

# CLIMATE INVESTMENT FUNDS

PPCR/SC.11/5  
October 19, 2012

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Meeting of the PPCR Sub-Committee  
Istanbul, Turkey  
November 1, 2012

Agenda Item 6

## **REVISED PPCR RESULTS FRAMEWORK**

## PROPOSED DECISION

The PPCR Sub-Committee, having reviewed document PPCR/SC.11/5, *Revised PPCR Results Framework*, endorses the revised results framework and recommends that it be approved by the SCF Trust Fund Committee. The Sub-Committee requests the CIF Administrative Unit to submit the endorsed revised results framework to the SCF Trust Fund Committee together with the Sub-Committee's recommendation that it be approved.

The Sub-Committee further requests the MDBs and each PPCR pilot to:

- a) undertake a mapping exercise of the results frameworks in its SPCR and approved projects against the revised PPCR results framework and prepare a work plan how to address the identified gaps by the end of March 2013. The results of the mapping exercise together with the proposed work plan should be submitted, through the CIF Administrative Unit, for review and approval by the PPCR Sub-Committee at its meeting in May 2013;
- b) establish baselines and targets for SPCR specific indicators by April 20, 2013, and communicate the baselines and targets to the CIF Administrative Unit to post the information on the CIF website; and
- c) report on an annual basis on SPCR outcomes by means of the agreed outcome level indicators in the revised PPCR results framework. Pilot country reports should be submitted to the CIF Administrative Unit by July 30 each year.

The Sub-Committee requests the CIF Administrative Unit, in collaboration with the MDB Committee, to

- a) develop a guidance note on monitoring and reporting for PPCR pilots, including quantitative and qualitative reporting requirements at the SPCR level and the level of projects and programs, and to submit the guidance note to the Sub-Committee for approval at its next meeting;
- b) post the annual SPCR progress reports on the CIF website and inform the Sub-Committee accordingly; and
- c) review annually the SPCR progress reports, including a check for completeness and consistency, and prepare a synthesis report for consideration by the PPCR Sub-Committee.

## REVISED PPCR RESULTS FRAMEWORK

### BASIC PRINCIPLES

The revised PPCR results framework is a living document to serve as a basis for moving forward in developing M&E systems for strategic programs for climate resilience (SPCR) and related projects and programs. The application of the PPCR results framework (in common with all the results frameworks under the Climate Investment Funds) is based on the following principles:

- a) **National monitoring and evaluations (M&E) systems** – The results framework is designed to operate: (i) within existing national monitoring and evaluation systems; and (ii) the MDBs’ own managing for development results (MfDR) approach. The development of parallel structures or processes for PPCR monitoring and evaluation will be avoided. National systems and capacities will be taken into account when applying the results framework.
- b) **Flexible and pragmatic approach** – The framework will be applied flexibly and pragmatically taking into account pilot country circumstances. As noted above, the proposed indicators need to be field tested. Country circumstances need to be taken into account in selecting relevant indicators and subsequent reporting. However, it is expected that pilot countries include PPCR program outcome indicators in their SPCR results frameworks. The results framework embraces the CIF principle of learning - a trial-and-error learning approach is explicitly encouraged. Existing SPCR results framework will need to be revised and the PPCR Sub-Committee notified of the revisions.
- c) **Data collection and reporting standards** – In order to be able to aggregate country-level results at the programmatic level (SPCR), a set of core indicators<sup>1</sup> will be measured using compatible methodologies. This is especially true for indicators for the core objectives of the PPCR: increased resilience of households, communities, businesses, sectors and society to climate variability (CV) and climate change (CC) and climate responsive development planning.

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<sup>1</sup> The suggested indicators in table 1 are core indicators. Results frameworks of specific projects can comprise many other indicators but for the purpose of aggregation and comparison the proposed indicators are recommended for the national M&E systems and the project/program results frameworks.

## I. INTRODUCTION

1. In its meeting in November 2010, the joint meeting of the CTF and SCF Trust Fund Committees approved the logic model for the Pilot Program for Climate Resilience (PPCR) as a living document with the understanding that it would be revised after field testing. The six pilot countries and the multilateral development banks (MDB) have attempted to apply the approved results framework in developing strategic programs for climate resilience (SPCR) and project/program interventions, but significant difficulties have emerged. Pilot countries and MDBs have indicated that the approved PPCR results framework is too ambitious and complex and would benefit from simplification.

The key constraints are:

- a) The results chain is unclear; in consequence pilot countries have difficulties developing their own results chains.
- b) There are too many indicators across multiple levels, creating confusion over objectives and raising the transaction cost.
- c) Most of the indicators do not correspond to the data/statistics that countries/MDBs collect through existing processes, making it very difficult and costly to establish baselines.
- d) Many indicators do not allow uniform application and aggregation across all programs, hence making it impossible to report on overall results of PPCR.

2. In line with approved *Measures to Improve the Operations of the Climate Investment Funds*, the CIF Administrative Unit and the MDBs have prepared a revised, simplified PPCR logic model and results framework.<sup>2</sup> This proposal is based on (a) an interpretation of the key PPCR objectives; (b) an improved understanding of what is possible as part of the development and implementation of a SPCR; and (c) consultations with the MDBs and recipient country counterparts, including a discussion in the PPCR pilot country meeting in March 2012 in Zambia.

3. The main purpose of the proposed results framework is to establish a basis for future monitoring and evaluation of the impact, outcomes and outputs of PPCR-funded activities. In addition, the proposed results framework is designed to guide pilot countries and MDBs in further developing their own results frameworks to ensure that PPCR-relevant results and indicators are integrated in their own monitoring and evaluation (M&E) systems at the country or the project/program level.

4. Section 2 introduces the revised PPCR logical model. Based on the logic model, section 3 outlines the proposed PPCR results frameworks with result statements and indicators. The last

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<sup>2</sup> See CIF. 2011. *Proposed Measures to Improve the Operations of the Climate Investment Funds*, paragraph 39.

section of this document outlines briefly necessary changes in the project/program documentation to reflect the simplified M&E approach.

## **II. THE REVISED PPCR LOGIC MODEL**

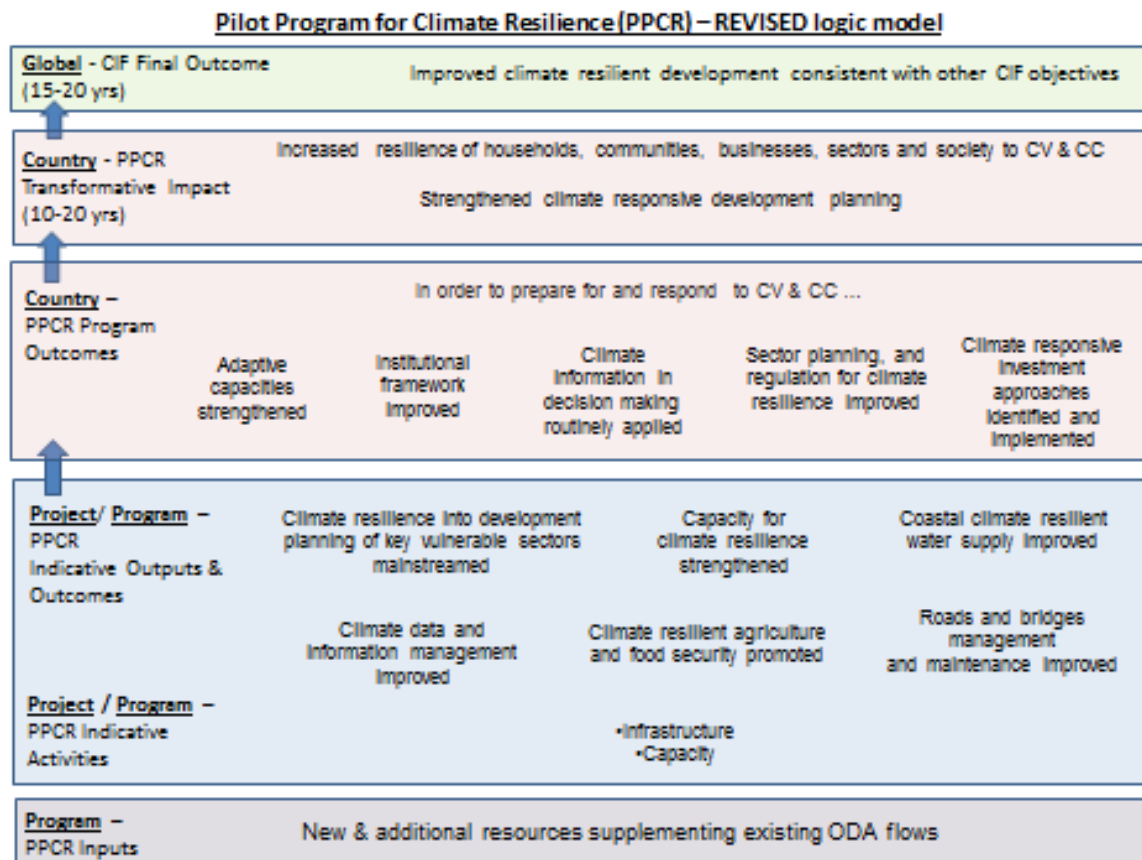
5. The logic model is a diagram intended to demonstrate the cause and effect chain of results from inputs and activities through to project outputs, program outcomes, and national/international impacts. The logic model is not intended to show how these results will be measured through indicators. One of the strengths of the logic model is the flexibility with which it can be applied to a variety of circumstances and contexts. As with all results frameworks these logic models should not be seen as a blueprint for implementation, but rather a framework that can be adjusted as progress is made and lessons are learnt, especially at the project and country levels of the results chain.

6. The original PPCR logic model was approved by the joint meeting of the CTF and SCF Trust Fund Committees in November 2010. It is suggested that the current logic model be modified to give greater focus to the key operational objectives of PPCR.

7. The stated impact objectives for PPCR are (a) increased resilience of households, communities, businesses, sectors and society to climate variability (CV) and climate change (CC); and (b) improved climate responsive development planning. The proposed outcome objectives for PPCR are: (a) adaptive capacities strengthened; (b) adequate institutional frameworks in place; (c) climate information in decision making routinely applied; (d) improved sector planning, and regulation for climate resilience improved; (e) innovative climate responsive investment approaches identified and implemented.

8. PPCR will contribute to achieving these results outlined in the paragraph above (impact objectives (a) to (e)) through programs and projects that build infrastructure, develop capacity, and provide financing.

**Figure 1: Logic model – Pilot Program for Climate Resilience (PPCR) – REVISED**



### III. PPCR RESULTS FRAMEWORK

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

10. The results framework in table 1 summarizes the core elements of the performance measurement system. It combines the results statements with the indicators. The first two columns represent the results statements as stated in the logic model. The results framework outlines the PPCR transformative impact and the PPCR program outcomes. The transformative impact cannot be achieved only by PPCR interventions. It requires a truly national effort to move into a climate resilient development pathway by increasing resilience of households, communities, businesses, sectors and society and improved climate responsive development planning. PPCR is an important part and catalyst for this bigger change agenda in the PPCR pilot countries.<sup>3</sup> However, it is expected that PPCR projects/programs contribute directly to the PPCR outcomes: (a) strengthened adaptive capacities; (b) improved institutional frameworks in place; (c) climate information in decision making routinely applied; (d) improved sector planning and regulation for climate resilience; and (e) innovative climate responsive investment approaches identified and implemented.

11. The framework does not include project/program outputs, activities, products and services because these are specific to each project/program. The MDBs will develop detailed results frameworks with indicators for each individual project/program financed by the MDBs. In most cases, these frameworks will utilize indicators that are more sector-specific than the indicators in this PPCR framework. Such an approach emphasizes also the commitment to a managing for development results (MfDR) approach with emphasis on impact and outcomes and the requirement to work within the MDBs' own project/program management approach.

12. Columns three to six represent the indicators for each result. The performance indicators together with the baseline and target column are what the program will use to measure expected results. The targets and baseline are currently available only for a limited number of indicators. The pilot countries and the MDBs have to cooperate closely to fill the gaps. Some of these indicators have very different time frames and a true impact reporting is probably not possible for a significant time span (10-15 years). The sixth column summarizes some assumptions related to the reliability or validity of the indicators and the difficulties operations might face when addressing these. The last column briefly outlines the means of verification or data source.

13. The indicators in the PPCR results framework are considered core indicators, which have to be translated into the respective SPCR, project/program results frameworks. Pilot countries have the flexibility to determine their own additional country, project/program specific indicators. It is suggested that after three years of working with those core indicators they should

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<sup>3</sup> PPCR will also face the attribution gap challenge. The further up in the results chain, factors come into play that are not directly or indirectly under the influence of projects or programs. Changes towards low carbon, climate resilient development will be influenced by many variables and therefore will be difficult to attribute "exclusively" to PPCR interventions. However, projects and programs should make efforts to articulate a results chain from project and program interventions up to PPCR outcomes and impact to allow future evaluations to assess the underlying assumptions at project and program design stage.

be reviewed in terms of their quality, validity, usefulness, usability and measurability and adjusted if necessary.

14. The reporting responsibility for reporting on progress in achieving transformation rests with the PPCR focal point or the agency by the pilot country government, supported by the MDBs. The PPCR focal point will report progress in implementing the SPCR to the PPCR Sub-Committee on an annual basis. The SPCR implementation progress report will comprise the following sections: (a) overall implementation status of the SPCR; (b) key accomplishments; (c) key issues and challenges; (d) lessons learned; (e) detailed data reports including on core indicators; and (f) any observed transformative impact in communities, public and/or private sector.

15. Complementary to the above, the MDBs will report progress in implementing their SPCR portfolio within their own institutional and organizational reporting requirements and will share, their project/program reporting with the pilot country and the CIF Administrative Unit. For private sector operations MDBs may share internal project/program reporting information directly with the CIF Administrative Unit, subject to commercial confidentiality considerations. Annex I outlines the proposed reporting approach in more detail. A monitoring and evaluation reporting template is attached in annex II.

16. Overview on reporting responsibilities

**MDB and PPCR focal point in country will be responsible for:**

- a) undertaking a mapping exercise of the results frameworks in endorsed SPCRs and approved projects against the revised PPCR results framework and prepare a work plan how to address the identified gaps by the **end of March 2013**.<sup>4</sup>;
- b) establishing baselines and targets for SPCR specific indicators for endorsed SPCRs by **April 20, 2013**<sup>5</sup>; and
- c) reporting on program outcomes (implementation of the SPCR) by means of the outcome level indicators of the results framework. Reports will be submitted to the CIF Administrative Unit by **July 30 each year**. The CIF Administrative Unit will transmit the reports to the PPCR Sub- Committee.

**The CIF Administrative Unit will be responsible for:**

- a) developing a guidance note on monitoring and reporting for PPCR pilots, including quantitative and qualitative reporting requirements at the SPCR level and the level of projects and programs; and

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<sup>4</sup> Provided that the Revised Results Framework got approved in November 2012..

<sup>5</sup> Before next TFC/Sub-Committee meeting



- b) a review of all the SPCR Progress Reports, including a check for completeness and consistency and submits a synthesis report to the PPCR Sub-Committee.

17. Climate change related monitoring and evaluation needs and capacity constraints in pilot countries will become evident when mapping existing approved SPCRs and approved projects against the revised Results Framework. The pilot countries are invited to summarize their findings in form of a brief assessment of their climate change monitoring and evaluation needs. These assessments could inform a discussion with the wider PPCR stakeholder community about how best the M&E capacity constraints could be addressed.

**Table 1: Results Framework – Pilot Program for Climate Resilience (PPCR) – REVISED**

| Results  | Explanation of the result statement   | Indicators   | Baseline   | Targets                           | Assumptions  | Reporting responsibility      |
|--|---|--|--|-----------------------------------|--|-------------------------------|
| <b>TRANSFORMATIONAL IMPACT</b>   |   |  |  |                                   |  |                               |
| A1. Increased resilience of households, communities, businesses, sectors and society to climate variability and climate change | The highest result level desired by PPCR is the improvement of the lives of people who are most affected by climate variability and change. The success of the program will depend to a large extent on the scale of reaching out and providing particularly poor people with short-term options to deal with extreme climate-related events and to cope with long-term climatic changes. The transformation process entails a shift away from the “business-as-usual” to growth paths anchored in resilience to sustainably withstand and adapt to the effects of CV and CC. | INDICATOR 1:<br>Change in percentage of households (in areas at risk) whose livelihoods have improved (acquisition of productive assets, food security during sensitive periods of the year) |  | Country-defined according to SPCR | Most of the PPCR intervention will have a geographic focus based on climate modeling. Socio-economic assessments are needed for targeting. Establishing baselines for vulnerable households will be a challenge. | PPCR coordination unit/agency |
|  |   | INDICATOR 2:<br>Change in damage/losses (\$) from extreme climate events in areas at risks that are the geographical focus of PPCR intervention  | Pre-PPCR investment period extreme climatic events | Country-defined according to SPCR | It is expected that climate change will lead to an increase in extreme climatic events. Most PPCR countries have experienced extreme events in the past and have a basic understanding of the economic losses.   | PPCR coordination unit/agency |
|  |   | INDICATOR 3:<br>Numbers of people supported by the PPCR to cope with effects of climate change   |  |                                   | Support is broadly defined, including directly from the projects/programs and involved in activities supported by the PPCR.  | PPCR coordination unit/agency |

| Results   | Explanation of the result statement   | Indicators   | Baseline | Targets | Assumptions   | Reporting responsibility      |
|---|---|--|----------|---------|---|-------------------------------|
|   |   |  |          |         | Multiple filters to further capture data: (i) sector; (ii) beneficiaries targeted or indirect (iii) proportion that is poor and (iv) gender.  |                               |
|   |   | INDICATOR 4:<br>Percentage of people with year round access to reliable water supply (domestic, agricultural, industrial)  |          |         | From a climate hazard point of view, this indicator could be considered, because the entry point of climate change into terrestrial systems is the hydrological cycle. Changes in rainfall, surface and groundwater availability can be directly linked to climate change and can be directly related to water access.              | PPCR coordination unit/agency |
| A2.<br>Strengthened climate responsive development planning | Streamlining climate resilient development requires a “new” way of development planning. The objective of the PPCR is “... to pilot and demonstrate ways to integrate climate risk and resilience into core development planning ...” [...] “... in integrating consideration of climate resilience into national development | INDICATOR 1:<br>Degree of integration of climate change in national planning - e.g., national communications to UNFCCC, national strategies, PRSPs, core sector strategies, annual development plans and budgets, and NAPs | n/a      |         | A qualitative assessment of the various strategic plans and documents is needed on regular intervals to observe changes in terms of CC streamlining and quality. The qualitative assessment would focus on the following criteria: (i) existence of climate change plan or strategy or dedicated strategy embedded in the principal | PPCR coordination unit/agency |

| Results | Explanation of the result statement   | Indicators  | Baseline                            | Targets                           | Assumptions  | Reporting responsibility      |
|---------|---|---|-------------------------------------|-----------------------------------|--|-------------------------------|
|         | planning consistent with poverty reduction and sustainable development goals.” <sup>6</sup> |   |                                     |                                   | planning documents at various levels (national, sector, ministry); (ii) assigned responsibility to coordinate climate change planning and actions; (iii) specific measures to address climate change (adaptation/mitigation); (iv) screening of climate-relevant initiatives for climate risks; (v) existence of a formal climate safeguard system that integrates climate risk screening, climate risk assessment (where required), climate risk reduction measures, evaluation, learning into planning |                               |
|         |   | INDICATOR 2:<br>Changes in budget allocations of all levels of government to take into account effects of CV&CC | Budget allocations in 2009 and 2010 | country-defined according to SPCR | A budget re-allocation per se does not mean that CC or CV has been taken into account. However, a significant increase over time in climate-relevant sectors/geographic areas might be an indication for a more CC/CV streamlined approach.  | PPCR coordination unit/agency |

<sup>6</sup> CIF. 2008. *Pilot Program for Climate Resilience – Design Document*, paragraphs 3 and 4.

| Results                                       | Explanation of the result statement   | Indicators   | Baseline | Targets | Assumptions  | Reporting responsibility      |
|---|---|--|----------|---------|--|-------------------------------|
| <b>PPCR PROGRAM OUTCOMES</b>                  |   |  |          |         |  |                               |
| B1. Strengthened adaptive capacities          | For achieving the transformational impact, countries need to have strengthened adaptive capacity and institutional frameworks in order to develop tools, instruments, strategies to respond to CV and CC. Integration of resilience into planning and implementation processes will require new and enhanced skills, knowledge, and abilities within a variety of government bodies. An important facet of this will be the ability to integrate CV and CC into the mechanisms for coordination and cooperation; the need to be established and resourced with knowledgeable staff. | INDICATOR 1:<br>Vulnerable households, communities and businesses use improved PPCR tools, instruments, strategies, activities to respond to CV&CC | n/a      | n/a     | These two indicators are qualitative in nature and country specific. They will require an in-depth analysis to determine the extent of the progress. | PPCR coordination unit/agency |
| B2. Improved institutional framework in place |   | INDICATOR 2:<br>Evidence of strengthened government capacity and coordination mechanism to mainstream climate resilience                           | n/a      | n/a     |  | PPCR coordination unit/agency |

| <b>Results</b>   | <b>Explanation of the result statement</b>  | <b>Indicators</b>  | <b>Baseline</b> | <b>Targets</b>  | <b>Assumptions</b>   | <b>Reporting responsibility</b> |
|--|---|--|-----------------|---|--|---------------------------------|
| B3.Use of climate information in decision making routinely applied     | The knowledge base is a crucial part of the change required in development processes. This includes knowledge of the impact of CV and CC, vulnerability assessments, risk analysis, gender dimension, etc. This knowledge needs to be widespread and flow into decision making processes. | INDICATOR:<br>X number of climate information products/services used in Y number of climate sensitive sectors in decision making at various levels |                 |   | This indicator is qualitative in nature and country specific. It will require an in-depth analysis and understanding of the political economy determining decisions. | PPCR coordination unit/agency   |
| B4.Improved sector planning and regulation for climate resilience      | In order to catalyze systemic changes in institutional structures and scaled-up investments the PPCR will support the integration of CV and CC into development strategies, plans and policies at national and local level.   | INDICATOR:<br>X number of climate sensitive sectors adopted regulatory reforms that incorporate climate resilience                                 |                 |   | This indicator is qualitative in nature and country context specific.  | PPCR coordination unit/agency   |
| B5.Climate responsive investment approaches identified and implemented | Streamlining climate resilience will also need significant investments. Scaled up from existing resources leveraged by the PPCR and replicated from successful pilots,  | INDICATOR 1:<br>Leverage ratio of PPCR funding against public and private investments in climate sensitive sectors                                 | n/a             | Country/ project-specific targets need to be established. | Measurement of leveraged resources will be routinely undertaken and aggregated across projects and countries.  | MDBs                            |

| <b>Results</b> | <b>Explanation of the result statement</b> | <b>Indicators</b>  | <b>Baseline</b> | <b>Targets</b> | <b>Assumptions</b>  | <b>Reporting responsibility</b> |
|----------------|--|--|-----------------|----------------|---|---------------------------------|
|                | building on PPCR learning.                 | INDICATOR 2:<br>Climate responsive financial instruments/ investment models developed and tested | n/a             | n/a            | This indicator is aimed to capture the divers and pilot nature of PPCR investments. Portfolio reviews will help to provide data on sector-specific investments and their success in addressing CV and CC. | MDBs                            |

#### IV. CONCLUSION

18. The revised results framework is based on the first-hand experiences of the pilot countries and the MDBs in implementing the original PPCR results framework. A preliminary analysis across the SPCRs revealed that most pilot countries do not have the capacity to establish a complex M&E system, which would have been required under the original results framework. Hence, this proposal was developed with MDB and pilot country input to simplify the PPCR results framework before countries get too advanced in project/program preparation.

19. The revised PPCR results framework reduces the number of indicators from 22 to 12. These twelve indicators cover two M&E levels – transformative impact (six indicators) and PPCR program outcomes (six indicators). The indicators cover resilient development planning, adaptive capacity, decision making, and innovative investment approaches to reflect the expected transformation process in PPCR countries. Although there would be fewer indicators, it will still be necessary to test the practicality of the results framework, particularly linking projects/programs with higher level country objectives.

20. As project level output/intermediate indicators are specific to each project/program, and the priorities of each country that this represents, it is proposed that they are not specified by the PPCR results framework. However, project/program documentation will demonstrate how the output indicators that are selected will help achieve outcomes at the PPCR program (country) level.

21. For any SPCR that has been endorsed prior to approval of the revised results framework, the country and the MDBs are requested to review the results framework initially submitted with the SPCR and to make any revisions that are necessary to align the plan's results framework with the revised PPCR results framework. The country should inform the PPCR Sub-Committee of any revisions that are made.<sup>7</sup>

22. Progress reports, including reporting against the proposed indicators, will be provided to the PPCR Sub-Committee annually.

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<sup>7</sup> This step might have resource implications for the MDBs. There might be a need to assess country-by-country the need and the availability of resources for revising the results frameworks of the SPCRs.



## PPCR

### Results Reporting Framework

#### I. OBJECTIVE OF PPCR RESULTS REPORTING

1. **Results reporting as a communication tool** - The objective of a country-owned, programmatic results reporting system is to ensure that results of PPCR operations are generated, reported and shared in a timely fashion with the PPCR Sub-Committee and other stakeholders.<sup>8</sup> A results monitoring report is an opportunity for the pilot countries and regions to inform themselves and others (stakeholders, partners, donors, etc.) on the progress, challenges, successes and lessons learned during the implementation of programs and activities. The results monitoring reports need to be seen primarily as a communication tool, transforming raw data into knowledge and learning. PPCR reporting will need to evolve over time from a focus on design and processes towards implementation progress and eventually results reporting.

2. **Evolving PPCR reporting** - The reporting will need to mirror the basic milestones in the development of the PPCR programs with reporting requirements at (i) the project/program level; (ii) the respective SPCR level; and (iii) the PPCR program level. The reporting structure will follow the flow of information from the individual project/program up to the PPCR program at the CIF level across countries. Information in project/program implementation progress reports will be consolidated in SPCR implementation progress reports and summarized and presented annually in the CIF operational reports and the CIF annual report.

#### II. PHASED CIF REPORTING

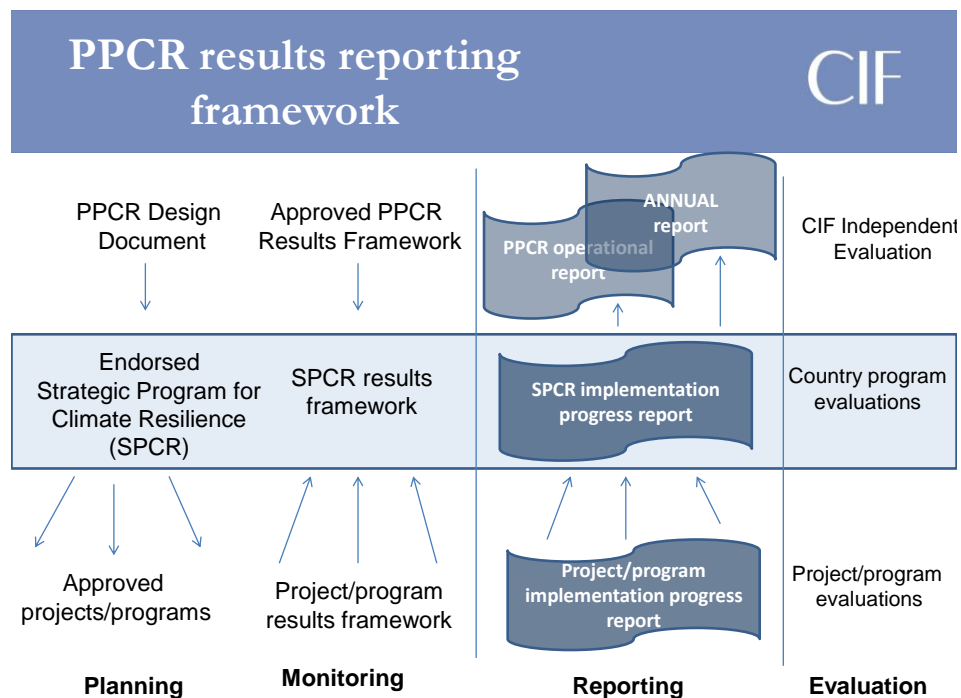
3. CIF pilot countries governments and regional organizations will need to play a key role as central reporting units, ensuring that information and data is consolidated at the country and regional level and communicated to the CIF AU for reporting to the respective/relevant CIF governing bodies. This role will allow countries to (i) take the lead in ensuring a dialogue among development partners about progress in implementing a country program; and (ii) consolidate and coordinate project/program output information across PPCR activities in a country or region. Results reporting provides the countries and regional pilots with the opportunity to tell their story to the PPCR Sub-Committee and the broader development community. Over time the reports will evolve from a process and portfolio focus towards a results and impact focus. It is expected that, with the maturity of the portfolio, reports will move from anecdotal story telling towards robust evidence based impact reporting.

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<sup>8</sup> Results reporting provides the government or regional organization (owner of SPCR) with an opportunity for the country or regional pilot to share lessons, experiences, successes and challenges with other stakeholders. Programmatic means that MDBs need to work together with the country to achieve results. Results reporting provides the MDBs with an opportunity to share lessons, experience, successes and challenges in implementing projects with other stakeholders. Results comprise both the process in designing or setting up a system for results reporting and the actual achieved results on the ground.

4. The following five phases in M&E reporting are envisaged:
- Phase I: Establish baselines and targets for PPCR specific indicators – setting the foundation for future progress reporting
  - Phase II: Report on the development of the country portfolio – informing about the progress in implementing the projects/programs
  - Phase III: Results Reporting – focusing on outcomes and outputs
  - Phase IV: Impact assessments and reporting – assessing and evaluating the success or the failures of PPCR investments

Figure 1: The relationship between Planning, Monitoring, Reporting and Evaluation in PPCR operations



### III. PORTFOLIO DELIVERY AND RESULTS REPORTING

5. The results reporting system will build on two main reporting streams: (i) project/program portfolio development data; and (ii) project/program results. Project/program portfolio development data will be generated by the MDBs based on their own portfolio monitoring systems. The MDBs agreed to report regularly on the following milestones for program and project delivery:

- a milestone on funding approval by the Trust Fund Committee/Sub-Committee from the date of endorsement of an investment plan;
- a milestone on MDB approval from the date of CIF funding approval;
- a milestone on project effectiveness from the date of MDB approval; and

d) a milestone on project disbursement.<sup>9</sup>

6. Data on portfolio development will be summarized in the semi-annual operations reports. All CIF programs will use the same milestones for their reporting because the project cycle is similar in CTF/FIP/PPCR and SREP. This will allow for some cross program comparison concerning portfolio development milestones.

7. Results reporting will need to be program-specific. The simplified results framework will provide the basis for core indicator reporting. Until all revised results frameworks are in place, it is suggested to start reporting against a framework of expected results at the project/program level and gradually move into actual results reporting when a significant part of a country portfolio is implemented. This also entails that the reporting responsibility will gradually move from MDB-driven reporting towards PPCR pilot country-driven SPCR reporting. Although keeping in mind that the need for assistance and support from the MDBs to the CIF country or regional pilot will vary according to the existing results monitoring capacity in a respective PPCR country or regional organization. For program-specific reporting see proposed core indicator reporting templates in Annex II.

8. PPCR countries, regional pilots and the MDBs are encouraged to start reporting systematically on progress as soon as possible to develop a reporting culture which considers results reporting as part of sound program management and not as a burden. It is expected that first country-driven results reports are submitted to the CIF AU by the fourth quarter of 2012 so information can be added to the semi-annual reports on operations for the four CIF programs. An annotated outline for a PPCR results report is presented in Annex III.

#### **IV. ROLES AND RESPONSIBILITIES**

9. M&E of the SPCR implementation is a shared task between the PPCR pilot country and the MDBs. The reporting responsibility for reporting on progress in achieving transformation rests with the pilot countries. The PPCR focal point will report progress in implementing the SPCR to the PPCR Sub-Committee on an annual basis. The SPCR implementation progress report will comprise the following sections: (i) overall implementation status of the SPCR; (ii) key accomplishments; (iii) key issues and challenges; (iv) lessons learned; and (v) detailed data reports, including core indicators and (vi) any observed transformative impact in communities, public and/or private sector.

10. The reporting responsibility for reporting on progress in implementing individual projects/programs under the SPCR rests with the respective MDB. The MDBs will report progress in implementing their portfolio within their own institutional and organizational reporting requirements. However, for assisting the countries in developing comprehensive SPCR implementation progress reports, the MDBs will share, to the extent possible, their

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<sup>9</sup> See SREP/SC.7/6 Proposal for SREP Pipeline Management System.

project/program reporting with the pilot country and the CIF Administrative Unit for reporting purposes. Table 1 outlines the responsibilities and respective functions.

Table 1: Responsibilities and functions

| <b><i>Responsibility</i></b>  | <b><i>Function</i></b>   |
|---|--|
| <i>Unit or agency within the pilot country with enhanced M&amp;E capacity (lead for development and implementation of the strategic country or regional program)<sup>1011</sup></i> | <ul style="list-style-type: none"> <li>- Coordinate the integration of the PPCR results framework into the national M&amp;E system and ensure that M&amp;E arrangements are reflected in the SPCR document submitted for SC review and approval.</li> <li>- Monitor or assess the impact and outcome indicators.</li> <li>- Monitor project/program implementation and request regular project performance updates in line with agreed procedures from the relevant government agencies and MDBs.</li> <li>- Manage the assessment of current M&amp;E capacity and gap analysis in terms of baselines, targets, technology (IT support) and HR capacity.</li> <li>- Manage the progress reporting in implementing the SPCRs.</li> <li>- Prepare progress reports on SPCR implementation to the PPCR Sub-Committees bi-annually and update reports every other year .</li> <li>- Present and discuss progress reports with other stakeholders before submission to PPCR Sub-Committee during stakeholder fora.</li> </ul> |
| <i>Sector ministries/private sector arms of the MDBs on behalf of private sector entities</i>   | <ul style="list-style-type: none"> <li>- Manage the M&amp;E systems at the project/program level and ensure regular progress reporting to (i) the coordinating unit; and (ii) communicate with all relevant stakeholders.</li> <li>- Private sector entities report through the respective MDBs managing the relationship as the legal and implementation agreement is between the private client and the MDB only. The private sector MDB will include the PPCR core M&amp;E indicators as well as relevant project-specific indicators to it standard institutional reporting requirements and communicate these to the unit or agency leading the SPCR M&amp;E approach in the pilot country</li> </ul>   |
| <i>Implementation units (public/private sector) for individual CIF funded projects</i>  | <ul style="list-style-type: none"> <li>- Manage the establishment of M&amp;E systems for each individual project/program.</li> <li>- As agreed with the central program coordination unit report on progress on outputs and outcomes indicators on a regular basis.</li> </ul>   |

<sup>10</sup> In the case of a regional project, it would be appropriate for the entity selected for managing the regional component of the project to assume the coordinating function for ISL activities.

<sup>11</sup> It is recommended that the responsible unit or agency within the PPCR country contains social and gender expertise in its team.

## V. TIME LINE

11. The results reporting process is key in developing a ‘managing for results’ culture. It is expected that each PPCR pilot country and regional pilot submits an annual results report to the CIF AU. Ideally the report is prepared by the PPCR country/regional focal point and presented and discussed with other stakeholders prior to finalization and submission to the CIF AU. In accordance with the decision of the CTF-SCF Joint Trust Fund Committee during its meeting on May 2, 2012, the CIF country/regional focal point might want to present the DRAFT report in a stakeholder forum as to jointly review progress against the CIF results framework.<sup>12</sup>

12. In year 1 after SPCR endorsement, the PPCR pilot country would prepare a DRAFT SPCR Implementation Progress Report and share this DRAFT with stakeholders and seek their feedback in a stakeholder forum. After the stakeholder forum, the PPCR pilot country revises the SPCR Implementation Progress Report, if necessary, and submits the report to the PPCR Sub-Committee for consideration. In year 2, the PPCR pilot country updates the SPCR Implementation Progress Report and submits the report to the PPCR Sub-Committee for consideration. In year 3, the PPCR pilot country prepares a new SPCR Implementation Progress Report and organizes a stakeholder forum for discussing the report. The subsequent years would follow the same cycle – year 1 “progress report”, year 2 “update”, year 3 “progress report”, year 4 “update”, etc.

Countries are expected to submit their FINAL SPCR Implementation Progress Report to the CIF Administrative Unit by **30 July** each year. The CIF Administrative Unit will transmit the reports to the PPCR Sub-Committee.

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<sup>12</sup> See CTF/SCF. 2012. *Summary of the Co-Chairs. Joint Meeting of the CTF and SCF Trust Fund Committees, May 1-2, 2012.*

## PPCR – Core Indicator reporting template

| Indicator  | Baseline | Target | Reporting period |        |             | Comments |
|--|----------|--------|------------------|--------|-------------|----------|
|  |          |        | Target           | Actual | % of target |          |
| <b>SPCR IMPACT LEVEL</b>   |          |        |                  |        |             |          |
| A1.1: Change in percentage of households (in areas at risk) whose livelihoods have improved (acquisition of productive assets, food security during sensitive periods of the year)                               |          |        |                  |        |             |          |
| A1.2: Change in damage/losses (\$) from extreme climatic events in areas at risk that are the geographical focus of the PPCR intervention  |          |        |                  |        |             |          |
| A1.3: Numbers of people supported by the PPCR to cope with effects of climate change   |          |        |                  |        |             |          |
| A1.4: Percentage of people with year round access to reliable water supply (domestic, agricultural, industrial)  |          |        |                  |        |             |          |
| A2.1: Degree of integration of climate change in national planning - e.g., national communications to UNFCCC, national strategies, PRSPs, core sector strategies, annual development plans and budgets, and NAPs |          |        |                  |        |             |          |
| A2.2: Changes in budget allocations of all levels of government to take into account effects of CV&CC  |          |        |                  |        |             |          |
| <b>PPCR OUTCOME LEVEL</b>  |          |        |                  |        |             |          |
| B1.1: Vulnerable households, communities and businesses use improved PPCR tools, instruments, strategies, activities to respond to CV&CC   |          |        |                  |        |             |          |
| B2.1: Evidence of  |          |        |                  |        |             |          |

| Indicator  | Baseline | Target | Reporting period |        |             | Comments |
|--|----------|--------|------------------|--------|-------------|----------|
|  |          |        | Target           | Actual | % of target |          |
| strengthened government capacity and coordination mechanism to mainstream climate resilience   |          |        |                  |        |             |          |
| B3.1: X number of climate information products/services used in Y number of climate sensitive sectors in decision making at various levels   |          |        |                  |        |             |          |
| B4.1: X number of climate sensitive sectors adopted regulatory reforms that incorporate climate resilience   |          |        |                  |        |             |          |
| B5.1: Leverage ratio of PPCR funding against public and private investments in climate sensitive sectors   |          |        |                  |        |             |          |
| B5.2: Climate responsive financial instruments/ investment models developed and tested   |          |        |                  |        |             |          |
| <b>PPCR PROJECT/PROGRAM LEVEL (SUGGESTED indicators)</b>   |          |        |                  |        |             |          |
| <i>Agriculture projects/programs:</i><br><br>Change in hectares of farms with sustainable access to irrigation and drinking water  |          |        |                  |        |             |          |
| <i>Infrastructure projects/programs:</i><br><br>Change in km of roads built/rehabilitated according to climate-resistant codes and standards (e.g. raised roads, improved cover materials)<br>Change in number of peoples with access to climate resilient housing and shelter |          |        |                  |        |             |          |
| <i>Infrastructure projects/programs:</i><br><br>Change in number of peoples with access to climate resilient housing and shelter   |          |        |                  |        |             |          |
| <i>Energy Sector projects/programs:</i><br><br>Change in number of energy-related infrastructure integrating climate resilience features   |          |        |                  |        |             |          |

| Indicator   | Baseline | Target | Reporting period |        |             | Comments |
|---|----------|--------|------------------|--------|-------------|----------|
|   |          |        | Target           | Actual | % of target |          |
| <p><i>Coastal Zones projects/programs:</i></p> <p>Change in percentage of coastal area with natural buffer zones (e.g. green belts on embankments) to manage sea level rise and extreme storms (hurricanes, cyclones, typhoons)</p> |          |        |                  |        |             |          |
| <p><i>Health Sector projects/programs:</i></p> <p>Change in response time for national and local emergency response units to extreme climatic events</p>  |          |        |                  |        |             |          |
| <p><i>Health Sector projects/programs:</i></p> <p>Change in percent in access of population in project/program area to health products mitigating the risks of water-borne diseases due to the impacts of climate change</p>        |          |        |                  |        |             |          |
| <p>Leverage factor of PPCR funding: \$ financing from other sources (contributions broken down by governments, MDBs, other multilateral and bilateral partners, CSOs, private sector)</p>   |          |        |                  |        |             |          |



## Annotated Outline

### Annual

### SPCR IMPLEMENTATION PROGRESS REPORT<sup>13</sup>

*(not more than 5 pages of core text [sections A-F])*

#### SPCR KEY INFORMATION

Country/Regional Pilot: XXXXXXXX

Reporting period: XX/month/XXXX to XX/month/XXXX

SPCR endorsement date: XX/month/XXXX

Expected SPCR completion date: XX/month/XXXX

Country/regional focal point:

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#### EXECUTIVE SUMMARY

In general reporting to the PPCR TFC should be on a macro level and very concise and focused. Reports must be self-explanatory without further annexes. Keep it simple and short (KISS) – focus on the essential key messages – what is necessary for the reader to know concerning objectives and indicator performance.

#### I. Overall implementation status of the SPCR

Summarize the overall SPCR implementation status and whether the implementation is on track/target for the reporting period – explain why in the following sections below.

#### II. Key accomplishments

Highlight notable accomplishments for each of the indicators for the respective reporting period.

#### III. Key issues/challenges

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<sup>13</sup> This annotated outline is based on an excellent Project/program monitoring and evaluation (M&E) guide developed by the International Federation of Red Cross and Red Crescent Societies (IFRC). See IFRC. 2011. *Project/programme monitoring and evaluation (M&E) guide*, Annex 19. [www.ifrc.org](http://www.ifrc.org)

Summarize any key issues or challenges (problems or barriers) that affect whether the SPCR is being implemented according to targets – identify whether the issues is pending or new and the activities to address the issues.

#### **IV. Plans for next reporting period**

Highlight any notable initiatives planned for the subsequent reporting period.

#### **V. Detailed data reports**

Please copy thr PPCR– Core Indicator reporting template (Annex II) into the main body of the report and fill it with your annual data.

#### **A. IMPLEMENTATION STATUS – Projects/programs under the SPCR**

This section provides an opportunity to report on the status of the major deliverables under the IP/SPCR. The report should summarize for projects/programs under implementation the following milestones:

- a) a milestone on funding approval by the Trust Fund Committee/Sub-Committee from the date of endorsement of an investment plan;
- b) a milestone on MDB approval from the date of CIF funding approval;
- c) a milestone on project effectiveness from the date of MDB approval; and
- d) a milestone on project disbursement.<sup>14</sup>

In case projects/ programs are in a very early stage of implementation, this section should summarize “expected” results for each project/program.

In case projects/programs are already in an advanced implementation status, this section provides an opportunity to report first results.

Specific reporting parameters are summarized in Annex I for each program.

#### **B. IMPLEMENTATION STATUS – SPCR**

This section should be based on the CIF impact and outcomes as stated in the SPCR results framework and baselines and targets identified. This section provides an opportunity to outline how the country is progressing concerning the transformation process. It is very important to remember not only to report the data but also to explain why certain developments are happening or NOT happening, who are the contributors and who is involved in the transformation process.

Keep it simple and short (KISS) – focus on the essential key messages – what is necessary for the reader to know concerning objectives and indicator performance.

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<sup>14</sup> See SREP/SC.7/6 Proposal for SREP Pipeline Management System.

### C. PARTNERSHIP AGREEMENTS AND OTHER KEY ACTORS

This section should focus on additional information, which is relevant to achieving PPCR objectives, i.e. enabling factors for PPCR co-funded projects and replication/spill-over effects from PPCR co-funded projects. The section provides an opportunity to reflect on the catalytic and replication role of CIF programs. It is expected that this section provides an overview of activities of other key actors in relevant sectors/ themes relevant to the SPCR and/or projects and programs. This section could also provide in-depth information on the leveraging factor of PPCR investments with key other partners such as private sector, other development partners, etc.

### D. CROSS-CUTTING/CO-BENEFIT ISSUES

Some CIF programs strive for co-benefits or address cross cutting issues such as gender equality, poverty reduction, and environmental conservation. This section provides an opportunity to reflect on results related to these issues. Please provide information only on new developments. Also, if already discussed elsewhere in this report, please refer to the relevant section rather than rewriting here. It might be helpful to consider whether there have been, any findings (e.g. through monitoring and evaluations) that show how the SPCR or projects/programs are working in addressing cross-cutting or co-benefit issues.

### E. STAKEHOLDER PARTICIPATION

**Stakeholder participation:** Describe how stakeholders are involved in the implementation of the SPCR and projects/programs (including project/program design, implementation, monitoring, evaluation and reporting).

**Stakeholder feedback** – Provide a brief summary of stakeholder feedback, including challenging comments through the stakeholder consultation process.

| Stakeholder feedback summary                                     |      |                         |  |             |
|--|------|-------------------------|--|-------------|
| Feedback   | Date | Priority                | Recommended follow-up  | Date closed |
| (Clearly indicate whether it is a critique or positive feedback) |      | High,<br>Medium,<br>Low | (Write N/A, if not applicable. If applicable, explain what, who and when follow up will occur) |             |
| 1.   |      |                         |  |             |
| 2.   |      |                         |  |             |
| Add rows as needed.  |      |                         |  |             |

**F. KEY LESSONS**

Use this section to highlight key lessons and how they can be applied to this or similar project/programs in the future. It should highlight lessons that inform organizational learning for the PPCR and similar programs in the future.

It is recommended to concisely number each lesson for ease of reference:

- 1.
- 2.
- 3.

**REPORT ANNEX**

- Attach any useful supplementary information for the SPCR monitoring reporting.
- Relevant pictures, letters, commissioned studies, reports, etc.