Short title	**ICF KPI 1: Number of people supported by DFID programmes to cope with the effects of climate change**
	Please note that this methodology had substantial changes made to it in March of 2013. Please re-read, especially the technical definition/methodological summary and data disaggregation sections.
Type of Indicator	**Cumulative (individual years summed to total):** report annual in-year totals <u>only</u> against each milestone. These annual in-year totals should then be summed at the end of the results template to give a cumulative total for the current spending review period (2011/15), the life of the programme and where results will occur outside the life of the programme for total programme benefits.
Key reporting requirements	Below is a list of key reporting requirements to keep in mind when making your returns. Further details are available in the text below:

Requirement	Summary
Is this a DRF indicator?	Yes
Available for reporting?	Yes
Methodology changes?	Yes - substantial
Units	Absolute number of people
Attribution	Pro-rata share of public funding
Disaggregation to be reported in results templates	• Direct vs. Indirect • Gender

Technical definition/ Methodological summary	Identifying the target number of beneficiaries is now an essential step in the business planning process, and will be a key output/outcome indicator for any programme DFID supports.

Definitions

'Support' is defined as direct assistance from the programme in question, with the explicit intention of helping people deal with climate change impacts. It could include for example financial resources, assets, agricultural inputs, training, communications (e.g. early warning systems) or information (e.g. weather forecasting). Whilst almost any development intervention that has the outcome of reducing poverty and therefore vulnerability could be described as supporting people to cope with the effects of climate change, the definition here requires the effects of climate change to be explicitly recognised and targeted by the programme in question[1].

'People supported' should relate to populations or households[2] identified by the programme in question with a direct relationship to it.

'Effects of climate change' are defined here as the effects of both existing climate variability and the magnified impacts of future climate change. Normally resulting from the primary consequences of climate change of: changes to precipitation, temperature and sea level rise, these may be sudden onset or gradual, and can include floods, droughts, storms, landslides, salination, coastal inundation, heat or cold waves and biodiversity loss. |

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[1] At a minimum all programmes with a 'Departmental Strategic Objective' (DSO) on climate change and/or a primary or secondary component Input Sector Code on climate change should be included in this indicator, though others may also be eligible.

[2] If the data collected is by household then this figure should be converted into a number of people indicator – see data calculation section

Application

This indicator relates to the UK International Climate Fund (ICF) impact statement from the theory of change[3] for adaptation to climate change: *'Vulnerable people in poor countries are prepared and equipped to respond effectively to existing climate variability and the magnified impacts of climate change'.* This indicator seeks to measure the numbers of people who have received an input of support as a proxy for preparing and equipping them, but does not seek to measure the output of whether this support was successful in reducing the impacts of climate change events or effects on these people, or the outcome of increasing their resilience or reducing their vulnerability to climate change. For the ICF we will seek to capture this outcome of improved resilience to climate change through evaluation and other indicators where possible.

It is desirable to distinguish between numbers of poor people and numbers of vulnerable people, as not all vulnerable people are poor, and it is not always the poorest that are vulnerable, but this methodology does not encompass this definition yet. Future methodological work is planned to provide a more robust and multi-dimensional definition, and to deepen our understanding of who is vulnerable to climate change. Neither does this methodology specify that people supported should be located in poor countries or define which are poor, although it is expected that all interventions will be in developing countries.

This indicator should only cover bilateral spend at this stage. Multilateral and other support (e.g. direct to NGOs), will be collected and calculated separately, to ensure the same individuals aren't double counted, e.g. if supported in different ways (or even the same way) by geographically overlapping programmes.

There are two dimensions of 'support':

1) *Targeted:* defined as whether people (or households) can be identified by the programme as receiving direct support, can be counted individually and are aware they are receiving support in some form. This implies a high degree of attribution to the programme.

2) *Intensity*: defined as the level of support/effort provided per person, on a continuum but broad levels may be defined as:
   a. Low: e.g. people falling within an administrative area of an institution (e.g. Ministry or local authority) receiving capacity building support or people within a catchment area of a river basin subject to a water resources management plan.
   b. Medium :e.g. people receiving information services such as a flood warning or weather forecast by text, people within catchment area of structural flood defences, people living in a community where other members have been trained in emergency flood response.
   c. High: e.g. houses raised on plinths, cash transfers, agricultural extension services, training of individuals in communities to develop emergency plans

These dimensions are not completely exclusive, medium intensity support may be either targeted (e.g. early warning text messages) or not targeted (catchment

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[3] See ICF thematic paper on adaptation May 2011 for details on the TOC (Quest number 3721477)

area of a flood defence system). **However high intensity support should always be targeted, and low intensity support cannot normally be considered targeted. Low intensity support *should <u>not</u> be reported* for this indicator**

Categories

There are therefore **2 categories for reporting:**

A) **Direct:** Targeted & High intensity. Must fulfil both criteria e.g. people receiving social protection cash transfers, houses raised on plinths, agricultural extension services, training of individuals in communities to develop emergency plans and use early warning systems.

B) **Indirect:** which covers:
   i)   Targeted & Medium intensity: e.g. people receiving weather information and text message early warnings.
   ii) Not targeted & Medium intensity: e.g. people within the coverage of an early warning system, or catchment area of a large infrastructure project (e.g. flood defences), or living in a discrete community in which others have been trained in emergency response

Programmes are **only** required to distinguish direct and indirect support (and not the sub-categories of 'indirect' above – e.g. whether targeted or not)

A third category does not need to be reported at all:

C) **Not Reported:** Indirect and Low intensity: e.g. people benefiting from falling within an administrative area of an institution receiving capacity building support, or catchment area of a Water Resources Management plan or strategy (these numbers can be captured through the programme's own monitoring, and for the ICF the interventions under the 'institutional development' scorecard KPIs).

If you are unsure how to break down the number of people your programme supports into these categories please contact the adaptation and water resource management team leads as listed at the end of this document.

Gender:
Reporting by gender has been marked as mandatory. If you are unable to disaggregate by gender please see the additional guidance in the data disaggregation section below.

A single programme may include interventions which are direct and indirect (e.g. a programme which has activities including social protection and early warning

systems). A single *intervention* may also include people supported directly and people supported indirectly, e.g. individuals trained to develop community emergency plans and use early warning systems would be supported directly, whereas people living in the same community and benefiting from those plans would be supported indirectly

Further information

2 further optional labels can then be applied within the above categories:
1. The first label is simply: <u>Does this programme fit under any of the sectors prioritised in the ICF adaptation thematic paper?</u> That is:

(a)　access to social protection (if the programme is defined as an 'adaptation' intervention) including micro-finance and broader social protection/insurance mechanisms;
(b)　support to water shed and water basin management (both the construction of small-scale infrastructure at household or community level and large-scale support for watershed and water basin management activities;
(c)　support with urban resilience including resilient infrastructure;
(d)　support to any community and/or national level disaster risk reduction activities;
(e)　support for resilient agriculture programmes;
(f)　support for eco-systems development and coastal zone management programmes; and
(g)　support for health programmes which are primarily tackling climate change risks.

2. The second label considers the proportion that are poor: <u>What proportion of the beneficiaries are poor?</u>

Numbers of poor people could be determined by numbers below a country specific poverty line rather than the international $1.25/day definition. For programmes which have indirect beneficiaries, proportions of poor could be estimated from social vulnerability analyses commissioned as part of the programme preparation or any prior Climate Change Strategic Programme Reviews.

Methodological points to note:

1. Numbers of people supported through multilateral multi-sector adaptation programmes where UK is major funder will also be included in this indicator. We will be working with the multilateral partners to ensure this headline indicator can be gathered in future.

2. With multi-sectoral support there is scope for double-counting of results, we will therefore ensure that targeted interventions are tagged against one or another sector.

3. Finally, both household and individual data can be collected as part of this exercise. Data on household size should be determined from the most recent national census data or from a nationally representative household survey. If data is collected at the household level, the country office will need to multiply the number of households by the average household size.
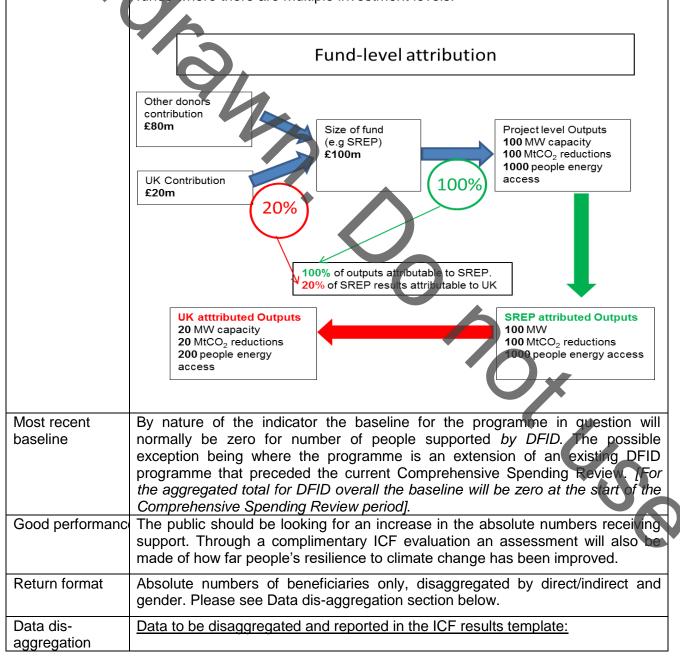
Rationale	This is a new area of programming. At a minimum, an overall numbers of people

	supported by climate change support will help demonstrate our impact statement in the Theory of Change for adaptation. Although we are not envisaging all programmes to be able to gather all of the disaggregated levels of data, what is collected will strengthen the story on our adaptation portfolio and strengthen our evidence base. This indicator links clearly to policy priorities around climate adaptation as articulated by the International Climate Fund Board. With limited international consensus on measuring successful adaptation, HMG's development of these and other indicators will be leading the way in the international community.
Country office role	Country offices will be required to report on target beneficiaries, and numbers reached throughout implementation of each programme. This and other ICF indicators should be built into Annual Review progress reports. Progress has already been made with multilateral partners in making their M&E systems more focused on aggregating results. The Pilot Programme for Climate Resilience (one of the CIFs) Adaptation Fund and Least Developed Countries Fund for example have their own results frameworks, will generate results information on a regular basis, there may be a role for country offices in quality assuring the information when it is collected.
Data source	The indicator will be measured through the monitoring and, to some extent, evaluation of DFID bilateral climate adaptation programmes and multilateral programmes, particularly those financed by the UK's International Climate Fund (ICF). In some cases (e.g. on-going programmes in Bangladesh) the data will be generated through project-specific surveys. Where DFID programmes are operated through government (e.g. the Ethiopia PSNP), the data will come from separate commissions. Similarly, data on proportions of poor will be undertaken through individual surveys at project level and then attributed to the programme. Perhaps at a later stage, household level surveys will begin to gather this data more readily. The aggregation for this indicator will be undertaken by CED across all projects/programmes.
Data included	**DRF:** At a minimum all DFID programmes with an explicit climate change purpose are should report on this indicator (primary or secondary input sector code on ARIES).
Formula/Data calculation (including attribution rule)	The indicator is expressed in absolute numbers, so not relevant. However, the data will be aggregated by CED using the numbers provided against sector interventions summed across to arrive at a total figure. It is possible that some of the disaggregated levels of data are provided as percentages. These will then be converted as appropriate into absolute numbers. Where HMG are only funding part of the project, benefits (number of people) should be calculated as a pro-rata share of public funding. For example, if we are funding 10% of a project with 100 beneficiaries, we should claim that 10 of these beneficiaries are attributable to DFID. It is possible for a single programme to reach both direct (targeted and high intensity) and indirect (targeted or not targeted and medium intensity) beneficiaries in which case these should be reported separately. **Fund-level attribution** (i.e. at point of UK investment) should be applied for reporting expected and actual results and headline results/figures used in

	Business Cases (to ensure all projects can report on a consistent basis). This method involves sharing results across all donors that contribute to a fund. All results are attributable to the relevant fund (e.g. CIFs, CP3, GAP) regardless of whether these funds blend with other sources of finance in implementing projects at levels below the point of UK investment. For example, if the UK invests £25m into a fund that totals £100m of public money, the UK would claim 25% of the results from that investment. This applies to all results. The long term ambition is to develop the data availability to enable all projects to use the lowest/most direct level of attribution possible in the future (i.e. project level). Therefore, advisers should be working to develop sufficient data to calculate project level results reports, and where possible, provide this information now alongside headline Fund level results. To note, the distinction between attribution at the project level and at the Fund level (or at point of UK investment) is only an issue where the UK is investing in funds where there are multiple investment levels.
Most recent baseline	By nature of the indicator the baseline for the programme in question will normally be zero for number of people supported *by DFID*. The possible exception being where the programme is an extension of an existing DFID programme that preceded the current Comprehensive Spending Review. *[For the aggregated total for DFID overall the baseline will be zero at the start of the Comprehensive Spending Review period]*.
Good performance	The public should be looking for an increase in the absolute numbers receiving support. Through a complimentary ICF evaluation an assessment will also be made of how far people's resilience to climate change has been improved.
Return format	Absolute numbers of beneficiaries only, disaggregated by direct/indirect and gender. Please see Data dis-aggregation section below.
Data dis-aggregation	Data to be disaggregated and reported in the ICF results template:

	- Number of direct or indirect beneficiaries
	- Gender:
	• Reporting by gender has been marked as mandatory. If you are unable to report by gender please explain why in the metadata columns of the results template.
	• We would expect gender disaggregation to be possible for all programmes in the direct category. Where possible gender disaggregation should also be given for the indirect category.
	• We acknowledge that gender disaggregation will not be possible if household level data are used. If local gender disaggregation data is not available but you have target population data that allows you to give an estimated number then please report this. If an estimate is used then please state this clearly in the metadata column.
	• It is not intended to present gender disaggregated figures by country/programme but as an aggregated total across programmes.
	Data to be disaggregated as part of workings and Quest number provided:
	Disaggregation of the following variables will not be collected as part of the ICF results template. Please include disaggregated data in your working documents and record the Quest number for these documents in the ICF results template.
	- Thematic sector of programme
	- Proportion of beneficiaries who are poor
Data availability	It should be possible for country offices (and eventually multilateral partners) to report on beneficiary numbers at least annually (to inform Annual Reviews). CED will collate this information annually. Robust data from programmes already in implementation may be difficult to gather as baselines are unlikely to have been developed in all cases. Therefore we expect the routine M&E of these programmes to be able to generate this information.
Time period/ lag	This will have to be worked through with country offices and multilateral partners, but a 6-9 month lag may be necessary.
Quality assurance measures	We will identify mechanisms for data QA with multilateral partners (possibly using the OECD as an independent arbiter) by June 2013. In DFID, we anticipate that there will be 3 layers of QA: country offices, CED and FCPD. Country offices will need to estimate country-level aggregation, where separate programmes may support the same people in different ways. COs will be in the best position to do this analysis on geographic overlap. CED will need to centrally estimate aggregation between bilateral country programmes and multilateral support, to identify where this overlaps in terms of i) same people in different ways or ii) same people in the same ways e.g. through core support to two multilateral agencies co-financing the same programme. If reporting officers have any concerns about the quality of data or any points that they think CED should be made aware of, then please note this in the ICF (and DRF) results templates. Any comments can usually be added into the free text columns on the far right of each template. Further guidance should be available in the commissioning note.
Data issues	Quality of data will vary, particularly where it is necessary to rely on

	implementing partners collection of government data systems. We might be able to use different sources of data to triangulate results and strengthen our interpretation of the data. A further assumption is made that the data collected on the 'indirect' category (targeted or not targeted and medium intensity) can still be attributable. As there is no guidance on acceptable attribution proportions for indirect beneficiaries, we are proposing that these are captured in full and no discounting is made. FCPD guidance only exists on targeted attribution.
Additional comments	CED also plans to undertake more methodological work on definitions of vulnerability and will aim to do an evaluation on the impact of the ICF programmes on resilience. At some future date, these indicators can be used in conjunction with the indicator above to strengthen its impact focus. The number of people supported to cope with climate change indicator is new and attempts to measure a new area in development of common international interest. We have shared this methodology with a number of international partners including the MDBs and other donors and a number of these partners have chosen to replicate this methodology in their own reporting.
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