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Draft Report

World Bank

Global Facility for Disaster Reduction and Recovery

**INDEPENDENT EVALUATION OF THE DGF  
FINANCED TRACK I OF THE GLOBAL  
FACILITY FOR DISASTER REDUCTION AND  
RECOVERY (GFDRR)**

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Submitted by Itad

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## Acronyms and Abbreviations

ACDM	ASEAN Committee on Disaster Management
ACP	African, Caribbean and Pacific group of states
ADB	Asian Development Bank
AADMER	Asian Agreement on Disaster Management and Emergency Response
AMCDRR	Asia Ministerial Conference on Disaster Risk Reduction
ASEAN	Association of South East Asian Nations
AUC	African Union Commission
BANK	The World Bank
CAC	Central Asia and Caucasus
CAC DRMI	Central Asia and Caucasus Disaster Risk Management Initiative
CAPRA	Central American Probabilistic Risk Assessment
CEPRENAC	Centro de Coordinación para la Prevención de los Desastres Naturales en América Central (Center for Natural Disasters Prevention in Central America)
CG	Consultative Group
DEVCO	Development and Cooperation - Europe AID
DGF	Development Grant Facility
DFID	Department for International Development
DFAT	Department of Foreign Affairs and Trade
DRR	Disaster Risk Reduction
EAP	East Asia Pacific
EC	European Commission
ECA	Europe Central Asia
ECCAS	Economic Community of Central African States
ECHO	European Commission Humanitarian Aid and Civil Protection
EFDRR	European Forum for Disaster Risk Reduction
ECOWAS	Economic Community of West African States
EQ	Evaluation Question
EU	European Union
FSI	Framework of Subset Indicators
GAR	Global Assessment Report
GFDRR	Global Facility for Disaster Reduction and Recovery
HFA	Hyogo Framework for Action
HFA2	Hyogo Framework for Action post-2015
HQ	Headquarters
IGO	Inter-Governmental Organisation
IFRC	International Federation of the Red Cross and Red Crescent Societies
ISDR	International Strategy for Disaster Reduction
ITC	International Trade Centre
LAC	Latin America and the Caribbean

M&E	Monitoring and Evaluation
MENA	Middle East and North Africa
MDG	Millennium Development Goal
Mol	Ministry of Interior
OAS	Organization of American States
SAARC	South Asian Association for Regional Cooperation
SADC	South African Development Community
SDMC	South Asian Association for Regional Cooperation Disaster Management Centre
SDG	Sustainable Development Goals
SEEDRMAP	South Eastern Europe Disaster Risk Mitigation and Adaption Programme
SOPAC	Applied Geoscience and Technology Division of SPC
SPC	Secretariat of the Pacific Community
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Program
UNISDR	United Nations Office for Disaster Risk Reduction
UNITAR	United Nations Institute for Training and Research
UNOOSA	United Nations Office for Outer Space Affairs
UNOSAT	UNITAR's Operational Satellite Applications Program
WB	World Bank
WCIDS	Weather and Climate Information for Decision Support (program)

## Executive Summary

### **GFDRR Track 1 Evaluation 'Headlines'**

#### **1 – Track 1 Results**

- DGF's US\$15 million Track 1 investment contributed 84 project activities to different parts of UNISDR's wider program of activities in an integrated way and was not intended to be a stand-alone program.
- The predictable and flexible nature of the financing allowed UNISDR to invest in activities relating to its core mandate complementing those of the regional World Bank. This worked best when UNISDR and GFDRR regional coordinators invested in building relations based on complementarities and coordinated work programs. Achievements include, amongst others, South Eastern Europe Disaster Risk Mitigation and Adaptation Programme (SEEDRMAP) aimed at helping the countries of SEE reduce their vulnerability to natural hazards and adapt to climate change.
- Track 1 activities influenced and contributed to evolving regional and global DRR architecture, which is used as preparations for the 3<sup>rd</sup> World Conference on Disaster Risk Reduction and the post-2015 agenda. Most funding was used to provide technical support to regional organisations. 85-90% of funding was allocated to regional offices. UNISDR, with this financial support, played a critical role linking regional and global mechanisms as well as initiating sharing of lessons and experiences between regions. Examples include an FY09 joint agreement between ASEAN, UNISDR and World Bank, supporting a regional strategy for DRR enabling ASEAN states to invest in ex-ante DRR through robust legislative, regulatory and financing frameworks and the Pacific Islands Framework for Action on Climate Change 2006 – 2015 (1st of its kind integrating CCA and DRR).
- Track 1 contributed to broadening of the range of stakeholders involved in DRR; UNISDR plays an important role of convener in the ISDR system. Regions show increased rates of participation from more senior government and broader ISDR partners including the private sector. Partnerships with IGOs, such as ASEAN, complement national level efforts through regional cooperation and positive peer pressure.
- Track 1 contributed to linking global dialogues and campaigns to regional declarations and national decision-makers, examples include the Making Cities Resilient campaign and priorities identified by the global and regional platforms (the outcome documents being the Chair's summaries)<sup>1</sup>.
- Track 1 contributed to broadening DRR dialogues beyond a humanitarian focus, using networks, tools and advocacy, involving non-humanitarian actors and actions.
- At the global level and in some regions DGF financing was used as seed money to scale up initiatives and leverage additional funding as well as to explore new initiatives and methodologies such as CAPRA (Central American Probabilistic risk Assessment) tools with government and sub-regional actors in Latin America that by 2013 was used by 7 countries.

#### **2 - GFDRR and UNISDR strategic co-operation and partnership**

- UNISDR and GFDRR have complementary roles and networks, their comparative advantages are consistently perceived. UNISDR is the custodian of the HFA, a convener of a broad range of stakeholders in the ISDR system, has a network including HFA focal points, key ministries and other leaders as well as being an advocate for DRR. GFDRR established within the World Bank, has a high level of technical expertise, innovation and access to resources. GFDRR/World Bank has access and convening power to critical networks within the ministries of finance and planning.
- DGF financing along with donor encouragement helped maintain relations. Indeed, most stakeholders highlighted that for track 1 the means (building the partnership) was just as important as the ends (the results achieved by Track I). Regions that invested in building relationships based on complementary advantages were more successful in integrating work programs and organisational priorities.
- Track 1 activities focused attention on some initial areas of cooperation rather than a broader strategic cooperation. Recently, significant senior management efforts are on-going to continue to strengthen relations and improve coordination.

#### **3 - Future co-operation and strategic co-operation between GFDRR and UNISDR**

<sup>1</sup> See 'progress on global platform chair summaries' [www.unisdr.org/files/35180\\_gpchairsummaryprogress20072011.pdf](http://www.unisdr.org/files/35180_gpchairsummaryprogress20072011.pdf)

- GFDRR and UNISDR have key areas of collaboration, individual niches and complementary roles and networks. The GFDRR and UNISDR relationship is one of a plethora of other relationships and partnerships that each organisation should manage. GFDRR and UNISDR have the basis of a shared framework or way of thinking and systematically harnessing resources building on examples of success in track 1.
- The wider UN family has access to networks, political capital and resources in key sectors nationally, regionally and globally. This is powerfully complementary to the GFDRR/World Bank's network and expertise in financing and planning. Establishing a joint vision for harnessing this synergy presents an important opportunity.

## Introduction and methodology

The Development Grant Facility (DGF)<sup>2</sup> was established in 1997 to integrate the overall strategy, allocations, and management of Bank grant-making activities funded from the administrative budget under a single umbrella mechanism. The DGF establishes grant making as an integral part of the Bank's development work and an important complement to its lending and advisory services. It sets out the overall Bank strategy of using grants to a) encourage innovation, b) catalyse partnerships, and c) broaden the scope of Bank services.

Established in 2006, the Global Facility for Disaster Reduction and Recovery (GFDRR) is a partnership of the World Bank, the United Nations, donors and disaster-prone countries. The GFDRR Program was delivered during the evaluation period through three tracks:

**Track 1** is the Global and Regional Co-operation program;

**Track 2** is designed to mainstream disaster reduction and management in country development processes;

**Track 3** is designed to support primarily low-income countries for accelerated sustainable disaster recovery assistance.

Within the GFDRR Program, the United Nations Office for Disaster Risk Reduction

(UNISDR) has been responsible for implementation of the Track I activities under a grant agreement. UNISDR has been the recipient of seven annual DGF grants, beginning in 2007 and ending in 2013, for a total contribution of US\$30.257 million. The evaluation covers activities implemented during the period 1 July 2010 to 31 December 2013, which include a contribution from DGF of \$15.257 million.

This is an **Independent Evaluation of the DGF Financed Track I of the Global Facility for Disaster Reduction and Recovery (GFDRR)**. The inception report organised the evaluation around three main components with elaborated judgement criteria:

1. The results of DGF financed Track I;
2. GFDRR and UNISDR strategic co-operation and partnership; and,
3. Future co-operation and strategic co-operation between GFDRR and UNISDR.

The evaluation employed a mixed methods approach. The main aspects of this approach included:

- A review of 117 documents plus Track 1 project descriptions in the knowledge centre of GFDRR, and both GFDRR and UNISDR websites;
- 59 semi-structured interviews with 64 staff of UNISDR, GFDRR, World Bank, members of the consultative group including donors and representatives and participants from regional organisations; as well as two national counterparts; and,

<sup>2</sup> From <http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTFININSTRUMENTS/EXTTRUSTFUNDSANDGRANTS/EXTDGF/0,,menuPK:64161791~pagePK:64161828~pIPK:64161823~theSitePK:458461,00.html>



- A systematic analysis of selected annual plans, reports and other documents.

Analysis was conducted through:

- Scrutiny of Track 1 results based on contribution analysis technique;
- Analysis of co-operation using a partnership framework; and,
- A process of synthesis, triangulation and additional follow up data collection to fill gaps and draw conclusions across the three components.

The evaluation overcame three main challenges. Firstly, there was limited opportunity for direct regional and country-level data collection, especially on topics relating to leveraging, the multi-stakeholder environment, and linking the Track 1 program to changes in regions and countries. Secondly, it was not possible to arrange focus group discussions on relationships within and between UNISDR and GFDRR. Thirdly, despite initial expectations in the inception phase that Track 1 reporting would make a significant contribution to identifying results, it was found that the data to identify outcome level results and for a systematic analysis of results against the evaluation question criteria was lacking. It is noted that there is a lag from project activities to desired outcomes from many project activities especially in lobbying and technical support. To address these challenges the team expanded the range of stakeholders interviewed by Skype and telephone as well as increasing the number of documents for review for example annual and outcome reports, project documents and meeting summaries and minutes.

### ***A changing context***

The Disaster Risk Reduction (DRR) context is at a pivotal moment of change. Consultations and preparations are

underway for adopting in March 2015, the post-2015 framework for DRR, known as HFA2, the successor to the Hyogo Framework for Action. Importantly, the wider post-2015 development agenda will be articulated in a set of Sustainable Development Goals (SDGs), which will build upon the Millennium Development Goals. Additionally, in 2015 a new international treaty on climate change will replace the Kyoto Protocol. The World Bank is reorganising to focus on global practice areas. The Head of GFDRR Secretariat is also the Manager for the World Bank's Disaster Risk Management Practice Group.

Risk is increasing, as are losses from disasters. The 2011 disasters in Japan and Thailand highlighted to both the public and private sectors the risks that they face. The governance of DRR continues to evolve beyond its humanitarian roots and civil protection national guardians. The mainstreaming of DRR into development continues to require greater involvement of a wide range of development actors.

UNISDR is the custodian of the HFA and GFDRR is a critical part of the ISDR system and influencer in the World Bank. The co-operation and co-ordination of the two relatively new entities is important for the ISDR system.

## **Findings**

### ***Relevance:***

UNISDR and GFDRR are important and complementary parts of the International Strategy for Disaster Reduction (ISDR) system. UNISDR and GFDRR function within the HFA and are focal points for DRR in the UN family and World Bank system respectively. Track 1 supports global and regional partnerships of ISDR system stakeholders to set agendas and commit to priorities in DRR. This advocacy and advisory support contributes to the global and regional architecture for consultations and preparations of the 3<sup>rd</sup> UN World Conference on Disaster Risk Reduction and post-2015 agenda as well as regional

sharing and priority setting. UNISDR and other ISDR system partners support these priorities through many regional entities, such as SPC, ASEAN, SAARC, OAS and ECOWAS. Track 1 contributed to UNISDR's technical advice, support and leadership in setting regional and global agendas and facilitated declarations. Track 1 also contributed to advocating and harmonising tools to established priorities in urban DRR, schools and hospitals. Track 1 global and regional investments are starting to establish links at the national and sub-national levels as well as to the wider GFDRR program. These include knowledge-based investments in risk identification and assessments as well as UNISDR advocacy programs linked to sub-national level through support to parliamentarians and mayors.

The UNISDR-GFDRR relationship is an important relationship amongst many which UNISDR and GFDRR manage.

***Efficiency:***

DGF's US\$15 million Track 1 investment is a contribution to 84 project activities in different parts of UNISDR's wider program of activities and not a stand alone coherent program<sup>3</sup>. The predictable and nature of the funding, which provided about US\$ 4.3 million annually since 2007, allowed UNISDR to use the money to support its wider programs. DGF importantly funds part of emerging outreach and advocacy initiatives for which funding is difficult for UNISDR to attain. UNISDR allocated 85 to 90% of Track 1 funding to regional projects, with the remainder going to global initiatives. Track 1 contributed to setting regional agendas and facilitating or advising on regional agreements. These agendas and agreements provided a framework for actions and funding. Track 1 also contributed to UNISDR advocacy investments in Urban DRR, schools and

hospitals that also contributed a framework and harmonised tools for investments by other donors and countries. Annually, in each region UNISDR and GFDRR/World Bank regional coordinators allocated between \$500,000 and \$550,000 for three or four projects in each region, however Africa received between \$700,000 and \$850,000). Allocations were halved in 2013. In some regions, the UNISDR and World Bank coordinators invested time and resources, early in the relationship, to analysing the value, advantages and opportunities of the funding, partnership and relationship. This led to multi-year and multi-stakeholder co-operation and leveraging opportunities with longer term programs. Cooperation was more efficient and effective in some regions than others, factors contributing to this greater success included willingness to cooperate between the UNISDR regional offices and the World Bank regional DRM teams, common priorities identified and investments in building informal relationships. Track 1 had some success in developing models such as risk assessments to leverage and influence national budgets. Risk identification and assessment processes are emerging. These can produce key information that will enable leveraging of commitment and resources from decision-makers.

***Efficacy:***

DGF funds contribute to UNISDR's work program. Importantly, the funds supported UNISDR as it matured as an organisation, and provided malleable resources for hard to fund initiatives. The funds contributed to UNISDR advocacy, technical and advisory support largely focused on differing regional intergovernmental entities and plans such as to the work plan for AADMER (ASEAN Agreement on Disaster Management and Emergency Response) or the develop the Pacific Islands Framework for Action on Climate Change 2006 – 2015 with SPC. This in turn contributed to the emergence of a global and regional architecture including platforms to establish and commit to DRR priorities and frameworks including

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<sup>3</sup> As per grant agreements for the period of evaluation from 2010 to 2013

preparations for the 3<sup>rd</sup> World Conference on disaster risk reduction and the post-2015 agenda. This architecture supports knowledge sharing and dialogue among an increasingly diverse group of ISDR system partners with increased participation from higher-level decision-makers. DGF funds have supported the development of some harmonising tools and working practices. These include the initial scaling up of models (such as CAPRA – the Central American Probabilistic Risk Assessment) for risk assessment and modelling to inform decision makers on DRR investments. Similarly, DGF has contributed to tools and ways of working on global campaigns with multiple stakeholders, such as Making Cities Resilient as well as 1 million Safe Schools and Hospitals. The partnership allows the complementary network and expertise of both the World Bank and UNISDR, in these examples of successes to contribute to risk reduction on a more systematic level.

#### ***Monitoring and Evaluation (M&E):***

UNISDR provided annual (and interim) reports as per grant agreement. M&E was mostly limited to reporting achievements against 84 agreed activity projects. UNISDR and GFDRR invested resources to improve the M&E system, over and above the grant agreements. A more robust M&E framework with output and outcome level indicators was drafted for the whole GFDRR program (including all three tracks), tested but not endorsed by the Consultative Group (CG). At this time, both UNISDR and GFDRR invested in comprehensive results-based monitoring systems at the organisational level, which took precedence. As in 2009, in 2012, UNISDR and GFDRR wrote a retrospective report on Track 1, marking five years of the UNISDR-GFDRR partnership. This retrospective mostly showcased diverse achievements of the partnership.

#### ***Governance and Management:***

GFDRR track 1 is accountable to the Consultative Group (CG) and contractually

UNISDR reports to the World Bank/DGF. The CG group includes GFDRR donors and key stakeholders, many of which are shared with UNISDR. The CG frequently discussed the relationship between GFDRR and UNISDR. The group requested clearer reporting on results and reflections on the future co-operation between UNISDR and GFDRR. The CG was updated on collaboration. However, the relationship per se was not the focus of the reporting but rather the activities. Therefore there was no overarching vision for related indicators.

UNISDR wider program achievements are communicated to the broader ISDR system, with sporadic reference of DGF and Track 1 by GFDRR and UNISDR. Some recipients of technical assistance knew, through the planning processes, of the Track 1 contribution at individual activity level.

#### ***To what extents have DGF grants to UNISDR leveraged other donors' resources for the GFDRR programme?***

Track 1 activities contributed to leveraging other donor funds to GFDRR by providing seed money for innovative partnerships and developing methodologies for example with risk assessments (CAPRA) and the South Eastern Europe Disaster Risk Mitigation and Adaption Programme. Catalytic partnerships such as support to ADAMER and investments in safe school campaign contributed in part to investments by both government and donors. DGF financing laid the foundations for collaborations and assistance to regional intergovernmental organisations. Key donors have invested in these areas. Donors use multiple tools to make resourcing decisions. Both UNISDR and GFDRR exist within the ISDR system and their cooperation is important for the future effectiveness of that system. The relationship between UNISDR and GFDRR is an important factor for donors to contribute to the GFDRR program. UNISDR also co-

funded initiatives with other organisations such as the UNDP<sup>4</sup>.

***How effective were modalities of DGF support under Track 1 in shaping and supporting a strategic partnership between UNISDR and GFDRR?***

Track 1 programming formed the basis of the relationship between UNISDR and GFDRR. Funding modalities established in some regions produced examples of thematic co-operation between UNISDR and GFDRR/World Bank. The modalities of DGF support focused attention on activities within the boundaries of Track 1. Senior management retreats and other investments in building relationships, contributions to the Global Assessment Report on Disaster Risk Reduction (GAR) and building the knowledge based for DRR investments and donor intentions also contribute to shaping and supporting a future strategic partnership between UNISDR and GFDRR.

**Evaluation Conclusions**

***DGF contribution to Track 1 results:***

1. Track 1 activities contributed to evolving regional and global DRR architecture, and setting agendas including for preparing the post-2015 framework for DRR;
2. Track 1 contributed to linking of global dialogues and campaigns to regional declarations and national decision-makers, as well as contributing and advising on regional agreements and decisions and agenda setting;
3. Track 1 contributed to building regional movements, and better understandings of DRR with a widening cross-section of stakeholders.

4. Track 1 contributed to broadening DRR dialogue beyond a humanitarian focus, using networks, tools and advocacy.

***Track 1 contribution to the UNISDR and GFDRR partnership:***

5. Track 1 ensured formalised and regular contact between UNISDR and GFDRR;
6. Track 1 contributed to strong thematic co-operation in some regions where respective roles and mandates were clear, distinctive and complementary;
7. UNISDR and GFDRR/World Bank shared information and coordinated both within the bounds of Track 1 program initiatives and some multiparty joint ventures;
8. Senior management is investing time and efforts through retreats and meetings to build relationships for future cooperation;
9. Track 1 planning processes facilitated some thematic cooperation, which indicates a common framework and areas for broader strategic co-operation between the GFDRR/World Bank and UNISDR.
10. Both UNISDR and GFDRR staff view the UNISDR-GFDRR relationship within a broader context of multiple and at times equally important inter-organisational relationships; and,
11. Track 1 has helped to set a foundation for strategic co-operation between UNISDR and GFDRR.

UNISDR and GFDRR have shared areas of thematic interest and investment. Both organisations invest in retreats and communications at various levels to develop a shared perspective and cooperation. Both organisations operate within the Hyogo Framework for Action. GFDRR represents the World Bank on the High-Level Committee on Programmes' Strategic Management Group (HLCP/SMG) on Disaster Risk Reduction for Resilience, which

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<sup>4</sup> See page 50 for further details

developed a United Nations Plan of Action on Disaster Risk Reduction for Resilience under UNISDR's leadership. The organisations work together and share successes, overcoming stress that can naturally occur in robust relationships.

### ***Challenges to strategic cooperation***

Both UNISDR and GFDRR highlighted a similar set of challenges to cooperation including

- Establishing a shared understanding of how regional initiatives can better link to efforts to mainstream and strengthen DRR including at national level
- Establishing a shared understanding of how efforts can facilitate the relationship between the UN family and World Bank.
- Continuing to articulate programme complementarities especially at national level and in key thematic areas of joint interest such as risk assessments
- Acknowledging and over-coming organisational cultural differences, such as ways of working, development dialogues and priorities.

### **Evaluation Recommendations**

#### ***To the leadership of UNISDR and GFDRR***

1. Develop jointly a strategic framework to guide UNISDR-GFDRR future co-operation. A framework can be developed this year to be adaptable to HFA2. A framework should provide clearer definitions of the starting points, based on existing thematic cooperation for increased cooperation and well as establishing boundaries for UNISDR-GFDRR cooperation, based on the Sendai report and the UN plan of action on Disaster Risk Reduction for Resilience. The Plan should be in line

with the visions, aims and responsibilities spelled out in the UN Plan of Action.

2. Continue to co-operate in key thematic areas such as communicating evidence through GAR, risk identification and assessment, HFA2, and multi-stakeholders collaborations focusing on cities and schools.
3. Continue building senior management relationships with joint retreats, discussing issues not limited to Track 1. Frequent and focused discussions are critical to build relationships and manage challenges that frequently occur in complex institutional relationships. The meetings are also an opportunity to review together the progress and "health" of the partnership.
4. GFDRR and UNISDR should continue to systematically promote joint missions between regional UNISDR and World Bank coordinators as well as regular participation in regional platforms. These are two important initiatives that the teams are envisaging together. Investing in this relationship is critical to facilitate future co-operation especially in the multi-sectorial environment as well as national programs.

#### ***To Donors***

5. Promote strategic co-operation stressing comparative advantages and distinctive roles within the ISDR system. Donor pressure has played a positive role in encouraging, supporting and to some extent holding accountable both organisations on co-operation. GFDRR and UNISDR have complementary mandates and roles. Importantly, UNISDR and GFDRR have similar donors. This can lead to competition or collaboration. Donors need to support the establishment of more strategic co-operation. For this to happen, donors need to support each organisation to focus on and invest in its specific

areas of expertise and continue to play its distinctive role within the ISDR system.

***To sustainable development network (DGF sponsoring unit)***

6. In the future be expressive and set benchmarks with regards to unstated aims such as relationship building. DGF funding has been effective in supporting the development of an organisational partnership, which creates an opportunity for future collaboration. Its duration and flexibility have been key characteristics, which have supported this. However, this could be strengthened by attention to monitoring of both progress towards outcomes and importantly of the overall success and state of the partnership over time.

## Introduction

The Development Grant Facility (DGF)<sup>5</sup> was established in 1997 to integrate the overall strategy, allocations, and management of World Bank (the 'Bank') grant-making activities funded from the Administrative Budget under a single umbrella mechanism.

The DGF establishes grant making as an integral part of the Bank's development work and an important complement to its lending and advisory services. It sets out the overall Bank strategy of using grants to a) encourage innovation, b) catalyse partnerships, and c) broaden the scope of Bank services. In addition, all grants must meet sector and institutional priorities, be of high quality, and conform to eight DGF eligibility criteria.

The DGF allocation mechanism calls for each grant proposal to have a Bank sponsor, for it to be reviewed and prioritized within Sectors and Networks, and then be considered against institutional priorities through a Bank-wide DGF Council. The DGF Council is supported by a small DGF secretariat team, which stands ready to provide assistance.

Over the past fourteen years, since its inception in FY98, the DGF has supported some 183 priority programs with a Bank contribution of US\$2.1 billion, mobilizing an estimated US\$16.6 billion from other partners i.e. other international financial organizations, regional development banks, bilateral donors, UN agencies, foundations, grant recipient organizations and private sector.

Established in 2006, the Global Facility for Disaster Reduction and Recovery (GFDRR) is a partnership of the World Bank, the United Nations, donors and disaster-prone countries. It is part of the International Strategy for Disaster Reduction (ISDR) system to support the implementation of the Hyogo Framework for Action (HFA). The GFDRR Program is delivered through three tracks:

- **Track 1**, the Global and Regional Co-operation Program and the focus of this evaluation, is designed to enhance global and regional advocacy, partnerships, and knowledge management for mainstreaming disaster reduction;
- **Track 2** is designed to mainstream disaster reduction and management in country development processes; and,
- **Track 3** is designed to support primarily low-income countries for accelerated sustainable disaster recovery assistance.

Within the GFDRR Program, the UNISDR has been responsible for implementation of the Development Grant Facility (DGF)-financed Track 1 activities under a series of annual grant agreements. Track 1 activities have been designed in co-operation with the GFDRR Secretariat, and coordinated and implemented by the UNISDR Secretariat in co-operation with regional intergovernmental organizations and in accordance with any relevant framework arrangements with the World Bank. These activities are intended to complement and amplify country specific activities in Tracks 2 and 3. In the context of the partnership, UNISDR has had an opportunity to implement many aspects of its work and seize opportunities for engagement with partners in view of its unique role in the ISDR system. It was a founding partner of GFDRR in 2006 and has been a full voting member of the GFDRR Consultative Group (CG) since inception.

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<sup>5</sup> From

<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/EXTFININSTRUMENTS/EXTTRUSTFUNDSANDGRANTS/EXTDGF/0,,menuPK:64161791~pagePK:64161828~piPK:64161823~theSitePK:458461,00.html>



Created in December 1999, UNISDR is the designated focal point in the United Nations system for the coordination of disaster reduction and to ensure synergies among the disaster reduction activities of the United Nations and regional organizations and activities in socioeconomic and humanitarian fields. Led by the United Nations Special Representative of the Secretary-General for Disaster Risk Reduction, UNISDR has around 100 staff located in its Headquarters (HQ) in Geneva, Switzerland, and 5 regional offices and other field presences. Specifically, UNISDR coordinates international efforts in disaster risk reduction, leads the UNISDR system which is a system based on partnerships amongst institutions, platforms and academic fora and guides, monitors and reports on the progress of the implementation of the Hyogo Framework for Action; campaigns to create global awareness of disaster risk reduction benefits and empower people to reduce their vulnerability to hazards; advocates for greater investments in disaster risk reduction to protect people's lives and assets, and for increased and informed participation of men and women in reducing disaster risk; and informs and connects people by providing practical services and tools such as PreventionWeb, publications on good practices, and by leading the preparation of the Global Assessment Report on Disaster Risk Reduction (GAR) and the organization of the Global Platform for Disaster Risk Reduction

This is an Independent Evaluation of the Track 1 of the GFDRR. It is an independent evaluation of the partnership between the GFDRR and UNISDR, as well as of the grants provided by the World Bank's DGF for the implementation of Track 1 activities of the GFDRR Program. The results of the evaluation will inform both the GFDRR and UNISDR partners and stakeholders in shaping the strategy and approach to this partnership moving forward.

UNISDR has been the recipient of seven annual DGF grants, beginning in 2007 and ending in 2013, for a total contribution of \$30.257 million.

The evaluation will also identify ways to strengthen strategic co-operation and results moving forward. The evaluation will cover activities implemented during the period 1 July 2010 to 31 December 2013. The intended audience includes the DGF Secretariat, the GFDRR CG, the UNISDR Secretariat, the GFDRR partners, and other stakeholders. Set out below are the main evaluation questions (EQ) as defined in the evaluation ToR and further refined and agreed in the Inception Report.

#### **Track 1 Evaluation Questions**

##### **Relevance**

EQ1. How relevant has the UNISDR been to the GFDRR Program? To what extent have UNISDR's objectives contributed to those of the GFDRR?

EQ2. To what extent have the global and regional partnerships supported through Track 1 helped to address global and regional DRR challenges?

##### **Efficiency**

EQ3. To what extent have the UNISDR and the GFDRR managed the DGF grant resources efficiently and transparently?

EQ4. Were the operational modalities for program work planning, monitoring and reporting efficient in ensuring effective coordination between the UNISDR and the GFDRR during the annual cycle of DGF-financed activities?

EQ5. To what extent have UNISDR-implemented activities helped to leverage DRR programming and funding at country level, and how effective have these linkages been?



### Efficacy

EQ 6. To what extent have DGF-funded activities under Track 1 achieved their stated objectives?

EQ 7. To what extent have UNISDR-implemented activities complemented the country specific activities in GFDRR Tracks II and III?

### Monitoring and evaluation

EQ8. To what extent did the UNISDR and the GFDRR put in place an effective monitoring and evaluation framework for measuring the progress of its activities, outputs, and outcomes?

### Governance and management

EQ9. To what extent has the governance and management of the program been transparent in providing information about Track 1 achievements to the broader ISDR system?

EQ 10. To what extent has the program been accountable to the broader range of GFDRR donors and stakeholders?

### DGF-Specific Questions

EQ 11. To what extent has DGF grants to UNISDR leveraged other donor resources for the GFDRR Program?

EQ 12. What are various options to strengthen strategic co-operation and results engagement between UNISDR and GFDRR, now that the DGF grants to UNISDR are ending?

## Methodology

The team organised and considered the evaluation questions through a framework comprising three components:

1. **Component A focused on results** - To what extent have the outcomes of the grants provided by the World Bank's DGF contributed to generating global and regional co-operation around DRR and GFDRR Track 1 objectives?
2. **Component B focused on the partnership** - How effective were modalities of DGF support under Track 1 in shaping and supporting strategic co-operation between UNISDR and GFDRR?
3. **Component C focused on future co-operation** -What does the evidence generated under A and B suggest for ways to strengthen strategic co-operation and results between GFDRR and UNISDR in the future?

The Inception Report elaborated on the evaluation (sub-) questions and judgement criteria. The evaluation employed a mixed-methods approach. A summary of the key methods applied is detailed below.

### Data collection

**a) Document review** - the team reviewed a wide range of 117 documents plus a number of web-sites including Track 1 grant agreements, results frameworks and results reporting, each organisation's annual reports, organisational strategies, products/deliverables from Track 1 funded projects e.g. toolkits and websites, declarations and proceedings of regional and global conferences and platforms, HFA monitoring data governance and management

documents. A full list of documents reviewed is attached Annex 3. Based on the documents available, the team undertook a systematic desk review of documentation comprising:

- An analysis of results and expenditure against planned results and budget;
- An analysis of project reports for data on efficiency, effectiveness, relevance and monitoring;
- An analysis of the Track 1 activities and the HFA and regional and global priorities; and,
- An analysis of trends and changes in stakeholder engagement over time in DRR dialogue at regional and global levels e.g. in levels of seniority and/or range of stakeholders engaged in regional and global platforms.

**b) Semi-structured interviews** - The evaluation team held semi-structured interviews with 64 informants including:

- Nine GFDRR staff
- 13 World Bank
- 24 UNISDR staff
- 11 representatives national and regional organisations
- Seven representatives from donors and the consultative group

An interview checklist was developed to systematically yet flexibly guide discussion around the results of Track 1 results, partnership, strengths, challenges and learning from the UNISDR - GFDRR co-operation to date and the potential and learning for future strategic co-operation. Interviewees were drawn from across all the operational regions and included staff based in both headquarters as well as in the regions. The evaluation team visited Washington and Geneva for face-to-face interviews with GFDRR, World Bank and UNISDR Secretariat staff. The team interviewed by Skype or phone a range of regional and national stakeholders not based in Washington or Geneva. See Annex 4 for the full list of interviewees.

## Analysis

**c) Scrutiny of Track 1 results drawing on a Contribution Analysis approach** – Under this process the team established a set of results pathway ‘stories’ of how Track 1 contributed to results or changes and populated these with credible evidence e.g. existence of a regional declaration or statement of future priorities for HFA to show regional co-operation on DRR. The evidence supporting preliminary findings and conclusions was assembled to against these Track 1 results / change ‘stories’, and was then scrutinised by the evaluation team through two rounds of synthesis and triangulation. Obvious evidence / knowledge gaps were the focus of additional data collection to establish a stronger evidence-base and clarify the results / change pathway. The method proved to be a useful approach for component A because as well as verifying that a particular result/‘story’ has been delivered, the approach also enabled consideration of other factors that may have contributed to that result and so that the relative contribution is recognised.

**d) Analysis of co-operation using a partnership framework** -The evaluation team adapted a partnership framework to be relevant for the analysis of the GFDRR-UNISDR co-operation

(attached in Inception report). It guided data gathering and analysis of the key components of an inter-organisational relationship in relation to the factors detailed below:

**i) Partnership set up**

- Synergy of organisations' objectives
- Clarity of partnership aims and anticipated outcomes
- Complementarity of each institutions resources, strengths and comparative advantages

**ii) Partnership implementation**

- Effectiveness of communication between partners at different levels
- Timeliness of inputs
- Effectiveness of harnessing resources within each organisation

**iii) Partnership relationship**

- Fulfilment of commitments
- Transparency
- Organisational buy-in
- Satisfaction with the partnership

**iv) Partnership approach**

- Added value of partnership approach
- Extent to which benefits outweighed costs of partnership approach

**v) Partnership results**

- Achievement of objectives (component A)
- Sustainability of strategic co-operation between UNISDR and GFDRR
- Additional results (positive and negative) of the partnership focusing on the promotion of regional and global co-operation around DRR

**e) Synthesis approach** - A synthesis and triangulation approach was employed to draw conclusions on the three components. The team took a two-step approach:

1. Assembling the rationale and supporting evidence detailing how co-operation between GFDRR and UNISDR catalysed Track 1 results in terms of regional partnerships and other partnership results.
2. Drawing out a set of lessons and implications for future working between GFDRR and UNISDR.

The synthesis process included an evaluation team workshop held in Itad offices in Hove, United Kingdom on 3<sup>rd</sup> and 4<sup>th</sup> April 2014.

## Challenges

The evaluation faced some small yet significant challenges:

The evaluation had three main challenges. Firstly, there was limited opportunity for direct regional and country-level data collection, especially on topics relating to leveraging, the multi-stakeholder environment, and linking the Track 1 program to changes in regions and countries. Secondly, it was not possible to arrange focus group discussions on relationships within and between UNISDR and GFDRR. Time constraints and staff travel prevented both GFDRR and UNISDR from being able to organise these groups. Thirdly, despite initial expectations in the inception phase that Track 1 reporting would make a significant contribution to identifying results, it was found that the data to identify outcome level results and for systematic analysis of results against evaluation question criteria was lacking. It is noted that there is a lag from project activities to desired outcomes from many project activities especially in lobbying and technical support. The outcome level status will be provided in the final report on 30 June 2014. To address these challenges the team expanded the range of stakeholders interviewed by Skype and documents reviewed for example annual and outcome reports, project documents, meeting minutes.

## Findings

### Component A – GFDRR Track 1 results

This section presents the findings on Component A addressing EQs 1-10 under the appropriate sub-headings from the ToR of relevance, efficiency, efficacy, monitoring and evaluation (M&E), governance and management and DGF-specific questions.

#### Relevance

**EQ1. How relevant has the UNISDR been to the GFDRR Program? To what extent have UNISDR’s objectives contributed to those of the GFDRR?**

UNISDR and GFDRR are relevant to the HFA and ISDR system. Their roles are complementary and they have mutually beneficial comparative advantages. UNISDR has contributed to improving the enabling environment and sought commitments for GFDRR to support countries to mainstream DRR. The knowledge, expertise, political capital and networks of both UNISDR and GFDRR, and especially their parent organisations - the UN family and World Bank as well as regional groups - are mutually beneficial.).

UNISDR and GFDRR work towards the implementation of the Hyogo Framework for Action. Stakeholders from UNISDR, GFDRR, World Bank and the Donor community were clear that the objectives of both organisations are mutually relevant and complementary. Stakeholders see UNISDR key role as mobilising leaders behind the HFA and increasing demand for DRR investments. This increased demand facilitates the GFDRR program. A number of UNISDR and GFDRR stakeholders stated that UNISDR contribution is creating ‘an enabling environment’ or ‘opening the door’ for GFDRR/World Bank to facilitate investments in mainstreaming DRR into development. This involves engaging with decision-makers, facilitating commitments and declarations, promoting multi-stakeholder platforms and facilitating agenda settings and agreements such as with ASEAN and the ADDMER agreement and in the Pacific (this is discussed further in the evaluation question on page 31).

Analysis of the GFDRR and UNISDR objects, presented in the table below shows their complementarity.

**Box 1: GFDRR and UNISDR objectives**

GFDRR	UNISDR
<p>GFDRR provides the financial and technical support platform for three levels of action:</p> <ol style="list-style-type: none"> <li>1. Track I <b>‘Support to the ISDR system through the ISDR secretariat’</b> (Global and Regional Partnerships),</li> <li>2. Track II <b>‘Support to countries for mainstreaming disaster reduction in development’</b> (Disaster Risk Reduction Mainstreaming Program); and</li> <li>3. Track III <b>‘Standby Recovery Financing Facility’</b> to undertake quick post-disaster recovery and reconstruction.</li> </ol> <p>In addition to the three Tracks, GFDRR has a number of Special Initiatives and Service Lines covering</p>	<p>UNISDR’s Mission is to mobilize leaders behind the HFA, to produce evidence for disaster risk reduction, and to ensure that communities can reduce the risks associated with disasters and climate change. UNISDR’s Strategic Framework 2015 outlines four objectives:</p> <ol style="list-style-type: none"> <li>1. <b>Lead and Coordinate:</b> Strengthen support to the implementation and coordination of the ISDR and the HFA and improve coherence with climate change adaptation and the Millennium Development Goals.</li> <li>2. <b>Credible Evidence:</b> Produce and disseminate credible evidence to strengthen decision making at local, national and regional levels in support of disaster risk reduction, climate change adaptation and achievement of the</li> </ol>

<p>global and regional activities including for example</p> <ul style="list-style-type: none"> <li>○ Disaster Risk Financing and Insurance; GFDRR Labs;</li> <li>○ GFDRR Hydromet;</li> <li>○ ACP-EU Natural Disaster Risk Reduction Program.</li> </ul>	<p>MDGs.</p> <p>3. <b>Advocacy and Outreach:</b> Increase public and private sector investments in disaster risk reduction and climate change adaptation through advocacy and outreach.</p> <p>4. <b>Deliver and Communicate Results:</b> Build an effective, results-orientated UNISDR to execute its mandate.</p>
<p>Source: GFDRR/UNISDR report – Strengthening regional and Global partnerships for DRR: A Five Year Retrospective: 2007- 2011</p>	

Interviews with stakeholders across both organisations found a consistent view of the comparative advantages of each organisation. These respective comparative advantages are summarised in Box 2 below.

**Box 2: Summary of stakeholder view of the comparative advantage of UNISDR and GFDRR**

GFDRR	UNISDR
<p>Has a national presence in 31 priority countries and operational focus.</p> <p>Understanding and access to the infrastructure of the World Bank.</p> <p>GFDRR can use seed funds to leverage World Bank funding e.g. through grants to Bank teams to help prepare bank operations example risk assessments.</p> <p>Focal point to mainstream DRM in World Bank.</p> <p>Has direct access to ministries of finance and planning.</p> <p>Has access to sectorial technical expertise particularly risk financing hosted by the World Bank.</p> <p>GFDRR provides an intellectual contribution to bank/government.</p> <p>Has resources to undertake research and produce data.</p>	<p>Has a global remit as the custodian of the HFA.</p> <p>UNISDR can give a seal of approval that something fits within HFA.</p> <p>Convening power to bring in broad range of stakeholders through the Regional and the Global Platform for Disaster Risk Reduction.</p> <p>Can dialogue and has access to the political arena as well as sectorial agencies.</p> <p>Has experience working with counterparts at national level-HFA focal points (often in civil protections departments or Ministries of Environment).</p> <p>Has an advocacy focus setting the enabling environment.</p> <p>Independent facilitator of dialogue on DRR.</p> <p>Designated focal point in the United Nations system for the coordination of disaster reduction.</p> <p>Lead and production of the Global Assessment Report</p> <p>Collator and disseminator of data (PreventionWeb, GAR).</p>
<p>Source: Semi-structured interviews with UNISDR and GFDRR Secretariat key stakeholders</p>	

Both UNISDR and GFDRR are charged with mainstreaming DRR into their parent organisations. To improve UN coherence in delivery disaster risk management and support UN Resident Coordinators, UNISDR engaged UN internal coordination bodies such as the

Executive Committee for Economic and Social Affairs, the Inter-Agency Standing Committee and the Chiefs Executive Board (CEB) and its subsidiary bodies ((High Level Committee for Programs (HLCP) and the UN Development Group (UNDG)) – which led to the adoption in 2013 of the first UN Plan on Disaster Risk Reduction for Resilience. Plans and stakeholders highlight that mainstreaming of DRR into the wider UN system is important in releasing the expertise and political capital necessary to advance on the DRR agenda.

The extent of the contribution to GFDRR's programme is dealt with in more detail in the efficacy sections of this report. However, most stakeholders interviewed recognised the challenges of the UN system working together especially at national level. Similarly, stakeholders noted that it is not yet clear how or if UNISDR, GFDRR and the World Bank regional team should have additional understanding of how to work together at national level. Some stakeholders, particularly from GFDRR or World Bank highlighted the lack of clarity regarding UNISDR connections and role at national level as well as in relation to other UN agencies. They considered this to be limiting contributions to shared objectives. It is noted that the UNISDR does not have country offices. It does play a role as a non-resident UN agency providing technical advice and advocacy to national governments and works in support of UN Resident Coordinators at their request..

***EQ2. To what extent have the global and regional partnerships supported through Track I helped to address global and regional DRR challenges?***

Track 1 activities have addressed global and regional challenges. Global and regional partnerships especially the global and regional platforms are not only relevant to addressing global and regional priorities and challenges but are also mechanisms to establish these challenges and priorities. These partnerships along with campaign alliances, supported by DGF, help to establish a framework and political understanding and commitment to address and/or establish DRR challenges. These partnerships and alliances are part of a wider process that also contributes to addressing DRR challenges. The wider process includes partnerships discussing the post 2015 millennium development goals and climate change initiatives.

DGF invested in a number of UNISDR led-initiatives relating to global and regional partnerships that contribute to addressing global and regional challenges and establishing priorities. Foremost is the provision of technical advice and support to establishing and/or supporting global and regional platforms. These platforms discuss and set global and regional challenges and priorities that are articulated in the chair summaries from the Global Platform and declarations from Regional Platforms. The platforms in all regions have been established for regular DRR dialogue. Staff of international organisations and national governments interviewed stated that the chair summaries are catalysing (national) priorities and agreements reached in regional platforms. The increasing numbers of participants and the increasing seniority as well as range of their participants illustrates the growing significance of the Global Platform (see Box 3).

**Box 3: Global platforms for disaster risk reduction**

**The Global platform for disaster risk reduction**, held in Geneva, was established by the General Assembly in 2006, its first session was held in 2007. The platform meets every two years and is a multi-stakeholder gathering on reducing disaster risk and building the resilience of communities and nations.

The **2007** global platform included **1,150 participants** from **124 member states** and 105 organisations

The **2009** global platform included **1,688 participants** from **152 governments** and 137 organisations

The **2011** global platform included **over 2,600 participants** from **163 governments** and 25 inter-governmental organisations, 65 NGO, parliamentarians, private sector, local government, academic institutions, civil society and international organisations. The 2011 platform included the first world reconstruction conference hosted by the World Bank.

The **2013** Global platform included **3,500 participants** from **172 countries** with representation from national and local governments, inter-governmental organizations, Red Cross and Red Crescent, nongovernment organizations, mayors and parliamentarians, representatives of local communities, indigenous peoples, children and youth, persons with disabilities, and leaders from business, academia and science. The session built **on regional platforms for disaster risk reduction** convened in Africa, the Americas, Asia-Pacific, Arab States and Europe as well as many consultative and preparatory meetings convened by civil society, national and local governments and Red Cross and Red Crescent national societies.

A 2013 resolution adopted by the United Nations General Assembly allows regional platforms and ministerial meetings on DRR, to play a role in preparations for the in the 2015 third world conference on DRR<sup>6</sup>. Regional DRR platforms form a critical contribution to the consultations for the post-2015 DRR framework. These platforms have evolved to enable multi-stakeholder involvement including civil society and the emerging inclusion of the private sector. Platforms differ in maturity and content. For the most part the next platform meeting will discuss regional contributions and preparations for the 2015 World conference on Disaster risk reduction.

Analysis of the Track 1 activities against the HFA and global and regional priorities shows that all activities are relevant to at least one priority. The evaluation reviewed the main activities supported through Track 1 against DRR priorities. Priorities were taken to include:

- HFA Declaration stated priorities (2005);
- Priorities established in the 2010 mid-term review of HFA;
- The global conference declarations;
- Global conference Chair's statements; and,
- Regional platform declarations.

Box 4 summaries priorities and matches them with activities supported by Track 1. No group interviewed<sup>7</sup> stated that activities supported by Track 1 were non-relevant.

<sup>6</sup> For more information see <http://www.unisdr.org/files/resolutions/ARES68211E.pdf>

<sup>7</sup> GFDRR Washington staff, UNISDR Geneva staff and regional coordinators, World Bank focal points for DRR and regional coordinators, Key Donors on the Consultative Group, 2 sample countries and regional intergovernmental organizations



**Box 4 Relevance to the HFA and global and regional priorities**

<i>GP (YR) – Global platform (year)</i> <i>GAR (YR) – Global Assessment Report (year)</i>		
HFA Priority	Global and regional challenges 2010-2013 as stated in the HFA mid-term review and chair summaries of the Global platform	DGF supported partnerships and alliances
HFA priority 1. Ensure DRR a national and local priority with a strong institutional base for implementation.	<p><i>Financing DRR (GP09)</i></p> <p>Mainstreaming of DRR national budgets and financing (GP11)</p> <p>Targeting root causes of risk (GP13)</p>	<p>Technical advisory services to regional platforms and intergovernmental organisations.</p> <p>PreventionWeb</p> <p>HFA monitoring</p> <p>Advocacy campaigns, champions and groups</p> <p>Advisory and research services for national platforms</p>
HFA priority 2 Identify, assess and monitor disaster risks and enhance early warning	<p><i>There is a lack of systematic multi-hazards risk assessments and early warning systems factoring in social and economic vulnerabilities (HFA-mid-term);</i></p> <p>Assessing risk is a priority (GP13)</p>	<p>Probabilistic risk assessments (based on CAPRA)</p> <p>Risk assessments tools and methodologies (GFDRR labs)</p> <p>Providing evidence and research to the GAR</p> <p>PreventionWeb</p> <p>Disaster Loss Databases</p>
HFA priority 3 Use knowledge, innovation and education to build a culture of safety and resilience at all levels.	<p><i>Still insufficient level of implementation of the Hyogo Framework for Action at the local level (HFA-mid-term);</i></p> <p>Engaging communities reduced risk (GP13)</p> <p>Recognising private sector as actor and partner (GP13)</p> <p>Strengthen integrated risk governance (especially communities and local government) (GP13)</p> <p>Strengthening scientific and technical support (GP13)</p>	<p>Global assessment reports</p> <p>PreventionWeb</p> <p>Safe school campaign</p> <p>Making Cities Resilient campaign</p> <p>Building advocacy groups</p> <ul style="list-style-type: none"> <li>• Parliamentarian</li> <li>• Youth</li> <li>• Media</li> <li>• Mayors</li> <li>• Private sector</li> </ul>
HFA priority 4 Reduce underlying risk factors	<p><i>Integration of disaster risk reduction into sustainable development policies and planning at national and international level (HFA-mid-term);</i></p> <p><i>Reduced risk for all (GAR09)</i></p> <p><i>Setting Targets for DRR – campaigns such as MRC and safe schools and hospitals (GP09 and GP11)</i></p> <p>Importance of local authorities (GP11)</p> <p>Targeting root causes of risk (GP13)</p> <p>Connecting mutually reinforcing agendas</p>	<p>Probabilistic risk assessments (based on CAPRA)</p> <p>Setting priorities in global and regional platforms</p> <p>“how to” studies in mainstreaming DRR e.g. in MRC campaign</p> <p>Parliamentarian advocacy groups</p> <p>Research and advocacy relations to GAR</p> <p>South Eastern Europe disaster</p>

	(GAR13) <i>Climate change (GP09)</i>	risk mitigation and adaption programme (SEEDRMAP)
HFA priority 5 Strengthen disaster preparedness for effective response at all level		Disaster Loss Databases
Sources: Global assessment reports 2011 and 2013 as well as summaries and reports of the 2009, 2011 and 2013 Global Platforms; The HFA (2005); and HFA mid-term report (2010).		

Building the evidence base for action on DRR and bringing together a broad body of knowledge including strengthening scientific and technical support is priority for DRR. DGF Track 1 has provided support for the UNISDR Global Assessment Report (GAR). The World Bank, facilitated by the GFDRR, has contributed key papers to the publication, focusing amongst other issues on risk financing, and the economics of DRR. GAR is not only a publication but also an on-going process of intellectual evidence gathering, analysis and leadership on key priorities and challenges involving a wide network of independent scientific institutions, think tanks, UN agencies, governments, non-governmental organisations and businesses. The UNISDR-GFDRR networks contain some of the intellectual capital for this GAR process and DGF contributes some funding to the process.

Addressing risk in an urban environment, especially with school and hospitals, is a global priority. DGF supports global and regional advocacy through the Making Cities Resilient Campaign (MCR campaign) initiative. This includes safe schools and hospitals as well as supporting champions and parliamentarian’s advocacy initiatives. Some 90% of DGF funding was invested in regional activities<sup>8</sup>. These regional activities include contributions to regional level activities to global initiatives such as MCR campaign, parliamentarians and safe schools and hospitals. Other alliances and partnerships supported in part by the DGF include advocacy initiatives with parliamentarians, youth and mayors including within the making cities resilient campaign.

**Efficiency:**

***EQ3. To what extent have the UNISDR and the GFDRR managed the DGF grant resources efficiently and transparently?***

UNISDR and GFDRR allocated most resources at the regional level, planned by the UNISDR and World Bank regional coordinators/focal points. Only a few minor delays were reported and the funds were allocated and spent consistently and efficiently with little programmatic change. Regular reporting by UNISDR to GFDRR as well as on on going communication ensured transparency regarding the allocation of resources. UNISDR is on the CG of the GFDRR increasing transparency for UNISDR of the GFDRR Program. The total contractual grant value was \$15,257,000 for 84 projects that contribute to the wider UNISDR objectives.

DGF funded activities are planned within broader UNISDR and GFDRR objectives. The activities, comprises of 84 projects and were not managed as a stand-alone coherent program. The activities are structured under four areas of the program results framework of the grant agreements, as described in Box 5. Activities are presented under these headings in annual planning processes (except FY10) and reports.

<sup>8</sup> From consultative group reports 2010 to 2013

**Box 5: Track 1 grant agreements and program results framework**

Year	Contract value	Projects	Program results framework
2010	\$4,757,000	24	<ol style="list-style-type: none"> <li>Enhanced regional co-operation and knowledge management for mainstreaming DRR</li> <li>Standardized and harmonised DRR tools and methodologies.</li> <li>Improved coordination, coherence of actions (and communication) among ISDR system partners to support Hyogo Framework for Action implementation (and communication added in FY12)</li> <li>Upstream analytical work and evidence based country policy dialogues (Objective added in FY12)</li> </ol>
2011	\$4,250,000	20	
2012	\$4,250,000	20	
2013	\$2,000,000	20	
<b>Total</b>	<b>\$15,257,000</b>	<b>84</b>	
Sources: Grant agreements for FY10, FY11, FY12 and FY13			

Between 2010 and 2013 a total of US\$15,257,000 was allocated to 84 projects globally. Spending for 2010, 2011 and 2012 was on target. The spending rate for 2013 is consistent with targets. A sampling of expenditure rates of individual projects indicates no systematic under or overspend. There was little evidence of significant funding reallocation to different projects during the course of the year (see annex 8 for more details on expenditures).

Stakeholders reported some delays in project planning and thus allocation of resources. In part this was due to staff changes and delays in getting legal agreements. All regions needed to complete and agree on plans before the grant was completed. However, delays were relatively short, not more than 3 months and also improved as the partnership matured. For example, the 2013 plan was agreed and approved grant agreement signed by November 2012.

90% of funding was allocated to regions. The World Bank and UNISDR Regional Coordinators then undertook a process of joint work planning. UNISDR staff interviewed emphasised that DGF funding carried additional benefits and advantages over earmarked funding, as it was relatively flexible and predictable. Most regions and regional intergovernmental organisations interviewed also agreed that the funds were used as a predictable and flexible source of income. The funding was not considered as constrained by strict project specific earmarking.

The predictability of funding is demonstrated by the consistent allocation to each region and

Box 6: Allocation of DGF financing	2010	2011	2012	2013
Global activities	10%	10%	10%	10%
Africa	20%	20%	20%	20%
East Asia and Pacific	14%	14%	14%	14%
South Asia	14%	14%	14%	14%
Latin America and Caribbean	14%	14%	14%	14%
Europe and central Asia	14%	14%	14%	14%
Middle East and North Africa	14%	14%	14%	14%
Sources – Consultative group reports from FY 2010-2013				

global programs. Annually, UNISDR allocated the financing to each Regional Office and the global programs. 85-90% of funds went to the Regional Offices. The allocation remained constant over the 2010 to 2013 period. UNISDR stakeholders highlighted that this predictability allowed them to plan for multi-year projects or themes. The clarity of this allocation was known and

appreciated by some but not experienced by all intergovernmental organisations. See annex 8 for a detailed breakdown of GFDRR Track 1 allocated funds and actual expenditure by region/global and year.

Stakeholders confirmed that regionally-based planning enabled Track 1 inputs and expenditure to be tailored to the particular needs in that region both in terms of being able to respond to the different levels of capacity in the Regional Economic Communities (RECs) and the different awareness levels and resourcing opportunities across the regions.

Reports to the CG indicate that operational expenses were mainly spent to provide technical assistance services and advisory services to regional organisations. UNISDR financial reports indicate that project support costs were charged at 10% of the grant value. Half of all expenditure was for consultancy services, technical assistance and UNISDR staff salaries and travel. Workshops accounted for almost one quarter of all expenditure.

**Box 7: How the money was spent**

	%
Consulting services and technical assistance	27%
Workshops	23%
Grants	19%
Staff salaries and travel	16%
Disseminations/publications	3%
Operational expenses	2%
Project support costs	10%
Source: UNISDR Financial reports FY10, FY11, Fy12	100%

DGF funding had a limited timeframe. This allowed for a planned exit strategy. While the end date for the grant was clear in grant agreements, the extent of the reduction of the grant in the final year's grant (by 50%) was reported by some UNISDR to be unknown until late 2012.

***EQ 4. Were the operational modalities for programme work planning, monitoring and reporting efficient in ensuring effective coordination between the UNISDR and the GFDRR during the annual cycle of DGF-financed activities?***

The joint UNISDR and GFDRR regional work planning process was effective in ensuring basic coordination for Track 1. Where the process built on an analysis of the value added of the relationship and was accompanied by a willingness to invest time in building and maintaining the relationship then coordination and co-operation was more effective. The process did not lead automatically to more strategic co-operation between UNISDR and GFDRR but focused on Track 1 project activities. While the grant agreements clearly articulate programmatic aims of the grants, almost all persons interviewed from UNISDR and GFDRR understood that one key aim of DGF funding was to support the development of the cooperation between UNISDR and GFDRR. Indeed, most stakeholders highlighted that that the means (the partnership) was just as important as the ends (results achieved by Track I). The DGF grant did not demand monitoring and reporting of the effectiveness of coordination or the state of the relationship.

The Track 1 grant agreements require both UNISDR and GFDRR/World Bank to plan and agree project activities together. This is in line with DGF goals to ***galvanize partners to agree on priorities and measurable goals.***

At regional level most regional stakeholders reported that the joint planning process was time consuming. In some regions, e.g. the Middle East and North Africa (MENA), the process evolved into a less arduous process with UNISDR taking an increasing lead in drawing up a draft proposal and plan for discussion with GFDRR rather than a detailed joint planning process. Interviewees pointed to this as a sign of the maturing relationship and trust between the organisations. However, in all regions and in some technical areas the necessity of the annual planning process ensured some sustained communication and coordination between the two organisations even at times when the relationship between the two was under-going difficulties.

Joint planning allowed both UNISDR and GFDRR to agree on activities to be supported through Track 1 funding. In some regions, such as Latin America and the Caribbean (LAC), the UNISDR and GFDRR Regional Coordinators reported investing more time in relationship building that resulted in higher levels of coordination, including synchronising diaries, joint country visits, missions and analysis as well as joint ventures and projects. Stakeholders reported that this resulted in more coherent and focused programming based on agreed priorities. The predictability of funding enabled Track 1 activities to have a consistent focus over the funding period. For example, in some regions, such as Europe, planning was designed to support multi-year initiatives such as SEEDRMAP. In Asia the Secretariat of the Association of Southeast Asian Nations (ASEAN), UNISDR and World Bank signed a five-year tri-partite memorandum of co-operation that included agreeing on annual work planning. In South Asia, with SAARC the South Asia Disaster Knowledge Network (SADKN) was supported. In MENA and Africa, Track 1 support, on the whole, followed consistent themes over the past three years for example in DGF Track 1 funding supported a) Strengthening of regional partnership with a focus on support to the League of Arab States, b) National capacity building with a focus on high risk countries which are part of GFDR and in particular look for the cross-country activities and c) urban risk reduction.

The reporting system under the terms of the grant required an annual report and interim reports. At one point an information portal was established jointly by UNISDR and GFDRR but disbanded in 2011. This was not available to the evaluators. All stakeholders reported that monitoring and reporting was a constant challenge. No evidence was found of the annual reports being used to improve coordination between UNISDR and GFDRR.

In 2011, UNISDR and GFDRR did work together to establish a more sophisticated results framework to support Track 1 M&E (see annex 7). This results framework was drafted and tested but not endorsed by the CG. At this time, UNISDR and GFDRR invested in developing their own organisational results and information management systems at this time. Both organisations now have new systems that would be better aligned and efficient in improving coordination between the organisations (further details in Evaluation section, EQ 7 on M&E).

The challenges to coordination that some stakeholders reported were sometimes due to practical considerations such as time-differences, staff turnover, vacant posts or having definitions of regions that do not do not fully overlap. Other challenges were linked to the parameters of Track 1 that restricted dialogue on co-operation in some regions to Track 1 only. During the planning process in some regions GFDRR reported efforts to ensure these activities were complementary to Track 2 and 3 plans but this was not usually part of the UNISDR-GFDRR dialogue. The Track 1 planning process focuses on global and regional issues and did not automatically consider coordination on actions outside Track 1 or on a strategic level between the organisations.

A number of factors influenced the extent to which the planning process was effective in enabling coordination. Stakeholders involved in the regional planning report suggested that the following were key:

- The willingness of the Regional Coordinators to invest the time and effort in building and maintaining relationships. Interviewees stated that this depended on the clarity of the value added of the relationships and time demands;
- All stakeholders stated that personalities played a key role in the success or otherwise of relationships; and,
- The existence or not, of direct and on-going counterparts. Staff turnover limited this in some regions.

Planning for future co-operation at the global level started following the CG request for a paper on future co-operation options. Before this there was no formal meeting at senior level outside of the CG to discuss progress and results of Track 1 and the overall partnership.

***EQ 5. To what extent have UNISDR-implemented activities helped to leverage (or influence) DRR programming and funding at country level, and how effective have these linkages been?***

UNISDR implemented activities have helped to leverage DRR programming and funding at country level. Anecdotal evidence supports the view put forward that regional events, peer pressure, technical support and engagement of a broad range of stakeholders within a country is building a stronger base for DRR programming and resulting in some countries in increasing resourcing for DRR. UNISDR's HFA monitoring encourages government every two years to reflect on mainstreaming of DRR into their planning. To comment on the extent and effectiveness of these linkages needs much greater country-level work to gather more data to establish robust findings and conclusions.

Activities under Track 1 are principally at global and regional level. UNISDR does not have country offices. The decision-making structures at national level are complex, making attribution of change difficult, particularly attribution of national results to events taking place mainly at regional level. UNISDR has struggled to provide evidence of a systematic link between global and regional activities with national budgets and results but their information systems have been adapted in recent years to track and report these results more systematically. This includes the HFA monitor, which encourages government to reflect on the mainstreaming of DRR in their planning.

The lack of country visits as part of the evaluation meant the evaluation team had very limited access to country-level data to explore this question. However, there is a significant body of anecdotal evidence that national governments are inspired and persuaded in part by UNISDR advocacy work to invest in DRR and budgets. This relates to high level visits, positive peer pressure in regional and global platforms, forums and ministerial declarations as well as evidence creation, for example, through the GAR.

The evaluation heard a body of anecdotal evidence of national actions following high level visits e.g. from the United Nations Special Representative of the Secretary General for Disaster Risk Reductions or investments following Regional Platforms, especially by host countries. Another, means of influence is through peer pressure, exposure to ideas, and commitments made in regional and international platforms and declarations. The HFA monitoring process and reviews of it were referred to by the League of Arab States interviewees as one of the key catalysts to some MENA governments increasing prioritisation of DRR. The increasing level of seniority of government representatives (see annex 9) attending the global and regional events suggests a growing national commitment to invest in DRR.

HFA monitoring aims to track national commitment to DRR through its Priority 1 indicators. HFA Priority 1 is to make DRR a policy priority with institutional strengthening. Two of the Priority 1 indicators that countries report against are particularly relevant for judging trends in national commitment to DRR. These are:

- **Core indicator 1.1-** National policy framework exists with decentralised responsibilities at all levels
- **Core indicator 1.2 -** Dedicated and adequate resources are available to implement disaster risk reduction plans and activities at all administrative levels are indicative of improvements of national commitment to DRR.

Both indicators show an increasing number of countries reporting against these indicators over the years with increasing numbers in each reporting period identifying themselves in the top 2 levels i.e. with substantial achievement in these areas.

Some Track 1 funded activities set a foundation for future proposals and funding. For example, DGF funding supported the Central American Probabilistic Risk Assessment (CAPRA). CAPRA is an online open source GIS-based tool. It provides probabilistic information for decision-making. GFDRR is supporting a number of countries in Central America to develop this tool further for decision-making. The assessment can form part of the decision making process for funding allocations. In the same manner, GFDRR contributions allowed to further the development of the design and implementation of risk governance instruments such as the Central American Policy for Integrated Risk Management and the process of the Caribbean Disaster Management Strategy led by the Caribbean Disaster Emergency Management Agency.

Similarly, the SEEDRMAP results assessment in December 2010, highlighted contributions made to the creation of the South Eastern European and Caucasus Catastrophe Risk Insurance Facility (SEEC CRIF). This facility, aims at building effective private-public partnerships in SEE and Caucasus for homeowner's access to insurance and re-insurance products for disaster risk transfer. The assessment also noted that SEEDRAMAP was successful in mobilizing resources in DRR at the regional level. The assessment reported that the European Commission (EC) confirmed its support to DRR in SEE countries building on SEEDRMAP areas of operation (especially the hydro meteorological and insurance component) and with UNISDR promoted coordinated actions to mobilize over two millions Euro in 2011 with vision to upscale the amount to 2015.

Some DGF activities provide technical assistance to regional organisations in forming strategies and action plans. Some of these funds also help the regional organisations assist national governments with analysis, planning and budgeting national DRR mainstreaming priorities. This is likely to inform national budget allocations. The evaluation was not able to verify or research this level of influence at national level.

#### **Efficacy:**

#### ***EQ 6. To what extent have DGF-funded activities under Track I achieved their stated objectives?***

The DGF funded activities contributed to improving and supporting the architecture for regional and global platforms, knowledge management and agenda setting. Other financial contributors include regional inter government organisations (example ASEAN, SOPEC, ECOWAS), UN agencies and international organisations. The funded activities helped to broaden the range of stakeholders involved in dialogues, including making the case to engage the private sector. DGF-funded activities have been successful in engaging more senior high-level attendance and participation in global and regional platforms and dialogue. They have also contributed to UNISDR's role in building inter-regional dialogues as well as linking global and regional dialogues. In addition DGF-funded activities initiated tools and methodologies such as risk assessment and modelling to inform decisions on DRR investments. The relationship between UNISDR and GFDRR catalysed under Track 1 is well placed to further development of DRR/CCA governance structures beyond humanitarian stakeholders to multi-sector and multi-stakeholder forums.

Track 1 objectives as stated in the annual grant agreements are to:

1. Enhance global and regional advocacy, strategic partnerships, and knowledge management for mainstreaming disaster risk reduction (DRR); and,



2. Promote the standardization and harmonization of hazard risk management tools, methodologies, and practices.

The outcomes consistently detailed in the grant agreements are:

- a) Enhanced regional co-operation and knowledge management for mainstreaming DRR;
- b) Standardized and harmonised DRR tools and methodologies;
- c) Improved coordination, coherence of actions (and communication) among ISDR system partners to support Hyogo Framework for Action implementation (and communication added in FY12); and,
- d) Upstream analytical work and evidence based country policy dialogues (Objective added in FY12).

As described earlier, the Track 1 funds were allocated through 84 projects across and within the wider UNISDR strategy and not intended as a coherent, stand-alone programme. Track 1 has contributed to results and achievements that are the result of complex change processes with multiple inputs. The Box below summarises some of the main achievements identified by the evaluation team. The text below and case studies in boxes later in the report considers these in relation to Track 1 aims and outcomes, considering how Track 1 and the partnership has contributed to these (fuller data on case studies in Annex 10).

Box 8 shows some achievements to which Track 1 funding and activities have directly contributed.

**Box 8: Highlights of Track 1 contributions (2010 to 2013)**

The results reported below were achieved in part through contributions of Track1 funded activities.

- A consultation process for the 2015 world conference and post-HFA framework using global and regional platforms recognised by the general assembly.
- The 1st Arab Conference on Disaster Risk Reduction.
- Campaigned successfully for more than 1640 mayors to commit to the Making Cities Resilient (MCR) campaign. Including commitments from 189,000 institutions in the 1 million safe schools and hospitals campaign.
- Technical assistance, advocacy and global linkage for governments to make commitments in regional platforms. For example the 2010 Incheon declaration on disaster risk reduction in Asia and the Pacific - a commitment for action, made by the Heads of Governments, the Ministers, and the Heads of Delegations of the countries. This declaration directly references the 2009 global platform.
- Development of CAPRA (Central American Probabilistic risk Assessment) tools with government and sub-regional actors in Latin America that by 2013 was used by seven Latin American countries.
- Development of South Eastern Europe Disaster Risk Mitigation and Adaptation Programme (SEEDRMAP) aimed at helping the countries of SEE reduce their vulnerability to natural hazards and adapt to climate change.
- Technical assistance to support the development and implementation of the work programme of the 2009 ASEAN Agreement on Disaster Management and Emergency Response (AADMER - 1st legally binding DRR agreement of its kind)
- Establishing agreements between UNISDR and SAARC as well as between SAARC and the national institutes of disaster management in both India and Pakistan.
- Development of a school and hospital safety assessment tool kit for SAARC region
- Provided technical support and assistance along with key donors to implement the Strategy for Climate and Disaster Resilient Development in the Pacific (1st of its kind integrating CCA and DRR)
- Established a system of global DRR champion (President of Indonesia, Susilo Bambang Yudhoyono) as well as regional (senator and parliamentarians) and city champions (Making Cities Resilient campaign)
- Established the Africa Working Group as a multi-stakeholder forum for dialogue on DRR



- Provided support for the implementation of the Central American Policy on Integral Risk Management (PCGIR) adopted by the Presidents of Central America in 2010.

DGF Track 1 funds have contributed to helping UNISDR establish the architecture for global and regional platforms. The General Assembly recognised the use of this architecture in preparation of the 2015 world conference and post-2015 framework on DRR. UNISDR role and mandate as a convener and focal point in the UN for DRR was critical to this recognition. This was undertaken alongside support from intergovernmental regional bodies, national governments, international organisations and other donors. Box 9 summarises some of the key components of that architecture i.e. the regional platforms.

**Box 9: Regional platforms, their extent as well as last and next meeting**

**Forthcoming Regional Platforms**

*Africa: 13-16 May, Abuja, Nigeria*

*Americas: 27-29 May, Guayaquil, Ecuador*

*Pacific: 2-4 June, Suva, Fiji*

*Arab States: 14-16 September, Sharm El Sheikh, Egypt*

*Asia-Pacific: 22-26, June Bangkok, Thailand*

*Europe: 8 July Milan, Italy (Ministerial Session) and 6-9 October Madrid, Spain (European Forum for Disaster Risk Reduction)*

*The 5<sup>th</sup> Africa Regional Platform for Disaster Risk Reduction will be held in May 2014, with 900 participants from 44 countries. The forth-regional multi-stakeholder platform was held in February 2013 with 250 participants from 45 countries<sup>9</sup>.*

*The fourth Session of the Americas Regional Platform for Disaster Risk Reduction will be held in May 2014 and is expected to include more than 400 representatives from 35 countries. The third regional multi-stakeholder platform was held in November 2012<sup>10</sup>.*

*The 2<sup>nd</sup> Arab Conference on DRR will take place in Sharm El Sheikh in Egypt from 14-16 September 2014. The 2<sup>nd</sup> Arab Conference will take stock of the 10 years of HFA implementation in the Arab Region and provide a platform to consolidate Arab position for post-2015 DRR framework as well as take note of member states and other stakeholders commitment to carry the DRR agenda forward with scaling-up action and progress achieved thus far. 1st Arab Conference on Disaster Risk Reduction was held in March 2013 with politicians, policy makers, planners, academia and development experts discussed issues and challenges facing the region with regard to DRR.*

*The 6<sup>th</sup> Asian Ministerial Conference on DRR (6AMCDRR) will take place in June 2014. The biennial conference, hosted in rotation, brings Ministers in charge of disaster risk management, governments, communities and other stakeholders from Asia and the Pacific region to reaffirm their commitment to the implementation of the HFA. The Asia Regional Platform consists of the Asia Ministerial Conference for Disaster Risk Reduction (AMC DRR) and the ISDR Asia Partnership (IAP) forum; the former being the political arm and the later as the operation arm of the regional platform. The AMC DRR are held every two years, hosted voluntarily by a government, and the IAP meetings are held twice a year. The last conference was held in Yogyakarta, Indonesia in 2012.*

*The 5<sup>th</sup> meeting of the European Forum for Disaster Risk Reduction is planned for October 2014. The fourth meeting of the forum was in September 2013. The forum facilitates discussion and advances on disaster risk reduction issues in a coordinated fashion at the regional level. It is intended to serve as the forum for exchanging information and knowledge, coordinating efforts throughout the Europe region and for providing advocacy for effective action to reduce disasters. In addition to the Regional Platform Meeting in October, the Europe Ministerial Meeting will take place on 8 July 2014 in Milan, Italy. The meeting, taking place within the context of an Informal Meeting of the Justice and Home Affairs Council, will allow for Ministers from EU Member States and those part of the European Forum for Disaster Risk Reduction (EFDRR) to exchange views towards the development of the post-2015 framework for disaster risk reduction.*

*The Ministerial Meeting outcomes will be the following: (1) conclusions from the European Ministerial Meeting on the post-2015 framework for disaster risk reduction; (2) inputs towards the preparation of the post-2015*

<sup>9</sup> More information available on <http://www.preventionweb.net/english/hyogo/regional/platform/afpr/2014/>

<sup>10</sup> More information available on <http://www.eird.org/pr14-eng/>

framework for disaster risk reduction; and (3) indication of voluntary commitments that are foreseen as a part of the overall outcome of the World Conference on Disaster Risk Reduction.

There was also a regional consultation in **Central Asia and South Caucasus**: 1-2 April, Al-Maty, Kazakhstan, focused on including public information and awareness of disaster risk and water cooperation

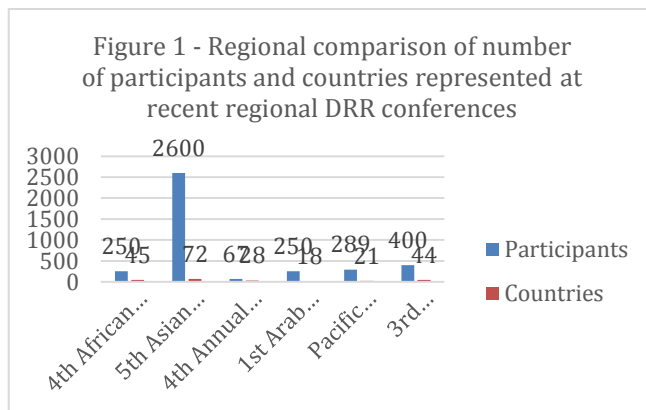
The **Fourth Session of the Regional Platform for Disaster Risk Reduction in the Americas (RP14)** is being co-organized by UNISDR's Regional Office for the Americas (UNISDR Americas) and by the Government of Ecuador through its Ministry of Foreign Affairs and Risk Management Secretariat. The expected outcomes of the Regional Platform are of particular importance in that they will serve to consolidate substantive and political contributions from the Americas coming from the previous Regional Platforms in the region in 2009 (Panama), 2011 (Mexico), 2012 (Chile) and 2014 (Ecuador) as key inputs towards the development of the HFA2. As such, the outcomes of the Regional Platform will be oriented towards:

Involving high-level political and executive authorities along with various actors to advance the DRR and the CCA agenda in the region; Generating an increase in the number and diversity of participants in this Regional Platform; Undertaking a joint assessment of the progress in Disaster Risk Reduction and Climate Change Adaptation for the period 2005-2015; Identifying and celebrating the achievements made through the Hyogo Framework for Action 2005-2015; Carrying out a substantive consultation with participants from various sectors on the new HFA2 framework.

The **2014 Pacific Platform for Disaster Risk Management** in Suva, Fiji from the 2nd - 4th June 2014. The Secretariat of the Pacific Community (SPC) and United Nations Office for Disaster Risk Reduction (UNISDR), are co-Convenors.

Sources: Chair and platform reports and summaries as well as UNISDR web site <http://www.unisdr.org/we/coordinate/regional-platforms>

Between 2010 and 2013 the number of national platforms recognised by UNISDR continued to increase from 81 in July 2012 to 88 in February 2014. National platforms represent one important step in involving a number of stakeholders in DRR. These serve an important purpose in 'opening the door' to a wider array of stakeholders.



The DGF funds contributed to broadening the range of stakeholders involved in DRR dialogues. Stakeholders interviewed consider the global and regional partnership program instrumental to involving a wider array of actors in important dialogues, outside that of just government. Analysis of the participation levels of different stakeholders in the key regional and global platforms show increasing

levels of involvement among key stakeholders though the pattern of participation varies across regions.

Civil society participation has increased in DRR dialogue addressing a critique of the original HFA process. An analysis of civil society (including NGO) participation in the last regional forums shows significant participation especially in Africa and the Pacific.

- Participation from the private sector is emerging most notably in the Pacific, and Africa.
- Academic and think tank participation is strongest in the Americas.
- Donors and Multi-lateral development banks formed a significant proportion of participants in the 2012 Americas platform.

The World Bank and UN have invested considerably in providing the 'business case' and economic justification for the inclusion of the private sector. In some regions, Africa and Pacific the number of private sector participants has increased. In other regions e.g. Europe and MENA strategies are being developed to engage them more in 2014-15 regional events in advance of the 3<sup>rd</sup> UN World Conference on DRR.

The DGF funds contributed to facilitating high-level dialogues in platforms and consultations, which contribute to building commitment at government level to invest in DRR. Participant lists show a significant increase in senior government officials participating in the regional events, often with prime minister and senior ministers attending, indicating growing commitment in governments to take part in these dialogues and also ensuring exposure of high level officials to DRR issues. This includes in Europe, which had a particularly large increase in senior government participant attendance rates in 2013. Interviewees noted that the DRR champions and the role of the Special Representative of the Secretary-General (SRSG) for Disaster Risk Reduction are important change actors. Key stakeholders in UNISDR, GFDRR and intergovernmental organisations and the small number of country offices interviews state that high level dialogue and participation is an important catalyst for governments to make investment decisions. Decisions include investing in a national platform, new policy or instrument. High-level dialogue that was noted as effective included direct meeting between high-level officials in global and regional events and platforms catalysing ideas, evidence and positive peer pressure. Interviewees cited examples including Croatia, Peru, Nepal and also RECs where these dialogues have helped build commitment to invest in DRR.

Track 1 activities have supported the continued evolution of DRR governance and structure beyond its humanitarian roots. DGF funded activities target multi-stakeholder and development centric actors, such as the private sector, mayors, and sectorial ministries. Stakeholders commented on the role that regional platform discussions have contributed to broadening the dialogue by bringing in new topics and stakeholders. However, different regions are at different levels of awareness and understanding of the governance implications on this paradigm shift. Almost all stakeholders interviewed note that the role of ministries of finance and planning are becoming more important to mainstream DRR at the national level.

The GFDRR/World Bank and UNISDR networks are complementary and serve to widen the participation in DRR dialogue (see box 11). By doing so a broader range of knowledge is brought into the dialogue, enriching it to provide evidence to set priorities and agendas. The partnership between GFDRR and UNISDR contributes to establishing, often without financial transfers, multi-stakeholder dialogue from both UNISDR and GFDRR networks. UNISDR has convening power for a broad range of actors such as governments, regional organisations, academe, NGO and civil society organisations. In addition, key networks are growing with parliamentarians and mayors. GFDRR through the World Bank has deep connections with global, regional and national organisations in finance, economics and planning. This is critical to mobilise national resources for DRR. In-kind expert knowledge is shared in the joint global publications as well as regional and global platforms. However, sharing with national government is critical to initiate change.

**Box 10: Key members of UNISDR and GFDRR networks**

Key members of UNISDR network	Key member of GFDRR/World bank network
Global and regional champions	Ministers of planning
Parliamentarian advocacy groups	Ministers of finance
Private sector advocacy groups	Regional finance groups
Media networks	World economic forum
MCR Mayors and Local Government Representatives	IFC and regional banks
Civil society organisations including NGOs	Focal point anchors in World Bank at country level
Academia (Science and Technology Advisory Group) and think-tanks	Private sector groups
HFA focal points at country level including civil defence as well as Deputy Minister and Director General levels	Academia and think-tanks
National platform convenors	
UN family representatives	

*Source: interviewee and key documents*

The respective networks of GFDRR and UNISDR provide a potentially strong basis to support robust national governance of DRR. National level governance of mainstreaming DRR requires greater involvement and leadership from a range of ministries including finance, planning and economics as well as cross-sector. World Bank, and thus GFDRR, has long standing relationships and access to the ministries of finance as well as technical expertise and financial instruments. The relationship between UN and World Bank is critical at country level. The building of knowledge and awareness of DRR and CCA issues in the Bank is critical to leverage this relationship. Using these relationships can contribute to strong DRR programmes as well as governance. Successful examples cited to the evaluation include the establishment of the Disaster Risk Reduction Consortium in Nepal.

DGF funding and the resulting partnerships contributed to standardised and harmonised ways (Aim 2 of Track 1) of working through organisations' joint participation on campaign steering committees and joint frameworks. This includes alignment of strategies and resources for the global safe school campaign and well as with making city resilient campaign. This harmonisation is not limited to GFDRR/World Bank and UNISDR but involves wider array actors.

DGF funding contributed to the development of key tools that provide the evidence and set priorities for investments in DRR. These include initial seed money to develop and trial tools and guides such as Central American Probabilistic risk Assessment tools, the Making Cities Resilient 10 essentials, School and hospital safety assessments in the SAARC region as well as mayors and urban planners guide.

**Box 11: Enhanced regional co-operation: The case of MENA**

*N.B. See annex 10 for case study notes and details*

**Situation at 2010**

In 2010 disaster risk reduction was a low priority in the region with there being no multi-stakeholder regional platform for dialogue on DRR and states attending global events with a predominantly country-based agenda. No regional strategy or joint framework on DRR existed.

**Indicators of regional co-operation and coordination**

By 2013, the Arab Strategy for DRR 2020 was developed and adopted at the level of Heads of States Summit with a regional framework plan of action elaborated and developed. An Interagency MENA DRR Network is regularly convened by UNISDR, 150-200 participants attended the 2013 Global Platform on DRR. Arab governments and cities had declared their commitment to DRR in the Aqaba Declaration and a regional statement of shared priorities for HFA2 was established as outcomes of the 1<sup>st</sup> Arab Conference on DRR. In addition, around 296 cities and municipalities signed up to the Making Cities Resilient Campaign and five multi-stakeholder national platforms were established with more seeking to be recognised.

#### **Track 1 contributions**

Track 1 contributed a total of US\$1.8 million to activities in the region from 2010-13. UNISDR provided technical expertise to support the Arab League to establish regional dialogue on DRR. GFDRR worked to demonstrate the cost of not investing in disaster risk reduction. UNISDR supported Djibouti and Yemen to develop loss databases.

#### **Other contributing factors**

External factors contributing to the results included financial and other inputs of other organisations such as the United Nations Economic and Social Commission for West Asia (UN-ESCWA) support for scaling up development of disaster loss databases, the United Nations Development Programme (UNDP) and Swiss Co-operation support to the 1<sup>st</sup> Arab Conference on DRR, UNDP support for countries such as the Lebanon and Syria DRR programmes and increasing global attention to drought as a DRR issue particularly prompted by the Horn of Africa and Sahel crises.

### **Box 12: Improved coordination: Africa**

*N.B. See annex 10 for case study notes and details*

#### **Situation at 2010**

In 2010 Africa had a strategy for disaster risk reduction adopted in 2004 but since then had been largely dormant. There was very limited capacity in the Africa Union Commission and Regional Economic Communities for DRR. Existing DRR dialogue was strongly rooted in the humanitarian context. Priority focus is in DRR planning and integration between DRR and CCA.

#### **Indicators of regional co-operation and coordination**

UNISDR worked with Africa Union Commission to establish the Africa Working Group as an effective multi-stakeholder form with a new ToR drawn up. It has met regularly to lead collaboration on DRR in Africa. Regular participants include AUC / NPCA, AfDB, 8 RECs, One Member State Expert per Region (8) to be designated by RECs, UNISDR, World Bank GFDRR, One Representative of Regional Specialized Entities (ACMAD), One Representative of the Civil Society and One Representative of Academia and Research Institutes (PERIPERIU). Three RECs have established their own DRR units (ECOWAS, SADC, ECCAS). Three sub-regional platforms organised with ECOWAS, SADC, ECCAS - included new partners such as ministries of planning, finance and environment. Five RECS (ECCAS, ECOWAS, IGAD, SADC and EAC) have established disaster risk reduction policies and/or strategies based on the priorities for action of the Hyogo Framework for Action and the Africa Regional Strategy for Disaster Risk Reduction.

At the 2nd African Ministerial Conference on DRR (14-16 April 2010 in Nairobi), African ministers adopted the Extended Programme of Action for the Implementation of the Africa Regional Strategy for Disaster Risk Reduction (2006-2015). The head of state summit in Addis on January 2011 also adopted the Regional Strategy and related resolution.

National platforms have been established in 29 countries and recognised by UNISDR. A significant consultation process has been running across Africa and is on track to finalise a statement on priorities for HFA2.

#### **Track 1 contributions**

Track 1 has enabled a financial contribution of US\$ 2,625,000. It has funded consultants to strengthen capacity of RECS and ACU to organise and facilitate regional DRR dialogue and support member countries on DRR. They have influenced agendas to begin to shift in order to fulfil their role the dialogue on DRR from a purely humanitarian focus to longer-term development.

#### **Other contributing factors**

Other factors which have contributed to building commitment to DRR have been major disasters such as the floods in Southern Africa 2008 which led to SADC call for a DRM unit in SADC; drought in East Africa and Sahel with an accompanying broader shift to seeing this as a long term situation rather than short-term humanitarian

crisis. Other donor input have also been significant with for instance ACP support for the SADC DRR unit from 2013 that enabled it to grow.

**Box 13: Enhanced cooperation: East Asia and Pacific region**

*N.B. See annex 10 for case study notes and details*

**Situation at 2010**

The 4th Asian Ministerial Conference on Disaster Risk Reduction (DRR) was held in Seoul bring together a wide cross section of experts, donors, academia and civil society led by Ministers from over 60 countries and heads of leading international development and disaster risk reduction agencies. The ASEAN Agreement on Disaster Management and Emergency Response or AADMER was ratified by all ten Member States and entered into force in December 2009; this was the first legally binding agreement of its kind. DRR was a priority for the Pacific. In December 2008, China-Japan-Korea, under the trilateral co-operation secretariat held the first meeting of the Trilateral Heads of Government Agency Meeting on Disaster Management.

**Indicators of regional co-operation and coordination**

A number of agreements and mechanisms have matured: The regional platform (comprising of the AMCDRR alongside the lesser used ISDR Asia Partnership) continues to meet every two years with increasing participation from more senior government officials and a broader base of Stakeholders. The AADMER Work Programme was endorsed by ASEAN Member States and has been implemented with support from many partners. The ASEAN-UN Strategic Plan of Action on Disaster Management (2011-2015) was jointly developed and endorsed by the ASEAN Committee on Disaster Management (ACDM) in March 2012. In the Pacific, SPC facilitated a significant regional policy instrument to guide efforts of the DRP are the Pacific Plan and the Pacific Islands Framework for Action on Climate Change 2006 – 2015. UNISDR-the World Bank and ASEAN signed a 5-year tripartite co-operation agreement.

**Track 1 contributions**

Since 2010, Track 1 has invested \$1.8 million, in 6 multi-year projects. These focused on supporting the pacific region through consultations, high-level dialogues and working groups to raise awareness of Parliamentarians, National DRM/Planning/Finance Agencies, and CROP Agencies for increased budgetary allocations for disaster and climate risk reduction. This is based upon the Pacific Plan and the Strategy for Climate and Disaster Resilient Development in the Pacific, which integrates Climate Change Adaptation and DRR (a global first) to support the integration of DRR/CCA into planning and budgetary processes in the Track 1 work focused on SPC and involved UNISDR, SPREP, UNDP Pacific Centre, Pacific DRM Partnership, World Bank, as well as importantly national governments.

Support to ASEAN Secretariat (and ASEAN bodies) in building Member States commitments to DRR, and a support to implement the AADMER work plan. . This was done through awareness raising, participatory workshops, meetings, forums, and other capacity development activities. These initiatives included ASEAN, UNISDR, Disaster Management and Humanitarian Assistance Division Counterpart Institutions: ACDM National Focal Points/NDMOs, ACDM Working Groups, ASEAN Partnership Group, Pacific Disaster Center, UNDP, ADPC, SCDF. In 2011 the ASEAN Committee for Disaster Management officially endorsed the One Million Safe School and Hospitals campaign following the launch in Philippines in April. Later in the year the campaign was launched in Indonesia in July leading to 80,000 schools and institutions pledged so far in the ASEAN region.

**Other factors which contributed to these results**

A number of donors, especially EU, Australia government, USAID and NZ invest in DRR in both the Pacific and ASEAN countries and regional organisations. This assistance tends to be financially large, focused and intensive and include an advocacy component. The countries in the region contribute the most financial and in-kind resources and led the process.

**Box 14: Harmonised tools and methodologies: Towards harmonised language and knowledge management**

Track 1 funding and both partners contributed to harmonised ways of working through efforts to establish harmonised terminology and knowledge management processes. A PreventionWeb survey found that information is very fragmented across a number of websites at local, regional and global levels. PreventionWeb, which has been supported by DGF- financed Track 1, aims to standardise language and codify aspects of DRR debate. With over 38,000 regular users (i.e. who use the site more than once a week) and a reported 83% user satisfaction rate PreventionWeb provides a valuable platform to contribute to this harmonisation. The input of PreventionWeb as a collator and analyst of data complements the World Bank roles, which include producing data and its work on Open Data. UNISDR facilitated the establishment of a Community of Practice dedicated to Information and Knowledge Management for DRR that is a valuable contribution to harmonisation processes.

**Box 15: Enhanced advocacy, partnerships and knowledge management for DRR: Making Cities Resilient Campaign**

*N.B. See annex 10 for case study notes and details*

The Making Cities Resilient campaign was launched in 2010. Some key results include:

- 1640 cities have signed up to Making Cities Resilient Campaign<sup>11</sup> 189,000 institutions have signed up for the 1 million safe schools and hospitals.
- The checklist, "The Ten Essentials" has been incorporated into both UNISDR tools to support cities and also other organisations' approaches for urban resilience including tools being developed by the World Bank.
- Creation of tools such as the Local Government Self-Assessment Tools, which is being used by 556 cities and is increasing awareness of risk and commitment to DRR.

The MRC is a key contribution of UNISDR to the emerging alliance on urban resilience which brings together nine key international organisations working on urban resilience including UN-Habitat, The World Bank Group; the Global Facility for Disaster Reduction and Recovery (GFDRR); the Inter-American Development Bank (IDB); the Rockefeller Foundation; the 100 Resilient Cities Centennial Challenge Programme, pioneered by the Rockefeller Foundation; the C40 Cities Climate Leadership Group; and ICLEI - Local Governments for Sustainability. Collectively, these organizations work in over 2,000 cities globally, with over US\$2 billion of existing funds committed annually toward advancing resilient and sustainable urban growth and development.

Bringing together over thirty international organisations as partners to the campaign helped build harmonised ways of working. UNISDR's convening of fora has broadened the range of stakeholders involved in urban resilience with for example the establishment of a multi-stakeholder advisory group including mayors, parliamentarians, private sector, International Federation of the Red Cross and Red Crescent Societies (IFRC) and UN Habitat.

**Track 1 contribution**

Track 1 contributed over US\$2 million 2010-13 to urban resilience specific activities. This includes region-specific activities to promote and support MRC as well as activities to strengthen local government authority activities.

**Other contributing factors**

Urban resilience has been rising up the development and humanitarian agendas in part due to demographic features of increasing numbers of vulnerable people living in urban areas and due to urban-based disasters such as the 2005 Hurricane Katrina or Haiti earthquake in 2010. Other organisations including UN-Habitat, Rockefeller Foundation as well as World Bank Group have made significant contributions to urban resilience work.

<sup>11</sup> <http://www.unisdr.org/campaign/resilientcities/>-accessed 14.4.14

**EQ 7. To what extent have UNISDR-implemented activities complemented country-specific activities in GFDRR Tracks 2 and 3?**

Track 1 focuses on global and regional partnerships to create an enabling environment conducive to allowing countries to mainstream DRR. UNISDR implemented activities raised awareness of countries with increasingly frequent regional meeting of increasing numbers of senior government officials and other actors. This awareness has opened the door that has allowed in some countries for evidence to be created and presented for decision makers. There are some examples of providing this evidence and linking to Track 2 and 3 but this was not a systemic process.

GFDRR engages in 31 focus countries. In 2013 GFDRR had programmatic engagements in 29 of these 31 countries i.e. with Track 2 and 3 investments. In its 2012 country profile updates GFDRR included a global analysis of 95 deliverables/outputs. 21% were linked to resilient reconstruction mostly funded by Track 3. 65% were either risk identification or risk reduction outputs. According to the 2012 country updates, since 2007, GFDRR committed US\$63.4 million in 97 single country projects and US\$56.2 million in 95 multi-country projects. This is significant funding for DRR though the major investments for DRR come through the broader World Bank and other multi-lateral financing instruments. GFDRR states in its 2012 country profile updates that analytical work and technical assistance is used for leveraging World Bank and other funds.

In interviews both GFDRR/World Bank and UNISDR staff viewed UNISDR and Track 1 as opening political doors as well as building awareness and creating a demand for DRR initiatives and services. Interviewees expected that building an evidence base to prepare national leaders for larger initiatives, which may be supported by national government, World Bank or other multi-laterals or donors.

A number of the activities and outputs of Track 2 and 3 are linked to risk assessment and modelling methodologies and products as well as forecasting and modelling tools. Some of these tools have been developed as part of Track 1 such as the Local Government's self-assessment process that builds municipalities awareness of their city's risk. GFDRR representatives in some regions, e.g. MENA, reported that they would follow-up on this process with municipalities to undertake a rigorous, robust probabilistic assessment process that could then be the basis for further financing.

In some region, GFDRR reported reviewing the Track 1 plans with an eye on their potential linkage with Track 2 and 3 activities. The evaluation found examples where there is a direct and clear connection between Track 1 and 2 or 3 activities such as in the South-Eastern Europe Disaster Risk Mitigation and Adaptation Programme (see box 17).

**Box 16: The South Eastern Europe Disaster Risk Mitigation and Adaptation Programme**

The South Eastern Europe Disaster Risk Mitigation and Adaptation Programme (SEEDRMAP) provides financing to investment priorities in disaster risk reduction and climate change adaptation at the regional level (through Track I) and at the national one (through Track II and World Bank Financing Instruments). The regional approach of SEEDRMAP allows for needs and gaps to be filled by activities implemented at the national level, while saving on resources. For instance, the review strengthening the Hydro meteorological Services in South Eastern Europe underlines that important economies could be made by using a regional approach in purchasing expensive equipment such as a regional radar system. This would allow for the collection of data in one country to be shared by others.

Source: South Eastern Europe, Disaster Risk mitigation and Adaption Programme at a glance  
[http://www.unisdr.org/files/18135\\_seedrmapbrochure.pdf](http://www.unisdr.org/files/18135_seedrmapbrochure.pdf)



Cooperation between GFDRR and UNISDR has assisted the development of coordinated national programmes. For example in Nepal, there is now a shared flagship DRR programme. This came about in part due to the support of UNISDR working with the UN Resident coordinator to build government involvement and political buy-in to the issue. GFDRR helped to bring in the World Bank country office and then the Asian Development Bank. In addition UNDP, IFRC and the National Red Cross Society are involved among others. There is a good division of labour with all organisations finding resources for their own component of the programme – the Asian Development Bank (ADB) for hospitals, with Red Cross taking community based role; World Bank schools and UNDP on institutional issues. UNISDR provided some capacity to /resident coordinator position which is now funded by the UK Department for International Development (DFID).

A challenge for advocacy programmes and those of the nature of Track 1 activities, and indeed UNISDR aims to establish an enabling environment for DRR is to **quantify** the resources leveraged as a result of the activities. This challenge includes firstly, the tracking leveraged resources and secondly in attributing their allocation to Track 1. This is a challenge being considered by UNISDR and was discussed with the evaluation team.

While there are isolated examples of linkage between Track 1 and Track 2/3 initiatives as well as wider World Bank programmes, the evaluation found no evidence of a formal, systematic process across all regions linking Track 1 to Tracks 2 and 3. Track 1 focus is on worldwide global and regional initiatives and linkage with Track 2 and Track 3 does not form part of the grant agreements. UNISDR is not directly involved in the planning of track 2 and 3. In added a number of interviewees from both organisations across most regions pointed to this lack of linkage as a major shortcoming of the processes to support collaboration. This gap is seen by many as a cause of the partnership not yet fulfilling its full potential.

### **Monitoring and Evaluation**

#### ***EQ 8. To what extent did the UNISDR and the GFDRR put in place an effective M&E framework for measuring the progress of its activities, outputs, and outcomes?***

The results framework outlined in the annual grant agreements presented a set of Track 1 outcomes and associated deliverables. UNISDR met the reporting requirements of the Grant agreement. The utility of the results framework for M&E was limited by the focus on activity and output-level reporting. Measurement towards outcomes is challenging given the short-term annual nature of the grants and long-term nature of outcome level changes. Both UNISDR and GFDRR made efforts to develop more a robust M&E framework but this was not endorsed by the CG. At the same time each organisation developed its own program-wide results-based management system. UNISDR and GFDRR have now developed more robust M&E system that could likely be used by Track 1 for M&E.

The M&E framework for Track 1 evolved over the time period of the Track 1 grants. Annex 7 shows the GFDRR Results Framework including a Framework of Subset Indicators (FSI) for UNISDR Track 1 that GFDRR developed in 2011. The Consultative Group (CG) did not endorse this results framework.

In the 2012-grant agreement 2006 baselines are noted for the outcomes listed in the agreements. These have not been consistently used since the beginning of the partnership.

More detailed results frameworks were developed and annexed to the grant agreements for 2012 and 2013. These had more detailed linkage between activities and the regional or other outcomes the activities would contribute to. The framework included indicators and/or milestones though these were often output and activity based rather than measures of progress towards the outcome. The evaluation recognises the challenges in measuring medium term outcomes within the time

framework of shorter-term grants. UNISDR is contracted to provide an outcome level status, as per the annex in the grant agreement is as of 31 March 2014. Hence this is under preparation and due on 30 June 2014.

The team did not find evidence of SMART indicators developed and used in relation to overall grant agreement outcomes. This links to the earlier finding noted that Track 1 was not managed and approached by either organisation as a stand-alone programme but rather one that supported activities that fitted within broader organisational, shared aims and each organisation's own strategies. UNISDR reported against its own strategic framework that is supported by results chains and an online organisation-wide planning and reporting tool.

UNISDR provided annual narrative and financial reports along with an interim report addressed to the development grant facility. These included an introduction or overview and a report of achievements against the outputs agreed in the annual work-plan. Only in 2010 did the report include a short one-page commentary on lessons learnt in FY2010 and a way forward commentary looking to FY2011. The reporting was adequate for showing the progress against activities and that these were in line with the agreed work plan. However, they did not demonstrate progress within or over the years towards the intended outcomes as stated in the grant agreements. UNISDR is contracted to provide an outcome level status, as per the annex in the grant agreement is as of 31 March 2014.

Partly in response to the limited reporting at outcome level, UNISDR and GFDRR produced joint publications in 2009 and again in 2012 which showcased track 1 achievements - "Strengthening regional and global partnerships for disaster risk reduction, A five year retrospective: 2007 – 2011". While this report provided a valuable overview of Track 1 achievements over time and an overview of the benefits of the two organisations working together, the report was not and was not intended to be an in-depth review of the achievements, challenges and progress of the partnership against the intended Track 1 outcomes.

No evidence was found regarding frameworks for monitoring or evaluation of the state of the relationship between UNISDR and GFDRR. The relationship between UNISDR and GFDRR was not the focus of the grants. Both UNISDR and the World Bank followed an annual process of planning together to achieve the grants. The report "Strengthening regional and global partnerships for disaster risk reduction, A five year retrospective: 2007 – 2011" included some statements of the complementarity of the relationship and future perspectives.

UNISDR met the contractual obligations of the DGF grants reporting systems and the reports were accepted.

Almost all GFDRR and UNISDR staff interviewed stated that the M&E systems had limited use in measuring progress or inform on change. A number of initiatives on M&E systems were explored:

1. Annual Work Plan agreed between GFDRR/WB colleagues which was the basis of the contractual reporting
2. Online system for which data was first uploaded by UNISDR and then by GFDRR based on information from the project reports
3. GFDRR M&E framework for all its three tracks for which UNISDR provided the data for testing for Track I. However the framework was not endorsed by the CG and subsequently another one was developed that was endorsed in November 2013.

Both GFDRR and UNISDR invested resources in establishing more comprehensive M&E systems for Track 1 funding. Systems were designed and portals developed. The results framework included developmental objectives, program outcome indicators and

intermediate outcome indicators as well as output level reporting and financial efficiency data – see Annex 7. The system was tested but not endorsed by the CG.

Both UNISDR and GFDRR now have or are developing more robust M&E systems. UNISDR has four clear strategic objectives with associated indicators and has commissioned a Results Based Management System. GFDRR has elaborated and is using an M&E framework detailing a model of change from inputs through outputs, assumptions, outcomes and Impact indicators. Stakeholders from both UNISDR and GFDRR noted that for the main period of the evaluation 2010 to mid-2013 the M&E systems for Track 1 did not align with the parent organisations systems. Both organisations has been developing its Results Based Management Systems over this period

The evaluation found no evidence of monitoring on the overall "health" of the partnership. Although the grants did not focus on the relationship between UNISDR and GFDRR there is wide agreement by those interviewed in both organisations that the underlying intention of DGF funds for Track 1 was to foster the partnership, even though this is not articulated explicitly in the contracts. Therefore there is no overarching vision for the relationship or broad strategic relationship targets. The partnership charters which guides the broader GFDRR partnership including that with UNISDR is due to be updated which were originally scheduled for 2012. However, this is not specific to the UNISDR -GFDRR relationship.

## Governance and Management

Given the inter-relationship of EQ 9 and EQ 10 they are considered together in the text below.

***EQ 9. To what extent has the governance and management of the program been transparent in providing information about Track 1 achievements to the broader ISDR system?***

***EQ 10. To what extent has the programme been accountable to the broader range of GFDRR donors and stakeholders?***

The programme has been accountable most directly to the CG of GFDRR. Co-operation between the two organisations and its results featured regularly on the agenda of the CG. CG members regularly requested additional inputs including more robust reporting on results and reflections on future co-operation following the end of Track 1. The Track 1 Program contributed to 84 project activities to different parts of UNISDR's wider program of activities in an integrated way and was not intended to be a stand-alone program and transparency on achievements against objectives is limited. The organisation made efforts in moving to results based reporting and is challenged by the time lag between implementation and the manifestation of results. There is neither a contractual obligation nor evidence of broader reporting, management or governance of the broader "health" of the partnership.

As one of the three tracks of GFDRR, Track 1 is accountable to the CG. From a contractual perspective, UNISDR reports to the World Bank/ DGF. The CG has evolved during the time of the partnership. The CG consists of official donors contributing at least US\$ 3 million in cash cumulatively over three consecutive years; recipient or developing country governments contributing at least US\$ 500,000 in cash cumulatively over three consecutive years. In addition UNISDR is a non-contributing member; and the UNDP and the IFRC are permanent observers. In addition, the CG could invite up to six (reduced to two from 2014) low-income non-contributing countries to be invited members on a staggered rotation basis. It was agreed in 2013 that the results management council, responsible to provide technical input to the CG would not be reconstituted from 2014 and the role taken on by experts as required.

GFDRR produced annual reports for the CG each year with highlights from the Track 1 results. This was based on the Track 1 annual report produced by UNISDR.

Co-operation between GFDRR and UNISDR was a regular feature of the CG agenda. On occasion reporting went beyond Track 1 funding and the partners shared examples of wider co-operation e.g. in the 11th CG GFDRR reported their co-operation on:

- The World Reconstruction Conference that was an integral part of the 2011 Global Platform in Geneva;
- Past Global Assessment Reports, to which GFDRR has provided both financial and expert support;
- The UN-World Bank Report "Natural Hazards, Unnatural Disasters: The Economics of Effective Prevention";
- On aid effectiveness and donor coordination, we are working closely with the OECD to raise the DRM agenda at the Fourth High-Level Forum on Aid Effectiveness in Busan, as well as in the context of Disaster Aid Tracking.

In addition to documented reporting there was opportunity to discuss Track 1 with the leadership or senior management of both GFDRR and UNISDR at CG meetings each year.

Both organisations reported that donors did raise questions at times that pushed for information on the progress and results of their co-operation. Additional papers were prepared for the CG at their request. Review of the minutes of the meeting showed that the CG requested for elaboration by GFDRR and UNISDR on their results, which results in a joint publication in 2012 by UNISDR and GFDRR - "Strengthening regional and global partnerships for disaster risk reduction, A five year retrospective: 2007 – 2011" .

These are useful documents. The retrospective considers some of the cumulative results of the partnership, a factor missing from the annual and routine reporting. However, the publication, in the words of one donor was a "showcase" rather than a paper which reflected on the both the achievements and challenges of the partnership in relation to Track 1 aims as well as, in any depth, the added value of each organisations and the challenges and strengths of the partnership itself.

The paper on future co-operation options contributed to the establishment of regular senior management meetings between the two organisations to discuss co-operation. These are ongoing.

Recently, UNISDR has invested in a Results Based Management System. This includes a strategic framework and work programme based on detailed results chains that comprise results indicators, annual targets, baselines and means of verification. Interviews with donors found that a number of them were not satisfied with the reporting and found it difficult to follow progress and results of Track 1. The Australian Multilateral Assessment Review in 2012 also referred, in both GFDRR and UNISDR's assessments, to the need for more clarity in each organisation's reporting of results of their co-operation.

There is no other specific reporting on Track 1 to any other stakeholders outside of the CG. Accountability of Track 1 was only to the WB/DGF and GFDRR CG. Both UNISDR and GFDRR produce annual reports on their overall progress and results. There are examples of UNISDR sharing their annual report with some stakeholders in the region such as the RECs for input.

#### **DGF Specific questions:**

#### **EQ 11. *To what extent has DGF grants to UNISDR leveraged other donors' resources for the GFDRR program?***

A priority for donors is good co-operation between GFDRR and UNISDR within and as leaders of DRR in the wider ISDR system. While there is no evidence that the DGF grants directly leveraged others donor resources for the GFDRR programme, it is likely that a lack of co-operation would have damaged both organisations' standing with donors. GFDRR CG includes common donors who show a continued interest in the relationship. The proportion of track 1 funding to UNISDR total funding reduced from a high of 16.7% in 2011 to a low of 7% in 2013. Track 1 activities did generate additional resources from donors for work to support co-operation within the wider ISDR and knowledge management but these are difficult to track and quantify.

Analysis of both UNISDR and GFDRR budgets over the time period 2010-12 show sustained support from a fairly consistent body of donors (see annex 6). UNISDR, as is the UN norm, prepares a biennial plan for resource mobilisation with which it approaches donors. A number of its flagship engagements e.g. Global Platform and the GAR publication are also biennial. Hence it establishes biennial targets. The income for the 2010-11 biennium was USD 52.6 million and for 2012-13 was USD 61.8 million.

All donors interviewed for the evaluation viewed the relationship between UNISDR and GFDRR as extremely important seeing them as key, complementary members of the ISDR. A

number of achievements within track 1 would not have been possible without cooperation. No donor directly and explicitly linked or made conditional their funding for each organisation or through other channels for the GFDRR programme on the "health" or results of co-operation. However, it seems likely that without clear signs of such co-operation donors would question the two organisations closely about their complementarity in the ISDR system. UNISDR and GFDRR have accordingly started providing a status report on their collaboration in every CG meeting.

Donors look for co-operation and partnership behaviour in their assessment of multi-lateral (and other) agencies as part of funding. For example the Australian Government's Multilateral Assessment in 2012 adopted explicit criteria relating to coordination and partnership that agencies were judged against. These included:

- *Results and relevance framework - Component 3:* Contribution to the wider multilateral development system (Criteria: Promotes coordination; Makes a critical difference; Promotes knowledge, policy or innovation); and,
- *Component 6:* Partnership behaviour (Criteria: Works effectively with others; Aligns with partner priorities and systems; Provides voice for stakeholders)

The AusAid assessments of GFDRR and UNISDR had many positive comments on their effectiveness and results but also highlighted the need for greater demonstration of the results of the two agencies' partnership.

The evaluation found examples where Track 1 funding directly or indirectly leveraging other donor resources for the GFDRR Program. There are three ways in which this occurred detailed below.

**a) Co-funding of activities directly within Track 1 aims** - DGF funds have enabled leveraging of resources for activities that contribute to Track 1 aims. For example the funding of regional events has often been a shared responsibility with for instance, UNDP and Swiss Co-operation funding contributing to the 2013 Arab Conference on DRR in Aqaba, 2013 and usually there have been national financial and in-kind contributions to hosting of regional events such as Croatia's hosting of the EFDRR Forum in 2013. A challenge, noted by UNISDR is track these contributions given that they do not go via UNISDR but are usually paid directly to finance the events.

**b) Seed funding** - DGF funds were often used to support initiatives that have since been supported by a broader range of donors and become part of UNISDR core services. For example Track 1 made significant contributions to the GAR (mainly made before this evaluation period), PreventionWeb (2010) and Disinventar case studies in 2012 that aided the establishment of these as regular services of UNISDR.

The funds were also used to pilot approaches, which enabled UNISDR to attract funding based on the success of the pilot. For example, in MENA Track 1 funding was used to develop loss databases in two GFDRR priority countries, Djibouti and Yemen. Since then, UNISDR has supported an additional ten countries in the region with the process with funds other than the DGF Track 1 funding. This process is something coordinated with GFDRR which expects to build on the UNISDR initiative to support countries then to establish a more robust, probabilistic-based assessment of risk which itself may then attract investment from the World Bank or other multi-laterals to support government plans for DRR.

**c) Laying a foundation for future** programmes - There are new programmes beginning which build on the foundation laid by the Track 1 activities. A significant one is the ACP support of approximately €80 million over five years to support DRR in ACP countries. Interviewees from regional organisations in Africa considered the Track 1 funding and

partnership to have been vital to the development of this programme. It involves a range of partners and aims to support:

- a) Coordination and monitoring of DRR (Africa Union Commission and UNISDR);
- b) Work with Regional economic communities (GFDRR);
- c) Climate change and weather mapping for DRM (Africa Development Bank);
- d) Loss Databases (UNISDR); and,
- e) Multi risk financing strategies (GFDRR.)

A challenge for advocacy programmes and those of the nature of Track 1 activities, and indeed UNISDR aims to establish an enabling environment for DRR is to *quantify* the resources leveraged as a result of the activities. This challenge includes firstly, the tracking leveraged resources and secondly in attributing their allocation to Track 1. This is a challenge being considered by UNISDR and was discussed with the evaluation team. This is an area where co-operation with GFDRR could be beneficial by beginning with establishing a process to track how regional events contribute to leveraging World Bank investment into mainstreaming DRR at county level.

**Box 17: Standardised and harmonised DRR tools and methodologies:**

**CAPRA Probabilistic Risk Assessment Program**

*N.B. See annex 10 for case study notes and details*

CAPRA is a Disaster Risk Information Platform for use in decision-making based on unified methodologies and tools for evaluating and expressing disaster risk. Building on and strengthening existing initiatives, CAPRA was developed by experts to consolidate hazard and risk assessment methodologies and raise risk management awareness.

According to its web site (<http://ecapra.org>) the CAPRA project continues to expand and in April 2014 was present in 6 Latin America and 6 South Asia countries. CAPRA also supports a thriving online community of more than 1,310 users. Through GFDRR projects, local experts are trained in the use of CAPRA to design mitigation measures, assess alternative interventions, support contingency planning, and underpin risk-financing strategies. The web site contains support and tutorials for 9 types of mostly hazard special GIS modelling software.

Since 2008, GFDRR has been supporting the development of the CAPRA platform to design and implement targeted risk assessments. In 2010, Track 1 invested 300.000 to Support the development of CAPRA tools with government and sub-regional actors in Latin America. Partners included CEPREDENAC, CAPRA, ITC, ILO/DELNET, UNOSAT, UNOOSA, and FEMICA. Activities of the project included amongst others support to the development, application and promotion of CAPRA tools with governments and sub-regional actors; further developing of CAPRA wiki and webpage; as well as designing and carrying out training for use of CAPRA tools by government and academic actors. *Since 2010 UNISDR has been using the CAPRA platform to develop national risk profiles and for its new Global Risk Assessment that will be released in 2015. This is the first global scale application of the CAPRA platform*

In El Salvador, GFDRR supported the Government to conduct a seismic risk analysis for the health, education, and public sector building portfolios in the Metropolitan Area of San Salvador. GFDRR is now supporting a policy dialogue with the Ministry of Finance to help the country take decisions on where and how to invest in risk reduction measures. Similar collaboration is underway with the governments of Costa Rica, Honduras and Belize.

The Inter-American Development Bank agreed to finance CAPRA in Guatemala, Belize, El Salvador and Honduras, through a memorandum of Understanding with the World Bank.

Source: [ecapra.org](http://ecapra.org); GFDRR Work Plan 2014-2016; 5 year retrospective; and [www.gfdr.org/ca\\_projects/detail/4018](http://www.gfdr.org/ca_projects/detail/4018)

## Component B – UNISDR-GFDRR strategic co-operation

### **Component B core questions - How effective were modalities of DGF support under Track 1 in shaping and supporting a strategic partnership between UNISDR and GFDRR?**

*Stakeholders from both UNISDR and GFDRR shared a common understanding that processes, which contributed to building the partnership, were as important as the product of the partnership. This recognises that good partnership underpins results both within DGF as well as in other areas of cooperation.*

#### **1. Introduction to the partnership framework for analysis of UNISDR- GFDRR relationship**

The relationship between UNISDR and GFDRR evolved over the time period of Track 1 funding. In the proposal and Inception Report the evaluation introduced an adapted partnership framework to review the relationship between UNISDR and GFDRR that is used in this section of the report. The framework is one that allows analysis of how the relationship evolves and changes over time. Findings are detailed below drawing on evidence detailed already in Component A of this report and discussed further below.

#### **2. Analysis of the partnership between UNISDR and GFDRR against the framework**

The table below summarises the findings on key components of the partnership drawing on the evidence presented in Component A.

Partnership framework	Key findings
<p><b>Partnership set up</b></p> <p>Synergy of each organisation's objectives</p> <p>Complementarity of each institutions resources, strengths and comparative advantages</p> <p>Clarity of partnership aims and anticipated outcomes</p>	<p>Analysis of each organisation's aims and mandates shows a synergy in their objectives</p> <p>Staff analysis of each organisation's mandate and comparative advantage demonstrates a consistent view of what each organisation offers to the DRR (see below)</p> <p>The partnership aims are clearly stated in annual agreements. The intended outcomes have been expressed more clearly in recent years. However, the widely understood aim of the DGF grant being for the establishment of good co-operation and complementary roles of each organisation in the ISDR is not made explicit but is broadly and consistently understood across both organisations.</p>
<p><b>Partnership implementation</b></p> <p>Effectiveness of communication between partners at different levels</p> <p>Timeliness of inputs</p> <p>Effectiveness of harnessing resources within each</p>	<p>Communication between the two organisations is reported by staff of both to be, on the whole now very good.</p> <p>Annual planning of Track 1 activities aided sustained communication between UNISDR and GFDRR across regions and technical areas</p> <p>Broader dialogue outside of the Track 1 parameters did not always follow on from Track 1 discussions</p> <p>Recently initiated six-monthly management meetings have promoted more pro-active discussion on potential areas for future co-operation</p> <p>Inputs were, on the whole, timely (funds, reports)</p>



<p>organisation</p>	<p>Both UNISDR and GFDRR effectively harnessed resources from within their own organisation but harnessing resources from the wider UN and World Bank systems remains a challenge with success patchy. It is noted that the UN is not as homogeneous an organisation as the World Bank. UNISDR convened the High-Level Committee on Programmes' Strategic Management Group (HLCP/SMG) to develop and agree the UN action plan on DRR.</p>
<p><b>Partnership relationship</b></p> <p>Fulfilment of commitments</p> <p>Transparency</p> <p>Organisational buy-in</p> <p>Satisfaction with the partnership</p>	<p>Both organisations have fulfilled their commitments as detailed in the grant agreements</p> <p>Within Track 1 there has been fair transparency between both organisations. Recent senior management meetings are a helpful mechanism to ensure a flow of communication at senior levels and technical departments reported good communication. Communication to ensure transparency at regional levels varies between regions.</p> <p>However, reporting to a wider set of stakeholders was mainly through each organization's overall reporting and on Track 1 specifically was through reports to the CGs as well as discussion with the CG and the leadership of both organizations at the CG. A number of donors referred to the inadequacy of reporting and challenge to understand the progress of Track 1. It is noted that UNISDR and GFDRR have responded to donor requests through specific papers/presentations for CG meetings, and multi-year reports that capture programme outcomes.</p> <p>Senior management time commitment indicates some buy-in to the partnership though this is a relatively recent development. Both organisations see the UNISDR-GFDRR relationship as important but also both locate it within the wider set of relationships they each manage. There is not consistent view within or across the organisations of the distinctiveness of this relationship.</p> <p>Satisfaction with the partnership has varied over time and between areas with an early positive view followed by a periods less positive at least at management levels around 2010-11 and an increasing level of satisfaction returning again over the past two years or so.</p>
<p><b>Partnership approach</b></p> <p>Added value of partnership approach</p> <p>Extent to which benefits outweighed costs of partnership approach</p>	<p>An added value of the partnership is the potential to link advocacy and the creation of an enabling environment for DRR to resources and efforts to mainstream DRR at country level. This has been tapped into in some examples so far but remains an area of huge potential for the future.</p> <p>Each organisation could identify additional benefits for itself from the partnership (see below). Costs are relatively low for each organisation. Earlier demands for more intensive activity reporting by UNISDR were relaxed in the later years of the partnership. GFDRR allocated resources to the relationship with a Track 1 lead and more recently senior management time put into regular coordination meetings even though it does not receive any funds from DGF for Track 1. The articulated benefit of the relationship and in particular its potential outweigh the costs borne by each organization to enable it.</p>
<p><b>Partnership results</b></p> <p>Achievement of objectives</p>	<p>Significant results have been achieved as outlined in part one of this report.</p> <p>The end of Track 1 funding means that regular communication between</p>

<p>(component A)</p> <p>Sustainability of strategic co-operation between UNISDR and GFDRR</p> <p>Additional results (positive and negative) of the partnership focusing on the promotion of regional and global collaboration around DRR</p>	<p>different parts of the two organisations is now not mandatory.</p> <p>A number of good working relationships have been established, notably at headquarters level and in technical areas, for instance, most interviewees refer to the need for continued co-operation on the schools, urban resilience. The 6-monthly management meetings will certainly help to sustain co-operation.</p> <p>Both organizations still emphasize the importance of personality as key to ensuring co-operation happens which implies the partnership is not yet institutionalised.</p> <p>At regional level the sustainability of the partnership is less clear and varies according to regions. There are some areas where co-operation will be taking place for instance in Africa, due to the respective roles of UNISDR and GFDRR in an upcoming ACP-supported DRR project.</p> <p>The establishment of key fora in some regions such as the Africa working group will also provide opportunities for communication and coordination albeit within a broader network of organisations.</p> <p>The mechanics for how co-operation at regional level will be organised is currently unclear. Interviewees recommended some process be established to bring together World Bank / GFDRR and UNISDR focal points from the regions to agree future co-operation. Interviewees emphasised the importance of Senior Management's leadership to such a process.</p>
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### 3. The relationship- Evolution of a relationship

The evolution of the partnership was presented fairly consistently to the evaluation team by both organisations. Drawing on Tuckman's model of team formation<sup>12</sup> which identifies four key to the establishment of effective teams the main stages of the UNISDR-GFDRR relationship are summarised below:

**Forming** - A major stimulus to co-operation was the HFA, which is the basis for establishing GFDRR. Also, importantly also donor pressure were key in ensuring co-operation and a relationship between UNISDR and GFDRR was consciously and explicitly built through Track 1.

**Storming** - The maturing relationship, like any, has worked together to address the many challenges a robust organisational relationship meets. The level of challenges varied, across regions, times and technical areas. There was a strong early relationship with discussions about co-operation in all regions and across many technical areas such as PreventionWeb and GAR. This was noted in the 2010 evaluation, which remarked on the extraordinary nature of this "ground-breaking partnership".<sup>13</sup>

However, some challenges to the relationship between UNISDR and GFDRR emerged particularly around 2011 with debate over areas where there are some overlapping activities. E.g. knowledge management for example, GFDRR's production of papers on DRR for the G20 on the request of the Mexican government. UNISDR and GFDRR are both young

<sup>12</sup>From <http://www.pmhut.com/the-five-stages-of-project-team-development> by PM Hut, May 2010 accessed 10.4.14

<sup>13</sup>Universalia (2010), Evaluation of GFDRR, p13

organisations and have established a unique collaboration. One key example is the joint organisation of the Global Platform and World Reconstruction Conference in 2011

Both UNISDR and GFDRR play an important role in the ISDR system but in their own different ways. **UNISDR's mandate has been defined by a number of United Nations General Assembly Resolutions, the most notable of which is "to serve as the focal point in the United Nations system for the coordination of disaster reduction and to ensure synergies among the disaster reduction activities of the United Nations system and regional organizations and activities in socio-economic and humanitarian fields". The GFDRR, according to its charter, is a unique long-term global partnership under the ISDR system established to develop and implement the HFA through a coordinated program for reversing the trend in disaster losses by 2015. The World Bank on behalf of the participating donor partners manages the GFDRR and other partnering stakeholders.**

As different organisations, UNISDR and GFDRR have different ways of working, cultures and internal systems. It is challenging for such organisations that are undergoing internal evolution to align systems and priorities. GFDRR being a financing facility and part of the World Bank is at times, able to move fast without the need for wide consultation on its decision. On the other hand, UNISDR is a UN entity based on building co-operation, stakeholder engagement and so can need more time to develop plans, which have shared ownership. There is an acknowledgement in both organisations of the inherent challenges that lies in a partnership between two very different entities.

Despite these occasional challenges, communication continued in some technical areas and Track 1 planning continued each year. Open communication lines have meant any challenges to the relationship are discussed and resolved.

**Towards norming and performing** - In the last two years there appears to have been significant progress with senior management meetings aiding discussion on where future co-operation can take place good relationships embedding in a number of technical areas e.g. schools, urban resilience, regional level. Respective roles on knowledge management have settled with for instance GFDRR's role in convening the Understanding Risk Conference Forum respected by UNISDR and its role as the convenor and producer of the GAR and associated process to produce it supported by GFDRR, which itself is contributing chapters to the next publication.

In some areas the respective roles of each organisation have been clarified within broader emerging alliances e.g. relating to urban resilience; schools. Donors and shared programmes have also catalysed dialogue which clarifies areas of potential overlap e.g. as part of the development of the forthcoming ACP programme for DRR, the EC convened a meeting to articulate UNISDR and GFDRR roles in risk as well as their broader roles in the programme.

#### **4. Complementary roles**

All stakeholders interviewed stated that both mandates and functions of UNISDR and GFDRR are complementary. All donors and regional organisations interviewed consider both UNISDR and GFDRR fundamentally relevant parts of the ISDR system. Donors highlighted the need for UNISDR and GFDRR to work together, noting the relevance of UNISDR role as a custodian of the HFA and GFDRR role as a facility and holder of expertise. Regional organisations with higher capacity and mature systems noted UNISDR role as a connection to the global agenda and facilitate initiatives such as south-to-south exchanges. Whereas, in areas with emergent regional capacities in DRR, stakeholders see the role as an awareness raising advocate and capacity builder.

#### **5. Comparative advantage and complementary roles**

Interviews for the evaluation across both organisations and with external stakeholders found a consistent view of the comparative advantages of each organisation, summarised below. Indeed, a frequent comment was that the two organisations were often felt to have more in common with each other than with their respective home families of the UN and World Bank. "Oddballs together" was a succinct way of describing the two organisations by one interviewee.

**Box 18: Comparative advantage of UNISDR and GFDRR**

UNISDR	GFDRR
Global and regional remit	Advantage is at national level
Setting the enabling environment	Focus on the operational.
Advocacy	Focus on 20 +11 (donor priority) priority countries.
Independent facilitator of dialogue on DRR	Understanding and access to the infrastructure of the World Bank
UNISDR give a seal of approval that something fits within HFA	GFDRR can use seed funds to leverage World Bank funding e.g. through grants to Bank teams to help prepare bank operations example risk assessments
Convening power to bring in broad range of stakeholders	Has direct access to ministries of finance.
Policy and support in developing national legislation	Access to technical expertise particularly in risk financing,
Working with counterparts at national level-HFA focal points (often in civil defence departments)	GFDRR provides an intellectual contribution to bank/government.
Advocacy on Urban resilience involving Parliamentarians at National level and Mayors / Local government representatives, at the local level	Role to mainstream DRM in World Bank
Working for advocacy on DRR with private sector, through private sector advisory group	Resources to undertake research and produce data
UNISDR was mandated "to serve as the focal point in the United Nations system for the coordination of disaster reduction and to ensure synergies among the disaster reduction activities of the United Nations system and regional organizations and activities in socioeconomic and humanitarian fields" (UN General Assembly Resolution	
Collator and disseminator of data (PreventionWeb, GAR, Disaster Loss databases)	

**6. Additional benefits of the partnership for each organisation**

In both organisations staff pointed to benefits their organisation experienced due to the relationship and the nature of the Track 1 funding which are over and above the planned results. These are summarised below.

**Box 19: Additional benefits of the partnership**

UNISDR	GFDRR
Funding to do policy work, which is really difficult to fund.	New Relationships developed via the regional platforms- e.g. by meeting with government representatives in countries in which GFDRR was not active before.
Access to flexible and predictable funds	Seat at the table-for regional and global policy discussions.
Enables UNISDR further access to the country level as well as increased access to other platforms such as the G20 and G8.	DGF funding provided an opportunity to test new ideas
Provided additional opportunity for UNISDR to engage with donors e.g. at CG meetings.	Access to UNISDR expertise and knowledge to feed into dialogue in the Bank
Enabled engagement with ministries such as finance and planning to which the Bank / GFDRR have a natural access.	Access to ISDR system including different type of relationship with countries (governments) and other stakeholders e.g. NGOs, private sector, and communities.
In locations such as many parts of Africa where DRR focal points in governments and RECs are often in positions with limited influence, the combined names of the World Bank and UNISDR add influence	Gave access to data UNISDR can access
	Gave a means to show responding to donor pressures e.g. to cooperate, engage with civil society.

**7. Additional benefits due to actions implemented in partnership**

Interviewees provided a number of examples of how the partnership approach has added value. These range from avoiding past waste and duplication e.g. when both organisations produced authoritative texts on Disaster Risk Reduction in the past moving to co-operation on the production of the GAR; to the greater impact of regional and global events by combining efforts. For example the World Conference on Recovery and Reconstruction in 2011 was fully integrated into the Global Platform on Disaster Risk Reduction. Interviewees reported that each component contributed to the success of the other with commitment to develop a new recovery framework, increased profile for recovery and reported satisfaction of participants at the conference suggesting the combined efforts made for a greater success than individual events would have achieved.

**8. Maximising the potential impact of co-operation**

A challenge to maximising the potential impact of the organisations' comparative advantages lies in harnessing the collective resources of their respective families: the UN and the World Bank. In the World Bank GFDRR has established a community of practice that brings together the wider group of DRR expertise in the Bank and this forms a strong group that enables GFDRR to have greater influence in the Bank than the 24 -person team of GFDRR might suggest. However, influencing the Bank is difficult. It was described by several interviewees to the evaluation team as being a market place for ideas so DRR is competing with other priorities. This has meant that the World Bank country offices have not always picked up on opportunities to engage on DRR that activities at the regional and action may set up.

In the UN a major achievement was the development of the Plan of Action on DRR for resilience that was endorsed by the UN Chief Executives Board that outlines the role of each member organisation, including the World Bank. The main coordinating role at national level is the UN Resident Coordinator. To harness the resources of the UN family fully, UN interviews said this role will often need support and more capacity. This is now a focus of UNISDR work and there are examples where it has worked well to bring together partners respective resources.

### **9. Areas to resolve**

There remain some challenges that need to be resolved and areas where a shared understanding of each organisation's role is necessary for the relationship to maximise its potential impact. The most important of these are:

- a) The lack of a consistent understanding across both organisations of UNISDR's role at national level<sup>14</sup>; and,
- b) A frustration at the challenge to quantify the changes because of advocacy efforts to establish an enabling environment for DRR and link mainstream DRR (formerly through Track 2 and 3 programmes). This includes within the World Bank where DRR competes with other development issues.

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<sup>14</sup> With no country offices, UNISDR cannot play a strong operational at the national level. Its role, as a non-resident UN agency, focuses on broad technical advice, including supporting HFA reporting, National Platforms, National loss databases, school safety, and cities campaign.

## Component C – Conclusions and Recommendations / Options for Future cooperation

This section highlights ways to strengthen future strategic co-operation and results between GFDRR and UNISDR based on the evidence presented in Components A and B. This section considers how the relationship between the two organisations has contributed to Track 1 successes, and discusses factors that contributed to effective co-operation as well as challenges to that co-operation. Recommendations are based on the assumption that co-operation should be strategic and that there remains a willingness to strengthen co-operation in the post-2015 environment.

### DGF Track 1 funding's contribution to results:

#### **1. Track 1 activities contributed to evolving regional and global DRR architecture, and setting agendas including for preparing the post-2015 framework for DRR.**

UNISDR has the power to convene the ISDR system partners. Without UNISDR and DGF funding this architecture would have been less evolved, especially in Africa; have less of a multi-stakeholder presence (especially mayors and parliamentarians); have lower levels of participation from higher-ranking government and non-government officials; and not be recognised by the general assembly. The United Nations General Assembly recognised this architecture as a consultative tool for the preparations of the 2015 world conference on DRR. National governments use this architecture to exchange information, learn, and commit to declarations and changes. UNISDR contributed, along with regional organisations and their member countries, to these achievements. UNISDR, in part with DGF financing, has provided technical assistance to organisations like SAARC, ASEAN and ECOWAS to establish regular regional platforms, conferences or priority thematic dialogues engaging member states such as in South Asia in DRR and CCA integration including the Thimphu statement for Climate change. Similar experiences were furthered in the Americas where Regional Platforms contributed to increasingly mobilize stakeholders and sector ministries in the processes of defining regional priorities on DRR. GFDRR presence and relationships with ministries of finance and planning have aided the process to attract government representatives to these processes.

#### **2. Track 1 contributed to linking of global dialogues and campaigns to regional declarations and national decision-makers, as well as contributing and advising on regional agreements and decisions and agenda setting.**

UNISDR, with DGF support, facilitated processes to link information and evidence in global and regional platforms to decision-makers. UNISDR, with some contribution from DGF, is instrumental in facilitating global and regional dialogues and platforms, setting agendas, facilitating the establishment of declarations and producing milestone publications. Global chair summaries and regional declarations have overlapping priorities and cross-reference one another – indicating a 2-way system of communication. Increasingly, senior government and officials of member countries make regional declarations and commitments within regional fora. Ministers, prime ministers, senior private sector actors, NGO and civil society are attending global and regional platforms in increasing numbers.

Global campaigns such as Making Cities Resilient, supported in part in some regions by DGF financing, achieved commitments from mayors and parliamentarians. Guidelines and support, offered in part with DGF financing, provide an initial assessments and indicative areas for action at national and sub-national levels. The GFDRR and UNISDR contribute to evidence to support DRR in key global publications such as the Global Assessment Reports and “Natural Hazards, UnNatural Disasters”. Similarly, the relationship between UNISDR and GFDRR enabled the linking of the Global Conference on Recovery and reconstruction with the 2011 Global DRR conference, which in turn

strengthened both events. GFDRR and the World Bank contribute to regional and country level dialogue which raises DRR commitment, especially by providing evidence for the ministries of planning and finance. UNISDR know-how and stakeholders support GFDRR work to mainstream DRR in the World Bank.

### **3. Track 1 contributed to broadening the range of stakeholders involved in DRR.**

Track 1 contributed to broadening the range of stakeholders participating in DRR. UNISDR, with a contribution from DGF, invested in providing the persuasive evidence and forums for a range of stakeholders to engage in DRR including parliamentarians, media, city mayors and increasingly the private sector. Global and regional platforms have a more diverse as well as senior representation. In some regional platforms - Americas, Asia and Pacific – academe and civil society have a significant participation. UNISDR has convening power within the ISDR system. In the Americas, the contribution of GFDRR allowed to engage the ministries of finance and planning of 6 leading countries to systematize the advancements in the development of tools for the integration of DRR in investment planning and investment tracking methodologies in public budgets. Track 1 projects contributed to episodes of participation from Multilateral Development Banks (especially Americas) and important UN agencies in joint programs including planning and risk assessment, as well as regional platforms and global campaigns such as on resilient cities and safe schools. Examples of DGF- financed collaboration show what is possible to achieve through broader co-operation. Good examples include multi stakeholder collaboration with SEEDRMAP and the associated Hydromet initiatives with WMO as well as initiatives with UNHABITAT in the cities campaigns and associated bodies. The UNISDR has an important and challenging role to play in further mobilising UN agencies and their political capital and expertise. Similarly, the GFDRR is accelerating its mainstreaming of DRR in the World Bank. The combination of the expertise, political capital and networks of the UN and World Bank systems has a significant contribution to make to the ISDR system.

Private sector involvement is emerging in some regional platforms as well as on steering groups for the resilient city and other campaigns. Intellectual contributions to GAR as well as UNISDR and World Banks existing networks play an important role to further incorporate the private sector into the ISDR system.

### **4. Track 1 contributed to broadening DRR dialogue beyond a humanitarian focus, using networks, tools and advocacy.**

Track 1-supported efforts to move DRR dialogue, especially mainstreaming DRR into development, beyond the humanitarian sector into the development arena. This is reflected in the engagement of a boarder range of development actors in DRR dialogue. The ISDR system and dialogue continues to evolve the mainstreaming of DRR slowly away from civil protection mechanisms to include and sometimes be led by other parts of government, private and civil society development actors. This is important to enable sector-wide governance and implementation of DRR at national, regional and global levels.

Importantly, DGF funding was used to support tools and methodologies to provide evidence and engage with key development actors such as ministries of finance and planning as well as mayors and parliamentarians. Tools include the Central American Probability Risk Assessments methodologies and guidance within the make cities resilient campaign. GFDRR efforts to engage ministries of finance and planning along with their World Bank colleagues in DRR have been complementary to this process.



## Track 1 funding's contribution to the UNISDR and GFDRR partnership:

Key conclusions on the evolving relationship between UNISDR and GFDRR are below.

### 5. Track 1 ensured formalised and regular contact between UNISDR and GFDRR

Track 1 funding established a formal relationship between GFDRR and UNISDR. This required regular meetings and two reports a year at headquarter level. The work-planning process required formal planning and agreements between UNISDR and GFDRR/World Bank regional offices. Some regions invested significantly more time and resources in the relationship. This investment improved coordination. DGF financing created a formal link between the two organisations. Even if there were challenges between the two organisations, this formal contracting link helped sustain the relationship.

### 6. Track 1 contributed to strong thematic co-operation in some regions where respective roles and mandates were clear, distinctive and complementary.

UNISDR and GFDRR share information, cooperate and coordinate in some thematic areas. Clarity on distinctive roles is being formalised in some areas especially through the emerging broader alliances e.g. on urban resilience and school safety. Similarly, contributions to the Global Assessment Report and publications such as "Natural Hazards, UnNatural disasters" have clear, complementary benefits to the ISDR system. In some technical areas e.g. risk assessment, the distinctiveness and complementarity of each organisation's role is not yet clear but is under discussion in some regions e.g. through dialogue as part of developing a new ACP programme.

### 7. UNISDR and GFDRR/World Bank shared information and coordinated both within the bounds of Track 1 program initiatives and some multiparty joint ventures.

Regional platforms, held with the support of UNISDR regional offices, have established fora for UNISDR and GFDRR/World Bank to meet regularly to exchange information with other ISDR partners and to some extent coordinate their activities and plans. The DGF annual planning process required at least the sharing of information relevant to Track 1. New programs such as the EU-supported ACP program on DRR require UNISDR and GFDRR to coordinate within the bounds of the program and importantly, discuss and clarify roles on specific areas such as risk assessment. Similarly, there are a number of multi-party ventures, which require or required bounded coordination and discussions on roles and mandates such as SEEDRMAP, the data loss assessments, CAPRA, Making Cities Resilient campaign and the safe schools. The DGF grant was the only program that encompassed all regions.

### 8. Senior management is investing time and efforts through retreats and meetings to build relationships for future cooperation.

GFDRR and UNISDR senior management are investing time and efforts for future co-operation. Donors and the consultative group continue to work with and promote GFDRR and UNISDR to establish a complementary relationship, based on clear mandates and comparative advantages. It is well known that the relationship went through a storming period that challenged co-operation and levels of trust. At this time, willingness to collaborate was relatively low and co-operation was mainly at technical levels. At other times and in some regions, willingness was high, which increased synergies and established collaborative projects that go beyond the UNISDR-GFDRR relationship. To some extent global and regional levels of collaboration are dependent on individual willingness to commit. This is significantly influenced by senior management actions, discourse and institutional mandates.

Efforts through retreats and joint thematic co-operation help to re-build trust and show senior level willingness to collaborate. Currently, senior management is investing time and resources to build co-operation between the two organisations in a period of great change for the ISDR system as well as the World Bank.

At regional level the sustainability of co-operation is more variable. There is no standard mechanism to ensure co-operation at regional level at present. Importantly, there is no clear, apparent and

used mechanism for co-operation at national level especially between the UN system, including the World Bank.

#### **9. Track 1 planning processes facilitated some thematic cooperation, which indicates a common framework and areas for broader strategic co-operation between the GFDRR/World Bank and UNISDR.**

Track 1, regional work-planning processes resulted in multi-year and multiparty cooperation, in some regions, which went beyond the bounds of the GFDRR and UNISDR relationship. These initiatives involved the World Bank and UN agencies amongst other key actors. In other areas programming remained fragmented, focused on UNISDR with single year implementation. This pattern suggests relationships depended more on personalities than institutional commitment. The regional work planning process and DGF grant did not establish a broader or systematic co-operation between UNISDR and GFDRR. Track 1 provides examples of how the World Bank and UN family could work together with other actors. A systemic framework for that co-operation has not emerged.

The focus on Track 1 programs and work planning did not lend itself to broader strategic discussions. The Track 1 programme limited dialogue in some regions to focus only on regional level co-operation.

Management retreats between UNISDR and GFDRR continue to focus on the wider relationship between UNISDR and GFDRR, not only Track 1.

#### **10. Both UNISDR and GFDRR staff view the UNISDR-GFDRR relationship within a broader context of multiple and at times equally important inter-organisational relationships**

Both UNISDR and GFDRR operate in increasing complex and dynamic DRR environment. Both organisations manage complex relationships with their parent organisation, the UN family and World Bank. In addition, both organisations engage a plethora of complex and expanding ISDR system partners. UNISDR-GFDRR staff views the relationship within this complex network and do not necessarily see a distinctiveness of the UNISDR-GFDRR relationship.

In addition, the understanding of what co-operation or collaboration means varies across and within the organisations. For some co-operation mean only sharing information and responding to requests from each other. Others understand it to mean a more planned process to *coordinate* events. Finally, others interpret co-operation to mean establishing shared aims and agreeing explicitly how each organisations resources and strategies can be managed in complementary ways to achieve the aim. The lack of a shared understanding of co-operation limits processes to take forward and build strategic partnership between the two organisations in a systematic manner. A way of understanding the different levels of engagement that the term "co-operation" or "partnership" can cover are outlined below. This could be a useful basic typology to develop up and to inform discussion on what level of engagement is wanted by UNISDR-GFDRR in strategic co-operation.

#### **11. Track 1 has strengthened strategic co-operation between UNISDR and GFDRR**

Track 1 has helped to set a foundation for strategic co-operation between UNISDR and GFDRR. Track 1 helped strengthened the relationships between UNISDR and GFDRR, enabled focused and limited coordination of regional activities between UNISDR and Regional GFDRR/World Bank and in evolved thematic area of collaboration. The aims, strategies and comparative advantages of both organisations are complementary and this is recognised across UNISDR-GFDRR. In addition, both organisations operate within the Hyogo Framework for Action. GFDRR represents the World Bank on the High-Level Committee on Programmes' Senior Managers Group (HLCP/SMG) on Disaster Risk Reduction for Resilience, which developed a United Nations Plan of Action on Disaster Risk Reduction for Resilience under UNISDR's leadership. However, there is still some way to make an institutionally based strategic co-operation between UNISDR and GFDRR. Currently, both organisations are working to better define respective areas of work, activities and collaboration. This was also presented at a Consultative Group meeting in May, as this report was in draft stage.

## EQ 12: What are various options to strengthen strategic co-operation and results engagement between UNISDR and GFDRR, now that the DGF grants to UNISDR are ending?

### Challenges to strategic co-operation

Both UNISDR and GFDRR staff have a near common understanding of the significant challenges to more strategic co-operation. Those interviewed suggest that the following areas need to be further addressed and clarified for improved co-operation. There is a need for:

- Establishing a shared understanding of how regional initiatives can better link to efforts to mainstream and strengthen DRR including at national level
- Establishing a shared understanding of how efforts can facilitate the relationship between the UN family and World Bank.
- Continuing to articulate programme complementarities especially at national level and in key thematic areas of joint interest such as risk assessments
- Acknowledging and over-coming organisational cultural differences, such as ways of working, development dialogues and priorities.

### Ways to strengthen strategic co-operation

2014 and 2015 is a period of change for the ISDR system, the development agenda and the World Bank. Both UNISDR and GFDRR are more institutionally mature and have key roles to play within their own parent organisations, with responsibilities to mainstream DRR in the UN and World Bank and in the broader ISDR system.

GFDRR and UNISDR established an agenda for future co-operation. However, this remains mainly at a project and technical level. A joint vision for strategic co-operation is not apparent. There is an absence of any agreement or communication in and beyond the organisations to guide organisation-wide co-operation in a consistent and strategic manner, which is needed to maximise the potential of the two organisations' complementary mandates and roles.

The overall recommendation of the evaluation is to develop a strategic framework for co-operation between UNISDR and GFDRR. This needs to reflect both the maturing organisational strategies as well as the increasingly diverse and complex DRR environment with multiple organisations and processes, many of them going through change themselves.

## Recommendations

### To the leadership of UNISDR and GFDRR

#### 1. Develop jointly a strategic plan to guide UNISDR-GFDRR future co-operation.

A framework can be developed this year to be adaptable to HFA2. A framework should provide clearer definitions of the starting points, based on existing thematic cooperation for increased cooperation and well as establishing boundaries for UNISDR-GFDRR cooperation, based on the Sendai report and the UN plan of action on Disaster Risk Reduction for Resilience. The Plan should be in line with the visions, aims and responsibilities spelled out in the UN Plan of Action.

Components to consider in the framework could include:

- A shared vision and rationale for co-operation, to be communicated within the organisation by leadership to give weight to the framework.
- Clarity regarding the aim, meaning and extent of strategic co-operation based on likely roles and complementarity within the post 2015 ISDR system.
- Clarity on how the UNISDR-GFDRR relationship fits within the wider set of relationships in the World Bank and UN families and how this should manifest itself for maximum impact.
- Clarity on the complementarity in common thematic work areas.
- Establishing resources and a process to guide regions and central departments in when and how they are expected to coordinate e.g. annual meetings.
- Jointly developing shared, time-bound aims with benchmarks/indicators and means to monitor the relationship's success through programmatic achievements and milestones identified in each organisation's routine results-based management systems.
- Jointly developing and agreeing a joint vision, based on the UN plan of action on DRR and the Sendai Report, for how UNISDR and GFDRR can together influence the UN family and World Bank actions to support national-level governance of DRR and national governments' implementation of DRR. A number of different types of collaboration will be required building

A number of different types of collaboration will be required building on current perspectives and plans. Governments need considered support and connections to the international community. DRR governance at national level is changing but remains very diverse. DRR continues to move into the development arena and attract the attention of new actors including ministries (sectorial, planning and finance) and the private sectors. To some extent, DRR's origins in civil protection are constraining this evolution. The enormous challenges facing DRR require the involvement of many stakeholders. The UNISDR and GFDRR need to be clear on modalities for their co-operation to support national governments. These guidelines or modalities need to focus on the working modalities of the complex relationships with the UN family and the World Bank at national level. These should build on both the UN plan of action on disaster risk reduction for resilience and the Sendai report.

#### 2. Continue to collaborate in key thematic areas such as communicating evidence through GAR, Risk identification and assessment, HFA2, and multi-stakeholders collaborations focusing on cities and schools

This co-operation at the technical level is important. However, without a broader strategic framework for the partnership these initiatives are likely to remain episodically based on individual rather than institutional decisions.

### **3. Continue building senior management relationships with joint retreats, discussing issues not limited to Track 1.**

Frequent and focused discussions are critical to build relationships and manage challenges that frequently occur in complex institutional relationships. The meetings are also an opportunity to review together the progress and "health" of the partnership.

### **4. GFDRR and UNISDR should systematically promote joint missions between regional UNISDR and World Bank coordinator as well as regular participation in regional platforms.**

These are two important initiatives that the teams are envisaging together. Investing in this relationship is critical to facilitate future co-operation especially in the multi-sectorial environment as well as national programs.

## **To Donors**

### **5. Promote strategic co-operation stressing comparative advantages and distinctive roles within the ISDR system**

Donor pressure has played a positive role in encouraging, supporting and to some extent holding accountable both organisations on co-operation. The CG represents a useful body to continue to support this relationship. This is especially relevant given UNISDR's membership and shared donors. The CG should continue to consider the external and partnership results of the co-operation on a regular, annual basis.

GFDRR and UNISDR have complementary mandates and roles, however some specific programmes may benefit from stronger focus. Importantly, UNISDR and GFDRR have similar donors. This can lead to competition or collaboration. Donors need to support the establishment of more strategic co-operation. For this to happen, donors need to support each organisation to focus on and invest in its specific areas of expertise and continue to play its distinctive role within the ISDR system.

## **To Sustainable Development Network (DGF sponsoring unit)**

### **6. In the future be expressive and set benchmarks with regards to unstated aims such as relationship building**

DGF funding has been effective in supporting the development of an organisational partnership, which creates an opportunity for future collaboration. Its duration and flexibility have been key characteristics, which have supported this. However, this could be strengthened by attention to monitoring of both progress towards outcomes and importantly of the overall success and state of the partnership over time.

## Annex 1 – ToR

[Available as a separate PDF file]



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Report

INDEPENDENT EVALUATION OF THE DGF  
FINANCED TRACK I OF THE GLOBAL  
FACILITY FOR DISASTER REDUCTION AND  
RECOVERY (GFDRR)

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DRAFT INCEPTION REPORT

Date: **13 February 2014**

Submitted by Itad

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## Acknowledgements

This Inception Report has been produced by the GFDRR Track I Evaluation Core Team - Robbie Gregorowski (Project Director), John Levers (Team Leader), and Teresa Hanley (Deputy Team Leader). GFDRR and UNISDR guided the report through the ToR, consultation and providing background documentation and context.

## Acronyms and Abbreviations

ASEAN	Association of South East Asian Nations
CCA	Climate Change Adaption
DGF	Development Grant Facility
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
GAR	Global Assessment Report
GFDRR	Global Facility for Disaster Reduction and Recovery
HFA	Hyogo Framework for Action
M&E	Monitoring and Evaluation
PRC	Partnership Resource Centre
ToR	Terms of Reference
UNISDR	United Nations office for disaster risk reduction

## 1 Introduction

This Inception Report refines the evaluation approach and methodology, defines the core evaluation component areas, and elaborates the evaluation matrix. The Terms of Reference (ToR), initial briefings and document review inform and guide the report. The report forms the first of five stages in this Independent Evaluation of the Development Grant Facility (DGF) Financed Track I of the Global Facility for Disaster Reduction and Recovery (GFDRR). The five stages are:

1. Inception stage
2. Evaluation stage
3. Analysis, triangulation and quality assurance stage
4. Reporting stage
5. Revision and response stage

The team elaborated its understanding of the evaluation and its priorities during a 2-day inception meeting in ITAD offices in Brighton, UK. This Inception Report articulates this understanding based on the ToR, briefings with GFDRR, an introduction to United Nations Office for Disaster Risk Reduction (UNISDR) and review of key background, reporting and DGF contractual documents.

The report structures the 10 key evaluation questions into the three core evaluation component areas. This reflects the overall purpose of the evaluation, and sharpens the evaluative focus on priority questions and conclusions. It also allows for different evaluative approaches and methodologies for each component area.

The time frame of the evaluation is challenging. Thus the team requests a GFDRR response to this Inception Report within seven-days to ensure progress against the work plan. Similarly, to maintain progress the evaluation team relies on GFDRR and UNISDR for access to data and stakeholders (past and present) relevant to Track I activities and management. Progress is dependent on access to a complete set of primary data, particularly 2010-13 project details and reports as well as key Track I management and reporting documents. Considering the challenging timeframe, a break point for possible reorientation of actions is planned for the week of March 3rd to allow for course corrections if required.

Immediate next steps include the submission and approval of this Inception Report. In addition, the Evaluation Team kindly request that GFDRR and UNISDR counterparts facilitate introductions and contact details, based on the evaluation matrix, to key stakeholders and counterparts in UNISDR, GFDRR and DGF. Additionally, the team will prioritise the interviewing of the UNISDR Resource Mobilization Chief Gillian Holmes before she vacates her position. Following the submission of the Inception Report, the Evaluation Team will continue background reading and document review as well as begin the development of templates and guides for the structured desk review and semi-structured interviews that form the core of our approach.

## 2 Our Understanding of the ToR

### Three Core Evaluation Component Areas

Drawing on the ToR, the team will address three interlinked core component areas which we have elaborated as three core questions. We have organised the evaluation around these three core components and elaborated them accordingly in the evaluation matrix and our approach and methodology.

**Component A - Track I results - To what extent have the outcomes of the grants provided by the World Bank's DGF contributed to GFDRR Track I objectives?**

GFDRR Track I of the Global and Regional Cooperation Program key objectives are<sup>15</sup>:

To enhance global and regional advocacy, strategic partnerships, and knowledge management for mainstreaming disaster risk reduction (DRR);

To promote the standardization and harmonization of hazard risk management tools, methodologies, and practices.

**Component B – GFDRR-UNISDR strategic collaboration - How beneficial is Track I strategic collaboration between UNISDR and GFDRR, for GFDRR's mission to generate global and regional collaboration around DRR?**

GFDRR's mission to generate global and regional collaboration around DRR partnership objectives is described in the GFDRR Partnership Charter (2010, p.2) as:

*"The GFDRR's mission is also to foster and strengthen global and regional cooperation among various stakeholders under the ISDR system, such as low- and middle income country governments, international financial institutions, UN agencies, research and academic institutions, intergovernmental organizations, civil society organizations, and the private sector, to leverage country systems and programs in disaster reduction and recovery. It promotes global and regional partnerships in (i) developing new tools, practical approaches and other instruments for disaster reduction and recovery, (ii) fostering an enabling environment at the country level that can generate greater investment in disaster mitigation practices within a sustainable legal, policy, financial and regulatory framework, (iii) facilitating knowledge sharing in reducing disaster risks and sustainable disaster recovery, and (iv) creating adaptive capacities for limiting the impact of climate change."*

**Component C - Future collaboration - What does the evidence generated under A and B suggest for ways to strengthen strategic cooperation between GFDRR and ISDR in the future?**

This is the formative component of the evaluation and will be based on the systematic synthesis of the data generated to address components A and B.

**Critical assumptions**

In order to address the three core evaluation questions we have made the following assumptions drawing on the ToR:

- The evaluation will focus on DGF-funded Track I activities between July 2010 and December 2013 hence the scope of the evaluation will be on Track I activities, outcomes and objectives.
- As visits (beyond visits to the GFDRR and UNISDR Secretariats) were deemed unnecessary, the evaluation will not attempt to generate significant primary data from and direct exposure to Track I activities and results generated at the Regional and Country level beyond semi-structured skype interviews with key GFDRR and UNISDR regional counterparts. Hence the evaluation team will rely on whatever routine results reporting at project / activity level is made available.
- The evaluation of component C – future collaborations - assumes that there is significant interconnectivity between the partnership of GFDRR and UNISDR with their contribution to the results of Track I objectives.

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<sup>15</sup> <https://www.gfdrr.org/grp>, accessed on 10 February 2014



### 3 Evaluation Matrix

The following matrix includes all ten key evaluation questions from the ToR. However, they are structured around three core evaluation areas elaborated above. This provides a sharper focus on key questions and allows the evaluation to apply different analysis approach to each area.

Key Evaluation Areas	Key Evaluation Questions	Approach, Method and Data Source/Stakeholder
<p><b>Component A – Track I results</b></p> <p><b>To what extent have the outcomes of the grants provided by the World Bank’s DGF contributed to GFDRR Track 1 objectives</b></p>	<p><b>Relevance:</b>  <i>To what extent have the global and regional partnerships supported through Track I helped to address global and regional DRR challenges?</i></p> <ul style="list-style-type: none"> <li>- How closely aligned and responsive are the supported partnerships and activities to the challenges identified during the implementation of the Hyogo Framework for Action (HFA) and elements of the post-HFA agenda?</li> <li>- How have the global and regional partnerships funded by Track I adapted to challenges identified during key moments of the HFA implementation (declarations, world conferences, regional priorities and agreements)?</li> <li>- <i>What contribution has Track I made to HFA priorities and challenges within the broader ISDR system, including with agenda setting leader such as UNDP and IGO such as ASEAN?</i></li> <li>- How have joint work agreements especially with IGO (with priority and agenda setting leadership) contributed to/benefited addressing global and regional DRR challenge?</li> </ul> <p><b>Efficiency:</b>  <i>To what extent have UNISDR-implemented activities helped to leverage (or influenced) DRR programming and funding at country level, with national budgets and how effective have these linkages been?</i></p> <ul style="list-style-type: none"> <li>- Are activities designed to leverage country level resources or influence (national budgets and donors)?</li> <li>- What programming and funding could be or is leveraged relative to the three/four outcomes in the grant agreements? What was Track I contribution to this leverage?</li> <li>- What resources are leveraged against UNISDR other global and regional program actions?</li> </ul> <p><b>Efficacy:</b></p>	<p><b>Component A will be evaluated using Contribution Analysis Approach.</b> This is complimented by a range of mixed-methods:</p> <p><b>Semi-Structured Interviews</b> (Face-to-Face and Skype):</p> <ul style="list-style-type: none"> <li>- Key GFDRR regional and global staff: -Track I management, regional coordinators, sample of focal point country reps, former Track I focal points, Track II and III focal points.</li> <li>- Key UNISDR regional and global staff: global programs (HFA, Global Assessment Report (GAR), Policy and Advocacy), Regional Co-ordinators, Resource Mobilisation Unit, Selected Senior Management.</li> <li>- DGF team</li> <li>- Sample of wider stakeholder interviews: Donors, Int. Orgs, Governments (South).</li> <li>- Regional NGOs DRR thematic focus groups.</li> <li>- Selected regional and global agenda setting focal points including donors, UNDP and IGO’s</li> </ul> <p><b>Focus Group based case-study:</b></p>

	<p><b><i>To what extent have DGF-funded activities under Track I achieved their stated objectives?</i></b></p> <ul style="list-style-type: none"> <li>- What evidence is there that UNISDR work under Track 1 have raised political commitment on DRR at the regional and national levels?</li> <li>- How much of these regional and global work have created regional strategies and plans, which have translated into national priorities?</li> <li>- <i>How has regional and global activities funded through Track 1 enabled work at the national level through global and regional partnerships on DRR, in particular those led by governments, and other partners?</i></li> <li>- What was the contribution to harmonising or standardising tools for use at national or regional level?</li> </ul> <p><b><i>To what extent have UNISDR-implemented activities complemented country specific activities in GFDRR Tracks II and III?</i></b></p> <ul style="list-style-type: none"> <li>- What tools, priorities/agenda setting or knowledge generated or facilitated by DGF funded activities was used by a sample of priority countries?</li> <li>- What additional benefits such as cross-border cooperation, network and learning, or resource sharing were facilitated by DGF-funded activities?</li> <li>- Has Track 1 contributed to harmonising or standardising tools for Track 1 and 3?</li> <li>- Are activities designed to leverage country level resources (national budgets and donors)?</li> <li>- What programming and funding could be or is leveraged relative to the three/four outcomes in the grant agreements? What was Track I contribution to this leverage?</li> </ul> <p><b><u>Monitoring and Evaluation (M&amp;E):</u></b></p> <p><b><i>To what extent did the UNISDR and the GFDRR put in place an effective M&amp;E framework for measuring the progress of its activities, outputs, and outcomes?</i></b></p> <ul style="list-style-type: none"> <li>- <i>What was the quality of the monitoring and reporting framework?</i> How was the M&amp;E system designed? Where all key stakeholders involved? Does the M&amp;E system report on all outcomes, outputs against targets? How SMART<sup>16</sup> were the indicators?</li> <li>- <i>How useful was the M&amp;E framework?</i> To what extent did the monitoring and reporting system identify challenges and produce information that was used to inform program implementation? What system was in place to inform programs, coordinate or to learn from or use information produced?</li> </ul>	<ul style="list-style-type: none"> <li>- Small sample of regional cooperation or thematic campaign groups, including the link with Track II and III</li> <li>- Sampling criteria: Geographic spread, thematic spread, longevity, fund allocation.</li> </ul> <p><b>Systematic Desk Review:</b></p> <ul style="list-style-type: none"> <li>- Sample of 2010-13 project reports and any evaluations</li> <li>- Track I Annual Planning, Reporting and Results Framework</li> <li>- Grant Agreements (2006 onwards)</li> <li>- Global and Regional Priority docs and agreements (i.e. ASEAN, world conference etc.)</li> <li>- Evaluation Reports</li> <li>- Minutes of collaboration meetings</li> <li>- HFA self-reporting</li> </ul>
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<sup>16</sup> specific, measurable, available/achievable in a cost effective way, relevant, and available in a timely manner

	<ul style="list-style-type: none"> <li>- What evidence is there that information or recommendations were used?</li> <li>- Did the system evolve to consider new developments?</li> <li>- How and at what level did information help coordination, collaboration or planning?</li> </ul> <p><b><u>Governance and Management</u></b></p> <p><i>To what extent has the governance and management of the program been transparent in providing information about Track I achievements to the broader ISDR system?</i></p> <ul style="list-style-type: none"> <li>- Is there an information-sharing plan (or plans within projects)? What information is shared? To who is the information shared?</li> <li>- Is there a system in place for consultation with the ISDR system? Who was consulted?</li> </ul>	
<p><b>Component B – UNISDR-GFDRR strategic collaboration</b></p> <p><b>How beneficial is the Track I strategic collaboration between UNISDR and GFDRR, for GFDRR’s mission based to generate global and regional collaboration around DRR?</b></p>	<p><b><u>Relevance</u></b></p> <p><i>How relevant has the UNISDR been to the GFDRR Program? To what extent have UNISDR's objectives contributed to those of GFDRR?</i></p> <ul style="list-style-type: none"> <li>- To what extent have the GFDRR and UNISDR relationship, comparative advantage, and resources been complementary in furthering global and regional collaboration and national action through IGO or global initiatives?</li> <li>- What was the original rationale for the partnership and how has this evolved over time?</li> </ul> <p><b><u>Efficiency:</u></b></p> <p><i>Were the operational modalities for programme work planning, monitoring and reporting efficient in ensuring effective coordination between the UNISDR and the GFDRR during the annual cycle of DGF-financed activities?</i></p> <ul style="list-style-type: none"> <li>- In what ways did the operational modalities for planning, monitoring and reporting on Track I implementation support effective coordination between UNISDR and GFDRR at the global and regional levels? Includes consideration of: <ul style="list-style-type: none"> <li>▪ Quality of design of planning, monitoring and reporting system</li> <li>▪ Evolution of the system over time</li> <li>▪ Use of information.</li> </ul> </li> <li>- To what extent did Track I implementation maximise the comparative advantages and resources of the two partners? Any opportunities missed?</li> </ul> <p><b><u>Efficacy</u></b></p> <p><i>To what extent have DGF-funded activities under Track I achieved their stated objectives?</i></p>	<p><b>Component B will be evaluated using Partnership analysis approach</b> drawing on the Partnership Resource Centre (PRC) Framework.</p> <p><b>Partnership Analysis Group Exercise and Discussion</b></p> <ul style="list-style-type: none"> <li>- UNISDR key stakeholders</li> <li>- GFDRR key stakeholders (Participants tbc)</li> </ul> <p><b>Semi Structured Interviews (Face to Face and Skype):</b></p> <ul style="list-style-type: none"> <li>- GFDRR regional and global (Track I management, Consultative Group members/chairs 2010-13, Results Management Council members, regional coordinators, sample of focal point country reps, former Track I focal points, Track II and III focal points)</li> <li>- Selected regional and global agenda setting focal points including donors, UNDP and IGO’s</li> </ul>



	<ul style="list-style-type: none"> <li>- In what ways has the GFDRR-UNISDR cooperation on Track I contributed to strategic collaboration between the two organisations beyond the Track I project/activity level?</li> <li>- To what extent has the strategic collaboration between UNISDR and GFDRR promoted wider global and regional collaboration on DRR (results to be derived from Component A evaluation activities).</li> <li>- How has the partnership been a means to for IGOs to influence GFDRR agenda?"</li> </ul> <p><b><u>M&amp;E</u></b>  <i>To what extent did the UNISDR and the GFDRR put in place an effective M&amp;E framework for measuring the progress of its activities, outputs and outcomes?</i></p> <ul style="list-style-type: none"> <li>- To what extent did the M&amp;E framework put in place, enable effective measurement and learning by both organisations and the effectiveness and any broader results of strategic partnership between GFDRR and UNISDR?</li> </ul> <p><b><u>Governance and Management</u></b>  <i>To what extent has the programme been accountable to the broader range of GFDRR donors and stakeholders?</i></p> <ul style="list-style-type: none"> <li>- What have been the strengths and weaknesses of governance and management structure for the partnership between UNISDR and GFDRR 2010-13 for furthering both the strategic partnership between the two and wider global and regional cooperation?</li> </ul> <p><b><u>DGF Specific questions</u></b>  <i>To what extent has DGF grants to UNISDR leveraged other donors' resources for the GFDRR programme?</i></p> <ul style="list-style-type: none"> <li>- To what extent and how has the DGF support contributed to the sustainability of the UNISDR?</li> </ul>	<ul style="list-style-type: none"> <li>- ISDR regional and global (HFA, GAR, Policy and Advocacy, Regional Co-ordinators, Resource Mobilisation Unit, Selected Senior Management)</li> </ul> <p><b>Systematic Desk Review:</b></p> <ul style="list-style-type: none"> <li>- Sample of 2010-13 project reports and any evaluations</li> <li>- Track I Annual Planning, Reporting and Results Framework</li> <li>- Grant Agreements (2006 onwards)</li> <li>- Evaluation Reports - UNISDR/GFDRR/Track I and selected activities</li> <li>- Minutes of collaboration meetings</li> <li>- Minutes of the Consultative Group and Results Management Council meetings 2009-13.</li> <li>- Joint paper on GFDRR-UNISDR collaboration tabled at Consultative Group meeting April 2012 (Washington)</li> </ul>
<p><b>Component C – Future collaboration</b></p> <p><b>What does the evidence generated under A and B suggest for ways to strengthen strategic cooperation between GFDRR and ISDR in the</b></p>	<p><b><u>DGF-specific questions:</u></b></p> <p><i>What are various options to strengthen strategic cooperation and results engagement between UNISDR and GFDRR, now that the DGF grants to UNISDR are ending?</i></p> <p><i>To what extent has the program been accountable to the broader range of GFDRR donors and stakeholders?</i></p>	<p><b>Component C will be evaluated using a synthesis approach</b> in two stages:</p> <ol style="list-style-type: none"> <li>1. Assembling the rationale and supporting evidence detailing how collaboration between GFDRR and UNISDR has catalysed Track I results in terms of regional partnerships and vice versa</li> <li>2. Drawing out a set of lessons and implications for future working</li> </ol>

<p><b>future?</b></p>	<p><i>Additional questions from Inception period</i></p> <p><i>What strategic lessons from the DGF-supported collaboration between GFDRR and UNISDR should be adapted and applied to strengthen, focus and better coordinate GFDRR's engagement with the global agenda-setting ISDR partners, such as UNDP, with a specific focus on HFA2, Post-2015 and regional agendas?</i></p>	<p>between GFDRR and UNISDR</p> <p><b>The synthesis process will be based on the evidence generated by the methods and sources listed above under components A and B. To conduct the synthesis the team will:</b></p> <ul style="list-style-type: none"> <li>- Hold a team synthesis and triangulation workshop at ITAD.</li> <li>- Addition data collection and validation to fill any information gaps using a small number of Skype interviews with key counterparts at GFDRR and UNISDR</li> </ul>
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## 4 Detailed approach and methodology

### Component A – GFDRR Track I results

**Component A approach** - As elaborated in our technical proposal, the evaluation team will apply a contribution analysis-based approach to component A through a robust set of mixed-methods to support effective triangulation and lesson learning.

As suggested in the ToR we are comfortable and familiar with applying Contribution Analysis as an organizing approach for assessing the likelihood of causality between outputs delivered and outcomes observed, supported by the assumptions (internal and external) at each level. Contribution Analysis is a method developed by an Itad associate, John Mayne, which builds upon and verifies a Theory of Change approach, to assess an agency's contribution to outcomes – in this case the extent to which a set of Track I projects/activities have contributed to realising overall GFDRR Track I objectives. We believe that establishing representative Track I pathway 'stories' and 'populating' them with credible evidence is the central tenant of the evaluation. In particular, Contribution Analysis is deemed a useful approach for component A of the evaluation because as well as verifying that a particular result/'story' has been delivered, the approach also requires the evaluator to consider other factors that may have contributed to that result and that the relative contribution is recognised.

**Component A methods** – To generate the data to support component A, the evaluation will design and apply a set of complementary mixed methods comprising:

#### 3. Background document review

Systematic desk review

Semi-Structured Interviews

Focus group based case studies.

The use of mixed methods will help us to avoid methodological or group biases and to triangulate findings from different sources.

**Background document review** is already well underway during the inception phase. We have established a dropbox document repository which has been well populated by both GFDRR and UNISDR counterparts. As we progress with the document review we will be able to identifying information gaps and further sources of information for review later in the evaluation. The document review will also provide a critical first step in establishing a spreadsheet database of GFDRR Track I projects/activities between 2010 and 2013 on which to base our sample.

**Systematic Desk Review** will build upon the background document review. To ensure consistency across the team and across documents, as well as a degree of standardisation we will use document review checklists which will be derived directly from the evaluation matrix; main findings will be documented in a document review pro-forma. The evaluation team has considerable experience in designing a standard document review proforma in order to systematically generate both qualitative and quantitative data on large portfolios of projects.

**Semi-Structured Interviews** form the core of our approach for engaging key stakeholders. The team will conduct semi-structured interviews with GFDRR and UNISDR key stakeholders face to face in both Washington and Geneva. The team will also remotely conduct a series of telephone and skype interviews with a sample of broader stakeholders and counterparts around the world. These interviews are anticipated to focus on engaging those responsible for implementing Track I activities/projects that fall within our sample as well as a small set of key DRR stakeholders external to GFDRR and UNISDR but who may be considered global and regional 'thought leaders' on global

and regional collaboration around DRR. These stakeholders will be engaged to offer a degree of external triangulation on the nature of Track I results.

We will develop topic guides around the evaluation questions, allowing the tailoring of questions according to the organisation or individual being interviewed during the inception period. This tool will ensure systematic coverage of topics by team members consulting with stakeholders possibly at different times, whilst retaining the flexibility to pursue unforeseen avenues of enquiry as they arise in the evaluation. This will give us a solid and comprehensive understanding of the topics under evaluation.

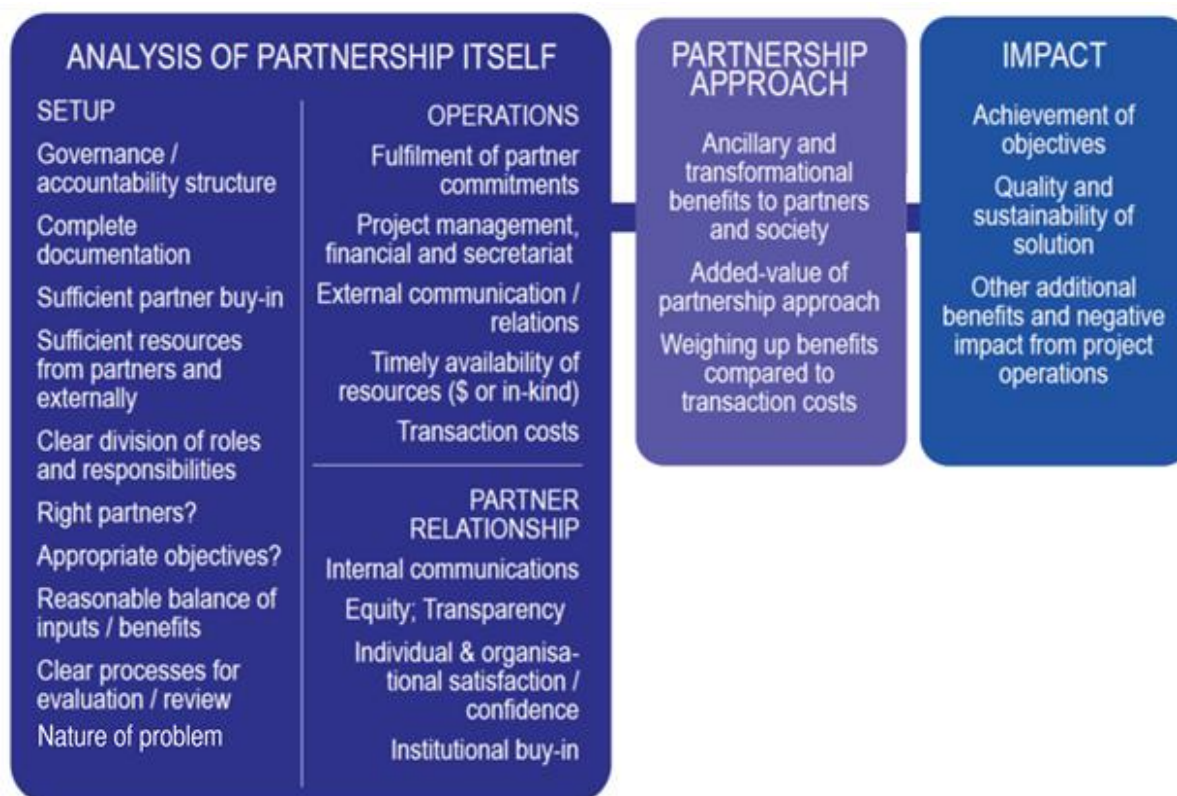
**Focus Group exercises** are expected to be conducted where the opportunity and appropriate grouping exists. In particular, focus group exercises may be used to develop a small number of **'illustrative' case studies** of Track I project/activity results. The opportunity for developing these case studies will be better understood once the Track I project/activity sample is defined and agreed. Focus groups supporting the development of case studies are likely to be either thematically or geographically focussed – e.g. with small groups of GFDRR or UNISDR Regional Coordinators or Representatives, or focussing on a particular DRR sub-theme which has received funding across multiple Track I activities/grants. We will attempt to hold at least one of these focus group exercises during our Secretariat Headquarter visits to Washington and Geneva. We will also investigate the feasibility of conducting one or two 'remote' focus group exercises using Skype to dial in multiple participants. These may attempt to engage 'counterfactual' groups (wider Disaster Risk Management (DRM)/DRR experts as well as the representatives of other DRM/DRR institutions) in order to engage those who have not been directly reached by Track I activities/projects.

**Note on web surveying** – Based on our preliminary background document review as well as our initial discussions with GFDRR and UNISDR counterparts, we are unsure of the utility or added value of web surveying as a method to support this evaluation. The primary reason for this is that we are unable to identify a distinct group of stakeholders who are could be surveyed on either Track I results or the nature of the GFDRR-UNISDR partnership with meaningful response rates and results. We would welcome further discussion/feedback on the potential utility of web surveying for this evaluation with counterparts from GFDRR and UNISDR who are likely to have a deeper understanding of the nature of Track I stakeholder/audience groups (and the extent to which their email contact details are easily accessible).

### **Component B – UNISDR-GFDRR strategic collaboration**

**Component B Approach** – Applying an analytical framework to assess the partnership between GFDRR and UNISDR. The GFDRR-UNISDR is a unique model aiming to bring together different but mutually reinforcing elements of the World Bank and United Nations systems. Whilst the assessment of the activities and results delivered under Track I will follow a standard program evaluation approach and method, the assessment of the wider partnership between GFDRR and UNISDR will be more robust if a dedicated analytical framework is applied. The different components of the partnership such as how it was set up and has evolved over time, how it is managed, how partners work together and with what results - all need to be considered. The evaluation needs to take account of both the partnership at the global level but also how it has evolved in different regions. How the modalities of partnership did or did not enable partnership effectiveness and development will also be considered. Unplanned results and benefits of the partnership will also be identified over and above those articulated in the results framework.

The methodology for evaluating component B of the evaluation will draw on the partnership framework presented in the original proposal and set out below. This is a framework developed by the Partnership Resource Centre (PRC).<sup>17</sup>



Basing the evaluation on the PRC framework will help facilitate a systematic assessment of: a) the partnership set up; b) partnership operations, modalities of operations and cooperation; and, c) partnership results and impact (over and above Track I results). The framework also facilitates the detailed examination of the less ‘tangible’ aspects inherent in any successful partnership including:

How the partnership has evolved in different contexts, locations, and over time –as the evaluation now does not include field visits this will be less extensively covered but available documentation and interviews will facilitate some analysis to draw lessons from different contexts.

How the objectives facing both GFDRR and UNISDR may both complement and conflict with each other in terms of global leadership and at regional levels, new knowledge generation and dissemination, and mobilising and coordinating stakeholder support.

**Component B Methods** – The primary method for better understanding the nature of the partnership and then extent to which Track I has contributed to a set of partnership outcomes which are greater than the sum of its individual activities / projects will be through a series of facilitated group discussions. The group discussions will be supplemented by a range of further mixed methods allowing for a degree of triangulation across data sources on the nature of the partnership.

**Facilitated group discussions** - The evaluation team will hold between two and four group discussions in Geneva and Washington (at least one each in each organisation) with 4-8 participants.

<sup>17</sup> <http://www.partnershipsresourcecentre.org/>

In a 90-minute facilitated discussion, groups will use a 6-point system to score and discuss the partnership against criteria derived from the partnership framework including those outlined below:

**i) Partnership set up**

- Synergy of organisations' objectives
- Clarity of partnership aims and anticipated outcomes
- Complementarity of each institutions resources, strengths and comparative advantages

**ii) Partnership implementation**

- Effectiveness of communication between partners at different levels
- Timeliness of inputs
- Effectiveness of harnessing resources within each organisation

**iii) Partnership relationship**

- Fulfilment of commitments
- Transparency
- Organisational buy-in
- Satisfaction with the partnership

**iv) Partnership approach**

- Added value of partnership approach
- Extent to which benefits outweighed costs of partnership approach

**v) Partnership results**

- Achievement of objectives (component A)
- Sustainability of strategic collaboration between UNISDR and GFDRR
- Additional results (positive and negative) of the partnership focusing on the promotion of regional and global collaboration around DRR

**Systematic document review** - The document review will consider partnership agreements, annual reports and a sample of activity reports (same as component A sample) to gather information on the relevance, efficiency, efficacy and results of the partnerships in different regions and at global level.

**Semi-structured interviews** – Complementing component A, the evaluation team will hold a series of individual face to face and skype-based semi-structured interviews to explore in more depth experiences of the partnership at the regional and global levels. An interview check-list with questions derived from the evaluation matrix will explore how the partnership worked in practice, what went well, the challenges and implications for future collaboration. Interviews will consider both the partnership at the global and strategic level but also focus on particular activities where relevant which will form part of case studies for the evaluation. Interviews will be with:

GFDRR regional and global (Track I management, regional coordinators, sample of focal point country reps, former Track I focal points, Track 1 and 3 focal points)

ISDR regional and global (HFA, GAR, Policy and Advocacy, Regional Co-ordinators, Resource Mobilisation Unit, Selected Senior Management)

## Component C – Future collaboration

**Component C Approach and Method** – Component C involves the systematic synthesis of the data and new knowledge generated on Track I by the evaluation team under components A and B. This draws on the Contribution Analysis-based approach which we presented in the technical tender document which aims to situate the nature of the GFDRR-UNISDR Track I partnership and results



within the wider DRR context which it is situated. The synthesis approach will be both summative (assessing Track I and partnership results) and formative (drawing on the results to inform future partnership working between GFDRR and UNISDR). The team will take a two-step approach:

1. Assembling the rationale and supporting evidence detailing how collaboration between GFDRR and UNISDR has catalysed Track I results in terms of regional partnerships and vice versa.
2. Drawing out a set of lessons and implications for future working between GFDRR and UNISDR.

The synthesis method involves two stages:

3. Facilitating an evaluation team synthesis and triangulation workshop at Itad where the data generated across Components A and B will be assembled, quality assured, triangulated and discussed. It is anticipated that the synthesis process will involve a 2-day meeting likely to be convened at Itad's offices in Brighton, UK. The workshop will incorporate the following activities:

Extracting the first emerging findings in the filter templates alongside a first check of evidence, using a rating system that will be developed in the desk phase.

Cross-checking templates between drafting team members to ensure rigour and completeness (each completed filter will be verified / quality assured by a second member of the team).

Assembling findings from all reports into a compilation by question and sub-question.

Analysing assembled findings across reports and categorizing responses, at this stage with references to specific individual reports.

A short period of additional data collection, key stakeholder follow-up consultation and validation to fill any information gaps and anomalies. This is likely to involve a small number of Skype interviews with key counterparts at GFDRR and UNISDR.

4. The final stage of the component C synthesis process will be for the evaluation team to write a first draft of the Track I evaluation report systematically covering each of the evaluation questions as defined in the evaluation matrix. In assessing the range of performance, the team will need to be alert to possible emerging categories or trends and their explanations.

## 5 Sampling strategy

We propose to interrogate GFDRR Track I activities/projects through a purposive sample based on the four criteria set out below. The sample of GFDRR Track I activities / projects will be primarily used to inform the systematic desk review, case study, and semi-structured interviews and focus groups set out in our approach and methodology above. The sample will be based on the following criteria:

Geographic spread, including global and also by region, priority countries for GFDRR/World Bank and leadership roles in DRR;

Thematic spread focusing on the two main GFDRR Track 1 objectives

Longevity of projects, focusing on projects with a continuous investment over time and grant contract years.

Fund allocation, focusing on projects and thematic areas that received substantial funding allocations.

Following submission of the Inception Report, we will work on establishing a spreadsheet database of GFDRR Track I projects/activities between 2010 and 2013. The spreadsheet database will be compiled based on UNISDR Track I workplans and will be populated with data based on the four sampling criteria / fields set out above. We will base the final sample selection on a purposive sample of projects/activities, attempting to provide a representative and stratified selection of projects/activities for more detailed interrogation. Once we have derived this sample we kindly request that GFDRR and UNISDR counterparts facilitate access to both the activity/project-level reporting and deliverables as well as introductions to those responsible for delivering the activities/projects (those who received Track I funding from UNISDR to implement and deliver the project).

## 6 Workplan and key milestones

Our revised workplan and output is shown below. The key milestones include:

- |                 |  |
|-----------------|--|
| 12 -19 February | Inception Report and feedback  |
| 19 February     | Sample interviews & selection of projects for case study                       |
| 19 February     | Interview templates developed  |
| 10 March        | Team meeting and calibration of workplan by Skype – contract review beak point |
| 11 March        | Washington visit   |
| 18 March        | Geneva visit   |
| 3-4 April       | Synthesis workshop at Itad   |
| 15 April        | Draft Final report submission  |



## Workplan - Independent Evaluation of the DGF Financed Track 1 of the GFDRR

	Weeks	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
		W/C - 27 Jan	W/C - 3 Feb	W/C - 10 Feb	W/C - 17 Feb	W/C - 24 Feb	W/C - 3 Mar	W/C - 10 Mar	W/C - 17 Mar	W/C - 24 Mar	W/C - 31 Mar	W/C - 7 Apr	W/C - 14 Apr	W/C - 21 Apr	W/C - 28 Apr	W/C - 5 May
<b>Phase 1 - INCEPTION</b>																
Evaluation Team members hold initial orientation teleconference with GFDRR TTL - est. field visit details		■														
Evaluation Team conduct preliminary background reading & research on Track 1 Partnership			■													
Evaluation Team kick-off workshop at Itad - draft evaluation matrix, elaborate fieldwork, methodology, & implementation plan			■													
Evaluation Team agree, draft and finalise Inception Report including field visit protocols				■												
Evaluation Team present Inception Report to GFDRR TTL				★												
<b>Deliverable - INCEPTION REPORT</b>				★												
Evaluation Team begin preparation of field visits and desk-review				■												
<b>Phase 2 - EVALUATION</b>																
Evaluation Team identify list of documents for review and draw up document analysis check-list / textual analysis proforma					■											
Evaluation Team conduct small number of Skype interviews with key GFDRR & UNISDR Secretariat & in-country stakeholders					■	■										
Evaluation Team undertake desk-based document review					■	■	■									
Evaluation Team meeting and calibration of workplan by Skype – contract workplan review point							■									
Evaluation Team Leader & Deputy Team Leader visit GFDRR Secretariat - Washington								■								
Evaluation Team Leader & Deputy Team Leader visit UNISDR - Geneva								■	■							
Evaluation Team conduct interviews with key stakeholders according to thematic / technical responsibility					■		■		■		■					
<b>Phase 3 - ANALYSIS, TRIANGULATION &amp; QUALITY ASSURANCE</b>																
Evaluation Team hold synthesis workshop at Itad's offices											■					
Evaluation Team conduct on-going data analysis - assembling & assessing country-level contribution stories, gaps & challenges										■	■	■				
Evaluation Team produce final analysis & QA of primary data collected - 'population' of contribution stories within overall ToC										■	■	■				
Evaluation Team conduct additional follow-up data collection (telephone interviews & document analysis) - based on evidence gaps												■				
Evaluation Team hold 2nd synthesis & key findings triangulation meeting - define set of initial findings & recommendations												■				
<b>Phase 4 - REPORTING</b>																
Evaluation Team draft relevant sections of final report												■	■			
Consolidation and revision of final draft report by TL												■	■			
<b>Deliverable - DRAFT EVALUATION REPORT inc. Exec Summ, synthesis of findings &amp; recommendations</b>												★				
<b>Phase 5 - REVISION</b>																
Evaluation Team revises Final Report in line with GFDRR / UNISDR review												■				
<b>Deliverable - FINAL EVALUATION REPORT</b>														★		
Evaluation Team Leader & Deputy Team Leader present evaluation findings & recommendations to key Track 1 stakeholders														■		
Evaluation Team quality assure, edit & re-format Final Report as a 'public-domain' document														■		
<b>Deliverable - EDITED FINAL EVALUATION REPORT</b>																★

Key:  
 ★ - Deliverable  
 ■ - Desk-based input  
 ■ - Overseas / field visit input

## 7 Final Report Format and Draft Table of Contents

The process of analysis and writing often modifies a draft report structure. However, as a starting point, the proposed format is as follows:

Acronyms & abbreviations

Acknowledgements

Executive Summary

1. Introduction
2. Evaluation purpose and methodology
3. Findings (note: each of the specific evaluation questions defined in the ToR will be addressed with components 3.1 to 3.3 as they are organised in the evaluation matrix)
  - 3.1. Component A - Track I results
  - 3.2. Component B - UNISDR-GFDRR strategic collaboration
  - 3.3. Component C - Future collaboration
4. Conclusions
5. Recommendations

## 8 Key Clarifications for GFDRR and UNISDR

We have a small number of key clarifications that will support our understanding of the evaluation. We request the client kindly provide guidance on before we proceed with the evaluation:

**Accessing project / activity level documentation and deliverables** - UNISDR have clarified that little, if any, systematic Track 1 activity/project-level reporting is available for the team in terms of analysis. This has implications as our method anticipated significant data analysis based on project-level document review that is now not feasible. In addition, there is little opportunity for primary data collection at the activity / project level by the team as country visits were dropped from the evaluation work plan during contract negotiation. Therefore, noting these limitations, data collection will rely on the program level documentation that is made available as well as an increased focused on semi-structured interviews (face to face and Skype) with a set of relevant stakeholders at GFDRR and UNISDR HQ and in the relevant regions and countries.

**Client review, comment and response process** –We recognise that for the evaluation to be successfully delivered against an ambitious timeline requires a high degree of iterative and participatory working between the three key stakeholder groups involved – the evaluation team, GFDRR, and UNISDR. We are also keen to adhere to the terms of our contract with the World Bank and through this establish a simple, clear and efficient evaluation review, commenting and response process. According to the terms of our contract, it is our understanding that all formal evaluation deliverables will be submitted to the GRDRRGFDRR through Hemang Karelia. GFDRR will then coordinate the client review and commenting process (including UNISDR) and according to the timeline set out in the workplan.

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## Annex 4 – List of people interviewed

### GFDRR/World Bank

Name	Position	Organisation
<b>Hemang Karelia</b>	DRM Operations Officer	GFDRR, Washington DC
<b>Prashant</b>	Team Leader, Track I	GFDRR, Washington DC
<b>Alanna Simpson</b>	Team Leader, GFDRR Labs	GFDRR, Washington DC
<b>Francis Ghesquiere</b>	Head of GFDRR Secretariat and Manager, DRM Practice Group	GFDRR, Washington DC
<b>Luis Tineo</b>	Team Leader, Track II	GFDRR, Washington DC
<b>Robert Reid</b>	DRM Specialist, Track I	GFDRR, Washington DC
<b>Daniel Kull</b>	Senior DRM Specialist	GFDRR, Geneva
<b>Raja Arshad</b>	Team Leader – Sustainable Recovery	GFDRR, Washington DC
<b>Vladimir Tsirkunov</b>	Team Leader –Weather and Climate Information for Decision Support (WCIDS) Program	GFDRR, Washington DC
<b>Anju Sharma</b>	Senior Program Officer and DGF program manager	World Bank, Washington DC
<b>Francis Muraya</b>	DRM Specialist, Africa	World Bank, Washington DC
<b>Jolanta Kryspin-Watson</b>	Regional Coordinator DRM, EAP & Sr. DRM Specialist	World Bank, Washington DC
<b>Alison Cave</b>	Coordinator, CRS	World Bank, Washington DC
<b>Lydia Kruse-Tietz</b>	Partnership Adviser, Sustainable Development Network	World Bank, Washington DC
<b>Christoph Pusch</b>	Regional Coordinator DRM, Africa & Lead DRM Specialist	World Bank, Washington DC
<b>Joaquin Toro</b>	Senior DRM Specialist, ECA Urban, Water, and DRM	World Bank ,Vienna
<b>Abhas Jha</b>	Sector Manager, EAP Infrastructure	World Bank, Washington DC
<b>Saroj Kumar Jha</b>	Regional Director for Central Asia	World Bank, Almaty
<b>Margaret Arnold</b>	Senior Social Development Specialist	World Bank, Washington DC
<b>Franck Bousquet,</b>	Sector Manager - MENA	World Bank, Washington DC
<b>Andrea Zanon</b>	Senior DRM Specialist – MENA	World Bank, Washington DC
<b>Catherine Lynch</b>	Urban Economist	World Bank, Washington DC

## National and regional organisations

Name	Position	Organisation
<b>Adelina Kamal</b>	AD Disaster management and Humanitarian Assistance Division	ASEAN Secretariat
<b>Kennedy Masamvu</b>	DRR Senior Expert	DRR Unit, SADC Secretariat
<b>Arabela Vahtaric</b>	Head of Department, International Cooperation	International Cooperation Department, National Protection and Rescue Directorate, Croatia
<b>Natasa Holcinger</b>	Senior Adviser in Preventive Measures	International Cooperation Department, National Protection and Rescue Directorate, Croatia
<b>Aneson Cadribo</b>		African Union Commission
<b>Dominique Kuitsouc</b>	Climate Change Adaptation Expert	Economic Community for Central Africa States (ECCAS)
<b>Mohammed Ibrahim</b>	Head of Division	Disaster Risk Reduction Division of the Directorate of Humanitarian and Social Affairs, ECOWAS
<b>Shahira Wahbi</b>	Chief, Sustainable Development	League of Arab States
<b>Ivan Baras</b>	Assistant Head of Sector	<a href="#">Sector for Emergency Management, Ministry of Interior</a> , Serbia
<b>Santosh Kumar</b>	Director	SAARC Disaster Management Center
<b>Mosese Sikivou</b>	Director - DRM	SPC

## UNISDR

Name	Position	Organisation
<b>Hang Thi Thanh Pham</b>	Focal point for East Asia	Regional Office for Asia
<b>Madhavi Ariyabandu</b>	Focal Point for South Asia	Regional Office for Asia
<b>Timothy Wilcox</b>	Head	Sub-Regional Office for the Pacific
<b>Elizabeth Longworth</b>	Director	UNISDR Geneva HQ
<b>Gillian Holmes</b>	Formerly focal point for UNISDR-GFDRR relations	UNISDR Geneva HQ
<b>Irina Zodrow</b>	Associate Programme Officer, Resource Mobilization	UNISDR, Geneva HQ
<b>Rahul Sangupta</b>	Associate Programme Officer, Executive Office	UNISDR, Geneva HQ

<b>Christel Rose</b>	Programme Officer	IGO cooperation, schools, formerly Regional Office Support and Coordination Unit(ROSCU))
<b>Dionyssia Geka</b>	Chief	Executive Office Geneva HQ
<b>Zulaqarnain Majeed</b>	Programme Officer	Executive Office Geneva HQ
<b>Luna Abu-Swaireh</b>	Programme Officer	Regional Office for Arab States
<b>Andrew Maskrey</b>	Chief	Risk Knowledge Section, GAR team
<b>Craig Duncan</b>	Senior Programme Officer	Preventionweb
<b>Sarah Wade-Apicella</b>	Managing Editor	Preventionweb
<b>Jerry Velasquez</b>	Former head of Asia Pacific	Partnership and Outreach
<b>Abhilash Panda</b>	Partnership and Outreach	UNISDR
<b>Ana Cristina Thorlund</b>	Partnership and Outreach	UNISDR
<b>John Harding</b>	Inter-agency Coordination and	UNISDR
<b>Neil McFarlane</b>	Chief	DRR Coordination Section
<b>Margareta Wahlström</b>	SRSB for DRR	UNISDR
<b>Sharon Rusu</b>	Head	UNISDR Regional Office for Africa
<b>Raul Salazar</b>	Regional Planning	UNISDR Regional Office, Latin America
<b>Paola Albrito</b>	Regional Coordinator for Europe	The United Nations Office for Disaster Risk Reduction
<b>Youcef Ait Chellouche</b>	Deputy Regional Coordinator	UNISDR Regional Office for Africa
<b>Stefanie Dannenmann-Di Palma</b>	Programme Officer	United Nations Office for Disaster Risk Reduction

## Donors

<b>Name</b>	<b>Position</b>	<b>Organisation</b>
<b>Atsushi Karimata</b>	Global Issues Cooperation Division	Ministry of Foreign Affairs, Japan
<b>Pedro Oliveira</b>	Programme Manager, External Relations Development and Cooperation Directorate Division	EuropeAid, Brussels
<b>Martin Hopper</b>	Deputy Programme Manager	DFID
<b>Jozias Blok</b>	Policy Officer DRR	Unit DEVCO C2
<b>Thomas de Lannoy</b>	Policy Officer	Unit ECHO A3
<b>Philipp Beutler</b>	Deputy Head, Multi-Lateral Affairs Division	Swiss Agency for Development and Cooperation
<b>Amanda Aspden</b>	Assistant Director	DFAT Australia

## Annex 5 - Scorecard

### Scorecard for - GFDRR-UNISDR partnership and program

The evaluation aims to review the partnership between GFDRR and UNISDR, and the activities financed by the DGF grants, on the achievement of the mission and objectives of the GFDRR Program. It will assess whether the modalities of DGF support under Track 1 were effective in shaping and supporting a strategic partnership between UNISDR and GFDRR, and the contribution of this partnership to generating global and regional collaboration around disaster risk reduction. The evaluation will also identify ways to strengthen strategic cooperation and results moving forward.

In particular the evaluation is looking at how beneficial is Track I strategic collaboration between UNISDR and GFDRR, for GFDRR’s mission to generate global and regional collaboration around DRR? To help with this process it would be extremely beneficial to learn of your views on the following the questions.

Please score the following aspects of the partnership **6 is High/Excellent and 1 is Low/Poor** (15 minutes). We will then discuss together to expand upon the scorings for more detail and examples or if filling this in individually by email please add any comments to expand upon your scores in an additional page or email. **Thank-you!**

**All scores and comments will be treated confidentially and taken within the context of our dialogue.**

	1 Low	2	3	4	5	6 High
1. How clear are the intended outcomes of the GFDRR-UNISDR partnership under Track 1						
2. To what extent are each organisation's strengths complementary?						
3. How effective is communication between UNISDR and GFDRR?						
4. To what extent has the Track 1 planning process enabled or prompted wider strategic collaboration between GFDRR and UNISDR?						
5. To what extent have reporting and monitoring systems for Track 1 facilitated wider strategic collaboration between GFDRR and UNISDR?						
6. How effectively have the organisations drawn on their comparative advantages to promote global and regional collaboration around DRR?						
7. How high is the added value of the partnership approach to achieving global and regional collaboration around DRR?						
8. How would you rate the "health" of the relationship?						
9. How effectively is the "health" of the partnership monitored?						
10. To what extent has your organisation bought into the partnership?						
11. How satisfied are you with the partnership?						
12. To what extent has the Track 1 cooperation contributed to broader, strategic organisational collaboration?						
13. How sustainable is the GFDRR-UNISDR relationship beyond the Track 1 funding period?						
<b>On achievements against objectives</b>						
14. How well has Track 1 built global commitment to risk reduction?						
15. How well has Track 1 improved global, regional and sub-regional cooperation in identification and mitigation of disaster risks?						

**Independent Evaluation of the DGF Financed Track I of the Global Facility for Disaster Reduction and Recovery – Inception Report**

16. How well has Track 1 widened the global and regional dialogue for disaster reduction with all stakeholders, particularly private sector, scientific organizations, and media networks?						
17. How well has Track 1 learnt and disseminated of good practices in disaster reduction?						
18. How well has Track 1 improved the ISDR system-wide collaboration in support of national initiatives for disaster reduction?						
19. How effective is the M&E framework for measuring the progress of its activities, outputs, and outcomes?						
20. How well has information about Track I achievements being shared with the broader ISDR system?						
21. How confident are you that this partnership will continue without a direct funding relationship?						

**Comments: Please provide any additional comments and future recommendations.**

## Annex 6 - UNISDR/GFDRR Funding Contributions and Expenditure

### Part 1 - Donor Funding UNISDR

**Table 1: UNISDR Income by donor 2010 – 2013 as per annual reports (not including private sector) showing World Bank/DGF as a percentage of total donor funding**

Donors	Total Income (as of June 30 <sup>th</sup> each year)			
	2010	2011	2012	2013
Total annual and additional contributions	US\$27.7 million	US\$25.5 million	US\$33.1 million	US\$28.9 million
Of which from World Bank/	US\$4.8 million	US\$4.25 million	US\$4.3 million	US\$2.03 million
Number of donors	19	22	25	22
WB funding as % of total	17.33%	16.67%	12.99%	7%

The funding (US\$) provided by the World Bank in proportion to the total funding received by the UNISDR for the years 2010 – 2013 is illustrated in the below charts. The first shows the actual annual amount provided by the World Bank in US dollars. The second shows WB funding as a percentage of total funding received by UNISDR.

**Figure 1: Annual funding provided by the World Bank to UNISDR compared to the total amount received 2010 – 2013**

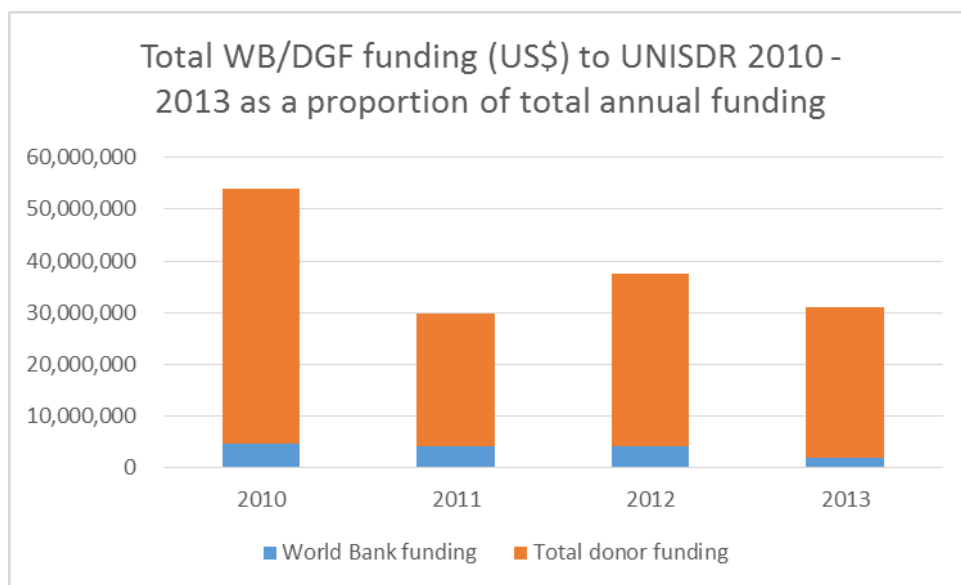
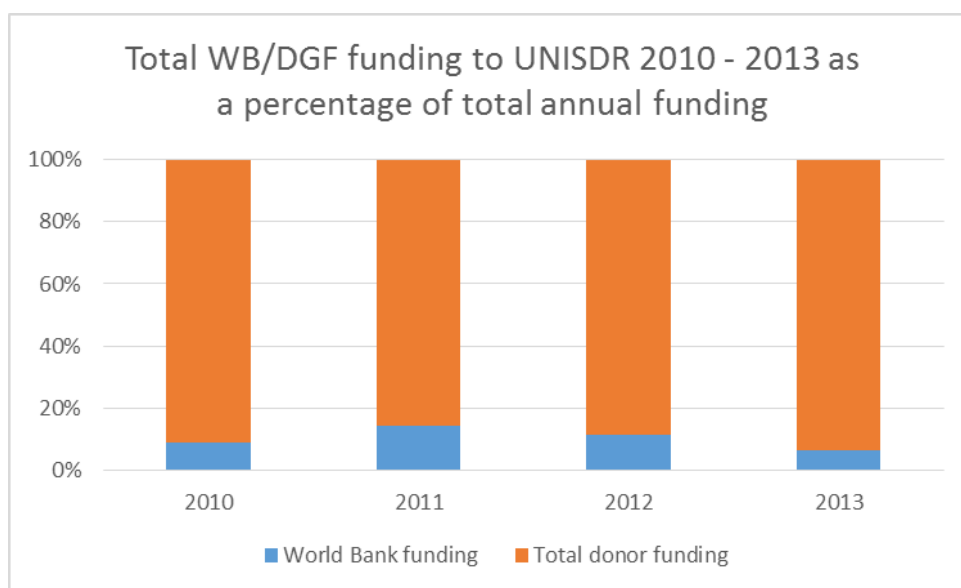


Figure 2: Annual funding provided by the World Bank to UNISDR as a percentage of the total amount received 2010 – 2013



Source: UNISDR Annual Reports 2011 and 2012. UNISDR (nd): UNISDR Donor Contributions 2012-2013 for the Biennium 2012 – 2013

## Part 2: GFDRR Donor Funding

This table displays the annual income received by GFDRR Track 2, Track 3 and ACP/EU from different donors and the World Bank/DGF. It sets out the percentage of income contributed by the World Bank to the total funding received by GFDRR for the years 2010, 2011 and 2012.

Table 2: Annual donor contributions received by GFDRR Track II, III and ACP/EU (in US\$ THOUSANDS)

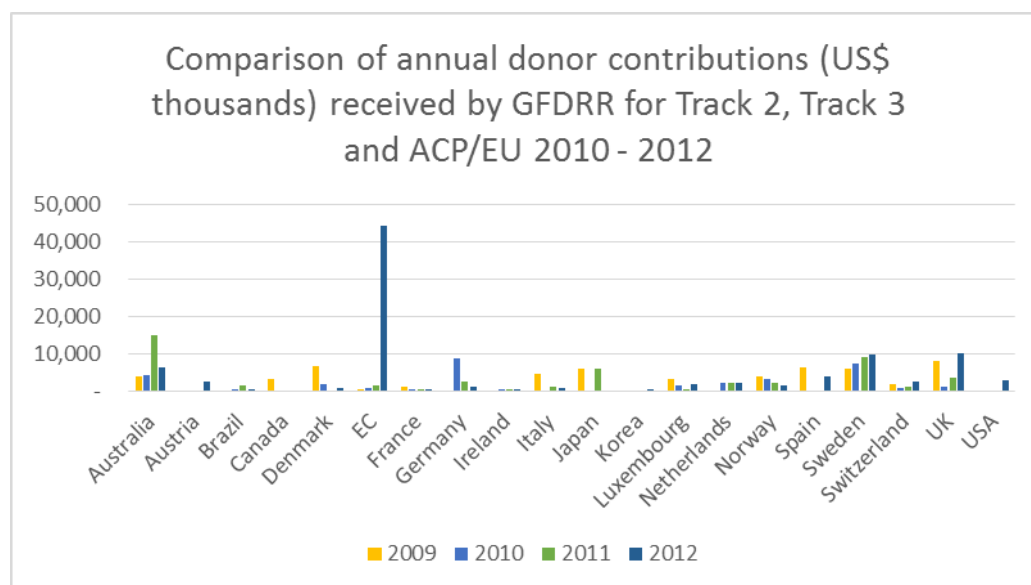
GFDRR Member Contributions to Track 2, Track 3 and ACP/EU	2010	2011	2012
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Donors	Total as of June 30	Total as of June 30	Total as of June 30
Australia	4219	14925	6407
Austria	0	0	2499
Brazil	50	1488	203
Canada	0	0	0
Denmark	1814	0	859
EC	874	1597	44331
France	215	33	183
Germany	8602	2703	1314
Ireland	357	317	389
Italy	0	1262	914
Japan	0	6000	0
Korea	0	0	270
Luxembourg	1627	500	1825
Netherlands	2200	2200	2200
Norway	3096	2359	1358
Spain	0	0	3767
Sweden	7258	9122	9717
Switzerland	725	1151	2632
UK	1248	3714	10036
USA	0	0	3040
Total without World Bank	32285	47371	91944
World Bank (Track 1)	5000	4250	4250
Other World Bank contributions	872	938	793
World Bank Total	5872	5188	5043
Grand Total (including WB)	38157	52559	96987

Source: GFDRR 2012 Annual Report

This income received by the GFDRR in 2009, 2010, 2011 and 2012 from different donors is illustrated in Figure 3 below.



**Figure 3: Annual funding contributions provided by donors to GFDRR 2010 - 2013**


Source: GFDRR 2010 and 2012 Annual Reports

### Detail of Total GFDRR Expenditure for the period 2010 – 2012

The detailed breakdown of GFDRR allocated funds, including for Track 1, and actual expenditure by region/ global and year is displayed in Table 3 below.

**Table 3: GFDRR Expenditures for Program Activities, Program Management and Support, Trust Funds Administration and Fees from fiscal 2010 to June 30, 2012.**

Expense Category	2010	2011	2012 (Jul-June)	Total (by expense category)
<b>1.0 Program Activities</b>	24,450	28,733	37,326	<b>90,509</b>
- o/w Track I	5,000	4,250	4,250	<b>13,500</b>
- o/w Track II (Core)	13,710	17,179	25,579	<b>56,468</b>
- o/w Track II (Non-Core)	1,399	1,396	1,871	<b>4,666</b>
- o/w ACP/EU (Non-Core)	0	0	561	<b>561</b>
- o/w Track III	4,341	5,968	5,065	<b>15,374</b>

<b>2.0 Administration/ Program Management</b>	1,171	1,586	2,212	<b>4,969</b>
<b>3.0 Administrative Fees</b>	1,614	1,811	3,319	<b>6,744</b>
<b>Total (by year)</b>	<b>27,235</b>	<b>32,130</b>	<b>42,857</b>	<b>102,222</b>

Source: *GFDRR 2012 Annual Report part 1: Detail of Funds Allocated and Actual Expenditure for GFDRR Track 1 by Regional, Global and Support Costs for the period 2010 – 2013*

## Annex 7 – Monitoring and evaluation system

In 2011, the following results framework was developed with assistance from UNISDR. UNISDR helped to populate the indicators by region. The framework was thus tested. The CG did not endorse this framework. Both UNISDR and GFDRR developed M&E frameworks at this same time for their programs not limited to track 1.

<b>GFDRR Results Framework including an FSI for UNISDR Track 1</b>	
<b>Developmental Objective</b>	<b>Program Outcome Indicators</b>
Expand, strengthen and deepen global and regional partnerships for supporting national disaster risk reduction and climate change adaptation.	2. Increase in number regional and sub-regional organizations with enhanced DRR and CCA capacities, resources and portfolios
	<b>UNISDR Subset Indicators</b>
	ii. Number and percentage of regional intergovernmental organizations having a DRR/CCA focal point (previous indicator) that is supported by GFDRR Track 1
	i. Number of regional intergovernmental organizations with a DRR/CCA focal point (spending more than 50% of time on DRR)
	iii. Number of regional organizations with a DRR/CCA unit/department/sector
	iv. Total number of regional organisation staff having DRR/CCA in their job description or TORs
	v. Number of regional organizations with an identifiable DRR/CCA specific (multi-)annual budget
	<b>Total Score</b>
<b>Intermediate Outcomes</b>	<b>Intermediate Outcome Indicators</b>
2. Enhanced regional capacities to address disaster risk reduction.	a. Increase in the number of regional strategies and frameworks to address DRR and CCA
	<b>UNISDR Subset Indicators</b>
	i. Number of regions with agreed strategic documentation indicating political commitment (e.g. DRR/CCA policies/frameworks)
	ii. Number of regions with agreed strategic documentation indicating action orientation (e.g. DRR / CCA action plan, road map and so on)
	iii. Number of regional policies that integrate DRR / CCA as a core element to advance the social, economic and environmental work
	iv. Number of regions committed to cross-border information sharing on DRR related issues, indicated through an official agreement
	<b>Total Score</b>
	b. Increase in, or strengthening of, regional DRR and CCA support systems
	<b>UNISDR Subset Indicators</b>
	i. Number of regional organizations with DRM experts to support member countries
ii. Number of regional networks/rosters of DRM experts in place to support	

countries
iii. Number of people receiving DRM training from regional organizations
iv. Number of countries, regional organizations or institutions that have carried out risk assessments thus demonstrating risk assessment capacity (technical and financial).
v. Number of regional declarations, networks or mechanisms on DRR data sharing and/or knowledge sharing
vi. Number of regions with cross-border early warning or hydro-meteorological systems in place (weighted by level of coverage and accuracy)
<p><b>General comments and guidance:</b></p> <p>This is part of the new results framework that is being operationalized for all GFDRR operations.</p> <p>Reporting on these indicators will take place on a regular basis, and will eventually be merged with RBMS reporting system?</p> <p>This first round is exceptional because it is looking back in time to take stock of progress of the Track I work program since inception (2007)</p> <p>Once the baseline and past progress has been set, regular reporting will just take stock of annual progress, compared to the respective baseline.</p> <p>All reference to regions would mean regions or sub-regions and regional organizations also include sub-regional organizations.</p> <p>Where possible provide data annually. If not possible provide data for pre- 30 June 2007 &amp; as of 31 December 2010.</p> <p>Baseline date is 30 June 2007.</p>

## Annex 8 - Detail of Track 1 Expenditure for the period 2010 - 2013

Whereas Table 3 in Annex 6 illustrated the GFDRR expenditure across all tracks, Table 4 displays the actual expenditure for Track 1 only. Table 4 provides the detailed break-down of funding for different regions and for global activities. The allocated funds are also shown to illustrate how commitments compare to the actual expenditure. Table 4 also displays the combined total expenditure by year for the period 2010 – 2013.<sup>18</sup>

**Table 4: Break-down of GFDRR Track 1 actual expenditure by region and global from 2010 to 2013**

Regions	Allocated funds (US\$)				Actual Expenditure (US\$)			
	2010	2011	2012	2013	2010	2011	2012	2013
AF	850,000	700,000	700,000	375,000	845,020	705,405	682,509	114,964
SEAP	557,000	500,000	500,000	250,000	576,965	447,948	496,421	140,000
ECA	550,000	500,000	500,000	250,000	525,064	479,480	503,186	111,862
SA	550,000	500,000	500,000	250,000	556,310	558,033	479,522	50,203
MENA	550,000	500,000	500,000	250,000	547,904	498,718	531,619	188,095
LAC	550,000	500,000	500,000	250,000	551,729	523,708	528,877	185,897
<b>Total Regional</b>	<b>3,607,000</b>	<b>3,200,000</b>	<b>3,200,000</b>	<b>1,625,000</b>	<b>3,602,992</b>	<b>3,213,292</b>	<b>3,224,244</b>	<b>791,021</b>
Global	717,545	663,600	663,600	193,182	721,613	651,094	645,225	122,196
Support Costs	432,455	386,360	386,400	181,858	432,460	386,439	386,747	104,910
<b>TOTAL</b>	<b>4,757,000</b>	<b>4,249,960</b>	<b>4,250,000</b>	<b>2,000,040</b>	<b>4,757,065</b>	<b>4,250,825</b>	<b>4,254,216</b>	<b>1,018,127</b>

Source: 'UNISDR - Global Facility for Disaster Risk Reduction - FY 2010', 'Results Frameworks and work plans' and the FY2010 Development Grant Facility Window 1 - GFDRR DGF File: 203010 Grant Agreement'

<sup>18</sup> 'UNISDR - Global Facility for Disaster Risk Reduction - FY 2010', 'Results Frameworks and work plans' and the FY2010 Development Grant Facility Window 1 - GFDRR DGF File: 203010 Grant Agreement' documents.

### GFDRR Track 1 Expenditure by Regional & Global Activities, and Support Costs

Figure 4 demonstrates how the total annual spending of GFDRR Track 1 funds for 2010 – 2013 were distributed across regional activities (the total of the regions listed in Part 2 above), global activities and support costs.

<b>Approximate Contribution of Track I to Regional Expenditure of UNISDR (2010-2013)</b>	
Total Track I	15.28
% of Regional Track I	90%
Total Regional Track I (2010-13)	13.75
Total UNISDR Regional Expenditure (2010-13)	57.70
% of Regional Track I to UNISDR Regional	<b>23.83%</b>

**Figure 4: GFDRR Track 1 Actual Expenditure 2010 – 2013**

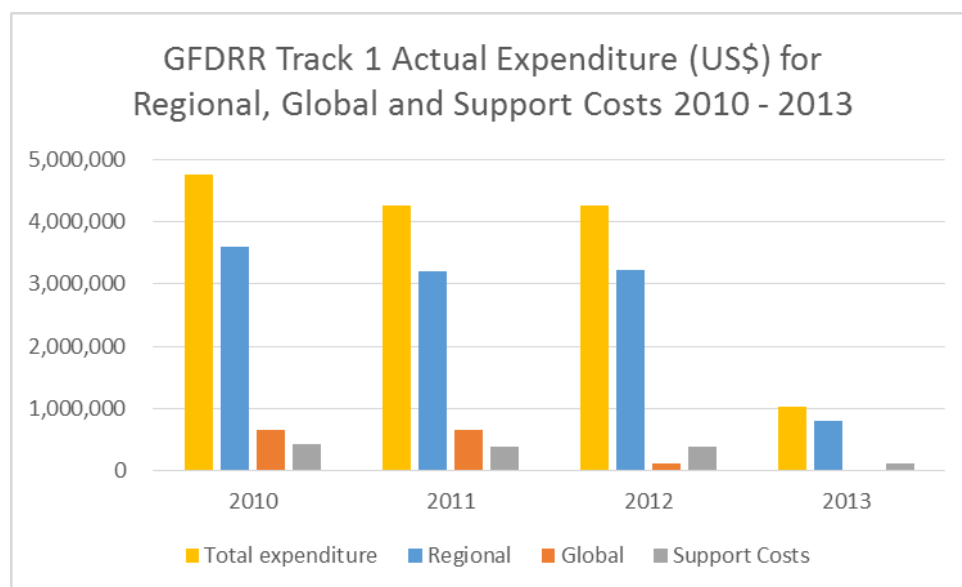


Figure 5 illustrates the evolving distribution of expenditure across these categories for the years 2010, 2011, 2012 and 2013.

**Figure 5: Proportions of GFDRR Track 1 Finance Distributed to Regional, Global and Support Costs for the years 2010, 2011, 2012 and 2013**

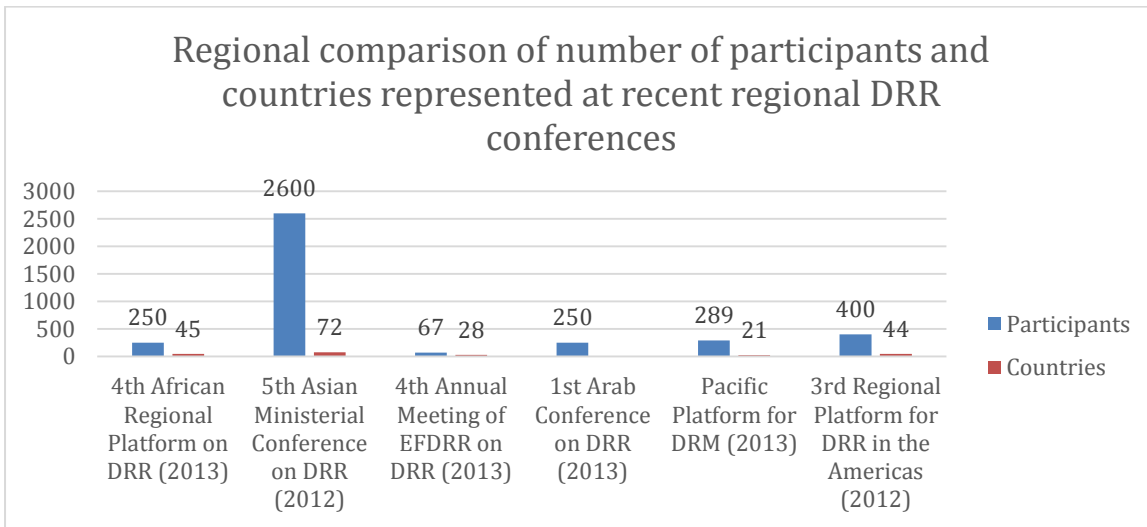


## Annex 9 – Participation in global and regional platforms

### Part 1: Seniority levels of government participants attending regional events

The regional platforms have evolved over the life of the Hyogo Framework for Action (HFA) 2005 – 2015 with increasing numbers of participants and countries represented at regional conferences. The wide range of participant numbers and countries represented across regions is illustrated in Figure 6

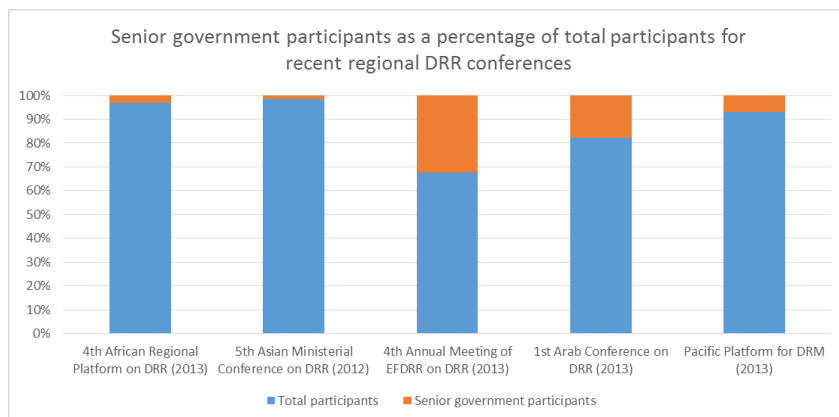
**Figure 6: Number of participants and type of countries represented at regional events**



Source: Regional conference reports and participant lists provided by UNISDR/GFDRR focal points reports and participant lists provided by UNISDR/GFDRR focal points



**Figure 7: Number of senior government participants as a percentage of total participants for recent DRR conferences**



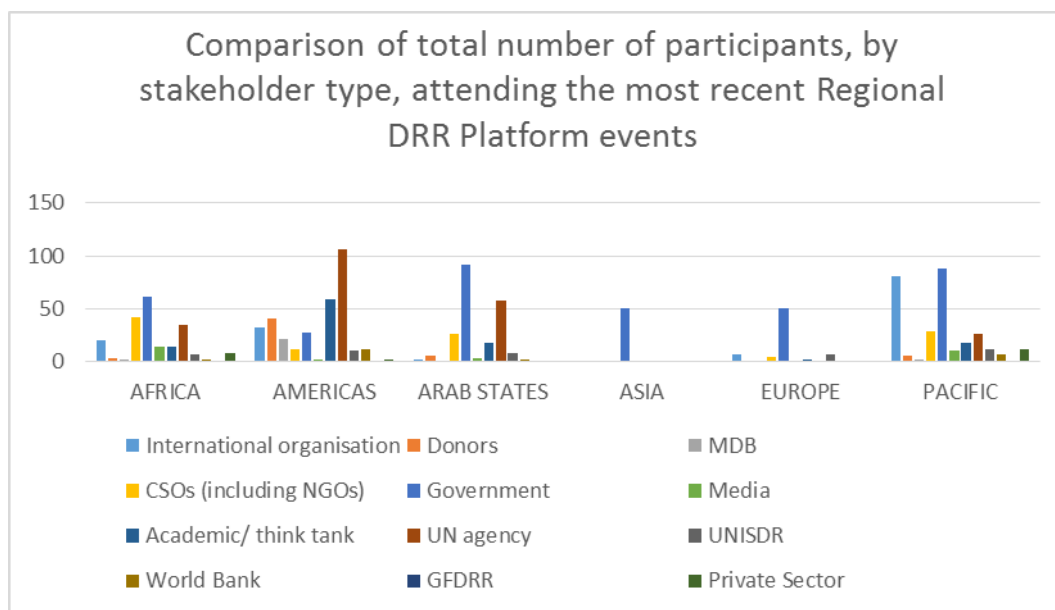
Source: Regional conference reports and participant lists provided by UNISDR/GFDRR focal point reports and participant lists provided by UNISDR/GFDRR focal points

### Comparison of stakeholder groups represented at regional DRR events

Different types of stakeholders attend the regional DRR events. The number of participants belonging to different stakeholder groups varies by region. Figure 11 displays the total number of participants, by stakeholder group/type, which attended the most recently held DRR events in each region. The regional events referred to in the chart in Figure 8 include:

- 4th African Regional Platform on DRR (2013)
- 5th Asian Ministerial Conference on DRR (2012)
- Regional Platform of the Americas on DRR (2012)
- 4th Annual Meeting of the European Forum for Disaster Risk Reduction (EFDRR) (2013)
- 1st Arab Conference on DRR (2013)
- Pacific Platform for DRM (2013)

### Number of participants attending recent DRR events by region and stakeholder type



Source: Event participant lists and conference reports

An interrogation of event participant lists informed the data table presented in Table 7. It should be noted however that the participant list for Asia’s latest event (the 5<sup>th</sup> Ministerial Conference on Disaster Risk Reduction 2012 (5AMCDRR)) was unavailable at the time this analysis was completed. Nevertheless, reports of the conference state that of the record 2600 participants, around 43 were from government and this number is illustrated in the chart in Figure 12. While the exact numbers of participants by their stakeholder type are unknown, we know from the 10 annexed statements of the Post-2015 5AMCDRR consultation summary report listed below and published online, that a range of stakeholder groups were represented<sup>19</sup>:

1. Statement of children, youth and child-centred organisations
2. Statement of civil society organisations
3. Statement of individuals and organisations concerned with disability
4. Statement of individuals and organisations concerned with gender issues
5. Statement of mayors and local government authorities
6. Statement of media
7. Statement of national societies of Red Cross and Red Crescent
8. Statement of parliamentarians
9. Statement of private sector
10. Statement of scientific, academic and research stakeholders

<sup>19</sup> PreventionWeb (2012) 5AMCDRR: 5<sup>th</sup> Asian Ministerial Conference on Disaster Risk Reduction, available online at: <http://www.preventionweb.net/english/professional/trainings-events/events/v.php?id=23540>

## Annex 10 – Case study notes and details

### Part 1: CASE STUDY Notes: East Asia Pacific - the establishment of regional collaboration around disaster risk reduction <sup>20</sup>

The data and analysis below aims to track the contribution of Track 1 to the establishment of regional cooperation in the EAP region, which aims to:

- a) enhance global and regional advocacy, strategic partnerships, and knowledge management for mainstreaming disaster risk reduction (DRR);
- b) promote the standardization and harmonization of hazard risk management tools, methodologies, and practices.

#### 1. Documenting the change

##### 1.1 Situation in 2010

- DRR a high priority in the region but different levels of awareness and achievements across countries.
- The ASEAN Agreement on Disaster Management and Emergency Response or AADMER has been ratified by all ten Member States and entered into force on 24 December 2009. The AADMER is a proactive regional framework for cooperation, coordination, technical assistance, and resource mobilization in all aspects of disaster management. It also affirms ASEAN's commitment to the Hyogo Framework of Action (HFA) and is the first legally-binding HFA-related instrument in the world.
- The 4<sup>th</sup> AMCDRR was held in Incheon from October 25-28, 2010, it brought together a wide cross section of experts, donors, academia and civil society led by Ministers from over 60 countries and heads of leading international development and disaster risk reduction agencies and lead the Incheon Declaration.

##### 1.2 Indicators of collaboration in 2013

- GFDRR priority countries (7 of 31 priority countries) – Indonesia, Lao PDR, Papua New Guinea, Philippines, Solomon islands, Vanuatu and Vietnam
- More senior people are participating in the regional platforms with increasingly significant participation from ministers and prime minister levels.
- The review of AADMER Work Programme Phase 1 highlights achievements in DRR, which were mostly supported through UNISDR-WB-ASEAN Tripartite Cooperation AADMER Work Programme Phase 2 (2013-2015) continue to prioritize DRR
- See AADMER Phase I Accomplishment Report:  
[http://www.asean.org/images/2013/socio\\_cultural/AADMER%20Work%20Programme%20Phase%20I%20Accomplishment%20Report%20%28final%29.pdf](http://www.asean.org/images/2013/socio_cultural/AADMER%20Work%20Programme%20Phase%20I%20Accomplishment%20Report%20%28final%29.pdf)
- The ASEAN-UN Strategic Plan of Action on Disaster Management (2011-2015) was jointly developed in 2011 and endorsed by the ASEAN Committee on Disaster Management (ACDM<sup>21</sup>) in March 2012. mid-term review undertaken in 2013 and it is being updated in line with AADMER Work Programme Phase 2

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<sup>20</sup> [from evaluation ToR]

- 5 year Tripartate agreement UNISDR-WB and ASEAN
- The Fifth Asian Ministerial Conference on DRR in 2012 attracted a significantly higher number of participants than previous events, with the attendance rate increasing from around 900 in 2011 to around 1400 in 2012.
- Regional Platform for Asia - Hosted by the Royal Government of Thailand, the platform which is also known as the 6th Asian Ministerial Conference on DRR (6AMCDRR) will take place in Bangkok from 23-26 Jun 2014. The biennial conference brings Ministers in charge of disaster risk management, governments, communities and other stakeholders from Asia and the Pacific region to reaffirm their commitment to the implementation of the HFA. The conference also serves as a forum to exchange experiences on successful practices and innovative approaches in advancing the agenda of risk reduction and resilience building.
- In the Pacific, SPC facilitated a significant regional policy instrument to guide efforts of the DRP are the Pacific Plan and the Pacific Islands Framework for Action on Climate Change 2006 – 2015

### 1.3 Further analysis of the enabling environment for DRR

The establishment of an enabling environment for collaboration emerged in evaluation interviews as a key part of the process to enable cooperation in the ISDR system of partners. The characteristics of an enabling environment for DRR collaboration considered below were developed by the evaluation team drawing on evaluation discussions and interviews.

**Table 8: Characteristics and indicators of an enabling environment**

Key characteristics of an enabling environment for DRR	Indicators of an enabling environment in EAP																								
Space for multi-stakeholder dialogue	<ul style="list-style-type: none"> <li>• Mature bi-annual AMCDRR, IAP and annual Pacific platform</li> </ul>																								
Documented commitment by governments to integrate DRR	<ul style="list-style-type: none"> <li>• Incheon declaration</li> <li>• Yogyakarta declaration with stakeholder commitments</li> <li>• AADMER and its work plan (<b>1<sup>st</sup> of its kind</b>)</li> <li>• Pacific Islands Framework for Action on Climate Change 2006 – 2015 (<b>1<sup>st</sup> of its kind</b>)</li> <li>• Tripartite agreement between Korea-china and Japan.</li> </ul>																								
Multi-stakeholder engagement in DRR at regional and country levels	<ul style="list-style-type: none"> <li>• Regional multi stakeholder forums with increasing attendance</li> <li>• Regional multi stakeholder forums with increasing senior members of governance and private industry</li> <li>• Global and parliamentarian champions</li> </ul>																								
Skills, capacity of national actors built,	<table border="1"> <tbody> <tr> <td>1</td> <td>Afghanistan</td> <td>2010</td> </tr> <tr> <td>2</td> <td>China</td> <td>2005</td> </tr> <tr> <td>3</td> <td>Indonesia</td> <td>2008</td> </tr> <tr> <td>4</td> <td>Iran, Islamic Republic of</td> <td>2005</td> </tr> <tr> <td>5</td> <td>Japan</td> <td>2001</td> </tr> <tr> <td>6</td> <td>Philippines</td> <td>2010</td> </tr> <tr> <td>7</td> <td>Sri Lanka</td> <td>2008</td> </tr> <tr> <td>8</td> <td>India</td> <td>2013</td> </tr> </tbody> </table>	1	Afghanistan	2010	2	China	2005	3	Indonesia	2008	4	Iran, Islamic Republic of	2005	5	Japan	2001	6	Philippines	2010	7	Sri Lanka	2008	8	India	2013
1	Afghanistan	2010																							
2	China	2005																							
3	Indonesia	2008																							
4	Iran, Islamic Republic of	2005																							
5	Japan	2001																							
6	Philippines	2010																							
7	Sri Lanka	2008																							
8	India	2013																							
Capacity of regional actors to support national actors built.	<ul style="list-style-type: none"> <li>• SPC and ASEAN strong with leadership roles</li> <li>• Multiple MoC and agreements including UNISDR and WB</li> </ul>																								

Commitment/interest of multi-lateral banks and other donors to support DRR at country and regional level.	<ul style="list-style-type: none"> <li>Increasing engagement with ADB in DRR</li> </ul>
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## 2. Contribution of Track 1

**Table 9: Types of contributions provided by Track 1**

Activity title	Year	Budget US\$
Improved national and regional commitment to manage and reduce disaster risks	2010	237,000
Capacity building support to ASEAN (and member states) to implement AADMER and SNAP	2010	150,000
Pacific collaboration in disaster risk management (Y1) – strengthen regional cooperation in DRM in the pacific	2010	170,000
Improved national and regional commitment to manage and reduce disaster risks	2011	300,000
Pacific collaboration in disaster risk management	2011	200,000
Improved national and regional commitment to manage and reduce disaster risks	2012	278,000
Pacific collaboration in disaster risk management (Y3)	2012	222,000
Improved national and regional commitment to manage and reduce disaster risks	2013	125,000
Pacific collaboration in disaster risk management (Y3)	2013	125,000
		1,807,000

### 2.1 Contribution Track 1 activities made to the results

- Supported pacific in developing framework
  - Involving SPC; (b) SPC, SPREP, UNDP Pacific Centre, Pacific DRM Partnership, WB, national governments; (c) Consultations; high-level dialogue; working groups. roadmap
- Supported ASEAN (and key institutions) in building commitments to DRR including
  - Capacity building support to ASEAN (and member states) to implement AADMER and SNAP
  - Improved national and regional commitment to manage and reduce disaster risks

### 2.2 Other factors which contributed to these results

- Financial and in-kind contributions of often rich and experienced states from Japan to Indonesia to Fiji to Lao;
- Financial and in-kind contributions of ASEAN and SPC;

- Financial contributions of other donors especially AusAID, EU and NZ aid.

### 3. How well did the partnership work in this area?

#### 3.1 What went well?

- Consistent focus and support during period to SPC and ASEAN which included formal agreements
- New methodologies tested and adapted by member states LG-SAT (Korea) and a nationalised PDNA (Indonesia)
- Planning together was volatile as often posts were vacant
- Expansion to multi-stakeholder approach – parliamentarians, private sectors etc.
- The MoU was good in the beginning, as AADMER work plan (ASEAN legally binding commitment on DRR) was in its early stage and support was very much needed. This allowed ASEAN to increase its efforts but financing went through UNISDR. Funding came at the right time, and used to kick start other initiative within the AADMER work program 2010-2015 to keep DRR profile high as response and preparedness is the core of AADMER.
- Planning: this was done on a yearly basis with UNISDR. Which was counter-productive as ASEAN needs multi-year commitments and a program approach. The money is relatively small but was important during early period. As capacity grew and other funding came the reporting requirement and short term planning became a burden. After the 2010 ASEAN charter the legal department said not to the contract (designed from NGO and implementers) and thus money went through UNISDR directly to participants. MoU remained valid.

#### 3.2 Challenges

- Challenges: As the legal charter for ASEAN came into effect the legal contract for Track 1 was suspended and thus funds disbursed by UNISDR. 2) Short term annual planning and reporting cycle was burdensome. 3) Recognise that DRR is a marathon not a sprint so multi-year.

## Part 2: CASE STUDY notes: Cities - the establishment of collaboration around disaster risk reduction at city level<sup>22</sup>

The data and analysis below aims to track the contribution of Track 1 to the establishment of cooperation in the area of urban disaster risk reduction. In particular to:

- a) enhance global and regional advocacy, strategic partnerships, and knowledge management for mainstreaming disaster risk reduction (DRR);
- b) promote the standardization and harmonization of hazard risk management tools, methodologies, and practices.

### 1. The change

#### 1.1 Situation at 2010

- Launch of Making Cities Resilient Campaign (2010)
- Other organisations commitment to urban resilience

#### 1.2 Achievements and indicators of collaboration in 2013

- 1640 cities (at end of 2013) signed up to Making Cities Resilient Campaign
- Adoption of 10 essential characteristics/principles into emerging alliance, World Bank and EU approaches to urban resilience
- Establishment by UNISDR of multi-stakeholder advisory group including mayors, parliamentarians, private sector, IFRC, UN Habitat
- Establishment by UNISDR of 27 champions (political aims) and 28 advocates (technical)
- Linkage with World Bank urban development programme which began in 2013 and is funded by GFDRR. But linkage is via UN-Habitat not directly to UNISDR.
- Use of tools developed by UNISDR including city self-assessment tool e.g. mayors handbook by other organisations in developing their tools e.g. World Bank
- Emerging global alliance on urban disaster risk reduction - making an announcement at C40, UN-Habitat, World Bank, GFDRR, Rockefeller Foundation, UNISDR which will make an announcement at World Urban Conference in April 2014 to announce a broader definition of resilience that includes consideration of shocks such as economic and health related ones.

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<sup>22</sup> [from evaluation ToR]

## 2. Contribution of Track 1<sup>23</sup>

Year	Project Title	Budget \$
2010	Promote DRR awareness especially to urban risks in SEE	50,050
2010	Disseminate MENA City Primer Phase 1 findings	150,000
2010	Engage strongly with different media networks from global to community media to promote urban DRR	100,0000
2011	Disaster resilient schools, cities and hospitals - LAC	100,000
2011	Promoting urban risk and making cities resilient - MENA	150,000
2011	Strengthen role of local government in making cities resilient - global	300,000
2012	Mainstreaming disaster resilient schools, cities and hospitals campaign throughout Americas	120,000
2012	Promoting urban risk and making cities resilient0 MENA	130,000
2013	Promoting risks and making cities resilient - Africa	40,000
2013	Mainstreaming disaster resilient schools, cities and hospitals campaign throughout Americas	47,750
2013	Promoting urban risk and making cities resilient0 MENA	50,000
2013	Strengthen role of local government in making cities resilient - global	49,182
	<b>Total</b>	<b>2,186,982</b>

- 2009 funding helped start 2 regional consultations for parliamentarians (2 by region), created network to raise awareness – got champions and link CCA/DRR. Developed tools handbook. There was demand for additional prints. No assessment of impact of tools, but judged by demand and translations into 9 languages by actor (mayors work), same with LG-SAT (integrated into Korea)

### 2.1 Contribution Track 1 activities made to the results

- Track 1 has focused particularly on UNISDR activities to advocate for urban DRR at city level particularly through mayors, parliamentarians and media.
- Twinning and exchange programmes have aimed to promote knowledge exchange.

### 2.2 Other factors which contributed to these results

- Major disasters affecting urban areas including Haiti 2010, Japan 2011, New Orleans 2005 built support for urban issues to be high on the agenda
- Growth in urbanisation as a key issue on development and humanitarian agendas e.g. IFRC World Disasters Report focus on urban risk 2010

<sup>23</sup> Contribution of Track 1 (from grant agreements) -possibly more but these are explicitly urban focused in their title.



- Urban disasters are an issue relevant to all parts of the world and including high and low income countries.

### 3. How well did the partnership work in this area?

#### 3.1 What went well?

- GFDRR is key partner of campaign funded seed money for 10 essentials, campaign and dissemination.
- Campaign steered itself toward priority countries e.g. Pakistan. LG-SAT pilot in 16 of 25 priority countries.
- Cooperation now linked with emerging alliance on urban resilience - C40, UN Habitat, Rockefeller, GFDRR, World Bank, UNISDR.

#### 3.2 Challenges

- Linking cities that make commitments to developing and resource action plans to address risks (this is an ongoing process) - no process to link to World Bank Track 2.
- UNISDR role in supporting cities to implement plans through its mentoring programme/pool of experts is challenged by some in World Bank.
- Local Government Self assessment tool (LG-SAT) has been useful in embedding city commitment to DRR and in building awareness and understanding of risks. However, some question the robustness of the assessments.
- Knowing extent of use and impact of tools e.g. handbooks.

## Part 3: CASE STUDY notes: Africa- the establishment of regional collaboration around disaster risk reduction<sup>24</sup>

The data and analysis below aims to track the contribution of Track 1 to the establishment of regional cooperation in the MENA region.

- a) enhance global and regional advocacy, strategic partnerships, and knowledge management for mainstreaming disaster risk reduction (DRR);
- b) promote the standardization and harmonization of hazard risk management tools, methodologies, and practices.

### 1. The change

#### 1.1 Situation at 2010

- Africa strategy for disaster risk reduction in existence but only aligned with HFA in 2009 and seems to have been relatively dormant until then
- Very limited capacity in African Commission and regional organisations for DRR
- DRR dialogue mainly in humanitarian context
- 2004 - Africa Strategy for Disaster Risk Reduction adopted at 2nd meeting of Africa Ministerial Conference
- 2005- Programme for Action for implementation of Africa Strategy on DRR agreed
- 2009 - Substantive revision agreed at 2nd Africa regional platform to align better with HFA. Agreement also to strengthen regional, sub-regional and national mechanisms to accelerate implementation

*[GFDRR priority countries - Burkina Faso, Ethiopia, Ghana, Madagascar, Malawi, Mali, Mozambique, Senegal, Togo - country reports available on WB site.]*

#### 1.2 History and indicators of collaboration in 2013

- 2010- At the 2nd African Ministerial Conference on DRR (14-16 April 2010 in Nairobi), African ministers adopted the Extended Programme of Action for the Implementation of the Africa Regional Strategy for Disaster Risk Reduction (2006-2015). The head of state summit in Addis on January 2011 also adopted the Regional Strategy and related resolution.
- 2011-Africa Working Group (re)-established - Core Group are AUC / NPCA, AfDB, 8 RECs, One Member State Expert per Region (8) to be designated by RECs, UNISDR, World Bank GFDRR, One Representative of Regional Specialized Entities (ACMAD), One Representative of the Civil Society and ne Representative of Academia and Research Institutes (PERIPERIU). Extended group is made up of all stakeholder and actors in disaster risk reduction similar in many ways to the composition of the Africa regional Platform (engaged for consultation). Subsequent meetings twice a year in 2012 [and 2013?]
- RECs established DRR units [SADC, ECOWAS, ECCAS which - from regional platform briefing paper ]

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<sup>24</sup> [from evaluation ToR]

- By 2013 five RECS (ECCAS, ECOWAS, IGAD, SADC and EAC) have established disaster risk reduction policies and/or strategies based on the priorities for action of the Hyogo Framework for Action and the Africa Regional Strategy for Disaster Risk Reduction (briefing for 13th platform).
- National platform established in 40 countries but insufficient involvement of many stakeholders in many locations [from conference background paper]. UNISDR own assessment confirms 29 national platforms (papers provided to evaluation team).
- 2013 - 4th regional platform for DRR- 45 countries attended; 250 participants. Held back to back with Drought Adaptation Forum. Consultation for 2013 Global Platform.
- 2013- UNISDR supported participation of Africa representatives at Global Platform
- 2013- 3 sub-regional platforms organised with ECOWAS, SADC, ECCAS - included new partners such as ministries of planning, finance and environment RECs contributed to funding of platforms.
- 2013 - HFA2 consultation organised with AUC with participation of RECs and partners to feed into African Regional ministerial platform in 2014.
- On track for Africa HFA2 statement.

### 1.3 Further analysis of the enabling environment for DRR

The establishment of an enabling environment for collaboration emerged in evaluation interviews as a key part of the process to enable cooperation in the ISDR system of partners. The characteristics of an enabling environment for DRR collaboration considered below were developed the evaluation team drawing on evaluation discussions and interviews.

Significant factors for an enabling environment for DRR	Indicators of an enabling environment in Africa
Space for inter-organisational dialogue	<ul style="list-style-type: none"> <li>• Africa working group re-established</li> <li>• Sub-regional platforms established</li> <li>• HFA2 consultation process run and on track for Africa statement of position and priorities 2014</li> </ul>
Documented commitment by governments to integrate DRR	<ul style="list-style-type: none"> <li>• 45 countries attended last regional platform. Declaration calls for commitment but no signed commitment e.g. resource allocation.</li> <li>• 0 countries achieve level 5 on HFA outcome to make DRR an institutional priority.</li> <li>• 9 report they achieve level 4 on indicator 1.1 - substantial achievement but recognise constraints e.g. finances (down from 14 in 2009-11 round)</li> <li>• 7 with level 4 on indicator 1.2 - dedicated and adequate resources to implement DRR (down from 10 in 2009-11)</li> <li>• Head of state summit (2011) adopted regional strategy on DRR</li> </ul>
Multi-stakeholder engagement in DRR at regional and country levels	<ul style="list-style-type: none"> <li>• 9 countries report in a national multi-sector platform is functioning (down from 14 in 2009-11 report).</li> <li>• UNISDR review of national platforms found 29 (2014).</li> <li>• Regional platform background report notes 40 platforms exist.</li> </ul>
Skills, capacity of national	<ul style="list-style-type: none"> <li>• IOs report increased</li> </ul>

actors built,	<ul style="list-style-type: none"> <li>18 countries complete HFA monitoring 2011-13 (includes some MENA countries) down from 25 in 2009-11 reporting cycle.</li> </ul>
Capacity of regional actors to support national actors built.	<ul style="list-style-type: none"> <li>DRR units established in RECs ECOWAS, SADC [other?] [Any data from assessments done? EU evaluation] Interview feedback (EC) suggests weak capacity and not much strengthened by inputs to date which have focused on consultant inputs to RECs and AC.</li> <li>ACP project beginning soon for large scale investment to capacity.</li> <li>EU funding already secured by some RECs e.g. SADC which has enabled capacity growth</li> </ul>

## 2. Contribution of Track 1<sup>25</sup>

Year	Project Title	Budget \$
2010	<b>Strengthen the African Commission's capacity and expertise to support the Africa Programme for Action on DRR</b>	210,200
2010	Build capacity and expertise in sub-regional organisations in Africa for DRR and HFA implementation (SADC, ECOWAS, ECCAS)	639,800
	<b>Total 2010</b>	<b>850,000</b>
2011	Build/enhance partnership and coordination mechanisms to support the implementation of Africa DRR strategies and PoAs 2006-16	200,000
2011	Continued support to RECs and targeted countries in capacity development to implement DRR	500,000
	<b>Total 2011</b>	<b>700,000</b>
2012	Build/enhance partnership and coordination mechanisms to support the implementation of Africa DRR strategies and PoAs 2006-16	250,000
2012	Continued support to RECs to implement DRR	450,000
	<b>Total 2012</b>	<b>700,000</b>
2013	<b>Advocacy for sustained commitment to and enhanced coordination of DRR</b>	110,000
2013	Strengthen the partnership with REC and organise regional dialogue to DRR and CCA implementation in targeted countries	225,000
2013	Promote urban disaster risk reduction and Making Cities Resilient campaign	40,000
	<b>Total 2013</b>	<b>375,000</b>
	<b>Total 4 years</b>	<b>2,625,000</b>

### 2.1 Contribution Track 1 activities made to the results

- Funded consultants to strengthen capacity of RECS and AC to fulfil their role.

<sup>25</sup> Contribution of Track 1 (from grant agreements) -up to 40-50% of total annual UNISDR budget for region( interviews)

- Facilitated regional platforms.
- Assessment of RECs
- Helped to shift the dialogue on DRR from a purely humanitarian focus to longer term development [agendas from platforms and declarations; hfa2 statement]

## **2.2 Other factors which contributed to these results**

- Major disasters e.g. floods in Southern Africa 2008 led to SADC call for DRM unit in SADC; drought in East Africa and Sahel with an accompanying broader shift to seeing this as a long term situation rather than short-term humanitarian crisis. Multi-agency recognition that responses need to change to extended dry seasons.
- Other donors coming in e.g. EU funding for SADC DRR unit from 2013 enabled it to grow.

## **3. How well did the partnership work in this area?**

### **3.1 What went well?**

- Planning- agreement of 4 themes to activities in 2010 maintained.
- Flexibility in use of funds- e.g. increased allocation to urban resilience in 2013
- GFDRR communication- good contact and communication

### **3.2 Challenges**

- slow pace
- limited capacity at start of process in IOs
- limited capacity of UNISDR - 3 person team for 45 countries
- limited information from GFDRR to IOs.

## **4. Tangible benefits at country level (linking with Track 1 and 3)**

- Establishment of national platforms is some indication of commitment carried through but unclear from documentation if these are increasing in number or now.
- Some training for mayors and local authorities on resilience at cities.
- Sign up by cities to MRC in GFDRR priority countries: - Burkina Faso (17), Ethiopia (1), Ghana (0), Madagascar (0), Malawi (0), Mali (1), Mozambique (1), Senegal (6), Togo (0)<sup>26</sup>
- Collaboration between UNISDR and UNECA on DRR capacity assessment in Mozambique, Malawi, Togo and Nigeria (2013)

## **5. Implications for future collaboration**

- Need for closer planning at country and regional level - GFDRR/UNISDR/others - beyond Track 1 so work to create an enabling environment synchronised with operational actors building on it.

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<sup>26</sup> Source: <http://www.unisdr.org/campaign/resilientcities/pdf> accessed 31.3.14

## Part 4 CASE STUDY notes: Europe Central Asia - the establishment of regional collaboration around disaster risk reduction <sup>27</sup>

The data and analysis below aims to track the contribution of Track 1 to the establishment of regional cooperation in the ECA region.

- a) enhance global and regional advocacy, strategic partnerships, and knowledge management for mainstreaming disaster risk reduction (DRR);
- b) promote the standardization and harmonization of hazard risk management tools, methodologies, and practices.

### 1. The change

#### 1.1 Situation at 2010

- first meeting of regional forum held in 2010 – previously in 2009 was a meeting of European national platforms and HFA focal points. Meetings are annual.
- National platforms already well-established in Europe

Europe		Year	Central Asia and Caucasus		Year
1	Bulgaria	2005	1	Armenia	2010
2	Croatia	2009	2	Kazakhstan	2007
3	Czech Republic	2002	3	Kyrgyzstan	2011
4	Finland	2010	4	Tajikistan	2012
5	France	2001			
6	Germany	2000			
7	Greece	2012			
8	Hungary	2001			
9	Italy	2008			
10	Macedonia, The Former Yugoslavia Republic of	2009			
11	Monaco	2009			
12	Netherlands	2012			
13	Norway	2011			
14	Poland	2009			
15	Portugal	2010			
16	Russian Federation	2003			
17	Spain	2002			
18	Sweden	2007			
19	Switzerland	1997			
20	Turkey	2011			
21	United Kingdom	2001			

#### 1.2 Indicators of collaboration in 2013

- In Europe, the European Forum for Disaster Risk Reduction facilitates discussion and advances on disaster risk reduction issues in a coordinated fashion at the regional level. It is intended to serve as the forum for exchanging information and knowledge, coordinating efforts throughout the Europe region and for providing advocacy for effective action to reduce disasters. It also

<sup>27</sup> [from evaluation ToR]

focuses on contemporary issues of importance needed to promote a good political climate for implementation of the Hyogo Framework for Action.

- SEEDRMAP led to a joint WMO-WB-UNISDR collaboration Hydromet
- Consistent programming

### 1.3 Further analysis of the enabling environment for DRR

Key characteristics of an enabling environment for DRR	Indicators of an enabling environment in ECA
Space for multi-stakeholder dialogue	ational platforms and regional platforms
Documented commitment by governments to integrate DRR	raft HFA Celebration report on SEE showing the commitment in SEE to integrate DRR.
Multi-stakeholder engagement in DRR at regional and country levels	ational platforms and regional platforms
Skills, capacity of national actors built,	ocus on regional organisations and multi-country initiatives
Capacity of regional actors to support national actors built.	entral Asia and Caucasus Disaster Risk Management Initiative (CAC – DRMI)
Commitment/interest of multi-lateral banks and other donors to support DRR at country and regional level.	EDRMAP informed spending at national level

## 2. Contribution of Track 1

TITLE	YEAR	Budget US\$
<ul style="list-style-type: none"> <li>• Enhanced DRR issues in South Eastern Europe supporting the implementation of SEEDRMAP</li> <li>• Also called supporting the implementation of CAC DRMI in 3 focus areas: hydrometrological and seismological forecasting and data sharing 2) coordination of disaster mitigation and reduction and 3) financing of disaster losses and disaster risk transfer</li> </ul>	2010	220570
<ul style="list-style-type: none"> <li>• Provided guidance in the implementation of the HFA in ECA</li> <li>• Also called organise meetings and visits in the Baltic countries to develop knowledge on existing actors and mechanisms towards DR</li> </ul>	2010	52920
<ul style="list-style-type: none"> <li>• Enhanced advocacy and knowledge on DRR issues including Urban Risk Campaign</li> <li>• Also called Promoting DRR awareness especially in relation to urban risks in SEE</li> </ul>	2010	52050
<ul style="list-style-type: none"> <li>• Enhancing DRR issues in Central Asia and Caucasus through the Central Asia Disaster Risk Management Initiative</li> </ul>	2010	224460

<ul style="list-style-type: none"> <li>also called building capacities thought workshops/training/awareness on the role of insurance and financial products in DR transfer and mitigation in ECA</li> </ul>			
Reduced the vulnerability in SEE through support to the South Eastern Europe Disaster Risk Mitigation and Adaption Program - SEEDRMAP	2011	260000	
Support to regional organisation promoting DRR and CCA in ECA	2011	40000	
Reduced vulnerability in CAC though support to the Central Asian and Caucasus Disaster risk mitigation and adaption initiative (CAC DRMI)	2011	200000	
South Eastern Europe Disaster Risk Mitigation and Adaption Program – SEEDRMAP (Y2)	2012	255000	
SEE regional organisation support	2012	15000	
Reduced vulnerability in CAC though support to the Central Asian and Caucasus Disaster risk mitigation and adaption initiative (CAC DRMI) and the central Asia centre for disaster response and risk reduction (CACDRRR)	2012	230000	
South Eastern Europe Disaster Risk Mitigation and Adaption Program – SEEDRMAP (Y3)	2013	140000	
SEE regional organisation support	2013	10000	
Reduced vulnerability in CAC though support to the Central Asian and Caucasus Disaster risk mitigation and adaption initiative (CAC DRMI)	2013	100000	
		1.8 million	
	SEEDRMAP	48%	875000
	CAC DRMI	41%	754460

## 2.1 Contribution Track 1 activities made to the results

**Comparing 2005 consultation with 2015:** lots of progress made, now it is more multi-stakeholder engagement - 2005 more a committee with host country. 2015 were able to reach out to NGO; EU/EC; private sector and academe to discuss post-2015 framework for disaster risk reduction and get input.

**Results of Track 1: 1) 48% went to SEEDRMAP** project developed with world bank, was critical in changing paradigm in region with little DRR knowledge but common history (SEE). This got political support and policy driving forward including having the multi-stakeholder national platforms establisher. Got UN family and regional organisations on board including initiatives such as hydro met with WMO. A good sectorial initiative with shared regional resources. 3) The area has limited funding both at national level as well as in the international system. Worked with countries and donors to avoid duplication and used SEEDRMAP project as evidence to get EU/EC involved as well as national investments. Assessment allowed countries and stakeholders to understand gaps (insurance and re-insurance) this triggered collaboration and funding. Big breakthrough with EC and EBRA program - A big motivation is that all SEE countries on line to join EU, so harmonising instruments with EU ones was critical.

**41% went to SEEDRMAP to support CAC-DRMI and associated CAC DRR**



## 2.2 Other factors which contributed to these results

- Direct involvement of other UN agencies
- Government involvement and support to SEEDRMAP and CAC DRMI

## 3. How well did the partnership work in this area?

### 3.1 What went well?

**Consultants:** UNDP and ISDR provided a consultant (advisory role) in 2010 and 2011.

**Joint project WMO-WHO-UNISDR** for EWS focusing on fires and flood – lead to better connections for national agency to provide EWS information.

### 3.2 Challenges

### 3.3 Learning about partnership

UNISDR held monthly donor DRR meetings so people knew what went on, this was time consuming for bank

**Why collaboration worked:** good collaborators (between UNISDR and WB) as they had a similar regional structure. Both sides showed interest and started with a two-day retreat in Washington to build relationships, share priorities and plan together. This was followed by joint visits to key countries and partners before going to regional organisation such as council of Europe, commission and RCC. These visits extremely important as it highlighted the complementarity of work and opportunities. This is followed with joint assessments [creating together analysis and info] and annual retreats for reflection on relationship and joint benefits. Also many joint missions and events. WB invited country directions to national event.

## Part 5 CASE STUDY notes: MENA - the establishment of regional co-operation around disaster risk reduction

The data and analysis below aims to track the contribution of Track 1 to the establishment of regional cooperation in the MENA region.

- a) enhance global and regional advocacy, strategic partnerships, and knowledge management for mainstreaming DRR;
- b) promote the standardization and harmonization of hazard risk management tools, methodologies, and practices.

## 1. The change

### 1.1 Situation at 2010

- DRR a low priority in the region
- No regional DRR commitment
- Disasters generally dealt with at national level though there is an old regional agreement on emergency assistance from the 1990s
- Countries attend global DRR events with national agenda. (interviews)
- Main disaster priority is drought which was not high profile on DRR agenda

[GFDRR priority countries - Yemen, Djibouti]]

### 1.2 Indicators of collaboration in 2013

- **An Arab Strategy for DRR 2020 established and adopted at the level of Heads of States Summit.**
- By 2013- UNISDR founded what is now called the MENA DRR Network” that met (formerly “DRR in Arab States Group”) in June, October and December 2013 following a preparatory meeting in January
- May 2013- 150 from MENA attended Global Platform - 25 of them funded by UNISDR.
- Aqaba Declaration on Disaster Risk Reduction in Cities adopted at the first regional conference
- Regional position on HFA2 and post-2015 DRR agenda developed.
- March 2013 - First Arab regional conference on disaster risk reduction
- Workspace set up on PreventionWeb for Arab states

### 1.3 Further analysis of the enabling environment for DRR

The establishment of an enabling environment for collaboration emerged in evaluation interviews as a key part of the process to enable cooperation in the ISDR system of partners. Some factors contributing to an enabling environment for DRR collaboration considered below were developed the evaluation team drawing on evaluation discussions and interviews.

Key characteristics of an enabling environment for DRR	Indicators of an enabling environment in MENA
Space for multi-stakeholder dialogue	<p>1st Arab Conference on DRR March 2013; next one in 2014 (multi-stakeholder event)</p> <p>HFA2 consultation process ( in Conference)</p> <p>MENA DRR Network gathers international partners working on DRR Arab States</p>
Documented commitment by governments to integrate DRR	<p>Aqaba Declaration</p> <p>1st Arab regional strategy</p> <p>More than 296 cities and municipalities signed up to Making Cities Resilient Campaign.</p> <p>multi- national platforms established and more seeking to be recognised</p>
Multi-stakeholder engagement in DRR at regional and country levels	<p>1st multi-stakeholder events in the region in 2013</p>
Skills, capacity of national actors built,	<p>Confirmed national platforms as endorsed by regional office 6.2.14 - Comoros, Algeria, Djibouti, Egypt, Mauritania. GFDRR 2013 country report also notes that Yemen has a national DRR platform declared to UNISDR. Several other countries developed multi-</p>

	akeholder national committees for DRR though not formally nounced as National Platforms.
Capacity of regional actors to support national actors built.	<p>terviews find some but limited capacity in Arab League (3 person) d technical skills coming from outside</p> <p>nds enabled Arab League to undertake its role</p> <p>DRR support (beyond Track I funds) focused on Islamic inference rather than Arab League</p>

## 2. Contribution of Track 1<sup>28</sup>

Year	Project Title	Budget \$
2010	Disseminate MENA City Primer Phase 1 findings	150,000
2010	Promote stronger regional cooperation and exchange of experiences between Arab states	130,000
2010	Support national capacity development targeting high risk countries (Tunisia, Morocco, Djibouti, Syria, Jordan, Lebanon, Egypt, Algeria)	270,000
	<b>Annual total</b>	<b>550,000</b>
2011	Strengthening regional capacities, tools for DRR and fostering partnerships	200,000
2011	Strengthening national capacities in high risk countries	150,000
2011	Promoting urban risk reduction and "Making Cities Resilient" campaign	150,000
	<b>Annual total</b>	<b>500,000</b>
2012	Strengthening regional capacities, tools for DRR and fostering partnerships	200,000
2012	Strengthening national capacities in high risk countries	170,000
2012	Promoting urban risk reduction and "Making Cities Resilient" campaign	130,000
	<b>Annual total</b>	<b>500,000</b>
2013	Strengthening regional capacities, tools for DRR and fostering partnerships	50,000
2013	Strengthening capacities in high risk countries including partnership with Track II teams in Djibouti, Yemen, Lebanon, Morocco, Saudi Arabia and Algeria and possibly others like Jordan and Palestine	150,000
2013	Promoting urban risk reduction and "Making Cities Resilient" campaign	50,000
	<b>Annual total</b>	<b>250,000</b>
	<b>4-year total</b>	<b>1,800,000</b>

### 2.2 Contribution Track 1 activities made to the results

Arab League representative view that UNISDR work was key to getting DRR on the agenda of governments in MENA.

<sup>28</sup> Contribution of Track 1 (from grant agreements) -up to 40-50% of total annual UNISDR budget for region( interviews)

## 2.2 Other factors which contributed to these results

- Financial contributions of others
- Other UNISDR activities (non-Track 1 funded - e.g. HFA monitoring process and report)

## 3. How well did the partnership work in this area?

### 3.1 What went well?

- Focus on GFDRR priority countries e.g. establishment of national disaster loss account system in Yemen and Djibouti. The cooperation was enabled by collaboration between UNISDR regional representative and GFDRR representative (in Washington) rather than World Bank country offices.
- Continuity in work-plan – three-year planning with a focus on three areas a) strengthening regional partnerships b) national capacity building c) urban risk reduction.
- Expansion to multi-stakeholder approach - UNISDR and Arab League is trying to bring in new stakeholders particularly a) donors from the region such regional funds and so far have some success with Islamic Development Bank. Also private sector by making links with Arab League department for trade and their counterparts at national level in chambers of commerce.

### 3.2 Challenges

- GFDRR supported different organisation – Organisation of Islamic Conference among others and UNISDR focus is on the League of Arab States as the intergovernmental organisation covering the MENA region. .
- GFDRR decision making is centralised at HQ not in the region- communication then usually electronic
- High Turnover of GFDRR counterparts - approximately one per year.
- Different focal points at country level. UNISDR work with HFA focal point. WB work with ministry of finance.
- Getting WB country offices on board to support joint DRM strategies- Djibouti an example and other work via GFDRR in Washington
- External political environment- with turmoil in many countries in Arab region resulting in change of the level of political commitment and engagement from national institutions or changes of actors at country level.
- Perspective that the region is rich - but only 7 of the 22 members of MENA are high income. LDCs need more focus and support.
- Limited capacity for DRR in Arab League a) Funding - member states not all paying their contributions in part due to political change in the region. Limited funding for DRR secretariat for instance it is only able to travel to events in organisers pay for travel. b) Technical knowledge tends to be in national centres not in the League. c) Only 3 staff with heavy workload over and above DRR. d) Arab League informed of but not involved in UNISDR planning at national level (not necessarily a problem as coordination takes place at the regional intergovernmental level with all member states through Arab League meetings and the DRR regional conferences convened jointly by UNISDR and Arab League).

### **3.3 Learning about partnership**

- Benefits of long-term perspective in planning i.e. the three focus areas sustained over three years of Track 1.
- Challenges of working with multiple partners in the region.
- Importance of sustained and close communication even/especially when located in different places.
- Importance of country level coordination given different entry points for each organisations.

### **4. Tangible benefits at country level (linking with Track 1 and 3)**

- National platforms; - 5 national platforms.
- Track 1 funded development of national disaster accounting system in two countries - Yemen and Djibouti. This also enabled UNISDR to raise funds for other (non GFDRR priority) countries - funds leveraged.

### **5. Implications for future cooperation in MENA**

- Need to harmonise engagement with international and intergovernmental organisations
- International organisations (Arab league) report they need funding and capacity
- System for accessing technical capacity and possibilities to jointly fund raise in support of capacity development programmes .
- Limitation of Track 1 by narrowing the discussion between UNISDR and GFDRR/WB to some extent to only focusing on Track 1 funded areas. There's potential for more collaboration and areas that need coordination e.g. city engagement and other Track 1 and 3 activities.