

Key Lessons from the Pilot Program for Climate Resilience

A practical resource for all involved with
strategic planning processes and mainstreaming
of climate resilience



“The PPCR business model has proven itself to be an effective framework for resilience planning and implementation. Its value will increase as development projects incorporate resilience in response to climate change and the relevance of these top 10 PPCR lessons has application for multiple audiences—countries, MDBs and climate financing entities like the GCF.”

—James Close, *Climate Group Director for Policy and Finance, World Bank Group*

“Having a nationally owned monitoring and reporting system for resilience has helped us to organize different processes, and more importantly, streamline monitoring of all climate change adaptation actions in Nepal to facilitate continuous learning.”

—Mahendra Man Gurung, *Joint Secretary, Ministry of Science, Technology & Environment, Nepal*



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Contents

Overview and Welcome

Top Ten Lessons

Lesson on High-Level Coordination

[Case Study: Zambia](#)

Lesson on Linking and Leveraging Investments

[Case Study: Tajikistan](#)

Frequently Asked Questions

Powerpoint Page Examples

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Welcome to this resource for helping countries bolster the resilience of their infrastructure, natural resources and human development programs, to the effects of climate variability and change. The experiences presented here come from the first 7 years of implementing the Pilot Program for Climate Resilience (PPCR) in 18 countries and covering sectors including agriculture and landscapes, water resources, coastal zone, urban development, climate information systems, and other infrastructure.

The top 10 Key Lessons from the PPCR highlight critical and strategic aspects that need to be considered in resilience planning and implementation. These

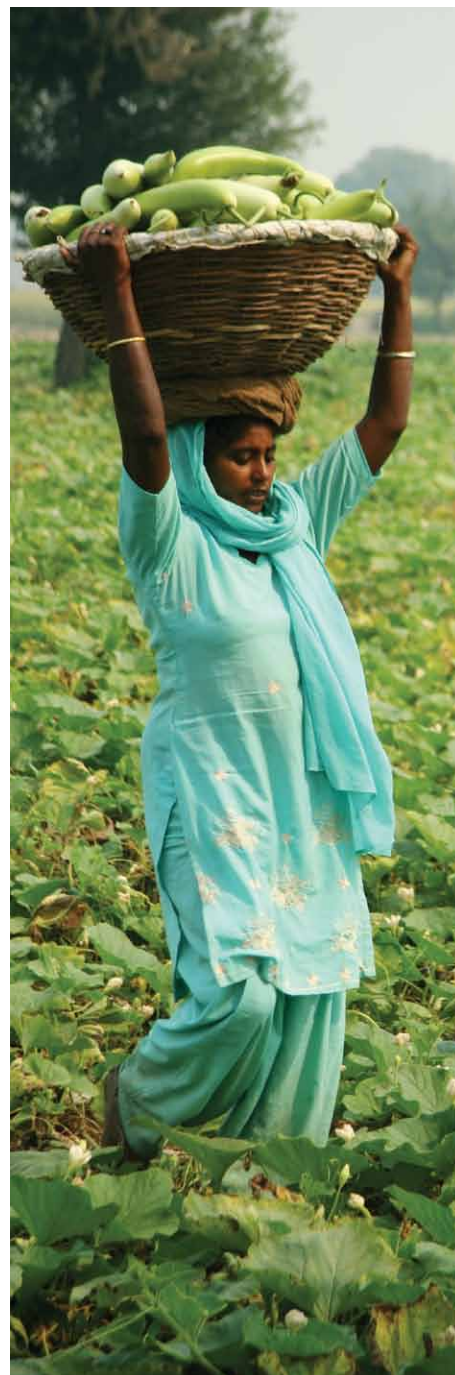
lessons underscore the importance of institutional arrangements; information on climate vulnerabilities; leveraging finance; transforming at scale; engaging stakeholders; dedicated learning fora; engaging private sector; core indicators and monitoring; responsiveness to country context; and where relevant regional programming. These findings and observations are not theoretical, but based on real experiences of country counterparts and multi-lateral development bank (MDB) teams over the planning and early implementation phase of the PPCR. The Knowledge Product (KP) also provides links to detailed supporting materials for optimal use of the information in your work.

Discussion of these top 10 Key Lessons are structured in a cascading approach. Each lesson—starting with key messages targeted for higher level management that help frame the discussion with counterparts and provide strategic direction—drills down into progressively more detail relevant to project teams through sub-lessons, country case studies, and guidance

on “how to do” and “what to avoid” for enhanced success. A couple of illustrative examples of this cascading approach are presented below.

This KP reflects input from previous Climate Investment Fund (CIF) reviews and PPCR teams. The KP built on a number of formal reviews of the CIFs (the overarching multi-donor trust fund), as well as documentation from individual PPCR countries. The top-most “lessons learned” were refined through an iterative process, and detailed sub-lessons and case studies emerged to highlight and provide further insights on these top-most lessons. Feedback loops to the project teams ensured consistency of messaging.

For optimal use of this KP, the top 10 lessons are listed below. These lessons reflect common themes across all PPCR countries and there is complementarity among lessons. However, not all lessons may be equally relevant in every context. As each lesson is substantiated through a country case study, you can always start learning from the experience of countries that share similar climate risks, resources, and institutional capacities as your clients/country. Please check out the online resources for a full elaboration of the lessons.¹



¹<http://www.climateinvestmentfunds.org/cif/learning-and-events/Publications>

TOP 10 Lessons

of the PPCR are clear, and not only relevant to resilience programs but reflect the essence of good development.



1. **Coordination across multiple sectors supported with leadership from** the highest levels of government was the most effective approach for shaping a program of resilient investments, and is promising for implementation effectiveness and anticipated scaling up.



2. All countries were able to shape investment plans and priorities based on their experiences and evidence with current climate variability and impacts. The PPCR continues to be instrumental in bolstering the evidence base of knowledge for future impacts; a critical factor for accelerating resilient development.



3. The expectation of **linked and leveraged funds at scale** through formal MDB collaboration and Phase 2 grants and concessional loans **was pivotal for country buy-in. Planning grants alone would have been insufficient.** Both linked investments and leveraged investments were instrumental in advancing and catalyzing countries resilience pathways.



4. Many SPCRs are fostering **transformational investments and policy reforms** going beyond Phase 2 investment funds. This advanced partnering with bilateral and country-based funding sources, **spurred policy reforms**, and furthered the **incorporation of resilience** at the national, regional and local levels.



5. **Mandatory and documented stakeholder engagement built ownership and support for the planning and investment selection process.** The PPCR built new pathways in some countries and enhanced existing structures in others; already enhancing positive relationships during implementation of specific investments.



6. The periodic **dedicated learning and exchange fora** among PPCR pilot countries have proven especially valuable. These help **build credibility and professionalism** of participants **while sharing practical experiences** and engendering shared South-South experiences.



7. Upfront **technical assistance and targeted advisory services** has been **critical for overcoming barriers to engaging the private sector** on climate resilience. This includes piloting new modalities of climate adaptation, validating their commercial viability, and creating an enabling environment for successful investments.



8. The simplified set of **5 core resilience indicators for PPCR monitoring and reporting** is seen as **a practical and viable framework** and several countries are beginning to see the benefits of **tracking overall national progress towards resilient development.**



9. The program's **ability to evolve and be responsive to country capacities**, political structures, and overall development regimes was **pivotal for acceptance.** The PPCR played a catalytic role in countries whose adaptation planning was nascent.



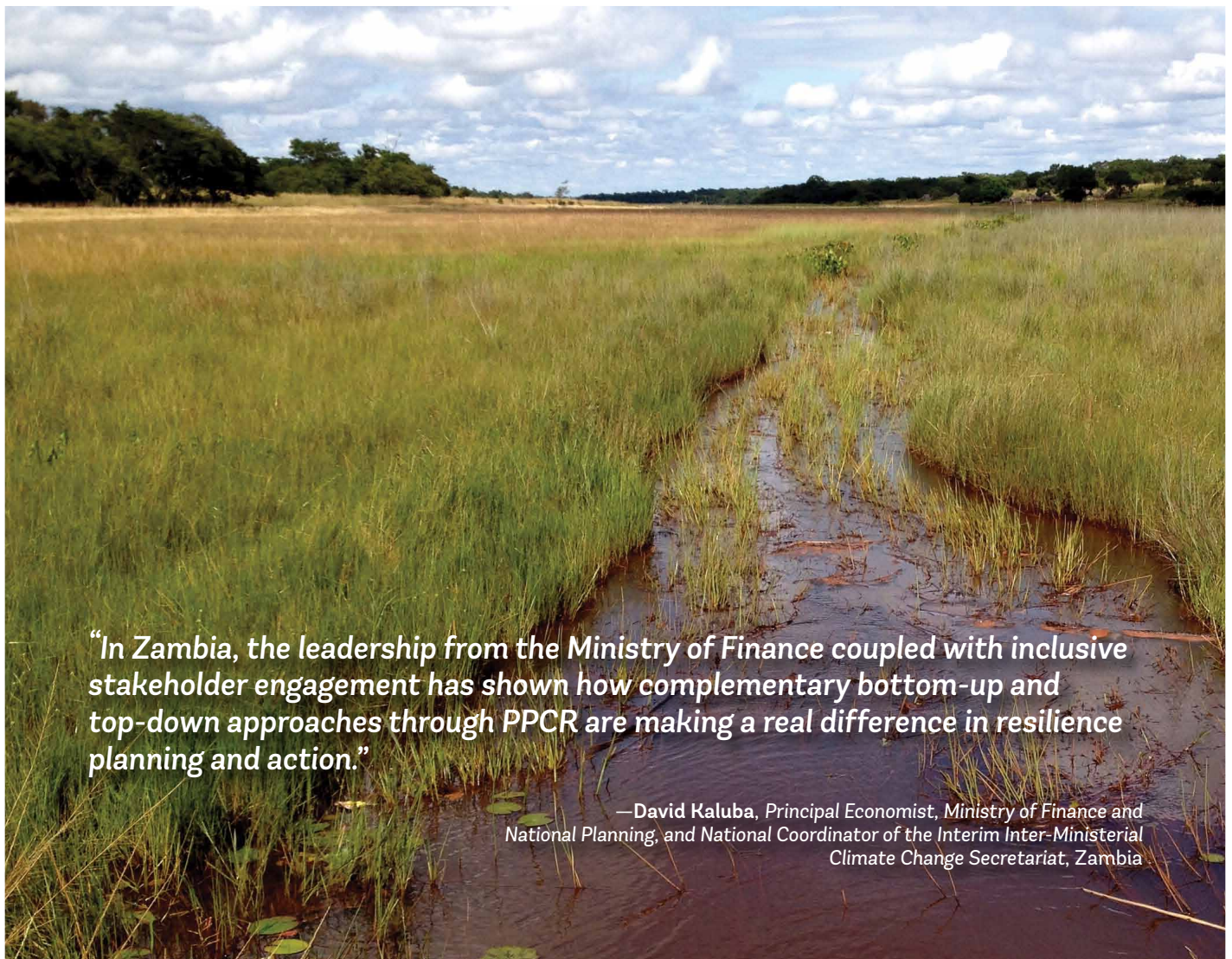
10. **Regional approaches** have the potential for **bolstering country-based programming with implementation synergies.** National-level strategy linked with concrete investments ensured sustained engagement with countries.

“Learning and sharing experiences is a central part of the CIF design, and this compendium of PPCR lessons showcases a set of practical ways to achieve resilience planning, while highlighting the achievement of the program.”

– Mafalda Duarte, Program Manager, Climate Investment Funds

You should find useful lessons here to help your team advance on climate-resilient development, under any number of directions your client or country is heading. Since the PPCR is by nature a cross-sector approach to resilience and adaptation planning (Phase 1) followed by tailored investments (Phase 2), **there are transferrable lessons that can offer invaluable advice for any number of situations your team might face**, for example:

- Your client or country was just selected for participation in the PPCR and understanding what worked or did not work in the first round would be invaluable.
- A new Country Partnership Framework (or more generally a national development planning framework) is being developed to guide engagement with the World Bank and/or other development partners over the next 3–4 years, and climate resilience is a new cross-sector consideration.
- A Development Policy Framework is being prepared to support critical policy reforms—both broadly and in sensitive or vulnerable sectors and regions, and provides opportunities to address climate resilience.
- Engagement with the country under the 17th replenishment of the International Development Association (IDA), the World Bank’s fund for the poorest, where a multi-sector planning approach to climate resilience is planned.
- The country is interested in preparing a solid application for the Green Climate Fund.
- Your team is being asked to provide targeted expertise or advisory services (e.g., Reimbursable Advisory Services) to a client.
- Given changes in country or donor policy, and/or following stakeholder consultation, a particular sector investment in preparation by a country/development partner/Bank needs to further consider the implications of climate change through the full life of the investment.



“In Zambia, the leadership from the Ministry of Finance coupled with inclusive stakeholder engagement has shown how complementary bottom-up and top-down approaches through PPCR are making a real difference in resilience planning and action.”

—David Kaluba, Principal Economist, Ministry of Finance and National Planning, and National Coordinator of the Interim Inter-Ministerial Climate Change Secretariat, Zambia

EXAMPLE 1: LESSON ON HIGH-LEVEL COORDINATION



Key Lesson on “High-Level Coordination”

Coordination across multiple sectors supported at the highest levels of government was the most effective approach for shaping a program of resilient investments, and is promising for implementation effectiveness and anticipated scaling up.

Sub-Lessons:

- **Best when leadership** for developing multi-sector approaches rests with the Ministry of **Finance or comparable institution** given influence at highest levels of Government, **authority over major sector ministries**, and experience dealing with MDB finance (e.g., Zambia; Samoa, Cambodia, Mozambique).
- Leadership by **Environment** ministries with responsibility over natural resources or water infrastructure can be effective (e.g., Bolivia); but **more challenging** without such responsibilities.
- **Climate change councils**, climate adaptation project implementation units, and similar structures can **accelerate planning process** if strongly supported by senior government officials (e.g., Niger; Yemen; St. Lucia).
- **While coordination and integration** is key at the National level for programmatic delivery, **implementation of investments** follow the normal route **through relevant line Ministries**.

How-to-Do:

- Find and **empower the champion** at the **highest** level of government; one who can see across sectors and directly influence development planning and has convening power.
- Maintain **interest of agencies past planning** and into implementation.
- Try to **avoid “program capture”** by Ministries who lack direct engagement with investments, which needs strengthened resilience (e.g., water, agriculture, energy, transport, and development).
- **Build trust and buy-in** by engaging existing climate and sustainable development coordinating groups, capacity-building efforts, etc.
- Seek **opportunistic timing** of resilience plans and national and sub-national investment plans.

Zambia Case Study: High-Level Coordination across Multiple Sectors through Ministry of Finance

Question	Results
Organizational structure vis-à-vis senior officials and sector ministries?	<ul style="list-style-type: none"> • Climate change Secretariat led by Ministry of Finance (MoF) as the cross-sectoral platform is being finalized. • MoF had proven experience in working and influencing investments across sectors. • Early recognition of transformative nature of PPCR and influence on development planning.
Why did it work for planning?	<ul style="list-style-type: none"> • Preparation of investment plan overlapped in timing with the national development planning cycle. • Cross-sector coordination mechanism led by MoF quickly recognized positive influence of investment funds in Phase 2.
Will it work for implementation?	Promising since PPCR structure is being utilized to access funds from GCF.
What was Bank/ MDB role?	<ul style="list-style-type: none"> • Advisory and facilitation on establishing and strengthening the new institutional arrangements and coordinating mechanism. • Technical assistance and capacity building to strengthen decentralized (national, provincial and district levels) implementation and coordination across sectors.
Other points?	<ul style="list-style-type: none"> • Strong political buy-in leveraged three-fold additional national budget allocation in FY15 compared to FY14 for PPCR specific investments.
Other countries with comparable structures?	<ul style="list-style-type: none"> • Samoa and Cambodia; where PPCR supported mainstreaming in national/sub-national development plans.

What-to-Avoid:

- **Impatience**—integrating climate and disaster risk into development is a process that takes time, from the initiation of new pilots and coordination structures, to scaling up from lessons-learned.
- **Reliance** on an intra/inter-ministerial coordination **mechanism without a track record** for fostering cross-sector dialogue, influencing investments, and fostering substantive change.
- Barring a mandate through a multi-donor process, an **expectation** that all **development partners will fully coordinate** their efforts, especially **without a “champion” from the country**.

EXAMPLE 2: LESSON ON LINKING AND LEVERAGING INVESTMENTS

Key Lesson on “Linking and Leveraging Investments”



“The expectation of **linked and leveraged funds at scale** through formal MDB collaboration and Phase 2 grants and concessional loans was pivotal for country buy-in. **Planning grants alone would have been insufficient.** Both **linked** investments and **leveraged** investments were instrumental in **advancing and catalyzing countries’ resilience pathways.**”

Sub-Lessons:

- **Required formal linkage of MDBs** through SPCR process greatly **leveraged institutional strengths**, reduced country burden of donor coordination, and enhanced high-level visibility (e.g., Tajikistan, Zambia; Yemen).
- Maintaining **donor coordination** during the investment phase is **still challenging** in some countries.
- **Formal linkages with MDBs** and engagement with other **development partners ensured** a more **strategic approach** to pipeline investments (e.g., Yemen, Niger).
- **Expectation of significant resources** for dedicated investments in Phase 2 ensured and **sustained a high level commitment from countries.** Phase 1 planning grants alone may not have sufficed.
- Both **linked** investments—through blended financing with dedicated PPCR funds; and **leveraged** investments—through collective financing and action have been **instrumental in advancing and catalyzing countries’ resilience pathways** (e.g., Mozambique).

Tajikistan Case Study: Building on Relative MDB Strengths

Development Partner	Established focal area/pipeline investment	Benefits from SPCR and Phase 2 funds
World Bank (IDA)	Rural agriculture and poverty reduction Regional knowledge on weather and climate	<ul style="list-style-type: none"> • Demonstrate and disseminate more resilient agricultural methods and technical norms. • Major upgrading of HydroMet equipment, services and delivery mechanisms through a region wide program. • Target interventions to rural populations at risk.
ADB	River basin management	<ul style="list-style-type: none"> • Major improvements in weather forecasts and climate modeling. • Demonstrate improved flood resilience (Pyanj Basin).
EBRD	Hydropower improvement (semi-private sector)	<ul style="list-style-type: none"> • Assessment of sector-wide climate risks • Implement practical resilience measures at major dam subject to EBRD co-financed upgrades.
UK DFID	Accelerate attention to climate resilience by Government and donors	<ul style="list-style-type: none"> • Provided financing for PPCR Secretariat and international experts at crucial stages

How-to-Do:

- Begin **shaping multi-sector resilience** investment plans in close cooperation **with MDBs and development partners.**
- Identify as **early** as possible opportunities for **linking and leveraging of financing**, looking for opportunities of comparative advantage, **efficiencies**, and scale-up for resilience programming.
- Consider a **formal program of partnership**; it’s extra work but can be **extremely effective** in leveraging institutional strengths and funding.
- Seek to **streamline efficiencies in MDB** processing and decision-making to **reduce transaction costs** and help meet overall program objectives in a timely fashion.

What-to-Avoid:

- **Impatience**—integrating climate and disaster risk into development is a process that takes time, from the initiation of new pilots and coordination structures, to scaling up from lessons-learned.
- **Reliance** on an intra/inter-ministerial coordination **mechanism without a track record** for fostering cross-sector dialogue, influencing investments, and fostering substantive change.
- Barring a mandate through a multi-donor process, an **expectation** that all **development partners will fully coordinate** their efforts, especially **without a “champion” from the country.**



Frequently Asked Questions

Shaping Climate Resilience for Transformational Change

1. What is the PPCR?

The \$1.2 billion Pilot Program for Climate Resilience (PPCR) is a funding window of the Climate Investment Funds that assists developing countries to integrate climate resilience into development planning and investment. The PPCR delivers support to 18 highly vulnerable countries and two regional programs through a two-phase process: a preparation phase to undertake diagnostics and develop a strategic investment framework to strengthen climate resilience, followed by an investment phase to address climate-related risks. As of May 2015, an additional 10 countries will receive PPCR support to develop strategic plans for climate resilience.

2. What is the SPCR?

The strategic program for climate resilience (SPCR) is a country-owned and led framework identifying vulnerabilities and priorities for mainstreaming climate resilience into development planning and investment. The SPCR is developed through a participatory process that includes: identifying priorities and strategies, defining key agencies, allocating tasks among agencies, MDBs and other partners, and developing a results framework to track progress. The SPCR builds on policy and analytical work already underway in a country and is designed to attract other multi-lateral or bilateral development funding, including climate finance from the Green Climate Fund (GCF).

3. What is so special about the PPCR and why is it so important to learn lessons from it?

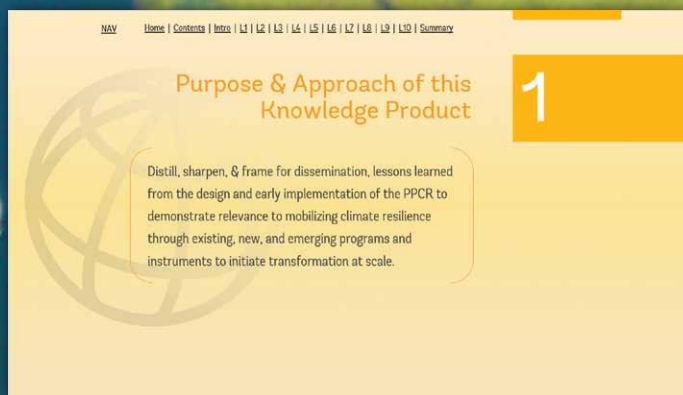
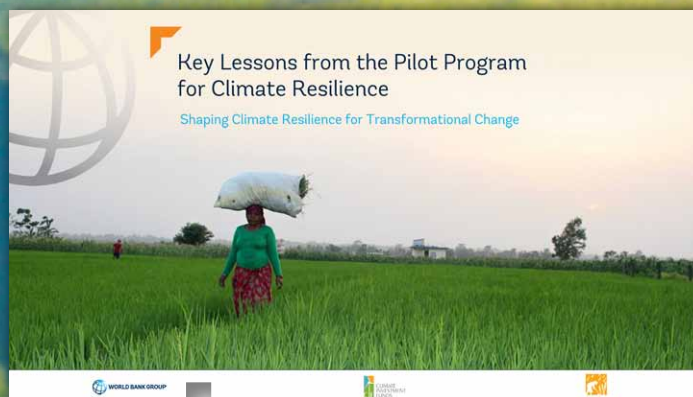
The PPCR is currently the largest dedicated source of finance for adaptation initiatives in developing countries. Moreover, the PPCR is the only funding mechanism that both encourages and provides the significant resources needed to help countries develop and implement a programmatic approach through both planning and investment in its first phase. Because project-based activities alone have limited potential to effect national or sector-wide transformations, a programmatic approach entails a long-term and strategic arrangement of linked investment projects and activities aimed at achieving large-scale impacts, taking advantage of synergies and co-financing opportunities.


Lessons from the first round of PPCR countries can inform larger processes, including multi-sectoral resilience plans, country partnership frameworks, and even national development plans. As 10 new countries were extended funding to prepare SPCRs in May 2015, it is important that these countries benefit from the experiences and learning of the 18 countries that have preceded them.

The lessons reflect common themes across all PPCR countries and there is complementarity among lessons which include both public and private sector experiences.

For a full display of all the lessons, sub-lessons and case studies visit:
<http://www.climateinvestmentfunds.org/cif/learning-and-events/Publications>

Sample pages of lessons





Frequently Asked Questions:

Shaping Climate Resilience for Transformational Change

4. How have these lessons been derived from the PPCR?

These lessons are derived from both the preparation of the SPCR and the implementation of PPCR investments. The top 10 lessons were distilled through an iterative process of consultation and validation with Bank task teams and country teams. They build on evaluations undertaken by the Climate Investment Funds and project and program documentation.

5. How have these lessons been structured?

The lessons are structured in a cascading approach—starting with key messages targeted for higher level management that help frame the discussion with counterparts and provide strategic direction, then drilling down into progressively more detail relevant to task teams through sub-lessons, country case studies, and guidance on “how to do” and “what to avoid” for enhanced success.

6. Do I have to apply each lesson?

The lessons reflect common themes across all PPCR countries and there is complementarity among lessons. However, not all lessons may be relevant in every context. As each lesson is substantiated through a country case study, you can always start learning from the experience of countries that share similar climate risks, resources, and institutional capacities as your clients.

7. How applicable are these lessons to MSP development for IDA 17 and/or to any other resilience building investment programs.

This KP seeks to capture and share strategic, technical and operational lessons derived from the PPCR experience,

emphasizing the “how” and “why” to inform practical action. As the PPCR embraces a multi-sectoral, programmatic approach, these lessons are highly relevant to the development of multi-sectoral plans (MSP) under IDA 17. More broadly, any program that aspires to address climate risks through a strategic approach linking planning and investment can learn from cross-cutting lessons on coordination across multiple sectors, risk assessments to determine investment priorities, and how to develop a national monitoring and reporting framework that tracks progress and informs decision making.

8. How different are these lessons from good development practice?

Many PPCR pilot countries have adopted innovative approaches to good development practice such as stakeholder consultation and inter-agency coordination. The country case studies on innovative use of ICT in Zambia, consultations with the vulnerable groups in Yemen, and stakeholder coordination in Tajikistan demonstrate benefits beyond the PPCR process.

9. Are these lessons relevant to the private sector?

The key lessons include both public and private sector experiences. Lesson seven on Private Sector Engagement specifically focuses on the barriers, opportunities, and approaches to effectively engage private sector.

10. Where can I access these PPCR lessons learned?

The set of 10 top lessons is available on the CIF website.

The note was prepared by the World Bank Group PPCR Team.

Please visit <http://www.climateinvestmentfunds.org/cif/learning-and-events/Publications> to see the full elaboration for each lesson.

Citation: Rigaud, Kanta Kumari; Hoffer, Ronald; Ahmed, Kaʒi Fateha; Chaturvedi, Akshat; Gaensly, Laura; Kapila, Shaanti; Shrestha, Junu. 2015. Washington DC; World Bank.

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