

Pilot Program for Climate Resilience: The PPCR Monitoring and Reporting System

Context

► Programming context

The **Pilot Program for Climate Resilience (PPCR)** is a targeted programme of the Strategic Climate Fund (SCF), which is one of two funds within the framework of the Climate Investment Funds (CIF). The PPCR provides scaled-up programmatic finance (loans and grants) to support countries' efforts to integrate climate resilience into development planning and implementation. This is done through a country-led programming process which results in an investment plan (i.e. the Strategic Program for Climate Resilience - SPCR). Projects are implemented through the **Multilateral Development Banks (MDBs)**. The PPCR currently comprises nine countries and two regional programmes. Since the approval of the programme in 2008, investment plans for all pilots have been endorsed for a total of USD 1.034 billion. A revised results framework was approved in November 2012 to support the monitoring, reporting and evaluation of the impact, outcomes and outputs of PPCR-funded interventions.

► Purpose of the M&E System

The purpose of the monitoring and reporting system is to track progress towards climate-resilient development at the national level and to monitor, report, and learn from the implementation of PPCR activities at country and project/programme levels. Project-level evaluation is the responsibility of the MDBs (i.e. it is not covered by this system). It is also expected that the system will guide countries and MDBs in further enhancing their own results frameworks in order to ensure that PPCR-relevant results and indicators are integrated into their country monitoring and evaluation systems. The system is currently designed to help the PPCR

pilot countries in tracking their progress, but from 2014 it will also include the regional programme components.

► Level of application and aggregation

The system operates at **country, regional and PPCR programme levels** over the period of implementation of the investment plan.

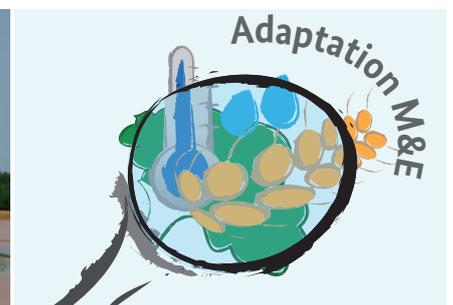
► Status as of October 2013

The monitoring and reporting (M&R) process has started in 2013. As of October 2013, most PPCR pilot countries have a draft or final work plan for M&R and have established and reported baselines and expected results on the core PPCR indicators. From 2014 onwards, PPCR pilot countries are expected to report annually on results of the investment plan's implementation within the wider national context. In 2014, the CIF Administrative Unit will start working with the PPCR regional programme components to define the best way for annual monitoring and reporting at the regional level.

Process

► Institutional arrangements

The **CIF Administrative Unit (CIF AU)** has developed the system in collaboration with the MDBs and the PPCR pilot countries. The M&E team of the CIF Administrative Unit will analyze the results reports on the five core indicators from the PPCR pilot countries on an annual basis and prepare a synthesis report on results for consideration by the PPCR Sub-Committee who oversees the operations and activities of the PPCR.



The **PPCR pilot countries** supported by the MDBs are responsible for implementing the system. The PPCR country focal points, usually from the governments, are responsible for reporting progress on the investment plan's implementation to the CIF Administrative Unit. They coordinate the data collection, scoring and quality assurance processes. The PPCR country's focal point is responsible for obtaining project/programme-level data from the PPCR project implementation units/teams, for aggregating data at the country programme level and for submitting the information to the CIF Administrative Unit on an annual basis.

The **MDB task teams** support the PPCR pilot countries to ensure that they can effectively carry out their responsibilities for PPCR monitoring and reporting.

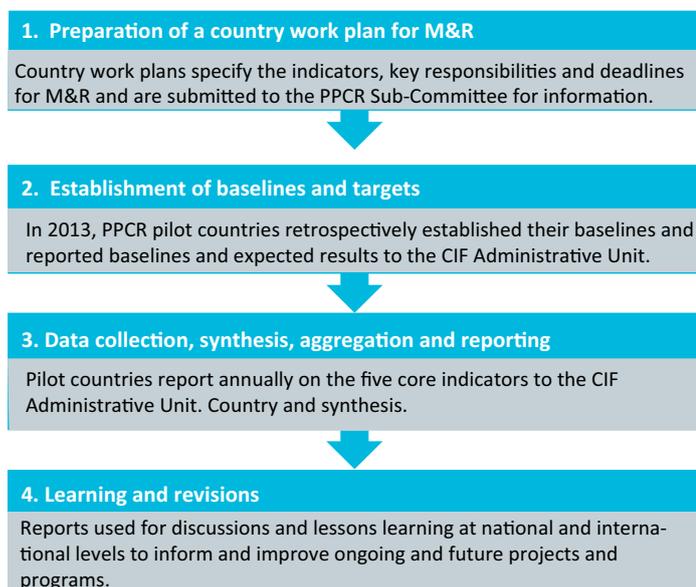
► Establishment process

The development of the system was based on an iterative two-year process. An initial logic model and results framework containing 22 indicators was approved in November 2010. Based on feedback from the PPCR pilot countries and MDBs, this was streamlined to five core indicators in 2012. A format for country work plans for monitoring and reporting on these five core indicators was developed in early 2013. A PPCR M&R Toolkit to support pilot countries in their M&R efforts was developed and tested over six months and released in July 2013.

► Implementation process

Each PPCR pilot country, in collaboration with the MDBs, has been implementing the revised results framework from 2012. They have the opportunity to report back on its relevance, utility and feasibility to the PPCR Sub-Committee in November 2016 to allow for potential adjustments. Implementation of the system is based on the following steps:

Figure 1 Simplified version of the MRV+ system



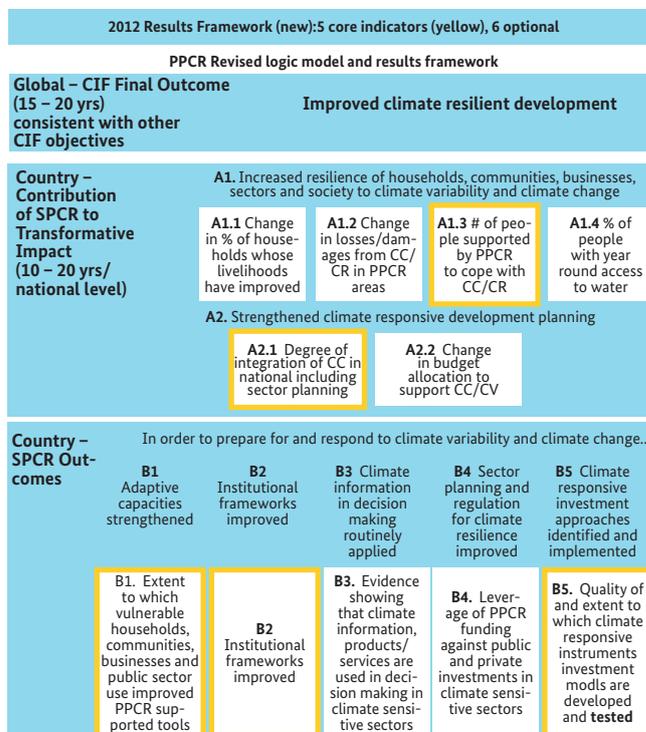
Content

► Approach

The revised results framework contains 11 indicators. Five of these indicators are core indicators, measured and tracked across all the PPCR pilot countries (see table below) at the level of the investment plan (programmatic level). These core indicators allow country results to be aggregated and synthesized. The remaining **6 optional indicators** (see Figure 2) as well as country and project specific other indicators may be used depending on the countries' specific needs and requirements.

Monitoring of the five core indicators is a country-driven process embedded in a **logic model** and results framework. The logic model demonstrates the cause and effect chain from the project/programme inputs and activities to project/programme outputs and outcomes resulting in potential national or international impacts (including long term transformational impacts). The **results framework** links the objective at each level of the results framework (i.e. the results statements) with the indicators. It is designed to operate both within existing national M&E systems and within the MDBs' own managing for development results (MfDR) approach (see Figure 2 below).

Figure 2 PPCR Revised Logic Model and Results Framework (five core indicators in yellow, the rest are optional indicators)



Source: PPCR (May 2013): PPCR Pilot Countries Meeting. Monitoring & reporting: core indicators.

► Indicators

The five core indicators are as follows:

1. Degree of integration of climate change into national including sector planning (data collection: at national level, scorecard method, baseline data needed)
2. Evidence of strengthened government capacity and coordination mechanism to mainstream climate resilience (data collection: at national level, scorecard method, baseline data needed)
3. Quality and extent to which climate responsive instruments/ investment models are developed and tested (data collection: at project/program level, scorecard method)
4. Extent to which vulnerable households, communities, businesses and public sector services use improved PPCR supported tools, instruments, strategies, activities to respond to climate variability and climate change (data collection: at project/program level, data table)

5. Number of people supported by the PPCR to cope with the effects of climate change (data collection: at project/program level, data table).

The core indicators are measured in a participatory way by means of a combination of qualitative and quantitative methods using **scorecards and data tables** in Microsoft Excel. Each scorecard lists 4 to 5 key questions that assess progress in implementing PPCR activities using a score from 0 (no) to 10 (yes/completely). The scoring is informed by evidence, which is collected and presented at a key stakeholder meeting with the PPCR country focal point and representatives from government, private sector and civil society. The purpose of the meeting is to find agreement on the scores and provide justifications with narrative descriptions. The presentation of the data reports to a wider stakeholder group helps to ensure quality, transparency and accountability.

Figure 3 Example of Haiti's scorecard for Indicator 2 showing the quantitative scores. Score each cell with a score between 0 and 10 where 0=No, 5=Halfway and 10=yes completely Notes: For the quantitative scoring qualitative evidence is provided in form of a short description.

| Monitoring and Reporting Scorecard for PPCR Core Indicator 2 baseline | | | | | |
|--|---|--|--|---|--|
| PPCR Core Indicator 2: Evidence of strengthened government capacity and coordination mechanism to mainstream climate resilience | | | | | |
| Data Collection Method: Data scored at the country level | | | | | |
| Haiti Strategic Plan for Climate Resilience (SPCR) | | | | | |
| SPCR Endorsement date: May 2011 SPCR Completion date: June 2019 | | | | | |
| Government capacity Complete below the sectors identified as priority in the SPCR. Insert other priority sectors or ministries below (optional) | Are information, studies and assessments addressing climate change, variability and resilience available? | Is the necessary climate change expertise available? | Do national/sector initiatives and legislative policies expressly address climate change and resilience? | Does the government/sector participate in the coordination mechanism? | Score |
| a | b | c | d | e | f |
| Haiti government | 3 | 1 | 1 | 0 | 13% |
| Sector 1: INFRASTRUCTURE | 0 | 1 | 0 | 0 | 3% |
| Sector 2: AGRICULTURE | 2 | 2 | 0 | 0 | 10% |
| Sector 3: URBAN/COASTAL PLANNING | 3 | 3 | 0 | 0 | 15% |
| Sector 4: METEO SERVICES | 3 | 1 | 0 | 0 | 10% |
| Score each cell with a score between 0 and 10 where 0= No, 5= Halfway and 10=yes completely | | | | | |
| Coordination mechanism Name the coordination mechanism below | Is the coordination mechanism function, e.g. established, effective and efficient? | Does it coordinate climate resilience interventions other than those funded by PPCR? | Is there a broad set of non-governmental stakeholders involved? | Is the relevant climate resilience information in the public domain? | Are females and males participating equally? |
| CIAT Climate Resilience Sub Committee | 0 | 0 | 0 | 0 | 0% |

Score each cell with a score between 0 and 10 where 0= No, 5= Halfway and 10=yes completely

Notes: For the quantitative scoring qualitative evidence is provided in form of a short description.

Source: www.climateinvestmentfunds.org/cif/content/haiti-baselines-and-expected-results-august-2013.

The PPCR M&R Toolkit provides guidance for each core indicator, including information on: reasons for its use, technical definitions, methodology, data sources and data collection, responsibilities for M&R, and quality assurance.

► Data and information requirements

The scoring of core indicators 1 and 2 is based on existing national data and information (e.g. national policy planning documents; national repositories from the civil society and PPCR

stakeholder community; existing project/programme/SPCR documents; recent data sources from national systems such as population data from census bureaus, etc.). The scoring process is based on self-assessments by the project/programme team together with relevant stakeholders through reflective processes. The assessment of indicators 3, 4 and 5 is based on actual data from ongoing projects, including project/programme-specific surveys, and data from national systems, e.g. the census.



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► Output and reporting

The PPCR pilot countries have to report to the CIF AU on the five core indicators on an annual basis. The CIF AU then aggregates and synthesizes the data, publishes each country's report as well as a synthesis in a separate document. In addition, summarized information on monitoring and reporting in the PPCR is captured in the PPCR semi-annual operational reports, the CIF annual report and other relevant publications. All reports are made available on the CIF website.

► Resources needed

CIF AU has had on average 3 full time equivalent M&E specialists to lead and coordinate the M&E for all four funds of the CIF, including the PPCR. However, CIF AU works with and through the MDBs, which have their own M&E capacity, consultants and independent evaluation departments. Therefore a larger number of people is involved. Some PPCR focal points also have recruited M&E expertise.

Lessons to date

The PPCR system for M&R provides a flexible and streamlined approach to track progress towards climate-resilient development and the implementation of PPCR activities over a diverse and complex landscape of 18 countries on an annual basis. Using the same **core indicators** allows for comparability across countries. The combination of five core indicators and six optional indicators further provides flexibility to respond to countries' specific needs. The system only **indirectly measures resilience** building as this would require more in-depth assessments over time. The development of the system was time consuming, because it required a process of trust building, and acceptance of trade-offs between national and global requirements and between scientific and political needs.

The PPCR toolkit, through the use of **scorecards**, provides a **relatively new approach to the M&R of climate adaptation**. The sys-

tem puts as much emphasis on the learning process (i.e. agreeing on the scores through participatory processes) as on the results (i.e. the scores per se). The scorecards and data tables are intuitive and user-friendly. Scores cannot simply be compared across countries, because similar scores are likely to mean different things in different countries' contexts. The scorecards were designed to track progress within each country over time. As such, the approach calls for a thorough documentation of the evidence base through narratives as well as a robust peer review mechanism.

The first round of monitoring and reporting using the toolkit shows that the approach is useful and could be used beyond the programme level. For example, the Government of Nepal re-worked the scorecards and asked each ministry to use the scorecard approach to score the degree of integration of climate change into planning in their sector. In addition, the Ministry of Science, Technology and Environment of Nepal uses the PPCR M&R system for its climate portfolio as a whole.

For further information

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► Reference

CIF website. Monitoring and Reporting (M&R) in the Pilot Program for Climate Resilience. Available at: www.climateinvestmentfunds.org/cif/measuring-results/ppcr-measuring-results

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