

# CIF

## CLIMATE INVESTMENT FUNDS

### EXTERNAL REVIEW

#### SAINT LUCIA

### STRATEGIC PROGRAMME FOR CLIMATE RESILIENCE

#### PILOT PROGRAMME FOR CLIMATE RESILIENCE

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**COMMENCEMENT DATE:**  
**MONDAY 23 MAY 2011**

**SUBMISSION DATE:**  
**MONDAY 30 MAY 2011**

## CONTENTS

Brief Summary .....	2	
Part I: Compliance with the General criteria .....	3	
Part II: Compliance with the investment criteria .....	4	
Part III. Recommendations.....	5	
ANNEX ONE	TERMS OF REFERENCE .....	7
ANNEX TWO	SAMPLE DOCUMENTATION .....	9



## Brief Summary

1. The Review requires only a five-page report. For the review results to then provide the Saint Lucia Team with the most practical and useful guidance to strengthen the overall quality of the content and presentation. In addition, (with Saint Lucia Team concurrence) some sample materials have been attached as an Annex that may be useful examples for the Team to consider for inclusion in the final SPCR documents. Using examples from other SPCRs is seen to be a good means of illustrating some technical points. Attached are sample Risk tables and a generic Results Framework.
2. **Friday 13 May:** Draft TOR received for comment from the CIF Administration Unit (Jamie Donovan). Comments submitted 13 May. Letter of appointment received Wednesday 18 May.
3. **Friday 20 May 2011:** Four files<sup>1</sup> were received from Saint Lucia Government PPCR Coordinator, Mr. Crispin d'Auvergne<sup>2</sup> (Ministry of Physical Development & the Environment) containing the relevant Parts One and Two of the draft SPCR for review by the consultant. This was an incomplete draft therefore difficult to be fully analytical of the entire SPCR. **Commenced activities on Monday 23 May.**
4. **Overall:** The draft is missing some key elements: (SPCR Summary Table, Part Three, most Annexes, miscellaneous elements of both Parts, links to Regional Track activities). Overall organization easily improved; use of sub-headings and a simplified numbering of sub-sections could greatly enhance readability and ease of cross-referencing. For example: consider utilizing only three levels of numbering, not six as it is in section *1.2.2.3.2.12 Education Sector*. The Table of Contents did not match the content of Parts One and Two draft.
5. **Overall:** A more compelling style and approach to the writing in general might be to adopt more of a "participant" style, written by a Team that is actively involved in design, planning and implementation, and less as an observer. Part One is not so much a discussion paper, rather it informs the Part Two Investment Programme in all aspects of selection, design and prioritization of needed interventions as well as the approach and methodology for successful, gender-sensitive, cost effective, transformative and sustainable climate resilience. Use of somewhat fewer acronyms may also improve readability.
6. **Analyses and Descriptions - Part One:** Overall adequate analyses and descriptions in Part One; could be strengthened considerably with addition of subsequent practical actions (referenced to those proposed actions in Part Two) that respond to the needs identified. This is a consistent weakness of Part One. For example, the many descriptions of what needs to be done could or should be followed by practical actions that the Investment Programme will address and possibly the priority of such action<sup>3</sup>.
7. The strong **linkages** to Phase One activities through the SPCR Programme of Tasks and Activities matrix (very lengthy and detailed) is excellent. The table should indicate specifically which projects are proposed to be financed by the PPCR, with a breakdown of costs. **Risks** need to be clearly described, along the lines of sample risk tables included in the Annex below.
8. It was agreed (1 June) the consultant would undertake a quick **final review** (4 or 5 June at latest) of completed documents prior to the final submission to the CIF PPCR Sub-Committee (before 6 June).
9. The documents **can be readily improved** to ensure a quality proposal is presented to the CIF PPCR-SC. There is work to be done.

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<sup>1</sup> Four files were as follows: SPCR Part One draft 18 May; SPCR Part Two draft 5 May; a Table of Contents (separate); and a five page document titled "Explanatory Notes".

<sup>2</sup> Crispin d'Auvergne, Chief Sustainable Development & Environment Officer, Sustainable Development & Environment Division, Ministry of Physical Development & the Environment, American Drywall Building Centre, Vide Bouteille, Castries, Saint Lucia, Tel. (1-758) 451-8746/468-5803

<sup>3</sup> It may be feasible in some cases to have identified a need that may not be a priority for the SPCRT, but rather may be an activity for which assistance is pursued later on, using the SPCR as the analytical basis for justifying its importance or level of need.

## Part I: Compliance with the General criteria

While aspects of the draft did not provide adequate evidence of depth of analysis, linkages between Background and Rationale and the Investment Programme, or taking all possible opportunities to be inclusive of key cross-cutting issues (mainstreaming, gender and knowledge management especially), the team in Saint Lucia have addressed these issues in subsequent drafts<sup>4</sup>.

Review Criteria	Adequate		Action Proposed
	YES	NO	
takes into account the country capacity to implement the plan	Y		Strong emphasis to develop National skills and experience. This recognizes existing capacity gaps.
has been developed on the basis of sound technical assessments	Y		Excellent mapping throughout, solid background of analyses; climate science capacity could be strengthened to guide awareness-building.
demonstrates how it will initiate transformative impact	Y		Links to specific National planning instruments, recognition of the significance of climate adaptation to the future is strong.
provides for prioritization of investments		N	Not adequate in draft, has since been addressed.
adequate capturing and dissemination of lessons learned		N	Not adequate in draft, has since been addressed.
stakeholder consultation and engagement	Y		Good understanding of main stakeholders, seem to have been well engaged.
monitoring and evaluation		N	Not adequate in draft, has since been addressed.
links to the results framework (including design of the framework as a practical working tool)		N	Not adequate in draft, has since been addressed.
adequately addresses social and environmental issues, including gender	Y		Not adequate in draft, has since been addressed.
supports new investments or funding is additional to on-going/planned MDB investments	Y		The SPCR has been titled "PPCR and Beyond" recognizing the value of the document to pursue additional financial support, to extend the intended time frame of the PPCR, and to make best use of SPCR planning and implementation.
takes into account institutional arrangements and coordination	Y		Institutional analysis strengthened since 18 May draft. Good thorough understanding of opportunities and constraints for implementation.
promotes poverty reduction	Y		Poverty issues well analyzed and incorporated.
considers cost effectiveness of investments		N	Not adequate in draft, has since been addressed.

## Part II: Compliance with the investment criteria

Part Two Investment Programme was not well developed in the 18 May draft. Similarly, following various communications with the Team, Part Two seems to be shaping up well to be representative of the priorities and the needs identified in both the Phase One activities, and the investigations and consultations that were part of the development of this Phase Two proposal. The scoring on the table below, while subjective, can be a useful tool, especially to compare self-evaluation with independent evaluation. The opportunity was posed to the Saint Lucia Team (24 May), to provide the consultant with a self-evaluation using slightly modified tables as these two in the Report. Time constraints and unavailability of staff were suggested as the reason to not take the opportunity to provide this potentially valuable iterative feedback.

<sup>4</sup> Regular discussions and correspondence with the team over the course of preparing the Review.

	<b>Review Criteria</b>	<b>Comments</b>	<b>SCORE /10</b>
<u>1.</u>	<b><u>Climate risk assessment:</u></b>	Climate science has guided the preparation of the Investment Programme. Strengthening this skill and expertise within Government and civil society could be a valuable addition to SPCR activities if this was seen as a National priority.	<b>8</b>
	The SPCR has been developed on the basis of available information on the assessment of the key climate impacts in the country; the vulnerabilities in all relevant sectors, populations and ecosystems; and the economic, social and ecological implications of climate change impacts.		
<u>2.</u>	<b><u>Institutions/ co-ordination:</u></b>	As is often the case, the opportunities for private sector engagement could be explored in more detail. A benefit of smaller Nation states like Saint Lucia is the 'natural, connection and ease of communication amongst all players.	<b>7</b>
	The SPCR specifies the coordination arrangements to address climate change: cross-sectoral; between levels of government; and including other relevant actors (e.g., private sector, civil society, academia, donors, etc).		
<u>3.</u>	<b><u>Prioritization:</u></b>	While this has not been evident in the 18 May draft, the prioritization of needs and subsequent description of priorities amongst proposed investments has been developed by the Team <sup>5</sup> . Prior vulnerability analyses have been valuable in this regard.	<b>6</b>
	The SPCR has adequately prioritized activities taking into account relevant climate/risks and vulnerabilities and development priorities, sectoral policies; ongoing policy reform processes and existing, relevant activities and strategies.		
<u>4.</u>	<b><u>Stakeholder engagement/ participation:</u></b>	The needs analyses seem to have thoroughly indicated where broader vulnerabilities exist and how the SPCR will address this. However, specific community-based approaches may be useful (using UNDP's prior work).	<b>8</b>
	The SPCR has identified and addressed the needs of highly vulnerable groups.		

\*\*\* A score of 8/10 should be a minimum standard, despite the subjectivity of such scoring.

## Part III. Recommendations

10. Some of the major issues to be clearly evident in the SPCR (either through SPCR investigation or identification, analyses, design, consultation or taken from Phase One) are listed below. This is included here as these are some PPCR 'basic needs'; issues critical to a comprehensive approach to building climate resilience. This could also be used almost as a checklist to ensure the projects meet a basic standard of inclusiveness:
11. Consider for example (but not limited to): gender concerns and opportunities, mainstreaming needs, capacity development, knowledge management, links to National planning, building on strengths, filling gaps or weaknesses, building on existing where possible, transforming and changing, building and up-scaling, focusing on real not perceived needs. These should feature in the development of priorities.
12. Most of these have been addressed in the document however opportunities exist to further strengthen some of these issues and considerations. These aspects all contribute to better, high quality documents which in turn provide the basis for up-scaling existing initiatives, for strong pilots that are readily replicated, and interventions that are sustainable and meet the needs of families and communities in vulnerable areas.
13. Two types of recommendations are presented: i) **CRITICAL** (these I would consider almost mandatory) and ii) **SUGGESTED** (these may serve to improve the document but will depend on time available to make these revisions).

### CRITICAL RECOMMENDATIONS

14. PART ONE – PART TWO: There is not adequate linkages between the Background and Rationale (Part One) and the Investment Programme (Part Two). Consider the heart of the document is the Investment Programme: Part One is then the support documentation to provide the technical basis, needs analysis

<sup>5</sup> Correspondence and discussions with the Team, 20-28 May 2011.

- and justification for what is contained in the Investment Programme. For example: Sections 1.2.2.3.2.8 Disaster Management, 1.2.2.3.2.9 Financial Sector up to 1.2.2.3.2.11 Education Sector, all provide useful discussion but no follow-on; i.e. such sections should lead to the proposed interventions (e.g. Intervention D2.1 in the SPCR Programme of Tasks and Activities matrix. There are other examples.
15. NOMENCLATURE: Consider using “human-made” as opposed to “man-made”.
  16. COSTING: There are no financial data in Part Two. Move Appendix II up into Part Two as the main part of Part Two, consider a landscape format page that will allow room for the addition of costing all proposed interventions. If an intervention is location-specific it may also be useful to include such brief geographic information in the matrix, maybe by district? Clearly delineate what projects are to be financed under the PPCR and what will be used to seek further support in due course.
  17. RESULTS FRAMEWORK: Consider two things here: i) expanding the Results Framework and using this as a design tool to help with establishing some monitoring and evaluation benchmarks, indicators, means of measuring achievement of objectives, overall performance etc., and ii) moving it into Part Two. A relevant sample of such an expanded Results Framework is included for illustrative purposes only) in the Annex Two – Sample Documentation. The Results and Performance Framework (page 31 almost makes redundant, the Results Framework on page 34. These could be combined or revised along the lines of the one in the Annex). Include links to Regional Track here.
  18. MAINSTREAMING AND CAPACITY BUILDING: Part One discussion of capacity building needs to refer specifically to the identified capacity strengthening needs of the agencies responsible for implementation (e.g. SDED/WRMA, NEMO, MoH etc.). A short summary description in Part One to summarise where the opportunities for mainstreaming exist within existing Government departments, legislation and policies at national and local level. The same may be useful as a summary statement on the key opportunities (and response to identified needs) for capacity building, which departments, and other organizations and private sector.
  19. THE ECONOMY: Section 1.2.1.3.2 Socio-economics does not adequately describe the economy of Saint Lucia or the socio-economic context of the country and its population in the Caribbean context. Possibly more importantly, there is little to no mention of the biggest sector contributor to GDP, tourism<sup>6</sup>. In the entire matrix of SPCR Programme of Tasks and Activities, it is only mentioned once under Target E.1 “Adoption of measures to mitigate and prevent natural and man-made hazard risks”.
  20. PRESENTATION: Overall presentation requires considerable improvement. This can be largely accounted for in the fact this version at 18 May was still incomplete and preliminary. I now understand it has progressed considerably over recent days<sup>7</sup>.
  21. GENDER INCLUSIVENESS AND KNOWLEDGE MANAGEMENT: Both these cross-cutting issues are critical to the SPCR. There remains considerable opportunity for these concerns to be integrated into both the discussions of projects (Part One) and within specific elements of the projects themselves (Part Two). Marginalised males and females will require special attention as discussed. The mapping and analysis of vulnerable groups could be a valuable SPCR activity to better inform interventions in future.
  22. SPCR SUMMARY TABLE: Along with all else, I would give this priority. The completion of this table accurately and thoroughly is a critical component of the SPCR. Consider including links to Regional Track here too.
  23. PART TWO: This needs to be fully rearranged in my view. Most of the content is there (except financials), it is just not well arranged at this time. Consider following the PPCR guidance on the exact

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<sup>6</sup> “... the main revenue earner of the economy”, page 13, Draft SPCR 18 May.

<sup>7</sup> “... The key areas of the economic growth are tourism, agriculture and manufacturing”, page 16, Draft SPCR 18 May.

<sup>7</sup> Lengthy discussions with the project Team in Saint Lucia has proved to be invaluable to providing on-going support to the project team of this week or so as the final document takes shape for submission to the CIF.

subheadings and content of Part Two. Primarily, any background material could be moved into Part One if it has not already been said. The heart of Part Two could be the matrix that is currently in the Annex. Combine this with an expanded Results Framework, a thorough costing, completion of Part Three, the project preparation grant request, and this section should be in better shape. Your page 6 (Project Descriptions) could be a good place to start Part Two.

### **SUGGESTED RECOMMENDATIONS**

24. Review entire document for consistency in language, conventions numbering etc.) e.g. use % or percentage, call them Annexes or Appendix, use of acronyms sometimes not others etc.
25. **PRIORITIZATION:** Need to provide a clearer indication of how priorities were set and therefore the selection of projects. I believe this would help to further justify those projects selected. The opportunities for the inclusion of cross-cutting issues could also strengthen priority setting.
26. **PHASE ONE PROPOSAL:** There are other opportunities particularly in Part One document, to indicate that Phase Two is building on the work proposed and on-going from Phase One. This may be an opportunity to indicate progress on Phase One although this is not required.
27. **NATIONAL VISION PLAN:** While it is not clear how the SPCR will contribute to the National Vision Plan, it seems this would be a significant mainstreaming opportunity given its current status and state of flux.
28. **ACKNOWLEDGEMENTS:** Acknowledgement could be placed in the Annex.
29. **MAPS:** Possibly reduce the number of maps; those kept should be two to three times the size to be read easily. Having said that, the maps are excellent, good examples of thorough prior analyses. Some maps, e.g. those indicating population by political district are of limited value. Population information by actual location, density, distance from the coast, distance to hospitals, infrastructure etc. may be more useful indicative data to portray graphically. The Poverty Head Count map is also grouped by political district rather than by clustered density, specific location etc.
30. Section 1.1.3 – Consider Government Structure as a title rather than Type of Governance. This section could actually be moved to the section on Institutional Analysis.
31. Table on page 17. (Key Measures and Initiatives Identified ...etc.): this could give some indication of the status of implementation of these projects and even to suggest which of these the SPCR will build upon? There are significant mainstreaming opportunities within these projects as well maybe?
32. Section 1.2.1.3.2 Socio-economics only seems to discuss macroeconomics; either rename it or widen the discussion.
33. Section 1.2.1.3.5 Knowledge and Information could benefit from a much broader coverage of the need for thorough and comprehensive knowledge management in the SPCR.
34. Section 1.2.2.3.4 Overall Vulnerability is not well developed and could be a very useful discussion to highlight just where vulnerabilities are being targeted in the SPCR.
35. Section 1.6 Strategic .... Etc. – this could be moved into the Rationale and re-titled. In this section as well, one should be careful not to be channeling SPCR funding to fill pre-existing funding gaps or where budget shortfalls are evident. Specific activities should have the end goal of advancing the climate resilience agenda, transformational change and up scaling climate change adaptation efforts in Saint Lucia.
36. Section 1.6.5 – KM... fully missing, need to be fully described. This is a key component of sustainability and bringing climate resilience to families and communities.

**ADDITIONAL DETAILED RECOMMENDATIONS WERE INCLUDED IN THE VARIOUS CORRESPONDENCES WITH THE TEAM 20-28 MAY.**

## **ANNEX ONE**

### **TERMS OF REFERENCE**

#### **INDEPENDENT TECHNICAL REVIEW OF THE STRATEGIC PROGRAMME FOR CLIMATE RESILIENCE OF SAINT LUCIA**

##### **Background and Introduction**

The Climate Investment Funds (CIF), comprising two new funds, the Clean Technology Fund and the Strategic Climate Fund, were approved by the Board of Directors of the World Bank on July 1, 2008. The CIF are an important new source of funding through which five Multilateral Development Banks (MDBs) will provide additional grants and concessional financing to select developing countries to address urgent climate change challenges. The five MDBs are the African Development Bank, the Asian Development Bank, the European Bank for Reconstruction and Development, the Inter-American Development Bank, and the World Bank Group.

The Strategic Climate Fund (SCF) funds the piloting of new development approaches or scale-up of activities aimed at a specific climate change challenge or sectoral response in the areas of climate resilience (the Pilot Program for Climate Resilience or PPCR), sustainable management of forests to reduce deforestation and forest degradation management (the Forest Investment Program or FIP), and scaling up renewable energy in low income countries (the Program for Scaling up Renewable Energy in Low Income Countries or SREP). MDB units and staff work with institutions in recipient countries to identify and prepare CIF opportunities in each of the above areas.

The SCF Trust Fund Committee has agreed that an independent quality review will be undertaken for each individual plan or program (hereinafter referred to as “investment plans”) under the FIP, PPCR and SREP. Such a review should be independent and part of the process of developing these plans. The review should:

- i. Add value to the design process of the investment plan;
- ii. Be part of the country-led preparation process of an investment plan;
- iii. Reflect the objectives and investment criteria of the relevant program under the SCF; and
- iv. Provide knowledge and experience for interested stakeholders, including the members and observers to the SCF governing bodies.

The main objective of the quality review is to support the development of high quality investment plans. The review should assist pilot countries in ensuring that their investment plans meet the necessary requirements of the relevant program, and facilitate the PPCR Sub-Committee endorsement process.

##### **Appointment of a reviewer**

The CIF Administrative Unit has established a roster of experts to perform the independent reviews. The reviewer is to be selected following the procedures adopted by the SCF Committee (see document “*Proposal for the preparation of independent technical reviews of SCF investment plans and programs*”, dated March 29, 2011).

##### **Duties and Responsibilities for the contractor**

1. Conduct a review of the first complete version of the Strategic Program for Climate Resilience of Saint Lucia in accordance with the procedures adopted by the SCF Trust Fund Committee (see Annex A and B of the ToR).
2. Submit the review to the Government of Saint Lucia and CIF Administrative Unit and the World Bank one (1) week after receipt of the draft Strategic Program for Climate Resilience using the template contained in the annex.
3. Discuss with representatives from the Government of Saint Lucia and the World Bank the findings of the review and submit a final version of the review within five (5) working days after this discussion has taken place if necessary. Representatives from the World Bank will indicate the date when they are expected to receive the final version of the review.
4. Participate in the following meetings:
  - An initial introductory meeting organized through an audio conference between the Government of Saint Lucia, the MDB (World Bank) task team working on the PPCR in Saint Lucia and the contractor;
  - A feedback meeting by audio conference after the initial desk review of the draft Saint Lucia SPCR;

- Potential closing/wrap-up meeting of the review by audio conference, as required.
5. The contractor shall:
- Make all efforts to ensure a successful review whose main objective is to support the development of high quality investment plans.
  - Work in his or her personal capacity and perform duties in an objective, neutral and professional manner.
  - Protect any confidential information provided in the course of the review both during and after the term of service.
  - Disclose any potential conflict of interest relating to review activities.

**Timeframe:** The contractor will be hired for a total of 10 days, from April 25, 2011 to June 30, 2011.

**Reporting:** The independent reviewer will report to the CIF Administrative Unit in Washington D.C.

**Rate:** [To be determined depending on the experience of the reviewer.]

### **Annex A: Criteria for Undertaking the Review**

In undertaking the review of an investment plan, expert reviewers will assess whether the investment plan:

#### **General**

- complies with the principles, objectives and criteria of the relevant program as specified in the design documents and programming modalities
- takes into account the country capacity to implement the plan
- has been developed on the basis of sound technical assessments
- demonstrates how it will initiate transformative impact
- provides for prioritization of investments, stakeholder consultation and engagement, adequate capturing and dissemination of lessons learned, and monitoring and evaluation and links to the results framework
- adequately addresses social and environmental issues, including gender
- supports new investments or funding is additional to on-going/planned MDB investments
- takes into account institutional arrangements and coordination
- promotes poverty reduction
- considers cost effectiveness of investments.

#### **Specific to PPCR**

- Climate risk assessment: The SPCR has been developed on the basis of available information on the assessment of the key climate impacts in the country; the vulnerabilities in all relevant sectors, populations and ecosystems; and the economic, social and ecological implications of climate change impacts.
- Institutions/ co-ordination: The SPCR specifies the coordination arrangements to address climate change: cross-sectoral; between levels of government; and including other relevant actors (e.g., private sector, civil society, academia, donors, etc).
- Prioritization: The SPCR has adequately prioritized activities taking into account relevant climate/risks and vulnerabilities and development priorities, sectoral policies; ongoing policy reform processes and existing, relevant activities and strategies.
- Stakeholder engagement/ participation: The SPCR has identified and addressed the needs of highly vulnerable groups.

### **Annex: Outline for the review**

\* The review will be limited to a maximum of five (5) pages.

#### **1. Title of the investment plan**

#### **2. Program under the SCF**

#### **3. Name of the reviewer**

#### **4. Date of submission**

#### **5. Part I: General criteria**

*Please comment on whether the investment plan complies with the general criteria indicated in Annex A of the "Proposal for the preparation of independent technical reviews of SCF investment plans and programs"*

#### **6. Part II: compliance with the investment criteria or business model of the relevant program**

*Please comment on whether the investment plan complies with the criteria specific for the relevant program, as indicated in Annex A of the "Proposal for the preparation of independent technical reviews of SCF investment plans and programs"*

#### **7. Part III. Recommendations**

*Please provide any recommendations that could enhance the quality of the investment plan.*



**ANNEX TWO**

**SAMPLE DOCUMENTATION**

**Sample Risk tables:**

<b>Risks</b>	<b>Management of Risks</b>
Data availability (historic data and a good network of weather stations; Climate change scenarios for the locations of insured)	If data is available but has some gaps, these can be extrapolated from the available data.
Identification of stakeholders	Early planning and coordination between participants; Selection and participation of stakeholders who are organizationally and managerially strong
Misunderstanding of insurance product concepts by stakeholders.	Training and education of stakeholders
Limited capacity to handle climate change components at provincial level	Targeted capacity building and training

**3. Summary of Existing Resilience**

<b>Infrastructure</b>	<b>Risk</b>	<b>Susceptibility</b>	<b>Existing Resilience</b>
West Coast Road (see Map 2)	High	High	Low
Drainage culverts across West Coast Road	Moderate	Moderate	Moderate
Electricity lines along West Coast Road and in CEHZ and CFHZ	High	High	Low
Telephone Lines in the CEHZ and CFHZ	High	High	Low
Fibre optic cables in the CEHZ and CFHZ	Low	Low	High
Telecommunications Tower	Low	Low	High
Main Water Supply	Moderate	Moderate	Moderate
Reef and lagoon systems	High	Moderate	Low/Moderate

**Note: High Risk + High Susceptibility = Low Resilience Low Risk + Low Susceptibility = High Resilience**

**6. Risks**

<b>Risks</b>	<b>Risk Mitigation</b>
Sustainability factors of post-project implementation (maintenance, condition monitoring, general upkeep of goods and services	Maintenance plans included in project TORs, Cabinet approval of the roles and responsibilities of implementing agencies, regular dialogue on progress, constraints and opportunities, regular diligence of Advisory Panel to monitor progress, funds allocation and performance indicators.
Existing weaknesses in public institutions and legislative frameworks	To address the institutional and judicial weakness, regular monitoring and reporting meetings with the relevant players in the sector in each of the projects and with communities engaged in climate sector dialogue. Enforcement clauses for revised legislation, written into the legislation, agreed by Cabinet.

<b>Sample PPCR Results Framework</b>				
<b>Part Two: Investment Programme of the SPCR</b>				
<b>Scope and Time Frame</b>	<b>Outcomes and Impacts</b>		<b>Performance Indicators</b>	<b>Performance Targets</b>
<b><i>Global - PPCR</i></b> <b><i>Final Outcome</i></b> <b><i>(10 – 15 years)</i></b>	All economic and social development is climate resilient		<ul style="list-style-type: none"> <li>▪ Global MDG Indicators</li> <li>▪ People killed annually by climate-related disasters (as % of population)</li> <li>▪ People affected annually by climate-related disasters (as % of population)</li> <li>▪ Economic losses due to climate-related disasters (as % of GDP)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Global MDG progress unaffected by weather and climate</li> <li>▪ Clear downward trend in all three percentages</li> </ul>
<b><i>COUNTRY – PPCR</i></b> <b><i>Transformational Impact</i></b> <b><i>(10 – 15 years)</i></b>	Lives and livelihoods are climate resilient (especially for those currently most vulnerable)	Transformative social and economic development, with increased resilience to climate change, including extremes and variability	<ul style="list-style-type: none"> <li>▪ National MDG Indicators</li> <li>▪ People killed annually by climate-related disasters (as % of population)</li> <li>▪ People affected annually by climate-related disasters (as % of population)</li> <li>▪ Economic losses due to climate-related disasters (as % of GDP)</li> </ul>	<ul style="list-style-type: none"> <li>▪ National MDG progress unaffected by weather and climate</li> <li>▪ Clear downward trend in all three percentages</li> </ul>
<b><i>COUNTRY – PPCR</i></b> <b><i>Catalytic Replication Outcomes</i></b> <b><i>(10 – 15 years)</i></b>	<p>Further up scaling of efforts in other parts of the country, improved knowledge and practices in climate risk management, based on good practices and lessons learned.</p> <p>Knowledge transfer nationally and throughout the Greater Mekong Subregion through regional organizations, annual meetings, shared databases and</p>	<p>Enhanced climate resilience (and investment) in social, economic and environment sectors. A comprehensive programmatic approach is the basis to enhancing climate resilience.</p> <p>Mechanisms established for engaging civil society and the private sector in comprehensive climate</p>	<ul style="list-style-type: none"> <li>▪ National MDG Indicators</li> <li>▪ Injury and loss of life annually by climate-related disasters (as % of population)</li> <li>▪ People affected annually by climate-related disasters (as % of population)</li> <li>▪ Economic losses due to climate-related disasters (as % of GDP)</li> </ul>	<ul style="list-style-type: none"> <li>▪ COUNTRYn MDG progress unaffected by weather and climate</li> <li>▪ Clear downward trend in all three percentages</li> </ul>

<b>Sample PPCR Results Framework</b>				
<b>Part Two: Investment Programme of the SPCR</b>				
<b>Scope and Time Frame</b>	<b>Outcomes and Impacts</b>		<b>Performance Indicators</b>	<b>Performance Targets</b>
	electronic documentations, and other mechanisms.	resilient development.		
			<ul style="list-style-type: none"> <li>▪ Value of programme-based adaptation investment projects (as % of total investment in adaptation)</li> <li>▪ Value of investments in each sector that include management of climate risks (as % of total investment for each sector)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Clear upward trends in both percentages</li> </ul>
<p><b><i>COUNTRY – PPCR</i></b></p> <p><b><i>Projects/Programmes</i></b></p> <p><b><i>Outcomes</i></b></p> <p><b><i>(2 – 7 years)</i></b></p>	<p>Climate resilience is incorporated into development plans and investment programs at various levels, taking into account gender equity, and participation of private sector and civil society</p> <p>Increased use of climate-related information (e.g., risk maps, vulnerability maps, climate change scenarios) within the sectors and by vulnerable groups</p> <p>Increased preparedness of the most vulnerable communities to flood and drought risks</p> <p>Reduced water and soil salinity and thereby improvements in agricultural and fisheries</p>	<p>Improved capacity of government ministries and institutions at national to commune level to manage and coordinate investments and knowledge on climate resilient initiatives</p> <p>Enhanced climate resilient infrastructure development and investments (such as water and sanitation, irrigation, roads, post-harvest facilities, etc.)</p> <p>Proactive involvement of women, civil society organizations and the private sector in decisions that affect climate resilience at local, provincial and national levels</p>	<ul style="list-style-type: none"> <li>▪ Number of development plans that include climate-sensitive investment initiatives that are based on reliable National and Regional climate information and climate risk management approaches (as % of total number of investment initiatives)</li> <li>▪ Number of communes and Provincial Authorities with access to current vulnerability and risk maps (as % of total number of communes and Provinces)</li> <li>▪ Number of women involved in adaptation deliberations (training, decision-making, awareness building etc.) at various levels of government and community (as a % of total)</li> <li>▪ Number of CSO and private sector</li> </ul>	<ul style="list-style-type: none"> <li>▪ Clear upward trend in the percentage</li> <li>▪ Significant upward swing in percentages.</li> <li>▪ Number of newly established partnerships.</li> </ul>

<b>Sample PPCR Results Framework</b>				
<b>Part Two: Investment Programme of the SPCR</b>				
<b>Scope and Time Frame</b>	<b>Outcomes and Impacts</b>		<b>Performance Indicators</b>	<b>Performance Targets</b>
	production, and biodiversity		organizations involved in adaptation activities in collaboration with implementing agencies and MDBs (percentage increase in total over baseline at project commencement)	
<i><b>COUNTRY - PPCR Projects/Programmes  Activities  (1 - 7 years)</b></i>	<b>Promoting Climate-Resilience of Water Resources and Related Infrastructure</b>	<p>Enhanced provincial and district administrative capacity in climate resilience in the water sector</p> <p>Scaled up investments and resilience of irrigation infrastructure to climate change</p> <p>Improved irrigated agriculture and enhanced food security of rural communities</p> <p>Improved technical skills, livelihood options, and adaptive capacity for water user associations and farmers</p> <p>Reduced economic and human losses from floods and droughts</p> <p>Enhanced capacity of communities to manage flood and/or drought events</p> <p>Improved sub-regional cooperation for flood and</p>	<ul style="list-style-type: none"> <li>▪ Number of water resource management plans at provincial and district level</li> <li>▪ Total investments in improved water and irrigation infrastructure</li> <li>▪ Measured change in actual levels of food security</li> <li>▪ Employment figures</li> <li>▪ Reduced losses from hazard impacts</li> <li>▪ Overall impacts of droughts and floods decreased (measure by lost work days, land area degraded, injury and loss of life)</li> <li>▪ Number of multi-country flood or drought cooperative/collaborative initiatives.</li> <li>• Number of households in project area with income lower than the poverty line reduced by 30%</li> <li>• Number of households in the project area with insufficient rice production for year-round consumption reduced by 40%</li> <li>• Average incomes in project area derived from agriculture increased</li> </ul>	<ul style="list-style-type: none"> <li>▪ Measured increases in all indicators</li> <li>▪ Decreased losses from hazard impacts</li> <li>▪ Successful sub-regional collaboration.</li> </ul>

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<b>Scope and Time Frame</b>	<b>Outcomes and Impacts</b>		<b>Performance Indicators</b>	<b>Performance Targets</b>
		drought management	by 30% <ul style="list-style-type: none"> <li>• Number of provinces and districts whose administrative capacity in climate risk management and resilience strengthened</li> <li>• Number of people with secured and sustained access to irrigation increased</li> <li>• Flood protection for xxx people and yyy ha of agriculture lands improved</li> <li>• Number of farmers/women adopting new techniques better adapted to changing climate</li> </ul>	

<b>COUNTRY PPCR Results Framework</b>				
<b>Part Two: Investment Programme of the SPCR, May 2011</b>				
<b>Scope and Time Frame</b>	<b>Outcomes and Impacts</b>		<b>Performance Indicators</b>	<b>Performance Targets</b>
<p style="text-align: center;"><b>COUNTRY – PPCR</b> <b>Projects/Programmes</b>  <b>Activities</b>  <b>(1 – 7 years)</b></p>	<p><b>Enhancing Climate-Resilient Agriculture and Food Security</b></p>	<p>Increased resilience and reduced poverty in the rural, climate-hazard prone areas</p> <p>Enhanced protection of coastal areas from storm surge/sea level rise/saltwater intrusion</p> <p>Improved resilience of agro-biodiversity</p> <p>Enhanced and continued water supply during dry season and drought periods</p> <p>Improved coping mechanisms of small farmers against climate change impacts</p> <p>Enhanced demand side water efficiency</p> <p>Improved design, construction/rehabilitation and maintenance of post harvesting facilities to withstand climate risks</p> <p>Improved institutional structures to respond to climate change (e.g. weather-based insurance)</p> <p>New and additional resources for resilience in the agriculture and related infrastructure, and in coastal areas</p>	<ul style="list-style-type: none"> <li>▪ Number of kilometres of coastal protection increased</li> <li>▪ Number of hectares of mangrove area restored to protect against tidal surges and strong winds</li> <li>▪ Number of farm households adopting adaptive water management technologies and practices increased</li> <li>▪ Number of new irrigation technologies adopted</li> <li>▪ Percentage access to irrigable water sources increased and salt water intrusion decreased</li> <li>▪ Number of farmers/women adopting stress tolerant and adaptive varieties increased</li> <li>▪ Total area of cropped land under adaptive varieties increased</li> <li>▪ Area of farms equipped with water saving technologies increased</li> <li>▪ Area of crop farms equipped with all-weather post harvesting facilities increased</li> <li>▪ Access to credit to transform farm practices increased</li> <li>▪ Insurance mechanism against climate risk successfully piloted and ready to be adopted at a larger scale</li> </ul>	<ul style="list-style-type: none"> <li>▪ Quantitative increase in all indicators</li> <li>▪ Improved crop yields and decreased vulnerability of agricultural livelihoods</li> <li>▪ Improved food security</li> </ul>

<b>COUNTRY PPCR Results Framework</b>				
<b>Part Two: Investment Programme of the SPCR, May 2011</b>				
<b>Scope and Time Frame</b>	<b>Outcomes and Impacts</b>		<b>Performance Indicators</b>	<b>Performance Targets</b>
<p style="text-align: center;"><i><b>COUNTRY – PPCR</b></i></p> <p style="text-align: center;"><i><b>Projects/Programmes</b></i></p> <p style="text-align: center;"><i><b>Activities</b></i></p> <p style="text-align: center;"><i><b>(1 – 7 years)</b></i></p>	<p><b>Improving Climate-Resilient Infrastructure</b></p>	<p>Improved planning for national, provincial and rural road infrastructure development to cope with climate change impacts</p> <p>Increased capacity to withstand climate change impacts in project-specific priority infrastructure</p> <p>Ecosystem-based adaptation strategies adopted focusing on environmental/green planning for project roads to improve flood and drought management</p> <p>Improved emergency management planning for national and provincial roads</p> <p>Climate resilient improvements in provincial roads and urban environmental infrastructure</p> <p>Institutional capacities on technical and financial management of climate risks strengthened</p> <p>New and additional resources for climate resilience in priority infrastructure (e.g. roads, water supply and sanitation)</p>	<ul style="list-style-type: none"> <li>• Continuity of services provided by roads and water &amp; sanitation infrastructure ensured</li> <li>• Coverage under local early warning systems and pilot program for emergency management for provincial roads increased</li> <li>• Number and value of climate-resilient investments in infrastructure increased</li> <li>• Access to markets and other social services for communities improved</li> <li>• Livability of urban and peri-urban areas, and public health improved- incidence of environment related diseases reduced</li> <li>• Percentage of women with new economic opportunities increased by climate resilience activities (direct and indirect)</li> <li>• Number of population served by improved solid waste management and safe water supply during periods of extreme climate events increased</li> <li>• Incidence of seasonal flooding reduced</li> <li>• Number of households with supply of potable water and sanitation services increased</li> </ul>	<ul style="list-style-type: none"> <li>▪ Measurable improvements in indicator real numbers</li> <li>▪ Percentages increase</li> <li>▪ Adverse affects of flooding on fewer people in rural areas</li> <li>▪ Improved sanitation and access to water</li> </ul>

<b>COUNTRY PPCR Results Framework</b>				
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<b>Scope and Time Frame</b>	<b>Outcomes and Impacts</b>		<b>Performance Indicators</b>	<b>Performance Targets</b>
<p style="text-align: center;"><b>COUNTRY – PPCR</b> <i>Projects/Programmes</i></p> <p style="text-align: center;"><b>Activities</b> <i>(1 – 7 years)</i></p>	<p><b>Strengthening Capacity to Mainstream Climate Resilience into Development Planning</b></p>	<p>Improved integration of resilience into national development strategies, plans and policies</p> <p>Strengthened information base for decision making among government agencies</p> <p>Improved resilience and livelihoods, especially for vulnerable groups including women</p> <p>Increased knowledge and awareness of climate change among civil society and private sector</p> <p>Enhanced integration of learning/knowledge into climate-resilient development in COUNTRY</p> <p>Increased involvement of vulnerable rural communities, civil society organizations and the private sector in adaptation efforts</p> <p>Replication of PPCR learning throughout COUNTRY, across the GMS sub-region and Southeast Asia</p>	<ul style="list-style-type: none"> <li>• Degree to which development plans integrate resilience into planning increased</li> <li>• Extent to which decision making is based on COUNTRY-specific climate risks and vulnerability</li> <li>• Number of line ministries updating country strategies for resilience increased</li> <li>• Budget allocations to address climate vulnerability at commune level increased</li> <li>• Evidence of a working mechanism to coordinate investments and knowledge on climate resilience</li> <li>• Coverage of climate risk analysis and vulnerability assessments increased through studies on high priority but un-funded NAPA projects with replicability potential</li> <li>• Quality of participatory planning process as assessed by vulnerable communities</li> <li>• Relevance and quality of knowledge assets on climate resilience in COUNTRY increased</li> <li>▪ Extension of climate resilience principles beyond three priority sectors within COUNTRY, and to non-PPCR countries in GMS and Southeast Asia</li> </ul>	<ul style="list-style-type: none"> <li>▪ Successful comprehensive climate change adaptation mainstreamed into Government policy and planning</li> <li>▪ Climate change common knowledge in rural and urban areas</li> <li>▪ Sustained climate resilience in COUNTRY</li> <li>▪ Vulnerability to climate change reduced</li> <li>▪ Regional collaboration a regular occurrence</li> </ul>