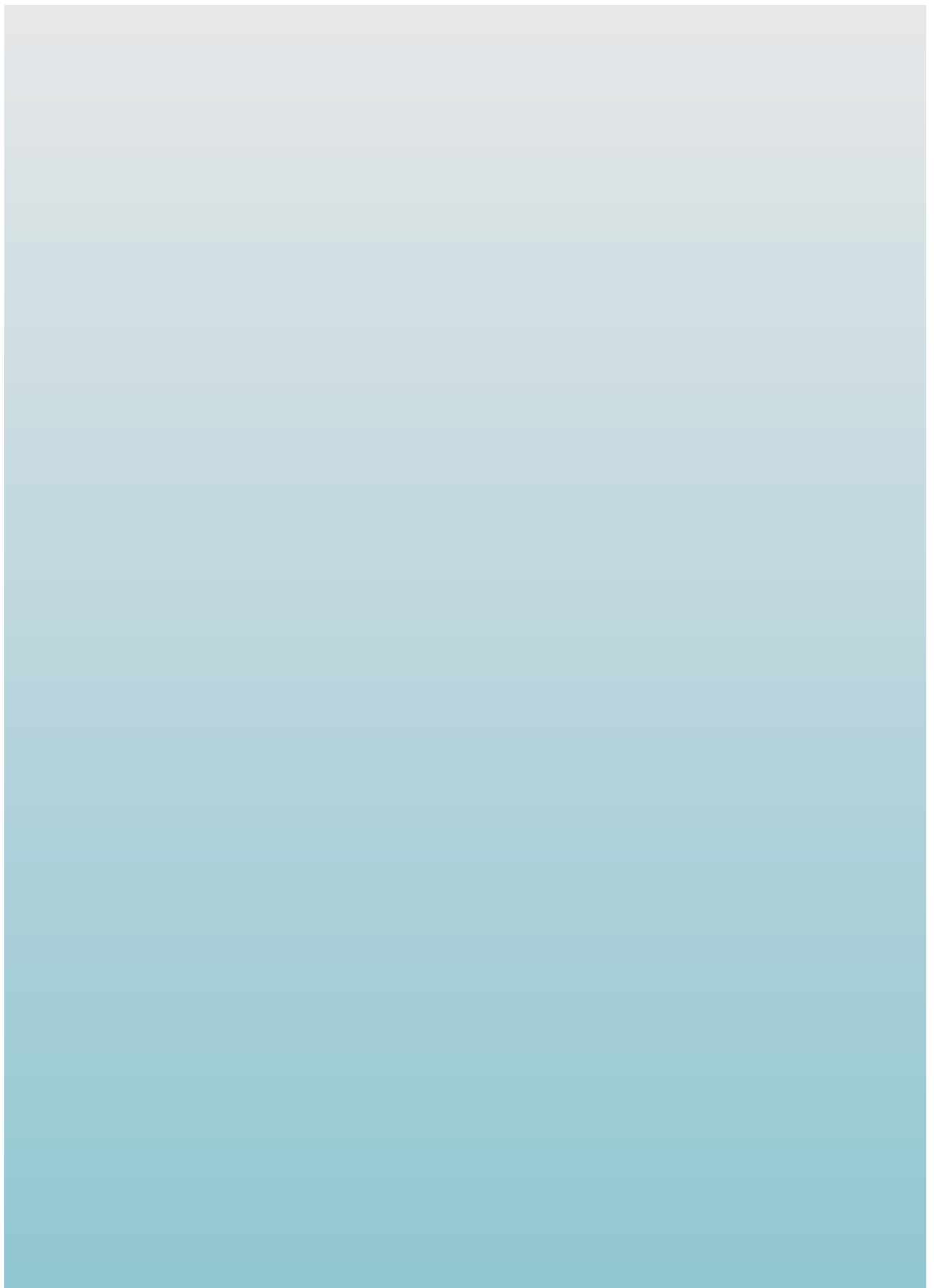


GLOBAL FACILITY FOR DISASTER REDUCTION AND RECOVERY: **SYNTHESIS EVALUATION REPORT**

FINAL VERSION – SEPTEMBER 2016





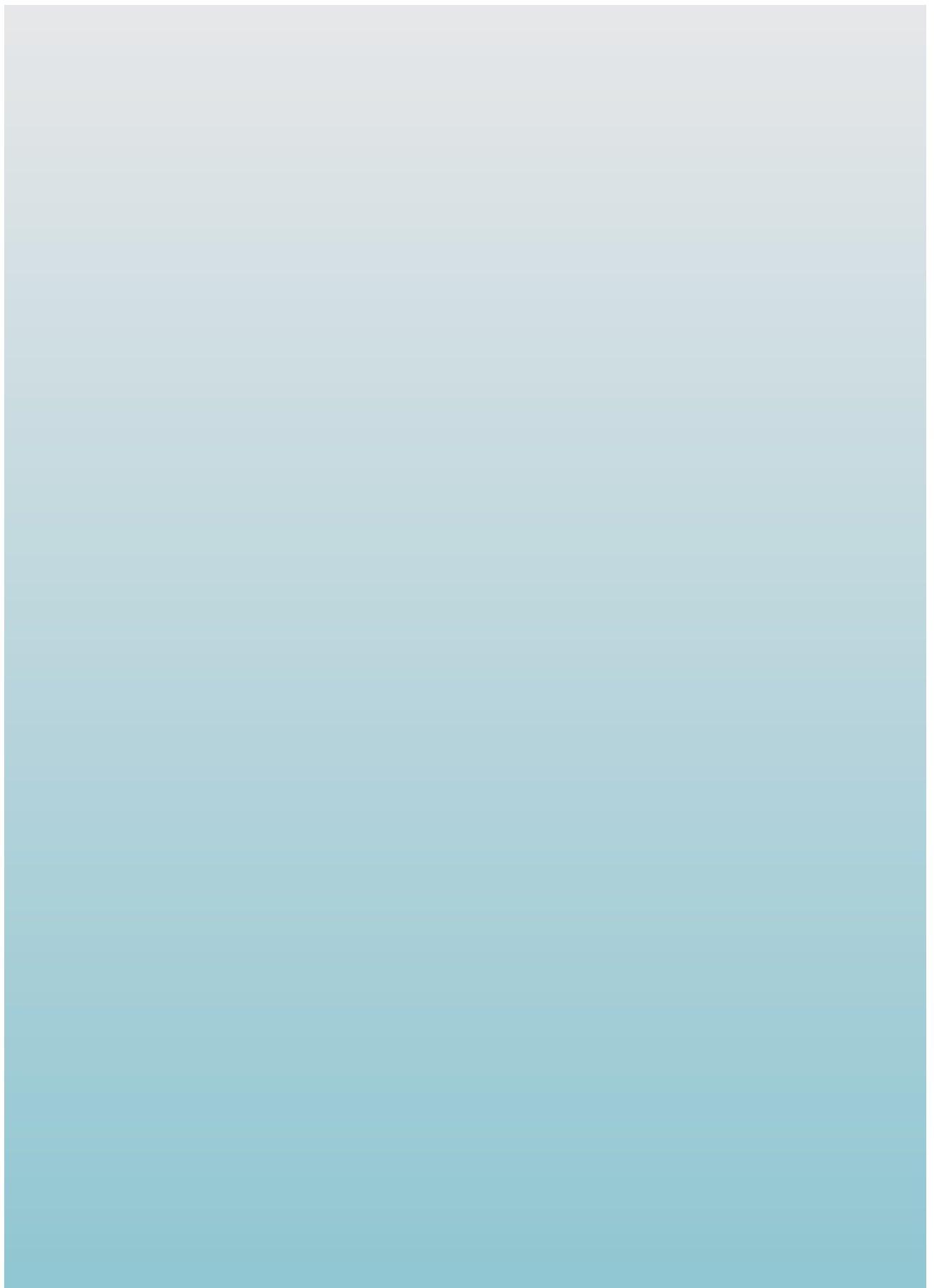
GLOBAL FACILITY FOR DISASTER REDUCTION AND RECOVERY: **SYNTHESIS EVALUATION REPORT**

FINAL VERSION – SEPTEMBER 2016



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ACRONYMS AND ABBREVIATIONS

Acronym / Abbreviation	
AAA	advisory and analytical assistance
BAPPENAS	Indonesia Ministry of National Development Planning (Badan Perencanaan Pembangunan Nasional)
BIG	Indonesia Geospatial Information Agency (Badan Informasi Geospasial)
BNPB	Indonesia National Disaster Management Agency (Badan Nasional Penanggulangan Bencana)
CSO	civil society organization
DRFI	disaster risk financing and insurance
DRM	disaster risk management
DVRP	Disaster Vulnerability Reduction Program
GFDRR	Global Facility for Disaster Reduction and Recovery
InaSAFE	Indonesian Scenario Assessment for Emergency
IO	intermediate outcome
JICA	Japan International Cooperation Agency
M&E	monitoring and evaluation
PDNA	post-disaster needs assessment
PHRD	Japan's Policy and Human Resources Development
PNPM	Indonesia National Program for Community Empowerment (Program Nasional Pemberdayaan Masyarakat)
WINRIP	Western Indonesia National Roads Improvement Project

All monetary values are in U.S. dollars.

EXECUTIVE SUMMARY

At the request of the Global Facility for Disaster Reduction and Recovery's (GFDRR) Consultative Group, this report consolidates the findings and recommendations of two recent independent evaluations of GFDRR, with a focus on identifying a potential path forward for improved results measurement. The consolidation focused on synthesizing the common elements across both evaluations, namely GFDRR's contribution to results achievement at the output, intermediate outcome, and outcome and impact levels, including GFDRR's informing of larger investments by the World Bank and other partners, and observations on GFDRR's monitoring and reporting systems.

The consolidated evaluation findings and recommendations are presented below.

Findings

Progress toward Results

Evidence across from the 2014 and 2015 evaluation suggests that GFDRR has successfully delivered outputs, and that those outputs were reasonable in scope and scale given the size of the grants. Table ES-1 below illustrates outputs achieved in the case study countries: Bangladesh, the Eastern Caribbean, Ethiopia, Guatemala, Indonesia, Malawi, Nepal, Sri Lanka, and Vietnam.

Table ES-1: Summary of Outputs in Case Study Countries

Pathways	Bangladesh	Dominica / Saint Lucia	Ethiopia	Guatemala	Indonesia	Malawi	Nepal	Sri Lanka	Vietnam
Data sharing platform established	✓	✓	✓			✓	✓	✓	
Model or tool developed or improved			✓		✓				
Risk assessment conducted	✓		✓	✓	✓	✓	✓		✓
Hazard mapping conducted	✓	✓	✓	✓	✓		✓	✓	✓
Policy products developed		✓	✓	✓	✓	✓		✓	✓
Disaster risk reduction investment/financing studies developed	✓			✓	✓	✓	✓		✓
Building codes developed and/or implemented	✓	✓		✓					
Contingency planning or emergency preparedness services informed	✓	✓	✓		✓		✓		✓
Post disaster assessment conducted	✓	✓		✓	✓	✓		✓	
Equipment procured and/or installed	✓						✓		

¹ The first, conducted by DARA in 2014, focused on Guatemala, Malawi, Nepal, Sri Lanka and Vietnam, while the second, conducted by ICF International in 2015, focused on Bangladesh, Dominica, Ethiopia, Indonesia, and Saint Lucia. Both evaluations evaluated GFDRR activities between 2008 and 2014, and reported on results achieved in individual country case studies; examined the leveraging/influencing impact from GFDRR's grants; and made recommendations related to improving GFDRR's monitoring and evaluation (M&E) framework.

Pathways	Bangladesh	Dominica / Saint Lucia	Ethiopia	Guatemala	Indonesia	Malawi	Nepal	Sri Lanka	Vietnam
Dialogue on climate change impacts and resilience facilitated	✓								✓
Developed and/or implemented pilot projects				✓	✓		✓	✓	✓
Training sessions developed and/or administered	✓	✓	✓		✓	✓	✓	✓	✓
Study tours, conferences, forums, knowledge exchanges facilitated	✓	✓	✓		✓	✓	✓	✓	✓
Guidelines or training modules on land use planning developed	✓			✓					
Monitoring and evaluation system for DRM developed									✓
Public outreach materials developed and disseminated			✓		✓		✓		✓

Both evaluations found evidence that most of the observable results of GFDRR interventions are in the intermediate outcome step of the results chain. Most GFDRR activities in the ten countries visited are making valuable contributions to achieving process-oriented (i.e., intermediate) outcomes. Intermediate outcomes observed include: raising disaster risk awareness at local and national levels and increasing the availability of disaster risk information; building capacity of national and local governments, as well as civil society, for disaster risk preparedness, reduction, and response; developing and demonstrating innovative tools and approaches for DRM;

strengthening policy dialogue and supporting policy development and implementation, including around disaster risk financing and insurance; and influencing and leveraging significant resources for DRM.

GFDRR has leveraged DRM resources primarily through support for the preparation of post-disaster needs assessments (PDNAs) and technical assistance that informed a World Bank lending operations, as well as, to a lesser extent, by informing recipient country government expenditures. Table ES-2 summarizes these results for the 10 case study countries covered by the 2014 and 2015 evaluations.

Table ES-2. Pathways for Informing Development Finance

Pathways	Bangladesh	Dominica	Ethiopia	Guatemala	Indonesia	Malawi	Nepal	Saint Lucia	Sri Lanka	Vietnam
Informing development finance through support for the preparation of post-disaster needs assessments	✓			✓	✓	✓		✓	✓	
Informing World Bank operations (including financing from the World Bank and co-financers)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Informing recipient country government expenditures*	✓		✓		✓					

*The 2014 evaluation did not specifically identify instances of GFDRR activities informing or influencing recipient country government expenditures.

Overall, GFDRR has been relatively successful in identifying entry points for small grant contributions to demonstrate or advance DRM activities that can inform larger-scale investment operations. Combined, the 2014 and 2015 evaluations identified about \$2 billion of project operations informed by GFDRR in the ten countries studied, including \$1.7 billion of World Bank commitments with the remainder in co-financing from recipient governments, bilateral donors, and the Global Environment Facility, among others. Approximately \$800 million is associated with disaster risk and climate resilience projects, with the remainder associated with mainstreaming disaster risk considerations into infrastructure investments (e.g., transport, water management, urban development) and poverty reduction programs. These values should be interpreted cautiously, however, because the scale or significance of GFDRR's contribution to individual operations varies significantly.

Limited evidence was found of outcomes and impacts achieved at-scale, although some activities show strong potential. In all countries studied, the 2014 and 2015 evaluations found that sustained engagement is needed to improve the likelihood that some activities' intermediate outcomes will proceed toward outcomes and impacts.

Linking GFDRR small grants with larger World Bank investment operations or broader government initiatives may reinforce potential for downstream results, but GFDRR's contribution to those operations' outcomes and impacts is difficult to discern. Many World Bank investment operations for which GFDRR has contributed to the incorporation or improvement of DRM components will achieve sizeable outcomes, if successfully implemented. However, these impacts cannot be directly attributed to GFDRR, and even GFDRR's relative contribution to these impacts is difficult to establish. Current monitoring and reporting systems are not designed to differentiate the impacts of such contributions to larger investments—not only for GFDRR, but for other comparator funds as well.

Both the 2014 and 2015 evaluations identified the important role of an in-country focal point as a driver of deeper engagement and conditions for results. GFDRR's partnership with the World Bank has also

been important to enable high-level engagement and provide opportunities for GFDRR's relatively small grant activities to have a broader impact via World Bank operations. Other factors for success have been GFDRR's strong partnerships, which have enhanced the scope of GFDRR's potential results, as well as strong choices for executing agencies, which has built capacity among local actors. In some countries, a programmatic approach or cohesive strategy has also supported results achievement.

Challenges to success have included lack of readiness or capacity to use some of the technologies piloted by GFDRR, long development periods for some technical assistance activities, and the use of less-effective activities, such as one-time training events or conference attendance support. The observation of these particular challenges suggests that a long-term approach is especially needed to solidify results for certain activity types, such as the introduction of new technologies and support for disaster risk financing and insurance. In addition, in Bangladesh, the evaluation observed that GFDRR utilized a co-financing modality ineffectively, lacking strategic dialogue during the creation of that arrangement and engagement during implementation.

Monitoring and Evaluating Results

GFDRR lacks a systematic process to monitor and report results beyond the output level. Measuring and evaluating the results of technical assistance programs—especially those focused on resilience—is difficult. Moreover, monitoring and evaluation is in the early stages of implementation for climate and disaster resilience programs. Many global programs hosted by the World Bank also lack evidence of results beyond the output level. GFDRR's challenge is further compounded by the broadening scope of its work plan, with focus on a variety of issues from resilient cities, to infrastructure, to gender, to climate change, and the way that its technical assistance often informs broader investment operations.

A key shortcoming identified by the 2014 and 2015 evaluations is that there is too much “distance” between GFDRR's output and outcome indicators, meaning that GFDRR's results beyond the output level

² These amounts do not include the very large \$2.6 billion Productive Safety New Program IV (PSNP IV) in Ethiopia, of which a relatively small proportion (\$32 million) is related to disaster risk management.

are not being adequately captured. Intermediate (i.e., shorter-term) and longer-term outcomes have not yet been conclusively defined for GFDRR, nor have they been clearly integrated into the program's theory of change. A secondary issue is that some of the GFDRR "output" indicators—as currently defined in Annex III of the 2016-18 Business Plan—blur the lines between outputs and intermediate outcomes.

A more robust assessment of GFDRR's M&E system, as well as the development and implementation of a refined M&E plan, could help better articulate GFDRR's expected process of change, identify a set of suitable and relevant intermediate outcome indicators, as well as longer-term outcome indicators, and move the program toward a stronger results orientation.

Recommendations

To improve future GFDRR results measurement and achievement, the evaluations made the following recommendations. *These recommendations are based on evidence and findings from 2014 and 2015; since then, GFDRR has taken decisions that affect its strategies and approaches, and that may or may not align with these recommendations.* The recommendations below should be understood in this historical context.

RECOMMENDATION #1: DEEPEN AND SUSTAIN

ENGAGEMENT ON THE GROUND. Deeper and more sustained engagement could improve potential for achieving downstream results by addressing several of the challenges identified by both the 2014 and 2015 evaluations, including limited readiness or capacity to use some of the technologies piloted by GFDRR, long development periods for certain types of interventions, high government turnover, and occasional lack of follow-up by GFDRR. Improved engagement could be fostered as follows:

- *Prioritize interventions that link to broader initiatives and make use of GFDRR's well-recognized technical expertise.* Country studies suggested that activities that are linked to World Bank, government, and other donor initiatives and programs are more likely to have strong stakeholder support, show better potential for contributing to results at-scale, and achieve leverage or influence. Similarly, interventions that make use of GFDRR's comparative advantages in the DRR community, including technical expertise and regional thematic initiatives, also show strong promise for achieving results.
- *Support and coordinate through DRM focal points.* The

2014 and 2015 evaluations found that DRM focal points have helped ensure that activities maintain momentum and advance toward outcomes at-scale. These staff have also been instrumental in mainstreaming DRM into World Bank operations, particularly where such mainstreaming is a stated objective of the GFDRR program in that country. For example, follow-up to ensure that communities of practice, technologies, and other GFDRR-supported activities continue to be implemented after individual grants have closed may lead to better outcomes.

- *Consider more focused or cohesive approaches within countries.* Both evaluations found that GFDRR is producing valuable results, but the size of GFDRR's program is small compared to overall country needs. Within each country, focusing in on activities that provide added value and build on GFDRR's strengths could support better achievement of sustainable and higher-order outcomes. For example, limited evidence was found by both evaluations of sustained results of one-time training events or conference attendance not connected to other, ongoing GFDRR initiatives. In contrast, both the 2014 and 2015 evaluations noted that a cohesive strategy has supported results achievement in countries where it has been used. At the country level, grants could be more purposefully designed to build on and reinforce each other; results are stronger in countries where there is a clearer linkage and trajectory among grants. Focusing efforts on building institutional capacity—rather than individual staff capacity—may also be an effective strategy.

RECOMMENDATION #2. STRENGTHEN GFDRR

MONITORING AND EVALUATION OF RESULTS BEYOND

THE OUTPUT LEVEL. GFDRR needs a sound methodology that clarifies the theory of change with a straightforward results framework, identifies a limited number of meaningful and measurable indicators at the outcome and impact level, and explains the role of evaluation in answering questions that are of interest to GFDRR stakeholders, and particularly the Consultative Group. Tying these elements together in a coherent M&E system would enable GFDRR to better communicate how the program is delivering results through its engagement in countries.

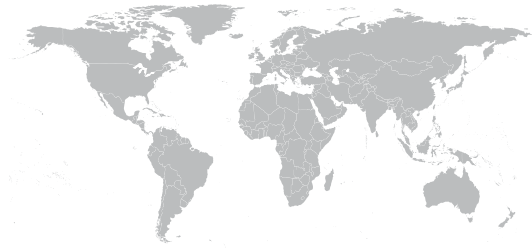
Some of these improvements could include:

- *Refine the existing program results framework to "close the gap" between current GFDRR outputs and outcomes.* Long time horizons for achieving disaster resilience outcomes and non-linearity makes monitoring long-term

outcomes very challenging. Instead, monitoring at the intermediate outcome level (e.g., two-to-five years) is being increasingly recognized as a viable approach for resilience programs. The 2014 and 2015 evaluations also showed that this is the level of results where GFDRR's contributions are most evident, given GFDRR's valuable role as a facilitator/catalyzer of progress in DRM performance at the country level. Including and monitoring intermediate outcomes in the M&E framework would more accurately hold GFDRR accountable for its own performance.

- *Make further refinements to the M&E framework to enable more robust M&E.* These refinements could include defining a limited number of SMART (Specific, Measureable, Achievable, Relevant, and Time-bound) intermediate outcome indicators that are logically tied to the results framework; developing indicator definitions and measurement protocols, and identifying data sources to improve the reliability and validity of reporting; better aligning the M&E framework with the Sendai Framework indicators (under development) to improve relevance; developing approaches and tools to measure gender outcomes within GFDRR activities; and defining where and how evaluation can help address the questions and needs of GFDRR constituents.
- *Address operational aspects of monitoring and reporting.* Making improvements to GFDRR's M&E system as described above may also require some operational changes to improve efficiency and ease of implementation. Systems or tools might be developed or improved, roles and responsibilities might be clarified, and different staff or resources might be required. In addition, clearly stating how monitoring information will be used is important—for example, how the information could be integrated into the Annual Report, and what other reports and learning products might be produced.





1. INTRODUCTION

1.1 Purpose and Scope

In 2014 and 2015, GFDRR underwent two retrospective, independent, country evaluations. The first, conducted by DARA in 2014, focused on Guatemala, Malawi, Nepal, Sri Lanka and Vietnam, while the second, conducted by ICF International in 2015, focused on Bangladesh, Dominica, Ethiopia, Indonesia, and Saint Lucia. Both evaluations evaluated GFDRR activities between 2008 and 2014, and reported on results achieved in individual country case studies; examined the leveraging/influencing impact from GFDRR's grants; and made recommendations related to improving GFDRR's monitoring and evaluation (M&E) framework.

At its fall 2015 meeting, the GFDRR Consultative Group decided to have a report prepared that consolidates the findings and recommendations of the previous two evaluations, leading toward a longer-term effort to strengthen the measurement of results. The Consultative Group also emphasized the importance of bridging the gap between outputs and outcomes to better report on how GFDRR's activities contribute to the achievement of program results through in-country engagements. This report directly responds to the Consultative Group's request for a consolidated evaluation report and represents a first step at identifying the path forward to improved results measurement.

1.2 Approach

This report consolidates the findings and recommendations of the 2014 and 2015 country evaluations. In doing so, the consolidation focuses on synthesizing the common elements across both evaluations, including:

- GFDRR's contribution to results achievement at the output, intermediate outcome, outcome, and impact levels.
- Contributing and detracting factors for achieving success;
- GFDRR's informing of larger investments by the World Bank and other partners; and
- GFDRR's monitoring and reporting systems.

Broadly speaking, the 2014 and 2015 evaluations followed similar methodologies: using primarily qualitative approaches, drawing on evidence from desk review and key informant interviews, and using triangulation and other data analysis methods to identify evidence-based findings and recommendations. However, because they were conducted independently, each evaluation had differences in their approach and different Terms of Reference. As a result, to consolidate the findings and recommendations, it was necessary to address some gaps and differences across the two evaluations.

In particular, differences in how results were reported required some interpretive mapping. The 2015 ICF evaluation identified results at specific levels of the results chain (i.e., outputs, intermediate outcomes, outcomes, and impacts), while the 2014 DARA evaluation reported on "achievements" and "contributions to DRM outcomes." To assimilate these differences, ICF reviewed the country-level findings from the 2014 evaluation, mapped those findings along the results chain (outputs, intermediate outcomes, outcomes, and impacts), and consolidated them with the findings from ICF's 2015 evaluation. The categories of outputs are those reported in recent GFDRR annual reports, with some additional categories identified by the ICF team based on the review of activities and GFDRR work products. The intermediate outcomes and outcomes are those included in the results framework in GFDRR's M&E Framework Update, presented at the 15th Consultative Group Meeting. The interpretation of the indicators and the subsequent mapping is that of the ICF evaluation team.

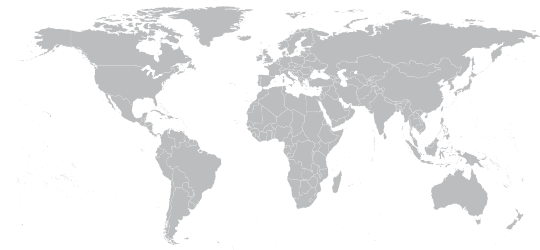
It is important to note that findings were synthesized across the evaluations, but each evaluation's assessment of results achievement was not updated or validated. In other words, this consolidation effort did not seek to determine whether outputs or intermediate outcomes identified in the 2014 evaluation have since progressed to the outcome or impact level. To support the discussion around the intermediate outcome indicator "development financing informed," the ICF team did review supplemental materials (primarily World Bank project appraisal

documents, as well as interim deliverables from DARA, including a country report for Vietnam), to clarify the extent and nature of GFDRR's contributions to World Bank operations.

1.3 Roadmap for the Evaluation

The remainder of the evaluation report is divided into three main chapters:

- Progress toward results and lessons learned.
- An assessment of GFDRR's monitoring and reporting systems.
- Recommendations to improve future GFDRR results achievement, measurement, and reporting.

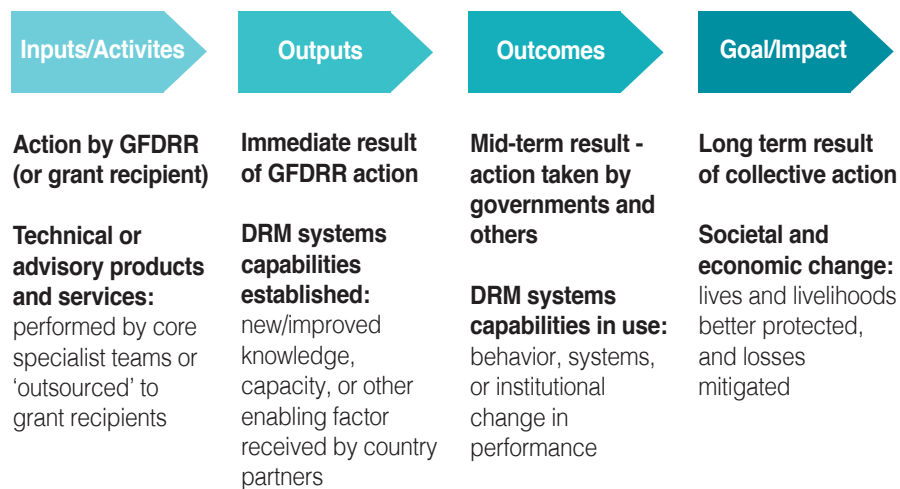


2. PROGRESS TOWARD RESULTS

In the GFDRR theory of change, results are envisioned along a chain: GFDRR's activities (inputs) produce outputs; and under the right

conditions, those outputs contribute to outcomes, which further contribute to the achievement of impacts. Figure 1 below illustrates this results chain.

Figure 1: Overview of the GFDRR Results Chain



*Source: GFDRR. Implementation of GFDRR Monitoring and Evaluation Framework.

To provide context for the analysis that follows, each level of the chain is briefly described, below. A further assessment of GFDRR's monitoring and evaluation system is provided in Section 3.

- At the **output** level, GFDRR has developed a set of common indicators that were employed for reporting results in the past two Annual Reports. These indicators inform the analysis of outputs in Section 2.1, although some adjustments have been made to account for other outputs observed by the 2014 and 2015 evaluations.
- GFDRR's current M&E framework (e.g., as presented in the GFDRR Work Plan 2015-17) provides **outcome** indicators (e.g., improved identification and understanding of disaster risk, avoided creation of new risk and reduced existing risks in society). The 2014 evaluation found that these outcomes did not adequately capture GFDRR's facilitation role and suggested the use of shorter-term, **intermediate outcome** indicators, which would be placed between outputs and outcomes in the results chain. This approach was

employed in the 2015 evaluation, using the World Bank's intermediate outcomes for analytical and advisory assistance (AAA). The analysis in Section 2.2 consolidates the findings of the 2014 and 2015 evaluations using these AAA intermediate outcome indicators.

- Evaluation findings on **outcomes** and **impact** are provided in Section 2.3.

2.1 Outputs

Evidence across from the 2014 and 2015 evaluation suggests that GFDRR has successfully delivered outputs, and that those outputs were reasonable in scope and scale given the size of the grants. Limited instances of non-completion of expected outputs were observed in Bangladesh and Ethiopia, and for a few grants in the Eastern Caribbean, evidence was not available to confirm delivery of some outputs. Table 1 below illustrates outputs achieved in Bangladesh, the Eastern Caribbean, Ethiopia, Guatemala, Indonesia, Malawi, Nepal, Sri Lanka, and Vietnam.

Both evaluations noted challenges in reviewing GFDRR delivery against plan, however. In particular, many GFDRR grant proposals do not describe planned outputs, and in some cases, significant adjustments were made to the original program

objectives and design during implementation; both of these documentation issues made it difficult for the evaluators to identify and compare results to planned achievements.

Table 1: Summary of Outputs in Case Study Countries

Pathways	Bangladesh	Dominica / Saint Lucia	Ethiopia	Guatemala	Indonesia	Malawi	Nepal	Sri Lanka	Vietnam
Data sharing platform established	✓	✓	✓			✓	✓	✓	
Model or tool developed or improved			✓		✓				
Risk assessment conducted	✓		✓	✓	✓	✓	✓		✓
Hazard mapping conducted	✓	✓	✓	✓	✓		✓	✓	✓
Policy products developed		✓	✓	✓	✓	✓		✓	✓
Disaster risk reduction investment/financing studies developed	✓			✓	✓	✓	✓		✓
Building codes developed and/or implemented	✓	✓		✓					
Contingency planning or emergency preparedness services informed	✓	✓	✓		✓		✓		✓
Post disaster assessment conducted	✓	✓		✓	✓	✓		✓	
Equipment procured and/or installed	✓						✓		
Dialogue on climate change impacts and resilience facilitated	✓								✓
Developed and/or implemented pilot projects				✓	✓		✓	✓	✓
Training sessions developed and/or administered	✓	✓	✓		✓	✓	✓	✓	✓
Study tours, conferences, forums, knowledge exchanges facilitated	✓	✓	✓		✓	✓	✓	✓	✓
Guidelines or training modules on land use planning developed	✓			✓					
Monitoring and evaluation system for DRM developed									✓
Public outreach materials developed and disseminated			✓		✓		✓		✓

2.2 Intermediate Outcomes

Both evaluations found evidence that most of the observable results of GFDRR interventions are in the intermediate outcome step of the results chain. The qualitative research conducted for the evaluations (including interviews with project proponents and beneficiaries) identified process-based results that could be mapped to the five intermediate outcome indicators: knowledge deepened; client capacity increased; innovative approaches and solutions generated; policy/strategy informed; and development financing informed. These results are discussed in more detail below.

2.2.1 Knowledge Deepened

A commonly observed intermediate outcome of GFDRR activities in the ten case study countries was increased awareness of DRM at local and national levels. In Bangladesh, GFDRR contributed to increased understanding and awareness of earthquake risk among key stakeholders in Dhaka. In Guatemala, increased understanding and acknowledgement of DRM was observed in the national government (including the National Coordinator for Disaster Reduction [CONRED], Secretariat of Planning and Programming [SEGEPLAN], Ministry of Education, and Ministry of Agriculture), as well as among local authorities in municipalities in which GFDRR financed mapping of hydrometeorological hazards. In Ethiopia, awareness was raised at the woreda (or district) level, through pilot programs. In Indonesia, awareness was raised in urban communities through facilitator training on DRR, and through safe school pilots. In Malawi, the 2014 evaluation observed increased understanding and appreciation of DRM among policy officials and technical personnel in the disaster management agency, as well as in the Ministry of Housing and Ministry of Agriculture. In Vietnam, DRM awareness was raised in the Ministry of Transport, in the context of highway construction.

GFDRR has also contributed to increased availability of disaster risk information, broader support for open data, and more informed decision-making (more efficient use of resources). Common GFDRR activities leading to these intermediate outcomes included the development of open source disaster risk information platforms (often powered by GeoNode), pilot mapping of urban and peri-urban neighborhoods, and conducting hazard, exposure, and risk assessments. Post-disaster needs assessments (PDNAs) in Guatemala, Indonesia, Malawi, Saint Lucia, Sri Lanka, and Bangladesh also contributed to greater availability of information about needs and

quantified financial requirements for DRM. Some examples of improved availability of disaster risk information include:

- In Malawi, information and data sharing has been initiated in conjunction with the development of the Malawi Spatial Data Portal (MASDAP); although information sharing has been low so far, experts from different sectors are actively participating in the upgrading process.
- In the Eastern Caribbean, GFDRR has supported the development of GeoNodes and socialized the tool to garner national-level support for data sharing.
- In Sri Lanka, the GeoNodes are expected to facilitate sharing of disaster risk information across government departments, through a disaster data working group. Also in Sri Lanka, hydrological and hydraulic modeling for Colombo provided technical information that informed the prioritization of improvement works on the city's canal system.
- In Nepal, a national hazard risk assessment improved knowledge of the national risk profile and a GeoNode platform was developed to improve sharing of this risk information. GFDRR's Open Data for Resilience Initiative mapped two wards in Kathmandu, creating the basis for exposure mapping of schools and health facilities and enabling informed decision-making in resource allocation.
- In Indonesia, disaster risk information has been made increasingly available through participatory mapping, InaSAFE, a national risk assessment study, and rapid diagnostics.
- In Ethiopia, development of the woreda disaster risk profiles made information available, and Woreda-net, a digital interactive database of all related information, improved information exchange between woreda-level government and the regional and national levels.

2.2.2 Client Capacity Increased

GFDRR has contributed toward building capacity of national and local governments, as well as civil society, for disaster risk preparedness, reduction, and response. Compared to deepening knowledge, fewer instances of strengthened government or institutional capacity to manage disaster risk were observed by the 2014 and 2015 evaluations. These include:

- In Bangladesh, GFDRR has begun to strengthen the emergency preparedness and response capacity of Dhaka government authorities—an activity that will be further taken up by a World Bank operation.

- In Vietnam, a study and trainings on climate proofing of rural roads increased the capacity of the Ministry of Transport, and guidelines were incorporated into the World Bank Third Rural Transport project. GFDRR also helped the Department of Dyke Management and Flood Control to develop emergency preparedness plans for 14 central provinces, as well as the development of a model provincial disaster management center in Quang Tri province.
- In Indonesia, national capacity for independently conducting damage and loss assessments has increased through GFDRR support, and GFDRR also played a role in operationalizing the newly formed national disaster management agency. In Indonesia, GFDRR has also increased the capacity of civil society to contribute to DRM through training and pilot programs.
- In Nepal, a training on risk assessment methodologies and PDNA led to strengthened government capacities on these topics, although the evaluation noted that a lack of strategic direction diluted the impact of this engagement.
- In Ethiopia, GFDRR's capacity building has focused at the local (woreda) level, for disaster risk identification, reduction, and preparedness.
- In the Eastern Caribbean, national government capacities have been strengthened, but there is a risk of capacity loss unless follow-on support is provided. In Dominica, the national government showed some increased capacity around geospatial data and shelter vulnerability assessments.

2.2.3 Innovative Approaches and Solutions Generated

GFDRR has contributed to developing and demonstrating innovative tools and approaches for DRM.³ Numerous examples were observed in Indonesia. For example, the Indonesian Scenario Assessment for Emergency (InaSAFE) tool offers an opportunity to use the collected mapping data to support local-level contingency planning, which is a required activity for local disaster risk management agencies under national regulation. InaSAFE was awarded by Wired, an American magazine that reports on emerging technologies, as one of the top 10 “open-source rookies of the year” in 2013. There is interest also outside of Indonesia to adapt and use the underlying software. Also in Indonesia, GFDRR piloted an approach for assessing and communicating landslide hazard risks in the peri-urban area of

Bantul; according to interviews with the Ministry of Public Works, this was the first time in Indonesia that a community-based risk assessment had been conducted and that people had been relocated based on the mapping. In addition, the DRM national knowledge hub that GFDRR is developing with the World Bank's Leadership, Learning and Innovation Group offers an innovative strategy for addressing Indonesia's challenges in training all 340 of its local disaster management agencies.

Other intermediate outcomes observed related to innovative tools and approaches for DRM include GeoNodes in four of the ten countries, improvements to the Livelihood Early Assessment and Protection (LEAP) model in Ethiopia, and the creation of the GEODASH platform with data for Dhaka, in connection with the Bangladesh Urban Resilience Project. In all of the case study countries, GFDRR has pursued open source data or platforms to engage civil society and government in issues relating to DRM; for example, the mapping and collecting of seismic risk exposure data for public and private schools including public buildings in the Kathmandu Valley.

2.2.4 Policy/Strategy Informed

GFDRR has strengthened policy dialogue and supported policy development and implementation, including around disaster risk financing and insurance (DRFI). Varying levels of support have been provided to the ten case study countries through GFDRR's flagship DRFI program. In Guatemala, significant technical assistance led to increased awareness of the Ministry of Agriculture around risk transfer mechanisms for food security and sustainability of livelihoods, and a larger engagement on the revision of policy frameworks to support the development of an agriculture insurance market. In Nepal, GFDRR's agricultural insurance feasibility study was widely discussed and helped the Government of Nepal recognize the institutional challenges that need to be addressed; and although the Government included agricultural insurance as part of the 2009/2010 budget policy framework, the 2014 evaluation found that a lack of GFDRR follow up funding meant that no expected outcomes were achieved. In Bangladesh, Indonesia, and Vietnam, GFDRR has provided analytical products and dialogued with ministries of finance on DRFI, to begin to socialize the concepts in what is widely recognized as a long development process.

³ The 2014 DARA evaluation did not specifically identify GFDRR approaches or solutions as innovative.

GFDRR has directly supported the development and implementation of DRM policy. In Ethiopia, the partnership between the World Bank and GFDRR has helped facilitate a transition in the policy dialogue and programmatic priorities toward risk reduction and preparedness. This is demonstrated by the shift in mandate of the Disaster Risk Management and Food Security Sector, the National Policy and Strategy on Disaster Risk Management, and DRM Strategic Programme and Investment Framework. GFDRR activities have supported this shift, including through the provision of advisory services on the development of the national DRM policy. In Guatemala, GFDRR supported developments in the DRM regulatory framework after the 2012 earthquake.

GFDRR has also dialogued with line ministries to support mainstreaming of DRM. In Indonesia, GFDRR has frequent dialogue with the National Disaster Management Agency (BNPB) and Ministry of National Development Planning (BAPPENAS), and also supported policy changes with the Geospatial Information Agency (BIG), the Ministry of Public Works, and the Ministry of Education and Culture. By complementing the preparation of the National Action Plan for Disaster Risk Reduction with facilitation and

dialogue at the national level, GFDRR also contributed to integrating DRR into Indonesia’s National Medium-Term Development Plan for 2010–2014. In Sri Lanka, GFDRR’s technical assessment on social protection programs and disasters helped the Department of National Planning draft a Social Protection Strategy and Natural Disaster Guidelines for Safety.⁴ In Dominica, GFDRR supported the development of policy around information sharing.

2.2.5 Development Financing Informed

GFDRR grants represent a very small portion of the investments needed to reduce disaster risk in the ten countries studied. Strategic application of GFDRR’s grants, however, have potential to amplify results, either by directly leveraging larger investments by partners or by influencing how existing resources for resilience are spent. Table 2 shows the most common pathways through which GDFRR has been observed to inform development finance, including World Bank operations, recipient country government budgets, and development partners’ resources. Appendix B presents more detail on the development finance informed through GFDRR activities.

Table 2. Pathways for Informing Development Finance

Pathways	Bangladesh	Dominica	Ethiopia	Guatemala	Indonesia	Malawi	Nepal	Saint Lucia	Sri Lanka	Vietnam
Informing development finance through support for the preparation of post-disaster needs assessments	✓			✓	✓	✓		✓	✓	
Informing World Bank operations (including financing from the World Bank and co-financers)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Informing recipient country government expenditures*	✓		✓		✓					

*The 2014 evaluation did not specifically identify instances of GFDRR activities informing or influencing recipient country government expenditures.

PDNAs. These assessments are intended to provide a coordinated and credible basis for recovery and reconstruction planning, and for the international community to assist the affected country in this process, including through providing funding. As such, PDNAs often leverage emergency relief

and DRM investments and improve the enabling environment for DRM. Through grants for PDNAs in Bangladesh, Guatemala, Indonesia, Malawi, Saint Lucia, and Sri Lanka, GFDRR—in partnership with the World Bank, United Nations agencies, the European Union and other development partners—has helped

⁴ At the time of the 2014 evaluation, however, further evidence was not available on the implementation of an action plan for the SPS.

develop recommendations for key actions that are frequently funded by the World Bank and other donors. In Bangladesh, more than \$1,600 million has been committed to World Bank projects based on the PDNA that GFDRR supported after Cyclone Sidr. In Saint Lucia, the Joint Rapid Damage and Needs Assessment, supported by GFDRR after the 2013 Christmas Rains, was used to leverage emergency response resources (\$17 million) from the World Bank's Crisis Response Window and \$10 million in reconstruction support from the European Union, to support the Disaster Vulnerability Reduction Program (DVRP). GFDRR's technical expertise has lent credibility to these assessments.

World Bank operations. Overall, GFDRR has been relatively successful in identifying entry points for small grant contributions to demonstrate or advance DRM activities that can inform larger-scale investment operations. Combined, the 2014 and 2015 evaluations identified about \$2 billion of project operations informed by GFDRR in the ten countries studied, including \$1.7 billion of World Bank commitments with the remainder in co-financing from recipient governments, bilateral donors, and the Global Environment Facility, among others.⁵ Approximately \$800 million is associated with disaster risk and climate resilience projects, with the remainder associated with mainstreaming disaster risk considerations into infrastructure investments (e.g., transport, water management, urban development) and poverty reduction programs.

These values should be interpreted cautiously, however, because the scale or significance of GFDRR's contribution to individual operations varies significantly. At one end of the spectrum is the example of Bangladesh, where GFDRR actively leveraged investment through the Urban Resilience Project (2015–20, \$182 million). More than two years of sustained technical assistance under a \$2.8 million GFDRR grant led to the preparation and approval of this large investment in early 2015 (\$173 million in World Bank loans and \$9 million in co-financing from the Government of Bangladesh). In most cases, however, the scale of GFDRR's contribution has been more circumscribed. In Vietnam, Malawi, Nepal, and Sri Lanka, GFDRR financed analytical work that informed the project design process. For example, in Vietnam, GFDRR funded a study on climate proofing of rural roads, which the Ministry of Transport will use as guidelines in the World Bank's

Third Rural Transport Project (the additional financing component). In Malawi, GFDRR developed an Integrated Flood Risk Management Plan for the Shire Basin, which supported improved hydrologic and hydraulic modelling of the flood zones.

In Indonesia, Bangladesh, and Guatemala, GFDRR staff also provided technical support on the inclusion of zero-dollar disaster contingency components in World Bank projects. These components provide an option for countries to rapidly access funding for emergency response in the event of a natural disaster.

Recipient country government expenditures.

GFDRR activities have influenced national and local government expenditures for DRM in Bangladesh, Ethiopia, and Indonesia.⁶ In Vietnam, GFDRR was less successful in influencing government spending because risk-proofing options identified by GFDRR studies were seen as too costly and challenging to implement. In Indonesia, certain activities currently ongoing show potential for future influence of national government expenditures, including the DRM knowledge management hub, which could influence how BNPB allocates its budget to train disaster management government staff around the country, and the safe schools pilot program, which has potential to influence national education funding to improve structural and non-structural resilience. Also in Indonesia, GFDRR activities have also leveraged DRM funding on a smaller scale. For instance, the local government in Bantul spent its own resources to do structural mitigation works in a few villages as a result of GFDRR's landslide risk assessment, and some communities and businesses made in-kind contributions to supplement GFDRR funding for safe schools and community disaster risk action plans under the National Program for Community Empowerment (PNPM).

Other channels of influence. GFDRR has also informed development finance through coordination with other development partners on DRM issues. For example, in Bangladesh, GFDRR's engagements facilitated close coordination and strategic collaboration with the Japanese International Cooperation Agency (JICA) on parallel investments in urban resilience (e.g., the World Bank will finance the procurement of search and rescue equipment for Fire Service and Civil Defense, while JICA finances the earthquake retrofitting of fire stations). As another example, in Indonesia, GFDRR helped

⁵ These amounts do not include the very large \$2.6 billion Productive Safety New Program IV (PSNP IV) in Ethiopia, of which a relatively small proportion (\$32 million) is related to disaster risk management.

⁶ Not including co-financing for World Bank operations as described above.

develop InaSAFE in close technical and financial cooperation with the Australia-Indonesia Facility for Disaster Reduction. In Nepal, GFDRR conducted a risk assessment in two districts in Kathmandu Valley, trained teachers and students in earthquake preparedness, and trained masons in seismic resistance construction techniques; an accompanying grant from Japan's Policy and Human Resources Development (PHRD) fund provides for structural assessment, retrofitting of up to seven buildings, contingency planning, and awareness building. In Sri Lanka, GFDRR support for developing a hydrological model for Metro Colombo also helped inform a grant from PHRD to carry out a detailed flood risk assessment for the region.

2.3 Outcomes and Impacts

Limited evidence was found of outcomes and impacts achieved at-scale at the time of the 2014 and 2015 evaluations, although some activities show strong potential. Figure 1 describes some of the outcomes observed in the case study countries.

In all countries studied, the 2014 and 2015 evaluations found that sustained engagement is needed to improve the likelihood that some activities'

intermediate outcomes will proceed toward outcomes and impacts. In particular, long gestation periods and continued GFDRR support will be needed to realize outcomes for DFRI activities and technology-oriented solutions. These findings also suggest that the timing of the evaluations may be too early to see the expected outcomes. In some cases, outcomes and impacts may not be achieved due to significant obstacles encountered in the country, deficiencies in GFDRR's support, or other factors. The 2014 evaluation identified a lack of follow-up and a lack of enabling conditions to support the GFDRR intervention as contributing factors to non-achievement, as discussed further in Section 2.4 on lessons learned, below.

Broadly speaking, it is difficult to systematically assess the extent to which the intermediate outcomes observed will contribute to longer-term outcome achievement, in part because the intermediate outcome indicators are not linked to GFDRR's theory of change. For example, the theory of change does not surmise about the extent or conditions under which deepening knowledge will actually lead to outcomes. These issues are further taken up in Section 3 on monitoring and evaluating results.

Figure 2: Examples of Outcomes Observed

- In **Vietnam**, the establishment of a Provincial Disaster Management Centre in Quang Tri, for example, led to observable improvements in relation to a recent storm.
- In **Indonesia**, Bantul (Yogyakarta), where GFDRR funded an innovative community-based assessment for landslide risk, nearly 90 households have been relocated to safer ground, and the local government has also conducted structural mitigation works based on the assessment. In many of the 180 schools participating in GFDRR's safe schools pilot, structural improvements have been financed through Indonesia's education Special Allocation Fund (DAK), to better protect against earthquakes and other natural disasters.

Linking GFDRR small grants with larger World Bank investment operations or broader government initiatives reinforces potential for downstream results and sustainability. Many World Bank investment operations for which GFDRR has contributed to the incorporation or improvement of DRM components will achieve sizeable outcomes, if successfully implemented. For example:

- Building on GFDRR's critical groundwork, the \$182 million Urban Resilience Project in Bangladesh has potential to increase resilience to earthquakes for the **15.5 million people** living in Greater Dhaka and Sylhet.
- Saint Lucia and Dominica's DVRPs—which GFDRR helped shape—are expected to benefit more than **240,000 people** combined.
- In Indonesia, the Western Indonesia National Roads Improvement Project (WINRIP) will improve road sections traversing 12 districts with a total population of over **4 million**, and GFDRR's assistance means the project should now strengthen disaster risk mitigation in the road sector.
- In Guatemala, the Disaster Risk Management Development Policy Loan, building on GFDRR's support at the municipal level, led to Guatemala City, Quetzaltenango, and Antigua

incorporating DRM in land use and territorial planning—representing 18% of the country's urban population. In addition, the seismic safety index that GFDRR produced with the Ministry of Education was applied in 43 schools and 4 hospitals. And, new seismic standards for designing and construction of public buildings were adopted in two cities.

- In Ethiopia, expected benefits associated with reductions in drought and flood impacts and losses and long-term risk reduction efforts under PSNP-IV are valued at roughly \$300 million per year.
- In Sri Lanka, the Metro Colombo Urban Development Project is expected to directly mitigate the effects of floods on the lives of approximately 232,000 people in the Colombo Water Basin.
- In Malawi, the Shire River Basin Management Program is expected to result in 250,000 people with access to improve flood management by year 15.

It should be noted that these impacts cannot be directly attributed to GFDRR, and even GFDRR's relative contribution to these impacts is difficult to establish. As an example, GFDRR's support in Indonesia for the WINRIP project has led to the incorporation of a component that provides technical assistance and capacity building support to strengthen disaster risk mitigation in the roads sector, and the Ministry of Public Works has now funded a study with its own resources to do a stocktaking of road segments prone to disaster, based on maintenance records and hazard maps. Whether these components will lead to actions with implications for the affected population was yet to be seen at the time of the evaluation. Current monitoring and reporting systems do not have the capability to differentiate the impacts of such contributions to larger investments—not only for GFDRR, but for other trust funds as well, as discussed in Section 3 below.

2.4 Lessons Learned

To better understand how and why GFDRR has, or has not, accomplished its goals, a cross-country analysis was conducted of factors supporting and detracting from success, as reported in the 2014 and 2015 evaluations. The factors described below are those that were observed in multiple countries and in both evaluations.

Table 3. Factors Supporting Success

Strengths and Factors for Success
▪ In-country presence of focal points.
▪ Partnership with the World Bank.
▪ Strong partnerships.
▪ Technical expertise and regional thematic programs.
▪ Tailoring engagement strategies to country conditions.
▪ Programmatic approach / focused or cohesive strategy.
▪ Strong choices for executing agencies at the local level.

Both the 2014 and 2015 evaluations identified the important role of an in-country focal point as a driver of deeper engagement and conditions for results. GFDRR and DRM focal points have contributed to building and maintaining good working relationships with key government partners, providing continuity and “keeping alive” policy discussions that have long gestation periods (e.g., disaster risk financing and insurance), supporting programmatic approaches to GFDRR's grant-making, identifying strategic entry points to inform development finance (most notably, World Bank operations). Supporting upstream policy changes and building capacity for disaster risk reduction and resilient recovery is often long-term work. Because much of this work requires ongoing interfacing with government, GFDRR and DRM focal points represent a critical element for progress toward impact. In Guatemala, Malawi, and Sri Lanka, a GFDRR focal point was appointed during the 2014 evaluation's time-scope, and significant improvements in fostering DRM planning and action were observed as a result of those appointments.

GFDRR's partnership with the World Bank has been important to enable high-level engagement and provide opportunities for GFDRR's relatively small grant activities to have a broader impact via World Bank operations. The World Bank's access and convening power has helped GFDRR engage at high levels of government, including ministries of finance and planning as well as line ministries with responsibilities for DRM, which increases potential for achieving upstream results and results at-scale. Proximity of GFDRR to World Bank operations staff has also maximized the opportunity to influence

development resources (notably World Bank projects). In Indonesia and Vietnam—where the World Bank has a larger operational portfolio—the presence of a GFDRR focal point facilitated connections with World Bank operations staff, enabling GFDRR’s influence of at least six projects during the evaluation periods. In Bangladesh and Ethiopia, proximity is taken one step further. The same World Bank staff person serves as the task team leader for a GFDRR grant and the World Bank investment operation that the GFDRR grant informed. In Bangladesh, this tautology helped project leaders to think strategically about how technical assistance could be linked to investments.

GFDRR’s strong partnerships have enhanced the scope of potential results to which GFDRR is contributing. From a theory of change perspective, acting in coordination with other key development partners contributes to an improved enabling environment and facilitates the effectiveness of GFDRR’s DRM activities as well as the activities of other partners. In Sri Lanka, for example, GFDRR’s relationship with UN agencies (such as UNDP and UN-Habitat) has facilitated complementarities with DRM processes at the local government level, while GFDRR focused on information technologies and strengthening DRM capacities at the national level. Other key partners have included the World Bank, UNDP, and the European Commission in preparation of PDNAs, Australia-Indonesia Facility for Disaster Reduction in Indonesia, JICA in Bangladesh, and Japan PHRD in Nepal and Vietnam.

Another contributor to success has been GFDRR’s use of engagement strategies that reflect individual country conditions. For example, GFDRR has taken a proof-of-concept and community-driven development approach in Indonesia, where DRM responsibilities and budgets are decentralized. GFDRR used participatory technical assistance in Dhaka (Bangladesh), where local government structures and dynamics are very complex and require long-term relationship building. In Ethiopia, GFDRR successfully used the evolving social protection agenda as an entry-point to advance the DRM agenda. Conversely, in Vietnam, interviews with government institutions suggested that risk-proofing options and technical proposals identified by GFDRR studies would have led to further improvements in risk reduction when better tailored to the country context, that is, when less costly and more attuned to political preferences.

A programmatic approach or cohesive strategy has also supported results achievement. While one of GFDRR’s strengths is its flexibility and agility

in responding to country needs and demands, evidence from fieldwork also suggests that GFDRR has worked most effectively when its support has been part of a broader country program approach or focused strategy. For example, in Indonesia, where programmatic grants had an express purpose of mainstreaming DRR into World Bank investments, the 2015 evaluation found more instances of that outcome being achieved (including across sectors). Similar intentions and results were observed in Vietnam by the 2014 evaluation. Also, in Indonesia, where programmatic grants had a stated objective to mainstream DRR into development, evidence was found of GFDRR contributions to this effect: at the national level through national development plans and government education budgets, and at the local level through community-driven development planning. In contrast, in Nepal, the 2014 evaluation found that a lack of focus and strategic direction in the interventions promoted by GFDRR had hindered the program’s ability to effect national change.

Finally, strong choices for executing agencies have contributed to building the capacity of local actors and ultimately results achievement. For example, in Indonesia, civil society organizations (CSOs) and local universities have been used to execute many GFDRR grants because these organizations are able to gain community trust and engagement, which have been precursors for pilot-level success. Similarly, in Nepal, engagement with CSOs facilitated GFDRR’s work; partnerships with civil society in Kathmandu, in particular, were fundamental to the mapping of seismic risk in relation to public buildings. In Malawi, collaboration with local consultants and national universities (mostly for post-disaster assessments and seismic risk identification) increased local capacities and buy-in.

Table 4. Weaknesses and Factors Detracting from Success

Weaknesses and Challenges to Success
<ul style="list-style-type: none"> ▪ Lack of readiness or capacity to use technologies piloted.
<ul style="list-style-type: none"> ▪ Long development periods / lack of follow-up.
<ul style="list-style-type: none"> ▪ Staff turnover/rotations and competing demands for staff time.
<ul style="list-style-type: none"> ▪ Use of less-effective activities like one-time training events or conference attendance support.
<ul style="list-style-type: none"> ▪ Ineffective use of funding modalities (co-financing, procurement of equipment).

GFDRR often operates in a country context in which there are weak or insufficient legal or regulatory frameworks for DRM, lack of law or code enforcement, insufficient or unpredictable budgets for DRM, and weak institutional capacity. Much of GFDRR's work aims at improving these enabling conditions, including through ministerial dialogue and analytical support for new policy development, capacity building for staff and institutions with DRM responsibilities, and mainstreaming DRM into broader World Bank operations to reach scale. Thus, the evaluation focused on challenges to GFDRR's success in translating its activities into longer-term results within these broader constraints.

Difficulties were observed in most countries associated with readiness or capacity to use some of the technologies piloted by GFDRR. For example, in Indonesia, local DRM agencies generally do not have staff with sufficient GIS programming skills to independently use InaSAFE. Geospatial platforms in the Eastern Caribbean and the Woreda-net systems in Ethiopia similarly suffer from software, hardware, and trained user challenges. In Malawi, poor internet connections and the lack of a law on data sharing have meant that data sharing was initially low. Governments in many of the countries visited showed interest in these technology-based tools and in at least two countries (Indonesia and Ethiopia), governments acknowledged the need to invest in human capacity and have started to hire staff with necessary skills.

These types of obstacles to introducing new technologies are recognized in engagement strategies—for example, the World Bank's Strategic Engagement Framework for the Caribbean anticipates issues related to hardware, network, and software limitations, as well as information technology human support capacity.⁷ Still, for GFDRR, the observation of these challenges suggests that a long-term approach is needed to institutionalize the use of these technologies.

Long development periods and the occasional lack of follow-up from GFDRR have challenged success. The development period for some upstream activities, including on disaster risk financing and insurance, is particularly long and requires ongoing GFDRR support. Ensuring strong government support can help maintain momentum for these longer engagements; in one country (Bangladesh), an initial lack of client demand for DFRI slowed progress. In some countries, a lack of follow up from GFDRR has

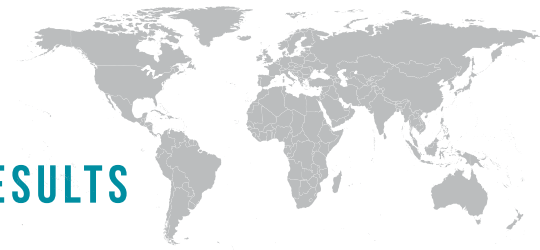
also limited the usefulness or impact of its analytical and capacity building work. For example, in Nepal, GFDRR prepared a national hazard risk assessment with potential for influencing planning processes, but did not systematically follow up on its application. In Sri Lanka, a lack of follow-up from GFDRR on further implementation of the PDNA methodology meant that the methodology was an ad-hoc program for a specific event (2010 floods), and was not used in the 2011 floods.

Rotation of staff and competing demands for staff time have also been challenges to achieving sustainable results through training, capacity building, and some technical assistance activities. This is especially true in the small island Eastern Caribbean context, where ministries often operate with few staff. High staff turnover in Nepal also had repercussions for the continuity of dialogue with national ministries. In Malawi, only one person per ministry/department participated in PDNA training, and representation in the national team has not been consistent to effectively undertake future PDNAs.

High government turnover and lack of follow-up are also contributing factors to the finding that some GFDRR activities, such as one-time training events or conference attendance support, appear less likely to achieve long-term results. In general, the 2014 and 2015 evaluations struggled to find robust evidence of enduring impacts of these types of activities. In contrast, for example, in Indonesia, GFDRR was able to demonstrate the effectiveness of damage and loss assessment trainings such that GFDRR's training module was eventually institutionalized in the national training center, ensuring its sustainability. These findings suggest that focusing efforts on building institutional capacity—rather than individual staff capacity—may be a more effective strategy.

Lastly, the use of co-financing or direct procurement modalities does not take advantage of GFDRR's comparative advantages, including technical expertise and partnership with the World Bank. In Bangladesh, lack of strategic dialogue during the creation of the co-financing arrangement, and a lack of engagement with GFDRR during implementation, may have contributed to an ineffective use of co-financing. In Nepal, GFDRR procured six motorized boats for areas affected by Kosi river floods, but lacked in-house experience on this type of procurement and no reporting was required after equipment/service delivery.

⁷ World Bank. 2012. The Caribbean Region: Strategic Engagement Framework for Disaster Risk Management and Climate Resilience FY13-15. June 2012.



3. MONITORING AND EVALUATING RESULTS

3.1 Moving Toward a Revised Framework

Since 2013, GFDRR has been in the process of implementing a revised monitoring and evaluation (M&E) framework. This new framework was endorsed by the Consultative Group in 2013, and defined the GFDRR results chain from outputs to outcomes to impacts. The first phase of this work involved re-categorizing the GFDRR project portfolio against activity types (capacity building, analytical products, and technical assistance) and developing activity and output indicators. In 2014, an external evaluation by DARA was commissioned, one of the objectives of which was to draw out recommendations on the M&E framework and specifically whether (and how) to adjust indicators for improved program design and evaluation.

DARA found that GFDRR succeeds in delivering planned outputs and makes a valuable contribution beyond the output level—but that the M&E framework's outcome indicators do not adequately capture that contribution. DARA also noted that the GFDRR theory of change was flawed in the sense that its “assumptions” were actually obstacles observed at the country-level, which GFDRR was actively trying to address to contribute to an enabling environment for DRM improvements. In this way, by assuming that a conducive setting exists at the country level, the theory of change bears the risk of making GFDRR's contributions less visible to its stakeholders and ultimately less

viable. DARA recommended that if GFDRR's M&E framework incorporated “intermediate outcomes” with “process-based indicators” to measure the progress made in DRM, then specific contributions from the different stakeholders could be better captured.

Building on this recommendation, the 2015 external evaluation was asked to “field-test” potential intermediate outcome (IOs) indicators.⁸ In response, the ICF evaluation team gathered qualitative data on IOs through desk review and interviews and mapped those data to the IO indicators, to provide insights on the relevance and usefulness of the indicators.

ICF found that evidence of progress toward DRM results could be mapped against the IO indicators. Indeed, in the country case studies, most of the observed results of GFDRR interventions were in the IO step of the results chain. However, not all of the IO indicators were directly relevant to the types of process-based results being achieved by GFDRR—i.e., the IO indicators could be more precisely worded and tailored to GFDRR's mission. For example, many GFDRR interventions raised disaster risk awareness among stakeholders; the evaluation team mapped these intermediate outcomes to the indicator “best practices exchanged with clients,” although this is not a precise articulation of what GFDRR actually achieved.

Overview of Challenges for Monitoring and Evaluating Resilience

Resilience monitoring and evaluation (M&E) is notoriously challenging due to a number of factors such as complexity, lack of predictability, and long time horizons. Widely recognized challenges for resilience M&E include the following:

- Given that disasters are unpredictable and their effects highly uncertain, traditional M&E systems that have predictable pre/post “testing points” to understand impact generally do not apply.
- Resilience itself is non-linear and rapidly changing, influenced by social, economic, climactic, and other factors. This further renders most linear dose-response types of M&E approaches as non-applicable.
- Resilience is particularly context specific, requiring specific M&E for each context. This in turn prevents higher-level M&E frameworks from being broadly applicable, posing additional challenges to consistency across portfolios and the ability to scale up context-specific indicators and results.

⁸ These indicators were defined in Annex I to an update on the implementation of the M&E framework, as given at the 15th meeting of the Consultative Group, and are based on the World Bank's standard indicators for analytical and advisory assistance (AAA) work.

Overview of Challenges for Monitoring and Evaluating Resilience (continued)

- There are no widely agreed upon indicators to determine the effectiveness of resilience interventions. Even the most advanced indicators are being refined with field experience.
- Setting baselines and targets is often complicated due to the rapidly changing and complex nature of vulnerability and uncertainties about the future.
- Most resilience M&E currently focuses on immediate or near-term outputs, which are more readily identifiable, rather than outcomes and impacts, which can only be realized in the indeterminate future. Thus, for practical reasons, the ultimate impacts of resilience interventions are both unknown and unknowable. Proxies such as interim outcomes indicative of longer-term results may be the best measures available.
- For all the above reasons, with few exceptions, resilience M&E requires approaches that are typically more systems-oriented, qualitative, mixed method, and innovative. Findings from these most-suitable approaches tend to be more qualitative and nuanced, reflecting evidence of shifts in a system related to resilience rather than a “concrete” result.
- Related to this, it is often difficult or impossible to attribute a particular change or outcome to a specific intervention. Identifying contribution to a change/outcome is often more realistic, but is not considered satisfactory to some audiences, particularly when a quantitative results finding or “value for money” conclusion is sought.

3.2 Current State of Monitoring and Reporting

As of the writing of this synthesis report, GFDRR lacks a systematic process to monitor and report results beyond the output level. This is a common challenge for resilience M&E field-wide, as described in the text box above. In terms of reporting, the 2014 Annual Report provided information on the number of countries with each type of output by pillar (e.g., in Risk Identification, the number of countries for which GFDRR delivered hazard mapping or risk assessments or data platforms). The 2015 Annual Report similarly tracks the number of outputs achieved by indicator and pillar, and also adds reporting on the “number of large scale programs enabled by GFDRR activities in FY15.” Both Annual Reports also include narrative descriptions of results achieved in some countries in each pillar and thematic program. In both Annual Reports, some results are reported that go beyond the output level, but they are not necessarily identified as such, and they are not collected systematically across the portfolio.

As described above, a key shortcoming identified by the previous evaluations is that there is too much “distance” between GFDRR’s output and outcome indicators, meaning that GFDRR’s results beyond the output level are not being adequately captured. Intermediate (i.e., shorter-term) and longer-term outcomes have not yet been conclusively defined for GFDRR, nor have they been clearly integrated into the program’s theory of change. This is a significant gap. In program theory, results

frameworks that include different levels of outcomes (e.g., intermediate and longer-term outcomes) better illustrate the underlying paths by which the program intends to produce impact, are more helpful for a managing-for-results approach, and can demonstrate step-wise progress toward longer-term results.

Although IO indicators were defined in the Grant Proposal and Progress Reporting Template included in the M&E update to the 15th Consultative Group, as described above, the GFDRR Work Plan for 2016-18 includes in Annex II a legacy M&E framework that moves directly from outputs to outcomes to impacts, without distinguishing between intermediate or longer-term outcomes. At the same time, in Annex I, a program logic is articulated at four levels, seeming to indicate a distinction between intermediate and longer-term outcomes, although such a distinction is not specifically articulated in the text.

A secondary issue is that some of the GFDRR “output” indicators—as defined in Annex III of the 2016-18 Business Plan—blur the lines between outputs and IO. In M&E best practice, outputs are generally understood as those contributions that are entirely within the sphere of influence of the program—for example, services delivered (e.g., producing a study) or number of people reached (e.g., through a training session). Some of GFDRR’s current “output” indicators move beyond that sphere of influence to what other comparator organizations would identify as IOs; for example, “policy and regulatory frameworks strengthened” is

defined as an output in the 2015 Annual Report, but is also one of the key World Bank AAA IO indicators.

One potential path forward is to adopt or adapt some (or all) of the World Bank AAA indicators for reporting IO outcomes. An advantage of using the World Bank AAA indicators is that they are pre-existing indicators that have been adopted by other World Bank trust funds, including those in the Water and Energy and Extractives Global Practices.

A disadvantage is that the indicators are not integrated into GFDRR's program theory. For example, if GFDRR deepens knowledge (one of the AAA indicators) in a given country, the program model does not provide a theory of change for how or whether deepening knowledge translates

into downstream outcomes, such as improved identification and understanding of disaster risks. In this way, reporting on these AAA indicators provides a reasonable view into the extent to which GFDRR is effectively serving as a facilitator and delivering intermediate results, but offers less insight into the likelihood that those results will proceed down the chain and ultimately achieve outcomes and impacts.

A more robust assessment of GFDRR's M&E system, as well as the development and implementation of a refined M&E plan, could help better articulate GFDRR's expected process of change, identify a set of suitable and relevant IO indicators as well as longer-term outcome indicators, and move the program toward a stronger results orientation.

What do comparator organizations do?

A 2011 evaluation of the World Bank's trust fund portfolio found a frequent lack of results frameworks with clear outcome objectives and indicators for monitoring progress. The majority of the 36 randomly selected trust fund programs lack outcome-level evidence; most had defined objectives in terms of inputs or outputs. A parallel evaluation of the World Bank's global and regional partnership programs similarly found that few programs have generated systematic evidence about achievements at the outcome level, owing to generally poor monitoring and evaluation.

Those that do monitor and report against indicators at the outcome level typically do so for intermediate, or lower-order, outcomes. For example, the Energy Sector Management Assistance Program (ESMAP) tracks and monitors outputs and intermediate outcomes, as defined by the AAA indicators. This approach was recently recognized by the World Bank's Independent Evaluation Group (IEG) as being well-designed to track and report on the entire results chain of each activity.

Sources:

- IEG. 2015. World Bank Group Support to Electricity Access, FY2000-2014: An Independent Evaluation. Volume II: Together for Energy: How Partnership Programs Support Energy Access. Washington, DC: World Bank.
- IEG. 2011. Trust Fund Support for Development: An Evaluation of the World Bank's Trust Fund Portfolio. Washington, DC: Independent Evaluation Group, the World Bank Group.
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4. RECOMMENDATIONS

Each of the previous evaluations made a set of recommendations intended to improve future GFDRR results measurement and achievement. These recommendations have been consolidated into two categories below; the first recommendation is directed at improving GFDRR's contribution to downstream results and the second is focused on monitoring and evaluating those results. Appendix C presents a preliminary action plan that defines potential concrete steps to address these recommendations and, particularly, to define a path forward towards strengthening GFDRR's results measurement.

These recommendations are based on evidence and findings from 2014 and 2015; since then, GFDRR has taken decisions that affect its strategies and approaches, and that may or may not align with these recommendations. The recommendations below should be understood in this historical context.

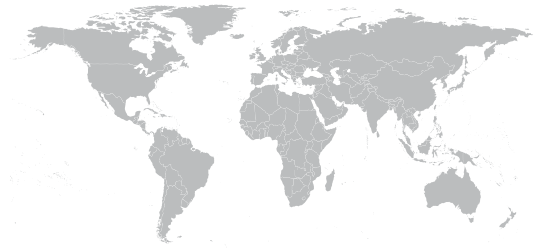
RECOMMENDATION #1: DEEPEN AND SUSTAIN ENGAGEMENT ON THE GROUND. Deeper and more sustained engagement could improve potential for achieving downstream results by addressing several of the challenges identified by both the 2014 and 2015 evaluations, including limited readiness or capacity to use some of the technologies piloted by GFDRR, long development periods for certain types of interventions, high government turnover, and occasional lack of follow-up by GFDRR. Improved engagement could be fostered as follows:

- *Prioritize interventions that link to broader initiatives and make use of GFDRR's well-recognized technical expertise.* Country studies suggested that activities that are linked to World Bank, government, and other donor initiatives and programs are more likely to have strong stakeholder support, show better potential for contributing to results at-scale, and achieve leverage or influence. Similarly, interventions that make use of GFDRR's comparative advantages in the DRR community, including technical expertise and regional thematic initiatives, also show strong promise for achieving results.
- *Support and coordinate through DRM focal points.* The 2014 and 2015 evaluations found

that DRM focal points have helped ensure that activities maintain momentum and advance toward outcomes at-scale. These staff have also been instrumental in mainstreaming DRM into World Bank operations, particularly where such mainstreaming is a stated objective of the GFDRR program in that country. For example, follow-up to ensure that communities of practice, technologies, and other GFDRR-supported activities continue to be implemented after individual grants have closed may lead to better outcomes.

- *Consider more focused or cohesive approaches within countries.* Both evaluations found that GFDRR is producing valuable results, but the size of GFDRR's program is small compared to overall country needs. Within each country, focusing in on activities that provide added value and build on GFDRR's strengths could support better achievement of sustainable and higher-order outcomes. For example, limited evidence was found by both evaluations of sustained results of one-time training events or conference attendance not connected to other, ongoing GFDRR initiatives. In contrast, both the 2014 and 2015 evaluations noted that a cohesive strategy has supported results achievement in countries where it has been used. At the country level, grants could be more purposefully designed to build on and reinforce each other; results are stronger in countries where there is a clearer linkage and trajectory among grants. Focusing efforts on building institutional capacity—rather than individual staff capacity—may also be an effective strategy.

RECOMMENDATION #2. STRENGTHEN GFDRR MONITORING AND EVALUATION OF RESULTS BEYOND THE OUTPUT LEVEL. As discussed above, measuring and evaluating the results of technical assistance programs—especially those focused on resilience—is difficult. M&E is in the early stages of implementation for climate and disaster resilience programs. Many global programs hosted by the World Bank also lack evidence of results beyond the output level. GFDRR's challenge is further compounded by the broadening scope of its work plan, with focus on a variety of issues from resilient cities, to infrastructure, to gender, to climate change, and the way that its technical assistance often informs broader investment operations.



GFDRR needs a sound methodology that clarifies the theory of change with a straightforward results framework, identifies a limited number of meaningful and measurable indicators at the outcome and impact level, and explains the role of evaluation in answering questions that are of interest to GFDRR stakeholders, and particularly the CG. Tying these elements together in a coherent M&E system would enable GFDRR to better communicate how the program is delivering results through its engagement in countries.

Some of these improvements could include:

- *Refine the existing program results framework to “close the gap” between current GFDRR outputs and outcomes.* Long time horizons for achieving disaster resilience outcomes and non-linearity makes monitoring long-term outcomes very challenging. Instead, monitoring at the intermediate outcome level (e.g., two-to-five years) is being increasingly recognized as a viable approach for resilience programs. The 2014 and 2015 evaluations also showed that this is the level of results where GFDRR’s contributions are most evident, given GFDRR’s valuable role as a facilitator/catalyzer of progress in DRM performance at the country level. Including and monitoring intermediate outcomes in the M&E framework would more accurately hold GFDRR accountable for its own performance.
- *Make further refinements to the M&E framework to enable more robust M&E.* These refinements could include defining a limited number of SMART (Specific, Measureable, Achievable, Relevant, and Time-bound) intermediate outcome indicators that are logically tied to the results framework; developing indicator definitions and measurement protocols, and identifying data sources to improve the reliability and validity of reporting; better aligning the M&E framework with the Sendai Framework indicators (under development) to improve relevance; developing approaches and tools to measure gender outcomes within GFDRR activities; and defining where and how evaluation can help address the questions and needs of GFDRR constituents.
- *Address operational aspects of monitoring and reporting.* Making improvements to GFDRR’s M&E system as described above may also require some operational changes to improve efficiency and ease of implementation. Systems or tools might be developed or improved, roles and responsibilities might be clarified, and different staff or resources might be required. In addition, clearly stating how monitoring information will be used is important—for example, how the information could be integrated into the Annual Report, and what other reports and learning products might be produced.

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Appendix A: Terms of Reference

Consolidated recommendations from the GFDRR country program evaluations (2014 and 2015) and action plan.

I. INTRODUCTION

A. BACKGROUND

1. The Global Facility for Disaster Reduction and Recovery (GFDRR) is a global partnership program administered by the World Bank Group. The mission of GFDRR, aligned with Sendai Framework for Disaster Risk Reduction (SFDRR), is to help build resilient societies that manage and adapt to emerging disaster and climate risks, and to contribute to the substantial reduction of disaster risk and losses in lives, livelihoods, and health, and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities, and countries.
2. GFDRR is a grant-making facility – not a direct implementer – and as such works primarily through the World Bank Group and other partners to stimulate policy reform and implement public investment that can better protect people from the natural hazard risks they face. In line with geographic and thematic priorities set by its donors and partners, GFDRR has supported over 70 countries since 2006. Between 2007 and 2015, GFDRR's annual grant making has grown from \$6.4 million to over \$70 million, respectively.
3. Over the past eight years, GFDRR has invested significant effort in defining and measuring results. The program has been the subject of a number of independent evaluations, and is well positioned to contribute to an evidence base on effective management of risks, through better understanding the impact of its program. In particular, the dual focus of the program – on both stimulating institutional reform and leveraging investment – provides an important opportunity to learn what works and accounts for resources spent.

B. LESSONS LEARNED FROM THE 2014 AND 2015 EVALUATIONS

4. In 2014 and 2015, GFDRR underwent two retrospective independent country evaluations focused on a sample of five countries. The first, conducted by DARA in 2014, focused on Guatemala, Malawi, Nepal, Sri Lanka and Vietnam, while the second, conducted by ICF International in 2015, focused on Bangladesh, Dominica, Ethiopia, Indonesia, and Saint Lucia. Both evaluations focused on GFDRR activities between 2008 and 2014, and reported on results achieved in individual country case studies; examined the leveraging impact from GFDRR's grants; and made recommendations related to improving GFDRR's monitoring and evaluation (M&E) framework.
5. The 2014 DARA evaluation provided a long and detailed list of recommendations, which were discussed with members of the Consultative Group (CG) and GFDRR. The main recommendations include the following:
 - i. Measuring performance: The DARA evaluation found that GFDRR succeeds in delivering planned outputs and makes a valuable contribution to the broader disaster risk management (DRM) performance at the national level. GFDRR triggers policy processes, facilitates some of the necessary conditions for risk reduction, promotes government readiness, and leverages support for DRM. Moving forward, the facilitation role that GFDRR plays at country level should be better captured in the M&E framework.
 - ii. Leveraging strategy: The DARA evaluation confirmed that the synergy between World Bank and GFDRR has delivered results at scale, particularly in the areas of risk reduction and financial protection.
6. To further expand the understanding of the way GFDRR is able to influence and leverage resources for resilience, the 2015 ICF evaluation produced several

recommendations regarding GFDRR's strengths and opportunities, including that:

- i. GFDRR finds and pursues ways to deepen and sustain engagement on the ground. Some options might include continued support for GFDRR focal points in-country, improved modalities for capacity building (e.g., on-the-job training), and designing grants to build on and reinforce each other.
- ii. GFDRR prioritizes interventions that link to broader initiatives and makes use of its well-recognized technical expertise. All ten country studies suggested that interventions incorporating technical expertise and support are more likely to have strong stakeholder engagement, show better potential for contributing to results at-scale, and achieve leverage or influence.
- iii. GFDRR improves documentation of activities and results to support further monitoring and evaluation.

II. PURPOSE OF ASSIGNMENT

7. At the Fall 2015 CG meeting, the Consultative Group discussed the findings and recommendations of the 2015 ICF evaluation report. During the discussion, the CG emphasized the importance of bridging the gap between outputs and outcomes to better report on how GFDRR's activities contribute to achievement of program results through in-country engagements. The CG also noted that instead of undertaking another country-level evaluation, which may articulate similar findings to the previous two evaluations, the Secretariat – with the support of an independent evaluation firm – should develop an action plan to systematically address the findings and lessons learned from the past two evaluations.
8. This assignment will inform two key audiences:

- i. **External:** the assignment will allow GFDRR to communicate externally with its Consultative Group, country partners, and the broader DRM community about the lessons learned.

- ii. **Internal:** the deliverables will support the GFDRR Secretariat to incorporate lessons learned into its internal decision-making processes, specifically related to (i) improving its reporting mechanisms; (ii) the design and implementation of future GFDRR grants; and (iii) improvements required to further maximize impacts.

9. This assignment will be supported by a Technical Advisory Group to be established by the Secretariat. The advisory group will comprise of interested CG members and donor partners, and can be complemented by M&E experts nominated by the CG. The main purpose of the advisory group will be to guide the Secretariat in the review of the outputs from this assignment.

III. SCOPE OF SERVICES

10. As requested by the Consultative Group, the Secretariat is commissioning the services of an independent evaluation firm to carry out the following tasks:
 - i. **Consolidate the findings and recommendations from the 2014 and 2015 country evaluations.** The consolidation will focus on synthesizing and prioritizing the common elements across both evaluations, including:
 - GFDRR's contribution to results achievement at the output, outcome, and impact levels.
 - Contributing and detracting factors for achieving success;
 - GFDRR's informing of larger investments by the World Bank and other partners (leverage/influence); and

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- GFDRR's monitoring and reporting systems.
 - ii. Develop a concrete and actionable plan of how GFDRR can systematically address the findings and lessons learned from the past two evaluations. The action plan should, among other things, propose actions to help bridge the gap between outputs and intermediate outcomes using sound methodology.
11. The firm will need to address some gaps and inconsistencies across the two evaluations, while not updating the assessment of results achievement from either evaluation. For example, compared to the 2015 ICF evaluation, the 2014 DARA evaluation included a limited analysis of how GFDRR's activities are informing investment programs at the country and activity level. Similarly, while the 2015 ICF evaluation identified results at specific levels of the results chain (i.e., outputs, intermediate outcomes, and impacts), the 2014 DARA evaluation reported on "achievements" and "contributions to DRM outcomes." As a result, some interpretive mapping will be required to assimilate these differences.
 12. The expected output from the two tasks is a draft synthesis report. The report will be shared and presented at the GFDRR CG meeting (April 25-28, 2016); focusing on the priority actions to address the findings and recommendations from the 2014 and 2015 evaluations. In developing the synthesis report, the firm will conduct desk reviews to assess GFDRR activity documentation, World Bank operational project documents, and other consultations with GFDRR and World Bank.
 13. The final synthesis report, incorporating the feedback from the CG members and Advisory Group, will inform the TOR of a second assignment that will be commissioned after the Spring CG meetings. This second assignment will focus on inter alia developing

an M&E Plan, the necessary approaches and tools to systematically assess intermediate outcomes across GFDRR's portfolio. The second assignment will also focus on how to strengthen GFDRR's reporting mechanisms beyond measuring outputs, and strengthening the understanding of the linkages between the GFDRR and World Bank portfolios vis-à-vis leveraging of investments.

IV. INFORMATION SOURCES

14. In developing the synthesis report, the firm will conduct a desk review of all relevant internal documents; including assessing GFDRR activity documentation, World Bank operational project documents, and other consultations with GFDRR and World Bank staff. In addition, GFDRR will provide all documentation related to World Bank development policy lending and investment operations which can be directly and indirectly linked to GFDRR interventions (e.g., GFDRR staff provided technical support to ensure risk was factored into the design of the operation or GFDRR financed analytical work which informed the design process).

V. DELIVERABLES

15. **Draft Synthesis Report:** The report will present the consolidated findings and recommendations from the 2014 and 2015 evaluations, and an action plan for addressing these consolidated recommendations. The inception draft report will be shared with GFDRR and the CG, including the Advisory Group, for review.
16. **Workshop (Donor Advisory Group) and Presentation:** The firm will present the draft synthesis report at the GFDRR Advisory Group Meeting, tentatively scheduled to take place on April 25, 2016. The advisory group meeting, organized as a workshop, will be an opportunity for the firm and GFDRR to gather feedback on the synthesis report from participating CG members. Following

the advisory group meeting, the firm will also present the synthesis report to the broader donor members during the formal CG meetings (April 26-29, 2016). The feedback from the CG members will need to be reflected in the final synthesis report.

Group and the GFDRR Secretariat, will be published following the Spring CG meetings. The report will include (but not limited to): a foreword, executive summary, synthesis of the recommendations and findings from the 2014 and 2015 evaluations, an action plan for addressing the recommendations, and relevant annexes. The total recommended length of the executive summary is 2-3 pages.

17. **Final Synthesis Report:** The final report, incorporating feedback from the CG, Advisory

VI. TIMELINES

#	Activity	February	March	April	May
1	First draft of Synthesis Report				
2	Final Draft of Synthesis Report				
3	Workshop and Presentation at Spring CG meeting				
4	Final Synthesis Report				

VII. DEADLINES

#	DELIVERABLES	DEADLINE
1	Initial draft of Synthesis Report	March 21, 2016
2	Final Draft Synthesis Report (for circulation at the Spring CG, 2016)	April 1, 2016
3	Workshop at Donor Advisory Group Meeting and Presentation at Spring CG meeting (April 26-29, 2016)	Advisory Group Meeting - April 25, 2016 (tentative) Date of presentation at Formal CG – TBC
4	Final Synthesis Report	May 31, 2016

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VIII. FIRM QUALIFICATIONS

18. The firm will be required to demonstrate:
- Knowledge and experience with complex quantitative and qualitative evaluations;
 - Demonstrated experience with World Bank and Trust Fund programs;
 - In-depth knowledge of issues related to DRM policies and operations;
 - Previous experience of theory-based approaches to evaluation;
 - Previous experience with the evaluation and/or operation of multi-donor programs or global partnerships (preferred); and
 - Excellent written and verbal communication skills.
19. Firm qualifications for the assignment include:
- Minimum of 15 years of professional experience in evaluating multi-disciplinary projects and programs;
 - Experience with theory of change-based evaluations; and
 - A team comprised of the following specialists:
 - A Resilience/Recovery Specialist with extensive experience in monitoring and evaluation, particularly in the fields of international development, disaster risk management, climate change adaptation, policy influence, and organizational assessment; and
 - An Expert in monitoring, evaluation, and reporting who has a good understanding and experience in implementing best practices for M&E; and
 - A Communications Specialist with proven understanding of international development issues.

IX. PROJECT MANAGEMENT

20. The GFDRR team supporting the assignment will include the GFDRR Program Manager, the Country Program and Operations Team Leader, and the GFDRR Task Manager. The GFDRR Task Manager will be the day-to-day project manager to provide oversight on all aspects of the assignment. The firm shall report and communicate the status and products of the project to GFDRR's Task Manager on a weekly basis after the project's initiation. In addition, there will be at least two project meetings via teleconference during this assignment. The final deliverables will have to be endorsed by the Consultative Group (CG) and GFDRR Secretariat.

X. RESOURCES TO BE PROVIDED BY GFDRR

21. GFDRR will provide the following support for the purposes of this assignment:
- i. GFDRR Grant Proposals (including TORs)
 - ii. Outputs
 - iii. Progress reports (RBMS reports, Aide-Memoirs, and BTORs) and Completion Reports
 - iv. Financial reports
 - v. Access to key stakeholders
 - vi. Inputs on the data interpretation and analysis
 - vii. Access to any other available background information collected for both the 2014 and 2015 evaluations.

XI. PAYMENT SCHEDULE

22. The firm will be remunerated for the deliverables as follows:
- i. 10% upon contract signature
 - ii. 20% upon delivery of first draft of Synthesis Report
 - iii. 30% upon delivery of draft Synthesis report, circulated and presented at Spring CG, 2016.
 - iv. 30% upon delivery of Final Synthesis Report
 - v. 10% upon delivery of Edited Final Synthesis Report

XII. OTHER

23. **Selection procedure and form of contract:** The firm will be selected following the World Bank's Guidelines: Selection and Employment of Consultants by World Bank Borrowers (January 2011).
24. **Duration of assignment:** The duration of the contract will be for 3 months from mobilization.

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Appendix B: Supporting Analysis

Table B-1. Evidence of Development Finance Informed (US\$ Millions)

Country	Resources or Activities Influenced	Total Project Cost	DRM Component	World Bank Financing	How did GFDRR influence these resources?
Bangladesh	Coastal Embankment Improvement Project - Phase I (CEIP-I)	400	400	375	GFDRR contributed to the improvement of the ToR guiding long-term research and monitoring, which will be carried out alongside the implementation of the CEIP-I, and will directly inform the design of \$300 million of investments under the project.
Dominica	Disaster Vulnerability Reduction Program (DVRP)	38	38	17	GFDRR support for spatial data management and sharing platform and a shelter vulnerability assessment helped to inform development of the DVRP.
Ethiopia	Productive Safety Net Program IV (PSNP IV)	2,616	32	600	PSNP IV allocated a portion of their funds for DRM focused activities. GFDRR's contribution is through supporting strategic initiatives that advance a specific activity or test a concept that can help push the DRM policy dialogue forward. Used in this way, GFDRR grants have significantly informed the design of the PSNP and altered the World Bank's relationship with the government.
Guatemala	Disaster Risk Management DPL with a CAT DDO	85	85	85	FDRR activities on technical and scientific information for municipal planning served as inputs for the DPL, and GFDRR funds supported the Government of Guatemala with capacity building to support results achievement under the DPL.
Indonesia	Aceh-Nias Livelihoods and Economic Development Program (LEDP)	8.2	-	8.2	A DRM strategy for the LEPD funded by GFDRR informed/ influenced the project design. During implementation, local and provincial government and beneficiaries received training on how to integrate disaster resilience measures. These measures increased food security, mitigated against future disasters, and increased resilience.
	Community-Based Settlement Rehabilitation for Yogyakarta	61	61	60	The GFDRR focal point participated in project missions and provided training to improve the DRR content of the community settlement plan (CSP) process. GFDRR identified CSP good practices for DRR and provided special assistance to learning villages as models that later informed community-based DRR investment under the PNPM.

Country	Resources or Activities Influenced	Total Project Cost	DRM Component	World Bank Financing	How did GFDRR influence these resources?
	Western Indonesia National Roads Improvement Project (WINRIP)	350	1	250	The GFDRR focal point provided expert consultation to the World Bank project team and the Ministry of Public Works on the inclusion of a component that provides technical assistance and capacity-building support to strengthen disaster risk mitigation in the roads section. The project now also includes a component that serves as a contingency for DRR.
	Third National Program for Community Empowerment in Urban Areas Project (PNPM-Urban III)	217	-	150	GFDRR provided co-financing for the project in the form of grants to 16 pilot kelurahans in four cities to prepare and partially implement community disaster risk action plans. GFDRR also funded guidelines and training for PNPM community facilitators on DRM. A provisional zero dollar component was added in coordination with the multi-donor Callable Fund under GFDRR's Track 3.
Malawi	Shire River Basic Management Program (Phase-I)	136.3	41.6	125	GFDRR developed an Integrated Flood Risk Management Plan for the Shire Basin—a tool that could be refined under the project to support improved hydrologic and hydraulic modeling of the flood zones.
Nepal	Building Resilience to Climate-related Hazards (PPCR)	31.3	31.3	--	GFDRR funded the development of a pilot probabilistic risk assessment for floods and landslide hazards in the Kosi River Basin. According to the Project Appraisal Document, “[b]uilding on improved hydromet data, and combined with flood risk modeling, exposure and vulnerability mapping, [GFDRR’s] risk assessment should provide additional information towards the development of a real-time flood early warning and decision support system for the Kosi which is also a goal of this project.” GFDRR also built capacity of the hydromet on the design of early warning systems, with these trainings intended to support PPCR project development.
	Pilot Program for Seismic School Safety in the Kathmandu Valley (Japan PHRD Fund)	1.37	1.37	--	GFDRR conducted a risk assessment in two districts in Kathmandu Valley, trained teachers and students in earthquake preparedness, and trained masons in seismic resistance construction techniques. The grant from Japan PHRD provides for structural assessment, retrofitting of up to seven buildings, contingency planning, and awareness building.

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Country	Resources or Activities Influenced	Total Project Cost	DRM Component	World Bank Financing	How did GFDRR influence these resources?
Sri Lanka	Metro Colombo Urban Development Project	321	147.55	213	GFDRR funded the update of the hydraulic model of the Colombo Water Basin, to validate the viability and final design of proposed flood structures, and provide design engineering support during the final stage of the revision of structure design.
Vietnam	Third Rural Transport Project (Additional Financing)	112.8	--	97	GFDRR TA developed a study on climate proofing for rural roads, which MOT will approve for use on the additional financing (AF) work.
	Managing Natural Hazards Project	167	167	150	GFDRR staff are part of the World Bank project team. GFDRR activities, such as software development for mobile-based EWS will continue in this project, and parallel TA from GFDRR is expected to strengthen the capacity of DRM staff in government line ministries and support national awareness raising efforts.
	Second Northern Mountains Poverty Reduction Project	165	--	150	GFDRR's study on disaster resilience resulted in better understanding of risk and greater attention to livelihood protection in the Northern Mountains Rural Development Project. A concrete example given was that the shelters for pig-rearing were built to a higher standard to withstand the rigors of winter.

Note: Additional World Bank operations may have been informed by GFDRR in Vietnam, but they were not able to be confirmed for this synthesis report. In particular, the 2014 evaluation reported that GFDRR had “facilitated the clearance” of the Road Asset Management Project, Coastal Cities Environmental Sanitation project, Irrigated Agricultural Improvement Project, and Ho Chi Minh Environmental Sanitation project. However, because these projects were not mentioned in DARA’s back-to-office report for the Vietnam fieldwork and because GFDRR was not mentioned in World Bank’s project appraisal documents, these projects were not included in this table as being World Bank operations “informed.”

Sources:

See ICF's 2015 Technical Evaluation Report for sources for Bangladesh, Indonesia, Ethiopia, and Dominica. Sources for Vietnam, Malawi, Guatemala, Nepal, and Sri Lanka projects:

World Bank. 2011. Vietnam - Additional Financing for the Third Rural Transport Project. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/2011/11/15499578/vietnam-additional-financing-third-rural-transport-project>

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World Bank. 2012. Sri Lanka - Metro Colombo Urban Development Project. Washington, DC: World Bank. <http://documents.worldbank.org/curated/en/2012/02/15873173/sri-lanka-metro-colombo-urban-development-project>

APPENDIX

Appendix C: Preliminary Action Plan

The preliminary action plan presented below provides potential steps to address the recommendations of the consolidated evaluations, as presented in Section 4 of this report, and to define a path forward towards strengthening GFDRR's results measurement.

Recommendation	Action	Suggested Steps and Sequencing
Find and pursue ways to deepen and sustain engagement on the ground	Coordinate through staff focused on DRM and related topics, located in World Bank country offices	<ul style="list-style-type: none"> ▪ Identify strategic ways to carry the DRM agenda forward on-the-ground and build stronger partnerships with World Bank country offices. This includes working through staff focused on DRM and staff in other World Bank Global Practices (e.g., energy, transport, water, etc.) that may have relationships with DRM-related government agencies and/or lending operations that could provide opportunities for DRM mainstreaming. ▪ Consider opportunities to provide continuity of staff support for GFDRR activities. ▪ Seek opportunities for GFDRR technical expertise to inform World Bank, government, and other donor initiatives and programs, to support mainstreaming DRM and up-scaling.
	Consider more focused approaches within countries, with an emphasis on longer-term engagement	<ul style="list-style-type: none"> ▪ Identify ways to prioritize and rationalize activities in countries to identify a (possibly more limited) scope of activities with higher impact potential. ▪ Avoid one-off events. Focus efforts on building institutional capacity, rather than individual staff capacity
Strengthen GFDRR tracking and reporting of results beyond the output level	Develop and implement an M&E plan	<p>Step 1. Prepare short pre-assessments of the following to understand needs and approaches:</p> <ul style="list-style-type: none"> ▪ Conduct a brief needs assessment to (a) understand who the target M&E users are (e.g., donors and GFDRR management); (b) identify their priority questions and needs (e.g., information to meet internal reporting obligations, refine program strategy, and inform business planning); and (c) determine whether monitoring and/or evaluation can address those questions, and how.

Recommendation	Action	Suggested Steps and Sequencing
		<ul style="list-style-type: none"> ▪ Conduct a limited benchmarking assessment to understand the M&E approaches taken by other multi-donor global programs focused on technical assistance and trust-funded in the World Bank, as well as other resilience-focused programs. In particular, review approaches that comparator programs have taken to monitor or evaluate the effects of their technical assistance on the outcomes and impacts of larger lending operations. <p>Step 2. Based on these assessments, develop and implement an M&E plan that will serve as a guide for GFDRR stakeholders, including program managers, donors, regional coordinators, and task team leaders. The M&E plan will address the following:</p> <ul style="list-style-type: none"> ▪ How to revise GFDRR's results framework to incorporate relevant and measurable intermediate outcomes to bridge the gap between outputs and outcomes; to capture the effects of GFDRR on larger lending operations; and to better align the M&E framework with the Sendai Framework indicators, which are still under development, focusing on a few core indicators. ▪ Development of indicators to be monitored that are logically tied to the results framework, and their definitions and data sources. ▪ Approaches and tools to measure the effect of GFDRR's activities on gender. ▪ Specifications of how the monitoring information will be used (e.g., how the information could be integrated into the Annual Report, and what other reports and learning products might be produced). ▪ Operational aspects of monitoring and reporting (e.g., systems or tools that need to be developed or improved, roles and responsibilities, staff or resources potentially required). ▪ If, where, and how evaluation can help address the questions and needs identified in Step 1.