experience of your country with integrating climate change in national, including sector, planning.

2 PPCR CORE INDICATOR 2

Evidence of strengthened government capacity and coordination mechanism to mainstream climate resilience

RATIONALE

This outcome indicator is important to demonstrate that PPCR's support to pilot country governments results in improved institutions and institutional frameworks for mainstreaming climate resilience.

This indicator aims to assess whether PPCR is strengthening government capacity and a coordination mechanism for mainstreaming climate resilience.

METHODOLOGY

Measurement for Core Indicator 2 is at the national level and by way of the PPCR Scorecard 2. The indicator calls for the measurement of two distinct components:

1. Strengthened **government capacity** to mainstream climate resilience
2. Strengthened **coordination mechanism** to mainstream climate resilience

Core Indicator 2 is qualitative in nature. Defining clear scoring criteria for each sub-question in the scorecard makes the subjective assessment more objective, reliable, and consistent.

The first annual scoring workshop establishes scoring criteria (0 to 10) that track with the transformation the country seeks to achieve with PPCR support. This includes setting baseline and target scores that reflect the evidenced national institutional and policy conditions on climate change at the time of the SPCR endorsement date (baseline 0) and expected conditions at the SPCR completion date (target 10).

Subsequent scoring workshops assess progress using these scoring criteria, which remain constant throughout the life of the SPCR.

Core Indicator 2 utilizes the following scorecard sub-questions to measure strengthened government capacity:

- a) **List of priority sectors** identified in the SPCR and other priority sectors for mainstreaming climate resilience
- b) Are **information, studies, and assessments** addressing climate change, variability, and resilience available?
- c) Is the necessary **climate change expertise** available?
- d) Do **national/sector incentives and legislative policies** expressly address climate change and resilience?
- e) Does the government/sector **participate in the coordination mechanism**?





METHODOLOGY (continued)

Core Indicator 2 utilizes the following sub-questions to measure the strengthened coordination mechanism:

- a) Is the **coordination mechanism functional**, e.g., established, effective, and efficient?
- b) Does it **coordinate climate resilience interventions** other than those funded by PPCR?
- c) Is there a broad set of **non-governmental stakeholders** involved?
- d) Is the relevant **climate resilience information** in the public domain?
- e) Are **females and males** participating equally?

Each sub-question is assessed annually using the specific scoring criteria established for that sub-question during Year 1.

Reporting on Core Indicator 2 also includes the following open-ended, narrative sub-questions, which do not require specific scoring criteria:

Gender considerations and coordination mechanism: Please elaborate on whether and how gender good practices at the institutional level have been mainstreamed into the coordination mechanism unit. (i.e., comment on the number of technical staff in the unit by gender and whether any gender training/capacity building has been offered with PPCR support to coordination unit staff and/or other government staff).

Lessons learned: What have been the key successes when strengthening the government capacity and coordination mechanism? What have been the key challenges and what opportunities for improvement do you see?

Sharing experiences: What are some insights into your country's experiences in strengthening government capacity and the coordination mechanism to mainstream climate resilience?





TECHNICAL DEFINITIONS

Mainstreaming climate resilience is the process that ensures climate risks and climate resilience are adequately and duly considered in national decision-making processes and that these considerations are reflected in budgets, plans, policies, instruments, regulations, and the like.

Government capacity to mainstream climate resilience refers to levels of institutional knowledge pertaining to climate risks and climate resilience in the priority sectors identified in the SPCR, and to political will, as evidenced by, for example, national policies, incentives, and legislative undertakings to mainstream climate resilience.

Coordination mechanism refers to the relevant committee or institutional arrangement laid out in the SPCR to develop and oversee the achievement of PPCR program goals in the country.

Institutional knowledge refers to the knowledge base and expertise on climate risk and resilience in relevant ministries and national agencies. This includes both physical repositories of knowledge in the form of reports and databases, as well as technical know-how among staff members.

DATA SOURCES AND COLLECTION

To establish a baseline and subsequent monitoring of strengthened government capacity, background data is sourced from national repositories, including meeting documents, workshop and budget reports, policy papers, and other relevant reports available from the civil society and PPCR stakeholder community.

This information helps scoring workshop participants to calibrate and justify the appropriate responses to the qualitative Scorecard 2. The PPCR country focal point stores all relevant documentation that informs the self-assessment (i.e., the evidence base) for future reference.

REPORTING TOOLS

An example of scoring criteria for Core Indicator 2, adapted from a pilot country, is available in Annex 3. This example can be customized by pilot countries based on country contexts and development objectives.

The blank template for PPCR Scorecard 2 follows. This reporting tool is available to all countries and is maintained from year to year to track the evolution of scores as the SPCR progresses.

An example of Scorecard 2 completed by a PPCR pilot country is available in Annex 6.



PPCR SCORECARD 2

2

PPCR SCORECARD 2

PPCR CORE INDICATOR 2: EVIDENCE OF STRENGTHENED GOVERNMENT CAPACITY AND COORDINATION MECHANISM TO MAINSTREAM CLIMATE RESILIENCE

DATA COLLECTION METHOD: DATA SCORED AT THE COUNTRY LEVEL

SAMPLE SPCR

REPORTING PERIOD:

From:

GOVERNMENT CAPACITY

Complete below the sectors identified as a priority in the SPCR. Insert other priority sectors or ministries below (optional).

Are information, studies, and assessments addressing climate change, variability, and resilience available?

A

B

SCORE-YN-1 REPORTING PERIOD (LAST YEAR)

SCORE-YN REPORTING PERIOD (NEW)

SAMPLE COUNTRY GOVERNMENT

How do you justify the increase (or decrease) in scores between scores reported last year (Yn-1) and scores reported this year (Yn)? Please explain.

PRIORITY SECTOR #1

How do you justify the increase (or decrease) in scores between scores reported last year (Yn-1) and scores reported this year (Yn)? Please explain.

PRIORITY SECTOR #2

How do you justify increase (or decrease) in scores between scores reported last year (Yn-1) and scores reported this year (Yn)? Briefly describe with evidence.

PRIORITY SECTOR #3

How do you justify the increase (or decrease) in scores between scores reported last year (Yn-1) and scores reported this year (Yn)? Please explain.

PRIORITY SECTOR #...

How do you justify the increase (or decrease) in scores between scores reported last year (Yn-1) and scores reported this year (Yn)? Please explain.

Is the coordination mechanism functional (e.g., established, effective, and efficient)?

Does it coordinate climate resilience interventions other than those funded by PPCR?

COORDINATION MECHANISM

Name the coordination mechanism below

SCORE REPORTED LAST YEAR (YN-1)

SCORE IN YN (NEW)

SCORE REPORTED LAST YEAR (YN-1)

SCORE IN YN (NEW)

How do you justify the increase (or decrease) in scores between scores reported last year (Yn-1) and scores reported this year (Yn)? Please explain.

INSTRUCTIONS:

1. Please establish scoring criteria for each aspect of this scorecard and submit them with your report. This should be done once, preferably at baseline stage, and used during subsequent reporting years.
2. If you have previously established your scoring criteria, use them and submit them with your report.
3. Score each cell with a score between 0 and 10 (refer to your scoring criteria defined for this scorecard).
4. Provide explanation of change in scores between Yn-1 and Yn in appropriate cells and avoid abbreviations.

GENDER CONSIDERATIONS AND COORDINATION MECHANISM

Please elaborate on whether and how gender good practice at the institutional level has been mainstreamed into the coordination mechanism unit. This should include commentary on the number of technical staff (women, men) in the unit and whether any gender training/capacity-building has been offered with PPCR support to staff in the coordination unit (women, men) or other government staff working on climate change.

DATE OF REPORT:

MM/DD/YY

To:

Is the necessary climate change expertise available?

Do national/sector incentives and legislative policies expressly address climate change and resilience?

Does the government/sector participate in the coordination mechanism?

C

D

E

SCORE-YN-1 REPORTING PERIOD (LAST YEAR)

SCORE-YN REPORTING PERIOD (NEW)

SCORE-YN-1 REPORTING PERIOD (LAST YEAR)

SCORE-YN REPORTING PERIOD (NEW)

SCORE-YN-1 REPORTING PERIOD (LAST YEAR)

SCORE-YN REPORTING PERIOD (NEW)

Is there a broad set of non-governmental stakeholders involved?

Is the relevant climate resilience information in the public domain?

Are females and males participating equally?

SCORE REPORTED LAST YEAR (YN-1)

SCORE IN YN (NEW)

SCORE REPORTED LAST YEAR (YN-1)

SCORE IN YN (NEW)

SCORE REPORTED LAST YEAR (YN-1)

SCORE IN YN (NEW)

LESSONS LEARNED

What have been the key successes when strengthening the government capacity and the coordination mechanism?

What have been the key challenges and what opportunities for improvement do you see?

SHARING EXPERIENCES

Please let us have some insights into the particular experience of your country with strengthening the government capacity and the coordination mechanism to mainstream climate resilience.

3

PPCR CORE INDICATOR 3

Quality and extent to which climate responsive instruments/investment models are developed and tested (optional)

RATIONALE

This optional indicator seeks to estimate the extent to which PPCR identifies and implements climate-responsive investment approaches. The estimation is based on documenting the instruments and models that have been developed and tested with PPCR support and assessing their quality.

This indicator **complements Core Indicator 4**, “Extent to which vulnerable households, communities, businesses, and public sector services use improved PPCR-supported tools, instruments, strategies, and activities to respond to climate variability or climate change.” Core Indicator 3 focuses on which instruments and investment models have been developed and tested and rates them based on their quality, climate responsiveness, development, and testing. Core Indicator 4 focuses on the extent to which they are being used by different vulnerable stakeholders.

The assumption underlying both indicators is that if vulnerable stakeholders use high-quality climate responsive tools to a greater extent, this will strengthen their adaptive capacities.

Core Indicator 3 was deemed optional based on consensus at the April 2017 multi-stakeholder validation workshop as part of the PPCR M&R Stocktaking Review. Some countries reported that it is a useful component to measure resilience, whereas the CIF Administrative Unit and other countries reported not being able to make systematic use of the data reported through this indicator.

Each PPCR country must determine whether they want to include Core Indicator 3 within their national PPCR M&R processes.

METHODOLOGY

All projects/programs are invited, but not required, to monitor and report on Core Indicator 3 using PPCR Scorecard 3. This indicator is qualitative in nature, so defining clear scoring criteria for each sub-question in the scorecard makes the subjective assessment more objective, reliable, and consistent.

The first annual scoring workshop establishes scoring criteria, as well as baseline and target scores, that track with the transformation the country seeks to achieve with PPCR support. Core Indicator 3 measures new activity as a result of PPCR-funded interventions, so the baseline is set to 0 without the need for a baseline level of evidence and the target is set to 10 to correspond with scoring criteria 10.

In subsequent years, each project/program completes annually a scorecard using these scoring criteria, which remain constant throughout the life of the SPCR. The PPCR country focal point then compiles all project-level response data into one Scorecard 3 at the national/SPCR level, which the annual scoring workshop validates.



METHODOLOGY (continued)

3

For each project/program, the following initial scorecard sub-questions are included in the scorecard to facilitate reporting:

- a) List of **relevant project titles**
- b) Which **climate-responsive instruments/investment models have been developed and tested?** Note that this is the same list of tools, instruments, strategies, or activities being reported under Core Indicator 4.

For each instrument/investment model, Core Indicator 3 utilizes the following sub-questions for assessment:

- c) Has the **instrument/investment model been developed** and tested?
- d) Has the **instrument/investment model been implemented** to the scale proposed?
- e) Has the instrument/investment model appropriately **incorporated the needs of both female and male users** into its design and implementation?
- f) Has the instrument/investment model **incorporated the needs of vulnerable populations** into its design and implementation?

Questions c through f are answered by assigning the instruments/investment models scores from 0-10, where 0 = no, 5 =halfway and 10 = yes (completely), according to the scoring criteria established at baseline.

Reporting on Core Indicator 3 also includes the following open-ended, narrative question:

Lessons learned: What have been the key successes in developing and testing these instruments/investment models? What have been the key challenges, and what opportunities for improvement do you see?

Where possible, project/program teams are also encouraged to report whether instruments/investment models have been further developed and tested by other non-PPCR stakeholders.

TECHNICAL DEFINITIONS

A **climate-responsive instrument or investment model** is one that incorporates climate variability and climate change considerations, or one that can be applied to enhance the climate resilience of people, products, systems, or services. Examples include the following:

- **Technologies or infrastructure investments**, such as improvements to buildings, agricultural, coastal, hydro-meteorological, transport, water, drainage, ICT, and energy systems
- **Data, analytical work, technical studies, and knowledge assets**, such as climate scenarios, forecasts, vulnerability assessments, climate risk/impact analyses, maps, needs assessments, and guidelines/manuals)



3



TECHNICAL DEFINITIONS (continued)

- **Public awareness platforms**, such as information dissemination platforms, weather information services, media campaigns, knowledge-sharing events, stakeholder networks, websites, and e-learning platforms
- **Financial instruments**, such as micro/insurance, micro/finance, small grants, and loan facilities
- **Public/community services**, such as services providing water, sanitation, transport, flood protection, irrigation, early warning, social protection, education, and health

Climate-responsive instruments/investment models are considered **PPCR-supported** if they were developed and tested within the scope of activities carried out during the programming or implementation of a country's or region's SPCR, regardless of the funding source.

For this indicator, an instrument or model is defined as **developed** if it has been designed from scratch, adapted, or modified to meet the appropriate need.

DATA SOURCES AND COLLECTION

When scoring this indicator, all efforts are made to use data sourced from existing project/program or SPCR documentation and other relevant reports available from civil society and the PPCR stakeholder community. The reporting entity uses this information as evidence to gauge the appropriate strength of project responses to the qualitative scorecard.

The respective project/program coordinator and the PPCR country focal point store all relevant information that informs reporting (i.e., the evidence base) for future reference.

REPORTING TOOLS

An example of scoring criteria for Core Indicator 3, adapted from a pilot country, is available in Annex 4. This example can be customized by pilot countries based on country contexts and development objectives.

The blank template for PPCR Scorecard 3 follows. This reporting tool is available to all countries and is maintained from year to year to track the evolution of scores as the SPCR progresses.

An example of Scorecard 3 completed by a PPCR pilot country is in Annex 7.



PPCR SCORECARD 3

3

PPCR SCORECARD 3

PPCR CORE INDICATOR 3: QUALITY OF AND EXTENT TO WHICH CLIMATE RESPONSIVE INSTRUMENTS/ INVESTMENT MODELS ARE DEVELOPED AND TESTED

DATA COLLECTION METHOD: SCORED AT THE PROJECT-LEVEL AND COMPILED AT THE SPCR LEVEL

SPCR

COUNTRY AGGREGATE REPORT

REPORTING PERIOD:

From:

PROJECT TITLE	Climate responsive instrument/investment models identified:	Has the instrument/ investment model been developed and tested?	
A	#	B	C
PROJECT # 1	1		
		Briefly comment on each score	
	2		
		Briefly comment on each score	
PROJECT # 1	3		
		Briefly comment on each score	
	4		
		Briefly comment on each score	
PROJECT # ...	1		
		Briefly comment on each score	
	2		
		Briefly comment on each score	
PROJECT # ...	3		
		Briefly comment on each score	
	4		
		Briefly comment on each score	

INSTRUCTIONS:

1. List all climate responsive instruments/investment models identified in each of your project before starting (refer to projects documents).
2. Establish scoring criteria for each of the aspects of this scorecard and submit them with your report. This should be done once, preferably at baseline stage, and used during subsequent reporting years.
3. If you have previously established your scoring criteria, use them and submit them with your report.
4. Score each cell with a score between 0 and 10 (refer to your scoring criteria defined for this scorecard).
5. Add more lines under each project if needed.

DATE OF REPORT:

MM/DD/YY

To:

Has the instrument/ investment model been implemented to the scale proposed?

Has the instrument/investment model appropriately incorporated the needs of both females and males into its design and implementation?

Has the instrument/ investment model incorporated the needs of vulnerable populations into its design and implementation?

D

E

F

LESSONS LEARNED

What have been the key successes when developing and testing these instruments/investment models?

What have been the key challenges and what opportunities for improvement do you see?

4

PPCR CORE INDICATOR 4

Extent to which vulnerable households, communities, businesses, and public sector services use improved PPCR-supported tools, instruments, strategies, and activities to respond to climate variability or climate change

RATIONALE

This indicator measures the extent to which PPCR is strengthening the adaptive capacities of targeted stakeholders in a country or region, based on their uptake of the climate-responsive tools, instruments, strategies, and activities that PPCR supports.

This indicator **complements Core Indicator 3**, “Quality and extent to which climate responsive instruments/investment models are developed and tested.” Core Indicator 3 focuses on which instruments and investment models have been developed and tested and rates them based on their quality, climate responsiveness, development, and testing. Core Indicator 4 focuses on the extent to which these tools, instruments, strategies, and activities are being used by different vulnerable stakeholders.

The assumption underlying both indicators is that if vulnerable stakeholders use high-quality, climate-responsive tools to a greater extent, this will strengthen their adaptive capacities.

METHODOLOGY

Core Indicator 4 is reported both qualitatively and quantitatively. All projects/programs under implementation monitor and report on it annually using the reporting instrument PPCR Table 4. The PPCR country focal point then aggregates and synthesizes all project-level response data into one Table 4 at the SPCR level, which the annual scoring workshop validates.

In Year 1, the scoring workshop establishes baselines and targets for Core Indicator 4. It measures new activity as a result of PPCR-funded interventions, so the baseline is set to 0 and the target is calculated by aggregating the project-level expected results. As new PPCR projects begin implementation, expected results for Core Indicator 4 must be recalculated.

Measurement of Core Indicator 4 covers the following categories:

- a) Tools, instruments, strategies, and activities developed for **households**
- b) Tools, instruments, strategies, and activities developed for **communities**
- c) Tools, instruments, strategies, and activities developed for **public services**
- d) Tools, instruments, strategies, and activities developed for **businesses**





METHODOLOGY (continued)

4

For each of these categories, the following information is recorded in the table:

- Name of the tool, instrument, strategy, or activity (tool/etc.)
- Project title
- Number of communities, households, public services, or businesses reached (cumulative since project started)
- Expected number of communities, households, public services, or businesses to be reached (i.e., target)
- Description of how the tools/etc. have helped each entity increase their adaptive or resilience capacity
- One example from the project for each of the tools/etc. identified (i.e., narrative description)

Note that the **climate responsive tools, instruments, strategies, and activities** identified in Table 4 are the same as reported under PPCR Core Indicator 3 (for those countries reporting on it).

The **unit** that is counted in each case is 1 household, 1 business, 1 community, and 1 public sector service.

When a targeted beneficiary uses an improved PPCR-supported tool more than once in a reporting period, it is counted only once. When a beneficiary is the target of several PPCR-supported tools, he/she is counted once for each tool he/she uses during the report period.

TECHNICAL DEFINITIONS

The targeted stakeholders, or users, are climate **vulnerable** households, communities, businesses, and/or public sector services. Social **vulnerability** due to climate change is defined on a project/program basis, reflecting the context in which each project/program is operating. Each project/program identifies the targeted entities of a PPCR-supported tool/etc. (i.e., households, businesses, etc.) and explains in their baseline documentation and subsequent reporting what makes them vulnerable to the impacts of climate variability and climate change.

A targeted entity has **used** a tool, instrument, strategy, or activity when the entity has directly benefitted from that tool/etc. on one or more occasions during the 12-month reporting period.

Beneficiaries in the context of the CIF are entities that have been reached or supported by any activities financed or implemented through the CIF's programs, projects, or sub-projects. See Core Indicator 5 for more details on beneficiary definition.

Households, communities, businesses, and public sector services supported correspond to discrete entities, populations, or other units identified within each project or program design as having a clearly discernible relationship to the intervention in question and its intended outputs, outcomes, and/or impacts.





TECHNICAL DEFINITIONS (continued)

- **Household** is defined using the national census definition.
- **Community** is defined as the smallest administrative subset targeted by the SPCR.
- **Business** is defined as those targeted by the project/program, formal or informal, where the employees extend beyond a household. Otherwise, they are counted as households, (e.g., a subsistence farmer is counted as a household).
- **Public sector service** is defined as a government-owned or government co-funded service entity that provides services to the public. A public sector service entity is counted at the lowest organized unit, (e.g., a district agricultural extension office is counted as one).

A **climate-responsive tool, instrument, strategy, or activity** is one that incorporates climate variability and climate change considerations or can be applied to enhance the climate resilience of people, products, or services. They include the following examples:

- **Technologies or infrastructure investments**, such as improvements to buildings, agricultural, coastal, hydro-meteorological, transport, water, drainage, ICT, and energy systems
- **Data, analytical work, technical studies, and knowledge assets**, such as climate scenarios, forecasts, vulnerability assessments, climate risk/impact analyses, maps, needs assessments, guidelines/manuals
- **Public awareness platforms**, such as information dissemination platforms, media campaigns, weather information, knowledge sharing events, stakeholder networks, websites, educational curricula, market prices, and training
- **Financial instruments**, such as micro/insurance, micro/finance, small grants, loan facilities
- **Public/community services**, such as water and sanitation, transport, flood protection, irrigation, early warning, social protection, education, health

A tool, instrument, strategy, or activity is considered **PPCR-supported** if it is developed, tested, promoted, and/or used within the scope of activities carried out under the programming or implementation of a country's SPCR, regardless of the original funding source.

A tool/etc. is defined as **developed** if it has been designed from scratch, adapted, or modified to meet the appropriate need.

DATA SOURCES AND COLLECTION

All efforts are made to use data sourced from existing project/program or SPCR documentation, supplemented by other relevant reports and documents from civil society and the PPCR stakeholder community.

The respective project/program coordinator and the country focal point store all relevant information that informs reporting (i.e., the evidence base) for future reference.

REPORTING TOOLS

The blank template for PPCR Table 4 follows. It is available to all countries and is maintained from year to year to track the evolution of data as the SPCR progresses.



4

PPCR TABLE 4

PPCR CORE INDICATOR 4: EXTENT TO WHICH VULNERABLE HOUSEHOLDS, COMMUNITIES, BUSINESSES AND PUBLIC SECTOR SERVICES USE IMPROVED PPCR SUPPORTED TOOLS, INSTRUMENTS, STRATEGIES, ACTIVITIES TO RESPOND TO CLIMATE VARIABILITY AND CLIMATE CHANGE

DATA COLLECTION METHOD: DATA COLLECTED FOR EACH PROJECT AND COMPILED AT THE SPCR LEVEL

SAMPLE

COUNTRY AGGREGATE REPORT

REPORTING PERIOD:

From:

A. TOOLS/INSTRUMENTS DEVELOPED FOR HOUSEHOLDS

#	NAME OF THE TOOL/INVEST MODEL	PROJECT TITLE	NUMBER OF HOUSEHOLDS	
			Actual results (cumulative since project started)	Expected results
1				
2				
3				
...				

B. TOOLS/INSTRUMENTS DEVELOPED FOR COMMUNITIES

#	NAME OF THE TOOL/INVEST MODEL	PROJECT TITLE	NUMBER OF COMMUNITIES	
			Actual results (cumulative since project started)	Expected results
1				
2				
3				
...				

C. TOOLS/INSTRUMENTS DEVELOPED FOR PUBLIC SERVICES

#	NAME OF THE TOOL/INVEST MODEL	PROJECT TITLE	NUMBER OF PUBLIC SERVICES	
			Actual results (cumulative since project started)	Expected results
1				
2				
3				
...				

D. TOOLS/INSTRUMENTS DEVELOPED FOR BUSINESSES

#	NAME OF THE TOOL/INVEST MODEL	PROJECT TITLE	NUMBER OF BUSINESSES	
			Actual results (cumulative since project started)	Expected results
1				
2				
3				
...				

INSTRUCTIONS:

1. Clearly identify the target population of your instruments/investment models/tools: Is it households, communities, businesses (private sector), public service entities, or a combination thereof (refer to the project documents)?

2. **Actual results:** Cumulatively report results achieved since the project started implementation.

Expected results: Results expected to be achieved at completion of the project as stated in the project document

DATE OF REPORT:

MM/DD/YY

To:

Please describe how the tools, instruments, strategies, and activities developed by the project have helped households increase their adaptive or resilience capacity. Provide one example for each tools/instruments identified.

Please describe how the tools, instruments, strategies, and activities developed by the project have helped communities increase their adaptive or resilience capacity. Provide one example for each tools/instruments identified.

Please describe how the tools, instruments, strategies, and activities developed by the project have helped public services increase their adaptive or resilience capacity. Provide one example for each tools/instruments identified.

Please describe how the tools, instruments, strategies, and activities developed by the project have helped businesses increase their adaptive or resilience capacity. Provide one example for each tools/instruments identified.

3. Always provide written comments on how the target population identified in this table will use the instruments/investment models/tools to respond to climate change.

4. Add more lines under each project if needed.

5

PPCR CORE INDICATOR 5

Number of people supported by PPCR to cope with the effects of climate change

RATIONALE

This indicator determines whether PPCR projects/programs for climate resilience action reach and support people as intended. It is linked to PPCR policy priorities as articulated in the PPCR Design Document⁵ and seeks to understand how projects/programs contribute to PPCR transformative impact goals of increasing the resilience of households, communities, businesses, and sectors; supporting people on the ground; and rendering society more resilient in the face of climate variability and climate change.

This indicator estimates the number of people supported by PPCR to cope with the effects of climate change in a country or region. This includes both direct and indirect beneficiaries, as further defined.

SUB-QUESTIONS AND METHODOLOGY

Core Indicator 5 is quantitative in nature, and all projects/programs under implementation monitor and report on it annually using the reporting instrument PPCR Table 5. The PPCR country focal point then aggregates all project-level response data into one Table 5 at the SPCR level, taking care to avoid double counting. The annual scoring workshop validates this national-level table.

In Year 1, the scoring workshop establishes baselines and targets for Core Indicator 5. It measures new activity as a result of PPCR-funded interventions, so the baseline is set to 0 and the target is calculated by aggregating the project-level expected results. As new PPCR projects begin implementation, expected results for Indicators 5 must be recalculated.



⁵ PPCR Design Document: <https://www.climateinvestmentfunds.org/node/12145>

SUB-QUESTIONS AND METHODOLOGY *(continued)*

The following questions on Table 5 seek to measure Core Indicator 5:

1. How many people have been supported by PPCR to cope with the effects of climate change? (REQUIRED)

The sum of those supported are reported as the cumulative number of people supported at the project/program level and at the SPCR level up until December 31 of the reporting period. The cumulative total is reported over the life of the SPCR. Some projects/programs may be completed before the completion date of the SPCR.

2. How many of those supported by PPCR to cope with the effects of climate change are below the national poverty line? (OPTIONAL)

Whenever possible, it is encouraged to collect and report the number of people below the national poverty line who are supported by PPCR.

3. How many females have been supported by PPCR to cope with the effects of climate change? (REQUIRED)

The number of females supported is reported, especially for projects/programs that target women or projects/programs that have already conducted in-depth social analysis. By proxy, the number of males supported by PPCR can be calculated. Countries may include these data as disaggregated, labelling them clearly as such in Table 5.

TECHNICAL DEFINITIONS

In assessing Core Indicator 5, it is important to consider overarching definitions that guide all CIF funding programs, including PPCR, and specific definitions that pertain specifically to PPCR.

CIF GUIDANCE ON MEASURING THE NUMBER OF BENEFICIARIES

Beneficiaries are people who have been reached or supported by any activities financed or implemented through CIF programs, projects, or sub-projects. *People supported* corresponds to discrete individuals, populations, or households having a clearly discernible relationship to the intervention in question and its intended outputs, outcomes, and/or impacts. The aggregated number of beneficiaries reached through CIF is based on a distinction between *direct beneficiaries* and *indirect beneficiaries*.





TECHNICAL DEFINITIONS (continued)

Direct beneficiaries of CIF are people or members of households who are specifically targeted by a CIF program, project, or sub-project to receive support to which CIF has contributed. These people are counted individually. They must be aware that support is being received⁶. The implication of contribution to CIF means that a clear causal relationship can be established between the nature of the beneficiary's involvement and the specific program or project activities undertaken by CIF or its partners. In most cases, direct beneficiaries are clearly specified in a CIF project's design and results matrix. Common examples of direct beneficiaries across CIF programming include:

- People who directly participate in trainings
- Recipients of agricultural services
- People with improved energy access due to a CIF activity
- People residing in the catchment area of a CIF-supported infrastructure project or other material public good intended to affect them
- Recipients of other grants/services directly provided through a CIF intervention

Indirect beneficiaries of CIF are individual people or members of households who either:

- a) Receive benefits that are not closely related to the project design's specific outputs, outcomes, and impacts of interest; or
- b) Are not targeted to receive benefits from the project (i.e., positive spillover effects).

The implication of a **contribution** from CIF toward a specific benefit means that a relationship can be drawn between the benefit and a corresponding CIF activity, but the benefit may result from many additional factors apart from the CIF intervention, (i.e., indirect causal link).

Beneficiaries only need to qualify as (a) or (b), not necessarily both, to be considered an indirect beneficiary. Common examples of indirect beneficiaries across CIF programming include:

- People receiving advocacy messaging from a CIF-supported project
- People receiving livelihood co-benefits that are not a part of the project's core development objective (e.g., health improvements, access to education, or income generation)
- People beyond the immediate catchment area of a project who are measurably reached



⁶ Adapted from the Department for International Development, UK, ICF KPI 1



TECHNICAL DEFINITIONS (continued)

PPCR guidance on measuring the number of beneficiaries

People are considered supported by PPCR to cope with the effects of climate change when a service or facility has specifically been made available to them through relevant projects/programs of PPCR. The emphasis is on availability of the service. It does not include support for planning processes, knowledge and evidence gathering, or other building block processes, unless the supported population can be discretely identified.

Direct beneficiaries of PPCR are people who have been targeted to make use of a service or facility made available to them through relevant projects/programs of PPCR. Examples include the following:

- Enabling environment: People who are directly trained
- Agriculture: People who receive seeds or extension services
- Coastal zone management: People directly protected by a flood wall as defined in project results frameworks
- Resilient infrastructure: Targeted population for disaster shelters, resilient schools, or other services
- Adaptation finance: People receiving direct access to finance or loans

Indirect beneficiaries of PPCR are people who may use a service or facility made available through relevant projects/programs of PPCR, but have not been specifically targeted to do so, or those who have otherwise benefitted from the contribution of PPCR activities that are secondary to primary outcomes of interest. Examples include the following:

- Hydromet and climate information services: People who receive information from a climate risk warning system (They would only be counted as direct beneficiaries if this is a core aim of the project objective, rather than an intermediate activity.)
- People receiving advocacy messaging from radio campaigns

PPCR investments in policy support, public sector technical assistance, or planning do not contribute to the number of beneficiaries counted in the general population. For example, people falling within the administrative area of an institution receiving capacity building support or residing under a forest or water resources management plan are not counted. Government officials directly trained or supported through these investments are counted as direct beneficiaries.





TECHNICAL DEFINITIONS (continued)

The number of people supported should **not** be discounted in interventions only partly funded by PPCR. Each person supported by PPCR should only be counted once, even if (s) he benefits from multiple interventions.

Relevant projects/programs are those that include targeted climate resilience interventions in the sectors identified as a priority in the SPCR. It does not include programs that support planning processes, knowledge and evidence gathering, or other building blocks processes unless the supported population can be discretely identified. These programs are covered by Core Indicators 3 and 4.

For example, modernizing a national hydromet service cannot be counted in Indicator 5; however, a functioning early flood-warning system in 20 districts (using that hydromet data) could, since a discrete population has been identified.

For Indicator 5, PPCR countries report the number of direct beneficiaries and the number of indirect beneficiaries.

The CIF Administrative Unit aggregates this information into the total number of beneficiaries (direct and indirect) supported by PPCR.

DATA SOURCES AND COLLECTION

All efforts are made to use recent data sourced from national systems (e.g., population data). Data may be available from the census bureau or other census information institutions, public offices, or institutions with development projects/programs in their area.

If recent data is not available in national systems, project/program-specific surveys, including baseline surveys, are used to monitor the number of targeted (direct) beneficiaries of each project/program.

The number of people supported is collected on the level of the individual (number of people, women, men); however, for reporting, data will be expressed as number of people, disaggregated by sex. When counting households, the assumptions about household size and gender ratio needed for disaggregation are documented in the reporting table.

Where social vulnerability baseline surveys and analyses have been conducted, monitoring allows for disaggregation of the number of female beneficiaries.

The respective project/program coordinator and the PPCR country focal point store all relevant information that informs reporting (i.e., the evidence base) for future reference.

REPORTING TOOLS

The blank template for PPCR Table 5 follows. It is available to all countries and is maintained from year to year to track the evolution of data as the SPCR progresses.



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PPCR TABLE 5

PPCR CORE INDICATOR 5: NUMBER OF PEOPLE SUPPORTED BY PPCR TO COPE WITH THE EFFECTS OF CLIMATE CHANGE

DATA COLLECTION METHOD: DATA COLLECTED FOR EACH PROJECT AND COMPILED AT THE SPCR LEVEL

SAMPLE

COUNTRY AGGREGATE REPORT

REPORTING PERIOD: From:

		DIRECT BENEFICIARIES	
		ACTUAL RESULTS (CUMULATIVE SINCE PROJECT STARTED)	EXPECTED RESULTS
PROJECT TITLE	A	B	C
PROJECT# 1	Number of people supported by PPCR to cope with the effects of climate change (n1)		
	Number of people below the national poverty line supported by PPCR to cope with the effects of climate change (n2)		
	Females supported by PPCR to cope with the effects of climate change (n3)		
PROJECT# 2	Number of people supported by PPCR to cope with the effects of climate change (m1)		
	Number of people below the national poverty line supported by PPCR to cope with the effects of climate change (m2)		
	Females supported by PPCR to cope with the effects of climate change (m3)		
COUNTRY	Total number of people supported by PPCR to cope with the effects of climate change in the country (n1+m1)		
	Total number of people below the national poverty line supported by PPCR to cope with the effects of climate change in the country (n2+m2)		
	Total number of females supported by PPCR to cope with the effects of climate change in the country (n3+m3)		

INSTRUCTIONS:

1. **Actual results:** Cumulatively report the number of people supported by the project since it started implementation.
2. **Expected results:** Number of people expected to be reached by the project at completion, as stated in the project document.
3. If the target population of the project is households or communities, **provide best estimate** of the number of people in these households or communities. Triangulate this data with data provided in Table 4 for consistency.
4. Please do not leave cells blank. Put zero (0) in the corresponding cell if people are not supported yet by the project.

DATE OF REPORT:

MM/DD/YY

To:

INDIRECT BENEFICIARIES

TOTAL BENEFICIARIES

ACTUAL RESULTS (CUMULATIVE SINCE PROJECT STARTED)

EXPECTED RESULTS

ACTUAL RESULTS (CUMULATIVE SINCE PROJECT STARTED)

EXPECTED RESULTS

D

E

F

G

LESSONS LEARNED

What have been the key successes when people have been supported by PPCR?

What have been the key challenges and what opportunities for improvement do you see?



Project results in 2016 indicate that the CLIMADAPT climate resilience financing facility in Tajikistan has a loan portfolio exceeding \$3.8 million that is reaching more than 1,400 households, farmers, and small and medium-sized businesses, and contributing to the dissemination of technologies such as drip irrigation, greenhouses, and solar panels.

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ANNEXES

ANNEX 1

PPCR Revised Results Framework

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ANNEX 2

Example of scoring criteria for Core Indicator 1

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ANNEX 3

Example of scoring criteria for Core Indicator 2

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Example of scoring criteria for Core Indicator 3

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Example of Scorecard 1 for Core Indicator 1

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Example of Scorecard 2 for Core Indicator 2

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ANNEX 7

Example of Scorecard 3 for Core Indicator 3

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ANNEX 8

Scoring Workshop Summary Form

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Annex 1

PPCR REVISED RESULTS FRAMEWORK

This toolkit is designed to support the implementation of the Revised PPCR Results Framework⁷ adopted by the PPCR Sub-Committee in 2012. It establishes a basis for monitoring and evaluation of the impact, outcomes, and outputs of PPCR-funded activities. The logic model depicts the cause and effect chain of results from inputs and activities through to project outputs, program outcomes, and national/international impacts. PPCR results indicators, including the five core (highlighted in yellow), are added to show where they fall in results chain.

⁷ Available at: https://www.climateinvestmentfunds.org/sites/default/files/meeting-documents/revised_ppcr_results_framework_0.pdf

PPCR REVISED LOGIC MODEL WITH INDICATORS

GLOBAL CIF FINAL OUTCOME
(15 - 20 yrs) to participate in scoring workshop

Improved climate resilient development consistent with other CIF objectives

COUNTRY CONTRIBUTION OF SPCCR TO TRANSFORMATIVE IMPACT
(10-20 yrs / national level)

A1. Increased resilience of households, communities, businesses, sectors and society to climate variability and climate change.

- A1.1 Change in % of hh whose livelihoods have improved
- A1.2 Change in losses/damages from CC/CR in PPCR areas
- A1.3 # of people supported by PPCR to cope with CC/CR
- A1.4 % of people with year round access to water

A2. Strengthened climate responsive development planning

- A2.1 Degree of integration of CC in national including sector planning
- A2.2 Change in budget allocations to support CC/CV

COUNTRY SPCCR OUTCOMES

In order to prepare for and respond to climate variability and climate change ...

- B1. Adaptive capacities strengthened
 - B1.1 Extent to which vulnerable HH, communities, businesses and public sector use improved PPCR supported tools
- B2. Institutional frameworks improved
 - B2.1 Evidence of strengthened government capacity and coordination mechanism to mainstream CR
- B3. Climate information in decision making routinely applied
 - B3. Evidence showing that climate information, products/ services are used in decision making in climate sensitive sectors
- B4. Sector planning, and regulation for climate resilience improved
 - B4. Leverage of PPCR funding against public & private investments in climate sensitive sectors
- B5. Climate responsive investment approaches identified and implemented
 - B5. Quality of & extent to which climate responsive instruments/ investment models are developed & tested

NOTE: Core indicator 1 is A2.1. Core indicator 2 is B2. Core indicator 3 is B5. Core indicator 4 is B1. Core indicator 5 is A1.3.

Annex 2

Example of scoring criteria for Core Indicator 1

DEGREE OF INTEGRATION OF CLIMATE CHANGE IN NATIONAL, INCLUDING SECTOR, PLANNING

SCORE	IS THERE AN APPROVED CLIMATE CHANGE PLAN FOR THE NATION/SECTOR?	HAVE CLIMATE RESILIENCE STRATEGIES BEEN EMBEDDED IN THE CENTRAL GOVERNMENT'S/SECTOR'S PRINCIPAL PLANNING DOCUMENTS	HAS RESPONSIBILITY BEEN ASSIGNED TO INSTITUTIONS OR PERSONS TO INTEGRATE CLIMATE RESILIENCE PLANNING?	HAVE SPECIFIC MEASURES TO ADDRESS CLIMATE RESILIENCE BEEN IDENTIFIED AND PRIORITIZED? E.G. INVESTMENTS AND PROGRAMS.	DO ALL PLANNING PROCESSES ROUTINELY SCREEN FOR CLIMATE RISKS?
0	No, does not exist.	No climate resilience strategies available.	No climate resilience planning is being undertaken	No specific measures (investments and programs) to address climate resilience have been identified.	No
1	There is a concrete plan for its development.	Plans are in place to incorporate climate change strategies into central Government's principal planning documents	Plans are in place to assign an individual or institution with the responsibility of integrating climate resilience planning into national development planning	Plans are in place to identify specific measures to address climate resilience	Plans are in place to identify specific measures to routinely screen for climate risks
2	Work has recently begun on the development of a climate change plan	Work has recently begun on the incorporation of strategies into central government's principal planning documents	Work has recently commenced on budget programming and drafting TORs to integrate climate resilience planning into national development planning but is progressing slowly.	Work has recently commenced on the identification of measures to address climate change	The authorities have recently started to screen for climate risks
3	Work on the development of a climate change plan has commenced but is progressing slowly	Work has begun on the incorporation of strategies in central Government's principal planning documents, but it is progressing too slowly.	Draft terms or references and budgets were prepared to assign Personnel or institutions or personnel with the responsibility of integrating climate resilience planning into national development planning.	Work has recently begun on the identification of measures to address climate change, but it is progressing too slowly.	The authorities have recently begun to screen for climate risks, with slow progress
4	Exists in draft form.	climate change strategies are embedded into central government's principal planning documents, which exist in draft form	Personnel or institutions were engaged to integrate climate resilience planning into national development planning.	Specific measures (investments and programs) to address climate resilience has been identified, but exist in draft form	Yes, there has been some pilot screening for Climate Change risks in a selection of projects, but screening is not mandatory
5	Exists and is approved but is not being implemented.	Climate resilience strategies are embedded into the sector's principal planning document, but are not being used	Responsibility has been assigned to institution/person, supported by approved budgets and guided by appropriate terms of references or job descriptions	Specific measures (investments and programs) to address climate resilience have been identified and approved, but they have not been implemented.	Mandatory pilot screening for Climate Change risks are conducted in projects.



SCORE	IS THERE AN APPROVED CLIMATE CHANGE PLAN FOR THE NATION/SECTOR?	HAVE CLIMATE RESILIENCE STRATEGIES BEEN EMBEDDED IN THE CENTRAL GOVERNMENT'S/SECTORS' PRINCIPAL PLANNING DOCUMENTS	HAS RESPONSIBILITY BEEN ASSIGNED TO INSTITUTIONS OR PERSONS TO INTEGRATE CLIMATE RESILIENCE PLANNING?	HAVE SPECIFIC MEASURES TO ADDRESS CLIMATE RESILIENCE BEEN IDENTIFIED AND PRIORITIZED? E.G. INVESTMENTS AND PROGRAMS.	DO ALL PLANNING PROCESSES ROUTINELY SCREEN FOR CLIMATE RISKS?
6	Exists, is approved and functioning with tangible examples of its implementation, but major improvements are improvements needed which have not been clearly identified.	Climate resilience strategies are embedded into central Governments planning documents and are being used in planning decisions. But major improvements are needed, which have not been identified.	Responsibility has been assigned to institution/person, supported by approved budgets and guided by appropriate terms of references or job descriptions, but with no impact on developmental planning	Specific measures (investments and programs) to address climate resilience have been identified and approved, but application has not been consistent throughout departmental activities.	Screening is mandated but application has not been consistent throughout departmental activities.
7	Exists, is approved and functioning with tangible examples of its implementation, but major improvements are needed which are partially identified.	Climate resilience strategies are embedded into central government planning documents and are being used in planning decisions. Major improvements are needed, which have partially been identified.	Responsibility has been assigned to institution/person, supported by approved budgets and guided by appropriate terms of references or job descriptions, but with little impact on developmental planning	Specific measures have been used in various sectors, but major improvements are needed, which have been partially identified	Screening is mandated and is conducted throughout departmental activities, but major improvements are needed which are partially identified
8	Exists, is approved and functioning with tangible examples of its implementation but minor improvements are needed which are identified	Climate resilience strategies are being used to inform implementation of sector activities and projects, with moderate effect	Responsibility has been assigned to institution/person, supported by approved budgets and guided by appropriate terms of references or job descriptions, with moderate impact on developmental planning	Specific measures have been used in various sectors, but minor improvements are needed which have been identified	Screening is mandated and is conducted throughout departmental activities, but minor improvements are needed which have been partially identified
9	Yes, exists and needs no significant improvement as it also being implemented well.	Climate resilience strategies are being used to inform implementation of sector activities and projects, with major effect	Responsibility has been assigned to institution/person, supported by approved budgets and guided by appropriate terms of references or job descriptions, with great impact on developmental planning	Yes, specific measures have been consistently implemented across departmental activities.	Yes, screening is consistently applied across departmental activities, with great effectiveness
10	Yes, exists and needs no improvement as it also being implemented well.	Climate resilience strategies are used in planning decisions, with no need to be complemented by other strategies	No need to revise roles/responsibilities of personnel or institutions involved in climate resilience planning	No new measures are needed to address climate change	There is no need to upgrade screening processes

Adapted from Saint Vincent and the Grenadines

Annex 3 Example of scoring criteria for Core Indicator 2

EVIDENCE OF STRENGTHENED GOVERNMENT CAPACITY AND COORDINATION MECHANISM TO MAINSTREAM CLIMATE RESILIENCE

SCORE	ARE INFORMATION, STUDIES AND ASSESSMENTS ADDRESSING CLIMATE CHANGE, VARIABILITY AND RESILIENCE AVAILABLE?	IS THE NECESSARY CLIMATE CHANGE EXPERTISE AVAILABLE?	DO NATIONAL/SECTOR INCENTIVES AND LEGISLATIVE POLICIES EXPRESSLY ADDRESS CLIMATE CHANGE AND RESILIENCE?	DOES THE GOVERNMENT/ SECTOR PARTICIPATE IN A CROSS-SECTORAL COORDINATION MECHANISM FOR CLIMATE CHANGE ACTIVITIES?
0	There are no existing studies/information or assessments available.	No climate change expertise available.	No national/sector incentives and legislative policies exist.	No cross-sectoral coordination mechanism for climate change activities exist.
1-2	Some studies have been commissioned but not completed.	Some department officials have attended climate change training courses.	Draft national/sector incentives and legislative policies are being developed.	Yes, there is a cross-sectoral coordination mechanism however it is not being utilized.
3-4	Some studies, assessments and information on climate change, variability and resilience exist, but the issues that they address are very limited	There are a few persons who are trained in climate change resilience and have experience implementing climate change resilience projects.	Draft of national/sector incentives and legislative policies exist but not yet finalized.	A cross-sectoral coordination mechanism for climate change activities exist with some level of participation
5-6	Some studies, assessments and information on climate change, variability and resilience exist, but the issues which they address but they do not cover all issues.	Several persons in some departments/sectors have been trained and are qualified in climate change resilience	National/sector incentives and legislative policies that address climate change and resilience are finalized, approved and being implemented in a limited manner.	A cross-sectoral coordination mechanism for climate change activities exist with greater level of participation.
7-8	There are many studies, assessments and information available which address climate change, variability and resilience. These studies cover all issues and are well understood by all departments.	There is at least one person in most departments who has been trained and is qualified in climate change resilience and has experience working on climate change projects and programs.	Incentives and policies are wide ranging and cover, but can be strengthened	A cross-sectoral coordination mechanism for climate change activities exist active sharing of information and some degree of coordinated planning
9-10	There are many studies, assessments and information available which address climate change, variability and resilience. These studies cover all issues and are well understood by all departments.	There is adequate expertise in climate change available in most departments/agencies, and most experts have good experience working on climate change projects and programs.	Wide ranging national/sector incentives and legislative policies expressly address climate change resilience and are fully implemented and updated as necessary	A fully functional cross-sectoral coordination mechanism for climate change activities exist, with all required sectors/government agencies sharing information and coordinating on an ongoing basis.

Adapted from Grenada

Annex 4

Example of scoring criteria for Core Indicator 3

QUALITY AND EXTENT TO WHICH CLIMATE RESPONSIVE INSTRUMENTS/INVESTMENT MODELS ARE DEVELOPED AND TESTED

	HAS THE INSTRUMENT/INVESTMENT MODEL BEEN DEVELOPED AND TESTED?	HAS THE INSTRUMENT/INVESTMENT MODEL BEEN IMPLEMENTED TO THE SCALE PROPOSED?	HAS THE INSTRUMENT/INVESTMENT MODEL APPROPRIATELY INCORPORATED THE NEEDS OF BOTH FEMALES AND MALES INTO ITS DESIGN AND IMPLEMENTATION?	HAS THE INSTRUMENT/INVESTMENT MODEL INCORPORATED THE NEEDS OF VULNERABLE POPULATIONS INTO ITS DESIGN AND IMPLEMENTATION?
0	No technology or infrastructure investment developed or tested	Technology or infrastructure investment not implemented to the scale proposed	Technology or infrastructure investment does not appropriately incorporate the needs of both females and males into its design and implementation	Technology or infrastructure investment does not incorporate the needs of vulnerable populations into its design and implementation
1-2	TOR and/or specifications developed, and procurement commenced	Technology or infrastructure investment implemented up to 30% of the scale proposed		Technology or infrastructure investment incorporates the needs of 1-2 vulnerable populations into its design
3-4	Procurement far advanced or completed	Technology or infrastructure investment implemented up to 50% of the scale proposed		Technology or infrastructure investment incorporates the needs of 3-4 vulnerable populations into its design
5-6	Technology or infrastructure investment developed (equipment installed, training conducted)	Technology or infrastructure investment implemented up to 70% of the scale proposed	Technology or infrastructure investment appropriately incorporates the needs of both females and males into its design only	Technology or infrastructure investment incorporates the needs of all vulnerable populations into its design
7-8	Technology or infrastructure investment being tested, system/equipment being calibrated	Technology or infrastructure investment implemented up to 90% of the scale proposed		Technology or infrastructure investment incorporates the needs of 1-3 vulnerable populations into its design and implementation
9-10	Technology or infrastructure investment developed and tested (equipment commissioned/fully operational)	Technology or infrastructure investment fully implemented to the scale proposed	Technology or infrastructure investment appropriately incorporates the needs of both females and males into its design and implementation	Technology or infrastructure investment incorporates the needs of 4-5 vulnerable populations into its design and implementation

Annex 5 Example of Scorecard 1 for Core Indicator 1

PPCR SCORECARD 1		DATE OF REPORT:		JUNE 30, 2017							
PPCR CORE INDICATOR 1: DEGREE OF INTEGRATION OF CLIMATE CHANGE INTO NATIONAL PLANNING											
DATA COLLECTION METHOD: DATA SCORED AT THE COUNTRY LEVEL											
SAINT VINCENT AND THE GRENADINES PPCR INVESTMENT PLAN											
REPORTING PERIOD:		Cover sheet		To: December 31, 2016							
From: January 1, 2016											
Complete below the sectors identified as a priority in the PPCR investment plan. Insert other priority sectors or ministries below (optional)		Have climate resilience strategies been embedded in the central governments/ sector's principal planning documents?		Have specific measures to address climate resilience been identified and prioritized? e.g. investments and programs		Do all planning processes routinely screen for climate risks?					
A		B		C		D		E		F	
SCORE-2015 REPORTING PERIOD (LAST YEAR)		SCORE-2016 REPORTING PERIOD (NEW)		SCORE-2015 REPORTING PERIOD (LAST YEAR)		SCORE-2016 REPORTING PERIOD (NEW)		SCORE-2015 REPORTING PERIOD (LAST YEAR)		SCORE-2016 REPORTING PERIOD (NEW)	
5		5		8		8		9		9	
NATIONAL PLANNING		NATIONAL PLANNING		NATIONAL PLANNING		NATIONAL PLANNING		NATIONAL PLANNING		NATIONAL PLANNING	
How do you justify the increase (or decrease) in scores between scores reported in the 2015 reporting period and scores reported in the 2016 reporting period? Please explain!		Score has not changed. A draft climate change plan exists but there are concrete plans to develop a Climate Change Policy and Implementation Strategy with financing from the RDVRP. Technical assistance will be procured by third quarter 2017 to this end. Additionally, the National Economic and Social Development Plan (NESDP) lays out the policy on climate resilience in Goal 4 of its 5-goal plan.		No change in score. National Economic and Social Development Plan outlines policy direction on climate resilience. Other planning documents that exist/ are being implement include the Energy Policy and Action Plan. Other planning document to be developed which will outline specific climate resilience strategies. These include National Physical Development Plan; National Appropriate Mitigation Action for the Energy and Transportation Sector and the National Adaptation Plan.		Responsibility has been assigned to the Sustainable Development Unit in the Ministry of Economic Planning to ensure more coordinated climate change planning. This ministry was created in 2015 in accordance with government priorities in mainstreaming climate change.		Work is ongoing on specific investment programs such as the SPGR/RDVRP, J-CCCP and GCCA which prioritizes planning instruments, infrastructure investments and the piloting of adaptation technologies. Less work is ongoing in the area of data collection.		No screening mechanisms currently in place for planning processes. Over 25 government officials received training in CCORAL screening tool in 2016. The screening tool was developed under the direction of Caribbean Climate Community Climate Change Centre (CCCC) specifically for use by Caribbean government officials and policymakers. A second phase of the CCORAL training will take place 2017 with sensitization. The tool contains an online quick screening checklist tailored to Caribbean context and outline for risk management.	





<p>COASTAL AND MARINE RESOURCES/ COASTAL ZONE MANAGEMENT</p> <p>How do you justify the increase (or decrease) in scores between scores reported in the 2015 reporting period and scores reported in the 2016 reporting period? Please explain!</p>	<p>4</p> <p>No coastal zone management plan developed for the sector. Several studies have been completed on sections of the coast recommending that data be collected before proceeding to an ICZM. The RDVRRP is currently negotiating purchase and deployment of equipment to collect wave and current data in SPCR pilot areas. An OECS Coastal Zone Management Policy has been completed but has not yet been adopted by SVG.</p>	<p>4</p> <p>No coastal zone management plan for the sector. An OECS Coastal Zone Management Policy has been drafted but not adopted in SVG. Coastal interventions are implemented on a project by project basis. Several studies have been completed on sections of the coast with recommendations for interventions, but no integrated plan developed.</p>	<p>4</p> <p>The Ministry of Transport and Works has been assigned responsibility for Coastal Zone management.</p>	<p>6</p> <p>Coastal interventions have been prioritized and are ongoing in Sandy Bay, San Souci, Georgetown, Dark View</p>	<p>8</p> <p>Limited capacity in this sector. Screening only implemented where required by external entities. Officials received training in CCORAL online screening tool in 2016. Sensitization for this tool will be conducted in 2017.</p>	<p>5</p>
<p>AGRICULTURE AND FORESTRY</p> <p>How do you justify the increase (or decrease) in scores between scores reported in the 2015 reporting period and scores reported in the 2016 reporting period? Please explain!</p>	<p>3</p> <p>Draft Agriculture Disaster Risk Management Plan completed in 2016 with funding from FAO. The plan is being reviewed by the Ministry of Agriculture, Agriculture and Fisheries Development Plan also completed in 2015 with assistance from CARICOM under the 10th EDF. Climate change has been included as cross-cutting theme.</p>	<p>3</p> <p>Climate resilience strategies embedded in both documents in draft form.</p>	<p>5</p> <p>Responsibility assigned within the sector. There are focal points on climate change in agricultural extension, agriculture and fisheries.</p>	<p>8</p> <p>A number of projects are ongoing aimed at rehabilitation, resilience and implementing innovative adaptation. These include reforestation and rehabilitative works in two major watersheds.</p>	<p>2</p> <p>Limited screening implemented in this sector</p>	<p>2</p>
<p>LAND MANAGEMENT</p> <p>How do you justify the increase (or decrease) in scores between scores reported in the 2015 reporting period and scores reported in the 2016 reporting period? Please explain!</p>	<p>3</p> <p>Work ongoing toward the development of a National Physical Development Plan. Draft local area plans have been developed for SPCR pilot areas (Union Island, Georgetown, Arnos Vale).</p>	<p>4</p> <p>The OECS Building codes revised in 2015 specifically address standards for resilience and regulations to reduce risk to disaster (hurricanes and floods).</p>	<p>8</p> <p>Responsibility assigned within the sector for matters on climate change</p>	<p>8</p> <p>Screening tools developed for this sector and are used.</p>	<p>5</p>	<p>9</p>
<p>DISASTER MANAGEMENT</p> <p>How do you justify the increase (or decrease) in scores between scores reported in the 2015 reporting period and scores reported in the 2016 reporting period? Please explain!</p>	<p>8</p> <p>Comprehensive Disaster Management Policy and Strategy drafted and submitted to Cabinet (2015). The policy need to be updated (to include considerations for Sustainable Development Goals and Sendai Framework) and re-submitted.</p>	<p>8</p> <p>Climate resilience strategies embedded in other planning documents e.g. include 5-year work programmes.</p>	<p>8</p> <p>NEMO has increased staff capacity including a Radio Communications Officer to support the installation and operation of the Emergency Communication Network.</p>	<p>8</p> <p>Investments and programmes have been prioritised and are being pursued. These include construction satellite warehouses, rehabilitation of emergency shelters and development of shelter management policy.</p>	<p>5</p> <p>Screening tools used in this sector include a checklist for Hurricane shelters.</p>	<p>5</p>



PPCR SCORECARD 1

(CONTINUED)

INSTRUCTIONS:

1. Please establish scoring criteria for each of the aspects of this scorecard and submit them with your report. This should be done once, preferably at baseline stage and used during subsequent reporting years.
2. If you have previously established your scoring criteria, use them and submit them with your report.
3. Score each cell with a score between 0 and 10 (refer to your scoring criteria defined for this scorecard)
4. Provide explanation of change in scores between 2015 and 2016 in appropriate cells and avoid abbreviations.

GENDER MAINSTREAMING

To what extent and in what ways have gender and socioeconomic vulnerability concerns been mainstreamed with the climate resilience planning processes at national and sector levels? (e.g., through gender budgeting approaches, gender needs assessments and consultations, or similar, including coordination with the Ministry of Women's Affairs, women's organizations)

LESSONS LEARNED

What have been the key successes when integrating climate change in national, including sector planning?

Key successes in 2016 have been the synergies created among projects aimed at climate resilience projects RDVRP, JCCCP, OECS GCCA. Both the OECS Global Climate Change Alliance and the RDVRP have pooled their resources towards harmonization of building codes in the OECS and implementation in St. Vincent and the Grenadines.

Similar synergies are expected between the National Adaptation Plan processes and the development of a National Climate Change Policy and Implementation Plan, being pursued under two projects. Both plans have as their objective the development of a coordination mechanism for climate change. This development is particularly encouraging to the PPCR.

What have been the key challenges and what opportunities for improvement do you see?

One challenge discussed at the PPCR scoring workshop is lack of sufficient consultation on some climate change project with the community as well as with key expert and agencies. Stakeholders emphasize that the department with the responsibility for climate change is often excluded from consultations on projects addressing climate resilience.

SHARING EXPERIENCES

Please let us have some insights into the particular experience of your country with integrating climate change in national, including sector, planning.

Source: Saint Vincent and the Grenadines 2016 Results Reports

Annex 6

Example of Scorecard 2 for Core Indicator 2

PPCR SCORECARD 2		DATE OF REPORT:		MM/DD/YY	
PPCR CORE INDICATOR 2: EVIDENCE OF STRENGTHENED GOVERNMENT CAPACITY AND COORDINATION MECHANISM TO MAINSTREAM CLIMATE RESILIENCE					
DATA COLLECTION METHOD: DATA SCORED AT THE COUNTRY LEVEL					
TAJIKISTAN					
PPCR INVESTMENT PLAN		To: December 31, 2016			
REPORTING PERIOD:	From: January 1, 2016				
GOVERNMENT CAPACITY Complete below the sectors identified as a priority in the PPCR investment plan. Insert other priority sectors or ministries below (optional).	A	B	C	D	E
	Are information, studies, and assessments addressing climate change, variability, and resilience available?	Is the necessary climate change expertise available?	Do national/sector incentives and legislative policies expressly address climate change and resilience?	Does the government/sector participate in the coordination mechanism?	
	SCORE- 2015 REPORTING PERIOD (LAST YEAR)	SCORE- 2015 REPORTING PERIOD (LAST YEAR)	SCORE- 2015 REPORTING PERIOD (LAST YEAR)	SCORE- 2015 REPORTING PERIOD (LAST YEAR)	SCORE-2016 REPORTING PERIOD (NEW)
TAJIKISTAN GOVERNMENT	5	4	2	5	6
How do you justify the increase (or decrease) in scores between scores reported in 2015 reporting period and scores reported in 2016 reporting period? Please explain!	In 2016, the Regional Environmental Centre for Central Asia (CAREC) in cooperation with the Committee for Environmental Protection of Tajikistan conducted a study on migration, remittances and climate resilience in arid and semi-arid areas of Tajikistan. In March 2016, under the project TA-8090: Building Capacity for Climate Resilience in Tajikistan, the NGO - Kuhiston Foundation prepared a report 'Assessment of climate change awareness among the population in selected areas of the Republic of Tajikistan'. Within this project a research was conducted in collaboration with the NGO 'Youth the Ecological Centre' on climate change vulnerability assessment in five vulnerable pilot areas, in order to develop Local adaptation plans.	In 2016, more than 200 specialists attended training seminars supported by the CDTA project at the training centers of the five pilot districts and in the city of Dushanbe. More than 100 specialists representing central government ministries and departments attended training courses organized by UNDP, GIZ and other international organizations in Tajikistan while more than 30 people attended training courses in other countries. On average, 20 people at the government level have professional skills directly linked to climate change.	In the National Development Strategy for the period up to 2030 and the Medium-term Development Program up to 2020 adopted by the Government of Tajikistan in 2016, a key challenge for implementing adaptation to climate change was the legal framework, and management mechanisms. Based on this, a task was set up to improve the legal framework on climate change adaptation, both at the national and sectoral level. As in previous years, the climate change issues are partially addressed in the laws: "On Energy", "On Transport", "On Ecological Expertise", "On Environmental Protection", "On the Environmental Education", "On the use of renewable energy sources" and "On energy efficiency".	The government participation in the coordination mechanism has not changed compared to previous reporting years. The Deputy Prime Minister is the chairman of the coordination mechanism. The structure of the coordination mechanism involves representatives of key ministries, research centers and public organizations. Head of the Department of Agriculture and Environment of the Executive Office of the President of the Republic of Tajikistan is the coordinator of the PPCR. The coordination of the PPCR activities is led by the PPCR Secretariat. The Committee for Environmental Protection (COEP) is the Government of Tajikistan's Authorized Body for the Green Climate Fund.	SCORE-2016 REPORTING PERIOD (NEW)





PPCR SCORECARD 2

(CONTINUED)

GOVERNMENT CAPACITY Complete below the sectors identified as a priority in the PPCR investment plan. Insert other priority sectors or ministries below (optional).	Are information, studies, and assessments addressing climate change, variability, and resilience available?	Is the necessary climate change expertise available?	Do national/sector incentives and legislative policies expressly address climate change and resilience?	Does the government/sector participate in the coordination mechanism?
A	B	C	D	E
SCORE- 2015 REPORTING PERIOD (LAST YEAR)	SCORE-2016 REPORTING PERIOD (NEW)	SCORE- 2015 REPORTING PERIOD (LAST YEAR)	SCORE- 2015 REPORTING PERIOD (LAST YEAR)	SCORE- 2015 REPORTING PERIOD (LAST YEAR)
<p>AGRICULTURE</p> <p>How do you justify the increase (or decrease) in scores between scores reported in 2015 reporting period and scores reported in 2016 reporting period? Please explain!</p>	<p>4</p> <p>5</p> <p>Employees of the Institute of land of Tajikistan developed a methodology for studying agro-biodiversity and adaptation potential in the mountainous areas of Tajikistan taking into account the climate change context. The research aims to focus on farming approaches used by experienced farmers and inhabitants of rural areas, who have traditional knowledge and skills in farming, thus contributing to the preservation of traditional varieties of fruit and field crops, species of farm animals and birds.</p>	<p>4</p> <p>5</p> <p>In 2016, rural specialists participated in the following seminars: • Regional Workshop on Pasture Use in Climate Change, organized by FAO in Bishkek (Kyrgyzstan) (2 people); • Regional conference on climate change in the city of Alma-Ata, organized by GIZ (2 people); • International seminar on food security taking into account climate change in Ankara-Turkey organized by FAO (2 people). More than 20 professionals have experience in projects related to climate change. The work of the Academy of Agricultural Sciences is directly related to adaptation, as it conducts research on cotton crops, wheat, barley and legumes, including work on introduction of high-yielding varieties.</p>	<p>3</p> <p>5</p> <p>In early 2016, amendments and supplements were made to agricultural taking into consideration climate change issues. These laws include in the laws of the Republic of Tajikistan "On Seed" and "On pastures". In 2016, additional changes were made in the Laws of the Republic of Tajikistan "On Seed" and "On Pastures" taking into account climate impacts.</p>	<p>3</p> <p>5</p> <p>In order to implement the Program on reforming Agriculture sector of the Republic of Tajikistan for 2012 - 2020 years, the Ministry of Agriculture established a technical working group with representatives from key ministries and departments. Representatives of the Ministry of Agriculture are members of PPCR technical working group and the Green Climate Fund. In 2016, the technical working group of PPCR included the head of the state plant protection and clericalization of agriculture department and the professor of the Agrarian University, head of the plant management department.</p>
<p>WATER RESOURCES/IRRIGATION</p> <p>How do you justify the increase (or decrease) in scores between scores reported in 2015 reporting period and scores reported in 2016 reporting period? Please explain!</p>	<p>4</p> <p>6</p> <p>In September 2016, with support from the World Bank, a report entitled "Social Assessment of Zerafshan River Basin Management and irrigation system rehabilitation" was prepared. The aim of the social assessment was to assess socio-economic conditions of project areas in terms of food security, irrigation and drainage systems, as well as climate change impacts on water resources of Zerafshan Valley.</p>	<p>3</p> <p>4</p> <p>In 2016, more than 14 specialists participated in workshops, conferences related to water resources in the context of climate change, which took place in Central Asia with support from the CAREC, GIZ, UNDP and other international organizations. Two specialists completed Master's program in Japan with the support of JICA and 3 specialists completed a Master's program at the Kazakh-German University in Kazakhstan (Almaty).</p>	<p>2</p> <p>3</p> <p>The program on water sector reforms of the Republic of Tajikistan for 2016-2025, has provisions for the development of new laws and normative legal documents, taking into account climate change impacts in water sector. These include the Law of the RT "On Land Reclamation and Irrigation", draft of the new Water Code of the Republic of Tajikistan, development and approval of regulations (charters) of river basin organizations (BOR) and river basin councils.</p>	<p>4</p> <p>4</p> <p>As in previous years, representatives of the Ministry of Energy and Water Resources and the Agency for Land Reclamation and Irrigation are part of the Water and Energy Council of the Republic of Tajikistan and in the Coordinating Council for water policy within the framework of Integrated Water Resource Management (IWRM). The representatives of the Ministry of Energy and Water Resources, as well as Agency for Land Reclamation and Irrigation are part of the working group for creating water basins in the country.</p>





	4	4	3	3	4	4
<p>In December 2016, under a project, a report was prepared, named "Management of water resources in Tajikistan", in order to support the development of a water plan for Syrdarya river (Tajik part), which deals with the impacts of climate change on water resources of Syrdarya River Basin.</p>	<p>In 2016, a number of research have been conducted in energy sector, but they were mostly associated with construction of large power plants, the use of coal for the energy sector, with some focus on renewable energy. Research specific to climate change issues have been not been carried out in the energy sector</p>	<p>More than 20 employees of the Ministry of Energy and Barqi Tojik have passed training courses, both within the country and abroad on issues related to the impact of climate change on water and energy resources. As in previous years, in 2016 conduct of research work in the energy sector was designated to the Scientific Research and Design Institute "Nurofar". The Institute has a department on environment and development of EIA (environmental impact assessment), which indirectly addresses issues of climate change impact on energy sector. There are 7 employees working in the department. The Institute has a Service for calculating safety of hydrotechnical structures. There are three people involved in the water discharge program in hydrotechnical structures, taking into account climate change. In the Energy Faculty of the Tajik Technical University, academic programs related to climate change impacts on water and energy resources have begun.</p>	<p>Other relevant laws, include the law "On Water user associations" and "On Drinking Water and Drinking Water Supply", which require changes to factor adaptation measures against climate change, and to integrate principles of Integrated Water Resource Management (IWRM).</p>	<p>As in previous years, representatives of these organizations are part of the PPCR technical working group and the COEP, the designated body for the Green Climate Fund in Tajikistan. The PPCR technical working group from the Ministry of Energy and Water Resources includes the head of the department of the interstate commission for water resources, and director of the water users association management, at the irrigation and melioration agency</p>	<p>As in previous years the LLC "Barqi Tojik" coordinates the PPCR Project Phase 2 in the energy sector: Increasing resilience to climate change in the energy sector (infrastructure and enabling environment). Two specialists are included in the PPCR coordination mechanism, and one expert from the Ministry of Energy and Water Resources is a member of the technical working group that acts as the Authorized Body for the Green Climate Fund.</p>	
<p>ENERGY</p> <p>How do you justify the increase (or decrease) in scores between scores reported in 2015 reporting period and scores reported in 2016 reporting period? Please explain!</p>						



PPCR SCORECARD 2

(CONTINUED)

GOVERNMENT CAPACITY Complete below the sectors identified as a priority in the PPCR investment plan. Insert other priority sectors or ministries below (optional).	Are information, studies, and assessments addressing climate change, variability, and resilience available?	Is the necessary climate change expertise available?	Do national/sector incentives and legislative policies expressly address climate change and resilience?	Does the government/sector participate in the coordination mechanism?
A	B	C	D	E
SCORE- 2015 REPORTING PERIOD (LAST YEAR)	SCORE- 2016 REPORTING PERIOD (NEW)	SCORE- 2015 REPORTING PERIOD (LAST YEAR)	SCORE- 2015 REPORTING PERIOD (LAST YEAR)	SCORE- 2016 REPORTING PERIOD (NEW)
<p>DISASTER RISK REDUCTION</p> <p>How do you justify the increase (or decrease) in scores between scores reported in 2015 reporting period and scores reported in 2016 reporting period? Please explain!</p>	<p>4</p> <p>In December 2016, with support from the World Bank a key study was conducted – “Social Assessment of strengthening critical infrastructure against natural disasters”. The aim of the social assessment was to study socio-economic situation of conjugal project areas in terms of types and frequency of natural disasters, amount of damages, early warning systems, resettlement plans in emergency situations and climate change impacts. In December 2016, a first report of the project “Water resources management in Tajikistan” to support the development of water plan for Syrdarya river (Tajik part) has been prepared, which reviews the impact of climate change on frequency of natural disasters in Syrdarya river basin.</p>	<p>3</p> <p>Due to the reorganization of Hydrometeorology Agency, interventions supported by the ADB project “Climate Change Capacity Building” including the intake of students for the subject of climate change prediction have been postponed to the end of 2017. In 2016 more than 15 employees of the Committee for Emergency Situations and Civil Defense and the State Agency for Hydrometeorology have undergone training courses in Japan and the United States.</p>	<p>2</p> <p>As in 2015, significant changes in the legislative incentives were observed.</p>	<p>3</p> <p>At the Committee of Emergency Situations and Civil Defense, there is an inter-agency coordination mechanism to reduce the impact of natural disasters, named – “National Platform for Disaster Risk Reduction”. As in previous years, a representative of the Committee for Emergency Situations and Civil Defense (the head of the department on protection of population and territories), a representative of NGO and the director of the Center on Climate Change and Disaster Risk Reduction are part of the inter-sectorial coordination mechanism.</p>





EDUCATION	3	3	5	5	2	2	2	3
How do you justify the increase (or decrease) in scores between scores reported last year (2015) and scores reported this year (2016)? Please explain!	In March 2016, under the project TA-8090: Building Capacity for Climate Resilience, the NGO "Kuhiston" Foundation prepared a report titled "Assessment of climate change awareness among the population in selected areas of the Republic of Tajikistan".	In 2016, in four universities and one Lyceum, curriculums providing options to take courses on the "Introduction to the science of climate change" were continued. Under the UNDP environmental education project, there were resource centers opened at Tajik Technical University and Institute of Postgraduate Education, which developed training modules on climate change for schools and universities. In 2016, more than 10 post graduate students have produced research on the climate change subject. At present, more than 250 students, graduate students and teachers are familiar with the issues of climate change in the education system	In 2016, as in previous years, there are no targeted laws and incentives that consider climate change and sustainability in education. Some questions about climate change are addressed in the Law of the Republic of Tajikistan "On environmental education", under the resolution No.673, dated from December 22, 2010. The Ministry of Education plans to make changes in this Law, to reflect climate change issues more explicitly	In 2016, the participation of education sector in the PPCR coordination mechanism has remained the same. At the same time, representatives of the Ministry of Education became part of the coordination mechanism that acts as the Authorized Body for the Green Climate Fund. The Head of the International Relations Department, Vice-Rector of the Tajik Technical University are members of the technical working group of PPCR and that of the technical working group for the authorized body for the Green Climate Fund.				
HEALTH	2	3	3	3	3	3	3	3
How do you justify the increase (or decrease) in scores between scores reported in 2015 reporting period and scores reported in 2016 reporting period? Please explain!	A report titled "Health vulnerability Assessment of the population of Tajikistan in the climate change context" was prepared. The document provides background information to determine health system policy in the context of climate change, to develop adaptation measures to reduce negative impacts of climate change on health and to improve public health and achieve longevity. The report is currently at the stage of approval and preparations are under way for its distribution.	In the Ministry of Health, as in previous years, there are five employees, who work on issues related to climate change impacts on population's health. Three staff members attended training courses abroad on the subjects related to climate change impact on public health.	As in previous years, Tajikistan has laws: "On public health protection", "On reproductive health and reproductive rights", "On ensuring sanitary and epidemiological safety of the population", which partly cover the issues of climate change impacts on health.	In 2016, a representative of the Ministry of Health and Social Protection became part of the technical working group that acts as the Authorized Body for the Green Climate Fund. In 2016, as in previous years, one representative from the Ministry of Health and Social Protection (Head of sanitation and hygiene control) was a member of the technical working group of the PPCR Coordination Mechanism. The National Coordinating Committee (NCC) for combating tuberculosis and malaria in the country has a Secretariat and Technical Working Group. Officials from the Ministry of Health and Social Protection are represented in the technical working group of the Green Climate Fund.				





PPCR SCORECARD 2

(CONTINUED)

Coordination Mechanism Name the coordination mechanism below	Is the coordination mechanism functional e.g., established, effective and efficient?	Does it coordinate climate resilience interventions other than those funded by PPCR?	Is there a broad set of non- governmental stakeholders involved?	Is the relevant climate resilience information in the public domain?	Are females and males participating equally?	
	SCORE REPORTED LAST YEAR (2015)	SCORE IN 2016 (NEW)	SCORE REPORTED LAST YEAR (2015)	SCORE IN 2016 (NEW)	SCORE REPORTED LAST YEAR (2015)	SCORE IN 2016 (NEW)
<p>COORDINATION WORKING GROUP</p> <p>How do you justify the increase (or decrease) in scores between scores reported in 2015 reporting period and scores reported in 2016 reporting period? Please explain!</p>	<p>4</p> <p>In 2016, the technical group members of the PPCR coordination mechanism have participated in the development of the National Climate Change Adaptation Strategy. Due to their direct contribution, more than 30 investment projects relevant to climate change adaptation have been developed. With the direct participation of members of PPCR coordinating mechanism, the assessment of main indicators of Climate Investment Fund is being conducted, both at the national level, and at the level of PPCR projects. Four meetings of the PPCR coordination mechanism reviewed projects submitted to the Green Climate Fund. Most of the technical working group members were included in Technical Group of the Green Climate Fund, for which, the Authorized Body is the Committee for Environmental Protection</p>	<p>4</p> <p>As in previous years, the coordination working group is mainly engaged in coordination of climate change resilience interventions funded through the PPCR. At the same time, members of the technical group and the PPCR Secretariat participated in discussions on implementation of projects linked to climate change issues funded and/or implemented by international organizations. In 2016, the members of the PPCR coordination working group were included in the technical working group of the Committee on Environmental Protection, the Authorized body for the Green Climate Fund.</p>	<p>5</p> <p>Currently, from 20 members of the PPCR Coordination Mechanism Working group, 4 members represent non-governmental organizations. Overall, 20% of the PPCR working group members are representatives of public organizations. From the total number of non-governmental organizations, two organizations are directly working with climate change issues and two other organizations work on gender and education issues associated to climate change.</p>	<p>6</p> <p>During 2016 the reporting period the PPCR website (http://www.ppcr.tj/index.php/ru/downloads) has been improved with a special system for storage and distribution of data. PPCR information was disseminated on social media such as through Facebook (www.facebook.tj/ppcr.tj) and on YouTube (registered domain for the platform with the name – IQJ.M.I.U). Currently a Platform has been developed on climate change knowledge management – www.iqlim.tj and the data collection process is ongoing. Information on climate change is also disseminated through websites of NGOs such as the NGO 0 Climate Network (www.tajcn.tj), Youth Eco Center (www.ecocentre.tj), Little Earth (www.littleearth.info.ms) and websites of Climate network NGOs of EECCA countries such as the http://infoclimat.org. Climate information and messages are also disseminated through electronic digests, printed magazines such as the Green Energy and We, Tabiat and others. The Committee for Environmental Protection under the Government of Tajikistan (http://www.hifzitabiat.tj) and the Department for Environmental Education issued newsletters, magazines, newspapers and materials covering important environmental issues, including climate change. Climate updates and information are also made available on the website of the Agency for Hydrometeorology (www.meteo.tj)</p>	<p>5</p> <p>During the reporting period, gender balance in the Coordinating Working Group remained the same. From 20 members of the working group, 6 members are women (30%). From the total number of women three are representatives of government agencies and three representatives of non-governmental organizations.</p>	



INSTRUCTIONS:

1. Please establish scoring criteria for each of the aspects of this scorecard and submit them with your report. This should be done once, preferably at baseline stage and used during subsequent reporting years.
2. If you have previously established your scoring criteria, use them and submit them with your report.
3. Score each cell with a score between 0 and 10 (refer to your scoring criteria defined for this scorecard)
4. Provide explanation of change in scores between 2014 and 2015 in appropriate cells and avoid abbreviations.

GENDER CONSIDERATIONS AND COORDINATION MECHANISM

Please elaborate on whether and how gender good practice at the institutional level has been mainstreamed into the coordination mechanism unit.

This should include commentary on the number of technical staff (women, men) in the unit and whether any gender training/capacity-building has been offered with PPCR support to staff in the coordination unit (women, men) or other government staff working on climate change.

Of the total number of the PPCR Coordination Mechanism's technical working group members (20 persons), 7 members are women (35%). Of the total number of women, four are representatives of the government structures, and three represent Non-Government Organizations (NGOs). More than 30% of government agencies' personnel, who attend seminars, trainings and conferences both in the country and abroad are women. More than 25% of students enrolled in five higher educational establishments, studying "Introduction to the Climate Change", are female. More than 30% of the personnel in the government structures, addressing climate change issues, are women.

LESSONS LEARNED

What have been the key successes when strengthening the Government capacity and the coordination mechanism?

1. In 2016, in five established Information Centers on raising awareness about climate change workshops for the public institutions have been conducted on climate change issues (total number of participants were more than 150 people)

2. For the representatives of key ministries and agencies, two week retreats have been organized on the subject of development financial proposals on climate change adaptation issues in the Green Climate Fund.

What have been the key challenges and what opportunities for improvement do you see?

1. In the adopted by Government the National Development Strategy of the Republic of Tajikistan until 2030 it is noted that one of the challenges for mitigation and adaptation to climate change is the imperfection of the legal framework and management mechanism. Lack of incentives and legislative policy on climate change and resistance issues, both at the central government level and at the level of key ministries do not give the opportunity to develop climate change planning at key sectors level.

2. In accordance with the draft of the National Climate Change Adaptation Strategy, it is necessary to develop a law on climate change. It is advisable to include functions associated with climate change issues in the competence of the Committee for Environmental Protection with establishment of appropriate agency.

SHARING EXPERIENCES

Please let us have some insights into the particular experience of your country with strengthening the Government capacity and the coordination mechanism to mainstream climate resilience.

1. The technical working group established within coordination mechanism, which consists from representatives of key ministries and agencies, research centers and non-governmental organizations at the PPCR level, currently become a major potential on issues related to climate change at Authorized Body in the Green Climate Fund.

Annex 7

Example of Scorecard 3 for Core Indicator 3

PPCR SCORECARD 3		DATE OF REPORT:		06/30/17		
PPCR CORE INDICATOR 3: QUALITY OF AND EXTENT TO WHICH CLIMATE RESPONSIVE INSTRUMENTS/INVESTMENT MODELS ARE DEVELOPED AND TESTED						
DATA COLLECTION METHOD: SCORED AT THE PROJECT-LEVEL AND COMPILED AT THE PPCR INVESTMENT PLAN LEVEL						
PPCR INVESTMENT PLAN		DOMINICA				
COUNTRY AGGREGATE REPORT						
REPORTING PERIOD: From: January 1, 2016 To: December 31, 2016						
PROJECT TITLE	Climate responsive instrument/ investment models identified:	Has the instrument/ investment model been developed and tested?	Has the instrument/ investment model been implemented to the scale proposed?	Has the instrument/ investment model appropriately incorporated the needs of both females and males into its design and implementation?	Has the instrument/ investment model incorporated the needs of vulnerable populations into its design and implementation?	
A	#	B	C	D	E	F
	1	Increased water storage capacity in project areas	7	4	8	8
		Briefly comment on each score	Bidding process completed in December 2016 and contract awarded for construction of 8 water storage tanks along the West Coast; works commenced in March 2017.	Implementation between 26 - 50% of proposed scale since procurement process for contract award completed; tanks will be fully commissioned Feb/March 2018.	Approximately equal number of males and females needs incorporated into the project.	Over 70% of the needs of vulnerable populations incorporated into the project design and implementation. The project location selection was a direct result of the vulnerabilities identified.
	2	Hydrometeorology Assessment	10	10	10	10
		Briefly comment on each score	Hydromet assessment completed; April 2015.	Hydromet assessment completed; April 2015.	Full and equal participation of males and females.	100% of investments incorporated needs of vulnerable populations.
DISASTER VULNERABILITY REDUCTION PROJECT (DVRP)	3	Rehabilitation of Rural Roads - Road Works Eastern Island (Immediate Works)	6	5	8	8
		Briefly comment on each score	Designs for the Immediate Works along the identified route (East Coast) completed. Preparatory procurement activities for contracting a Design Firm for Pre-engineering and design services (long-term works) approximately 10% complete. Contract Award expected by April 2017.	The investment has surpassed original implementation of the proposed scale since originally the Immediate Works was not part of the project.	Approximately equal number of males and females participate.	Over 70% of the needs of vulnerable populations incorporated into the project design and implementation. The project location selection was a direct result of the vulnerabilities identified. Additionally, an Indigenous Peoples Plan was developed to ensure that the rights of Indigenous Persons are taken into consideration during project implementation.





4 DISASTER VULNERABILITY REDUCTION PROJECT (DVRP)	Rehabilitation of Rural Roads - Road Works Eastern Island (Long-term Works)	2	2	7	8
	Briefly comment on each score	Procurement procedures for contract award for Consultancy Services - Pre-engineering & Design Services commenced.	25% implementation of proposed scale.	Approximately equal number of males and females participate.	Over 70% of the needs of vulnerable populations incorporated into the project design and implementation. The project location selection was a direct result of the vulnerabilities identified. Additionally, an Indigenous Peoples Plan was developed to ensure that the rights of Indigenous Persons are taken into consideration during project implementation.
	Development of topographic data (control network) and high resolution maps (LIDAR)	4	2	8	8
	Briefly comment on each score	Procurement and Installation of Tide Gauges - a component of LIDAR was completed. Standard Bidding Documents for undertaking the topographic and bathymetric survey issued with bid opening held in January 2017.	Approximately 25% of activities related to LIDAR completed. Tide Gauges are expected April 2017 and contract award for topographic survey expected April 2017.	Approximately equal number of males and females participate.	Over 70% of the needs of vulnerable populations incorporated into the project design and implementation. The project location selection was a direct result of the vulnerabilities identified.
	Open-source (spatial data) platform development	7	4	8	8
	Briefly comment on each score	Invitation to Quote submitted for the procurement of UPS back-up; 22 line ministries connected to spatial data platform.	Approximately 25% of activities related to LIDAR completed. Tide Gauges are expected April 2017 and contract award for topographic survey expected April 2017.	Approximately equal number of males and females participate.	Over 70% of the needs of vulnerable populations incorporated into the project design and implementation. The project location selection was a direct result of the vulnerabilities identified.
	Climate risk analysis reflected in drainage and transport infrastructure design	4	2	8	8
	Briefly comment on each score	Indirect Peak Flow Study completed; presentation held for public and private sector and report has been made available on DVRP website.	LIDAR activities must be completed prior to commencement of this activity; draft Terms of Reference prepared.	Approximately equal number of males and females participate.	Over 70% of the needs of vulnerable populations incorporated into the project design and implementation. The project location selection was a direct result of the vulnerabilities identified.
8	Forest Inventory	2	2	8	8
Briefly comment on each score	Terms of Reference for undertaking Forest Inventory drafted and submitted to key stakeholders for comments. Research completed on possible expertise in this area.	Based research completed for the reporting period and the draft terms of reference, this activity is about 25% complete.	Approximately equal number of males and females participate.	Over 70% of the needs of vulnerable populations incorporated into the project design and implementation. The project location selection was a direct result of the vulnerabilities identified.	





PPCR SCORECARD 3

(CONTINUED)

A	#	B	C	D	E	F
PROJECT TITLE		Climate responsive instrument/ investment models identified:	Has the instrument/ investment model been developed and tested?	Has the instrument/ investment model been implemented to the scale proposed?	Has the instrument/ investment model appropriately incorporated the needs of both females and males into its design and implementation?	Has the instrument/ investment model incorporated the needs of vulnerable populations into its design and implementation?
9		<p>Rehabilitation of Forestry Nurseries - Expanding forest nurseries through plant production: forest species, agriculture, horticulture (fruits, etc.)</p> <p>Briefly comment on each score</p>	4	3	8	8
			The PCU contracted a design and supervision consultant for the Construction of the Forestry Nurseries. Final designs were received during the last quarter of 2016. Review and prioritization of the detailed designs are ongoing.	The investment has surpassed the original scope of works; this is due to the dilapidated state of the existing structures originally identified.	Approximately equal number of males and females participate.	Over 70% of the needs of vulnerable populations incorporated into the project design and implementation. The project location selection was a direct result of the vulnerabilities identified.
10		<p>Installation/development of National Hydrometeorology Network</p> <p>Briefly comment on each score</p>	4	2	8	8
			In December 2016, the PCU contracted a Hydromet Consultant for the Design and Development of Technical Specifications for the Hydromet Network.	Based on the Consultant's inaugural mission, the scope of the project in terms of the number of weather stations will increase due to various factors in the network design and topography.	Approximately equal number of males and females participate.	Over 70% of the needs of vulnerable populations incorporated into the project design and implementation. The project location selection was a direct result of the vulnerabilities identified.
11		<p>National Soil Survey & Mapping</p> <p>Briefly comment on each score</p>	2	2	8	8
			The PCU commenced procurement activities towards the development of the soils survey. Draft ToRs have been developed and portable soil test kits being procured.	The PCU anticipates that a Consultant will be contracted in 2017 to undertake the National Soils Survey. This activity will complement existing related works being conducted by the Government of Dominica.	Approximately equal number of males and females participate.	Over 70% of the needs of vulnerable populations incorporated into the project design and implementation. The project location selection was a direct result of the vulnerabilities identified.
12		<p>Development of District Climate Adaptation Plans</p> <p>Briefly comment on each score</p>	2	2	8	8
			The Terms of Reference have been developed.	The PCU will proceed with this activity once LIDAR sub-project have been completed.	Approximately equal number of males and females participate.	Over 70% of the needs of vulnerable populations incorporated into the project design and implementation. The project location selection was a direct result of the vulnerabilities identified.



INSTRUCTIONS:

1. List all climate responsive instruments/investment models identified in each of your project before starting (refer to projects documents).
2. Establish scoring criteria for each of the aspects of this scorecard and submit them with your report. This should be done once, preferably at baseline stage, and used during subsequent reporting years.
3. If you have previously established your scoring criteria, use them and submit them with your report.
4. Score each cell with a score between 0 and 10 (refer to your scoring criteria defined for this scorecard).
5. Add more lines under each project if needed.

LESSONS LEARNED

What have been the key successes when developing and testing these instruments/investment models?

1. In testing the investment models creates additional opportunities which probably was not considered during development stage. E.g. the many spin-offs anticipated from the National Hydrometeorology Network.

2. Disbursement of computer hardware and software facilitated key data collection activities needed to support other project activities.

What have been the key challenges and what opportunities for improvement do you see?

1. One of the key challenges has been the unanticipated amount of time which is dedicated to preparatory activities such as procurement of Consultants, Goods etc.

2. In terms of infrastructural works, one major challenge has been the financial requirements for small firms in keeping with the World Bank's Procedures; there seem to be a disconnect between the economic reality of small island states and donors procedures.

3. One opportunity which has been created is capacity building among small firms to compete on donor-funded projects.

Annex 8

Scoring Workshop Summary Form

SUMMARY OF THE SCORING WORKSHOP

Who were the different stakeholder groups invited to the scoring workshop (composition and number)? Please attach the list of participants.

How did you define your scoring criteria for Scorcards 1 and 2 (national level) and Scorecard 3 (project level)? Please attach scoring criteria for scorcards 1, 2, and 3.

Please provide a brief summary of the workshop. What were the key issues raised during the workshop?

Have you shared the results of the scoring workshop to a wider in-country stakeholder group (e.g., an annual multi-stakeholder national-level steering committee and/or stock-taking meeting on the implementation of the SPCR)?

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