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Acronyms and Abbreviations

AA	Administrative agreement
AAAA	Addis Ababa Action Agreement on Finance for Development
AAP	Annual Action Programme
ACMAD	African Center of Meteorological Application for Development
ACP	Africa, Caribbean and the Pacific
ACDRM	Africa Centre for Disaster Risk Management
AF	Action Fiche
AfDB	African Development Bank
AGRHYMET	Agro-Meteorology, Hydrology, Meteorology Regional Centre
AU	African Union
AUC	African Union Commission
BBB	Build Back Better
BCRIP	Belize Climate Resilience Infrastructure Project
BETF	Bank-Executed Trust Fund
BRC	Burundi Red Cross
BSRP	Building Safety and Resilience in the Pacific
CAT-DDO	Catastrophe Deferred Drawdown Option
C4P	Call for Proposals
CBDRM	Community-Based Disaster Risk Management
CCA	Climate Change Adaptation
CCDRR	Climate Change and Disaster Risk Reduction
CCRIF	Caribbean Catastrophe Risk Insurance Facility
CDB	Caribbean Development Bank
CDEMA	Caribbean Disaster Emergency Management Agency
CDRP	Country Disaster Risk Profiles
CHaRIM	Caribbean Handbook for Risk Information Management
CIF	Climate Investment Fund
CILSS	Comité permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel
City RAP	City Resilience Action Planning
CORDAID	Catholic Organization for Relief and Development
COSEP	Centre des opérations de secours et de la protection civile (Rescue and Civil Protection Operations Center)
CRIP	Climate Resilient Infrastructure Project
CVA	Climate Vulnerability Assessment (Fiji)
DaLA	Damage and Loss Assessments
DEVCO	European Commission's Directorate - General for International cooperation and Development
DIMSUR	Disaster Risk Management and Urban Resilience
DR	Dominican Republic
DRF	Disaster Recovery Framework
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EC	European Commission
ECHO	European Commission European Civil Protection and Humanitarian Aid
ECCAS	Economic Community of Central African States
ECOWAS	Economic Community of West African States
EDF/FED	European Development Fund/Fond Européen de Développement
EU	European Union
EUD	European Union Delegation
EUR	Euro
EWS	Early Warning System
FAO	United Nation Food and Agriculture Organization
FEWS	Famine Early Warning System
GCCA	Global Climate Change Alliance
GFDRR	Global Facility for Disaster Reduction and Recovery
GFR	Grant Funding Request
GDP	Gross Domestic Product
GIS	Geographical Information System

GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GoB	Government of Belize / Government of Burundi
GoCV	Government of Cabo Verde
GoF	Government of Fiji
GoN	Government of Niger
GoS	Government of Seychelles
HCT	Humanitarian Coordination Team
HFA	Hyogo Framework for Action
HQ	Headquarters
ICPAC	Climate Prediction and Applications Center (IGAD)
IcSP	Instrument for contributing to Stability and Peace
IFRC	International Federation of the Red Cross
IDA	International Development Association
IDP	Internally Displaced People
IDLM	Integrated Disaster and Land Management Project (IDLM)
IGAD	Intergovernmental Authority on Development
INGOs	International Non-Governmental Organizations
INGC	Institute for Disaster Management (Mozambique)
IOC	Indian Ocean Commission
IOM	International Organization for Migration
JAES	Joint Africa-EU Strategy
JRDNA	Joint Rapid Damage and Needs Assessment (St. Lucia, St. Vincent Grenadines)
LDC	Least developed Countries
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MEF	Ministry of Economy and Finance (Mozambique)
MoF	Ministry of Finance
MoSSaiC	Management of Slope Stability in Communities
MCE	Multi-Criteria Evaluation
MITADER	Ministry of Land, Environment and Rural Development (Mozambique)
MS	Member States
MTE	Mid Term Evaluation
NAB	National Advisory Board for Disaster Risk Management and Climate (Vanuatu)
NAPAs	National Adaptation Plan of Actions
NCCP	National Climate Change Policy (Solomon Islands)
NCRIP	National Climate Resilience Investment Plan (Belize)
NDMA	National Disaster Management Agency (The Gambia)
NDMO	National Disaster Management Office (Vanuatu)
NDRM	National Disaster Risk Management Plan (Solomon Islands)
NDRMC	National Disaster Risk Management Commission (Ethiopia)
NDRR	Natural Disaster Risk Reduction (ACP-EU NDRR Programme)
NEMA	Nigeria National Emergency Management Agency
NGO	Non-Governmental Organization
NSDI	National Spatial Data Infrastructure (Belize)
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
PACRIS	Pacific Catastrophe Risk Information System
PCRAFI	Pacific Catastrophe Risk Assessment and Financing Initiative
PDNA/PCNA	Post-Disaster Needs Assessment/Post-Conflict Needs Assessment
PICS	Pacific Island Countries
PIFS	Pacific Islands Forum Secretariat
PSNP	Productive Safety Net Programme (Ethiopia)
RBMS	Result-Based Monitoring System
RAC	Rapid Assessment of Capacity Development
RCMRD	Regional Center for Mapping of Resources for Development
RECs	Regional Economic Communities
SAMOA	Small Island Developing States Accelerated Modalities of Action
SADC	Southern African Development Community
SC	Steering Committee
SDTF	Single Donor Trust Fund
SELA	Latin American and Caribbean Economic System

SFDRR	Sendai Framework for Disaster Risk Reduction
SIDS	Small Island Developing States
SIG	Solomon Islands Government
SPC-SOPAC	Secretariat of the Pacific Community Applied Geoscience and Technology
SPREP	Secretariat of the Pacific Regional Environmental Programme
SSDF	Saint Lucia Social Development Fund
SSO	Sahara and Sahel Observatory
SVG	Saint Vincent and the Grenadines
SWIO RAFI	Southwest Indian Ocean Risk Assessment and Financing Initiative
TC	Tropical Cyclone
TF	Trust Fund
ToT	Training of Trainer
TTF	Task Team Leader
UN	United Nations
UNDP	United Nations Development Programme
UNDAF	United Nations Development Assistance Framework
UN-ECLAC	United Nations Economic Commission for Latin America
UN-FCC	UN Framework Convention on Climate Change
UN-HABITAT	United Nations Human Settlements Programme
UNICEF	United Nations Children Fund
UNISDR	United Nations Office for Disaster Risk Reduction
USAID	United States Agency for International Development
VMGD	Vanuatu Meteorology and Geo-hazards Department (Vanuatu)
WB	World Bank
WBG	World Bank Group
WDRP	Woreda Disaster Risk Profiles
WFP	United Nations World Food Programme
WMO	World Meteorological Organization
WV	World Vision

1 Introduction

1.1 Objectives, users, and scope of the mid-Term ACP-EU NDRR evaluation

The European Union (EU) has entrusted in 2011 (EUR 59,5 M) and 2014 (EUR 20 M), a total of EUR 79.5M to the World Bank (WB)-led Global Facility for Disaster Risk Reduction (GFDRR) in order to enhance Disaster Risk Management (DRM) and Post-Disaster Resilient Recovery in African, Caribbean and Pacific (ACP) countries through the establishment of the ACP-EU NDRR Programme (2011-2020). The amount of EUR 74.5 M is in a Single Donor Trust Fund (SDTF) while EUR 5 M is part of a Multi Donor Trust Fund¹.

The **Mid Term Evaluation (MTE) of the Africa Caribbean Pacific - European Union Natural Disaster Risk Reduction Programme (ACP-EU NDRR)** was launched on 2 May 2017 through the framework Contract Beneficiaries 2013, under the Request for Services - FED/2017/384620. The MTE was carried out by two independent consultants, a Team Leader and a Disaster Risk Management Specialist.

The **objectives of the mid-term evaluation** of the ACP-EU NDRR are to draw lessons from its initial planning and to provide evidence to adjust the contents of the on-going interventions in relation to realities in the field and/or contextual developments. It aims at improving the on-going interventions and its conclusions will be supported by data collected during the country visits. It is noted that this evaluation only concerns the Single Donor Trust Fund (SDTF EUR 74.5 M) and that the Multi Donor Trust Fund (EUR 5 M) is not within its scope. The time span of the evaluation will cover the years 2011-2017 starting from the point when the Administrative Agreement began in October 2011².

The main **users of the evaluation** include ACP-EU NDRR Task Team Leaders at the European Commission Units in DEVCO and in GFDRR, the ACP Secretariat and other European Commission services such as ECHO and those in charge of the Instrument Contributing to Stability and Peace, among others. Other users include implementing partners and the EU delegations in the recipient countries and regions.

1.2 Evaluation Methodology

An evaluation reference group was composed of EU staff from DEVCO and ECHO as well as members of the ACP Secretariat. The evaluation took place in four phases, the inception phase, desk phase, field phase and synthesis phase. The evaluation briefing took place on 6 July 2017; an inception report was finalized in August; and, a desk report approved in October followed by the country visits. The mid-term evaluation assesses the ACP-EU NDRR programme in all of the countries where the programme is implemented but focused on a sample of 20 African, Caribbean and Pacific (ACP) countries including 13 in Africa, 4 in the Caribbean, and 3 in the Pacific. The projects being implemented in the sample countries were examined through country visits and interviews of key stakeholders. Two countries, Nigeria and Burundi could not be visited due to the length of time needed to obtain a visa, however key informants were interviewed by skype. (See Annexes for more complete description of the methodology.)

Data was collected by means of a document review, key informant interviews using specially developed interview guides, and community preparedness project site visits (Ethiopia, Mozambique, and Niger). (See Annexes for documents consulted and interview guides.). In addition to the country visits, an abbreviated **Rapid Assessment of Capacity Development (RAC)**³ was performed by the evaluators in four countries which were selected on the basis of geographic location - Ethiopia, St. Lucia, Niger and Fiji. (See the RAC questionnaire in the annexes). A total of 251 key informant interviews were conducted. (See Annexes for persons consulted).

¹ The denomination of the currency, generally either Euros or US \$ depended on the source of the report cited or used in the evaluation.

² Administrative agreement for European Union contributions, as represented by the Commission, to trust funds, ACP-EU NDRR trust fund under the GFDRR Track II (TF071630), EC trust fund N° 2011/264826

³ Evaluation and Baseline Study of European Commission Technical Cooperation Support, 2012 - Section 6 – Rapid Assessment of Capacity Development

The programme had not developed an overarching logical diagram or theory of change. The evaluation team therefore constructed a diagram using programme targets and results leading to impacts as described in programme documents. (See the logic diagram/theory of change below.)

1.3 Limitations and constraints

The following constituted limitations to the data collection and analysis process with mention of mitigation measures taken by the evaluation team.

- Time was lost in i) changeover of the evaluation team leader in September which delayed the desk report and the field missions, although they were undertaken as soon as possible; and ii) country visits were made in the Caribbean in January after a very active hurricane season in 2017.
- Time was insufficient to collect data in each of the countries visited relative to the large numbers of stakeholders. To mitigate this limitation, all efforts were made to create an efficient mission schedule for meeting the stakeholders.
- Data collection may have been affected by turnover of programme and partner staff since the onset of the programme in 2011. The evaluation team attempted to find staff who had relocated and those having a great deal of institutional memory and also to rely on documentation.
- Difficulty was encountered to track the strengthening of knowledge, attitudes, and practices as outcomes were not always documented or could not be well analysed through beneficiary recall, especially for activities occurring years ago.
- Challenges existed to attribute changes and leveraging to the ACP-EU programme as opposed to numerous DRR and CCA inputs supported by the World Bank, EU and other sources.
- Lack of overarching results frameworks and baselines documented at the onset of the programme (2011) restricted the team's ability to compare baselines to the achievements as per the targets. The logical framework diagram/theory of change was reconstructed for this mid-term evaluation in 2017.

1.4 Overall context and description of the ACP-EU NDRR programme (2011-2020)

The European Union (EU) has entrusted in 2011 (EUR 59,5 M) and 2014 (EUR 20 M), a total of EUR 79.5M to the World Bank (WB)-led Global Facility for Disaster Risk Reduction (GFDRR) in order to enhance Disaster Risk Management (DRM) and Post-Disaster Resilient Recovery in African, Caribbean and Pacific (ACP) countries through the establishment of the ACP-EU NDRR Programme. The amount of EUR 74,5 M is in a Single Donor Trust Fund (SDTF) while EUR 5 M is part of a Multi Donor Trust Fund. The programme is funded by the 10th European Union Development Fund (EDF) Intra-ACP Strategy.

The implementation period was initially from 9 May 2011 to 30 June 2017 (Administrative Agreement EU TF 2011/264826) but the administrative agreement was amended to include a new EUR 20 M contribution and extend the end disbursement date to 30 June 2020 (amended Administrative Agreement signed 14/08, 2014). The additional EUR 20 M was added to the initial allocation of EUR 59,5 M for the purpose of supporting Regional Economic Communities (RECs) in Africa. (See below for further explanation.)

The **overall objective** of the programme is to contribute to sustainable development and poverty eradication by means of improved disaster risk reduction. The specific objective is to address prevention, mitigation and preparedness to natural hazards in ACP States, focusing on the following four priority areas:

- mainstreaming of disaster risk reduction;
- risk identification and assessment;
- early warning systems and communication on DRR;
- risk transfer and integration of DRR into recovery.

In accordance with the EDF Intra-ACP Strategy, the main expected results are: a) improved resilience of ACP countries to the impact of natural disasters; b) better preparedness of the population in disaster-prone areas; and c) reduction of the cost of response in the event of natural disasters. In order to achieve the results as described above, **three funding windows** to the ACP countries for DRR activities were established:

Window 1 - Regional: Approximately 18 countries had approved projects in **Window 1**, 9 in Africa, 4 in the Caribbean, and 5 in the Pacific⁴. Regional/sub-regional DRR initiatives aim to strengthen regional/sub-regional cooperation to advance ACP countries' national disaster risk reduction agendas. This includes support related to regional early warning systems, flood risk management in river basins, trans-boundary risk mapping and identification, risk pooling and insurance mechanisms, knowledge exchange, and learning and capacity building in DRR.

In August 2014, the EDF increased the contribution by EUR 20 M to the "ACP-EU Natural Disaster Risk Reduction Programme" in its Single Donor Trust Fund (SDTF) to Window 1 to support specific sub-Saharan Africa 'Regional/Sub-regional DRR initiatives'. This part of the programme is known as Window 1 "Result 2". Activities financed under this result are implemented through the ACP-EU NDRR programme, which aims to maintain an active dialogue and commitment with the African Union Commission through the Programme's Steering Committee. The project interfaces with the larger EDF 10 Result 2 area for Africa which is managed by GFDRR.

The purpose of the additional contribution to Window 1 of the SDTF is to strengthen and accelerate the effective implementation of an African comprehensive disaster risk reduction and risk management framework at regional level. This was and still is to be achieved by supporting regional organizations to identify opportunities for risk reduction and risk transfer, and fostering capacity building in DRR and south to south knowledge exchange programmes. The targeted support to African RECs was meant to strengthen their capacities for improved coordination, planning, policy advisory and knowledge dissemination and better support their respective member states in taking informed decisions in building resilience to disasters.

Window 2 – Country based: Window 2 supports need-based and demand-driven technical assistance for DRR and climate adaptation policy development and its implementation including provision of technical advisory capacity in ACP countries. It targets countries with existing programmatic framework and ongoing DRR dialogue as well as countries with no programmatic framework and/or no readily available implementation capacities.

As integral to the ACP countries' sustainable development agenda, programme support focused on mainstreaming disaster risk reduction and interlinking climate change adaptation (CCA). This was planned through technical assistance, hazard assessment and risk mapping, improving tools for multi-sectoral risk assessments, developing the capacity of hydro met agencies to provide better end-to-end Early Warning Systems (EWS) as well as introducing new country and regional level risk transfer instruments to protect against GDP loss. Approximately 42 countries had approved projects in **Window 2**, including 18 in Africa, 16 in the Caribbean and 8 in the Pacific.⁵

Window 3 – Post-disaster assessment and recovery: Support covers (i) ex ante capacity development in ACP countries for post-disaster needs assessment (PDNA), (ii) post-disaster assistance through (co-) financing PDNAs that enable drawing up a rebuilding plan which integrates DRR principles, (iii) rapid technical assistance and good practice advisory support to ACP countries in the aftermath of a disaster to integrate the principle of 'building back better' to the recovery/reconstruction phase. Approximately 22 countries had approved projects for **Window 3**, 14 in Africa, 4 in the Caribbean and 7 in the Pacific as well as 1 global project.⁶

1.5 Management of the ACP-EU NDRR programme

A **Steering Committee (SC)** was set up⁷ after the signing of the Administrative Agreement on the 9th of May 2011, to advise and provide guidance on the overall direction of the Trust Fund, and be responsible for reviewing progress and achievements, reports and work programme as well as considering priorities and general principles for the Programme. The SC formally consists of one representative from the European Commission, one representative from the ACP Secretariat and one representative from the

⁴ M&E ACP-EU NDRR Summary, June 2017 spreadsheet

⁵ M&E ACP-EU NDRR Summary, June 2017 spreadsheet

⁶ M&E ACP-EU NDRR Summary, June 2017 spreadsheet

⁷ ACP-EU NDRR implementation arrangement, 9th November 2011

GFDRR Secretariat. The Steering Committee is expected to meet quarterly unless otherwise agreed and chaired by the European Commission and the ACP Secretariat on a rotational basis.⁸

The ACP Secretariat's role in the programme is one of a political, administrative and technical partner throughout the implementation. In partnership with the EU, the ACP Secretariat oversees the monitoring and evaluation of the programme as it progresses.

The GFDRR increased its presence in Brussels in 2011 and set up a small team to better support the implementation of the ACP DRR Programme and ensure day-to-day coordination with the EC and the ACP Secretariat, and other partners. In addition, the goal of the **GFDRR Brussels team** is to ensure support to the SC, including on organization of meetings, and is the entry point to make sure requests arising from SC members (and other partners) on the Programme's activities and progress are addressed promptly. It also works to ensure coordination with the WB DRM regional coordinators in the Africa, Caribbean and Pacific Regional departments of the World Bank. The programme also set up a monitoring framework which tracks nine indicators (see Table 1 in Section 2.2.1).

The **GFDRR Secretariat in Washington DC** aims to ensure smooth implementation of activities and alignment with GFDRR existing tracks and mechanisms, and facilitates internal administrative processes such as the grant approval once the projects are endorsed by DEVCO. In total, 35 project managers including task team leaders (TTL) and coordinators were appointed to follow up the programme, of which 19 are currently based in the GFDRR HQ in Washington DC, 2 coordinators are in Brussels, 2 in France, 9 in Africa, and 3 in the Pacific.

At the request of the ACP member states, actions implemented under this programme focused at country level, but also at regional and sub-regional level in cooperation with regional organizations with mandates for Disaster Risk Management. Originally, projects were implemented either through a **Call for Proposals process or a fast track procedure**. The call for proposals followed a 2-stage evaluation, as the main implementation arrangement for **Windows 1 and 2**. The Calls were initially expected to be launched twice a year, unless the Steering Committee decided otherwise.

As for **Window 3** requests for funding of PDNAs are triggered following a request for international assistance from the Government of a disaster-affected ACP country, based on the principles of the WB-EC-UN Joint Declaration on Post-Crisis Assessments and Recovery Planning. Interventions below or equivalent to EUR 100,000 were awarded without EC former approval, provided that (i) specific conditions for eligibility were met (e.g. support from the EU Delegation, official request from the Government, alignment with programme objectives, etc.); and, (ii) EC and the ACP Secretariat were informed accordingly. Following the completion of an assessment, grants can be made available to countries to support DRR mainstreaming in resilient recovery and reconstruction planning (including recovery frameworks).

1.6 Lessons learned from previous evaluations

The Mid-term Evaluation reviewed and considered findings and recommendations from past evaluations. Two evaluations of the GFDRR took place in 2010 and 2012 (global programme review) which set out a number of lessons which have been applied to subsequent programmes and projects. The **Evaluation of the World Bank Global Facility for Disaster Reduction and Recovery (GFDRR) Final Evaluation Report (2010)**⁹ concluded that the GFDRR played a contributory role in the attainment of the goals of the Hyogo Framework and had made considerable progress in a short time in mainstreaming DRR.

Two complementary evaluations were conducted in 2014 and 2015 supported by GFDRR. The 2014 **Retrospective Evaluation of the GFDRR Programme in a Sample of Disaster-Prone Countries**¹⁰ studied five countries (Guatemala, Malawi, Nepal, Sri Lanka and Vietnam) with particular attention to the theory of change, partnerships, and the M&E framework. It noted that in order to make GFDRR more effective, assessments should inform the design of the national level strategy including obstacles and

⁸ Steering Committee meeting minutes: ACP-NDRR Steering Committee meeting minutes (October 12, 2011, March 23, 2012; October 4, 2012; September 30, 2013; March 27, 2013; March 28, 2014; October 13, 2015; March 25, 2015; April 11, 2016)

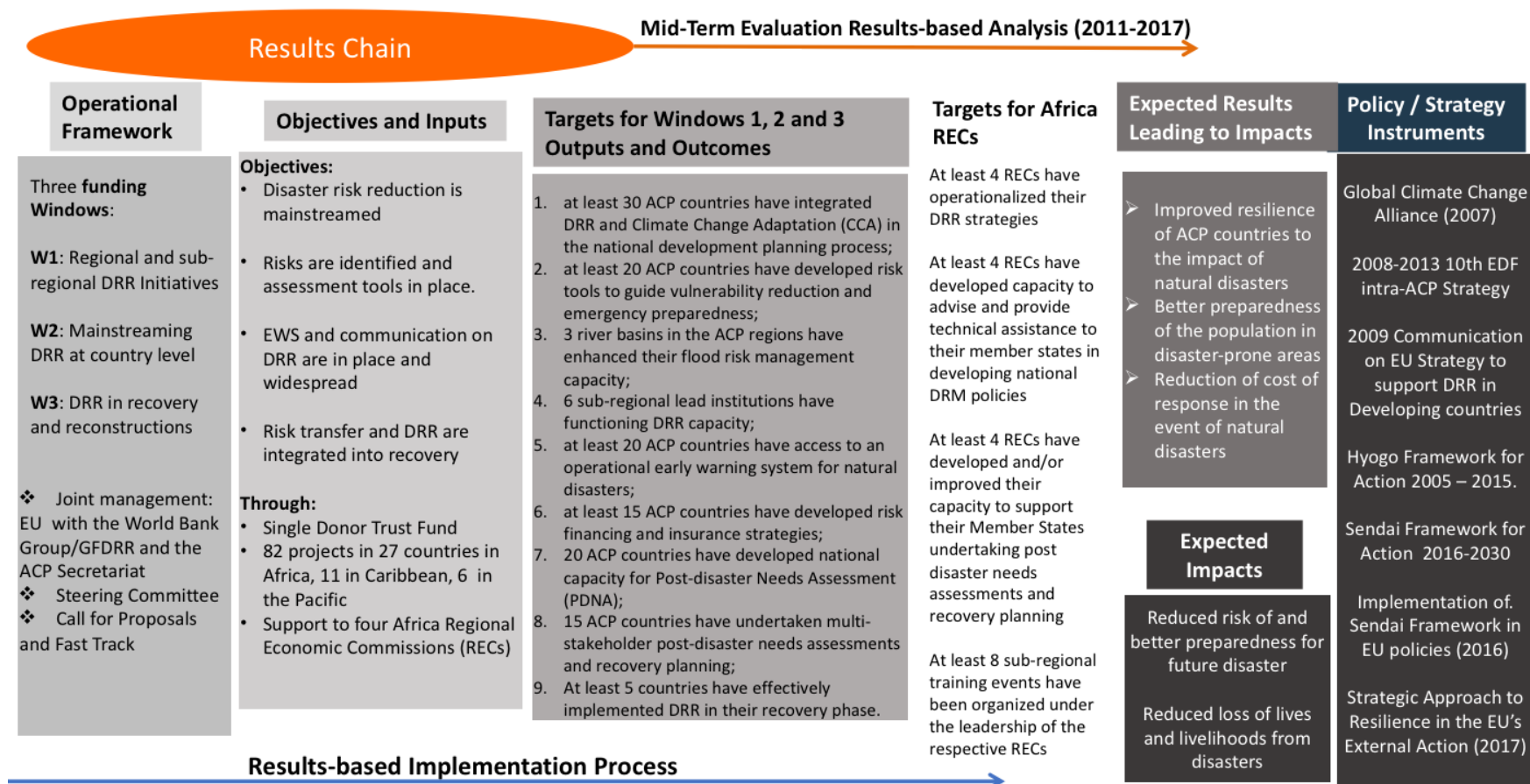
⁹ Evaluation of the World Bank Global Facility for Disaster Reduction and Recovery (GFDRR) Volume I—Final Evaluation Report; Universalis Management Group, January 2010

¹⁰ Retrospective Evaluation of the GFDRR Programme in a Sample of Disaster-Prone Countries (April 2014), DARA International

enabling factors, and a mapping of DRR stakeholders, with a country level theory of change, and tailored to the national challenges. **The Global Facility for Disaster Reduction and Recovery Country Evaluation Technical Evaluation** (September 2015)¹¹ focused on Bangladesh, Dominica, Ethiopia, Indonesia, and Saint Lucia and impacts of the GFDRR assistance, which noted that in order to **improve M&E** and support more streamlined results reporting, strengthening the documentation of activities and results is critical.

Figure 1: ACP-EU NDRR logic of intervention and theory of change

¹¹ The Global Facility For Disaster Reduction And Recovery Country Evaluation Technical Evaluation September 2015, ICF International



ACP-EU NDRR (2011-2020) programme logic of intervention and theory of change

2 Evaluation Findings

This section of the report discusses evaluation findings in relation to the ten evaluation questions which are featured at the beginning of each sub-section. The findings are constituted from facts, data, interpretations and analyses and include cause-and-effect statements with some concluding statements. Overall conclusions and recommendations are presented in the last section of the report.

2.1 Relevance

EQ 1 – Relevance: To what extent are the objectives of the programme consistent with country and regional needs, physical and policy environments and partners and EU Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA) strategies? Is the quality of the programme design satisfactory (in terms of beneficiaries, needs, initial hypothesis on which the programme is based, allocation of resources between components, regions and countries, cross-cutting issues, etc.) and in particular against Sendai framework priorities?

The evaluation question addresses planning and strategic positioning of the ACP-EU NDRR programme throughout the cycle to date and assesses whether the objectives are consistent with EU DRR and CCA strategies and the Sendai framework priorities. The evaluation looks at the appropriateness of allocation of resources among components, regions and countries. Further, the cross cutting issues critical to the relevance include vulnerability, gender equality and equity. The evaluation examines programme design in terms of whether it appropriately targeted beneficiaries and needs of the country or region.

2.1.1 Consistency with EU Strategies and the Sendai Framework

Through funding projects that would contribute to improved resilience of Africa, Caribbean and the Pacific (ACP) countries to the impact of natural disasters and climate change; better preparedness of the population; and reduction of the cost of response, the EU supports sustainable development and poverty eradication by means of improved disaster risk reduction in the particularly vulnerable ACP States. To do this, the EU partnered with the ACP Group of States, the World Bank and GFDRR which are all committed to integrating disaster risk reduction (DRR) and climate change adaptation (CCA) in development strategies. It is planned that these partners together with the relevant external partners should ensure a coordinated approach to DRR and CCA in the ACP countries.

The importance of the EU vision for DRR is demonstrated by the policies, strategies and implementing plans developed since 2005. The EU's commitment stems from two key policy documents: the European Consensus on Development (2005) and the Consensus on Humanitarian Aid (2007) which provided the basis for a comprehensive and integrated approach on disaster risk reduction. In 2009, Communication on an *EU Strategy for supporting disaster risk reduction in developing countries* was issued.

The ECHO 2013 policy on DRR: *Increasing resilience by reducing disaster risk in humanitarian action* sets out the foundations for more effective EU collaborative action bringing together humanitarian action, long-term development cooperation and on-going political engagement. It was followed by the *Strategic Approach to Resilience in the EU's External Action* (2017) to support developing countries in integrating DRR into their development policies; targeting action on disaster prevention, mitigation and preparedness; and, integrating DRR more effectively into EU development and humanitarian aid policies and programming.

Recognizing the strong interlinkages between development and climate change, the Global Climate Change Alliance (GCCA), established by the European Union (EU) in 2007, aims at strengthening dialogue and cooperation with developing countries, in particular least developed countries (LDCs) and small island developing states (SIDS).

Other supporting policies include the following. The *Joint Africa-EU Strategy* (JAES, 2007) sets out the intention of both continents to move beyond a donor/recipient relationship towards long-term

cooperation on jointly identified interests. The *Instrument for contributing to Stability and Peace* (IcSP) focuses on crisis response, crisis preparedness, conflict prevention and peace-building. In line with the ACP-EU NDRR programme, the IcSP is supporting the Development of Post-Conflict and Post-Disaster Needs Assessments (PCNA/PDNA) capacities and tools.

In June 2016, the European Commission published an Action Plan which aims to guide the **implementation of the Sendai Framework in EU policies**. Review of the Sendai Framework objectives¹² illustrates strong alliance with the ACP-EU NDRR objectives and closely matching indicators. Regional and national stakeholders note that EU support for Sendai implementation is among the strongest. The Sendai priorities for action include: **Priority 1.** Understanding disaster risk; **Priority 2.** Strengthening disaster risk governance to manage disaster risk; **Priority 3.** Public and private investment in disaster risk prevention; and, **Priority 4.** Enhancing disaster preparedness for effective response and to “Build Back Better” in recovery, rehabilitation and reconstruction.

Conclusive statement for consistency with EU strategies: The **EU DRR and Climate Change Adaptation strategies** are invoked in all relevant planning documents and have been exemplified through related strategies and development agreements relevant to national and regional levels. (National and regional DRR and CCA strategies are discussed in more depth in the country and regional profiles and case studies in the annexes.) The planning and strategic positioning of the ACP-EU NDRR programme throughout the cycle to date has been consistent with and supportive of the EU DRR and CCA strategies and the Hyogo framework priorities. Further the planning as the process progressed has factored in the Sendai framework (2015), and the developing EU strategies on implementation of the Sendai framework (2016) and the Strategic Approach to Resilience (2017).

2.1.2 Project identification and consistency with policy environments and partners

Funded projects were identified through a call for proposals or a fast track procedure. (These processes are discussed in more detail in the Efficiency section). The **Call for Proposals** issued by GFDRR (2nd call, 2014) clearly states that the programme responds to the “European Union Strategy for Supporting Disaster Risk Reduction in Developing Countries”, adopted in 2009, and its “Implementation Plan”, adopted in 2010. It also addresses the ‘EC Action Plan for Resilience in Crisis Prone Countries, 2013-2020”, in particular Actions 4, 10 and 11. Thus all applications for the ACP-EU NDRR had to be relevant to EU core objectives documents and the Hyogo Framework for Action and later the Sendai Framework for Disaster Risk Reduction (SFDRR) 2015-2030.

As per the **Call for Proposals**, projects were required to focus on regional priorities as well as bring “added value to the country or region while ensuring consistency with the broader World Bank DRR strategies in the country or region”, which also harmonize with the Sendai priorities. For example, **in Africa**, regional priorities were mentioned as enhancement of flood risk management capacity in river basins, access to early warning systems, mainstreaming of DRR at community and local government level, and mapping of assets and infrastructure. These priorities are reflected in the selected **Window 1** projects. **Window 1 Result 2** is also closely aligned with the strategic approach articulated in the African Union Commission (AUC) Programme of Action and the regional CCA strategies.

Country level projects under **Window 2** were also compliant. For example, in Niger, the Disaster Risk Reduction Project implemented by Oxfam was aligned to the needs of the country and contributed to DRR capacity building and linkages between the national and decentralized levels. The project aimed to bridge the identified weakness in the national structure dealing with disaster management and food security (NPGCCA) by supporting DRR initiatives and activities at the community level, in line with national and decentralized objectives and DRR strategies. Two other projects in Niger were also relevant and complied with Sendai objective g. The projects titled “Multi-hazard approach project on

¹² (a) Substantially **reduce global disaster mortality** by 2030, aiming to lower average per 100,000 global mortality rate in the decade 2020-2030 (b) Substantially **reduce the number of affected people** globally by 2030, aiming to lower average global figure per 100,000 in the decade 2020 -2030 (c) **Reduce direct disaster economic loss** in relation to global gross domestic product (GDP) by 2030. (d) Substantially **reduce disaster damage to critical infrastructure** and disruption of basic services, among them health and educational facilities, including through developing their resilience by 2030. (e) Substantially increase the number of countries with national and local **disaster risk reduction strategies** by 2020. (f) Substantially **enhance international cooperation** to developing countries through adequate and sustainable support to complement their national actions for implementation of this Framework by 2030. (g) Substantially **increase the availability of and access to multi-hazard early warning systems** and disaster risk information and assessments to the people by 2030.

early warning system with a focus on flood risk management" and the "National and Regional Disaster Response and Resilience Programme in the Sahel" also align with the draft national and regional disaster risk management strategies.

In the **Caribbean**, projects effectively addressed regional priorities including structural assessment of public buildings including schools, mapping of road infrastructure and assets, and using open source data platforms. In Belize, where one main road connects the mainland part of the country crossing areas particularly prone to seasonal flooding, the mapping of road infrastructure was particularly relevant. In the Dominican Republic, where most of the country is vulnerable to hurricanes, floods and earthquakes, evaluation of school safety was particularly relevant and was effectively combined with open source hazard mapping.

In the **Pacific**, priorities were mentioned as landslide risk mapping and planning of related community investments, beneficiary surveys and regional consultations to help design regional and national early warning systems, and using open source platforms. In Vanuatu, for instance, both projects are aligned with EU DRR and CCA strategies and Policies and the Sendai framework such as Sendai Priority 3: Investing in disaster risk reduction for resilience ("Increasing Resilience to Climate Change and Natural Hazards in Vanuatu") and Priority 4: Enhancing disaster preparedness for effective response and to "Build Back Better" in recovery, rehabilitation and reconstruction (PDNA). In Fiji, the projects are aligned with EU DRR and CCA strategies and Policies and the Sendai framework such as Sendai Priority 1: Understanding disaster risk (CVA) and Priority 4: Enhancing disaster preparedness for effective response and to "Build Back Better" in recovery, rehabilitation and reconstruction (PDNAs). The CVA will also support the Sendai reporting.

Assessment of implementation capacities of partner agencies was mixed in the project inception phase and throughout the cycle. The capacity of the GFDRR was assessed in two separate evaluations in 2011 and 2015 which were overall positive regarding its management capacity and set out lessons and recommendations. The vast majority of projects were World Bank implemented.

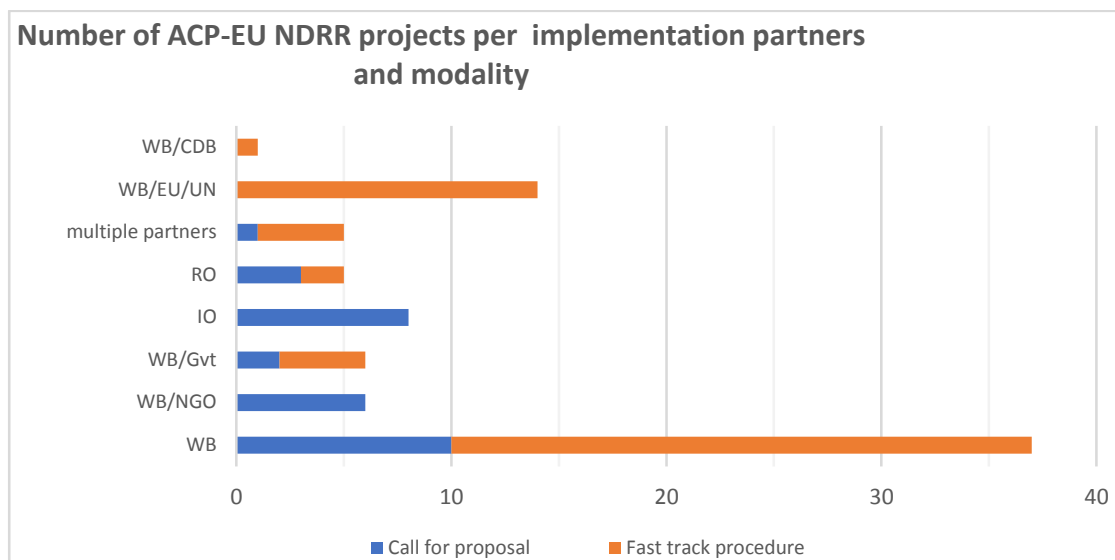
The project proposals were appraised in relation a number of criteria:

- Existence of a legislation on DRR in the country
- Existence of a DRM programmatic framework or engagement with the World Bank
- Government ownership of the programme (Government endorsement letter to be attached to the proposal)
- Harmonization and coordination with other partners
- Leveraging potential
- Implementation capacities

It is noted that only six out of the 39 projects implemented under Window 2 were implemented with NGOs. NGOs need to be administratively approved to receive World Bank funds. NGOs and local organizations are known to be the key partners for ensuring improved DRR at community level for they can gain the trust and understanding of the community as well as long term engagement that will promote results.

It is well noted that the World Bank Group is mandated to work with sovereign governments and consequently may frequently target improving legal or regulatory frameworks, law or code enforcement, and strengthening budgets for DRR. This is evidenced in the types of interventions and the choice of implementing partners. However, buy in and political will at national and regional levels of governance have been shown to be critical for promoting DRR in sub-levels of governance such as in districts and in communities. It is also noted that most national and regional strategies aim to achieve disaster preparedness and resiliency results for individual citizens, especially the most vulnerable. The NGOs are also mandated to work with governments at all levels and can bring the added value of including other national stakeholders such as the Red Crosses/Crescents and academic institutions.

Figure 2: Number of projects per IP and modality



Projects implemented under Window 1 were identified in line with regional organization priorities and needs. The Result 2 funds have only recently been allocated (late 2015) or are about to be allocated (SADC, late 2017) and have been preceded by capacity feasibility assessments by the GFDRR to ensure that World Bank and EU requirements and procedures will be followed. The limiting factors in capacity of the Africa RECs to promote their DDR and CCA capacities is the inconsistent (e.g. SADC) or weak (IGAD) contributions of their Member States. At the continental level, there are two fora which advocate for the RECs, the African Working Group which meets twice a year and Africa Regional platform, meeting once every two years. There are currently commitments in the platform promoting Member State allocations to regional DRR.

As opposed to the African RECs, the regional organizations in the Caribbean (CDEMA) and the Pacific (SPC) are both well supported by Member States and external development partners. Limitations for all of the regional organizations, are the capacity challenges in the Member States which include but are not limited to ability to efficiently manage programmes and develop needed inputs such as TORs and work plans as well as needing greater understanding of the international standards.

Although some projects took place several years ago, stakeholders generally attested to their strong relevance to promote regional mapping and open source databases (e.g. Regional Centre for Mapping and Resource Development - RCRMD, Nairobi), strong impetus for establishing a regional initiative to promote urban resilience (Disaster Risk Management and Urban Resilience -DiMSUR) developed among Union of Comoros, Mozambique, Malawi and Madagascar), and strong need for disaster risk financing and insuring of national and private property in the Caribbean.

Projects implemented under Window 2 were all triggered by government requests and therefore correspond to nationally identified needs. The district-community project implementing agencies conducted needs assessments to facilitate targeting among the most vulnerable areas prior to implementation; these included participatory assessments undertaken in Niger, Ethiopia, Mozambique and Zimbabwe.

Projects were generally designed to build effectively upon past risk assessment and DRR mainstreaming efforts by governments and development partners. In Mozambique, the “Promoting the integration of disaster risk reduction and climate change adaptation into District Development Plans and Community-Based Risk Management” project aimed to unify various approaches to DRR planning by gaining agreement on the methodology for training and incorporating DRR and CCA in local planning. In Ethiopia, the “Woreda disaster risk profiling” project aimed to support government efforts to complete disaster risk assessments on the most vulnerable populations. The research aspect of the project (with Africa Centre for Disaster Risk Management (ACDRM) - part of Addis Ababa University) has allowed the data to be made available for cross analysis of the woreda profiles which should contribute to overall DRR efficiency.

In Vanuatu, the objectives of the “Increasing Resilience to Climate Change and Natural Hazards in Vanuatu” project reflected the government’s priorities in terms of climate change and disaster risk management. The resilience project was relevant to the country needs more so after tropical cyclone (TC) Pam when some activities were reviewed in order to respond to the new recovery needs (e.g. rehabilitation of a seismic station destroyed by TC Pam in 2015).

For **Window 2** community and district projects, the implementation capacity of NGO partners was well known as they are generally well established in the countries they serve and strongly obligated to the M&E systems of their international headquarters. However, project planning in some cases did not foresee or factor in the lack of or weak national policies and capacities of the national ministries, which proved to be challenges in promoting future replication of the successful pilot projects supported by the ACP-EU NDRR programme. Seeing the projects at the planning stages through to the replication stage would be important for sustainability. (Examples are further discussed in the Effectiveness section.)

Projects implemented under Window 3 were also triggered by a formal request from the affected government and with clear identified post disaster assessments needs, either to support disaster assessments, recovery activities or supporting disaster management capacity building. The relevance of implementing sound and well structure need assessment after a disaster was highlighted by the recipient governments and PDNA is now becoming the worldwide standard assessment tool after major disaster.

The PDNAs have also provided a conducive environment for EU and GFDRR to support government commitment and activities in risk assessment and transfer, reduction of human vulnerability and resilient development. In Vanuatu, the PDNA provided an economic analysis and a structured assessment mechanism that helped in the development of a sound recovery and reconstruction need report, taking into consideration vulnerability and gender aspects. In Fiji, the first PDNA triggered the need for development of better baselines in all sectors. The relevance of implementing sounds and well-structured need assessment after a disaster was highlighted with the first PDNA for TC Evan (2012) and it became the standard assessment tool after major disaster as shown with TC Winston (2016). TC Winston also triggered the need for investing in climate vulnerability assessments.

Conclusive statement for analysis of resources allocation: Although allocation of resources between components was based on strong rationale, e.g. for Window 1, on the regional needs in coordination with other funding sources (Caribbean and Pacific direct support from EDF 10 funding), for Window 2, on requests received by Governments and for Window 3, mostly based on the post disasters requests received, the programme is not adequately balanced relative to the objectives particularly towards focus on preparedness of the population. Advocacy was not strong enough for proposals to include levels of governance closest to the communities and enrich the pool and networking reach that could be provided by implementing agencies. Most of the projects were World Bank implemented related to financing and risk transfer. While they are critical to DRR and CCA, they may not fully cover the needs of the most vulnerable people, including the most marginalized, and communities to have their own preparedness and contingency plans in order to save their lives and livelihoods and reduce the needs for post disaster recovery and risk transfer.

2.1.3 Coverage of Cross Cutting Issues

Cross cutting issues in DRR cover gender equality, rights to food security and livelihoods and protection of people who are likely to be the most vulnerable in disasters, among others. By virtue of its relevance to the international frameworks, such as the Hyogo Framework for Action (HFA, 2005-2015) and the Sendai Framework for Disaster Risk Reduction (2015-2030) the programme had incorporated language on attention to women, children, disabled, elderly and other vulnerable groups as well as males who suffer disproportionately from disasters.

Both the EU and GFDRR have underscored the importance of integrating gender dimensions as a core operating principle. The EU has developed a number of strategies and policies related to gender equality both in the EU and in development assistance, for example, the EC/UN Partnership on Gender Equality for Development and Peace (2007). In both the 2009-2012 and 2013-2015 partnership

strategies, GFDRR committed to integrate gender into national DRM strategies and supporting programmes and projects targeting women and children.

Notably, in 2013 with the support of its Consultative Group, GFDRR adopted an annual work planning process that, for the first time, allocated dedicated resources to support mainstreaming of gender-sensitive approaches into projects¹³. Despite the strong policy and strategic foundation, it is noted that many programme documents and proposals devote only a short paragraph to issues of gender and equity while a few, such as the Call for Proposals, do not require mention of these issues at all. For example, the 2015-2016 GFDRR activity report project descriptions rarely mention objectives that target women however, this was addressed in the 2016-2017 GFDRR activity report. It is also noted that gender related and most vulnerable people indicators are not included in the list of those being tracked. In the Window 2 district community projects NGOs generally conducted baseline assessments, including a stakeholder mapping and gender analysis, which provided a strong foundation for their project implementation.

Populations who may fall out of the reach of DRR and CCA programmes include squatter settlements (e.g. Belize, St. Lucia), refugees or assimilated populations (e.g. Belize - immigrants from other parts of Latin America); Dominican Republic (Haitian refugees); Kenya and Ethiopia (Somali and South Sudan refugees) and those not covered by the national and regional strategies, such as marginal groups who lack adequate representation such as economic or seasonal migrants and trafficked people.

As a **conclusive statement on the coverage of cross cutting issues** of equity and vulnerability, coverage requires considerable strengthening but the EU and GFDRR process is progressing to achieve a strengthened approach and the ACP Secretariat can support such strengthening with its knowledge of the ACP vulnerabilities. Discussions are weak or missing in strategies and proposals of how minorities, refugees, IDPs, landless, trafficked and other marginalized groups are covered by both central and decentralized inputs of the programme. The vulnerability of women and children (or men and others) in disasters is currently not in the forefront and highlighted as part of any project, reflecting international and national standards on human rights, applicable to all levels of decentralized governance.

¹³ Gender Action Plan, 2016-2021, Fall 2016 Consultative Group Meeting; GFDRR, page 6

2.2 Effectiveness

EQ 2 - Effectiveness: To what extent has the programme to date achieved satisfactory results? Can enhanced capacities or changes in behaviour be identified? Are there any unintended/unforeseen outcomes or results?

This section of the Mid-term Evaluation addresses the criteria of Effectiveness. It aims to assess whether planned interventions (inputs and outputs) for the ACP-EU NDRR programme have been effective in generating the intended outcomes such as enhanced capacities and changes in behaviour; and/or whether they had unexpected outcomes or results. The analysis also explores whether the planned outcomes and results that have not yet been achieved are likely to be achieved during the programme period or sometime in the future.

According to the foundation documents, the Single Donor Trust Fund (SDTF) specific objective is to address prevention, mitigation and preparedness to natural hazards in ACP States, focusing on the following four priority areas: i) mainstreaming of disaster risk reduction; ii) risk identification and assessment; iii) early warning systems and communication on DRR; and iv) risk transfer and integration of DRR into recovery. The interventions implemented through the ACP-EU NDRR programme aim to increase resilience to natural disasters by scaling up technical and financial support for DRR contributing toward mainstreaming DRR and CCA into development, and assisting post-disaster countries in resilient recovery.

The programme does not have a unified comprehensive results framework. The mid-term evaluation constructed **a theory of change model** (see Figure 1 which is found in the introduction above). As depicted on the model, the **main expected results** of the ACP-EU NDRR programme are:

- a) improved resilience of ACP countries to the impact of natural disasters
- b) better preparedness of the population in disaster-prone areas
- c) reduction of the cost of response in the event of natural disasters.

These results are expected to lead to **impacts**: reduced risk of and better preparedness for future disaster and reduction of loss of lives and livelihoods.

2.2.1 Achievements toward major programme indicatorsⁱ

The programme has adopted a set of nine indicators (termed “Result areas” closely matching those of the Sendai Framework), which represent **outputs** (tangible products to which inputs contributed) and **outcomes** (beneficiaries change their attitudes, practices and skills, for example using the outputs in their DRR CCA practices).

As of June 2017, a large percentage of the programme targets were reached or moving toward successful completion. Integration of DRR and CCA into national planning processes is being successfully promoted as is risk identification and assessment. The result areas that lag more significantly behind are early warning systems, development of risk financing and insurance strategies and integration of DRR into recovery interventions following a PDNA exercise. Reasons may include fewer demands from governments for early warning support (exception-Niger EWS for floods and Zimbabwe EWS for floods and strong winds) and time needed to inculcate complex risk financing tools. Some DRR integration during recovery is actually taking place under Window 1 (Pacific TA) and Window 2 (Tonga). There is optimism on the part of the GFDRR that all targets will be reached in the remaining two years.

Conclusive statement: The progress toward the “Result areas” approved for the programme has been satisfactory, with 6 of 9 already achieved and evidence suggests that all will be achieved.

Table 1: Achievements toward major programme indicatorsⁱⁱ

ACP-EU NDRR Result Areas	Targets	Achievements (June 2017)	Comments
1. ACP Countries have integrated DRR and Climate Change Adaptation in the national planning process	30 countries	17 completed Progress noted for others	Likely to be largely achieved
2. Development of risk tools to guide vulnerability reduction	20 countries	17 completed plus numerous regional	Target will be surpassed
3. River basins have enhanced flood risk management capacity	3 river basins	1 completed and 2 nearly completed	Likely to be achieved
4. Sub-regional institutions have functioning DRR capacity	6 sub-regional	Completed	Result 2 delayed
5. Access to operational early warning system for natural disasters	20 countries	7 completed 6 in the pipeline	May be achieved
6. Development of risk financing and insurance strategies	15 countries	8 completed 6 in the pipeline	May be achieved
7. Development of national capacity for post-disaster needs assessment (PDNA)	20 countries	17 completed but 14 through on the spot PDNA implementation after disaster, not specific targeted trainings	Partially achieved
8. Undertaken multi-stakeholder PDNA and recovery planning	15 countries	14 completed and one in the pipeline	Will be achieved
9. Effective implementation of DRR in the recovery phase	5 countries	3 achieved and one ongoing	May be achieved

2.2.2 Implementation of interventions

The stated goals and objectives of the programme are achieved through three main activity types—**capacity building, analytical products, and technical assistance**—across three windows: regional, national and resilient recovery. The interventions were executed either by the World Bank, the grant recipient such as a regional, sub-regional organizations or recipient governments, or a UN or civil society organization.

Capacity building – The GFDRR tracking of conferences, workshops and training events is evidence of inputs/outputs while the capacity building **outcomes are discussed in more detail below**. The targets for participation in the activities are not available, therefore, progress against targets cannot be assessed. As of June 2017, nearly 14,000 people have been trained under the ACP-EU NDRR programme.

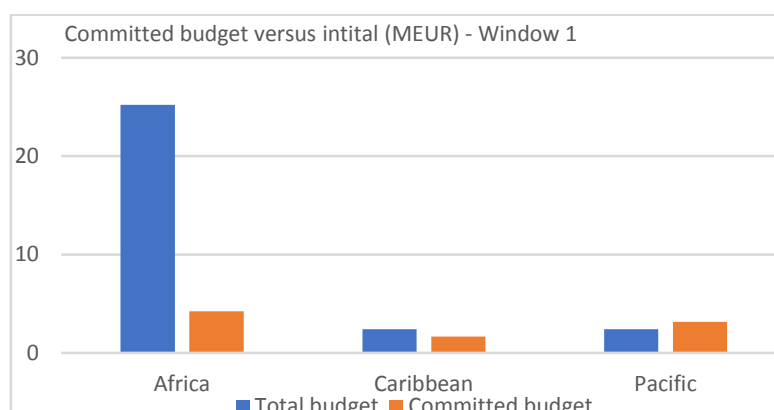
The **Rapid Assessment of Capacity (RAC)** format was completed for a sampling of four countries, Ethiopia, Niger, St. Lucia and Fiji. **The aggregated results indicated a strong positive effect on capacity building with significant outcomes for improved knowledge, attitudes and practices.** (See RAC results in the annexes.)

Table 2: ACP-EU NDRR summary of capacity building outputs

Capacity Building Outputs	People trained on DRR/DRM	People trained on PDNA	People invited to conferences	Totals
Africa national	6,673	1,417	876	8,968
Africa regional	1,611	184	728	2,523
Pacific national	371	180		551
Pacific regional	191	31	15	241
Caribbean national	923	33	7	963
Caribbean regional	209	39	47	295
Numbers of events				389
Total participants				13,854

Window 1 (Regional and Sub-regional). Under Window 1, Result 2 supplied funding for the Regional Economic Communities (RECs) in Africa (EUR 20 M split four ways between IGAD, SADC, ECCAS and ECOWAS), parallel EU grants were provided to the SPC and the Caribbean (as a group - CDEMA/Caribbean Development Bank/Dominican Republic) of EUR 20 M each. Therefore, the ACP-EU programme resources for the Caribbean and the Pacific were not expected to support the regional organizations as they were receiving support directly from the EU, nevertheless, their contributions to regional and national capacity are considered in this evaluation. The ACP-EU programme funding in the Caribbean and Pacific generally was distributed to multi-country projects under Window 1.

Figure 3: W1 Committed budget versus initial (MEUR)



It was anticipated that, under Window 1 through a comprehensive regional work programme, all ACP countries would be able to tap technical expertise and best operational practices. They would be able to provide an advocacy platform, substantially increasing stakeholder outreach and ultimately benefitting national development plans¹⁴.

The Work Plan for **Window 1 Result 2** was prepared in close collaboration with IGAD, ECOWAS, SADC, and ECCAS and includes proposed interventions and expected results for each. Activities are carried out as a mix of Bank-executed and Recipient-executed modality, implemented by the RECs pursuant to the signature of a Grant Agreement between the REC with the WB. The ACP-EU NDRR indicators for Result 2 are the following as per the Result Area 2 overall goal: *“African Regional Economic Communities have DRR coordination, planning and policy advisory capacities operational to support their respective member states and regional and sub-regional programmes”*.

- | | |
|---|--|
| 1 | At least 4 African RECs have operationalized their DRR strategies according to their respective actions plans, building on the achievements of previous DRM initiatives. |
| 2 | At least 4 African RECs have developed capacity to advice and provide technical assistance to their member states in developing national DRM policies, strategies and risk reduction programmes. |
| 3 | At least 4 RECs have developed and/or improved their capacity to support their respective Member States undertaking post disaster needs assessments and recovery planning. |
| 4 | At least 8 sub-regional training events have been organized, under the leadership of the respective RECs. |

The funds allocated for **Window 1 Result 2** (2014) have been slow to start, due to the process of GFDRR assessment of REC capacities prior to signing grant agreements (most were not signed until late 2015; SADC in late 2017), reorganization of some RECs and difficulty in finding staff for specialized DRR units. However, effectiveness is certainly hampered by late commencement of activities and the development of the needed capacity of the RECs required to manage inputs and deliver the outputs, which continues to be a significant risk in terms of achieving the indicators/results areas mentioned above.

Support for the RECs is moving forward in all regions, partly due to other funds designated through the 10th EDF Result 2. The GFDRR publication “Building Resilience to Natural Hazards in Sub-Saharan African Regions: Result Area 2” (2014-16 and the 2016-2017 Activity Reports) mention numerous

¹⁴ Administrative agreement for European Union contributions as represented by the Commission to Trust funds, ACP-EU NDRR trust fund under the GFDRR Track II, EC trust fund N°2011/264826

activities particularly support for participation of the four RECs in regional and global conferences and establishment of regional instruments on DRR and CCA.

Of the **non-Result 2** projects that were funded under Window 1, as of June 2017, 19 projects were identified, 14 are now completed, 4 are ongoing and one was discontinued¹⁵. The total allocated budget for Window 1 represents EUR 9,3 M, of which 9 projects are implemented in Africa (EUR 4,2 M), 4 in the Caribbean (EUR 1,6 M), 5 in the Pacific (EUR 3,2 M) and one global or all ACP (EUR 0,3 M), against overall allocation of EUR 25,2 M for Africa, EUR 2,4 M for the Caribbean and EUR 2,4 M for the Pacific. In comparison to the total allocated budget for Window 1 per region, this represents respectively a 17%, 69% and 132% commitment rate respectively for Africa, Caribbean and Pacific.¹⁶

Capacity building under Window 1 non-Result 2

Capacity building had mixed effectiveness in non-Result 2 and capacity gains (outcomes) were very hard to verify. Several regional training events and conferences were supported under Window 1 with the objective of knowledge transfer from regional participants to the country context. However, the number of stakeholders participating in regional capacity building were limited relative to need, the training taking place early in the programme become outdated, and there is a risk of knowledge being lost through staff turnover and challenges to ascertain that trained staff have passed on their knowledge.

In Africa, a number of trainings and conference/platform events took place in the early years of the ACP-EU NDRR programme, including the “Understanding Risk Forum 2012” hosted by the Government of South Africa in partnership with the African Development Bank, the European Union, GFDRR, and UNISDR aimed at increasing the global understanding of risk by supporting a network of experts and practitioners who share knowledge, collaborate and discuss best practice in disaster risk assessments. The ACP-EU NDRR grant supported the participation of 21 delegates from ACP countries and sponsored the capacity building sessions which brought together about 80 people. PDNA regional training which took place in the earlier ACP-EU programme built the knowledge and skills of participants interviewed but is now outdated as per the newest methodology and bears repeating.

Various opportunities have been used to share knowledge and lessons learned on tools developed under Window 1 **in the Pacific**. Examples include the presentation of the Republic of Marshall Islands coastal risk assessment during the Small Islands State Resilient Initiative (SISRI) Group of Practitioners meeting in Cancun (May 2017), as well as the Pacific Star Conference in Nadi in 2016: A road network vulnerability report: “supporting road network vulnerability assessment in Pacific Island countries with catastrophe risk assessments and cost-benefit analysis”

In the Caribbean, under the **Caribbean Risk information programme**, fifty people from twelve Caribbean countries and five regional agencies were trained on the customization of open source data management platforms, as well as uploading, management and sharing of data. The programme effectively supported the CDEMA's 6th Caribbean Conference in 2012 on Comprehensive Disaster Management (CDM). Support included the sponsorship of two sessions; one on Comprehensive Disaster Management reflection; and the other on the Global Earthquake Model (GEM) regional programme in the Caribbean.

Capacity building under Window 1 – Result 2

ECCAS headquartered in Gabon supporting Central Africa offers evidence of significant capacity growth through programme support in terms of strengthening the capacity of ECCAS DRM Unit with a highly skilled DRM expert; participating in the elaboration of the plan of action for the regional DRR/CCA strategy implementation (adopted in Kinshasa October 2015), contributing to studies on legislation and a development of a database which will cover the capacity needs of its members. ECCAS has made significant progress over the past five years in the area of capacity building in DRR, which is reflected in a real political and strategic commitment, concretized in particular by the development in 2012 of the Regional Strategy for Central Africa and its Action Plan, as well as its revision in 2016 and 2017.

¹⁵ Sources: M&E ACP-EU NDRR Summary, June, 17 2017 spreadsheet; and Project list with Team Leader and Call for Proposals/Fast Track, September 10, 2017; Window 1 - Caribbean regional “Strengthening public investment in disaster risk reduction and climate change adaptation in the East (US \$707,600) was dropped.

¹⁶ The over-expenditure for the Pacific can be explained by the thin frontier between W1 and W3 objectives, most of the activities implemented in the Pacific under W1 are related to recovery support technical assistance but at regional scale

ECCAS has also recruited a person to manage disaster risk management actions. However, the sparse human resources and financial resources of ECCAS do not, at present, make it possible to optimally implement both the implementation of the Disaster Risk Management process and the ACP-EU Programme.

According to stakeholders, the regional PDNA training held in 2016 in Gabon supported by Result 2 raised awareness and understanding of the elements needed for disaster prevention and response. It has enabled Central African States to become aware of gaps, mainly in terms of pre-disaster databases and post-disaster needs assessments. However, this training was considered too theoretical and condensed and should be followed by more practical training. Its application and its transmission to other actors involved in disaster management is problematic because of the lack of resources and tools of the institutions concerned.

ECOWAS headquartered in Abuja, Nigeria, supports West Africa (15 countries) finalized its Disaster Risk Reduction Plan for 2015-2030 in 2016 followed by regional training on PDNA and recruited two project officers. An achievement is the inclusion of civil society and women's groups in discussions. The ECOWAS region is rising from having disaster management systems in a number of ECOWAS Member States that were fractionalized and without dedicated National Disaster Management Institutions charged with responding to disasters and coordinating the institutions involved in DRR. ECOWAS has a Humanitarian Response Mechanism (EHRM); Programme of Action for the Implementation of the ECOWAS Policy for Disaster Risk Reduction; and ECOWAS Emergency Response Team (EERT), as well as Draft Model for National Disaster Management Agencies.

In 2015, the **DRR section of IGAD relocated to Nairobi** alongside the **IGAD Climate Prediction and Applications centre (ICPAC)** and is operating there with greater visibility, symbolic of the integration of DRR and CCA in the region. Previously during the 10th EDF, IGAD achieved a high level of involvement in the development of the ACP-EU Natural Disaster Facility (NDF) where Member States were included through Technical Advisory Panels, resulting in two output/outcomes (the establishment of Disaster Response Fund signed by all Member States and the elaboration of a Hazard Atlas of East Africa). IGAD has an operational DRR strategy, and hosts stakeholder platforms three times a year. However, IGAD as with the other RECs is understaffed in relation to demands of projects, which was also the case during the 9th EDF support. IGAD is extending its reach to communities through top off of ongoing projects such as the Kenya Red Cross Hunger Resilience project.

In Southern Africa, SADC has only signed the agreement with GFDRR in late 2017. SADC, with 15 Member States, urgently needs to build its DRR capacity, having only one permanent staff and the other three staff supported on a temporary project basis. SADC effectively facilitated a "Transboundary Disaster Risk Reduction and Management and Eco-Systems Based Disaster Risk Reduction" workshop in Johannesburg in December 2017, attended by 14 Member States. This workshop was supported by South Africa, which provides significant funds and logistics particularly for response and recovery in the region. The goal of the workshop was to initiate strong agreements between countries or groups of countries for collaborative DRR support and discussions were fruitful toward this end. SADC has not operationalized its DRR strategy.

Analytical products under Window 1

In Africa, the Sahel - National and Regional Disaster Response and Resilience Programme (2014-2017, Burkina Faso, Chad, Mali, Mauritania, Niger, Senegal) supported an analysis of regional institutions' capacities to contribute to DRR, a stocktaking analysis of information systems contributing to disaster risk monitoring and assessment in Sahel was conducted and a consensus approach to strengthen information and knowledge management related to disaster risks was developed. This work also provided critical inputs for the Result area 2 work with ECOWAS. The project leveraged US\$22.75 million from the Green Climate Fund (GCF) and US\$2.5 million from GFDRR for Mali.

"The Horn of Africa Open Data Mapping Project: Building Resilience by Sharing data" the **Regional Climate Mapping, Research and Development (RCMRD, Nairobi)** partnered with IGAD from 2012-2015. The RCMRD has 20 member-states and is subscribed to and supported by them and a host of donors and has links with the relevant ministries in the member states. RCMRD acted as the facilitator to assemble and organize the DRR and climate data and develop a host geoportal and sensitize regional stakeholders to use it, such as the NDMOs. The goal was to make the data easy to

locate and user friendly - ICPAC did regional training, capacity building and sensitization in 12 countries – how to use a portal and share with others, thus there is evidence that it is owned by regional organizations for use in their DRR portfolios; the portal was upgraded in 2015.

Two reports emanating from regional studies **in the Pacific**, “Rapid Assessment of Coastal Hazards and Risk Republic of the Marshall Islands” and “School infrastructure assessment mission reports prepared for Samoa, Tonga, and Vanuatu” provided key elements and lessons learned allowing to mainstream resilience into longer term investment projects such as the Coastal Protection Project in the Pacific (under PREP2), as well as the Samoa Transport Project.

Risk transfer instruments are promoted in several projects in the Caribbean including the Belize Disaster Risk Financing Technical Assistance, Grenada Disaster Risk Financing Technical Assistance, Jamaica Disaster Risk Financing Technical Assistance, St. Lucia Disaster Risk Financing Technical Assistance, and in the Pacific (South-West Indian Ocean Risk Assessment and Financing Initiative), and the Pacific Catastrophe Risk Assessment and Financing Initiative - Phase 3 (PCRAFI-3), among others.

The interventions based on the World Bank Development Policy Loan with a **Catastrophe Deferred Drawdown Option (CAT-DDO)**¹⁷, a disaster risk management strategy, would involve complementing the CAT DDO with disaster risk transfer instruments (such as catastrophe risk insurance or catastrophe bonds) for high risk layers. Specific projects under the programme such as in the Seychelles (ongoing) and Cape Verde (ongoing) help inform the CAT DDOs. In the **Dominican Republic (DR)**, the Ministry of Economy, Planning, and Development is presently identifying indicators and guidelines for the elaboration of local risk scenarios and its inclusion into territorial planning processes of 5 municipalities. In the DR, the sustainability analysis developed in the context of CAT-DDO has been very useful to stakeholders however, since the exercise involves various institutions a big issue is better coordination with and among other institutions, for example, sharing the format for collecting data.

Governments determine the mix of disaster risk financing instruments based on an assessment of risks, desired coverage, available budget, and cost efficiency. As they are implemented in low to middle income countries, they must be based on a relatively good understanding of the contexts, existing comprehensive risk assessments, data, legal frameworks, and the necessary infrastructure. These instruments anticipate and reduce economic risk as they reduce volatility and increase economic resilience at the household, national, and regional levels¹⁸. The **SWIO-RAFI** was supposed to develop risk modelling and fiscal risk financing. This was performed in 2016 in Seychelles but with the support of UNISDR. Besides the CAT-DDO, developed in 2014 after the DaLA exercises, Natural Disaster Risk financing strategies were not developed, nor were evaluations of options for financing disaster losses. Risk assessments tools need to be updated in the Pacific and this activity is in the pipeline, should further funding be available.

In the **Caribbean**, the **Caribbean Handbook on Risk Management (CHARIM) (2012-2016)** project involving 5 SIDS supported generation and application of landslide and flood hazard and risk information to inform infrastructure sectors. It produced online handbooks meant to expand the engineering capacity for architecture and physical planning which could be easily accessed. The basic concept was to use existing case studies to design what is needed. According to stakeholders, it is very accessible and user friendly. The roll out was very effective by the University of the Netherlands and stakeholders had strong interaction with the masters/scientists. On the other hand, in terms of St. Lucia, the use of the tool is minimal by the engineers, the main reason being that its use is not promoted by supervisors. A **lesson learned** is that such technology needs to be promoted, for example through a standard operating procedure (SOP), which ensures that the tool will be regularly used. This lesson will be incorporated into a CHARIM phase 2 that is currently under preparation.

Technical assistance under Window 1

¹⁷ CAT-DDO is a contingent credit line that provides immediate liquidity to IBRD member countries in the aftermath of a natural disaster. It is part of a broad spectrum of risk financing instruments available from the World Bank Group to help borrowers plan efficient responses to natural disasters.

¹⁸ Managing the risks of extreme events and disaster to advance climate change adaptation (SREX), chapter 8: Toward a Sustainable and Resilient Future, Intergovernmental Panel on Climate Change (IPCC), 2012

The ACP-EU NDRR effectively supported the establishment of a Technical Centre for Disaster Risk Reduction and Climate Change Adaptation, the **Disaster Mitigation and Sustainable Recovery Centre for Southern Africa (DiMSUR)** for Southern Africa, which was launched in June 2013. The DiMSUR, managed by UN-HABITAT, aimed to support the national authorities of Madagascar, Malawi, Mozambique and the Union of Comoros. The main objectives of the centre are enhanced inter-country cooperation, knowledge sharing, technical assistance and capacity development in particular in increased urban resilience. SADC is on the executive committee and other partners include OCHA, FAO, OXFAM, COOPI, and RIASCO. The process of development of the organization took substantial effort since the development of the concept note in 2008, and a great deal of protocol was involved. DiMSUR offers the tool called **City RAP: City Resilience Action Planning Tool** which trains city managers and municipal technicians in small to intermediate sized cities in sub-Saharan Africa to understand and plan actions aimed at reducing risk and building resilience through the elaboration of a City Resilience Action Plan. It has been used in nine African cities.

The regional **Management of Slope Stability in Communities (MoSSaiC)** initiative (2014-2017) was based on very successful implementation of the approach and tools supported by GFDRR in St. Lucia since 2004 and the pilot communities in Saint Lucia were used as a course laboratory throughout the training. The project aimed to improve resilience to urban landslides in select Caribbean states through delivery of training on the MoSSaiC methodology to government officials, senior engineers and local government staff from Saint Lucia, Jamaica, Belize, Dominica, Saint Vincent and the Grenadines and Grenada with support from the Saint Lucia MoSSaiC Management team (Ministry of Physical Planning). Practitioners in St. Lucia agree that the programme has made a discernible difference in preventing loss of life and livelihoods.

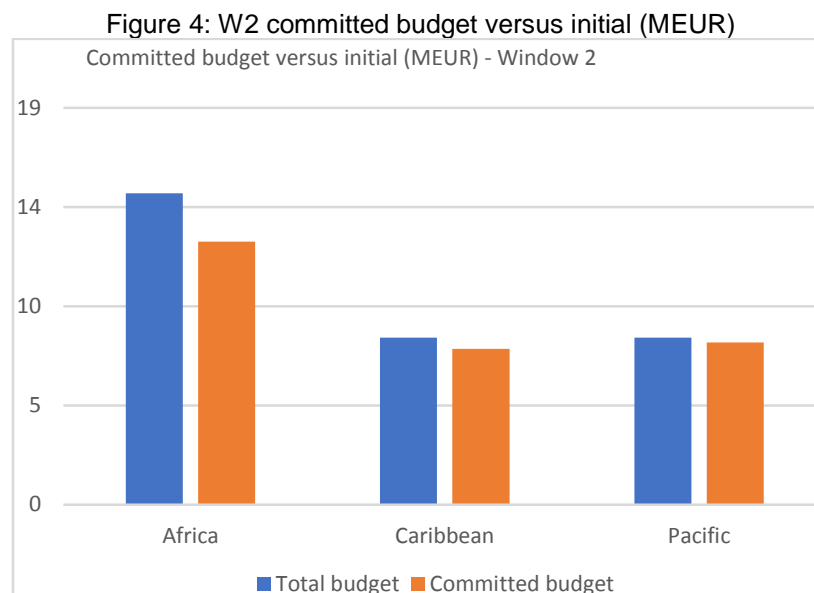
In **Saint Lucia**, in 2012-2013 detailed nationwide exposure maps containing more than 60,000 building footprints were developed and an exercise to identify the critical data gaps within existing hazard and exposure datasets hosted on the Saint Lucia GeoNode has been launched. In Dominica, the Programme supports the government in setting up a data management platform. In the Dominican Republic, DRM Information Management activities (related to the development of a National Information System) are underway.

Conclusive statement on Window 1 effectiveness: With regard to Africa regional priorities, (flood risk management capacity in river basins, access to early warning systems, mainstreaming of DRR at community and local government level, and mapping of assets and infrastructure) the outputs and outcomes have been partially achieved. Enhanced regional capacity gains can be identified, from both the Result 2 and the Window 1 Result 2 inputs achieved so far, particularly in hazard and risk mapping, and organization of DRR and CCA information on open source databases. Gains have been made in developing strategies and action plans for DRR and CCA but mainstreaming outcomes at local levels are unclear. There were mixed outcomes from analytical products with some ownership while others were not fully incorporated into workplace usage; the effects of risk financing technical inputs are still in early stages. Capacity building for the RECs in terms of DRR and CCA remains under-resourced relative to needs, particularly for permanent staffing, which undermines the achievement of the desired outcomes.

Window 2 (Country based)

Under Window 2, as of June 2017, there are 42 approved projects, of which 16 are completed, 21 are ongoing, 2 are in the pipeline and 3 were dropped, for a total budget of EUR 27,8 M, of which 18 were implemented in Africa (EUR 12,6 M), 16 in the Caribbean (EUR 7,4 M), and 8 in the Pacific (EUR 7,8 M) against overall allocation of EUR 14,9 M for Africa, EUR 8 M for Caribbean and EUR 8 M for the Pacific. In comparison to the total allocated budget for Window 2, this represents 85%, 93% and 97% commitment rate respectively for Africa, Caribbean and Pacific¹⁹.

¹⁹ Sources: M&E ACP-EU NDRR Summary, June, 17 2017 spreadsheet; and Project list with Team Leader and Call for Proposals/Fast Track, September 10, 2017; The three projects that were dropped were: Nigeria: Strengthening Capacity for DRM - US\$850,000 and Strengthening Nigerian Universities as Centers of Excellence - US\$330,000; and & Fiji: Programmatic TA - US\$200,000



As shown above, activities implemented under Window 2 have been more successful in terms of implementation commitment against target, in terms of speed but also in terms of progress toward results. Window 2 being country driven, has benefited from strong stakeholder support which may explain these positive results. In most cases, the planned interventions under Window 2 were completed but the programme allowed some flexibility in order to adapt to new challenges, for instance, a disaster during the project period such as Vanuatu with Tropical Cyclone Pam in 2015. Overall, projects implemented under Window 2 have contributed to achieve results in terms of capacity building and served to leverage additional financing and funding.

The disaster risk financing process was supported very effectively in Belize through the **Hazard and Risk Assessment Framework for Belize: Prioritization of an Investment Plan** (June 2012 - June 2016). The project, launched in June 2012 and implemented by the World Bank with the Ministry of Economic Development, advanced the National Spatial Data Infrastructure initiative; updated and handed over the socio-economic and disaster spatial datasets to government stakeholders; and developed a guidance book for the Multi-Criteria Evaluation (MCE) Process. The support for the ACP-EU NDRR programme effectively enabled the development of the US\$520 million National Climate Resilience Investment Plan (NCRIP), the first comprehensive national strategy to address the impacts of climate change on social and economic development which has been fully adopted by the Government of Belize. The NCRIP was credited with contributing to the leveraging of a US\$30 million World Bank-financed project Climate Resilient Infrastructure Project (CRIP).

A second grant, **Belize Disaster Risk Financing Technical Assistance (April 2015-December 2017)** supported Belize on the understanding and better management of potential fiscal impacts derived from disasters, to build institutional capacity and to identify cost-effective financial protection options such as insurance against disasters based on a concrete understanding of the fiscal exposure to disasters and of the disaster risk financing tools currently in use or available to Belize. Stakeholders appreciated the very good technical expertise received and the consultative approach taken by the World Bank.

In the Pacific, on the “Increasing Resilience to Climate Change and Natural Hazards in Vanuatu” project, some of the planned activities and outputs were re-adjusted after TC Pam such as the rehabilitation of the seismic stations. Two Provincial Disaster Offices were built with the support of the project, in Tanna and in Sola. The Tanna office is now furnished and running but the Sola office has no officer in place and was built in a flood prone zone, not in line with DRR and BBB principles. Six of the

seismic stations are finalized and, 3 weeks before the closure of the project, two seismic stations still needed to be furnished. Although NDMO staff have received DRR training with financial support of the ACP-EU NDRR programme, this was not sufficient to ensure much needed sustainable capacity building within the NDMO.

However, the project did support the organizational review of NDMO and review of the NDMO Act. A strategic plan was developed as a result of the exercise which identifies the strategic priority areas for the government to support including new staffing positions. The small grants to communities did not materialize, partially due to little capacity of the community to manage such grants. The community capacity should have been investigated at the design phase. Government and project stakeholders interviewed assessed that community grants were not the best mechanisms to deliver the support needed and agreed that a centralized procurement approach through the procurement management unit (PMU) with bulk procurement of goods would be more efficient.

Window 2 district and community based projects implemented by NGOS generally offered an effective mix of capacity development, technical assistance and analytical products. All produced substantial achievements in the scope of their pilot endeavours and all developed good practices and learned from challenges leading to valuable lessons which can be effectively exchanged. Capacity gains have been verified in all projects and innovative tools were tested and modified. Useful guidance and standards have been produced and agreed upon. Stakeholders in 5 projects (out of 6) were interviewed and 3 project sites visited. (Please see the disaster risk reduction profiles in the annexes for more details and analyses.)

- ❖ **Dominican Republic “Identifying Risk to Protect Schools in the Dominican Republic”**, was implemented by a consortium of NGOs, Oxfam, Plan International and Habitat for Humanity. The project aimed to strengthen the national capacity of the Ministry of Education and National Emergency Commission in risk assessment and mapping of critical public school infrastructure facilities using a “School Safety Index” (SSI). The project evaluated 48 schools providing valuable data on five aspects of school vulnerability in addition to hazard maps (drought, flooding, and multi-hazard). The project leveraged US\$1.2M from the World Bank to cover additional schools. A **lesson learned** was the need to ensure the capacity to implement the changes recommended (e.g. maintenance protocols, policies and funding) to mitigate the risks of disaster effects on schools and their users.
- ❖ **Ethiopia “Building Capacity for Woreda Disaster Preparedness and Climate Change Adaptation”** was implemented by Catholic Organization for Relief and Development (CORDAID), National Disaster Risk Management Commission (NDRMC) and African Centre for Disaster Risk Management (ACDRM). The NDRMC had conducted a total of 400 Woreda Disaster Risk Profiles (WDRP) out of the more than 800 woredas, including the 27 WDRP, DRR and Adaption and Mitigation Plans produced in three regions with the support of the project. All WDRP data collected are entered, processed and analysed by the NDRMC using a special computer application developed for the purpose. Hence, national capacity in terms of managing the collection, processing and analysing has been built. The project has contributed to improving data collection methods and the use of secondary sources to have an improved risk profiling without affecting the number and type of indicators. A **lesson** on the development of the woreda profiling tool is that while it provided very valuable data on 116 indicators, it is still dependent on other development partners (e.g. World Food Programme) seconded staff who play pivotal role in the data entry and analysis process.
- ❖ **Mozambique “Promoting the integration of disaster risk reduction and climate change adaptation into District Development Plans and Community-Based Risk Management”** is being implemented by World Vision Mozambique in cooperation with the National Institute for Disaster Management (INGC), Ministry of Economy and Finance (MEF) and the Ministry of Land, Environment and Rural Development (MITADER) (ending May 2018). The project has increased the resilience of 32 communities of three districts in Gaza Province by building their capacity to implement DRM activities, including **flood early warning**, and by providing technical assistance for integrated planning at district level. Main products are a training manual for Local Disaster Risk Management Committees a methodology to mainstream DRR and CCA into the district planning process and guidelines to develop Local Adaption Plans, developed through iterative and broad stakeholder consultations. A **lesson** on incorporating DRR and CCA into the provincial and district

development plans – precautions need to be taken to avoid DRR and CCA ending up as an addendum to the plan rather than an integrated part of the plan.

- ❖ **Niger “Community Disaster Risk Reduction Project”** was implemented by Oxfam in collaboration with 3 local NGOs. The project helped to build the capacity of beneficiary communities to enable them to prepare for and respond to weather hazards through training in the DRR and the training of the community. Integration of climate change adaptation interventions enabled a better integration of DRR through the implementation of capacity building actions of actors at different levels, including 3 local NGOs. Interventions focused on the decentralized level (commune, department) which had previously constituted a gap in the National Disaster Management and Food Crisis Mechanism (NPGCCA). The commune visited shows a better understanding of disaster risks and the usefulness of monitoring and evaluation of vulnerability to better understand and implement prevention and mitigation actions. A **lesson** on incorporating DRR and CCA into the provincial and community development plans – precautions need to be taken to avoid development of unrealistic DRR plan rather than a few initiatives that can be implemented with realistic budget and human resource.
- ❖ **Zimbabwe “Mainstreaming DRR and CCA into Local Development Planning in Zimbabwe through the Zambezi River Basin Initiative”** was implemented by the Danish Red Cross Society (DRCS) in partnership with the Zimbabwe Red Cross (ZRCS) to be completed in June 2018. The project supports the integration of disaster risk reduction (DRR) and climate change adaptation (CCA) measures within the local development planning process at village, ward and district levels in Kariba District. Activities target the three highest at-risk villages in three high-risk rural wards, reaching about 4,000 direct beneficiaries and 20,000 indirect beneficiaries. The project helped to strengthen flood and extreme weather **early warning systems** and brought in staff from key ministries to participate in capacity development. A **lesson** learned by district administration was that changing traditional behaviours requires a long-term investment in capacity building.

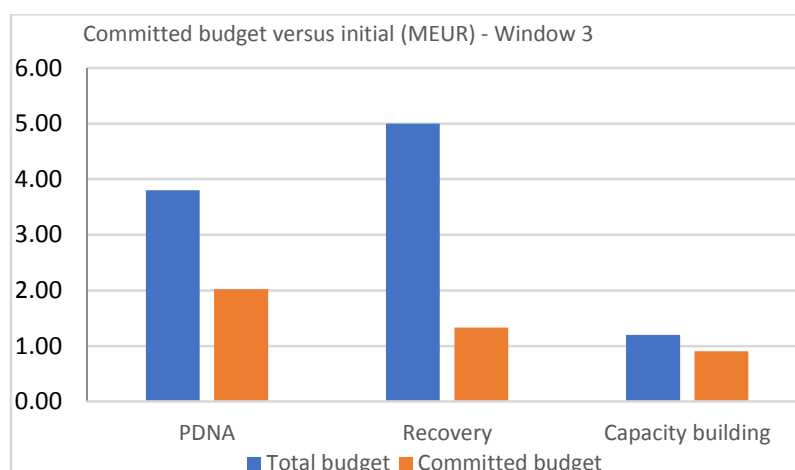
Conclusive statement on Window 2 effectiveness: Window 2 investments were effective in the relevant “Results areas” (1-6) with progress made toward the planned outputs and outcomes. Activities implemented under Window 2 have been more successful in term of implementation commitment against target, in terms of speed but also in terms of progress toward results. Window 2 being country driven, has benefited from strong stakeholder support. Across the ACP, all of the district and community based pilot projects, implemented by governments and NGOs, although varying in design, produced strong capacity outcomes potentially leading to localized impacts.

Window 3 (Post disaster assessment and recovery)

Under Window 3, 26 projects were committed, including 14 in Africa (EUR 1,5 M), 4 in the Caribbean (EUR 4,9 M), 7 in the Pacific (EUR 7,4 M) and 1 in all ACP (EUR 0,73 M). 17 projects were in support of post-disaster assessment (EUR 2, M), 5 capacity building events (EUR 0,9 M), including the roll-out of the recovery framework guide and 4 for the support of recovery interventions (EUR 1,3 M, for a total budget of EUR 10 M. 24 are completed, 1 is ongoing (global recovery framework roll out) and one was dropped.²⁰

Figure 5: W3 -committed budget versus initial (MEUR)

²⁰ Sources: M&E ACP-EU NDRR Summary, June, 17 2017 spreadsheet; and Project list with Team Leader and Call for Proposals/Fast Track, September 10, 2017; The projects that was dropped: Pacific Islands, Economic assessment - US\$615,000.



The chart above illustrates relatively lower spending in comparison to the initial Window 3 budget. This has resulted from increased efficiency and effectiveness in performing PDNAs by governments and other stakeholders in comparison to the initial PDNAs performed before and/or at the beginning of the programme. The original budget for Window 3 was calculated based on past PDNA costs (e.g. the 2010 Haiti joint EU-UN-WB PDNA which cost more than one million EUR). Since then, many PDNAs took place for smaller disasters in comparison to Haiti and costs and duration of assessments have considerably been reduced therefore were less expensive. The costs for financing the PDNAs have been shared between stakeholders such as UN (UNDP) or other regional organisation (SPC), the introduction of new technologies such as remote sensing and satellite technologies and the increased in PDNA knowledge among stakeholders has resulted in lesser demand for external expertise.

As a follow up to initial financing from the ACP-EU NDRR Programme, some recovery support activities were funded either under Window 1 (e.g. Programmatic TA building disaster resilience in the Pacific), by “leveraged operations”, that is funds obtained from multiple sources for recovery activities, and not through the ACP-EU NDRR budget for recovery. This might explain the **substantial underspending** for recovery support activities, which may be regarded as evidence of effectiveness of the approach by the programme as well as concomitant efforts by stakeholders. For example, in Saint Lucia following the December 2013 floods, the programme financed a rapid assessment. Mainstreaming of DRR in recovery planning was then specifically addressed by the additional financing for the Disaster Vulnerability Reduction Project (financed by the EU regional delegation in Barbados). Another example is the Mozambique Rapid Assessment (2015): recovery activities were integrated in the IDA Emergency Resilient Recovery Project (US\$ 50 million).

Through programme **Result area 7** - participants from more than 17 countries have improved their knowledge on the PDNA methodology through ex-ante (before the event) country level PDNA trainings in Ethiopia and Ivory Coast and through one regional training organized in the Caribbean²¹. Other PDNA capacity building took place while the programme effectively supported the implementation of PDNA or Damage and Loss Assessments (DaLA) after disasters in 14 countries.

According to key informants, national capacities to perform the PDNA improved significantly through the ex-ante training and through participation in a post-disaster PDNA. Ensuring adequate national capacity to develop the PDNA tool and to undertake PDNAs requires both ex-ante in order to cover more people and more sectors and real-time experience with in-depth follow-up on trainings on key weaknesses identified during the training, such as lack of strong baseline data or weak post disaster assessment tools. Evidence from stakeholders who participated in regional training from a number of years ago (e.g. IGAD region, 2013) indicated that the training had been effective at the time but was outdated and needed to be repeated using the current training tools.

Stakeholders in **the Caribbean** received funding for PDNA training (Window 3 – “Strengthening Capacity in Post Disaster Needs Assessment in the Caribbean” (2013-2016). Eight islands participated in PDNA trainings in 2014-2015 managed by the UNDP regional office in Barbados, which targeted middle level managers of government, NGOs and the private sector. The participants recognized the

²¹ Another regional PDNA training took place in Libreville, Gabon, for ECCAS members under Window 1 Result 2 programme

value of the training applied to practice, however, not enough discussion took place with senior government officials to get them on board. As a result of successive efforts by stakeholders including UNDP, OCHA, OECS and other partners, a strong **regional model was developed in 2017 for the hurricane season**, constituting an agreement between the EU, World Bank, and the UN for the PDNAs conducted on the islands affected by Hurricanes Irma (6 September 2017) and Maria (19 September 2017)²². Whereas there were normally two separate assessments by the World Bank and the UN, stakeholders agreed to have one united assessment with mixed teams including donors. As a result of the 2017 PDNAs, a US\$3 billion loan was secured for recovery of the islands.

Concerning **Result area 8**, 14 countries were supported in implementing a full-fledged PDNA or a DaLA during the period covering this evaluation (Nov 2011-June 2017) including an introduction to recovery planning. Three other post-disaster assessments were also supported in Cameroon, Mozambique and St Lucia but did not follow the full PDNA methodology and no PDNA reports were formulated although reports were produced and published.

In terms of analytical products, the **Disaster Recovery Framework (DRF) Guide**²³ was created in collaboration among the GFDRR, EU and UNDP, and was rolled out in 2015 with the support of this programme. The DRF guide was developed to support international, regional organizations and government staff to build their capacities for the development of a disaster recovery framework. Two regional level ToT events were organized by GFDRR in collaboration with the UN and EU for ECOWAS and IGAD member countries, respectively in March and June 2016. The DRF trainings took place in Uganda and Ivory Coast, respectively in January and April 2016, benefitting about 110 participants from both government as well as non-government sector. To date, according to the GFDRR, the programme has financed three DRFs in Nepal, Fiji and Malawi (not under this programme). It is expected that as awareness about the utility of the DRF is increasing, so will the demand.

According GFDRR data, for **Result area 9** “5 countries have effectively implemented DRR in their recovery phase”, four have effectively taken into consideration DRR and the required Build Back Better (BBB) issues in their recovery phase. Those countries are Cabo Verde, Seychelles, Tonga and Fiji. Concerning Fiji, the PDNA was followed by the development of a disaster recovery framework, not supported under this programme. The PDNA conducted in 2012-2013 in Kenya related to a severe and prolonged drought from 2008–2011 which affected 3.7 million people, caused US\$12.1 billion in damages and losses, and totalled over US\$1.7 billion in recovery and reconstruction needs. This assessment estimated the drought’s impact and provided recommendations for recovery and long-term resilience. Building on the PDNA, GFDRR supported the design of a US\$77 million World Bank project in Kenya (93,000 households) which has helped livestock herders develop coping mechanisms against drought and animal diseases.

The PDNAs are intended to provide a coordinated and credible basis for recovery and reconstruction planning, and for the international community to assist the affected country in this process, including through providing funding. As such, PDNAs have leveraged DRM investments and contributed to improving the enabling environment for DRR. Through the 17 grants for PDNAs, GFDRR—in partnership with the World Bank, United Nations agencies, the European Union and other development partners—has helped develop recommendations for key recovery and reconstruction actions. These partnerships for PDNA effectively helped to leverage response resources from the host country Government, the World Bank, the EU and other donors.

Conclusive statement for Window 3 effectiveness: The programme has reinforced the use of PDNAs as good catalysts to identify disaster response needs, improve baseline data collection and disaster assessment tools and exemplify models for systematic multi-sector analysis including social/human impact. Through programme support, PDNA methodology has improved, some being used as tools for training, and has resulted in some cases in stronger joint agency approaches to use of the methodology and has facilitated use by the governments to Build Back Better. Across the ACP, the PDNA has resulted in outcomes that benefit the affected populations, although not enough stress has been placed on incorporating DRR in recovery planning which can promote the PDNAs acting as developmental tools to mitigate future disasters.

²² Regional Overview: Impact of Hurricanes Irma and Maria; Conference Supporting Document, UNDP, OCHA and ACAPS.

Sources: PDNA Dominica November 2017, PDNA Antigua & Barbuda Executive Summary, Sint Maarten National Recovery Plan Interim Report October 2017, British Virgin Islands Preliminary Impact Report

²³ Disaster Recovery Framework guide <https://www.gfdr.org/sites/default/files/publication/DRF-Guide.pdf>

2.3 Efficiency

EQ 3 - Efficiency: To what extent have funding and human resources contributed to or hindered achievement of the objectives, in terms of quality, quantity and timeliness? Are the implementation delivery arrangements (through GFDRR) and the governance structure (Steering Committee) operating efficiently? Is the quality of monitoring and reporting satisfactory?

This section of the Mid-term Evaluation addresses the criteria of efficiency and explores the extent to which funding and human resources contributed to achievement of the objectives of the ACP-EU NDRR programme. This section reviews the programme governance structure and the implementation delivery arrangements through GFDRR and the Steering Committee and questions whether the quality of monitoring and reporting has been satisfactory.

The Efficiency section covers the following aspects, along with cross cutting issues of reporting and communication: Governance structure and management of the ACP-EU NDRR programme; Project selection through the Steering Committee mechanism; Project administration, allocation of resources, confirmation and signing of agreements; Fund disbursement; and, Monitoring and reporting.

2.3.1 Governance structure and management of the ACP-EU NDRR programme

A programme **Steering Committee (SC)** was set up after the signing of the Administrative Agreement on the 9th of May 2011, to provide guidance on the overall management of the Single Donor Trust Fund (SDTF) and review progress and achievements, reports and the work programme as well as to consider the priorities and general principles²⁴. The SC did not make the final decisions on the project proposals. The SC formally consists of one representative from the European Commission, one representative from the ACP Secretariat and one representative from the GFDRR Secretariat.

The Steering Committee, chaired by the European Commission and the ACP Secretariat on a rotational basis, is expected to meet quarterly unless otherwise agreed²⁵. From 2011 through 2017, 11 Steering Committee meetings took place out of the 28 required. Although far less frequent than expected, the meetings provided important updates on the programme activities and described the main challenges, as well as securing agreements on the way forward. However, it is noted that regular communications were typically ongoing among the GFDRR, the ACP Secretariat and DEVCO particularly regarding the proposals and other decisions. Country and regional based stakeholders, especially the ACP regional offices and the European Union Delegations (EUDs), noted that they would have been better informed on the programme by also being included in communications regarding the SC meeting outputs.

It is also noted that the ACP Secretariat required opportunities to be further engaged in the technical and monitoring activities within and beyond those of the Steering Committee as it does with the European Commission. The DRR experts in the ACP Secretariat are limited in number and slow response was observed sometimes on matters involving the SC and project proposals. Nevertheless, the ACP Secretariat has a well-documented role to play in ensuring that nationally and regionally owned programmes contribute to sustainability. Further, capacity building of the RECs is a strong intra-ACP objective. A larger support team to deal with DRR and CCA at the ACP Secretariat would be advantageous in the future to expedite response and increase its impact.

To better support programme implementation, the GFDRR increased its presence in Brussels in 2011 setting up a small team to promote day-to-day coordination with the EC and the ACP Secretariat, as well as other partners. In addition, the **GFDRR Brussels team** provides support to the SC, including for organization of meetings, and acts as the entry point aiming to ensure that requests arising from SC members (and other partners) on the Programme's progress are addressed promptly. The team also

²⁴ ACP-EU NDRR implementation arrangement, 9th November 2011

²⁵ Steering Committee meeting minutes: ACP-NDRR Steering Committee meeting minutes (October 12, 2011, March 23, 2012; October 4, 2012; September 30, 2013; March 27, 2013; March 28, 2014; October 13, 2015; March 25, 2015; April 11, 2016)

manages coordination with the WB DRR regional coordinators in the Africa, Caribbean and Pacific Regional departments of the World Bank.

While this arrangement was beneficial for the Brussels and the DC networks, implementing country-based stakeholders, notably the EUDs (e.g. Niger, Mauritius, Ethiopia, Mozambique, Zimbabwe, among others), often cited being bypassed in communications promoting their perception that since plans and decisions are made in Brussels, they are not part of the consultative loop. This feedback suggests the need for stronger communications with the EUDs in the planning stages and throughout the programme in order to streamline the projects with other EU projects and programmes that are relevant to DRR and CCA. (See further discussion in the Coordination sections).

The **GFDRR Secretariat in Washington DC** aims to ensure smooth implementation of activities and alignment with GFDRR existing tracks and mechanisms, and to facilitate internal administrative processes such as the grant approval once the projects are endorsed by DEVCO. In total, 35 project managers including task team leaders (TTL) and coordinators were appointed to follow up the programme, of which 19 are currently based in the GFDRR HQ in Washington DC, 2 coordinators are in Brussels, 2 in France, 9 in Africa, and 3 in the Pacific.

Consultations with regionally and nationally based key informants implementing EU-funded projects and activities indicated that many thought the appropriate balance should be sought for management arrangements by the World Bank/GFDRR with the implementing partners. The high turnover of TTLs and the stretching thin of some TTLs who were monitoring several countries and largely conducting remote monitoring, was not particularly advantageous for project steering. Conversely, the number of World Bank GFDRR staff sent on missions to some countries in order to support trainings or studies have been excessive, resulting in weak cost efficiency (e.g. Niger PRECA-Sahel, Tonga, Vanuatu, Fiji (CVA); St. Lucia) and at times not offering particularly substantive input rather repetitions of previous consultations.

From **interviews conducted during the country visits**, stakeholders attested to stronger management inputs to the programme when World Bank staff were positioned in the country and when they took direct interest in the outputs and outcomes of the projects (e.g. Addis Ababa, Lomé, Maputo, Santo Domingo). The possible exception was in the Caribbean where there were more frequent visits by the DC-based staff who were in relatively close proximity.

2.3.2 Project Selection Process

The ACP-EU implementing modalities, channels and interventions did not always promote timeliness of the selection of projects and contributed to the slow rate of implementation with some partners. At the request of the ACP member states, activities implemented under the programme were focused at country level, but also at regional and sub-regional level in cooperation with regional organizations with mandates on Disaster Risk Reduction and Climate Change Adaptation. Originally, projects were selected either through a **Call for Proposals process or a fast track procedure**.

The call for proposals followed a 2-stage evaluation process for **Windows 1 and 2**. The “calls” were expected to be launched twice a year, unless the Steering Committee decided otherwise. Furthermore, ad-hoc proposals received by GFDRR outside the Call for Proposals cycle could be financed through a fast-track process, provided they meet the objectives and criteria of the Programme, as set in the implementation plan, and upon prior agreement/no objection by the EC. The received proposals are placed in two sub categories: (a) Countries with existing programmatic framework, ongoing dialogue on DRR and/or GFDRR/World Bank engagement; and, (b) Countries with no programmatic framework and/or no or limited available implementation capacities.

Grant proposals were appraised and approved by the GFDRR Secretariat prior to presentation to the Steering Committee, which would approve decisions made. Proposals were initially assessed, following the GFDRR Results Based Management System (RBMS - developed to measure GFDRR contribution to mainstream disaster risk reduction in national development efforts).

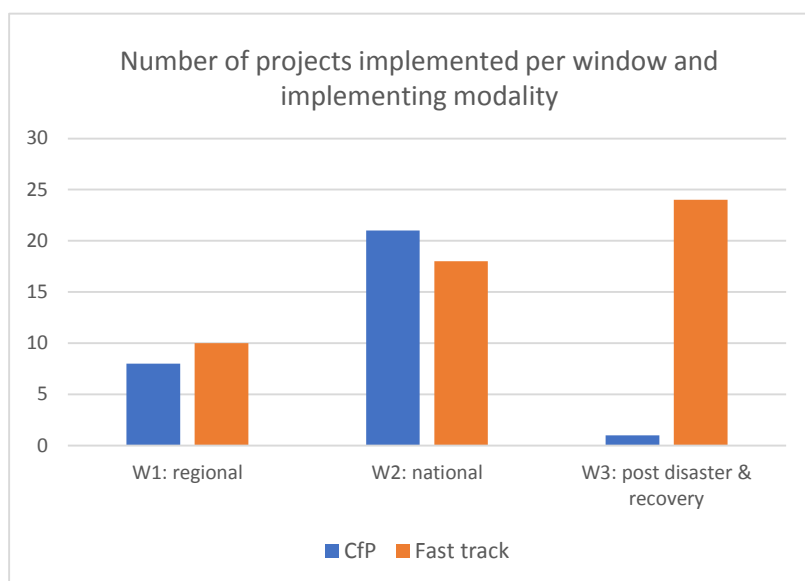


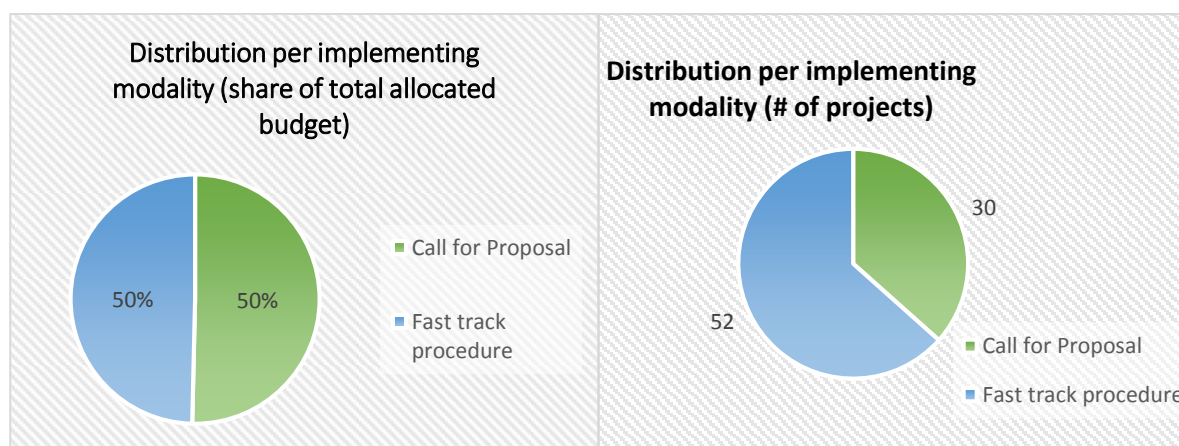
Figure 6: number of projects implemented per window and implementing modality

Overall, the selection process for ACP-EU implementing modality and partners has not always been adequate to respond to the needs in a timely manner. After the second call for proposals, the modality of Call for Proposal versus fast-track proposal was discussed during the 7th Steering Committee meeting on 14 November 2014. Initially, the fast track modality consisted of a simplified grant application to support the Window 3 activities which required rapid response:

- Post Disaster Needs Assessments.
- Capacity building to train government officials, staff of regional organizations, and other stakeholders, with priority for training for trainers and e-learning programmes.
- Rapid response interventions following emergency situations, upon official Government's (or Inter-Governmental organisations') requests.
- Interventions below or equivalent to EUR 100,000 will be awarded without EC's former approval, provided (i) specific conditions for eligibility are met (e.g. support from the EU Delegation, official request from the Government, alignment with programme objectives, etc.) and (ii) EC and the ACP Secretariat are informed accordingly.
- Following the completion of an assessment, grants should be made available to countries to support DRR mainstreaming in resilient recovery and reconstruction planning (including recovery frameworks).

At the subsequent Steering Committee meeting (7th Steering Committee minutes, 14 November 2014), it was acknowledged that, though the benefits of the two Calls for Proposals were recognized, award of projects through the Fast track proposals procedure has proved to be a more efficient and faster way to allocate resources, including to non-WB implementing partners. Over the course of the programme, it appeared evident that the **fast track modality** was more efficient than calls for proposals and was subsequently used for all Windows.

Figure 7: Distribution per implementing modality



As of June 2017, 87 projects had been approved and 5 were dropped. Of the 82 ongoing projects, 54 are completed, 26 are ongoing and 2 are in the pipeline. In terms of completion as per the implementing entity: 59% of the 22 projects implemented by the WB are completed, 75% of those implemented by

international organizations are completed, 100% of those implemented by the regional organizations (non-Result 2) are completed, 71% of multi-partners are completed and, for example, 86% of the EU/UNDP/WB projects are completed²⁶.

2.3.3 Analysis of Resources Allocation

The ACP-EU NDRR budget was initially shared between the three funding windows, regional and sub-regional initiatives (Window 1), providing country-level technical assistance for DRR and CCA policy development (Window 2) and establishing a fast-track recovery instrument for ACP countries to support post-disaster needs assessments (PDNA) and technical assistance for resilient recovery (Window 3), as per agreement between the EU and GFDRR. The modus operandi of the fund allocation was a call for proposals initially and later a fast track, and was based on the demand from governments for the project or activity. Thus, it was difficult to allocate funds specifically according to needs, rather it was more likely to be interest and capacity based. Whether the call could have promoted greater interest based on assessments of DRR and CCA needs, population sizes and the relative vulnerability of infrastructure, lives and livelihoods is unclear.

The initial budget was distributed at a ratio of 20/60/20 respectively for W1/W2/W3. In 2014, the supplementary support to African Regional Economic Communities (RECs) through Window 1 (Result 2), contributed to a change in the funding ratio between the 3 Windows, and distributed by percentage as 42/44/14 between W1/W2/W3 respectively making the Window allocation more balanced. In order to make efficient and effective use of this important additional funding resource, added mid-way to the programme, an extension of the programme period to 2020 was agreed and signed in 2014. This additional allocation (36% increase of the initial budget) was the reason for the extension of the programme to 2020²⁷.

The budget for **Window 1 (Result 2)** for Africa seems to more appropriately reflect needs within the funding capacity of the programme. Given the number of vulnerable people in Africa to the effects of trans-boundary disasters (e.g. the 2011 drought disaster in the IGAD region which caused nearly 300,000 deaths) the funding increase was relevant to support the RECs to strengthen their capacities for coordination, planning, and provision of policy advice to their member countries but came as somewhat of an afterthought in the programme development. The RECs however receive separate additional funds from the EU.

As of September 2017, 68% of the total budget allocated was dedicated to implementation of DRR interventions at country level (Window 2), while 23% financed regional interventions and 9% went to activities covering Window 3. Projects in Africa received 45% of the budget, against 29% for the Pacific and 24% for the Caribbean (see figure 2 & 3).

Out of the 87 projects committed as of June 2017, 18 fall under Window 1, 42 under Window 2 and 27 under Window 3. Of these, 41 are based in Africa, 24 in the Caribbean, 20 in the Pacific and 2 are global in scope. It is noted that 5 projects were discontinued, these are: 2 in Africa, 1 in the Caribbean and 2 in the Pacific.²⁸ Therefore, the current approximation of projects is 39 in Africa, 23 in the Caribbean, 17 in the Pacific and 3 are all ACP. The progress on achievement of the inputs, outputs and outcomes of the projects are discussed under effectiveness.

Figure 8: Distribution of allocated budget per region (in %) and per windows

²⁶ Sources: M&E ACP-EU NDRR Summary, June, 17 2017 spreadsheet; and Project list with Team Leader and Call for Proposals/Fast Track, September 10, 2017

²⁷ *Supplemental Contribution And Amendment To The Administration Agreement Between The European Union, Represented By The Commission Of The European Communities And The International Bank For Reconstruction And Development And The International Development Association Concerning The ACP-EU Natural Disaster Risk Reduction Programme Trust Fund Under The Global Facility For Disaster Reduction And Recovery Track II (GFDRR) (TF071630) - European Commission Trust Fund Number 2011/264 826, August 1, 2014*

²⁸ M&E ACP-EU NDRR Summary, June 2017 spreadsheet

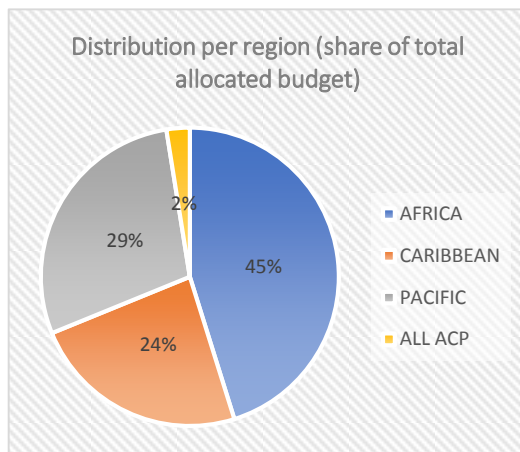
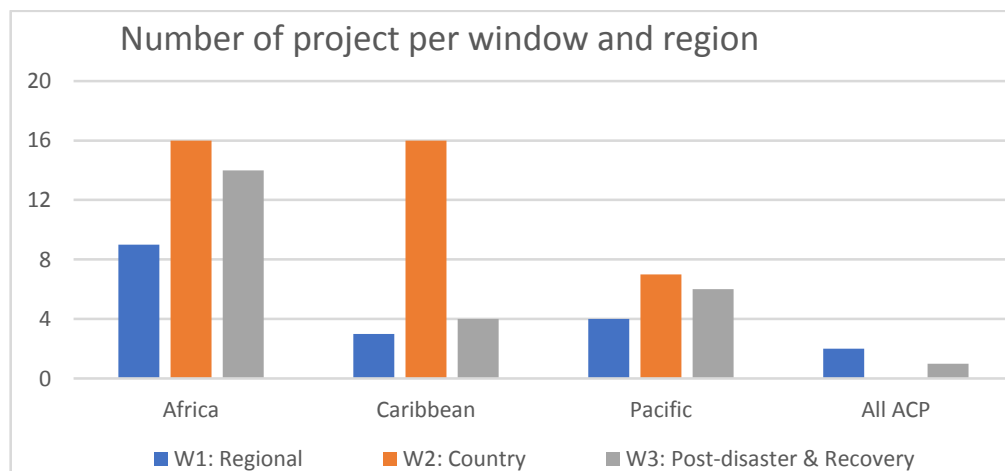


Figure 9: Number of projects per window and region (up to June 2017)



The figures above show that a similar number of projects are implemented under Window 2 in Africa and the Caribbean, although fewer funds were initially foreseen for the Caribbean in comparison to Africa. This may be explained by the high demand for DRR projects in the Caribbean mostly for disaster risk assessment and strategy development such as the National Climate Resilience Investment Plan (NCRIP) which paved the way for World Bank financing programme the Climate Resilient Infrastructure Project (CRIP) in Belize.

The higher number of regional projects (W1) in Africa can be explained by the size of the continent and the existence of 4 RECs. In addition, the Caribbean regional organizations received through another program EUR 20 million (split among CDEMA (EUR 4M), the Caribbean Development Bank (EUR 12M)

and the Dominican Republic (EUR 4 m).²⁹ The South Pacific also received EUR 20 million for regional capacity development from the EU (Building Safety and Resilience in the Pacific).

Conclusive statement on allocation of resources: The allocation of EUR 20 M (36% increase of the initial budget) to the Africa RECs midway through the programme was the reason for the extension of the programme from 2017 to 2020. This was an important resource to balance the allocation of funds according to needs.

2.3.4 Project confirmation and signing of agreements

With regard to **efficiency**, administrative requirements by the World Bank were identified by many stakeholders as extenuating and cumbersome. Strengthened fiduciary monitoring mechanisms by the World Bank in 2015 provoked delays sometimes up to 2 years in releasing funding, causing budgetary headaches. Overall, there were perceptual and institutional differences regarding the contractual arrangements for implementation and fund disbursement between the World Bank and the project executing agencies. Apparently, stronger consultations were required beforehand in order to facilitate the understanding needed to proceed toward efficient implementation.

In general, most of the projects that were not World Bank implemented (e.g. the RECs under Window 1, the district and community preparedness under Window 2 and all PDNA trainings under Window 3) were implemented as a Bank-Executed Trust Fund (BETF), which means that the World Bank retains an overall project implementation modality. Although the projects are the result of a call for proposals or a fast track, for example, the NGOs were contracted as a “consultant” to deliver several outputs agreed upon in the contract. However, the NGO partners who received funding from the program and who were interviewed (e.g. Ethiopia, Mozambique, Niger, Zimbabwe) reported unpredictable delays from the confirmation of the project, the signing of the agreement or approval of extension (Niger) which in some cases took one year or more. During this year or more, NGOs optimistically hired staff and engaged government officials in a discussion of mutually agreed outputs and outcomes, some of which had to be painstakingly revived once the actual funding appeared to be coming through.

According to the Call for Proposals guidelines, the following was clearly stated (page 6, section 6 – Execution): “*In the framework of this Call, all activities funded will have to comply with the **World Bank fiduciary policies**. Please note that the implementation of activities will be supervised by the World Bank/GFDRR*”. The WB fiduciary policies state that a contract must be signed with an external entity to allow implementation of granted funds. In order for this to happen, there are a number of administrative steps which need to be completed first, namely: the project has to be coordinated with the relevant WB DRM team.

Once the proposal is selected, the WB team has to obtain approval internally and create a trust fund to manage the funds, embed the activity within the broader WB engagement in the country, work with the grantee on the contracting which also entails the submission and approval of a technical and financial proposal, which then leads to the signing of a contract. The process typically takes several months.

In the case of the **Window 2** Mozambique project “Promoting the integration of disaster risk reduction and climate change adaptation into District Development Plans and Community-Based Risk Management” (2015-2018), the implementing agency World Vision, was informed that its proposal was selected under the Call for Proposals in January 2015. The WB team contacted them in February 2015 to start working on the internal approval, creation of the trust fund and contracting. These interactions took place between February and August 2015. In August 2015, the proposal was approved in WB internal systems, and the trust fund was created in September 2015, which marks the start of the project in the WB administrative systems. The project was embedded in the WB country engagement in April 2016, 7 months later, and the contract with WV was signed in May 2016, 16 months later.

In Niger, the project was presented in the 1st call for proposal in December 2011 and the contract was signed in April 2013. As a result of very long delays in finalizing the approval of the extension by

²⁹ The Dominican Republic (DR) is not part of CARICOM so has a separate agreement with CDEMA and reflected in the allocation of EU funds (EUR 20 million divided between CDEMA – EUR 4 million, EUR 12 million to the CDB and EUR 4 million to the DR)

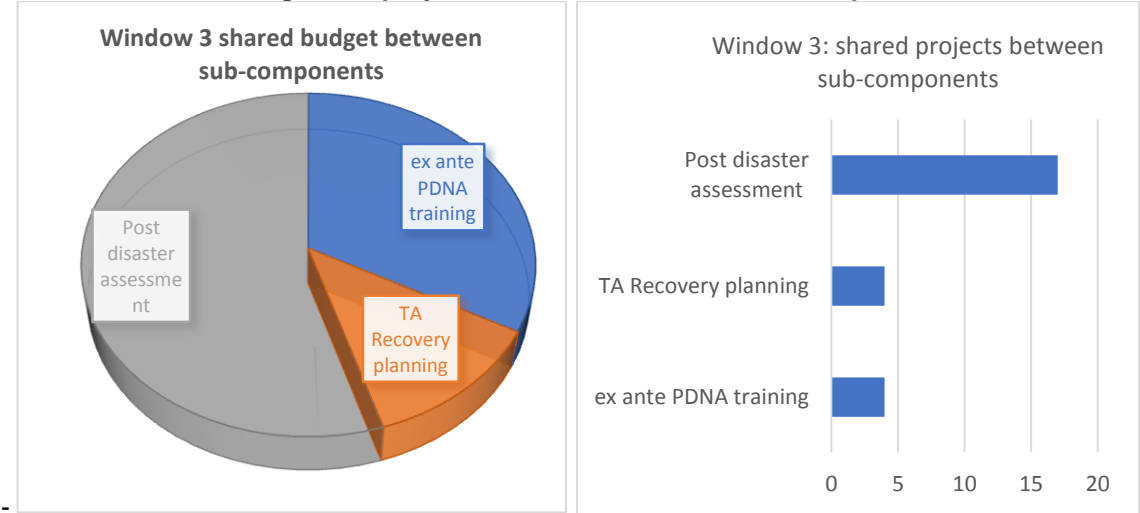
GFDRR, the implementation phase of the extension was constrained to just over two months. In Belize, St. Lucia, and Tonga, among others, the time required for hiring consultants was also extenuating with long periods required for “no objection” from the World Bank for TORs and where the required conditions seemed to be unreasonable for SIDS, for example, to present a pool of potential consultants when the human resources capacity of the islands was too limited.

The frustration with World Bank implementation arrangements was not limited to the government and civil society partners. The African Regional Economic Communities in Africa (RECs) (e.g. IGAD and SADC) under **Window 1 Result 2** also experienced delays in going through the World Bank processes including unexpected feasibility missions, in order to qualify for funds. This resulted in long delays. Similar to the NGOS, plans were made by the RECs to hire staff that were project based to bolster the DRR and CCA capacity and obtaining no objections on TORs required an unreasonable amount of staff time.

It is acknowledged by the World Bank that the administrative procedures do require time, but this is standard practice when working under WB fiduciary policies. The cumbersome process was also flagged in the Zimbabwe Zambezi river basin project by the Danish Red Cross with partner Zimbabwe Red Cross which experienced a similar delay. It was particularly extenuating in terms of its relationships with the major national stakeholders and particularly in relation to efficiently utilizing matching funds from Danida. The leveraging of additional funds by NGOs helped to start projects earlier but significant additional funding was not always obtained.

Window 3: Over the course of the programme and upon requests for support from the affected government, or by the ACP Secretariat, 17 post disaster assessments were conducted jointly with the EU and UN. Four projects supported ex-ante PDNA trainings and four projects supported technical assistance for recovery and planning (see Table 3).

Table 3: Share of budget and projects between Window 3 sub-components



GFDRR efficiently responded to post disaster requests from governments to conduct PDNAs especially for quick onset disasters, in terms of both financial and technical resource mobilization. Quality and timing for conducting PDNAs can be challenging, as it will depend on variables such as the short timeframe to conduct the PDNA, number of sectors involved, data availability, human resource commitments and distribution of responsibilities and government commitments. In term of timeliness, the PDNA has, in some cases, come too early, upon request from the governments, not allowing

government staff to be fully involved due to heavy engagement in emergency response (e.g. Vanuatu TC Pam) resulting in a PDNA driven by international organizations with little ownership by governments.

In other cases, more efficient processes for approval of consultants would have improved the timeliness of the assistance provided (e.g. delays in reception of the “no objection” on TORs in St Lucia). The decisions to support the exercise were too slow, in relation to slow onset disasters (e.g. for drought PDNAs in Kenya). The timing required to finalize and circulate some of the final PDNA documents, often due to official procedural considerations, had, in some cases, also reduced the usefulness of the assessment methodology in term of timely mobilization of capital resources (e.g. TC Evan in Fiji).

2.3.5 Fund Disbursement and Fund Leveraging

In terms of fund **disbursements arrangements**, contracts have payment conditions which are agreed upon between the World Bank and the contractor, and which are based on satisfactory deliverables. In both Zimbabwe and Mozambique, NGO implementing agencies experienced contention in terms of the required reporting which had to undergo stringent scrutiny by the World Bank. Reports on progress sometimes required months of back and forth comments and revision in order to be acceptable. According to the World Bank in Maputo payments were made in due time upon submission and approval of deliverables and Bank staff offered support to get reporting up to standard. However, reporting was also contingent upon government approval which sometimes created another stumbling block. (See also disaster risk reduction profiles in the annexes.)

The disbursement of the programme funds (EUR 74,5 M covering 2011-2020) in order to make progress toward planned results areas has been slow - it had reached 55% by June 2017 (82 projects) and was estimated to reach 74% by the end of December 2017 (93 projects).³⁰ However, the GFDRR is optimistic that all results areas indicators will be accomplished.

Progress toward results may be particularly affected for Window 1 – Result 2 for the African RECs as they are implementing designated funds received toward the end of the programme (late 2015 to late 2017). Although the World Bank executed portion of the designated funds for SADC (for a university capacity building programme) has been active since early 2017, SADC has only recently received the proportion of Result 2 funding under its control (US\$2.5M) which is badly needed to boost its DRR and CCA capacity.

Leveraging of funds. In terms of overall programme effectiveness toward DRR and CCA goals, support to vulnerable countries in the ACP has been scaled up and the ACP-EU NDRR has contributed significantly by leveraging nearly US\$1.7 billion (as of March 2018) which is linked to the implementation of ACP-EU NDRR grants. Over US\$1 billion of this leveraging amount is attributed to Window 3 grants under the ACP-EU NDRR programme. The momentum for leveraging has accelerated rapidly and has boosted the progress in DRR and CCA in many of the countries³¹.

2.3.6 Monitoring and Reporting

Grant proposals were initially assessed following the GFDRR Results Based Management System (RBMS). GFDRR developed the RBMS to measure its contribution to mainstream disaster risk reduction in national development efforts. This web-based system allowed for an interactive, up-to-date monitoring of GFDRR financed projects.

The development of the RBMS was a significant step in setting the framework for results management and might have begun to provide richer performance information on GFDRR effectiveness if it had not been abandoned. The RBMS was expected to continuously benchmark and monitor progress and impact against a set of evidence-based indicators, providing technical guidance and contributing to monitoring and evaluation of the impact. The RBMS system is now replaced by a Result Oriented

³⁰ December 2017 (the latest available in the official trust funds portal). Total disbursements were at **USD 47,317,983 or 72%** of grant commitments. As per the GFDRR internal portal (not available externally), the disbursement rate has further increased to **USD 48,309,497 or 74%** of grant commitments. This amount however covered 93 projects rather than the 84 from the June data.

³¹ Currency denomination used is quoted from the source documents for the evaluation.

monitoring system that reports annually on GFDRR results achieved under its overall programmes. Information on progress is generated at three main levels: (i) input of financing and other resources; (ii) output of projects and programmes; and (iii) contribution to outcomes on the ground.

The actions implemented under the ACP-EU NDRR programme aimed at improving DRR knowledge, build capacity and adapt or institutionalize strategies and plans, with the final aim to seek visible change in DRM processes. The performance of the programme (Single Donor Trust Fund) is to be assessed against the targets set out under agreed expected results. However, baseline indicators are important measurements for estimating the progress made in term of vulnerability and risk analysis and the **ACP-EU NDRR programme lacks recorded baseline data**. The targets agreed with the EU in 2010 when the programme was conceived are too broad to effectively measure contribution of the specific project to the targets or the quality of the outputs and outcomes. The M&E system put in place by GFDRR focuses mainly on outputs (possibly leading to outcomes), such as for numbers trained, and broad deliverables and targets (see the 9 indicators discussed in the Effectiveness section) scored by checkmarks but without quality assurance assessments. Progress against planned outcomes is generally not tracked in the database.

Achievements against targets are updated regularly, with the assistance of the Task Team Leaders and project managers at country level. Although the progress reports provide some indication on the implementation of the programme versus the targets, the lack of baseline information does not allow precise identification of the real impact of the projects. Narrative progress reports and monitoring reports were prepared for each of the 11 Steering Committee meetings, also in relation to request for further instalments of financing.

In regard to **Window 1**, a logical framework was developed, including Result 2, which set out the intervention logic, objectively verified indicators, sources of verification and risks and assumptions. However, some of the indicators are either very broad (e.g. integration of DRR in sustainable development policies; sub-regional institutions have improved DRR capacity); or may be difficult to collect evidence on (e.g. % of target population aware of disaster risks impact and appropriate responses) unless this data has already been systemically collected through a survey or other reliable means. It is noted that some indicators are measurements of outputs and that some are outcomes, but the results or the impact on the final beneficiaries in communities is not always well defined.

While placement of additional World Bank staff in the countries helped to provide guidance to navigate the administrative requirements and facilitate relationships with governments, interest in project outputs and outcomes were often dependent on staff availability and in many cases the relationship was purely administrative. For some projects, which were ongoing for several years, World Bank staff did not visit the project sites for monitoring purposes. Stakeholder reflection on GFDRR administration suggested further strengthening for user friendliness and monitoring of project DRR outcomes.

In terms of **reporting on project content, inputs, outputs and outcomes**, the GFDRR has provided 35 updates since the beginning of the programme, initially on a monthly basis for over a year and then on a quarterly basis as per agreement with ACP and DEVCO. The ACP Secretariat typically shares these updates with the relevant Ambassadors. There is also comprehensive reporting on the programme progress (3 progress reports during 2011-2016).

Conclusive statement on Efficiency: Funding and human resources arrangements generally contributed to achievement of objectives in terms of quality and quantity. The mid-term inclusion of EUR 20 M to support Africa RECs was the reason for an extension of the programme from 2017 to 2020. Efficiency suffers through delays in organizing Steering Committee meetings, effectively drawing on the ACP Secretariat role, limited communications on programme progress to the EUDs, and cumbersome World Bank administrative requirements that drew energy of the partner implementing agencies away from efficient project execution. Monitoring largely focuses on administrative requirements and outputs while the system is fragile in terms of tracking progress toward outcomes and impacts.

2.4 Sustainability

EQ 4 – Sustainability: To what extent did the programme provide the most appropriate assistance to deliver a sustainable foundation and an enabling environment for climate change mainstreaming and public and/or private investment in DRR and CCA, and in particular ensured appropriation by beneficiaries? To what extent is there a sense of ownership from the African Regional Economic Communities and focal institutions?

This Mid-term Evaluation question explores the criteria of sustainability, and asks to what extent the programme managed to trigger or leverage further **national and regional investment** in DRR and CCA planning, programming, budgeting. It also investigates whether the assistance was the most appropriate to promote climate change mainstreaming and assimilation by the beneficiaries including the national and regional stakeholders. Further, it looks at the long-term benefits that have emanated from the programme and evidence of ownership which will serve to continue the interventions **with internal funding**.

There is strong evidence to suggest that the programmatic approach and the GFDRR theory of change policy has created an enabling environment and has “generated potential” for the achievement of higher and collective DRM and CCA goals set for the whole community of practice at country-level. However, this strong momentum may not be sufficient for leveraging or influencing DRM resources if there is weak linkage of the grant activities to broader government or regional initiatives. Further strong advocacy is warranted by the World Bank and other donors and stakeholders with national and regional actors to maintain the capacity created, to utilize the tools and to replicate the successful pilot projects that the programme supported.

2.4.1 Window 1 - Regional

Overall, Window 1 initiatives are likely to promote a sustainable foundation for integration of DRR and CCA into development but at a slow and very regionally specific pace, drawing on the regional organizations’ knowledge of the Member States (MS), and in view of the diplomacy required to navigate among them. All of the RECs receive other sources of EU and World Bank funding but it is unclear whether the connections of these funds are strong to the ACP-EU NDRR programme and its national projects in the regions. Regional organizations typically dovetail with national systems but a clear gap identified is the weak communication of policies between the national level and the community level.

Stakeholders were generally adamant both in Africa and the Caribbean that regional organizations should maintain their unique sense of ownership based on their relationships with the MS and that the programme needs to tap this knowledge and avoid skewing it to programme specifications. Some stakeholders urged that the RECs should establish permanent staff positions in order to achieve sustainability. Suggestions of a revolving fund to support the RECs may be of value. Further, a value-added perspective would include research into methodologies which historically have promoted large development gains, such as the Rapid Rural Assessment and PDNA.

Among the African RECs (ECCAS, ECOWAS, IGAD and SADC), ownership of the ACP-EU NDRR programme is not strongly demonstrated since they have only recently received funding or assurances of the forthcoming funds and for at least IGAD and SADC, complying with the World Bank administrative requirements has been challenging (see Efficiency section). As described above the RECs in Africa benefit from the larger pool of funds under EDF 10 Result 2, implemented by GFDRR. However, there is very strong regional ownership regarding the programme goals, for integration of DRR and CCA in development programmes. There are improved signs of results from training, such as the PDNA and awareness of policy roles, however, the sustainability of the capacity gains is seriously at risk due to the stop and start nature of project funding.

Among the RECs, regardless of whether they receive consistent MS funds, there is a dependency syndrome on donor funds. For example, a major challenge for IGAD is that Member States (8) are not contributing resources to regional DRR and the initiatives in DRR and ICPAC (Nairobi based) are dependent 100% on project funding. Staff longevity is predicated on the available funds, which means that experienced staff are let go and rehired or else totally lost depending on fund availability. At the same time, progress is being made in terms of developing frameworks for mainstreaming DRR in education, which is pioneering and forward looking for Africa.

ECCAS is facing a similar situation as the MS (11) are not contributing resources and DRR initiatives are solely driven by external funding. Human resources are scarce and due to lack of staff, activities related to the implementation of the Result 2 are mainly linked to specific support such as participation in forums, regional and global platforms, workshops, and training. The DRR unit needs a reinforcement of personnel to enable it to implement the other activities, which require a long-term follow-up, such as the setting up of an Atlas of the meteorological risks in Central Africa or the elaboration a regional contingency plan.

For SADC (15 MS) which is an organization with over 200 staff in Gaborone, the DRR section has only four staff and it is clearly under-resourced for the needs in the region. Staff and management similarly to IGAD struggle to make the available funding meet the staffing requirements, and the late arrival of ACP-EU funds poses a challenge to retain experienced non-permanent staff who understand the MS priorities. The SADC workshop on Transboundary DRR (December 11-14, 2017, funded by South Africa) made gains toward development of regional MOUs for preparedness and response.

In regard to the establishment of DiMSUR as discussed in the effectiveness section, the four MS retain confidence that the organization is valuable to the region, however, sustainability is undermined by lack of confidence in the fledgling institution by the World Bank and uncertainty of funding. SADC has joined the voices supporting DiMSUR which it sees as complimenting its regional mandate it may be possible that integration with SADC will assist to support it. UN Habitat has recently raised additional funds to continue to develop DiMSUR which has propagated the Habitat tool for assessing urban resilience (City RAP) used so far in nine countries.

With some elaborate open source databases developed, lack of continuity and maintenance of services to users were major sustainability issues. The regional mapping database developed by the Regional Centre for Mapping Resource for Development (RCMRD) in Nairobi was open sourced and highly utilized but then ceased to function. For St. Lucia and other countries in the region, the question was who would maintain the Geonode called SLING, which was developed for five islands. The Charim initiative supported training and a database while contributing to mapping and GIS modelling, was not always perpetuated for usage by supervisors.

2.4.2 Window 2 - Country based projects

Evidence that ownership through Window 2 supporting government institutions, either directly through recipient executed projects or in partnership, for example, with NGOs, Red Crosses and academic institutions is very strong. Window 2 is very likely to promote sustainability by beneficiaries but will also be limited if funds are not received for mitigation (i.e. full circle DRR) and the pilots are not propagated country-wide. The NGO-implemented programmes included strong sustainability measures such as early assessment of risk, community agreement and connecting the ACP-EU supported projects with other initiatives and coordination groups that they were part of.

Models for project implementation that had a strong potential for contributing to sustainability included the Ethiopia **“Building Capacity for Woreda Disaster Preparedness and Climate Change Adaptation”** project which partnered NGO Cordaid with the national NDMO, ACDRM, and Addis Ababa University to support a database to share with national and regional stakeholders and create analysis to promote sustainable gains. The Mozambique **“Promoting the integration of disaster risk reduction and climate change adaptation into District Development Plans and Community-Based Risk Management”** project offered strong evidence of ownership by the government at all levels and community stakeholders, with joint approval of the training approach. In Niger, the **“Community Disaster Risk Reduction Project”** implemented by Oxfam developed a system to incorporate DRR and CCA into district and community planning that was endorsed and continued in other communes by the national structure responsible for food security and early warning system (SAP).

In Zimbabwe, with regard to the **“Mainstreaming DRR and CCA into Local Development Planning in Zimbabwe through the Zambezi River Basin Initiative”** project, government stakeholders were extremely positive in regard to sustainability as the community-based inputs were very well organized

and validated by both the district and community and strengthened the potential for resilience of the inputs. There was also a great deal of optimism among stakeholders on national ownership, promoted through the Red Cross network. However, it was noted that traditional behaviours may be more difficult to influence for sustainable changes.

Overall, the biggest constraint to sustainability is the lack of government funds to replicate the successful pilot projects and there were generally no agreed exit strategies to plan for cessation of external funds and takeover by national funds. This also pertained to the asset management projects and Technical Assistance in connection to larger investments by the World Bank. One issue for governments is the sparse tax base for collecting public revenue.

The exception was in the Dominican Republic (DR) “**Identifying Risk to Protect Schools in the Dominican Republic**” project where it was clear from the beginning that the Ministry of Education would take over the DRR and CCA school evaluation tool, and further and importantly the government increased the education budget substantially, allowing replication of the project with some adjustments. An added benefit was the validation of the Directorate for DRR in schools which the project helped to bring about. Other exceptions are recipient executed projects such as Togo “**Integrated Disaster and Land Management Project**” or Vanuatu “**Increasing Resilience to Climate Change and Natural Hazards**” project which supported institutional capacity strengthening that has triggered new donors to use the same structure for implementation of other DRR and CCA related projects (e.g. GCF/SPREP project in Vanuatu).

A further issue in sustainability is the likelihood that complex tools developed for projects can be sustained by national institutions. The Ethiopia Woreda profiling tool contained 116 indicators which might be difficult to collect on a lower budget; the DR school evaluation tool covered five aspects of DRR and CCA and was too cumbersome for the ministry to replicate although adjustments were agreed upon. However, fortification of schools to mitigate the effects of disasters also requires maintenance policies and funds for school maintenance which were still uncertain.

In the Indian Ocean, the Geonode system (Open Data for Resilience Initiative - OpenDRI), an Open Source platform that provide key functionalities to allow users to upload data, create metadata and eventually create and publish maps fusing different datasets is a very complex system, disconnected from realities of the country in terms of human resources to understand these complex models but also in terms of the logistical resources needed to implement these models (high tech computers, good internet connection, GIS materials). Another challenge is the need to continuously update hazard and risk maps which require constant streams of funding in all countries such as the PCRAFI database in the Pacific. This challenge has been detected by the GFDRR team and several coordination meetings were held with all relevant stakeholders before project closure in June 2017 to discuss overall progress, work plans, synergies and challenges for the PacSAFE and RiskScape risk tools

In terms of the “return period” for road construction engineering in Belize, sustainability of the determined engineering inputs may not be obvious for a number of years (perhaps 20 to 30) and/or in the next disaster. There is additionally a return period on the Catastrophe risk insurance which is 5 to 20 years.

2.4.3 Window 3 - Recovery

Under **Window 3**, the **PDNA** represented a change of direction for national responses to disasters. It is now a widely-recognized methodology by governments to assess economic and human impact of a disaster and as a basis and evidence for DRR/CCA recovery and reconstruction interventions. In addition to informing the direction of recovery and rehabilitation, PDNA exercises also revealed opportunities for governments to mainstream risk reduction into national planning, while improving existing initial damage assessment processes. For instance, the Government of Fiji requested support to seize this opportunity to institute PDNA as its standard national post disaster process and has requested further ToTs on PDNA in order to increase in house capacity to perform a PDNA but also to develop a pool of Pacific PDNA trainers that could be deployed in other Pacific Islands if/when necessary. In Vanuatu, the PDNA exercise also participated in the establishment of the Risk Resilient Unit and allow the development of a centralized data base centre. The Government of Vanuatu also drew on some of the PDNA analysis to upgrade some of its national disaster preparedness policies.

PDNAs imply very high-level government-donor ownership but are also likely to promote gratification through external funds influx. On the other hand, the PDNAs have the potential to trigger more recovery DRR investment by the government and other national and regional stakeholders. By providing recommendations for recovery and long-term resilience interventions, PDNAs have supported leverage for further funding. For instance, the drought PDNA in Kenya (2012-2013) has supported the design of a US\$77M World Bank project in Kenya (93,000 households) which has been helping livestock herders develop coping mechanisms against drought and animal diseases. The PDNA and DRF reports after TC Winston did trigger a US\$50M loan from the World Bank, a US\$50M loan from Asian Development Bank and an additional EUR10M budget support for recovery action in the agriculture sector from the EU.

Conclusive statement on Sustainability: The programme provided appropriate assistance to deliver a sustainable foundation and an enabling environment for climate change/DRR mainstreaming and public and/or private investment in DRR and CCA, essentially at policy level. However, the level of appropriation by beneficiaries can be improved, as well as the sense of ownership from the African Regional Economic Communities and focal institutions. The progress supported by the programme could be easily undermined by loss of regional expertise, lack of replication of pilot initiatives and take over by governments, and decay of complex data analysis programmes through under-usage. Leveraging of external funds is more the case than internal support, which is more sustainable. Knowledge of the regional organizations and ACP Secretariat of the needs of their member states is not respected enough.

2.5 Coherence

EQ 5 - Coherence: To what extent did the Programme adequately reflect the national and regional DRR and CCA priorities and development policy objectives of the respective focal institutions and countries? How do the Programme activities reflect the EU Development Policy Objectives?

To examine the criteria of coherence, the Mid-Term Evaluation question looks at the extent to which activities undertaken within the programme are in line or consistent with the EU's relevant development policy and humanitarian aid objectives and whether the activities as implemented serve to reflect these policies.

The evaluation of coherence involves looking at how well or not different actions work together. It may highlight areas where there are synergies which improve overall performance or which were perhaps not possible if introduced at national level; or it may point to tensions e.g. objectives which are potentially contradictory, or approaches which are causing inefficiencies.

2.5.1 Coherence with EU Development policy objectives

As discussed in the Relevance section, the ACP-EU NDRR programme adequately reflects the *EU Strategy for Supporting Disaster Risk Reduction in Developing Countries* (Communication 2009) through the shared objectives and associated activities. These including supporting community-based preparedness programme, the development of preparedness and contingency plans that are informed by the latest risk assessments, promoting the integration of DRR into disaster response and recovery processes; and promoting risk sharing and transfer mechanisms. These activities have been underway in the targeted countries and regions for many years, some supported by the EU.

Both *EU Approach to Resilience: Learning from Food Security Crises* and the action plan for resilience in crisis prone countries, 2013-2020, are in line with the programme objectives by focusing their priorities on anticipating crises by assessing risks, focusing on prevention and preparedness, supporting the development and implementation of national resilience approaches, focusing on innovation, learning and advocacy, methodologies and tools to support resilience integrated in National Development Plans.

Some of the objectives of The *European Consensus on Humanitarian Aid* or the Disaster Preparedness ECHO (DIPECHO) programme, managed by the European Commission's Directorate General for Humanitarian Aid and Civil Protection are directly linked to the ACP-EU NDRR programme, such as reducing the number of lives lost to disasters triggered by natural hazards; Saving and protecting livelihoods and economic assets; Contributing to a reduction in the need for relief assistance; and, Encouraging replication and scaling-up of DRR measures by development actors by governments and other relevant stakeholders.

A number of national policies reflect similar objectives, particularly in the countries prone to food shortages. For example, the Ethiopia Productive Safety Net Programme (PSNP) provides valuable lessons. It provides transfers in the form of food or cash to the most vulnerable households in the country in return for participation in public works. The PSNP is the largest social transfer scheme in sub-Saharan Africa and is cost-effective (about one third the cost) in comparison to humanitarian interventions.

2.5.2 Coherence with national policies and regional expectations

The ACP-EU NDRR programme strategic objectives toward achievement of outcomes and results were identified through shared planning processes on the basis of existing regional strategies and plans and agreed criteria in coordination with national and regional institutions, other donors and other development partners such as those of the UN system (UNISDR, UNDP, WMO) and ACP regional organizations.

The landscape and policy framework for global DRR and CC activities has developed significantly during the course of the programme (2010-2017). This period has seen the adoption of a number of global and regional agreements and commitments with direct implications on DRR and CC programming including:

- The Sendai Framework for Disaster Risk Reduction (SFDRR) (2015)
- The Paris Agreement on Climate Change (2015)
- The Sustainable Development Goals (SDGs) (2015)
- The framework for resilient development in the Pacific: An Integrated Approach to Address Climate Change and Disaster Risk Management (FRDP), 2017 – 2030
- The Africa regional strategy for DRR (2006-2015)
- The Africa Programme of Action **for the Implementation of the Sendai Framework for DRR (2016)**
- The Addis Ababa Action Agreement on Finance for Development (AAAA) (2015)
- The Habitat III New Urban Agenda (2016)
- The World Humanitarian Summit (2016) and Grand Bargain

The **Framework for Resilient Development in the Pacific (FRDP): An Integrated Approach to Address Climate Change and Disaster Risk Management), 2017 – 2030** provides high level strategic guidance to different stakeholder groups on how to enhance resilience to climate change and disasters, in ways that contribute to and are embedded in sustainable development. The framework has three strategic goals: Strengthened adaptation and risk reduction to enhance resilience to climate and disasters, Low carbon development, Strengthened disaster preparedness, response and recovery.

The goal of the programme of action for the implementation of the **Africa regional strategy for DRR (2006-2015)** was to substantially reduce social, economic and environmental impacts of disasters on African people and economies, thereby facilitating the achievement of the MDGs and other development aims in Africa. One of the objectives of the *African Union Commission's Extended Programme of Action for the Implementation of the Africa Regional Strategy for Disaster Risk Reduction (PoA5)* is to “strengthen long term capacities at regional and sub-regional levels to systematically contribute to building resilience to natural hazards”. Improved regional capacities for Disaster Risk Management (DRM) are a vital element toward the overall goal of the PoA to substantially reduce the social, economic and environmental impacts of disasters on African people and economies.

The **Africa Programme of Action for the Implementation of the Sendai Framework for DRR** was adopted at the Africa Regional DRR Platform in 2016. This programme of action was agreed in the wake

of the other major global agreements and so benefits in being able to specifically link to relevant sections of them in its approach. Similar to the SFDRR the programme of action provides priority actions and activities to achieve the goals of the Sendai Framework in Africa. It adopts the 7 SFDRR global targets but then also adopts 5 additional targets to measure progress on by 2030.

The **Paris Agreement on Climate Change** was adopted in December 2015 under the UN Framework Convention on Climate Change (UNFCCC). The Paris Agreement commits to ensuring that the most damaging trajectories on climate change are avoided and that global temperature increases will be kept below the 2°C above pre-industrial level with an aim to limit this to 1.5°C. The Paris Agreement does not have any guiding principles but looks at different areas in implementation such as mitigation, adaptation, damage and loss, finance, technology development and transfer, capacity building, and transparency of action and support.

2.5.3 Coherence with Regional Expectations

Although the activities implemented under the various instruments are coherent and promote synergy and complementarity, more could be done to ensure greater consistency in funding channel and analysis of each partners' core strength. For instance, both UNISDR and GFDRR are supported by the World Bank for risk insurance initiatives and the ACP-EU NDRR programme, UNDP and Particip are financed by the EU for PDNA related interventions.

Some overlapping in term of objectives and activities exists between the ACP-EU NDRR programme, the AUC-DRR continental programme (EURM80), and the three ACP geographical DRR programmes, Africa, Caribbean and Pacific. For instance, in the Pacific, the SPC implemented ACP-EU building Safety and Resilience in the Pacific did have some overlapping objectives with the ACP-EU NDRR programme. Good coordination and collaboration between EU, SPC and GFDRR has allowed avoiding the overlaps but a better analysis of strengths, weaknesses and added-value of EU's potential DRR partners could have averted such confusion.

Under the additional contribution to **Window 1 Result 2** of the Single Donor Trust Fund support and in alignment with the strategic approach articulated by the Plan of Action, the RECs strategies, the Hyogo Framework of Action (HFA), and later the Sendai Framework and as articulated in Result 2 of the Programme "Building Disaster Resilience to Natural Hazards in Sub-Saharan African Regions, Countries and Communities" (Intra-ACP Annual Action Programme, 2013 part 2). Activities implemented under Window 1 in the Pacific are also fully aligned with the Pacific regional resilience strategy.

The Africa RECs have benefited particularly from many capacity development events implemented under the EDF Result 2 area implemented by GFDRR. The RECs generally see the GFDRR and EU role to stimulate momentum for regional development agendas preferably by playing the role of facilitation and promotion but they should avoid prescribing. Further, REC Member States would welcome more recognition from the donor community for the strategies developed in the region and for RECs' understanding of capacity needs of their Member States.

Under **Window 1**, Result 2 in East Africa, the **IGAD key effort with ICPAC** is forging the links between DRR and CCA. The ACP-EU programme will support a consultant to help them seek the most effective way to promote these linkages to be presented at the next regional forum hosted by ICPAC/IGAD.

The **IGAD** countries are not coping well with climate variability, people are still losing lives and livelihoods. Clear evidence shows that East Africa is heating up faster than predicted and faster than the global average while the early warning is still not adequate. ICPAC is working jointly with USAID FEWS and the FAO crop forecast. As for the institutional aspects, they work with national meteorological units which mostly deal with climate variability, rather than climate change. For the long- term impact, ICPAC is working with many actors, the national ministries of the environment, and national DRR organs as well as the UN FCC focal points. The WMO has designated ICPAC as the regional climate centre and they have jointly developed a strategy and a protocol. What is still weak in some countries is the political will to act on early warning data.

Technically, **ICPAC** is working with models, and uses the national meteorological data and satellite data to monitor and predict. They have subscribers such as USAID, the EU, OCHA, UNDP, and national

governments and other UN bodies. This signifies the degree of confidence in the product which covers 23 countries. IGAD receives high marks from the Member States for its DRR and CCA support and promoting regionalization which allows for regional prioritization of the climate issues cross border. ICPAC can validate the tools and pass them on to the countries.

IGAD is currently the only REC that will have a totally **recipient executed grant** from the programme, and the other RECs, ECCAS, ECOWAS and SADC, will have a divided half recipient executed and half **World Bank executed grant**. This is considered by the GFDRR to be a type of shortcut based on the REC capacity to promote usage of the funds.

SADC has four areas of focus: 1) electoral for governance support; 2) mediation support; 3) DRR and 4) human trafficking and protection of women and has over 240 employees. SADC intends to use some of the funding to support DRR positions to bolster the DRR section which currently has only one permanent staff and three temporary project based staff. To come as staff from any of the member states, the person must be nominated from their countries and the country must find a replacement staff while the seconded staff serves SADC. This makes it difficult to secure staff and to build capacity of the DRR section.

Out of the EUR 5 million designated from the ACP-EU, EUR2.5 million will be invested in SADC engagement in a partnership including the African Centre for Disaster Studies (ACDS) at North-West University, South Africa, Sustainable Rural Growth and Development Initiative (SRGDI) in Malawi and the University of Botswana (UB) in Botswana. SADC also needs to prove its worth to Member States through the facilitation of platforms. The DRR section wishes to develop a regional Preparedness Fund and a roadmap to prepare interventions and collectively prepare a response, but they did not have the overarching framework in place yet.

In 2017, the **ECCAS** Heads of State validated the Revised Plan of Action for Central Africa's Regional DRR / CCA Strategy, updated by integrating the Sendai Framework for DRR 2015-2030 (SFDRR). ECCAS has also recognized the importance of DRR and this was translated by the creation, in April 2016, of a new DRR unit within the Department of *Physical, Economic and Monetary Integration* (DIPEM). Disaster risk reduction is one of the twelve strategic areas of the **ECCAS** general policy on environmental and natural resource management. Significant DRR results were achieved on policy or strategic frameworks in the last decade: the ECCAS Policy for DRR was adopted in 2006 consisting on three strategic priorities: (i) assessment and early warning for the management of natural and man-made disasters, (ii) the fight against climate change, and (iii) the fight against desertification, drought and land degradation.

The Policy focuses on reducing disaster risks through development interventions by looking at managing disaster risks as a development challenge. Hence, the recommendations cover actions in sustainable development aimed at strengthening the sub-regional capacity for disaster risk management. The Policy addresses disasters triggered by natural hazards that may be exacerbated by conflict but will not contain explicit interventions on conflicts.

The **Central Africa Regional Strategy for Risk Prevention, Disaster Risk Management and Adaptation to Climate Change (SRPRGC)** and its **plan of action** were prepared in 2012 with the support and assistance of United Nations Office for the Coordination of Humanitarian Affairs (OCHA) and the United Nations Office for Disaster Risk Reduction (UNISDR). The strategy has a sectoral approach taking into account the need to mainstream disaster risk reduction into development programmes in a context of poverty reduction and growth. The strategy was subsequently approved by the ECCAS Heads of State in 2015. The action plan of this strategy was revised in 2016 to ensure its alignment with the African DRR action programme adopted in 2016.

In the **Caribbean**, CDEMA (EUR 4 million) the Caribbean Development Bank (CDB - EUR 12 million) and the Dominican Republic (DR, EUR 4 million) have shared out the EU contribution of EUR 20 million which is not part of the ACP-EU but complementary to it. Fund allocation is proceeding very slowly. CDEMA is developing a training unit at its facility in Barbados. CDEMA staff and others have analysed the regional response to the devastating hurricanes in the 2017 season, Irma and Maria. The CDB has faced issues with getting the member states to submit their proposals, and note a capacity issue in developing TORs and work plans that limits the ability to efficiently spend the funds.

The **Small Island Developing States Accelerated Modalities of Action (Samoa Pathway)**³², endorsed by Small Island Developing States in 2014, is the official policy document in which countries recognize the need to support and invest in these nations so they can achieve sustainable development. The two regional projects implemented in the **Pacific**, PCRAFI 3 and Programmatic TA, are both fully coherent with the Samoa Pathway and the Framework for Resilient Development in the Pacific: An Integrated Approach to Address Climate Change and Disaster Risk Management (FRDP), aims to ensure that climate change and disasters are understood as a development challenge with priority actions to address vulnerability to climate change and disasters and build resilience across all sectors.

In the **Indian Ocean**, the SWIO-RAFI project is in line with regional and country DRR strategy as the activities align with the 2030 Agenda for Sustainable Development framework, the SAMOA pathway, and the Paris Agreement. All these frameworks acknowledge the contribution risk transfer and insurance can make to increasing resilience and reducing the financial impacts of disaster, when integrated in disaster risk management strategies.

Window 2 – The NGOs leading the district and community preparedness projects (Cordaid, Oxfam, Plan International, World Vision, Red Cross Societies, etc.) generally have long histories of partnership with the EU (DEVCO and ECHO), the World Bank and other donors as well as national networks supporting DRR and CCA, and most of whom also supported the development of the national DRR and CCA policies. The coherence of the projects with national policies was validated through written confirmation from the governments under the Call for Proposals. However, some countries do not have DRR legislation such as Zimbabwe. Further, the projects all confronted obstacles to their implementation in relation to the state of development of the national DRR and CCA systems, among others, leading to a body of lessons learned.

Examples of factors promoting coherence of national and global policies with activities under the programme included the following: (Compiled from country disaster risk reduction profiles, see the annexes.)

1. Long history of DRM and DRR with strong institutional positioning of the National Disaster Management Organization (NDMO)
2. Supporting policies in place for DRR, CCA, preparedness and social protection
3. Strong ownership by the NDMO at central and provincial levels
4. Strong interface with World Bank and GFDRR inputs from the last decade
5. Strong coordination arrangements for DRR between implementing partners and government and other assistance organizations which promoted sharing of materials and agreement on the methodology
6. Previous history of capacity building in communities with strong female participation
7. Programmes under preparation by the World Bank which offer a unique opportunity to scale up the outputs/outcomes resulting from TA activities
8. Strong government participation in global and regional DRR and CCA forums
9. Mapping exercises which cover all relevant hazards
10. Existence of a Climate Change and Disaster Risk Reduction Project Management Unit or Units to coordinate all CCA interventions.

Factors challenging coherence of programme activities with EU, regional and national DRR and CCA policies included the following: (Compiled from country disaster risk reduction profiles, see the annexes.)

1. Dependency by government largely on external funds and actors for DRR and CCA
2. Limited capacity of the NDMO and other national DRR and CCA partners
3. Continuing greater stress on response coordination rather than preparedness and prevention
4. National regulations which limit development and humanitarian activities
5. Weakened formal DRR CCA coordination due to unclear leadership both on government and donor sides as well as complex linkages to other sector groups such as decentralization and urban, environment and climate change, and education
6. Weak interface of the ACP-EU programme with EU supported projects and programmes, notably with Ministries (e.g. Land and Agriculture)
7. Difficulties to navigate among the government and assistance stakeholders in order to gain agreement and inclusivity on the activities to be undertaken
8. Repetitive or substantial changes in governance and national context

³² Extracted from Reliefweb: <https://www.preventionweb.net/english/professional/policies/v.php?id=39483>

9. Changes in DRR and CCA actors both nationally and internationally.

Coherence with national policies were also enhanced through the development of key DRR documents such as the Climate Vulnerability Assessment document developed under the ACP-EU NDRR programme in Fiji that helped to refine the National Development Plan by providing good analyses and data and hence a better understanding of climate vulnerability issues. The close collaboration between the Ministry of Economy and Planning/GFDRR and NDMO/SPC ensured consistency between the CVA report developed at sector and national level and activities to be implemented with the “Building Safety and Resilience in the Pacific” (BSRP) project on CVA at community level.

In **Ivory Coast**, the PDNA training appropriately supports the 2016-2020 National Action Plan for Disaster Risk Reduction (RCC), third priority “investment in economic, social, cultural and environmental resilience”.

In Fiji, the PDNA process reflects the newly endorsed (2017) **National Humanitarian Policy for Disaster Risk Management in 2017**. The policy clarifies all aspects of *humanitarian* response within the *national disaster risk management* cycle - including *preparedness*, *disaster* readiness, *disaster risk reduction*, emergency response, recovery, rehabilitation, reconstruction, contingency planning, capacity building and awareness. The multi-donor funded programmes such as the resilience programme in Vanuatu, financed by GCCA, GEF, GFDRR/ACP-EU NDRR, ensured consistency and coherence in approach and outcomes with Climate Change and Disaster Risk Reduction (CCDRR) funded activities and with national institutional objective.

ECHO is seen as spearheading linking relief to development and later DEVCO joined that effort in 2009-2010 and was progressively doing more. In Ethiopia, there was a nexus created between ECHO and DEVCO at the policy level for DRR and the government created SPIF - Strategic Programme and Investment Framework as a common strategic programme, which illustrates the paradigm shift from crisis to risk management. This national policy is not yet integrated with the UNDAF. In Ethiopia as elsewhere, greater focus tends to be on humanitarian assistance.

Many stakeholders interviewed saw the need to create more coherence between policies and community preparedness. The ACP-EU projects have worked toward this end and the projects supported have spawned a number of community based parallel initiatives. However, in some countries, such as St. Lucia, Belize, Niger (flood risk management project) and Tonga the citizenry is not well informed about CCA and some World Bank efforts are seen as focusing on centrally managed projects with heavy engineering inputs. To increase coherence, it is suggested that the ACP-EU focus on dovetailing the technical support with comprehensive public education, from creating public awareness to use of formal education channels.

Window 3 – PDNAs are good catalyst to strengthen integration of DRR into policy development and to develop more holistic and inclusive recovery and reconstruction methodology, allowing a reinforced participative approach from government structures and civil society. In Fiji for instance, the level of devastation caused by Tropical Cyclone Winston triggered the need for a better integration of risk into the National Development Plan (NDP) that was in draft form at the time of the cyclone. The PDNA provided also an informed assessment that supported donors’ commitments.

Conclusive statement on Coherence: The activities undertaken adequately reflect the national and regional DRR and CCA priorities and policy objectives, while regional strategies may be less supported at global level. The activities also reflect the EU Development policy objectives. In practice, however, the enabling factors for support of policy are not consistent across the ACP, with some countries not having strong NDMOs and implementation of supporting legislation, among others. Not enough focus was applied to ensuring sustainable funding, with linking DRR with CCA in practice, with bolstering the NDMOs and DRR/CCA legislation, and increasing stress on preparedness and risk reduction over disaster response.

2.6 Perspectives of Impact

EQ 6 - Impact: To what extent have the improvements in preparedness and DRR resulted in impact in reducing the effects of disasters and what were the key influencing factors as illustrated in case studies and lessons?

The question seeks perspectives of impact of the programme on beneficiaries, communities, and the environment, among others, particularly related to preparedness and DRR, as analysed through documented illustrations of impact. The key contributing factors of success, the difficulties, the challenges and benefits should be analysed.

While there may be ample examples of success and contribution by the programme, the factors which contribute to impact may be difficult to ascertain among all of the various factors. This may require a reconstruction of a disaster scenario with what might have happened versus what did happen and factor in the contributions of communities and other responding stakeholders. While the GFDRR websites and publications highlight the project inputs and outputs, the programme has not collected evidence of outcomes and impact in a structured way which can illustrate contribution or attribution to the programme. **Collecting perspectives on outcomes and impact from stakeholders will be important as the current programme concludes to provide evidence for further investment.**

Examples from stakeholders interviewed on what would be considered to be perspectives of impact, with clear contribution by the ACP-EU programme, are as follows with **key factors highlighted**.

The regional **Management of Slope Stability in Communities (MoSSAic)** initiative (2014-2017) was based on very successful implementation of the approach and tools in St. Lucia since 2004 and the pilot communities in Saint Lucia were as a course laboratory throughout the training. The effectiveness of the approach has been widely publicized including in book form (447 pages). The GFDRR supported the original project which ran from 2004 – 2014.

St. Lucia has extreme vulnerability to landslides. A database of St. Lucia produced in 2014 (British Geological Survey website, December 2014) found over 1,250 landslides most initiated by Hurricane Tomas in 2010 where the vegetation had not yet grown back. Hurricane Tomas caused death (14 people) and destruction on St. Lucia when a two-year amount of rain fell in 24 hours.

During Hurricane Tomas, the communities who had previously implemented the MoSSAic programme by a process of **looking at the physical causes, employing community workers to construct drainage solutions and maintaining the quality of mitigation inputs**, realized incredible impact from their efforts. The hillside communities outside of the capital Castries stood up to what in some people's memories had been the highest water levels ever seen. However, stakeholders thought that the inputs need to be maintained and the MoSSAic approach used all over the island. In 2013, six people died from floods and landslides in December 2013. Practitioners in St. Lucia agree that the programme has made discernible differences every year in preventing loss of life and livelihoods.

Two examples of MoSSAic uptake and potential to spread impact are the following:

- In Medellin, Colombia, Global Challenges Research Fund made available by the British Academy's Cities and Infrastructure programme (Upscaling Resilience) has been used by Colombian academics and CBOs to implement a community-based landslide risk management project. This is now being scaled up in Medellin and also transferred to Sao Paulo, Brazil. The MoSSAic methodology has been extensively used to guide the project. See: <http://www.medellin-urban-innovation.eca.ed.ac.uk/projects/upscaling-resilience/>
- A MoSSAic pilot may be implemented in Freetown, Sierra Leone, following last year's landslides. A World Bank funded landslide hazard assessment was recently conducted as well as a post-disaster assessment after the Regent landslide.

"The Horn of Africa Open Data Mapping Project: Building Resilience by Sharing data" the **Regional Climate Mapping, Research and Development (RCMRD and IGAD/ICPAC, Nairobi)** ran from 2012-2015. In the wake of the project, IGAD and RCMRD support the theory that **stronger early**

warning data combined with regional pressure on parties to act were thought by a number of stakeholders interviewed to have made the difference between the casualties of the 2011 East African drought and the 2016-2017 drought. (See further discussion below.) The **advocacy of IGAD** was thought by some stakeholders to have promoted greater responsibility on the part of governments.

Poor response to the 2011 East African drought and famine that affected Somalia which killed roughly 258,000 people mainly in Somalia between 2010 and 2012 (according to joint report by the United Nations and the United States Agency for International Development) was allegedly due both to a poor humanitarian response to help Somalia and the weak observance of early warning data. The summer of 2011 produced one of the worst droughts in 60 years in the Horn of Africa, affecting Kenya, Somalia, Ethiopia, Eritrea and Djibouti. The 2011 Somali famine illustrates the deadly combination of drought, conflict and an uncertain international response.

In 2011, there were many assistance actors operating but the disaster still happened, the early warnings were issued by many systems including the Famine Early Warning System (FEWS). Early warning systems (EWS) indicated that there may be impending drought beginning with forecasts in August 2010, as changing weather conditions linked to La Niña were confirmed.

Since the Horn of Africa drought crisis of 2011, efforts have been scaled up to build resilience in drought-prone areas. The ACP-EU NDRR programme in the RCMRD project and a number of others, which strengthened national and regional capacities, were thought to have supported greater access to data in the interim, better packaging of the data for dissemination, and promoted more awareness as key factors in the difference between the 2011 and 2016-2017 droughts' casualties. The humanitarian response to the 2016 effects of the drought was faster and more comprehensive. The Ethiopian and Kenyan governments acted quickly to respond. The Government of Kenya continues to lead drought response efforts in 2017 and 2018, and the Government of Ethiopia is building increased response capacity, with support from the assistance agencies. Drought management in Kenya is regarded as an EU success story mainly due to the 10th and 11th EDF support.

Evidence that the drought conditions could not be compared have been published. The 2016-2017 drought was an extreme event, but not as extreme as the 2010–2011 drought which had a severity which would only be expected to occur perhaps once every 50 years. The 2016-2017 drought episode is expected to occur once every four years. However, when added to this the grim predictions that rainfall will become more unpredictable and that droughts will increase in the future as a result of climate change, prospects for the future are frightening indeed.³³

Conducting a PDNA is now becoming the standard and preferred tool after disasters. The methodology is promoting new or strengthened units for disaster related baseline and assessment data processing, policy and financing. **More data are being regularly collected, better analyses are performed and the recovery planning is now embedded in the national development plan.** PDNAs have provided governments with a structured methodology that support stronger leadership in managing and responding to disasters. Some countries are taking full ownership of the tool (Fiji) but the potential of reducing the effects of disasters through DRR and BBB initiatives in recovery interventions was not fully achieved. All PDNA-supported recovery and reconstruction plans integrate DRR and BBB considerations, however the degree to which these recovery plans have effectively been implemented and fully funded varies (**well-funded PDNA and effectively implemented in Fiji** following TC Winston, partially funded and implemented for Vanuatu following TC Pam, comprehensive recovery strategy developed and implemented in the Seychelles).

The PDNAs allowed integrating the economic losses deriving from a disaster in addition to the physical damage, and incorporating and responding to social and environmental impacts. The low capacity, competing demands for government staff, especially in small island developing states (SIDS), and a lack of sustained engagement are key risks to achieving outcomes and impacts under Window 3. temperatures are exacerbating the impacts of have been consistent.

³³ (Climate Development knowledge network: <https://cdkn.org/wp-content/uploads/2017/06/The-drought-in-Kenya-2016-2017.pdf>)

The “**Stories of Impact Series**” on the GFDRR website³⁴ are among the sources of case studies which can be used to provide evidence that the ACP-EU NDRR programme contributed to impact. The case studies and lessons illustrate factors which are mobilizing toward a concrete positive change in both material conditions and capacities in DRR and CCA, exploring the key factors of success, the difficulties, the challenges and benefits. Three examples are summarized here, with lessons learned and **influencing factors** if available.

In January 2015, **Malawi** experienced some of the most devastating flooding in its history. In the aftermath, the Government of Malawi conducted a post-disaster needs assessment (PDNA) which estimated damage and loss from the January flooding at approximately US\$ 335M and recovery and reconstruction needs at approximately US\$ 494M, and prepared a recovery framework to help prioritize and implement recovery and reconstruction investments. Funding has been provided for both the PDNA and the recovery framework through the ACP-EU NDRR programme, and helped inform an US\$ 80M World Bank financing to restore livelihoods and reconstruct public infrastructure.

In addition, the programme helped to **strengthen open source Malawi Spatial Data Platform (MASDAP) GeoNode** by adding additional datasets, in partnership with Malawi Department of Disaster Management Affairs and other government departments. Data from this GeoNode were used during the 2015 flood recovery efforts and to estimate impact on poverty. Further, improved risk information through **community mapping exercises**, including mapping nearly 450 residential areas and collecting more than 15,000 waypoints in Nsanje alone. The lessons indicated that **coordinating national, district, and local priorities is essential for effective recovery** and **identifying risks prior to a disaster can speed up recovery efforts**.

Seychelles, with its steep terrain and location in the Indian Ocean, is highly vulnerable to tropical cyclones, floods, storm surges, landslides, and tsunamis. The risks posed by natural disasters are further exacerbated by climate change and rising sea levels. In 2013, Cyclone Felling caused flooding and landslides that led to damages and losses exceeding US\$8.4M, or 0.77% of the GDP. Seychelles’ infrastructure was the heaviest hit, with many roads completely washed away by the storm. In the wake of the disaster, the government implemented a National Flood Task Force. With support from the ACP-EU, GFDRR and the World Bank, it also conducted **an innovative Damage Needs and Loss Assessment (DaLA)** to evaluate the social, economic, and environmental impacts of the storm, as well as to quantify what is needed to increase resilience to future disasters. To ensure that post-disaster recovery is resilient:

- World Bank experts trained key ministries in selected sectors such as infrastructure and agriculture in the DaLA methodology.
- Using the results from the assessments, the World Bank proposed a disaster recovery framework on flood-risk management, providing vital recommendations on integrating flood risk management considerations at the institutional, investment, and policy levels.
- The DaLA recommended implementing risk transfer and insurance mechanisms, sparking the launch of a similar, region-wide initiative.

The DaLA provided a clear understanding of damages, needs, and losses within sectors impacted by the cyclone. The assessment laid the groundwork for the immediate and long-term recovery and reconstruction efforts needed so Seychelles can be more resilient to future natural disasters. By further **integrating long-term disaster reduction goals with SWIO RAFI**, the Seychelles benefited from a more comprehensive overall approach that builds upon the regional collective risk management efforts. In addition, the Seychelles continues to participate in **regional simulation exercises**, such as a September 2014 tsunami preparedness test, and its Division for Risk and Disaster Management remains active in implementing code compliance for buildings and schools so they are able to withstand high winds and floods.

Lessons Learned included - Lack of compliance with building regulations increased the impact of the disaster. The DaLA revealed a lack of compliance and lightly enforced regulations contributed to losses, especially in the areas of construction and land use planning. Local authorities are now working

³⁴ <https://www.gfdrr.org/acp-eu/stories-of-impact-series>

to better enforce building regulations and zonal planning, and disaster-prone zones have been identified. **Working together is essential to building back better.** At the time of the 2013 disaster, Seychelles did not have a standardized system in place for communicating with key stakeholders, which hampered its response capabilities to effectively implement the DaLA as part of a comprehensive DRM framework. The government has worked to **strengthen its partnerships with all areas of society**, from the private sector to non-governmental organizations. In addition, the government established **medium-term and long-term goals**, including the relocation of key public buildings to higher ground, the preparation of an integrated national disaster risk management plan, the revision of the flood management legal framework, and the development of new risk-based building codes.

Timor-Leste, a small, mountainous country in Southeast Asia occupying the eastern half the island of Timor, is highly vulnerable to natural hazards. Weather-related risks, such as monsoon rains, droughts, flash floods, landslides, and destructive winds are frequent threats. These risks are exacerbated by the potential for seismic risks, volcanoes, and tsunamis. Natural hazards will be a constant threat to communities, infrastructure, and livelihoods in Timor-Leste because of its geographical location. Planning for inevitable extreme weather and other natural hazards, therefore, requires **a robust CBDRM programme**. The government of Timor-Leste recognized that better data and analytic tools were needed to address vulnerabilities to natural disaster risk. It lacked geospatial data, historical data, details about existing infrastructure and buildings, and information about communities and the agriculture sector, upon which many livelihoods depend. The following was undertaken:

- An assessment of natural hazards and associated risks in four districts along a planned 100 kilometres stretch of the Dili-Ainaro road corridor was completed, estimating exposure above US\$570M, with residential and transport accounting for more than 80 percent of the total value.
- A capacity building programme strengthened the skills of Government staff and relevant officials necessary for multi-hazard risk assessment, including data collection, field surveys, and more.
- A US\$2.7M grant agreement between the Government of Timor-Leste and the World Bank was signed in February 2015 to finance a follow-up project.

Approach: The programme consisted of **several complementary elements: data collection, analysis, development of tools and training local officials** to enable them to continue this work. The assessment was undertaken in 49 municipalities (sucos) along the Dili-Ainaro road. Using risk modelling, the project determined the vulnerability of each suco and identified those most at risk in case of 100-year return period flood and wind events. Analyses covered weather-related threats, such as floods, strong winds, and landslides. They also included **analysis of the vulnerability of communities, for example, exposure analysis, social vulnerability assessments, hazard risk modelling and quantifying potential damage and recovery costs**. The assessment will help inform a community-based risk management system to be piloted under the next phase of the project in the 26 most vulnerable municipalities. Tools developed to enable local officials to conduct their own assessments include a project operation manual, a capacity building strategy, a community-based disaster risk management guide, technical guidelines, and training materials. These were complemented by capacity building and knowledge transfer.

Lessons Learned: Detailed data from multiple sources is critical for assessing natural hazard risks and building a disaster community-based disaster risk management strategy. Necessary information includes more than historic weather patterns and topographical data. It also includes details on the population, transport infrastructure, health and education facilities, buildings, and sources of livelihoods. **Technology and capacity building are necessary to collect, manage, and make effective use of data.** The NDMD staff and other stakeholders benefit from technical training, for example, in geospatial software or database management. This is supported by training in data collection and conducting field surveys.

Conclusive statement on Perspectives of Impact: The programme interventions have contributed to saving lives and livelihoods and are likely to contribute to greater outcomes and impacts in the future. The programme has supported key influencing factors such as community vulnerability mapping and involvement in mitigation, stronger early warning data, greater access to data for hazard mapping and post-disaster assessment and better packaging of the data for dissemination. Contextual factors such as

political willingness to prepare and to respond to early warning are important to contribute to impact - in this regard regional organizations could be key advocates and influencers.

2.7 Visibility

EQ 7 - Visibility: Has the programme complied with the EU and ACP visibility requirements in implemented projects?

This Mid-term Evaluation question assesses the means and methods put in place by the ACP-EU NDRR programme to ensure EU and ACP visibility and whether the standards and guidelines have been respected.

The EU is very vigilant to ensure that logos are used on products and that EU contributions are acknowledged on reports. The “communication and visibility manual for European Union external actions” (2010) continues to apply to actions launched before the end of 2017, but partners implementing such actions are encouraged to refer also to the newly issued 'Communication and Visibility Requirements' of 2018 when planning and carrying out communication activities. This manual mainly covers the written and **visual identity of the EU**. It sets out **requirements** and **guidelines** for briefings, written material, press conferences, presentations, invitations, signs, commemorative plaques and all other tools used to highlight EU participation. In addition, it offers tools designed to enable the development of a dynamic communication strategy that will highlight the achievements of EU support.

As agreed from the programme design and inception, the GFDRR produced visibility guidelines based on the “Communication and visibility manual for European Union external actions 2010”, especially developed for the ACP-EU NDRR Programme. These guidelines indicate that all projects financed under the Single Donor Trust Fund should acknowledge that they have received funding from the European Union. Furthermore, all programmes, products and events financed under this initiative should be carrying EC, ACP and GFDRR logos. Specific communication activities have included the establishment of a dedicated website in French and English, the development of a communication plan and regular briefs to the EC and ACP Ambassadors.

An impressive amount of very diverse materials and tools were developed, to ensure broad and clear visibility on the programme activities, objective and impact. Materials and mechanisms developed to ensure visibility include:

- GFDRR websites and GFDRR ACP-EU specific websites.
- Activity Reports in English and French.
- Brochures.
- Videos (e.g. Outreach video on the ACP-EU NDRR Programme; project videos such as the Solomon Islands water project, Rwanda Risk Atlas; Tanzania Ramani Huria, etc.);
- Publications (e.g. project outputs such as Cabo Verde PDNA, Disaster Risk Financing and Insurance in the DR, etc.).
- Stories of Impact in EN and FR (Vanuatu, Malawi, Belize, Niger, Nigeria, Pacific, Samoa, Tonga, Seychelles, Guyana, Tanzania, Timor-Leste).
- Cap4Dev DRR Regional Knowledge Exchange Group.

A review of project documents and documents and materials produced both through the regional and national projects indicated that a majority of publications bear the branding of both organizations indicating that visibility through branding was up to standard. Some of the publications have managed to cover a wide audience, for instance the Climate Vulnerability Assessment for Fiji was launched during the COP23 ensuring high visibility. However, it is noted that the GFDRR name and logo is larger than the EU flag, a symbol which may not be well identified by readers. For some publications, such as UN Habitat for DiMSUR, EU support is acknowledged in the narrative as well.

Concerning infrastructures or equipment provided under the programme, visibility on EU financial participation is far from being systematic. In Togo for instance, logos are present in awareness pamphlets but not systematically present or very visible, for example on the posters or at the level of the equipment provided (motor pumps, buildings of the firefighters, ambulances, etc.).

Visibility in terms of communications on programme achievements was not particularly systematic nor homogenous at the country level and in EUDs, despite production of numerous materials to raise awareness and promote the programme. Visibility of outputs and outcomes was largely promoted by the involvement of the World Bank and implementing partners in coordination groups but this could be further strengthened. GFDRR has produced regular progress and activity updates to the Steering Committee members in Brussels. As far as could be ascertained, these regular briefs may not be provided to the EUD Ambassadors or not widely disseminated among EUD staff, as generally EUD staff were not well informed about the projects (see Efficiency and Coordination sections). Communication on the programme from EU HQ to the EUDs should be strengthened.

Visits to project sites indicated that district and community stakeholders were generally aware of EU funding for their project. In Ethiopia, the woreda profiling exercise produced glossy profiles to be kept in woredas and woreda-based participants were aware of the EU and GFDRR support. Process and outcomes had been communicated to stakeholders in DRR and CCA by Cordaid and the government through coordination venues and by Addis Ababa University to academics. In the Dominican Republic, the school risk evaluation project was connected to the larger Global Programme for Safer Schools supported by the GFDRR which was being promoted through CDEMA.

While the GFDRR itself is not highly visible in Belize, the ACP-EU supported National Climate Resilient Investment Plan (NCRIP) spurred development of the CRIP programme that “put Belize on the map”. However, in Niger, none of the interviewed people knew that the project implemented by Oxfam was financed by the EU and none of the purchased materials (e.g. solar panels, etc.) and training material developed carried EU logos. In Vanuatu, due to its pool funding mechanism, the resilience project provided little visibility on the ACP-EU NDRR involvement and all persons interviewed presented the project as a GEF, GCCA and GFDRR pooled intervention.

It is noted that the EU contribution to the PDNA process is recognized in the PDNA reports, the ACP-EU NDRR logo is included in the report and the EU-ACP is mentioned in the narrative as the financing body. In the Pacific, PDNA reports were widely distributed and are still in use as training tool for estimation of disaster risks and assessments, hence providing good visibility. Ex-ante PDNA trainings did ensure good visibility on EU-ACP contribution. The visibility derived from the technical assistance to recovery interventions is less obvious and does not systematically appear in the TA technical reports. However, this may not always be the case, for example, in the Pacific and other countries the labeling may not acknowledge the EU.

In general, the **ACP Secretariat** has very limited visibility at the national and regional levels related to the programme objectives, primarily because the programme does not provide financial support for the ACP Representatives to visit the projects or to attend the meetings in the ACP relevant to the programme. However, the Secretariat’s role is important especially to regional stakeholders and staff involvement can contribute to both political and technical levels.

Conclusive statement on visibility: The programme has complied with the EU visibility requirements in terms of branding the numerous materials produced with EU, ACP and GFDRR logos. The programme was less successful in using communications strategies to convey the project goals, achievements and challenges to the EUDs and other stakeholders. In particular, the visibility of the role of the ACP Secretariat in supporting the programme is very limited relative to its potential role.

2.8 Value Added

EQ 8 - Value added: To what extent has the programme added benefits to what would have resulted from the EU Member States interventions in the same context? What are the main indicators and factors illustrating that the programmatic and global (all ACP geographic area)

approach is producing optimum benefits, and avoiding overlaps and contradictions with other interventions?

This Mid-term Evaluation question explores whether the approach chosen by the EU for the ACP-EU NDRR Programme was optimal to achieve desired results and expected impacts and the pros and cons as opposed to the EU Member States interventions. It looks at whether the ACP geographic approach is producing the optimum benefits and what the indicators are for its success.

2.8.1 Global perspective

The ACP-EU NDRR programme amalgamates the geographical area of the African, Caribbean and Pacific Group of States (ACP) composed of 79 states which are signatories to the Cotonou Agreement (2000) binding them to the European Union. (There are 48 countries from Sub-Saharan Africa, 16 from the Caribbean and 15 from the Pacific.) The ACP-EU NDRR programme is aligned to the objectives of the ACP Group which includes sustainable development; coordination in implementation of ACP-EC Partnership Agreements; consolidation of unity and solidarity; and establishment of peace and stability. The ACP-EU NDRR programme builds on the ACP and EU relationship and factors in management by the World Bank GFDRR. The ACP-EU NDRR programme is coherent with and fully embedded into the global GFDRR *Inclusive Community Resilience* thematic programme.

The EU's commitment to DRR is translated by its large financial contribution to DRR, amounting to 216,2 MEUR for the period related to this evaluation, either through the 10th EDF (180 MEUR) but also through DCI's support for Latin America and Asia (30 M EUR) and the support to PDNA with the Instrument contributing to Stability and Peace (6,2 MEUR). Approximately 55% of this budget transits through GFDRR/WB.

The **ACP Secretariat** has encouraged the inclusion of district and community based projects which have made strong contributions to national DRR and CCA capacity, a strength noted by some regional and country-based key informants. As per the agreed administrative arrangements for the programme, the role of the ACP Secretariat in terms of the ACP Group and the relevant ACP national ministries and the RECs is one of capacity building and promoting a strong intra-ACP exchange of best practices. In this regard, the ACP Secretariat hosts regional consultations, such as held on 21 March 2018³⁵.

However, as discussed earlier, the operationalization of the programme did not adequately reflect the role and the value that could be added of the ACP Secretariat as a political, administrative and technical partner. A larger support team to deal with DRR and CCA at the ACP Secretariat would be advantageous in the future to expedite response and increase its impact.

The choice of GFDRR management is one of strategic positioning as well as seeking effective means to achieve results and taking the ACP relationships to a global level. **The indications** which affirm the programmatic and global approach to implement DRR activities through a globally recognized institution such as the World Bank were mentioned in all three regions by stakeholders involved in DRR and CCA activities. The main advantages are: its **integrated approach** to DRR, CCA and resilience, **ability to leverage knowledge and funds**, ability to tap strong technical assistance for DRR and risk financing; and presence in most partner countries. The World Bank has forged **strong and long-standing partnerships** (as has the EU) globally, such as with UNISDR, and with regional and national DRR stakeholders through other funding channels.

The global to national partnerships can help to avoid **overlap and duplication**, although some exists particularly among donors at the level of public policy and also even between the EU and GFDRR in their projects and programmes. Instances of overlap also occur at the level of DRR and CCA implementation. For example, in the Pacific, there is overlap between the EU-SPC "Building Safety and Resilience in the Pacific" (BSRP) programme and the ACP-EU NDRR programme. Some activities that were supposed to be implemented by ACP-EU were ultimately implemented by BSRP partners because they were the first to start activities.

³⁵ 49th ACP parliamentary Assembly calling on all Member States of the ACP Group to maintain unity and solidarity.

The World Bank GFDRR **exerts a wide reach** for knowledge sharing in the ACP through events, such as the World Reconstruction Conference (also with EU support), and through convening the Africa Hydromet Forum. Stakeholders participating in these forums reported gains in their skills as well as enhanced visions for future interventions. The GFDRR through its global network and resources can play a valuable role in **identification of the most relevant DRR projects** and effective implementing agencies. Global partners such as UNISDR and UNDP see clear progress on DRR and CCA and note that the EU has contributed substantial means for the implementation of Sendai. The GFDRR adds value by **bringing the parties together**, for example, **promoting complementarities and communications** among the RECs. Furthermore, there is **significant leveraging of funds**, although currently mainly from World Bank financing, but the funding sources should diversify in the future.

The global approach can strengthen **coordination and exchange of experience and lessons** among stakeholders in the ACP. There is already a fair amount of South to South sharing of ideas among the ACP and beyond. For example, the NGO consortium (Oxfam, Plan International and Habitat for Humanity) implementing the ACP-EU NDRR project in the Dominican Republic (DR) been invited to present their design for school risk evaluation in Latin America countries. (The DR is part of the Latin American regional DRR organization SELA, by virtue of language affinity). Stakeholders in the SIDS note that more emphasis needs to be placed on more frequent exchanges such as through the SIDS committee supported by GFDRR.

2.8.2 Regional and national perspectives

Window 1 – The regional organizations (RECs and regionally based) typically receive funding both from the EU and the World Bank for other programmes, however, regional stakeholders are not fully convinced of the advantages of GFDRR management for the ACP-EU NDRR. They noted a number of associated challenges such as long gaps in funding streams, and thinly spread World Bank staff who take a long time to respond to requests (such as for “no objection” on TORs as discussed in the efficiency section). When compared to the administrative time used to meet the World Bank requirements and the waiting time for decisions to be made, to some stakeholders the funds seem difficult to access compared to other funding sources, and 7 % is generally devoted to World Bank overheads.

On the other hand, the EU comes out only slightly stronger in terms of regional value added; EU staff are also spread thinly, however the EU administrative requirements may be less time consuming. Previous ECHO managed grants received favourable reviews and with the expanded time frames, grants can now be linked up to 36 months through ECHO and might offer greater coherence with other EU programmes and the EUDs.

Some stakeholders thought that the EU and the World Bank needed greater understanding of the regional and national capacity constraints and that their inputs are inconsistent compared to what is needed to build institutional capacity. The African RECS, for example, are largely supported by external donor funds with associated high risks to their sustainability. In the Caribbean as well, consistent funding and capacity is needed by the regional organizations (e.g. CDEMA and CDB) to maintain their momentum and ability to manage programmes and projects. Support by the World Bank and the EU is not strong enough for strategies owned by the regional stakeholders rather than making them conform to World Bank or EU strategies.

Window 2 – Nationally based stakeholders cite value added from linkages to the GFDRR including advocacy with the government through established high-level loan dialog channels, strengthening the managerial and financial capacities of Ministries to run large scale DRR and CCA programmes (e.g. Togo and Vanuatu) and supporting and rolling out innovative tools to manage hazards and disaster risk financing. NGOs working in connection with the World Bank were more able to get the ear of government using the Bank influence.

The national stakeholders also note that, conversely and importantly, their ACP-EU projects have added value to the World Bank capacity in providing entry points at local level for DRR and CCA. Stronger advantages were identified when World Bank staff with DRR expertise were positioned in the country, when staff took personal interest in the projects and spent adequate time to monitor, and when local

projects were connected with global initiatives such as the Safer Schools. Advantageous project designs that added value overall is the formation of consortiums that include partners each with widely reaching networks at various levels, such as the government ministries with UN, Red Crosses/IFRC and European branches, NGOs and academic institutions. (In the Caribbean, there are generally only international NGOs in the DR.).

Some NGOs that are well established with strong capacities in DRR and CCA include Oxfam in Niger and the Dominican Republic, World Vision in Mozambique, and some Red Cross Societies. If these are combined with management by EUDs with specific DRR and CCA portfolios, it would allow better support and integration of the NGO-led programmes with other DRR interventions implemented through the EUD and additionally permit a stronger institutional follow-up and greater EU visibility. In terms of the project in Niger, the large number of actors including EU-GFDRR-Oxfam-local NGOs required substantial operating and management costs that could have been avoided and freed a larger budget for direct beneficiaries.

Experiences varied among countries, with some organizations preferring the World Bank deliverable based payment system which sets out the rules clearly upfront. In general, there is more World Bank feeling of partnership and better understanding of the rules of engagement in the Caribbean while in Africa and the Pacific, the management styles required more adapting on the part of the implementing partner.

On the flip side, the World Bank tends to impose an onerous burden of programme requirements on the national stakeholders creating fatigue, with a ponderous number of World Bank people visiting and redundant contributions at times. The tools are very good but by the time they get integrated they may not be as relevant and the adaptation of staff to a new tool also requires time. Further, the technical consultants generally provide high quality inputs, but they may not consistently transfer the skills to the national stakeholders, reducing sustainability gains. The WB staff generally do not visit remotely located projects where the most vulnerable tend to live, while DIPECHO has more field experience and is perceived as a partner rather than an administrative channel.³⁶

Window 3 - Achieving a quality PDNA implies good collaboration between line ministries, civil society and private sector but also leadership to address the interdependent functions of national planning, finance and resource allocations. With its close relationship with Ministries of Finance and its recognition as trusted partner, GFDRR with its affiliation with the World Bank is well placed to exercise the motivational “convening power” needed and galvanize collaboration between Government institutions and stakeholders (e.g. UN Group, private sector, civil society). GFDRR has also provided added value by being able to mobilize funding and experts in a very short timeframe.

Significant funding has been leveraged based on PDNAs. The PDNA in Kenya (2013) leveraged US\$77M in funds for drought mitigation while the PDNA in St. Lucia (2014) resulted in a rapid influx of funds for recovery. The rapid assessments in Mozambique have been very successful in leveraging funds. In 2013, an assessment (not supported by ACP-EU) resulted in the World Bank earmarking an additional US\$70M for rehabilitation and recovery. The 2015 impact assessment (supported by ACP-EU) informed a US\$40M World Bank project for resilient recovery to rehabilitate or reconstruct key dikes, weirs, irrigation systems, drinking water infrastructure, and schools so that they meet resilient standards based on GFDRR-supported assessment recommendations. According to the World Bank in Maputo, an additional US\$80M for DRR will become available in 2018, some of which may be used to promote the replication of the community risk management and district planning project.

In the Caribbean, recent PDNAs conducted following Hurricanes Irma and Maria (September 2017) serve as models for systematic integration and help to avoid the big critics of them, nevertheless, the post disaster context draws additional actors, such as UNDAC and ECLAC with their own assessment mechanisms.

Conclusive statement on added-value: From a regional and global perspective, the programme has added benefits that emanate from the partnership of the EU, ACP Secretariat and the GFDRR which each offer significant added value, and cumulatively effect more clout to promote progress on an integrated approach to DRR, CCA and resilience. The ACP Secretariat role however, is still limited. . A larger support team to deal with DRR and CCA at the ACP Secretariat would be advantageous in the

³⁶ Key informant interviews, October 2017 to January, 2018

future to expedite response and increase its impact. At the regional level, greater understanding of regional priorities can contribute to benefits. The all ACP approach effectively offers opportunities for sharing good practices and lessons, particularly among the SIDS and among the African RECs, to and to a large degree, the overlaps and contradictions have been avoided.

2.9 Coordination

This section of the Mid-term Evaluation addresses two evaluation questions (Evaluation Questions 9 and 10) posed in the Terms of Reference, each focusing on different aspects of Coordination.

EQ 9 – Local Coordination: How well does the Programme coordinate with other DRR and CCA interventions in the partner countries and regions?

This Mid-term evaluation question explores coordination of the ACP-EU NDRR Programme with other DRR and CCA interventions including those supported nationally or regionally by the Member States, and the effectiveness of coordination through mechanisms such as UN and donor groups. It seeks evidence that the ACP-EU interventions supports a bridge between relief and development through coordination with other programmes.

According to the Programme foundation documents³⁷, under the 10th EDF, the ACP-EU NDRR Programme was meant to enhance donor coordination between the European Union, the ACP States and the World Bank, as well as with the GFDRR partners. This would occur also through the participation in the Steering Committee of the Programme “Building Disaster Resilience to Natural Hazards in Sub-Saharan African Regions, Countries and Communities” as well as through the liaison with coordination mechanisms such as the African Working Group on Disaster Risk Reduction (AWG) or the EU DRR Strategy’s (2009) coordination mechanisms with EU Member States.

The EU’s **Action Plan for Resilience in Crisis Prone Countries 2013-2020** provides a coordination framework and consultation forum among development partners and donors. *“Given the multi-faceted aspects of resilience-building, actions must be sustainable, multi-sectoral, multi-level, multi-partner and strategically and jointly planned by the people affected or at risk, communities, governments (at the local, sub-national and national levels) and civil society. They should be supported by the humanitarian and development assistance partners over the short, medium and long term. In this context, joint programming with the Member States has the potential to play a key role in supporting the resilience agenda. In this context, it is crucial that humanitarian and development actors work together to reduce the occurrence of vulnerable countries entering into repeated cycles of crisis, dramatically affecting their populations and increasing the need for humanitarian assistance. Likewise, it is critical that the DRR and climate change agendas are well coordinated and actors work together to ensure adaptation and disaster reduction.”*

Proposed activities should only be undertaken if they do not conflict with others financed by other donors in the region. The European Commission, the ACP Secretariat (authorising officer for the Intra-ACP funds) and the World Bank-led GFDRR, are tasked with actively supporting coordination and ensuring complementarities with on-going actions and existing strategies.

Window 1 - At **regional** level, stakeholders reported fair to good coordination with the ACP-EU NDRR programme. For example, coordination between GFDRR staff, the EU and ECOWAS is ensured by frequent exchange. The EUD is informed and invited to participate in the activities implemented by ECOWAS and ECCAS under the Result 2. In Africa, there is generally good coordination between the RECs themselves.

The EU Delegation to the African Union (EUD-AU Addis Ababa) is focused on the implementation of the 10th EDF five result areas **Building Disaster Resilience in Sub-Saharan Africa**, managed by AU, AfDB, UNISDR, and GFDRR (2 result areas)³⁸ and their complementarity is a challenging situation.

³⁷ ACP-EU NDRR implementation arrangement, 9th November 2011; ACP-EU Top Up Final, October 2013

³⁸ The European Union (EU) and Africa, Caribbean and Pacific (ACP) established the Intra-ACP cooperation programme **Building Disaster Resilience in Sub-Saharan Africa**, to **strengthen the resilience of sub-Saharan African regions, countries and communities to the impacts of natural disasters**. Five Result Areas are as follows (with implementing partner):

1. R1: Extended Programme of Action for the implementation of the Africa regional strategy for DRR. (AUC and the UNISDR);
2. R2: African Regional Economic Communities have DRR coordination, planning and policy advisory capacities (GFDRR);
3. R3: Core capacities of the specialized national and regional climate centers are improved (AfDB);
4. R4: African countries have improved knowledge of risks (UNISDR);

There are EUD-AU Steering Committees for the five Results Areas but coordination is very difficult due to varying levels of progress in management and implementation of each result area. Both the EUD-AU and GFDRR are active participants in the Steering Committee with frequent communications with UNISDR, the AfDB and the AU.

In the **Indian Ocean**, the tri-partite EU-GFDRR-UNISDR collaboration for the EU-funded ISLANDS project and the UNISDR project on Risk Transfer and Risk Financing Mechanisms, is coordinating the SWIO-RAFI activities, under the umbrella of the IOC and its **Regional Platform for Disaster Risk Financing Mechanisms Initiative**. Similarly, the SWIO-RAFI project also coordinates closely with the French Agency for Development (AFD), which is supporting the regional project “Risques Naturels,” that in turn works on strengthening the policy and regulatory framework and community-based risk assessments. The coordination and information sharing with UNDP and the EUD is not optimal and UNDP is not systematically informed of WB/GFDRR missions.

With regard to regional coordination **in the Caribbean**, external international regional offices such as the EU, UNDP, DFID, Canadian High Commission and other donors located in Barbados communicate frequently and coordinate strategies with CDEMA, the Caribbean Development Bank and other regional and national organizations. The ECHO regional office in Managua, Nicaragua also plays an active role in linking relief to development with the other stakeholders. World Bank staff coordinate with these actors remotely from Washington DC and Europe and when they are visiting the countries.

In the **South Pacific**, the main actors playing a role in DRR coordination are the Secretariat of the Pacific Community (SPC), the Secretariat of the Pacific Regional Environment Programme (SPREP), UNSIDR, UNDP, Pacific Islands Forum Secretariat (PIFS) and the University of South Pacific (USP). The World Bank staff coordinate with these actors from the Sydney and Fiji Office and remotely from Washington DC and Europe and when they are visiting the countries.

The **Framework for Resilient Development in the Pacific: An Integrated Approach to Address Climate Change and Disaster Risk Management (FRDP)**, endorsed in 2016, is the regional framework that provides high level strategic guidance to different stakeholder groups on how to enhance resilience to climate change and disasters, in ways that contribute to and are embedded in sustainable development. The FRDP coordination will be ensured by the **Pacific Resilience Partnership (PRP)** that will bring together the climate change and disaster risk management communities of practice, along with other partners (for example, government representatives from ministries of finance and planning, relevant sectors and private sector and civil society stakeholders).

Window 2 –Various degrees of coordination are seen among the donor and UN coordination groups ranging from a situation where participants may not be strongly communicating, to those where they are effectively developing integrative relationships. In general, the NGO-led Window 2 district and community preparedness facilitates coordination as the NGOs are deeply involved in the coordination forums and often lead or co-lead them.

In **Africa**, there is a mix of DRR CCA coordination effectiveness at **national level**. In Kenya, as in other countries where there is no dedicated DRR staff (e.g. Niger), the WB/GFDRR does not usually participate in UN coordination forums while in Ethiopia and Togo, where there is a dedicated staff, there is greater participation. In Mozambique, WB/GFDRR participation is desired for its contribution potential but it was not invited to the Humanitarian Coordination Team (HCT) meeting until recently. In Mozambique, the World Bank has launched a Resilience Dialogue series event and is discussing with UN agencies how to strengthen further donor coordination.

In the **Pacific**, coordination is facilitated by the involvement of key DRR actors (e.g. UNDP, SPC, GIZ) and is generally strong. In some situations where there was overlap of initiatives, interventions were adjusted through dialogue and collaboration between stakeholders (e.g. activity in Tonga under the Cyclone Ian reconstruction - Technical Assistance for revision of the emergency act and plan transferred to the EU funded Building Resilience in the Pacific (BSRP) project.)

In countries where DRR stakeholders' platforms or working groups are functioning (e.g. Ethiopia, Niger) there are stronger synergies and complementarities between DRR and CCA projects. In Ethiopia, DRR and CCA coordination is improving through a High-Level Steering Committee chaired by the Ministry of

Agriculture and co-chaired by the EU, with accompanying technical committees and task forces. This forum is very effective and centrally overlapping with NGOs. There is also a Humanitarian Coordination Team with eight humanitarian clusters and is really improved from the previous donor assistance group. In Zimbabwe, there is a forum for DRR CCA practitioners with a draft coordination agreement in place. In Mozambique as in other countries, stakeholder mapping has promoted greater coordination among agencies working in the same provinces, such as the Mozambique Red Cross and World Vision. In Zimbabwe, as in other countries project steering committees composed of ministries and development partners have helped to coordinate actions and reduce duplication.

Window 3 – By their very nature, the PDNAs imply good coordination between the tri-partite stakeholders, GFDRR, UNDP and EU and with the Government structure. However, the decision to support a PDNA should be based on a mutual agreement between GFDRR, UNDP and EU and should also be seen as good PDNA training opportunity. In Fiji, the development of the Climate Vulnerability Assessment was built on the coordination system and dynamic developed during Tropical Cyclone Winston's PDNA, that allowed close coordination and inputs from all Ministries, including the NDMO. Coordination with other interventions was ensured, mostly with the BSRP project to continue the Community Vulnerability Assessment.

Conclusive statement on local coordination: Coordination at regional level is strong in relation to ACP regional programmes, and communications flow among donors, the EU and the UN. At national level, there is mixed participation by the World Bank and the EU in coordination forums involving all DRR stakeholders where interventions are adjusted to fill assessments and needs gaps and avoid overlaps. Stakeholder platforms and working groups support stronger synergies as does stakeholder mapping and formation of steering committees for projects and programmes.

EQ10 - Coordination between the Programme, ACP Secretariat and the EU: To what extent is coordination of the Programme with the ACP institutions, EU Delegations and ECHO offices satisfactory and how could it be improved if needed?

This Mid-term Evaluation question explores the strength of coordination mechanisms and efforts among the EU and ACP units and staff including the EU Delegations (EUD), ECHO offices, and ACP regional institutions. It also seeks means for improvement.

The Commission Directorate-General for International Cooperation and Development (DG DEVCO) works hand-in-hand with other Commission services, EU institutions and member countries on development matters. While the DG-DEVCO is responsible for defining development policy and for implementing aid, many other EU policies have an impact on developing countries and are therefore coordinated with development policy. To strengthen coherence between external relations and development cooperation, the latter is conducted within the framework of the EU's external action as defined by the European External Action Services (EEAS) which represent the voice of the EU to the world³⁹.

In terms of **coordination and collaboration between DEVCO and ECHO**, DEVCO have consulted with ECHO DRR policy officers on projects proposed by the ACP-EU NDRR programme at HQ level. According to stakeholders in Niger, Ethiopia, and Mozambique which have ECHO offices or representatives, the coordination and collaboration between ECHO and EUD were excellent but not particularly concerning the ACP-EU NDRR programme. In Niger, for instance, the EUD and ECHO are collaborating closely but have not coordinated the projects implemented under the ACP-EU NDRR programme. The ECHO regional office for the Pacific is based in Bangkok, Thailand and coordinates ECHO's intervention in the Pacific with the EU Delegations and other stakeholders (e.g. UN OCHA, NGOs).

Coordination between **the EUD and GFDRR/World Bank** in the countries and regions has improved since the beginning of the programme. For the second Call for Proposals (C4P), coordination with the EUD had improved (C4P published on several EUDs, DEVCO, ACP and GFDRR home pages and Preventionweb) but remained weak which consequently reduced the opportunities to exploit programme

³⁹ https://eeas.europa.eu/headquarters/headquarters-homepage_en

synergies and enhance visibility. The coordination has however remained stronger in countries with full time GFDRR Task Team Leader (TTL) presence but high turn-over of staff within GFDRR and in the EUDs has eroded efficiency of coordination over time.

Key informants conveyed a message of poor coordination between the EU and GFDRR, particularly on the integration of their respective CCA and DRR activities. The programme communications during implementation seem to bypass the EUDs and the EUDs do not effectively exhibit ownership. The visibility of the programme to the EU Delegations is very vague as most of the reporting goes to Brussels. In Niger, the EUD was involved in the preparation discussions for the projects but there was no coordination or monitoring of the projects after their approval, apart from courtesy visits during GFDRR missions to Niger. Since the EUD oversee numerous grants, the programme planning in Brussels has made it out of sync with the EUD regional and country portfolios.

The EUD in Mauritius is suffering from a lack of coordination and information on DRR activities at regional and global level, internally with EU Headquarters and externally with GFDRR. For example, the EUD in Mauritius has little information about the SWIO-RAFI programme and would have benefited from more information sharing concerning the programme and its progress. This could ensure that new DRR programme initiate at EUD level is in line and/or compliments the activities already developed under the SWIO-RAFI project at central level.

In Mozambique, there is not much direct contact between the EU and the World Bank. Stakeholders note that both the EU and the World Bank are engaged in many programmes. Each claimed to invite the other to their events but attendance by either is sporadic and opportunities for synergies have consequently been missed. From the EU side, they have a large portfolio for Mozambique and see that some projects are very relevant to be linked with the ACP-EU, such as a large climate adaptation project through the Ministry of Land, Environment and Rural Development (MITADER).

In the **Caribbean**, there is acceptable communication between the EUD (Regional) and the GFDRR although there may be less than optimum coordination on the administrative arrangements with the World Bank for grants of all types. In relation to the successful MoSSaIC project in St. Lucia and other SIDS discussed earlier, the EUD in Barbados did not receive the reports or the published book, an example of greater need to share project outcomes with the EUDs. For the country-based EUD, for example in Santo Domingo, there are coordination meetings held every three months regarding the risk financing. However, while the EUD participated in the selection of the "Identification of risk to protect schools" project, there was poor visibility of the project.

According to the accepted modus operandi for PDNAs, the three organisations (EU/UN/WB) should consult in country EUD from the outset through initial discussions with the Government. This practice was not systematically followed and PDNA support requests were not coordinated with EU Delegations in country before being sent to DEVCO HQ. With the exception of the Pacific (Fiji, Vanuatu), requests for PDNA support were sent to the desk-officer in EUHQ who had to request EUD's feedback. The involvement of the EUD staff in the PDNAs was in many cases limited to the financial agreement to use ACP-EU NDRR funding. However, it is noted that in the 2011 PDNA conducted in Kenya and the 2017 PDNA conducted in the Caribbean, there was strong participation of the EUDs and ECHO staff including for review of the TORs, participation in field missions, co-financing and report reviews.

The **role of the ACP Secretariat** is defined in the implementation agreement as the chair of the Steering Committee meeting on a rotational basis with the EC. The ACP Secretariat is also to be consulted during the project preparation and be regularly informed on the progress, thus, the ACP Secretariat has a more administrative role in term of decision making and is not consulted for technical inputs on projects during the preparation phase. The ACP-EU NDRR programme is supervised by only one technical and very dedicated ACP staff who has a very large portfolio and hence limited time for more in-depth involvement in the ACP-EU NDRR programme. The relationship between the ACP secretariat, EU HQ and the GFDRR team based in Brussels is seen by the partners as very good, translated by regular verbal and written communications between the three institutions.

However, as discussed earlier, the ACP Secretariat is not visible or operational enough relative to its roles as a political, technical and administrative partner. ACP Secretariat representatives should be more active in the project proposals mechanism and there should be greater GFDRR engagement with

the Secretariat at a political and technical level. The ACP Secretariat requires more opportunities to be engaged in technical and monitoring activities beyond the level of the Steering Committee.

Conclusive statement on global coordination: Coordination between the Programme, the ACP secretariat and the EU has been strengthened at the headquarters level but earlier weak coordination, at country level, affected the opportunities to exploit synergies. With regard to their respective CCA and DRR activities, coordination and communication between the EUDs and the GFDRR have been weak without much direct contact in a number of countries. Coordination is productive between EU and ECHO at headquarters however, high risk groups could benefit from stronger collaboration between ECHO and GFDRR regionally and nationally.

3 Overall assessment

This chapter synthesizes answers to evaluation questions into an overall assessment of the programme. It articulates all the findings, conclusions and lessons in a way that reflects their importance and facilitates the reading. The structure does not follow the evaluation questions, the logical framework or the evaluation criteria.

The ACP-EU NDRR programme is an innovative approach to seeking good practices and results in DRR, and introducing new tools and mechanisms to do so. The original plan conceived by the ACP Group of States was established in 2011, funded by the EU and managed by GFDRR and aims to build resilience to disasters caused by natural hazards. It is well grounded on the basis of the EU policy instruments on DRR, Resilience as well as the Hyogo and Sendai Frameworks, among others. The direction of the programme evolved somewhat with Sendai and the climate change agenda.

The projects selected were relatively low cost (82 projects through approximately EUR 55M) but served in most cases as “seeds” that could spur on growth of the concepts and tools and replication of successful initiatives. They are more or less balanced between 3 funding windows, regional, country and post-disaster recovery and the three ACP regions, not necessarily corresponding to needs but this was re-aligned through a EUR 20M grant for the Africa Regional Economic Communities a few years later. This grant is part of Result 2 one of five result areas being implemented for Africa supported by the 10th EU Development Fund. The allocation of the EUR 20 M (36% increase of the initial budget) to the Africa RECs midway through the programme was the reason for the extension of the programme from 2017 to 2020.

More than half of the EU investment in DRR transits through the GFDRR. The partnership with GFDRR serves to expand the scope and possibilities for attracting additional funds for DRR and CCA. The GFDRR influence on policy makers is an asset as well as its strong network of experts and institutional architecture. The GFDRR made great efforts to accommodate the EU requests, for example, for greater visibility for the projects. While GFDRR expanded US and Europe based management, GFDRR administrative and technical support was not always responsive to project needs prompting the addition of staff in certain locations. This proved helpful and where task team leaders took interest in the outcomes, they greatly facilitated the navigation through contextual and administrative challenges. Fund leveraging efforts have been very fruitful with an estimated US\$1.7 billion for DRR associated inputs, mainly from World Bank financing sources.

The majority of the projects were implemented by the World Bank in partnership with governments and other actors such as UN agencies and highlighted the Bank’s talent for financing and infrastructure development as well as convening conferences, all of which were valuable. Others were implemented by NGOs some of whom formed consortiums and navigated with government structures to reach communities. The tough fiscal policies of the World Bank and rigid decision-making procedures tasked the implementing partners, some more than others, caused unreasonable delays and extenuated their efforts to coordinate with partners and utilize other funds that they had leveraged. This pertained to government and regional partners as well who faced onerous requirements, sometimes large World Bank visitations, and delays in receiving feedback on reports for example and struggled to obtain no objections on TORs.

Nine output indicators were monitored by GFDRR and at least six of them are almost achieved, on integration of DRR and CCA in the national planning process, development of risk tools, enhanced flood risk management, development of national capacity for PDNA and multi-stakeholder PDNA and recovery planning. Three have fallen behind but are on a positive track to be achieved, for operational early warning systems, development of risk financing and insurance strategies and integration of DRR in recovery planning. While the reasons are uncertain the indicators are not well defined, they lack baselines and do not effectively capture the outcomes, challenges and successes in a structured (results based) manner.

Importantly, most of the completed or nearly completed projects achieved moderate to high levels of success, especially in the development and use of tools, including open source databases, disaster risk financing studies and tools, risk profiling, hazard mapping, school risk assessment methodology and

manuals to guide development planning to integrate DRR and CCA at district and community level among others. The NGO and government-led (12) community-preparedness projects were generally well designed and sought consensus on methodologies, drew in a wide range of government and civil society actors, and effectively reached communities, enhancing their capacities to assess their own risk and plan mitigation measures. The integration of DRR in development planning was promoted for schools, as well as at provincial and district levels and by community members. In several cases, there is evidence that the programme contributed to saving lives and livelihoods.

The challenges faced in many projects were somewhat similar despite their wide variety, and centered around the long-term benefits and issues that were not adequately foreseen during planning. Better identification was needed of potential bottlenecks to usage of the inputs and outputs. These included the capacity of national organizations to adopt the technology or practice, illustrated particularly in the case of complex tools that the organizations did not have the funds, staffing capacity or the perspicacity to implement or maintain on their own. Some might be considered one-off projects such as producing reports on studies, but some spawned further investment such as in road infrastructure improvements. A further issue was lack of or weak policies with limited or no government budgets to support what is needed in communities to mitigate disasters. For many outcomes, such as enhanced capacity, e.g. workable tools and strategies that are being used, higher levels of government and community preparedness and investment in mitigation, another wave of energy may need to be applied to further them on, rather than let the programme investment be dropped.

A critical analysis centres on how to make the global policies play out in the context of national and regional development, which is a continuous challenge and not unique to this programme. In seeking interface with regional and national policies and contexts, the programme falters due to its need for greater understanding of the regions or countries priorities and capacities. Although country based projects were signed off initially by the government, government actors were not always on board with the implications of having to take on the responsibility of usage of new tools and approaches. For some, this represented a lack of understanding of their capacities and the challenges they faced in the political and development contexts and in terms of available human resources and skills. Their own DRR strategies to some extent remain on paper and some of the NDMOs and response systems are not up to standard. Cross cutting objectives such as gender equity and reaching the most vulnerable and marginal populations did not appear as highlights of the overall approach, although the community based projects aimed to target the areas with the highest risk.

The regional organizations were targeted for bolstering of DRR capacity and inputs have been described but the big picture of their reach and effectiveness is somewhat different. The DRR sections of the African regional organizations struggle to survive and gain or lose staff largely based on donor project funding. In that sense gaining influence among the member states is difficult and backsliding occurs. The other regional organizations in the Pacific and Caribbean are better funded but still grapple with management of projects and programmes and demands of donors, which they struggle to meet with the member states they are trying to advise. The political, technical and administrative capacities of the ACP Secretariat were underused in regard to the programme, both in Brussels and in the ACP, and the staff lacked programme support to visit projects and attend relevant regional forums. A larger support team to deal with DRR and CCA at the ACP Secretariat would be advantageous in the future to expedite response and increase its impact.

Coordination has largely been productive with increasing participation and effectiveness, but some overlap is noted for risk insurance and PDNA, indicating a stronger analysis of added value of EU's DRR partners was in order. Meanwhile, tensions in the same family, the EU, are palpable. While the EU, ACP Secretariat and GFDRR communicate in Brussels, programme communications largely bypassed the EUDs, and most staff interviewed were not fully aware of the projects or regularly interfacing with the Bank staff. This caused some discord and perhaps inefficiency as the opportunities may have been lost to link the ACP-EU projects to larger EU projects in the EUD portfolios and with World Bank undertakings. The ECHO supported projects received high marks for their promotion of partnership and reach to the communities, and based on the GFDRR and ECHO's level of desire to work together, some degree of co-management might be beneficial.

4 Conclusions and recommendations

4.1 Conclusions

This section of the Mid-term evaluation report offers conclusions based on evaluation findings related to the evaluation questions. A visual representation of the results of the ten evaluation questions, found at the end of the conclusions section, gives a quick overview of performance.

1. With regard to the **Relevance**, the programme is well conceived through appropriate objectives to meet the DRR needs in the ACP countries and regions, adherence to EU strategies and the Sendai framework and through the partnerships formed with GFDRR and ACP States. The call for proposals mechanism was dependent on demand from governments, rather than being needs based. Selection of projects was appropriately criteria based, however, the rationale against programme objectives can be questioned, with rather tenuous connections to community preparedness except in relatively few (12) initiatives. The planning somewhat flounders in relation to touting principles of equality, acknowledgement of capacity and policy challenges, and securing outcomes for the most vulnerable.
2. In terms of **Effectiveness**, the majority of the projects boast successful outputs, 6 of the 9 programme results areas indicators will be met or partially met while three are in process (for early warning systems, risk financing strategies and implementation of DRR in the recovery phase). Capacity building outcomes are difficult to attribute to capacity building events however incremental gains are surmised. Region-wide development of analytical products have produced strong outputs and technical assistance also proved fruitful for knock on effects. At country level, the mix of project types and objectives served to strengthen different national levels of DRR. The NGO-led district/community projects will have achieved objectives for integrated DRR/CCA development planning and provide substantial good practices as well as lessons. Support for post disaster assessments have resulted in increased efficiency, coordination, collaboration and potential for moving toward greater DRR in recovery. Effectiveness was challenged by inadequate resources to transfer training and technology to the workplace, need for updating tools and maps, and complex tools that were unwieldy to implement.
3. In examining **Efficiency**, key factors which contributed included moving to a fast track procedure for project selection and increase in country-based GFDRR staff to monitor projects, and interest of some Task Team Leaders in promoting the outcomes. The strategic allocation indicates effort to spread funds as equitably as possible among the 79 ACP countries and among the three funding Windows to promote innovative tools and approaches, with late response to urgent needs in Africa through additional regional support. Efficiency suffers through delays in organizing Steering Committee meetings and communications on programme progress to the EUDs, limited involvement of the ACP Secretariat, and cumbersome World Bank administrative requirements that drew energy of the partner implementing agencies away from efficient project execution and extenuated them in terms of tedious top heavy procedures and long delays in securing agreements. Extension of the programme (from 2017-2020) was due to late allocation of significant regional Result 2 resources in 2014 (EUR 20 M) that needed time to be effectively programmed with regional stakeholders. Overall monitoring largely focuses on outputs while the system is fragile in terms of tracking progress toward outcomes and impacts.
4. With relation to **Sustainability** the programme in combination with a stronger enabling environment and coordination among the stakeholders has contributed to acceleration toward greater long-term gains for DRR and its integration with CCA. However, this momentum could be easily undermined by loss of regional expertise, lack of replication of pilot initiatives and take over by governments, and decay of complex data analysis programmes through under-usage. Leveraging of external funds is more the case than internal support while pressures to plan for and reduce post disaster assistance and recovery needs is working as a creed and increasingly in practice. Knowledge of the regional organizations of the needs of their member states is not respected enough as they struggle with their own survival rather than applying that energy to their mandated services.

5. For **Coherence**, it is clear that the enabling factors and challenges at country level influence the application of EU, World Bank, and other global policies in the regions and countries. Enabling factors which are most prevalent are the presence of strong NDMOs and having integrated national DRR and CCA legislation and strategies. Where they are separate, programmes tend to be developed separately as they generally are at global and donor level. While the programme contributed to those ends, there was no direct focus on them. Regional strategies are more applicable but not always recognized or supported at the global level.
6. With regard to **Perspectives of Impact**, examples are still limited due to lack of scientific data to compare before and after, and because of the nature of activities funded (disaster risk reduction and prevention) it is also hard to prove the cost of non-action. However, the programme does not effectively collect and document outcomes that may lead to impacts which are important to substantiate future investment. Comparisons of landslide impact in St. Lucia before and after community vulnerability mapping and mitigation inputs illustrate the effectiveness of the approach. Comparisons of the responses to the 2011 and 2016 drought disasters in the IGAD region indicate that strengthening early warning data and political will to respond to them are key factors. The regularly collected, better analyses through the PDNAs often embedded in the national development plan, and followed by Build Back Better and inclusion of DRR in recovery planning, has led to strong perspectives of impact in future disasters. Other factors are effective packaging of data for dissemination and advocating for political willingness to respond.
7. **Visibility** has been strengthened since the programme began based on adherence to EU communication and visibility standards first set out jointly by the ACP, EU and GFDRR. This has ensured that branding will be seen on the numerous project materials and acknowledgement of EU contributions made public, especially to beneficiaries. Using the communications strategies set in place and conveying the visibility of the projects, their goals, achievements and challenges to the EUDs and other stakeholders was less successful. The visibility of the role of the ACP Secretariat is not highlighted and the staff lacked programme support to visit projects and attend relevant regional forums.
8. **Value Added** of the GFDRR partnership is strong in terms of its capacity to promote an integrated approach to DRR, CCA and resilience. Its wide reach and ability to convene means that knowledge and lessons can be shared among the ACP and it can leverage significant funds from the World Bank and other donors and lenders especially post disaster. The EU has contributed substantially to the implementation of Sendai and inputs are greatly respected. The ACP Secretariat involvement however, is still limited in terms of the value of its role to provide political, technical, and administrative support. A larger support team to deal with DRR and CCA at the ACP Secretariat would be advantageous in the future to expedite response and increase its impact. The three organizations have thinly stretched staff while strong guidance and interest in project outcomes are what is required and consistent input to build capacity of partner organizations. High marks are received for ECHO projects which link recovery to development. Value is effectively added by filling gaps to the community level where people can act to save their own lives and livelihoods.
9. **Coordination** was assessed in the sense of interface with other DRR and CCA interventions in partner countries and regions. Coordination at regional level is strong in relation to ACP regional programmes, and communications flow among donors, the EU and the UN. At national level, there is mixed participation by the World Bank and the EU in coordination forums involving all DRR stakeholders where interventions are adjusted to fill gaps and avoid overlaps. Stakeholder platforms and working groups support stronger synergies as does stakeholder mapping and formation of steering committees for projects and programmes.
10. **Coordination** between the Programme, the ACP secretariat, GFDRR and the EU has been strengthened at the headquarters level but earlier weak coordination, at country level, affected the opportunities to exploit synergies. Collaboration with the ACP Secretariat has been limited overall in relation to the role it should play. With regard to their respective CCA and DRR activities, coordination and communication between the EUDs and the GFDRR have been weak with limited direct contact in a number of countries. The EUDs are largely bypassed in information exchange regarding ACP-EU NDRR projects as communications from GFDRR generally go to Brussels, with the result in some cases that opportunities to interface the programme with other EUD projects were missed. Coordination is productive between EU and ECHO at headquarters however, high risk

groups could benefit from stronger collaboration between ECHO and GFDRR regionally and nationally.

Overall ACP-EU NDRR programme performance = Satisfactory

6 Point Scale evenly balanced between positive and negative:

Highly satisfactory (HS): The programme had no shortcomings in the achievement of its objectives

Satisfactory (S): The programme had minor shortcomings in the achievement of its objectives

Moderately satisfactory (MS): The programme had moderate shortcomings in the achievement of its objectives.

Moderately unsatisfactory (MU): The programme had significant shortcomings in the achievement of its objectives

Unsatisfactory (U) The programme had major shortcomings in the achievement of its objectives

Highly unsatisfactory (HU) The programme had severe shortcomings in the achievement of its objectives

Criteria	Rating	Comment
Relevance	Moderately Satisfactory (MS)	Strong adherence to EU and global strategies; shortcomings in selection of projects as per policy objectives and application of cross cutting principles
Effectiveness	Satisfactory (S)	Results areas have been or will be achieved satisfactorily with some shortcomings in the transfer of training, tools and technology to the workplace
Efficiency	Moderately Unsatisfactory (MU)	Increased efficiency in fast track project selection; shortcomings in the management oversight, resources allocation, timing of fund transfer and administrative requirements, and in setting baselines and tracking outcomes
Sustainability	Moderately Satisfactory (MS)	Contributed to momentum in DRR and CCA; shortcomings in achieving long term sustainability and RECs and ACP Secretariat ownership
Coherence	Satisfactory (S)	EU strategies reflected in national and regional strategic objectives; shortcomings in recognizing/addressing related challenges at regional and national levels
Perspectives of impact	Satisfactory (S)	Numerous examples of outcomes potentially leading to impact, particularly recovery interventions; shortcomings in tracking influencing factors to support substantiation of future investments
Visibility	Satisfactory (S)	Most materials and tools branded; shortcomings in communicating project activities and outcomes, also vis a vis ACP Secretariat role
Value Added	Satisfactory (S)	Significant EU value from three organization partnership to promote DRR and CCA integration and preparedness and minimize overlap; shortcomings in consistent capacity building support
Local coordination	Highly Satisfactory (HS)	Strong regional and national level coordination and identification of gaps; minor shortcomings in World Bank and EU participation
Global coordination	Moderately Unsatisfactory (MU)	Significant shortcomings in coordination between the programme, EU, GFDRR and EUDs; limited collaboration with ACP Secretariat and ECHO in regional and country based activities
Overall rating	Satisfactory (S)	

4.2 Recommendations

This section presents recommendations based on the findings and conclusions in response to the ten evaluation criteria questions. The recommendations are all aimed at the three partner organizations, the EU, the ACP Secretariat and the GFDRR as they are tasked with making the programme decisions. The recommendations are prioritized to correspond roughly to the ratings, with those which are moderately unsatisfactory taking precedence over those which are satisfactory or highly satisfactory.

Recommendation One (Corresponds to Conclusion #3 on Efficiency)

Lesson: Dominance of oversight actions and heavy administrative procedures can extenuate implementing partners negatively affecting timing, staff energy, fund utilization and coordination with other national and regional stakeholders.

Action Statement: The appropriate balance should be sought on the degree of administrative oversight required (such as administrative feasibility risk examinations, GFDRR staff missions, reporting requirements), and the depth of fiscal procedures needed for accountability in view of the objectives of facilitating project outcomes and supporting efficient implementation to achieve DRR and CCA results.

Recommendation: *Seek appropriate balance on administrative oversight and procedures in view of the need to facilitate project outcomes and allow efficient implementation.*

Operational implications:

For the present programme (approximately 2 years remaining):

- Balance the World Bank support for the programme in terms of appropriateness; to avoid heavy pressures by large groups of World Bank experts on the time of government and other stakeholder while on the other hand, making greater contributions to project outcomes through visits to district and communities where projects are being implemented.
- Streamline procedures for approval of fast track proposal to limit the delays.
- Ensure timely disbursements to utilize programme funds during the intended programme.
- Expedite the flow of funds to the RECs for Result 2 so they can retain or hire more staff with DRR and CCA expertise.

For the future programme:

- Avoid funding gaps that are caused by delayed or prolonged decisions regarding project agreements which could undermine the purpose of the project (also a regional recommendation).
- Avoid long delays on project start-ups and signing of agreements particularly where preliminary consultations have already taken place among implementing agencies and the GFDRR with associated expectations and in view of other sources of funding which may be compatible or dovetailed with the programme funds.
- Avoid delays on feedback to reporting and repetitive reviews and giving “no objection” when required.
- Avoid switching to more World Bank implemented activities, rather seek to solve the sources of the frustrations associated with the previous programme.
- Provide training and continuous mentoring for staff of implementing organizations tasked with providing project input and satisfying administrative requirements.
- Develop transparent administrative arrangements which are well vetted, and in view of the performance of implementing partners in previous projects (and NGO and RECs oversight systems that are sometimes more rigid – and most receive other sources of EU and World Bank, or other major donor funding) and agree to stick to these, without adding in extra requirements and excessive scrutiny after a project has been approved, extenuating the partners.

Recommendation Two - Monitoring and Evaluation (Corresponds to Conclusion #2 on Effectiveness and Conclusion #3 on Efficiency)

Lesson: When baseline data and outcome data is attached to output indicators, a better idea of the progress toward results can be assessed and activities adjusted for greater success.

Action Statement: The M&E system for the Programme is limited to quantitative output indicators which reveal little about outcomes and should be strengthened in order to provide comprehensive outcome analyses (outside of piecemeal output indicators and anecdotal accounts of outcomes and results) that can efficiently steer the interventions and be effectively assessed during evaluations.

Recommendation: *Work toward strengthening the M&E system with baseline data and both qualitative and quantitative indicators so that a comprehensive outcome analysis can be developed for the components and activities periodically and at the point of mid-term and final evaluations.*

Operational implications

For the present programme (approximately 2 years remaining):

- Enrich the M&E data to detect reasons why the 3 results areas are behind in meeting the targets.
- Ensure that the projects starting late in the programme are effectively monitored and can produce the intended results, or ensure extensions into the next programme.
- Schedule the end-term evaluation on a timely basis.
- Gather output and outcome data for the end-term evaluation to consider.
- Work toward strengthening the results frameworks and adding in qualitative indicators.

For the future programme:

- Ensure that M&E evolves in the next phase so that it is strongly designed, through identification or collection of baseline indicators, setting measurable quantitative and qualitative process indicators and reaching toward identifying outcomes through sampling.
- Develop a master results framework that is complemented by regional and country based results matrices.
- Early warning, disaster risk financing, and DRR in recovery indicators should be strengthened to allow stronger steering and achievement of the quantitative and qualitative goals.
- Seek evidence of probable and actual impact as a routine part of the M&E by collecting before and after data.
- Conduct periodic Rapid Assessments of Capacity (RAC)
- Conduct the mid-term evaluation at the actual mid-term point.

Recommendation Three (Corresponds to Conclusion #9 Local Coordination and Conclusion #10 Coordination Among the EU and the Programme)

Lesson: Participation in coordination groups and platforms which span relief, recovery to development benefit the programme as well as the ACP-EU partners.

Lesson: Fully including EU Delegation staff in programme communications can contribute to outcomes for DRR and CCA by helping to link programme projects to other EU and World Bank efforts.

Action Statement: Communication among the Programme and the EU requires immediate remedial measures to bridge the gaps that have existed and have affected efficiency in coordination among the programmes and projects.

Recommendation: *Take immediate action to reach out to the EUDs and ECHO with programme and project information that may be tied to other EU interventions and determine a regular means of communication between GFDRR, the ACP Secretariat and the EU in countries and regions.*

Operational implications

For the present programme (approximately 2 years remaining):

- Make the EUDs and ECHO part of the communications linkages immediately so they can link ACP-EU projects with their other projects.
- Bring in the EUDs and ECHO through improved coordination and communications mechanisms such as making it part of GFDRR and EU job descriptions to brief each other and invite each other to meetings and if possible, making joint visits to project sites and to meet jointly with stakeholders, indicating to others that a partnership does exist.
- The programme reports and communications should be shared with the EUDs, such as the products of the projects, e.g. MoSSaiC publications.
- **Assess the role of the ACP Secretariat and clarify it to stakeholders.**

For the future programme:

- Agree on the means of coordination in countries and regions between World Bank GFDRR and EU/EUD staff and ECHO and monitor the agreed procedures.

Recommendation Four (corresponds to Conclusion #1 on Relevance, and Conclusion #5 on Coherence)

Lesson: Programme design strongly invested in global strategies needs to be coherent with national and regional capacities or manifestation of the strategic objectives may be limited in reality.

Lesson: When coherence with national and regional DRR and CCA priorities is secured, projects and programmes are better able to exemplify the EU global development policy objectives.

Action Statement: At the planning stage, assessment of relative needs and alignment with priorities need to be agreed regionally and nationally in order to form a strong basis for assignment of resources, inculcation of principles of equity and targeting the most vulnerable, and allow the programme to keep effective pace (coherence) with (and not outpace) realities in the countries.

Recommendation: *Base targeting of programme resources on assessments of DRR and CCA needs and operational realities in the countries and regions, including the relevant strategies and the potential to manifest them.*

Operational implications

For the present programme (approximately 2 years remaining):

- If funding remains to be allocated or through currently supported channels (likely through the RECs): support efforts to bring national DRR and CCA systems into alignment which are lagging behind in capacity compared to global and/or regional standards, for example, but not limited to: DRR plans/strategies that have not yet been updated to reflect the Sendai framework dovetailing DRR and CCA; countries with no approved DRR legislation (e.g. Zimbabwe) and weak support for or lack of designated/functioning NDMOs (e.g. Zimbabwe) This may be promoted or implemented through advice and support from regional organizations such as SADC or through South South sharing and exchange of experts.
- Promote reporting on the remaining projects to contain language on equity, in regard to gender and marginalized people, and vulnerability, noting the numbers of the most vulnerable people benefitting from project inputs and including those who are marginalized and may be out of the range of DRR and CCA programmes.

For the future programme:

- Conduct capacity and policy assessments prior to proposal identification/development but not disqualifying those who do not meet the previously set criteria in the second call, rather seizing the opportunity to fill the gaps.

- Allocate resources according to needs and investment potential which are well substantiated in programme documents.
- Consider increasing needs-based interventions at country level which aim for outcomes benefitting and building capacity of districts and communities for preparedness and recovery based on successful pilots in EDF 10.
- Require through selection of projects, evidence that connections are made between upstream and downstream interventions (strategic, policy, financing versus district and community based interventions) and ensuring that project identification criteria are based on country or regional identified needs.
- Devote resources to national DRR plans/strategies that have not yet been updated to reflect the new Sendai framework, countries with no DRR legislation (e.g. Zimbabwe), and where CCA and DRR have not been integrated and where NDMOs need capacity support.
- Require through the selection of proposals/ projects to be funded that relevant policies are in place or are being targeted with advocacy through the project, particularly those which affect the planned outcomes and replication of pilot initiatives.
- Require through the selection of proposals/ projects to be funded substantiation of targeting and inclusion principles, to contain language on equity, in regard to gender and marginalized people, and vulnerability, noting the numbers of the most vulnerable people benefitting from project inputs, including how they will be reached, and including identification of those who may be out of the range of DRR and CCA programmes.
- At the country level, grants could be more purposefully designed to build on and reinforce other DRR and CCA interventions, ensuring they reinforce the link with to other DRR and CCA initiatives and programmes in order to increase the potential for contributing to results at-scale.

Recommendation Five (corresponds to Conclusion #3 on Efficiency, Conclusion #5 on Coherence, Conclusion #7 on Value Added, Conclusion #8 on Visibility and Conclusion #10 on Coordination)

Lesson: When programmes are designed and implemented by multiple partners each offering technical strengths and experience - programme efficiency, coherence, and coordination can be enhanced by realizing the value added of each partner.

Action Statement: The ACP Secretariat role as a political, administrative and technical partner through the course of implementation of the programme requires support from the EU, the GFDRR and the Secretariat itself to promote its greater engagement in monitoring the programme and promoting sustainability, using its knowledge of the ACP Group.

Recommendation: *Operationalization of the programme should better reflect the ACP Secretariat role as a political, administrative and technical partner including supporting its role in monitoring and increasing its visibility in the ACP in relation to programme goals.*

Operational implications

For the present programme (approximately 2 years remaining):

- Involve the ACP Secretariat in Calls for Proposals and Fast Track response mechanisms and ensure that the ACP Secretariat response is timely for these exercises.
- On behalf of the programme, the ACP Secretariat should internally determine procedures for enacting a more efficient response to the Steering Committee matters and regarding the project proposals (i.e. procedures to be implemented for the remainder of the current programme and with agreement on clear procedures and deadlines respected in the follow-on programme).
- The Steering Committee including the ACP Secretariat should discuss means to augment the ACP Secretariat involvement in the programme which would be in line with the capacity of the ACP Secretariat or proposing an increase in the ACP-Secretariat capacity to the Secretariat which focuses on the ACP-EU programme.
- Strengthen engagement between the GFDRR and the ACP Secretariat at political and technical levels

- Seek ways to increase the ACP visibility in the countries and regions, through devoting budget lines to allow the ACP Representatives to visit the project sites and attend the forums relevant to the programme.
- Support the ACP Secretariat to participate in technical and monitoring activities in terms of using its expertise in capacity building and promoting sustainability and drawing on its knowledge of regional organizations.

For the future programme:

- Strengthen the intra-ACP component of the programme in the design of the 11th EDF.
- Continue the activities mentioned above.

Recommendation Six - Regional Capacity for DRR and CCA (Corresponds to Conclusion #1 Relevance, Conclusion #2 Effectiveness, Conclusion #4 Sustainability, and Conclusion #5 Coherence)

Lesson: Without adequate support, the convening power and advisory services of the regional organizations reduces their effectiveness (and usage of their knowledge of Member States needs) in promoting transboundary DRR agreements and integration of DRR and CCA.

Lesson: The DRR and CCA gains that can be made through regional organizations are best built through continuous support for development of their capacities to manage and administrate programmes.

Action Statement: The support for regional organizations needs to be consistent in view of their needs for development of DRR, CCA and management capacities and avoid stops and starts that undermine their progress and continuity.

Recommendation: *Provide and advocate for consistent and adequate support for regional economic communities and regional bodies to build their capacity to integrate DRR and CCA in the region.*

Operational implications

For the present programme (approximately 2 years remaining):

- Facilitate the receipt and efficient usage of Result 2 funding by the Africa RECs.
- Conduct an assessment (such as a survey) for regional organizations (ACP RECs) to prioritize their capacity development needs in regard to integrating DRR and CCA in the region.
- Support the regional organizations to strengthen their own and member state capacity to efficiently and effectively carry out planning, administration and evaluation of projects and programmes (this may include strategy development, project planning, development of TORs and work plans and reporting).
- Support development of regional strategies under Result 2 when they have not been fully developed or approved by the Member States (e.g. SADC for transboundary environmental DRR)
- Revisit the concept behind the fledgling DiMSUR regional organization and assess the confidence of the Member states and SADC to continue with its development.
- Further support should be given through regional organizations to provide advice and encourage political will to strengthen national DRR plans/strategies that have not yet been updated to reflect the new Sendai framework and to develop and approve national DRR strategies in countries with no DRR plans in place (e.g. Zimbabwe).
- Support development and capacity of NDMOs particularly where they are not fully capacitated (e.g. Zimbabwe).
- Support RECs to contribute to district community projects and share concepts in the region.

For the future programme:

- Continue to support the regional organizations specifically for DRR and CCA and develop their permanent staffing and expertise.
- Ensure funding continuity to support the RECs DRR Unit functioning and empowerment.
- Continue efforts on activities mentioned above for the present programme.

Recommendation Seven – Disaster risk assessment tools (Corresponds to Conclusion #2 on Effectiveness and Conclusion #4 Sustainability)

Action Statement: It is important to assess the degree of demand for and ultimate utility of complex risk assessment tools and databases among all users and supervisors before their introduction in order to enhance sustainable incorporation of the tools into daily practice or their routine usage.

Recommendation: *Maximize usage of well-developed and disseminated disaster risk assessment tools and avoid atrophy through ensuring stakeholder demand and maintenance.*

Operational implications

For the present programme (approximately 2 years remaining):

- Follow up on use of risk assessment tools through a comprehensive follow-up survey to collect data on usage and to collect lessons for next programme and to assess the soundness of the investment.

For the future programme:

- Devote more attention to ensuring that the tools developed are tailored to country needs and could be easily transferred into existing government models and tools.
- Base the introduction of new and complex tools on the demand in the countries with written acknowledgment of the utilization requirements.
- Ensure consistent support to update hazard maps, such as for changing flood (channels).
- Engage supervisors in capacity building for new tools to ensure that their use will be promoted by management.

Recommendation Eight - District and Community DRR Planning and Risk Assessment (Corresponds to Conclusion # 2 on Effectiveness and Conclusion #4 on Sustainability)

Lesson: Stronger outcomes can be realized when district to community projects benefit from management by consortiums, are overseen by steering committees, and iterative consultations take place among stakeholders.

Lesson: People and groups most vulnerable to disasters benefit and are empowered when effective projects are replicated and when support for their replication is ensured with needed resources.

Action statement: Policies and budgets need to be put into place or assured in order to promote the support for needed mitigation inputs that are identified by communities through risk assessments.

Action statement: Visibility of the successful projects should be increased in order to further develop the tools created and to gain opportunities and funding for their replication.

Recommendation: *Increase visibility throughout the ACP and beyond of the ACP-EU NDRR supported community preparedness projects to link them to sources of funding for mitigation inputs and advocacy to promote their replication.*

Operational implications

For the present programme (approximately 2 years remaining):

- Increase visibility of the projects and link them to sources of funding (for example, US\$1.2M from the World Bank for strengthening school risk assessment in the Dominican Republic).
- Collect lessons from the rich experience of NGOs and other partners in the district community risk assessment and DRR CCA planning projects and showcase to a broad audience.
- Support sharing of project experiences and tools via south south channels.

For the future programme:

- Use lessons and good practices to identify strong district community projects in the next programme and to guide them.
- Effectively use the leveraging power of NGOs to match or contribute to project funds from their own or other donor funds to increase the scope of the interventions.
- Include advocacy mechanisms in the design for strengthening government funding for mitigation measures and supporting policies.
- Seek designs that include one or all of the following: consortiums to manage the project, such as combinations of government, NGOs, UN or academic institutions.
- Promote projects implemented through organizations with national and European networks, such as the Red Crosses with partner agencies in the EU.
- Promote iterative consultations to share progress with stakeholders and gain agreement on jointly developed tools and processes.
- Urge the use of steering committees made up for example of representatives from ministries relevant to DRR and CCA and involve them in capacity building events.
- Ensure that agreements with governments include the identification of the high-risk areas and populations as per risk maps.
- Ensure that policies and budgets are in place to address the risks identified such as mitigation measures identified by communities and maintenance problems identified at schools.
- Continue to promote GFDRR and EUD staff to provide advice and support and visit project sites.

Recommendation Nine - Post Disaster Needs Assessment (PDNA) (responds to Conclusion #2 Effectiveness and Conclusion #4 Sustainability)

Lesson: If PDNA execution is not timed correctly, overlap with functions needed for emergency response are likely to reduce availability of the key government and other stakeholders who will participate in the PDNA.

Lesson: The quality and availability of baseline data and assessment tools are major factors in the ultimate quality of the of the PDNA.

Action Statement: Connections between the PDNA, DRF and recovery financing opportunities need to be fully exploited in order to optimize the gains for Build Back Better and future DRR.

Recommendation: *Continue to build technical capacity in the application of PDNA methodology and fortify connections to effective and efficient recovery planning, including the means to access disaster risk financing opportunities and to incorporate DRR.*

Operational implications

For the present programme:

- Develop and pursue a continuing strategy to engage government authorities and planners to translate PDNA outputs into resilient recovery frameworks and link it to national development objectives.
- Strengthen ex-ante PDNA trainings and DRF trainings and incorporate the linkages with disaster risk financing tools and opportunities.
- Ensure that World Bank TTL as well other stakeholders such as the EU and other donors and UN agencies, are well informed on the opportunity offered by the programme to support DRR and BBB related recovery interventions. This will allow to strengthen support for integrating DRR and BBB in recovery interventions.
- Improve capacity-building modalities by increasing Training of Trainers activities and mentoring, especially concerning PDNAs and Disaster recovery frameworks.
- Repeat PDNA trainings for stakeholders who participated in the early stages of the Programme.
- Translate PDNA and DRF manuals into local languages to increase access.
- Provide more support to improve baseline data collection and disaster assessment tools (also in M&E).

For the future programme:

- Continue support to PDNA-related interventions in the manner described above.

Recommendation Ten – Value Added (Corresponds to Conclusion #3 on Efficiency, Conclusion #5 on Coherence and Conclusion #7 on Value Added)

Lesson: When strong guidance and facilitation is received from GFDRR, project complexities were more easily navigated.

Lesson: When global clout is connected to nurturing regional and country-based activities and partnerships, the value added that each brings to DRR and CCA is epitomized.

Action Statement: Benefits from GFDRR management are substantial and the all ACP approach facilitates experience and information sharing, but alternatives such as ECHO partial management should be weighed and measured in terms of the type of working relationships and partnerships that are desired with implementing partners.

Recommendation: *Weigh and measure the value of partial ECHO or collaborative EUD management with GFDRR to further the objectives of linking recovery to development in order to promote DRR and CCA in the ACP.*

Operational implications

For the present programme:

- Improve the GFDRR value to the regional organizations that warrants the large overhead from the Result 2 (and division of funds for SADC reducing their direct implementation amount), or alternatively find different management arrangements.

For the future programme:

- Continue to improve the GFDRR and the ACP-EU value to the regional organizations and national implementing partners.
- Use ECHO more frequently as a project manager in coordination with the EUD or the GFDRR as they are a pioneer in linking relief and recovery to development.
- Avoid funding gaps, long delays in project start-ups and delays on feedback to reporting (also in Efficiency recommendation)
- Promote projects implemented through organizations with national and European networks, such as the Red Crosses with partner agencies in the EU, iterative consultations, steering committees (also in the District-community project recommendation).

Recommendation Eleven - Visibility (Corresponds to Conclusion #8 on Visibility)

Lesson: Agreed standards among partners on communication and visibility help to promote visible means of identification of the partners on products that were jointly developed.

Action Statement: The projects need greater visibility among stakeholders to showcase challenges, good practices and outcomes as well as tools, methodologies and outputs.

Recommendation: *Improve visibility of the ACP-EU NDRR programme and its project outputs and outcomes through following the EU communications strategy and demonstrating evidence of benefits through discussions in coordination groups and through region to region sharing.*

Operational implications

For the present programme:

- Ensure that EUD staff receive briefs on projects before and after approval (also in Coordination).

- Update the current communication plan taking into account the new EU visibility guidelines released 1st January 2018.
- Work through coordination groups to disseminate information on projects and discussion on outcomes and benefits to the vulnerable groups.
- Share the tools and methodologies of the project through intra and inter-regional sharing.
- Ensure that materials produced are branded and issue reminders to project implementing agencies.
- Promote further conference where intra-ACP knowledge exchange are promoted, such as the [ACP-EU Focus Day](#) organized in June 2017 in Brussels.

For the future programme:

- Monitor agreed visibility arrangements

ANNEXES (Case Studies in a Separate document)
