

# CLIMATE INVESTMENT FUNDS

CTF-SCF/TFC.4/3  
March 4, 2010

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Joint Meeting of the CTF and SCF Trust Fund Committees  
Manila, Philippines  
March 16, 2010

## **HARMONIZATION OF CIF RESULTS FRAMEWORKS**

**Proposed Decision of Joint Meeting of CTF-SCF Trust Fund Committees**

The meeting reviewed document, CTF-SCF/TFC.4/3, Harmonization of CIF Results Frameworks and approves the proposed CIF Results Frameworks, subject to the comments made at the meeting.

The meeting requests the CIF Administrative Unit and the MDBs to refine further the indicators with a view to ensuring that results measurement is simplified and anchored within the programs and projects at the country level and with a specific emphasis on data availability and quality. In particular, it is recommended that the development of further indicators be limited to those that will allow the Trust Fund Committees to focus on the most relevant elements of the CIFs.

The Trust Fund Committees requests that an update on the indicators and the results framework for the Forest Investment Program be submitted for review at the next joint meeting.

## Introduction

1. Results monitoring and periodic evaluation of performance and financial accountability of the MDBs is a core activity of the Clean Technology Fund (CTF) and the Strategic Climate Fund (SCF) Trust Fund Committees as outlined in the governance frameworks of the CTF and SCF<sup>1</sup>. At its meeting in October 2009, the joint CTF-SCF Trust Fund Committee decided to establish a working group with the objective to harmonize the existing CIF results frameworks. Trust Fund Committee members from Bangladesh, Brazil, Canada, France, India, Switzerland and the United Kingdom and representatives from IBRD and IFC constituted the working group and worked with the CIF Administrative Unit to develop harmonized results measurement frameworks. The harmonized results frameworks formalize the commitment of Trust Fund Committees and its partners to accountability for this program and to achieving results. It contains two parts: (i) the logic model; and (ii) the performance measurement framework.
2. Currently draft results frameworks are in place for the Clean Technology Fund (CTF), the Pilot Program for Climate Resilience (PPCR), and Scaling Up Renewable Energy Program (SREP). A process is underway to develop a framework for the Forest Investment Program (FIP). However, each framework, while adhering to general principles of Managing for Development Results (MfDR), has been developed in a different format, with different results levels, nomenclature and labels, and a differing emphasis on results and indicators. (see table 1)

**Table 1:** Overview of the three existing results frameworks – CTF, PPCR and SREP

Aspect	PPCR	SREP	CTF
<b>Structure</b>	Logic model (diagram) and PMF (table)	Results based LFA (table)	Hybrid logic model (diagram) with focus on indicators
<b>Results levels (Low to High)</b>	Outputs and 3 levels of outcomes	Global Goal – SREP Purpose – Country Outcomes	Intermediate Outcomes – CTF Objectives
<b>Indicators</b>	Yes	Yes	Not for all results
<b>Data Collection Information</b>	Yes	Some	Some
<b>Baselines and Targets</b>	No	Only for a few indicators	No

<sup>1</sup> Based on the *CTF Governance Framework*, paragraph 25 and *SCF Governance Framework*, paragraph 20.

3. Section 2 of this report describes briefly the process of harmonization and integration. Issues such as harmonization of performance measures, time frame and attribution are addressed in this section. Section 3 introduces the logical models. Based on the logical models section 4 outlines the respective results frameworks with result statements and indicators. The concluding section focuses on the next steps in outlining a performance strategy for the CIFs.

### **Process of Harmonization and Integration**

4. The first issue that needed to be addressed by the working group was harmonization. In this context harmonization means having all three frameworks using the same labels (outcomes versus objectives for example), having the same structure of the results chain (2 versus 3 versus 4 levels), and having a similar presentation (logic model versus table). It also means that where the same results are being measured under different programs or interventions, that due consideration is given to common indicators and approaches to measurement.

5. The second issue is integration, or, specifying how the various results frameworks relate to each other or “fit together”. In this context this means having a results chain that links expected results at the overall CIF level with a cause and effect logic, to results at the CTF and SCF, and with results at the level of programs, projects, and interventions. This should produce a “nested” set of results frameworks where, for example, the framework for the PPCR is a stand-alone document, but the statements in it are linked to a CIF framework.

6. The process of integration and harmonization has three steps:
- a. **Agreement on the results** – This is a strategic, high level process with some technical discussions to develop the causal results chain and develop results statements.
  - b. **Agreement on the indicators** – This is a more technical process with definitions of indicators articulated, research on data availability, and specification of measurement methodologies. Typically this includes the source of the data, the methodology by which the data will be collected, and the responsibility for data collection.
  - c. **Agreement on a performance measurement strategy** – This is a technical process for the collection of baseline data, a strategic process for setting targets of expected performance, and a technical process determining how data will be collated, aggregated, and reported. This includes how information will be collated or “rolled-up” and then reported. Given the

structure of the funds and programs performance reporting will take place at a number of different levels – individual project / program, country, CIF program/ Fund (CTF, SREP, PPCR, and FIP), and overall CIF level.

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

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

9. The CTF, SREP, and PPCR all differ in the way that they have documented the proposed approaches to performance measurement, performance reporting, and establishing baselines and setting targets. Table 2 provides a comparison.

**Table 2:** Comparison of the existing frameworks – Performance measurement

<b>RBM Elements</b>	<b>CTF</b>	<b>SREP</b>	<b>PPCR</b>
<b>All results have indicators</b>	Tier 1 indicators do not appear to be included	Yes	No indicators for logic model outputs
<b>Definition of indicators</b>	Provided for some but not all	Yes, but for selected indicators not all	Not included
<b>Sources of data</b>	Provided for some but not all	High level only (i.e. data source is MDB reports)	High level, names / types of organizations (i.e. Participating countries)
<b>Collection methodology</b>	Provided for some but not all	Provided for some but not all	Process (ex. Final evaluation) but not methodology, for all indicators
<b>Collection responsibility</b>	Yes, by group of indicators not individually	Included for some indicators but not all	Yes, all indicators
<b>Collation / roll-up process</b>	High level description	High level description	High level description

<b>RBM Elements</b>	<b>CTF</b>	<b>SREP</b>	<b>PPCR</b>
<b>Reporting responsibility</b>	High level description	High level description	Yes, all indicators
<b>Establishing baselines</b>	Describes the process for establishing baselines but actual baseline data not provided	States how baseline would be measured but actual baseline data not provided	Not included
<b>Setting targets</b>	Placeholders (ex. \$X million, y%) in statements but no actual targets provided	Actual targets provided for 3 indicators, majority have placeholders (ex. X toe, Y%) in statements but no actual targets provided	Not included

## **The Results Frameworks of the Climate Investment Funds**

10. The detailed frameworks contain two components:
- A graphical logic model for each fund and program containing the results chain
  - A table containing the results from the logic model and the proposed indicators that could be used to measure the results at the different levels

### **A. The Logic Models**

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

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

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

13. The logic models have been designed in a uniform fashion and have the following common elements. Ultimately the labels and levels are not as important as long as the principles of MfDR are adhered to (such as the integrity of the results chain) and they allow for the fund or program to be accurately represented.

14. The CIF Final Outcome is the highest level of result for all the funds and targeted programs. Social and economic development that is both low carbon and climate resilient is the ultimate goal of the CIF.

CIF Final Outcome

Improved climate resilient, low carbon development

15. The CIF funds and programs are intended to contribute to transformations in the countries in which they are active. Therefore all of the results frameworks have results statements which speak to the transformational impact of the CIF. This is the second highest level of results.

### **CIF Transformative Impact**

16. The interventions supported through the CIFs cannot transform countries directly. Rather they contribute to transformation through catalyzing changes and spurring replication of their successes. Each results framework has results statements that articulate the nature and scope of the catalytic function and the expected replication.

### **CIF Catalytic Replication Outcomes**

17. The projects funded through the CIFs are implemented through MDBs. Therefore the outputs and outcomes of the projects will all be captured in MDB results frameworks. Each MDB framework will be required to link to the CIF fund and program frameworks at the “Catalytic Replication Outcome” level. However, the MDBs are all free to design their project results frameworks as they see fit, as long as they show this linkage. This will help to ensure that all projects funded through a CIF fund or program are all

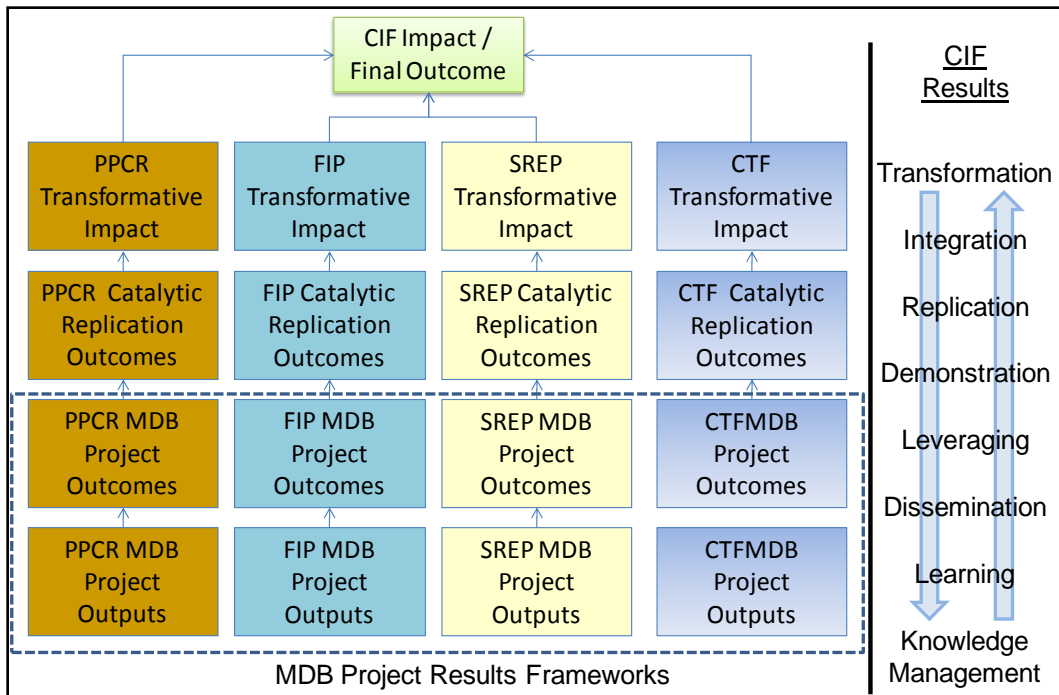
strategically aligned with the overall results framework of the CIF, without dictating to the MDBs what type of framework they must use.

### MDB Project Outputs and Outcomes

18. Activities are only generically specified in the CTF, SREP, and PPCR frameworks because these are within the purview of the MDB projects. In the case of the overall CIF general categories of activities are listed. Inputs are also listed in a generic fashion to give the reader a sense of the types of inputs that will be used.

19. The working group decided to consider the targeted programs and the CTF at the same level. The working group felt that a SCF results framework would introduce an additional layer and reporting requirement with little value addition. Figure 1 shows the basic architecture for the different levels of results management at the CIF.

**Figure 1:** The overall Climate Investment Funds Monitoring and Evaluation Framework



20. There is a need to be consistent across the results frameworks in terms of the timeframes in which different levels of results can be expected, the levels of contribution and attribution, how measurable change will be, and potential measurement strategies for data collection.



21. Table 3 takes each level of results from the logic models for the funds and programs and indicates the timeframe for result achievement. In addition the table provides a sense of the attribution and contribution to results. In terms of measurement that table also shows the likely performance measurement strategy and the purpose / use of the performance information that is gathered about each level. It is worth noting that the majority of data collection conducted regarding results attributable to the CIF will be done in the context of MDBs programs and projects. Most strategic planning information will be collected after the CIF has ended.

**Table 3:** Timeframe and attribution

<b>Result Levels</b>	<b>Time Dimension</b>	<b>Contribution of CIF to Results</b>	<b>Measurement and Attribution</b>	<b>Measurement Strategy</b>	<b>Purpose / Use of Performance Information</b>
<b>CIF Final Outcome</b>	+ 15 – 20 years	CIF makes a small contribution along with many other factors.	Indicators are measureable but not able to attribute change to CIF	<ul style="list-style-type: none"> <li>• National statistics</li> <li>• Global data collection</li> </ul>	<ul style="list-style-type: none"> <li>• Long-term strategic planning</li> </ul>
<b>Transformative Impacts</b>	+ 10-15 years	CIF makes a small contribution along with many other factors.	Indicators are measureable, it may be possible to attribute some change to CIF	<ul style="list-style-type: none"> <li>• National statistics</li> <li>• Global data collection</li> <li>• Post-CIF evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Medium-term strategic planning</li> </ul>
<b>Catalytic Replication Outcomes</b>	+ 5-10 years	CIF has some influence along with many other factors	Indicators are measureable, it should be possible to link some change to CIF	<ul style="list-style-type: none"> <li>• National statistics</li> <li>• Global data collection</li> <li>• Post-CIF evaluation</li> <li>• MDB evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Learning</li> <li>• Future program design</li> <li>• Medium-term strategic planning</li> </ul>
<b>MDB Project Outcomes and Outputs</b>	+ 2-7* years	CIF interventions directly influence outcomes through the delivery of outputs	Indicators are measureable and change is attributable to CIF	<ul style="list-style-type: none"> <li>• MDB project monitoring</li> <li>• MDB evaluation</li> <li>• Special CIF evaluation</li> </ul>	<ul style="list-style-type: none"> <li>• Project Management</li> <li>• Fund / Program Management</li> <li>• Learning</li> <li>• Future program design</li> </ul>
<b>Activities</b>	+ 1-7* years	Undertaken by CIF	Measurement and attribution	<ul style="list-style-type: none"> <li>• MDB Project monitoring</li> </ul>	<ul style="list-style-type: none"> <li>• Project Management</li> </ul>

<b>Result Levels</b>	<b>Time Dimension</b>	<b>Contribution of CIF to Results</b>	<b>Measurement and Attribution</b>	<b>Measurement Strategy</b>	<b>Purpose / Use of Performance Information</b>
	years	projects	are routine		<ul style="list-style-type: none"> <li>• Fund / Program Management</li> <li>• Learning</li> <li>• Future program design</li> </ul>
<b>Inputs</b>	Start of intervention	Provided to CIF	Measurement and attribution are routine	<ul style="list-style-type: none"> <li>• CIF Admin. Data</li> </ul>	<ul style="list-style-type: none"> <li>• Fund / Program Management</li> </ul>

\* MDB project lengths are typically 5-8 years

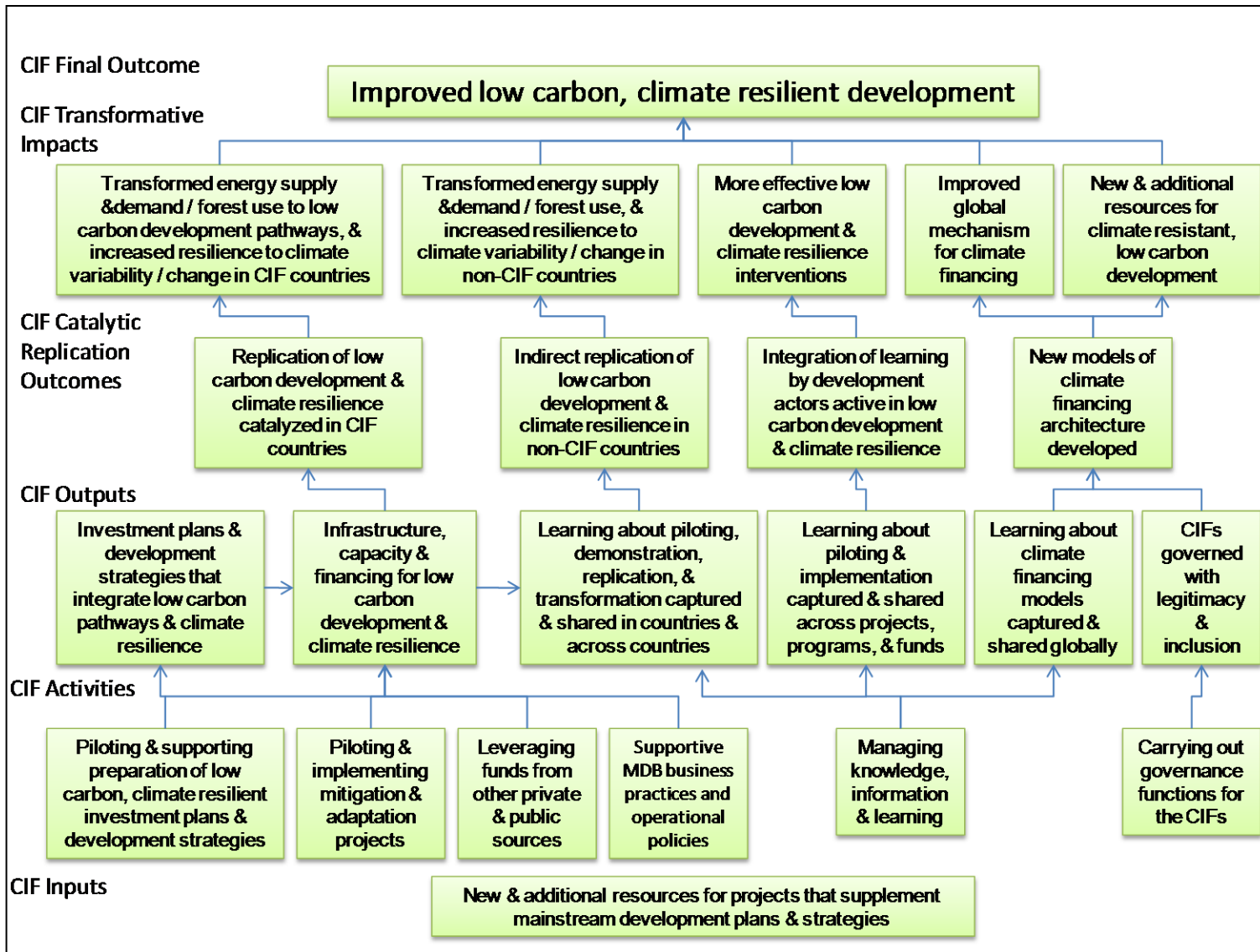
### **The CIF Logic Model**

22. The CIF logic model attempts to capture the results of the CIF as a whole, as a mechanism for climate finances that has a core piloting and learning function and a clear demonstration effect.

23. The CIF aims to bring about transformation on many different levels. It will directly contribute to transformation in the many countries where CIF interventions are directly funded through the CTF, SREP, PPCR, and FIP. In addition it aims to indirectly contribute to transformation in a broader range of countries through demonstration and the sharing of learning. That learning and experience from piloting solutions to climate resilience and low carbon development pathways will also improve the performance of future projects in these areas.

24. The CIF is also intended to transform the mechanisms for climate financing in the future and the amount of resources available for climate resilient, low carbon development, through the development of new models of climate financing architecture.

**Figure 2:** Logic model – Climate Investment Funds (CIF)

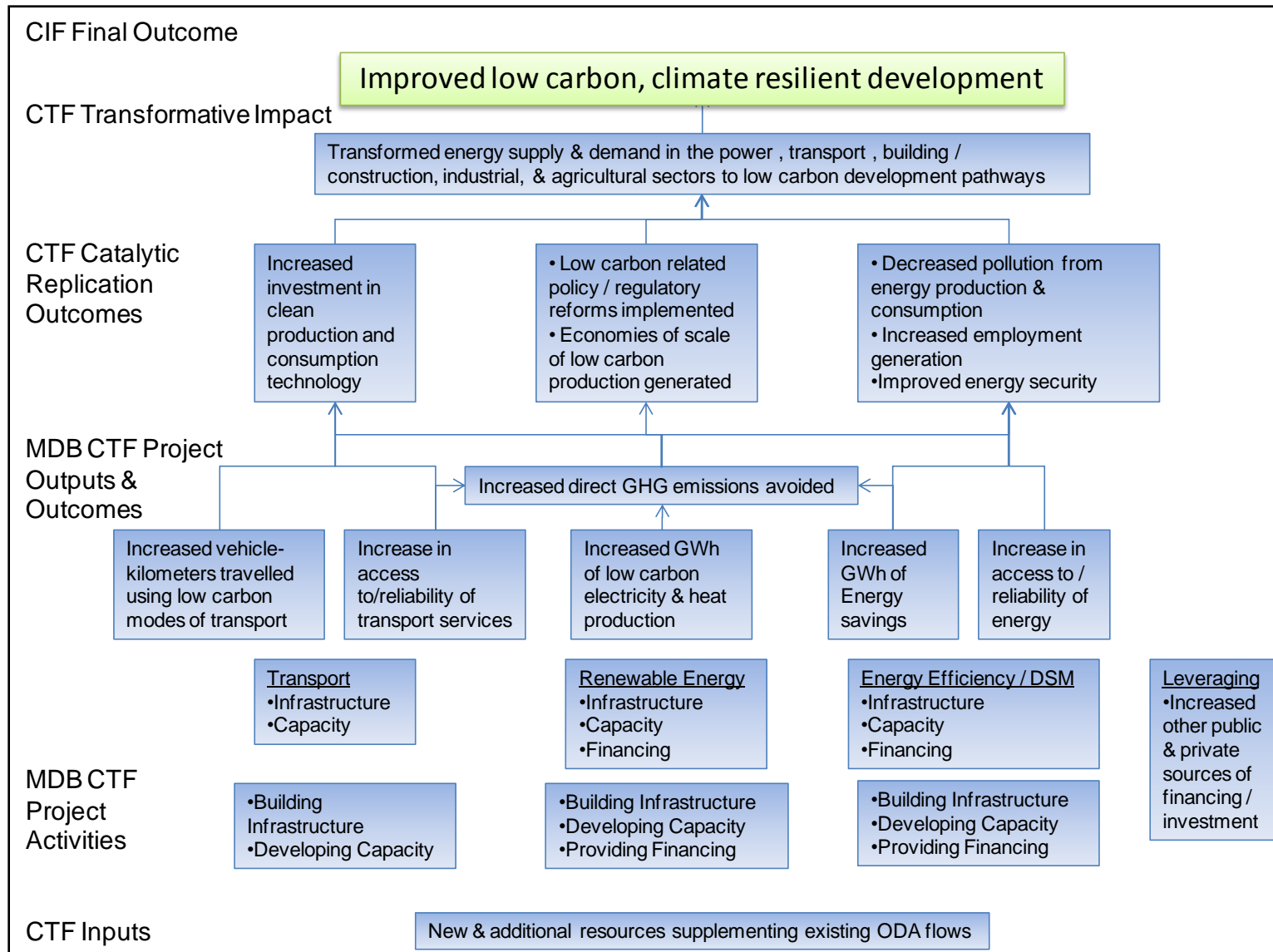


## **The CTF Logic Model**

25. As the largest component of the CIF in dollar value terms, the CTF plays a major role in achieving the overall results articulated in the CIF logic model. It does this through the same pattern of transformation, catalysis, and replication.

26. The CTF aims to transform the energy supply and demand in the power, transport, building and construction, industrial, and agricultural sectors to low carbon development pathways. It cannot transform these sectors directly but aims to trigger and catalyze changes and replicate successes. The projects that it will fund are many and varied but can generally be captured in the three categories of transport, renewable energy, and energy efficiency and demand side management.

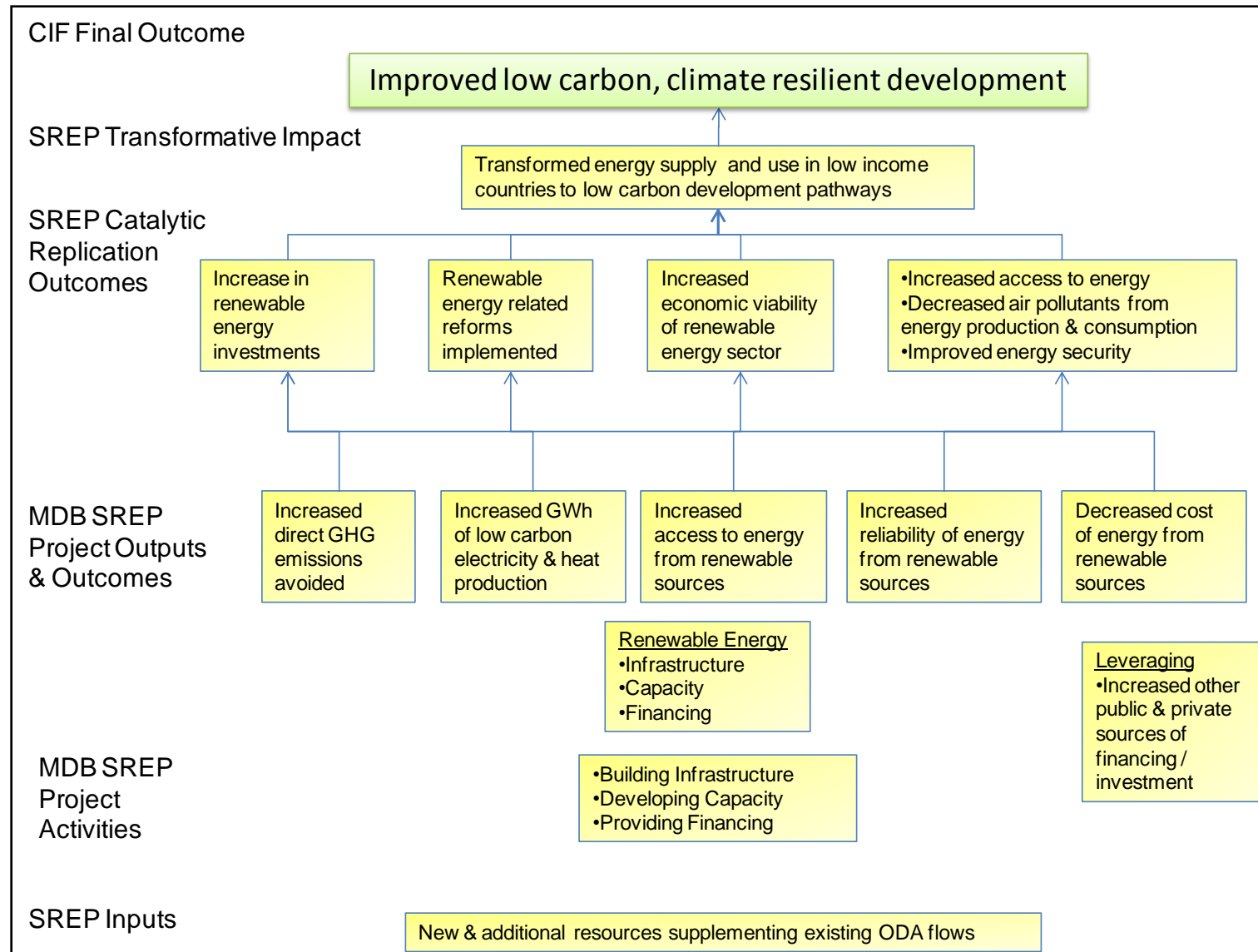
**Figure 3:** Logic model – Clean Technology Fund (CTF)



## **The SREP Logic Model**

27. The SREP logic model follows the same pattern of MDB projects catalyzing changes and successes being replicated, leading to transformations in energy supply and the use of renewable energy for production.

**Figure 4:** Logic model – Scaling Up Renewable Energy Program in Low Income Countries (SREP)



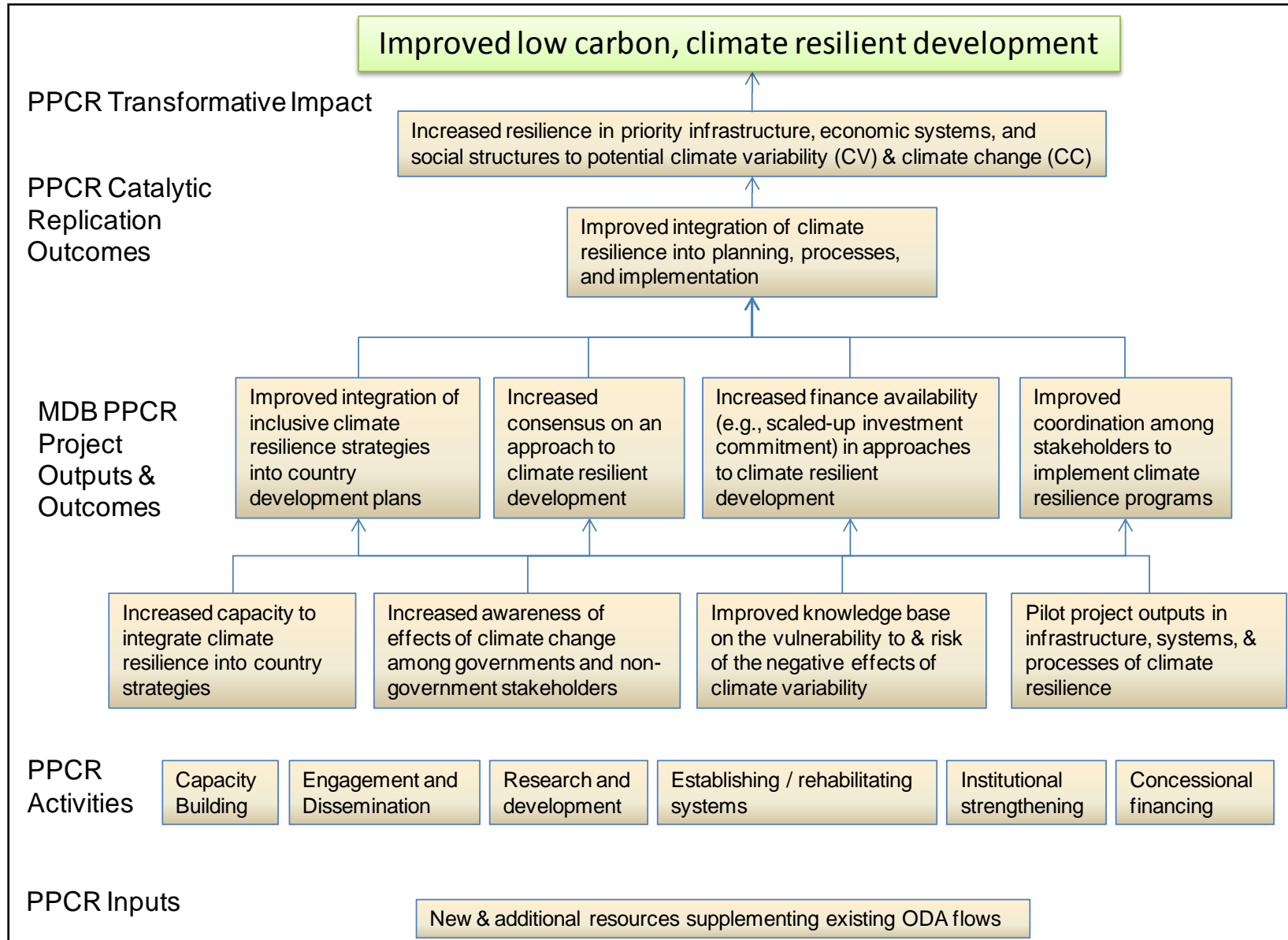
## **The PPCR Logic Model**

28. The subject matter of the PPCR logic model is very different from CTF and SREP but the pattern of results is the same. The PPCR intends to support countries and societies to be more resilient to climate variability and climate change. There are an infinite number of ways that a country can improve its resilience to climate change.

29. For the purposes of the results framework these have been generally categorized as physical infrastructure, economic systems, and social structures. Through various MDB projects the PPCR intends to catalyze change and spur replication at this level. The entry points for doing this are through integration of resilience into national development planning, improving knowledge and awareness, and increasing the resources available for this work.



**Figure 5:** Logic model – Pilot Program for Climate Resilience (PPCR)



## **The FIP Logic Model**

30. The FIP logic model is still under development. The implications for this exercise are that the overall CIF framework may need to be adjusted to some minor extent once the FIP framework has been completed. However, it is expected that the development of the FIP results framework is greatly facilitated by the above proposed structure of the logic models.

### **B. CIF Results and Indicators**

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

32. The number of indicators varies from program to program. It is important to note that the main monitoring and evaluation function in the first couple of years will focus on the lower level indicators at the MDB level because achieving the outcome or impact level results will require that a substantive part of the overall program is implemented or under implementation as discussed in paragraphs 20 and 21 above.

33. Nevertheless, efforts will be made to aggregate data across projects, programs and MDBs for Trust Fund Committees reporting.

34. Due to the fact there have been some new indicators added, and given the differences in the ways that indicators and performance measurement were addressed between the CTF, SREP, and PPCR and within the CTF and SREP, it was not possible at this stage to finalize the performance measurement strategy.

**Table 4:** Results Framework – Climate Investment Funds (CIF)

Results	Explanatory Notes	Indicators	Indicator Details
<b>CIF Final Outcome</b>			
1) Improved low carbon, climate resilient development  (Source: CIF Annual Report, pg 3)	The purpose of the CIF is national social and economic development that is low carbon and can withstand climate change and climate variability.	a) Human development index of CIF countries (Source: SREP framework Existing index)	This indicator measures the progress of social and economic development.
		b) CO <sub>2</sub> / \$ of GDP (Source: New indicator)	This is an emissions intensity indicator that measures the ratio of greenhouse gas emissions produced to GDP.
		c) Average \$ amount of losses per significant climate event  (Source: Adapted from DFID Adaptive Capacity Indicators)	This indicator attempts to measure the level of resilience. However, it does not control for the severity of the climate event, the population density where the event occurs, or the difference in the relative value of infrastructure between locations.
		d) Average loss of life and injury per significant climate event  (Source: Adapted from DFID Adaptive Capacity Indicators)	This indicator attempts to measure the level of resilience. However, it does not control for the severity of the climate event, nor the population density where the event occurs. The data should be disaggregated by sex.

Results	Explanatory Notes	Indicators	Indicator Details
<b>CIF Transformative Impact</b>			
1) Transformed energy supply & demand / forest use to low carbon development pathways & increased resilience to climate variability / change in CIF countries	Through its direct interventions (CTF, SREP, FIP, and PPCR) the CIF hopes to make some contribution to transformations at the country level. These transformations are sought in terms of energy supply and demand, forest use, and increased resilience. This level of results would be supported by all of the transformative impact indicator data from the CTF, SREP, FIP, and PPCR.	a) % share of fossil fuels in total primary energy consumption  (Source: CTF RMS, Apr 09)	See CTF RMS, Apr 09
		b) Carbon intensity of energy production (tCO <sub>2</sub> eq / MWh)  (Source: CTF IC Pub Sec Ops, pg 3, para 6a)	Carbon intensity of electricity production measures the carbon emissions per unit of electricity generated, in a given year (Ce). Annual carbon emissions from electricity generation are measured in kilograms of carbon released per year (C). Electricity generation is measured in gigawatt-hours per year (Ee). Data is found at World Resources Institute.
		c) CO <sub>2</sub> / unit of output  (Source: CTF IC Pub Sec Ops, pg 3, para 6c)	See CTF RMS, Apr 09

Results	Explanatory Notes	Indicators	Indicator Details
		d) [Forest use indicators to be developed]	
2) Transformed energy supply & demand / forest use to low carbon development pathways, & increased resilience to climate variability / change in non-CIF countries.	The CIF has a strong focus on demonstration, piloting, and strengthening the global knowledge base for low-carbon and climate resilient growth. The intent of this aspect of the CIF is to influence the development pathways in non-CIF countries, as well as deepen their influence in CIF countries. Therefore, transformational changes are also sought in non-CIF countries, although the degree of contribution from the CIF will of course be lower, since there are no direct interventions.	See 1-d above.	See 1-d above.
3) More effective low carbon development and climate resilience interventions	The CIF is also intended to improve the way that this type of intervention is undertaken in the future – by governments, MDBs, the private sector, NGOs, etc – in short, all development actors. The learning from piloting, demonstration, scaling-up, etc, will be used to inform and improve the many interventions in the future in this field.	a) Level of improved results of low-carbon, climate resilient programming from development actors  (Source: New indicator)	While this is one of the main intentions of the CIF it will be very difficult to measure. The MDBs and others would have to track how they have integrated the lessons learned from the CIF experience, and if those changes have subsequently improved the results of their interventions. This will be a qualitative indicator but could be supported by quantitative data if this tracking is done with sufficient precision.

Results	Explanatory Notes	Indicators	Indicator Details
4) Improved global mechanism for climate financing	Another feature of the demonstration, piloting, and strengthening the global knowledge base for low-carbon and climate resilient growth, is the mechanism of the CIF itself. In many aspects – governance, participation, structure, ownership, coordination, flexibility, etc – the CIF are a “new experiment”. One of the impacts sought from the experiment is a new and improved global mechanism for climate financing. A mechanism that is developed making full use of the CIF experience and knowledge generated through its implementation.	a) Existence of an improved mechanism  (Source: New indicator)	This indicator has both quantitative and qualitative aspects to it. It should be fairly straightforward to demonstrate the existence of a new mechanism(s). It would be more challenging but still possible, to identify where the mechanism has been developed based upon the learning from the CIF. The question of whether the mechanism is improved will be subjective and subject to determination once a new mechanism(s) is operational.
5) New and additional resources for low carbon, climate resilient development	The experience of the CIF is also intended to influence the resources being brought to bear globally, to support transformation to low-carbon, climate resilient development. These resources should be additional to existing flows. In a sense they will have been indirectly leveraged by CIF.	a) Amount of additional leveraging (\$) programmed for LC, CR D  (Source: New indicator)	This indicator should be able to be tracked through existing country and organization financial reporting systems. Calculation of the “additionality” of the resources will require consensus on how to determine these.
<b>CIF Catalytic Replication Outcomes</b>			

Results	Explanatory Notes	Indicators	Indicator Details
1) Replication of low carbon development and climate resilience catalyzed in CTF, SREP, PPCR, and FIP countries	This results statement captures all of the catalytic replication outcomes from CTF, SREP, FIP, and PPCR. All of these intend to contribute to societal transformation by influencing the sustainable replication of project outcomes.	See CTF, SREP, FIP, and PPCR Catalytic Replication indicators	See CTF, SREP, FIP, and PPCR Catalytic Replication indicators
2) Indirect replication of low carbon development and climate resilience in non-CIF countries	This results statement captures all of the catalytic replication outcomes influenced by the piloting, demonstration, and knowledge sharing that is targeted to non-CIF countries. The degree of contribution from the CIF will of course be lower, since there are no direct interventions.	See CTF, SREP, FIP, and PPCR Catalytic Replication indicators	The same data will be sought for outcome 2 as outcome 1. However, it would be almost impossible to ascertain the level of influence that the CIF had on this situation. Unless these indicators are being reported on independently there may also be a lack of data available.
3) Integration of learning by range of development actors active in low carbon development and climate resilience	In order to get development actors to improve their interventions (See Impact 3 above), those actor must first integrate the lessons learned for the CIF into the way they do business. The CIF can directly influence this outcome by the quality of CIF knowledge management (KM), dissemination, and engagement.	a) % of organizations targeted by CIF outreach that substantially integrate CIF lessons learned  (Source: New indicator)	This is a qualitative indicator expressed in a quantitative manner. The CIF KM may influence a wide range of development actors through its outreach, but there may be certain organizations where there is more intensive engagement. An evaluation process could collect data on how those organizations have changed by integrating lessons learned from the CIF experience.

<b>Results</b>	<b>Explanatory Notes</b>	<b>Indicators</b>	<b>Indicator Details</b>
4) New models of climate financing architecture developed	The CIF experience is intended to directly influence the development of new models of climate financing architecture. The learning process about the strengths and weaknesses of the CIF as a mechanism can be used to inform new models as they are developed.	a) # of new models developed using CIF lessons  (Source: New indicator)	A global scan of climate financing architecture would highlight what new models have been developed. An evaluation process could collect data on how those models have been developed by integrating lessons learned from the CIF experience.
<b>CIF Outputs</b>			
1) Investment plans and development strategies that integrate low carbon pathways and climate resilience	This output statement captures all of the aspects of planning supported through CTF, SREP, FIP, and PPCR.	a) # of plans / strategies approved that integrate LC/CR development  (Source: New indicator)	The MDBs should have data on all of the plans, strategies, etc that have integrated LC/CR development. This would require analysis of how weakly or strongly LC/CR development was integrated.
2) Infrastructure, capacity, and financing for low carbon development and climate resilience	This output statement captures all of the non-planning aspects of support provided through CTF, SREP, FIP, and PPCR, in 3 broad categories: infrastructure provided, capacity developed, and financing provided.	Summation of CTF, SREP, FIP, and PPCR outputs with respect to infrastructure provided, capacity developed, and financing provided	This data will be routinely collected by the MDBs. The CIF unit could collate and compile it.



Results	Explanatory Notes	Indicators	Indicator Details
<p>3) Learning about demonstration, replication, and transformation captured and shared in countries and across countries</p>	<p>“Learning is a systematic part of the CIF. In a sense it is the primary objective.” CIF Annual Report 2009.</p> <p>This result captures all of the learning about CTF, SREP, FIP, and PPCR results: demonstration outputs, the replication they influenced, and the transformation they contributed to. That learning is to be fed back to the CIF Admin Unit by the MDBs and then converted into knowledge assets. (In addition to being fed into and used by the MDB’s own knowledge management processes) Those knowledge assets are then to be disseminated and shared by a variety of means, to a wide range of stakeholders and audiences.</p>	<p>a) # of knowledge assets created</p>	<p>The KM function in the CIF Admin Unit would keep data on the various KM assets created. The data could be tracked by type, data, theme, etc.</p>
		<p>b) Frequency of use of knowledge assets</p>	<p>The KM function in the CIF Admin Unit would keep data on the use of the various KM assets. This could include publication requests, downloads, page views, copies distributed, etc.</p>
		<p>c) Level of client satisfaction with knowledge assets</p>	<p>The KM function in the CIF Admin Unit would collect data on the satisfaction of various clients with the KM assets they used. This could include evaluations of workshops / meetings, web surveys, evaluation, etc.</p>

Results	Explanatory Notes	Indicators	Indicator Details
4) Learning about implementation captured and shared across projects, programs, and funds	This result captures all of the learning about CTF, SREP, FIP, and PPCR the successes and failures of implementation.	See indicators 3a-c	See indicators 3a-c
5) Learning about and climate financing models captured and shared globally	This result captures all of the learning about the CIF as a mechanism for climate financing - successes and failures, issues and challenges.	See indicators 3a-c	See indicators 3a-c
6) CIFs governed with legitimacy and inclusion	Part of the “new experiment” aspect of the CIF is more inclusivity and participation in various aspects of governance.	a) Level of stakeholder satisfaction with CIF governance.  (Source: New indicator)	While a number of indicators could be used to track the governance function (# of meetings, level of participation), the result is most directly measured by the satisfaction of stakeholders with the governance of the CIF. The CIF Admin Unit could conduct a periodic survey of stakeholders or an evaluation process could interview stakeholders on a one-time basis. Stakeholders could be asked a range of questions to gauge their overall satisfaction.

Table 5: Results Framework – Clean Technology Fund (CTF)

Results	Explanatory Notes	Indicators	Indicator Details
<b>CTF Transformative Impact</b>			
1) Transformed energy supply and demand to low carbon development pathways in the:  (Source: New result)		a) Energy intensity of GDP (mJ RE / \$ of GDP)  (Source: International Energy Agency indicator)	International Energy Agency maintains data on energy balances and energy accounts. GDP is published in the United Nations National Accounts Statistics. The IMF “International Financial Statistics” provides nominal and real GDP for most countries.
		b) % share of fossil fuels in total primary energy consumption  (Source: CTF RMS, Apr 09)	See CTF RMS, Apr 09
i) power sector	In the power sector the CTF focuses on renewable energy and energy efficiency in power generation, transmission, and distribution. (CTF Governance Framework, pg 3, para 9)	c) Carbon intensity of energy production (tCO2 eq / MWh)  (Source: CTF IC Pub Sec Ops, pg 3, para 6a)	Carbon intensity of electricity production measures the carbon emissions per unit of electricity generated, in a given year (Ce). Annual carbon emissions from electricity generation are measured in kilograms of carbon released per year (C). Electricity generation is measured in gigawatt-hours per year (Ee). Data is found at World Resources Institute.

<b>Results</b>	<b>Explanatory Notes</b>	<b>Indicators</b>	<b>Indicator Details</b>
ii) transport sector	In the transport sector the CTF focuses on modal shifts to public transport, fuel economy, and fuel switching. (CTF Governance Framework, pg 3, para 9)	d) gCO <sub>2</sub> / passenger km  (Source: CTF IC Pub Sec Ops, pg 3, para 6b)	A very clear environmental indicator for sustainable transport is the operational emissions of carbon dioxide per passenger kilometer. This intensity indicator is useful for demonstrating the relative carbon performance of different modes of transport. (DFID Low Carbon Indicators)
iii) building / construction sector	In the building and construction sector the CTF focuses on energy efficiency and demand side management. (CTF Governance Framework, pg 3, para 9)	e) CO <sub>2</sub> / unit of output  (Source: CTF IC Pub Sec Ops, pg 3, para 6c)	See CTF RMS, Apr 09
iv) industrial sector	In the industrial sector the CTF focuses on reduced energy intensity of production.  (CTF Investment criteria for public sector operations, pg 4-5, para 6)	e) CO <sub>2</sub> / unit of output  (Source: CTF IC Pub Sec Ops, pg 3, para 6c)	See CTF RMS, Apr 09
v) agricultural sector	In the agricultural sector the CTF focuses on energy use per unit of output and irrigation. (CTF Investment Criteria For Public Sector Operations, pg 4-5, para 6)	e) CO <sub>2</sub> / unit of output  (Source: CTF IC Pub Sec Ops, pg 3, para 6c)	See CTF RMS, Apr 09
<b>CTF Catalytic Replication Outcomes</b>			

Results	Explanatory Notes	Indicators	Indicator Details
1) Increased investment in clean production and consumption technology	In order to achieve a transformation in energy supply and demand to low carbon development pathways the investment in clean production and consumption technology will need to increase, relative high carbon emitting technologies.	a) % of low carbon investment of total sector investment – government / private sector  (Source: New indicator)	This indicator measures the relative importance of low carbon investment vis-à-vis the total amount of investment in the sector. The data would be broken down by private sector vs. government.
2) Low carbon related policy / regulatory reforms implemented	In order for clean technology to have wide ranging deployment there is a need for a supportive enabling environment. This means that various policy and regulatory reforms will need to be implemented.	a) Degree to which the policy / regulatory environment is supportive of clean technology.  (Source: New indicator)	Measurement of a supportive policy and regulatory is a qualitative process that will be highly context dependent. In this case at the CTF program level a very generic qualitative indicator is required. The country investment plans already include areas where policy and regulatory reform is desired. It should then be possible to track the status of implementation of those reforms and make an overall assessment of progress.

Results	Explanatory Notes	Indicators	Indicator Details
3) Economies of scale of low carbon production generated	For clean technology to be successful economies of scale must be reached. The intent of CTF is to speed up or deepen market penetration of these technologies. This will result in economies of scale, enhanced competition and private sector participation, and eventually savings in the unit abatement costs. (CTF Investment Criteria For Public Sector Operations, pg 7, para 15)	a) Cost / unit of production  (Source: New indicator)	Economies of scale refers to the reduction of per-unit costs through an increase in production volume of clean technologies. This could include unit costs of RE technologies such as Concentrated Solar Power (CSP).
		b) Cost per ton of CO <sub>2</sub> eq abated  (Source: New indicator)	This indicator is measured by dividing the total investment in clean technologies by the number of tons of CO <sub>2</sub> eq abated. See CTF RMS, Apr 09 for details on the calculation of tons CO <sub>2</sub> eq abated.

Results	Explanatory Notes	Indicators	Indicator Details
4) Decreased pollutants from energy production and consumption and transport	<p>The CTF interventions are intended to have substantial environmental co-benefits. These are important in their own right and provide additional impetus to the widespread use of clean technologies. There are a range of expected environmental co-benefits including decreased air pollution and decreased water pollution from energy systems / decreased contaminant discharge of liquid effluent</p> <p>(CTF Investment Criteria For Public Sector Operations, pg 8, para 21)</p>	<p>a) Level of particulates and SO<sub>x</sub> emissions Kg / MWh</p> <p>(Source: DFID Low Carbon Indicators)</p>	<p>Non combustion technologies such as wind generation or solar energy contribute zero emissions at a local level. This represents significant air quality improvement particularly with regard to the key air quality parameters of PM10 and oxides of sulphur.</p> <p>(Source: DFID Low Carbon Indicators)</p>
		<p>b) Level of PM10 and NO<sub>x</sub> concentrations</p> <p>(Source: DFID Low Carbon Indicators)</p>	<p>This indicator attempts to demonstrate the variability in health impacts from low carbon transport options over combustion based options. Some investment plans already include these measurements.</p>
5) Increased employment generation	<p>The CTF interventions are intended to have substantial social co-benefits including employment generation. These are important in their own right and provide additional impetus to the widespread use of clean technologies.</p> <p>(CTF Governance Framework, pg 2, bullet 7e)</p>	<p>a) # of jobs created (women / men)</p> <p>(Source: New indicator)</p>	<p>The indicator would measure the growth in employment related to the deployment of clean technologies. The data will need to be disaggregated by sex.</p>

<b>Results</b>	<b>Explanatory Notes</b>	<b>Indicators</b>	<b>Indicator Details</b>
6) Improved energy security	Security of energy supply, aligned with GHG-reduction goals, are co-policy drivers for many governments. Another CTF concern is stable provision of energy over time by increasing the reliability of power for business and industry. (CTF Investment Criteria For Public Sector Operations, pg 8, para 20).	a) % of total supply from domestic sources  (Source: New indicator)	International Energy Agency maintains data on energy balances and energy accounts. This type of “sector profile” should be a standard part of CTF planning for a country and would establish a baseline.
		b) Annual duration (in hours) of electricity supply interruptions for the average customer (SAIDI)  (Source: New indicator)	This indicator is calculated by dividing the total number of hours of interruption across all customers by the total number of customers.
<b>MDB CTF Project Outcomes and Outputs (Indicative)</b>		b) Cost per ton of CO <sub>2</sub> eq abated  (Source: New indicator)	
1) Increased direct GHG emissions avoided	CTF interventions are intended to mitigate GHG emissions.  (CTF Governance Framework, pg. 4, para 7a)	a) Tons (millions) of CO <sub>2</sub> –eq mitigated and \$ cost per ton  (Source: CTF RMS, Apr 09)	See CTF RMS, Apr 09 for details on the calculation of tons CO <sub>2</sub> eq mitigated. This indicator is measured by dividing the total investment in clean technologies by the number of tons of CO <sub>2</sub> eq abated.



Results	Explanatory Notes	Indicators	Indicator Details
2) Increased vehicle-kilometers travelled using low carbon modes of transport	CTF interventions are intended to support a modal shift to low carbon public transportation in major metropolitan areas, with a substantial change in the number of passenger trips by public transport.  (CTF Investment Criteria For Public Sector Operations, pg 4, para 6bi)	a) # of vehicle /km  (Source: CTF RMS, Apr 09)	See CTF RMS, Apr 09, Annex 3
		b) gCO <sub>2</sub> / passenger km  (CTF Investment Criteria For Public Sector Operations, pg 3, para 6b)	A very clear environmental indicator for sustainable transport is the operational emissions of carbon dioxide per passenger kilometer. This intensity indicator is useful for demonstrating the relative carbon performance of different modes of transport. (DFID Low Carbon Indicators)
3) Increase in access to/reliability of affordable transport services	CTF programs/projects help <u>accelerate access to transport services for the poorest</u> . Investment proposals will be assessed and prioritized according to the extent to which transport services increase access to mobility for those most dependent on them.  (CTF Investment Criteria For Public Sector Operations, pg 10, para 20)	a) % of population within 2 km of public transport access in project areas  (Source: Adapted from DFID Low Carbon Indicators)	Sustainable transport systems are characterized by ease of access resulting in improved ridership and modal shift. (adapted from DFID Low Carbon Indicators) If possible the data will be disaggregated by sex and socio-economic status.

Results	Explanatory Notes	Indicators	Indicator Details
4) Increased GWh of low carbon electricity and heat production	<p>CTF interventions are intended to produce electricity and heat from renewable sources, efficient gas plants, best available coal technologies, carbon capture and storage, and rehabilitate thermal power plants.</p> <p>(CTF Investment Criteria For Public Sector Operations, pg 3-4, para 6)</p>	<p>a) # of MWh</p> <p>(Source: CTF RMS, Apr 09)</p>	<p>Each project should track the amount of low carbon electricity and heat produced. These figures would be summed across the CTF portfolio.</p>
5) Increased GWh of energy savings	<p>CTF interventions are intended to save energy through reductions in distribution and transmission, large-scale adoption of renewable energy and energy efficient technologies that significantly lowers emissions and energy use per unit of output in buildings, industry and agriculture,.</p> <p>((CTF Investment Criteria For Public Sector Operations, pg 3-4, para 6)</p>	<p>a) # of MWh saved</p> <p>(Source: CTF RMS, Apr 09)</p>	<p>Each project should track the amount of energy saved. These figures would be summed across the CTF portfolio.</p>

Results	Explanatory Notes	Indicators	Indicator Details
6) Increase in access to of energy	<p>CTF programs/projects help <u>accelerate access to affordable, modern energy for the poorest</u>. Investment proposals will be assessed and prioritized according to their potential to increase household electricity access rates, reduce energy supply costs.</p> <p>(CTF Investment Criteria For Public Sector Operations, pg 10, para 20)</p>	<p>a) # of new connections for domestic / commercial consumers due to projects</p> <p>(Source: New indicator)</p>	<p>Each project should track the increase in access to energy for different types of consumers that have been provided through the projects. These figures would be summed across the CTF portfolio. If possible the data will be disaggregated by sex and socio-economic status.</p>
7) Increased other public and private sources of financing / investment	<p>A key objective of the CTF is to mobilize resources at scale for the deployment, diffusion and transfer of low carbon technologies. Investment proposal will be prioritized on the basis of the co-financing leveraged from domestic public and private sector sources, including carbon finance, as well as bilateral and multilateral development partners.</p> <p>(CTF Investment Criteria For Public Sector Operations, pg 8, para 24)</p>	<p>a) \$ (millions) from other public / private sources; % of total cost</p> <p>(Source: CTF RMS, Apr 09)</p>	<p>Each project should track the amount of finances leveraged. These figures would be summed across the CTF portfolio.</p>

**Table 6:** Results Framework – Scaling Up Renewable Energy in Low Income Countries (SREP)

Results	Explanatory Notes	Indicators	Indicator Details
<b>SREP Transformative Impact</b>			
<p>1) Transformed energy supply and use in low income countries to low carbon development pathways</p> <p>(Source: New result)</p>	<p>SREP is intended to help countries develop a renewable energy base that will allow them to leap-frog into a new pattern of energy generation and use. (SREP Design Document, para 5)</p>	<p>a) % share of energy services from low carbon sources</p> <p>(Source: New indicator)</p>	<p>The measure of transformation in energy supply is how much of the total energy supply is coming from renewable sources. Energy services including electricity, heating / cooling, and mechanical energy.</p> <p>The SREP Funding Plan should contain data on the installed renewable energy capacity in a country’s energy supply. (SREP Design Document, para 23)</p> <p>See SREP RF May 09.</p>
<b>SREP Catalytic Replication Outcomes</b>			

Results	Explanatory Notes	Indicators	Indicator Details
<p>1) Increase in renewable energy investments</p> <p>(Source: Adapted from SREP RF May 09)</p>	<p>In order to achieve transformation of energy supply and use there will need to be increased investment in RE. The country's SREP Funding Plan detail how the plan will lead to replication of renewable energy investments. (SREP Design Document, para 23a)</p>	<p>a) % of RE investment of total sector investment</p> <p>(Source: New indicator)</p>	<p>This indicator measures the relative importance of RE investment vis-à-vis the total amount of investment in the sector.</p> <p>See SREP RF May 09.</p>
<p>2) Strengthened enabling environment for RE production and use</p> <p>(Source: Adapted from SREP RF May 09)</p>	<p>In order to increase RE production it is necessary to create an enabling environment by establishing the necessary policy, legal, regulatory and economic frameworks. (SREP Design Document, para 5a) The SREP design principles state that SREP should assist countries in developing or strengthening policies for renewable energy. (SREP Design Document, para 13a)</p>	<p>a) # of countries with supportive EE in place</p> <p>(Source: Adapted from SREP RF May 09)</p>	<p>See SREP RF May 09.</p>

Results	Explanatory Notes	Indicators	Indicator Details
3) Increased economic viability of renewable energy sector  (Source: New indicator)	Long-term commercial viability is a prerequisite for sustainable and affordable renewable energy services. (SREP Design Document, para 5d)	a) Total revenue of enterprises in RE production and supply sector  (Source: New indicator)	One way of measuring the economic viability of the sector over time is to track the total revenue of the enterprises in the sector. This type of “sector profile” should be a standard part of SREP planning for a country and would establish a baseline.
		b) % of total investment in RE sector from private sector  (Source: Adapted from SREP RF May 09)	See SREP RF May 09.
		c) % of total energy sector employment working in RE (women/men)  (Source: DFID Low Carbon Indicators)	The proportion of the overall energy sector related employment attributable to renewable energy generation and distribution. This is a proxy for the scale of development of the renewable energy sector at large. (DFID Low Carbon Indicators)  If possible the data will be disaggregated by sex.

Results	Explanatory Notes	Indicators	Indicator Details
<p>4) Increased access to energy (Source: Adapted from SREP RF May 09)</p>	<p>The aim of SREP is increasing energy access through the use of renewable energy. (SREP Design Document, para 6). There are two dimensions of access to be measured – how much of the population has access and how much does the RE cost – i.e. is it affordable?</p>	<p>a) % of population with access to energy services from RE (country level) (women/men)  (Source: Adapted from SREP RF May 09)</p>	<p>See SREP RF May 09.  If possible the data will be disaggregated by sex and socio-economic status.</p>
		<p>b) Cost of RE \$/mJ  (Source: SREP RF May 09)</p>	<p>See SREP RF May 09.</p>
		<p>c) Number and kWh of additional RE off-grid or mini-grid RE connections  (Source: Adapted from SREP RF May 09)</p>	<p>See SREP RF May 09.  If possible the data will be disaggregated by sex and socio-economic status.</p>

Results	Explanatory Notes	Indicators	Indicator Details
<p>5) Decreased air pollutants from energy production and consumption</p> <p>(Source: New result)</p>	<p>SREP should also lead to economic, social and environmental co-benefits. Using renewable energy in place of conventional fuels could address local air pollution reductions while reducing greenhouse gas emissions, contributing to climate resilience, and enhancing energy security. (SREP Design Document, para 11).</p>	<p>a) Level of particulates and SO<sub>x</sub> emissions Kg / MWh</p> <p>(Source: DFID Low Carbon Indicators)</p> <p>Or</p> <p>% of dwellings meeting WHO indoor air quality guidelines</p> <p>(Source: DFID Low Carbon Indicators)</p> <p>[choose based on data availability]</p>	<p>Air quality issues are a major environmental issue associated with domestic biomass, kerosene and larger scale energy technologies and vehicles. Non combustion technologies such as wind generation or solar energy contribute zero emissions at a local level. This represents significant air quality improvement particularly with regard to the key air quality parameters of PM10 and oxides of sulphur. (DFID Low Carbon Indicators)</p>
<p>6) Improved energy security</p> <p>(Source: New result)</p>	<p>Using renewable energy in place of conventional fuels could enhance energy security. (SREP Design Document, para 11). Typical measures of energy security include the proportion of supply provided by domestic sources.</p>	<p>a) % of total supply from domestic sources</p> <p>(Source: New indicator)</p>	<p>International Energy Agency maintains data on energy balances and energy accounts. This type of “sector profile” should be a standard part of SREP planning for a country and would establish a baseline.</p>



Results	Explanatory Notes	Indicators	Indicator Details
<b>MDB SREP Project Outcomes and Outputs (Indicative)</b>			
1) Increased direct GHG emissions avoided  (Source: Adapted from CTF RMS, Apr 09)	Renewable energy investments lead directly to reductions in GHG emissions. In the case of SREP these are low income countries that are going to increase their commercial energy use substantially. RE investments therefore avoid GHG by providing new energy services without emitting GHGs. (CTF RMS, Apr 09; SREP Design Doc, paras 2,5)	Tons (millions) of CO <sub>2</sub> –eq at \$ cost per ton  (Source: CTF RMS, Apr 09)	See CTF RMS, Apr 09
2) Increased GWh of RE energy services  (Source: Adapted from CTF RMS, Apr 09)	There is a need to ramp up modern energy use in low income countries. SREP Design Doc, para 5)	# of GWh from RE and per capita  (Source: CTF RMS, Apr 09)	See CTF RMS, Apr 09

Results	Explanatory Notes	Indicators	Indicator Details
<p>3) Increase in access to energy from renewable sources (project level)</p> <p>(Source: Adapted from SREP RF May 09)</p>	<p>The aim of SREP is increasing energy access through the use of renewable energy. (SREP Design Document, para 6). There are two dimensions of access to be measured – how much of the population has access and how much does the RE cost – i.e. is it affordable?</p> <p>This result is for specific and discrete SREP projects.</p>	<p># of project beneficiaries with access to energy services from RE (women/men)</p> <p>(Source: SREP RF May 09)</p>	<p>See SREP RF May 09</p> <p>If possible the data will be disaggregated by sex and socio-economic status.</p>
<p>4) Decreased cost of energy from renewable sources</p> <p>(Source: SREP RF May 09)</p>	<p>See above</p>	<p>\$ cost / GWh of RE for project beneficiaries</p> <p>(Source: SREP RF May 09)</p>	<p>See SREP RF May 09</p> <p>If possible the data will be disaggregated by sex and socio-economic status.</p>

**Table 7: Results Framework – Pilot Program for Climate Resilience (PPCR)**

Results	Explanatory Notes	Indicators	Indicator Details
<b>PPCR Transformative Impact</b>	Social and economic development that is resilient to climate change requires resilience to be integrated into all facets of society. This systematic integration is a transformation		
<p>1. Increased resilience in priority infrastructure, economic systems, and social structures to potential climate variability (CV) &amp; climate change (CC)</p> <p>(Source: New result)</p>	<p>The goal of the PPCR is to achieve climate resilience at the national level in the medium and long-term. (PPCR Prog Doc, pg 1. Para 2.)</p>	<p>a) Congruence between priority areas identified in risk / vulnerability assessments and changes made to infrastructure, systems, and processes / economic sectors / social networks and capital to address priority areas. (Source: New indicator)</p>	<p>Priority areas for integration will be identified in the “<i>Strategic Program for Climate Resilience</i>” and other documents.</p> <p>Countries will document and report on the changes they have made to increase resilience. The indicator is measured by analyzing the difference between the two, including changes made that were not identified or flagged as priority. Data will be examined to determine if those addressed by the changes were women or vulnerable groups / poor.</p>
<b>PPCR Catalytic Replication Outcomes</b>			

Results	Explanatory Notes	Indicators	Indicator Details
<p>1. Improved integration of climate resilience into planning, processes, and implementation</p> <p>(Source: Intermediate Outcome #1, Apr 09 RF)</p>	<p>If the PPCR is successful countries will begin to integrate resilience into their planning processes and documents and the implementation of projects.</p>	<p>a) Extent of policy coherence between sector(s) and/or national development strategy related to climate resilience issues (Source: Apr 09 RF)</p> <p>b) Extent to which priorities in key policy documents reflect climate resilience considerations (Source: Apr 09 RF)</p> <p>c) Extent to which implementation process follow the guidelines provided for resilience integration (Source: New indicator)</p>	<p>a, b - See Apr 09 RF</p> <p>c - New indicator – This indicator presumes that the PPCR process will produce some documentation on how implementation should have resilience integrated into it. See Apr 09 RF for other details.</p>
<p><b>MDB PPCR Project Outcomes (Indicative)</b></p>			

Results	Explanatory Notes	Indicators	Indicator Details
<p>1. Improved integration of inclusive climate resilience strategies into country development plans</p> <p>(Source: New result)</p>	<p>The first step in the integration process is to get country development plans to integrate climate resilience strategies. This is a result of “strengthen capacities at the national levels to integrate climate resilience into development planning” a PPCR objective. (PPCR Prog Doc, pg 1. Para 3, (b).)</p>	<p>a) Extent of policy coherence between sector(s) and/or national development strategy related to climate resilience issues (Source: Apr 09 RF)</p>	<p>See Apr 09 RF.</p>
<p>2. Increased consensus on an approach to climate resilient development</p> <p>(Source: Intermediate Outcome #2, Apr 09 RF)</p>	<p>In order for all development partners to align behind a common approach a consensus is required. Phase 1 of the PPCR process facilitates a cross-sectoral dialogue to arrive at a common vision. (PPCR Prog Doc, pg 2. Para 8)</p>	<p>a) Evidence of consensus (ex. Positive - full range of stakeholders signing on to a document / agreement. Negative - major stakeholder groups outside of the process or their disagreement / reservations formally noted)</p> <p>(Source: New indicator)</p>	<p>Measurement of consensus is a qualitative process that will be highly context dependent. In this case at the PPCR program level a very generic qualitative indicator is required. Each individual country process should determine how the presence of consensus (or lack thereof) will be established and documented.</p>

Results	Explanatory Notes	Indicators	Indicator Details
<p>3. Increased finance availability (e.g., scaled-up investment commitment) in approaches to climate resilient development</p> <p>(Source: Immediate Outcome #4, Apr 09 RF)</p>	<p>Integrating resilience will require large amounts of financial resources – beyond PPCR and the CIF. The intent of PPCR and the CIF is to leverage co- and parallel finance. (PPCR Prog Doc, pg 7. Box 1)</p>	<p>a) \$US of financing from other sources, with a leverage of 1:X.</p> <p>(Source: Indicator adapted from Apr 09 RF)</p>	<p>The process of collecting data will be country context specific. “What” needs to be measured is clear from the indicator. “How” it can be tracked will depend on financial data collection systems at country level. This may have to include estimates of leverage. Existing processes for measuring leverage by the MDBs could provide some guidance. The total amount of finance availability could be calculated by adding the PPCR investment and the amount leveraged.</p>
<p>4. Improved coordination among stakeholders to implement climate resilience programs</p> <p>(Source: Immediate Outcome #5, Apr 09 RF)</p>	<p>The PPCR is designed to catalyze a transformational shift from the “business as usual” sector-by-sector and project-by-project approaches to climate resilience. (PPCR Prog Doc, pg 2, para 1) This will require improved coordination among stakeholder groups who may have not worked together in the past.</p>	<p>a) Extent to which stakeholders jointly participate in programs implementation (across usual boundaries). (Source: New indicator)</p>	<p>Measurement of improved coordination is a qualitative process that will be highly context dependent. In this case at the PPCR program level a very generic qualitative indicator is required. Each individual country process should determine how the changes to coordination (or lack thereof) will be established and documented.</p>
<p><b>MDB PPCR Project Outputs (Indicative)</b></p>			

Results	Explanatory Notes	Indicators	Indicator Details
<p>Increased capacity to integrate climate resilience into country strategies</p> <p>(Source: Immediate Outcome #1, Apr 09 RF)</p>	<p>In order to progress with the integration of resilience countries will need to increase their technical capacity. This is an objective of the PPCR: “strengthen capacities at the national levels to integrate climate resilience into development planning” (PPCR Prog Doc, pg 1. Para 3, (b).)</p>	<p>a) Level of “resilience integration” capacity (Source: New indicator)</p>	<p>Capacity and the desired subsequent application of that capacity are two different steps in the results chain. Measurement at this level needs to be of the actual capacity.</p> <p>a) Each capacity development intervention should undertake a needs analysis, document existing levels of capacity (baseline), and then measure the level of capacity following the intervention. The data should be disaggregated by sex.</p>
		<p>b) Proportion of government staff working on country strategy with advanced level of expertise on resilience integration (Source: Adapted from DFID Adaptation Indicators)</p>	<p>b) This indicator presumes that there is a minimum proportion of the group working on the country strategy that has to have advanced expertise on how to integrate resilience. Measurement would be determined in each country context. The data should be disaggregated by sex.</p>

Results	Explanatory Notes	Indicators	Indicator Details
<p>Increased awareness of effects of climate change among governments and non-government stakeholders</p> <p>(Source: Immediate Outcome #3, Apr 09 RF)</p>	<p>PPCR supported actions may include strengthen the understanding of various stakeholder groups of how climate change will affect economic development and growth. (PPCR Prog Doc, pg 11. Box 2)</p>	<p>a) Level of awareness key issues (CV/CC impacts, etc) by stakeholder type. (Source: adapted from Apr 09 RF)</p>	<p>Collection of data on levels of awareness is expensive and is often not cost-effective. Surveys can cost more than the awareness raising itself. A solution may be to estimate the size of the stakeholder group potentially affected by the awareness raising program. This can only be determined in the context of the country, the type of awareness raising intervention, and the type of stakeholder group.</p> <p>Where possible the data will be disaggregated by sex and socio-economic status.</p>



Results	Explanatory Notes	Indicators	Indicator Details
<p>Improved knowledge base on the vulnerability to &amp; risk of the negative effects of climate variability / change</p> <p>(Source: Adapted from Outputs, Apr 09 RF)</p>	<p>In order to integrate resilience in plans and implementation there is a need to understand where and what the vulnerabilities and risks of CV/CC are. The <i>“Strategic Program for Climate Resilience”</i> will entail a range of tasks, such as analysis of climate risks. (PPCR Prog Doc, pg 5. Para 21, pg 7. Box 1)</p>	<p>a) Coverage of climate risk analysis and vulnerability assessments</p> <p>(Source: New indicator)</p>	<p>Any studies supported by PPCR should theoretically improve the knowledge base so counting the number of studies would not be helpful. One aspect of determining the extent to which the knowledge base has been improved would be to examine the breadth of the coverage of the analysis and assessments. This could consider if there were any priority areas not covered or particularly vulnerable groups not included.</p> <p>Measurement will require analysis by an expert familiar with the CV/CC context in the country.</p>

Results	Explanatory Notes	Indicators	Indicator Details
<p>Pilot project outputs in infrastructure, systems, &amp; processes of climate resilience</p> <p>(Source: New result)</p>	<p>In order to learn about the integration of resilience the PPCR will fund investments to support climate resilience in key/priority sectors and/or in important ecosystems and/or addressing particularly vulnerable groups. (PPCR Prog Doc, pg 11. Box 2)</p>	<p>a) % and size of projects with satisfactory outcome ratings at exit.</p> <p>(Source: CTF RF Apr 09)</p>	<p>The possible scope and number of PPCR supported pilot “actions” is diverse and unknown. The diversity will make attempts to roll-up data meaningless. Therefore, while individual MDB projects will document expected and actual results achieved, for the PPCR level this is likely to be the most appropriate indicator for management purposes. Where possible project data will be disaggregated by sex and socio-economic status.</p>

## Conclusion

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

35. In this context it is important for the Trust Fund Committees to note that there was not sufficient information nor agreement in the working group on how the data for all indicators (especially new indicators) should be collected, collated, analyzed and reported. Consequently the tables of results and indicators contain general details on how the data for indicators may be collected. Finalization of the performance measurement strategy will be part of the monitoring and evaluation system development exercise which will require further detailed work within the MDBs, their M&E experts, and their country departments or divisions.

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

- a) **Field Testing.** The results frameworks provide an excellent basis to start the monitoring process and to field test the validity and cost effectiveness of some of the indicators. MDBs will need clear guidance on how to link programs and projects to the CIF frameworks. The CIF Administrative Unit will develop guidelines, in close cooperation with the MDB Committee, and the respective results specialists. After experimenting with cascading down indicators, it should be possible to assess whether the assumptions implied in the logic models are coherent with the reality at the field level. This process will require operations to have been initiated at all levels. It is expected, therefore, that early lessons will not be available before 2011.
- b) **Stakeholder consultations.** The time available to harmonize the results frameworks only allowed for a limited number of stakeholders to contribute to their development.<sup>2</sup> In order to promote broad consensus on the indicators, we recommended that stakeholder consultations on the indicators be a key aspect of further development.
- c) **Performance measurement strategies.** Based on field testing and stakeholder consultations, performance measurement strategies for each results framework will be developed and presented to the Trust Fund Committees. This process will allow the

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<sup>2</sup> See annex 1 – *The Harmonization Process*.

Trust Fund and Sub-Committees to assess cost effective ways to collect and report data.

- d) **Monitoring and Evaluation.** The monitoring and evaluation strategy needs to take into account the long term nature of many of the CIF results. For example, many MDB projects are 5 to 8 years in length. This is the amount of time that will be required to produce the fund and program outputs and outcomes. The process of catalyzing changes and spurring replication may take an additional 1 to 5 years. This has implications for the relative emphasis of monitoring versus evaluation. Monitoring is more likely to provide valuable performance information on an ongoing basis at the MDB project output and outcome levels. The catalytic replication level and transformational levels will probably be better served through ex-post evaluation. The resources for, and management of, these evaluations needs to be considered early on in the process to ensure that they are planned and take place.
- e) **Setting up a results monitoring system takes time and requires resources.** It will take at least 2-3 years for the CIFs to establish a system which can provide reliable data for decision making at the Trust Fund level. This is not unusual, and probably quite an ambitious target, considering the early stages of some of the programs. However, the earlier the process is started, the more time is available for testing and improving the proposed frameworks. Therefore, the working group agreed to seek the Trust Fund Committees' approval at this early stage with a view to moving forward, recognizing that the frameworks will continue to evolve and will need to be kept under review by the Committees.

## THE HARMONIZATION PROCESS

1. The process of harmonization and integration was undertaken in a participatory consultative fashion, within the limits of the timeframe required to develop the frameworks and the geographic locations of the various stakeholders.
2. There were six broad stages to the process:
  - i. Initial meetings – The consultant attended a meeting of the working group to receive direction and guidance on the process of harmonization and integration and to provide the group with some initial thoughts on the process. The consultant also met extensively with members of the CIF Administrative Unit to determine specific process steps, timelines, and deliverables.
  - ii. Analysis of existing frameworks – The first deliverable of the consultant was to undertake an analysis of the three existing frameworks and develop an approach paper for how they could be harmonized and integrated. The approach paper was then circulated to various stakeholders for comment.
  - iii. Meetings with the CIF Administrative Unit – Subsequently a series of meetings were undertaken with the CIF administrative unit to build upon the approach and integrate the first round of comments.
  - iv. Drafting of main framework components – Based on the discussions and feedback the consultant produce drafts of the main components of the results frameworks for the funds and programs. The emphasis was getting the main building blocks of the results chain in order and correctly specified. A generic approach was deliberately followed to ensure that the frameworks did not use one format to the exclusion of others. The draft framework components were then circulated to various stakeholders.
  - v. Consultative workshop and meetings – A workshop on the framework components was then held at the World Bank headquarters on February 2<sup>nd</sup>. This involved a detailed walk through of the main components with input and guidance provided by the various attendees. This guidance was then supplemented with additional one-on-one meetings with stakeholders in the Washington DC area to get additional comments. These discussions also included the forthcoming FIP framework.
  - vi. Drafting of detailed frameworks and selection of indicators – Based on the full range of comments and guidance from the workshop, individual meetings, and written submissions from stakeholders, the consultant, in conjunction with the CIF Administrative Unit, produced a detailed set of frameworks for the CIF as a whole, the CTF, SREP, and the PPCR.

## **HARMONIZATION OF THE RESULTS FRAMEWORKS - PRINCIPLES**

The exercise of results framework harmonization and integration has been undertaken with the following principles and standards:

- This exercise should not introduce any strategic elements or areas of focus that are not already part of the CIF design. Consequently the tables with results statements, indicators and explanatory text for both have source references, identifying where the ideas and concepts have been taken from.
- The results statements and indicators should be as simple and streamlined as possible, while capturing the strategic intents and key performance measurement metrics. For this reason some results statements were amalgamated together or deleted.
- This exercise should use as much of the previous results frameworks statements and indicators as possible. All indicators in the previous versions of the results frameworks were considered for inclusion. The reasons not all indicators were used included the fact that the results statements had been changed and the indicators were not appropriate for the new results statement, other indicators were better measures of the result and to minimize the number of indicators that indicator was not used, or the indicator was not determined to be the best way of measuring the result.
- A new framework, for the CIF as a “mechanism” of climate financing is required, as there are expected results at the mechanism level that are not captured in the program frameworks. The content of this new CIF framework will try and anticipate the FIP results but will have to be revisited and possibly revised once the FIP framework is completed.
- This exercise will not produce any new targets or baselines where none were presented before. For the most part the previous results frameworks did not include specific baseline figures or targets but where targets or baselines were provided in the previous frameworks they were integrated.
- The wording of the results statements is necessarily short. There is accompanying text in the table of results and indicators that explains the results chains and clarifies what the individual statements mean.