

CLIMATE INVESTMENT FUNDS

March 20, 2009

GUIDANCE NOTE ON PPCR REGIONAL PROGRAMS

I Background

1. Following the recommendation of the Expert Group that regional programs be developed for the Caribbean and South Pacific regions, the PPCR Sub-Committee requested the expert group to undertake further analysis, in collaboration with the Multilateral Development Banks (MDBs) and relevant regional organizations, to recommend which cluster of countries should be included in each regional program.

2. To assist the PPCR Expert Group in this work, the CIF Administrative Unit, working with the MDB Committee, has been requested to prepare further guidance to clarify:

- (a) the proposed objectives, organization and modalities of regional programs;
- (b) indicate what kinds of activities or program components could best be undertaken at the regional level;
- (c) what kinds of activities and program components would be better suited to implementation at the country level; and
- (d) what would be the benefits, synergies and potential lessons to be learned from a regional approach.

3. The present **note** provides general guidance for regional PPCR pilots along the guidance outlined above, recognizing that the specific programming and activities for each region will be developed by the countries participating in the regional program, in consultation with the MDBs concerned.

Comment [MSOffice1]: So this note will be given to the PCCR Expert Group, who will then ???

II Objectives and rationale of a regional approach

4. The implementation of a regional PPCR pilot is anchored in the overall PPCR objectives to:

- (a) pilot and demonstrate approaches for integration of climate risk and resilience into development policies and planning;
- (b) strengthen capacities at the national levels to integrate climate resilience into development planning;
- (c) scale-up and leverage climate resilient investment, building upon other ongoing initiatives; and
- (d) enable learning-by-doing and sharing of lessons at the country, regional and global levels.

5. In addition, regional PPCR pilots will aim to strengthen cooperation and capacity at the regional level to integrate climate resilience into national and appropriate regional development planning and processes¹.

6. A regional PPCR pilot is likely to provide significant benefits over a single-country/country-by-country approach in cases where a single country lacks adequate

Comment [MSOffice2]: So if regional cooperation is not sufficiently 'advance', then no regional PPCRs will be implemented? Or is that only 'certain' types of regional activities will be pursued? How does this footnote reconcile with para. 12?

¹ It is expected that unless regional cooperation has advanced to such a degree that a regional development approach is warranted, PPCR will primarily aim to integrate climate resilience in country-driven development plans and strategies.

level of resources, knowledge, and capacity (see below) and/or where opportunities for key adaptive measures may only be realized through regional or sub-regional cooperation on the management of transboundary resources.

7. For example, Small Island Developing States (SIDS), in particular, have urgent needs to address their special vulnerability to sea level rise and to the impacts of increased intensity of climatic extreme events, including impacts on water resources, natural resources and ecosystems, cities and ports. Yet, SIDS face a number of barriers in addressing development and climate change related issues largely as a result of limited institutional and technical capacity, small size, and remote location, which would limit the ability of an individual country to benefit from PPCR by itself.

8. Regional PPCR pilots provide an opportunity to overcome many of these barriers while also promoting the transfer of lessons, replication and scale-up of activities in participating countries as outlined below.

III Types of activities at regional level

9. In line with the objectives and goals of PPCR, regional pilots should be designed to integrate climate resilience into development planning and sector policies, where relevant, and to promote scaling-up of actions and investments to achieve greater climate resilience in the participating countries within the pilot. To ensure measurable impacts over the lifetime of PPCR, activities will need to be focused.

10. Participating countries in a regional pilot should share a similar range of climate risks (derived by a similar set of hazards, exposure levels and vulnerabilities) representing a corresponding set of **common risk and vulnerability profiles**. This would enable pilot activities to focus on building responses to climate threats that have high relevance to the pilot region/sub-region and to each participating country².

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11. Where possible, regional activities should build on existing collaboration on climate sensitive development issues and/or on prior involvement in regional programs supported through MDBs or other development partners. This will contribute to greater sustainability beyond the timeframe of PPCR support. Depending on the degree of ongoing regional collaboration, capacities, and degree of regional political support of an existing regional institution, the strategic approach and actions on a regional level can take a range of shapes. Agreed – it is true that some regions have existing activities and relationships upon which to build coordination and collaboration

² Furthermore, to not spread activities in a regional pilot too thinly, the number of countries in a pilot in general should be kept to a limited number (i.e. not exceed 3 to 5 countries; an exception might be in cases where countries are very small states).

12. *In cases where there is currently only limited existing collaboration* with regard to development and/or climate change, the regional approach and activities may be focused on:³

- (a) exchange of lessons learned, including through regional exchange meetings;
- (b) regional technical assistance, e.g., analytical and monitoring services to provide critical climate information and to support the development of regional climate scenarios (where the size of each country does not warrant retaining specific expertise in each country);
- (c) development of tools and methodologies to assess vulnerability to, and impacts of, climate change and integration of climate resilience within development planning, including private sector activities;
- (d) provision of training (including training of trainers) with regard to application of such tools and vulnerability assessments and other capacity building efforts;
- (e) support to regional awareness raising efforts on regional climate threats and likely impacts on a country's development.

13. *In cases where a history of regional cooperation exists*, including a mandated regional institutional set-up (for example where regional political or economic groupings are present), PPCR funded regional activities may include regional cooperation and implementation of an expanded range of issues, such as regional climate monitoring and early warning systems, identification of transboundary opportunities to effectively reduce vulnerabilities and risks, as well as inclusion of climate change in regional planning strategies, policies and financing mechanisms for strengthening climate resilience, in the medium and longer-term.

IV Types of activities to be undertaken at national level

14. The range of activities implemented at national level is similar to those in PPCR country pilots. National activities will be supplemented and strengthened by the regional activities. In general, national action may include a range of activities, such as:

- (a) engagement of policy-makers, including economic decision-makers and planners, in knowledge building activities on climate impact scenarios – including seminars/workshops and other events for the dissemination of applied research findings – to strengthen their understanding of how climate change will affect economic development and growth.
- (b) institutional strengthening and revisions of relevant policies and/or strategies and plans to integrate climate resilience into development planning and policy reform across sectors. PPCR is to be opportunistically ambitious in taking advantage of ongoing policy reform efforts (e.g. such as upcoming revisions of PRSPs, sector policies and strategies, etc.)

³ The list provided is illustrative and does not intend to exclude other possible activities.

Comment [MSOffice3]: What is the link between these national activities and para. 16 – “national components”?

- (c) investments to support climate resilience in key sectors and/or in important eco-systems and/or addressing particularly vulnerable groups. This may include, for instance, implementation of measures for integrating climate resilience within spatial planning processes, or modifying building construction standards/codes along with designation of 'no-construction' areas. It may also include improving the enabling environment and access to finance for the private sector to invest in adaptive measures (including innovative adaptation technologies).

V Organization and modalities

Implementation modalities of regional and national activities

15. *Regional activities* will be implemented through a regional entity or entities. Depending on the scope of activities and degree of regional cooperation, these can be either established regional institutions, or other entities (e.g. secretariat of a regional program or initiative) able to work across the selected/participating countries in a regional pilot (e.g. a regional university or research institution, NGO, regional meteorological service agency or other).⁴

16. *National components* of the regional pilot program will be implemented by national governments and agencies⁵. Separate legal agreements between concerned MDBs and country will be entered into for each country. How does this last sentence correlate with footnote 4?

Financing through PPCR

17. *Funding for phase 1 of regional PPCR pilots (phase 1 grants)*: the maximum funds available for phase 1 activities within a regional pilot should be larger than for PPCR single country pilots due to added transaction cost. An additional 30 % compared to the maximum phase 1 funding for a single country pilot⁶ may be expected.

18. *Phase 2 funding*: implementation of regional activities and national programs within a regional pilot could be supported by the PPCR grant and/or loan component (same as country pilots).⁷

19. *The total PPCR allocation for a regional pilot (phase 1 and phase 2)* should be within the same range of financial support provided by PPCR for single country pilots. Phase 1 and 2 funding should complement and build-up existing programs and activities,

⁴ If the regional entity does not have adequate legal standing to sign a legal agreement on behalf of governments, the regional activities could be captured as a component of the national program of the respective host country participating in the regional pilot.

⁵ In accordance with the PPCR principles of supporting country-led approaches

⁶ Procedures and modalities for country pilots to be outlined in the PPCR programming paper.

⁷ It is recognised that regional activities implemented by regional institutions would need to be funded on a grant basis.

Comment [MSOffice4]: Agree that implementing regional activities, requires a legal institutional vehicle. But need some clarity ...Even where a legal entity is able to sign an agreement on behalf of governments – there is still, I think, a consent/ endorsement process required with individual governments?? And such consent/ endorsement may require that individual countries need to sign-off on any agreement. But let's discuss?

including leveraging other sources of funding available at the national, regional or international levels.

VI Benefits, synergies and potential lessons to be learned from a regional approach

Benefits and Synergies

20. Regional PPCR pilots provide an opportunity to overcome many barriers to investment related to scale, resources, and capacity constraints of smaller single countries. Focusing on a regional grouping of smaller countries facing a similar set of climate risks/vulnerabilities will facilitate learning and replication of approaches to increase climate resilience across these countries, and with others in the region. Furthermore, a regional approach can share costs and ensure that benefits are more readily shared among participating countries, e.g. by taking advantage of economies of scale for developing and retaining relevant technical capacity on a regional level that would be too expensive to retain on a national level.

21. Possible types and range of benefits that may accrue include:

- (a) support for and sharing of specialized expertise for addressing climate risks and impacts, including climate modeling efforts that may be too costly to pursue and/or are beyond the institutional capacity of each individual country.
- (b) increased institutional and financial resources for managing climate risks. This could include the establishment/strengthening of centers for climate monitoring and early warning systems.
- (c) development of risk sharing mechanisms, such as regional weather index-based insurance mechanisms which are more economically attractive if implemented at regional levels.
- (d) establishment of regional financing mechanisms, e.g. guarantee facilities to assist public and private sector investment in climate-resilient measures.
- (e) enhancement of replication of successful approaches and innovations across and beyond participating countries, including involvement of the private sector.
- (f) greater leverage of financial resources to finance/co-finance activities related to climate resilience (within PPCR strategic program and beyond).

Comment [MSOffice5]: Would it be possible to provide an example please?

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(g) identification of, and opportunity to, support adaptation measures requiring transboundary cooperation.

22. An additional benefit of the engagement in regional pilots may be the strengthening of greater regional cooperation for environmental management and/or other development related issues.

Knowledge Management and Learning

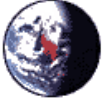
23. Regional pilots provide a range of means for creating, capturing and packaging knowledge, communication and awareness raising products that aim at both country and regional stakeholders from governments, civil society and the private sector. This may result in greater awareness and acknowledgement of specific regional vulnerabilities and climate threats as well as climate resilience building approaches in the respective sub-region and increase the sub-regions visibility in international fora. This may also contribute to attracting additional resources to the region.

24. Regional PPCR pilots will include a conscious effort to disseminate and facilitate transfer of lessons learned across countries in the regional grouping through regional meetings and possible exchange visits between government implementing agencies, private sector groups, communities and/or NGOs. A regional program can also include training-of-trainers programs. These activities will include financing of PPCR funded efforts as well as enhancing links – through for example the establishment of a dedicated website and other IT supported initiatives – with ongoing efforts supported entirely through the government’s resources, and/or by other developments partners (e.g. UN agencies, NGOs, bilaterals, and/or sub-regional banks). A range of innovative ways of exchanging lessons should be piloted.

25. It may be an option to invite more than the participating PPCR countries within the pilot (which are a subset of countries within a specific sub-region) to benefit from the regional knowledge exchange and lessons learned initiatives, which will increase the impacts of the pilot and enhance replication of experiences and lessons learned across the entire region.

Comment [MSOffice6]: Such dissemination, and knowledge -sharing if it is to be sustained (beyond the life of the PPCR) needs to be built-into existing regional mechanisms, and not necessarily as a 'stand-alone'.

Comment [MSOffice7]: This has funding implications



JAN.SHELTINGA

04/03/2009 04:28 PM

To	cifadminunit@worldbank.org
cc	aalvarez2@worldbank.org, ahillers@worldbank.org, Amy.Fraenkel@rona.unep.org, bo.
Subject	Re: Decision by Mail for PPCR

Dear Patricia,

Thank you for the Guidance Note on PPCR Regional Programs. In general, Canada has no objections to the text.

Canada's preference is that a regional pilot under the PPCR should build on existing regional collaboration and use existing regional entities, but we recognize that this option may not be feasible in some cases. We support the idea that the number of countries in a regional pilot should be kept to a smaller number, given the limited financing available, so preferably no more than 3-5 countries should be included in the regional pilot, and 3 may be optimal.

You may wish to clarify the wording on what is being proposed by way of the PPCR allocation for a regional pilot. We assume that paragraph 19 means that the total amount of funding for a regional program would include all regional activities as well as investments from the PPCR at the national level for each of the 3-5 countries. Please let us know if this is not the case.

Regards,

Jan Sheltinga

Administratrice principale de programme--environnement/ Senior Program Manager
(Environment)

Direction générale des programmes multilatéraux/ Multilateral and Global Programs Branch
Agence canadienne de développement international/ Canadian International Development
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Gouvernement du Canada-Government of Canada

April 2, 2009

Japanese comments on draft Guidance Note on PPCR Regional Programs

I would like to express our sincere appreciation to the secretariat's effort and general support to context to the draft Guidance Note. However, taking into account that the regional approach must be very challenging task not only for donors but for recipient countries, I would like to state four general comments to the Note as below. My suggestions for paragraph-by-paragraph revisions are made to the attached.

1. Japan believes that it is of utmost importance that under the PPCR the regional programs pursue the same objectives as other programs for each country, and thus, welcomes description of the paragraph 4 of the draft. In this respect, it is emphasized that the balance between regional cooperation and differing circumstances of countries is crucial in all phases. It is appropriate, in some cases, to differentiate the extent of assistance reflecting each country's economic development in the case of CCRIF.
2. It is expected that this regional approach will optimize the efficient use of the PPCR resource within the region, taking into account and building on existing resources and activities in the country level as well as in the regional level. In this connection, we should develop a "regional map" of the existing projects/programs to support adaptation actions by countries in the region and monitor their progress. It will be very helpful to avoid duplication and to enhance coordination with existing assistance provided by other development and/or environmental partners, including, among others, bilateral agencies and the GEF. To maximize its effectiveness, PPCR should leverage efforts by all actors working in the field.
3. Emphasis should be put to establishing the knowledge network for adaptation. Japan expects that PPCR regional pilot programs promote the synergy between all institutions and better access to knowledge for adaptation.
4. As PPCR is an attempt of piloting integration of climate actions to national development strategies, the experience and lessons learnt through PPCR should be openly shared to all stakeholders.

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3. The present note provides general guidance for regional PPCR pilots along the guidance outlined above, recognizing that the specific programming and activities for each region will be developed by the countries participating in the regional program, in consultation with the MDBs concerned [and other development partners such as bilateral donors](#).

II Objectives and rationale of a regional approach

4. The implementation of a regional PPCR pilot is anchored in the overall PPCR objectives to:

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¹ It is expected that unless regional cooperation has advanced to such a degree that a regional development approach is warranted, PPCR will primarily aim to integrate climate resilience in country-driven development plans and strategies.

6. A regional PPCR pilot is likely to provide significant benefits over a single-country/country-by-country approach in cases where a single country lacks adequate level of resources, knowledge, and capacity (see below) and/or where opportunities for key adaptive measures may only be realized through regional or sub-regional cooperation on the management of transboundary resources. It is expected that this regional approach optimize the efficient use of PPCR resource within the region, taking into account and building on existing resources and activities in the country level as well as in the regional level.

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advantage of ongoing policy reform efforts (e.g. such as upcoming revisions of PRSPs, sector policies and strategies, etc.)

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18. *Phase 2 funding*: implementation of regional activities and national programs within a regional pilot could be supported by the PPCR grant and/or loan component (same as country pilots).⁷

⁴ If the regional entity does not have adequate legal standing to sign a legal agreement on behalf of governments, the regional activities could be captured as a component of the national program of the respective host country participating in the regional pilot.

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25. It may be an option to invite more than the participating PPCR countries within the pilot (which are a subset of countries within a specific sub-region) to benefit from the regional knowledge exchange and lessons learned initiatives, which will increase the impacts of the pilot and enhance replication of experiences and lessons learned across the entire region.

Dear all,

Thank you for sending the "Guidance Note on Regional Programmes". Our comments are as follows (NB only point 2 recommends a small change in the text)

1) We think this paper sets out clearly and well the role and operation of regional programmes - especially paragraphs 20 to 22. We are pleased that the inclusion of and partnership with existing regional institutions has been highlighted (paras 11 and 15).

2) Although we agree that the PPCR needs to take into account the additional transaction costs of regional pilots, we are not sure that the 30% additional funding above single country allocations makes sense. Firstly, discussion on the programming paper has yet to agree an allocation methodology - so it is not yet agreed that there will be a set maximum for either phase 1 or phase 2 that will be common across pilots. Secondly, some single country pilots may turn out to be very large and complicated, and warrant as much funding (in either phase 1 or phase 2) as a regional pilot. We would therefore prefer that the 30% reference be removed, and that paras 17 and 19 be simplified just to say that finance will need to be adequate to cover the additional transaction costs of regional operations.

3) In terms of the use of this document by the Expert Group in fulfilling their terms of reference, it should be made clear to them that just because countries were previously proposed and not immediately accepted by the PPCR-SC, this does **not** mean that there is an implicit or explicit instruction not to include them in proposed regional pilots. The EG should be free to choose any group of countries on the basis of the extra guidance given here, alongside the primary instructions of their initial TORs.

Very happy to discuss.

Many thanks and best wishes,

Judith

Judith Whiteley | Climate Change Adaptation | Policy and Research Division | UK Department for International Development (DFID)