

Institutional donor progress with mainstreaming disaster risk reduction

A Tearfund research project in collaboration with UN/ISDR



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List of abbreviations

| | |
|----------|--|
| ACP | African, Caribbean and Pacific |
| BCPR | Bureau for Crisis Prevention and Recovery |
| CAS | Country Assistance Strategy |
| CIDA | Canadian International Development Agency |
| Danida | Danish International Development Agency |
| DFID | Department for International Development |
| DG DEV | Directorate General for Development |
| DG RELEX | Directorate General for External Relations |
| DIPECHO | Disaster Preparedness European Commission Humanitarian Office |
| DRR | Disaster risk reduction |
| EC | European Commission |
| ECHO | European Commission Humanitarian Office |
| GFDRR | Global Facility for Disaster Reduction and Recovery |
| IDB | Inter-American Development Bank |
| ISDR | International Strategy for Disaster Reduction |
| IFRC | International Federation of Red Cross and Red Crescent Societies |
| MDG | Millennium Development Goal |
| MFA | Ministry of Foreign Affairs |
| PCM | Project cycle management |
| PRSP | Poverty Reduction Strategy Paper |
| SDC | Swiss Agency for Development and Cooperation |
| Sida | Swedish International Development Cooperation Agency |
| UNDAF | United National Development Assistance Framework |
| UNDP | United Nations Development Programme |
| UNICEF | United Nations Children's Fund |
| UNISDR | United Nations International Strategy for Disaster Reduction |

Preface



Salvano Briceño,
Director, United
Nations secretariat
of the International
Strategy for Disaster
Reduction

As we approach the end of the first quarter of the period of 10 years of the *Hyogo Framework for Action 2005–2015: Building the Resilience of Nations and Communities to Disasters* (HFA), following its adoption by 168 Governments at the World Conference on Disaster Reduction, in Japan, January 2005, the UN/ISDR secretariat is pleased to report encouraging progress.

Whilst it is recognised that much work remains to be done to see the Priorities for Action outlined in the HFA realised, there is ample evidence that this framework is proving successful in guiding States, organisations, and other actors at all levels, design their approaches to disaster risk reduction.

As States embark upon the complex process of integrating disaster risk reduction into sustainable development policies and planning, countless institutions, mechanisms and capacities are seeing their resilience to hazards developed and strengthened.

With the responsibility for the achievement of the goal of the HFA of a substantial reduction in disaster losses by 2015 (in lives, and in the social, economic, and environmental assets of communities and countries) resting primarily with the States themselves, substantial effort is being dedicated in this initial phase to ensuring that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation.

The UN/ISDR secretariat welcomes and applauds the efforts of those countries that have succeeded in developing policy, legislative and institutional frameworks for disaster risk reduction, many of which have been able to do so with little encouragement and support from external actors.

However, it is recognised that despite the unquestioned commitment of many States to the implementation of the HFA, a significant number of developing countries present less developed capacities for institutional and policy reform. Such countries often require additional assistance, to a greater or lesser degree external in nature, to advance constructively.

So it is, that in addition to providing guidance to Governments seeking to reinforce domestic resilience to natural hazards, the HFA 2005–2015 is proving equally valuable in assisting donating States and organisations develop policies of bi-lateral or multi-lateral external cooperation that incorporate disaster risk reduction cross-cutting tenets.

In assisting Tearfund in the production of this report and its findings, the UN/ISDR secretariat has been encouraged to observe the progress made by many key bi-lateral and multi-lateral donors in articulating their strategies on disaster risk reduction, whilst recognising that continued and additional commitment and investment will be required to translate policy intention into multi-disciplinary operational reality in recipient countries.

Indeed the HFA's importance in helping shape donor policy is given additional legitimacy in light of the *Paris Declaration on Aid Effectiveness* in March 2005, the *Rome Declaration on Harmonisation* in February 2003, as well as the principles ensuing from the *Good Humanitarian Donorship* initiative launched in Stockholm in 2003. The framework

provides a practical tool for the realisation of a number of the principles enshrined in these international commitments.

The UN/ISDR secretariat would therefore call upon bi-lateral and multi-lateral donors to perpetuate the momentum generated by recent policy development successes, by according appropriate strategic and financial support to operationalising such policies at global, regional and particularly at national level.

In promoting the multi-sectoral, multi-disciplinary nature of disaster risk reduction, the UN/ISDR secretariat would also endorse additional effort to seek the integration of disaster risk reduction within all instruments of external cooperation, with the explicit intention to develop and track progress through specific and measurable indicators.

A handwritten signature in black ink, appearing to read 'E. von', with a stylized flourish at the end.

Executive summary

In 2003, Tearfund conducted research into the policy and practice of nine institutional donors on disaster risk reduction (DRR). This research concluded that DRR was not being sufficiently integrated (or mainstreamed) into relief and development planning and programming. In light of the agreements made by governments at the World Conference on Disaster Reduction in 2005, and recent major catastrophes, Tearfund decided that it was timely and necessary to review international progress with mainstreaming DRR.

In collaboration with UN/ISDR, Tearfund asked 19 donors to assess **for themselves** what stage they have reached with mainstreaming DRR. These self-assessments (reviews) were based on a Mainstreaming Tool developed by Tearfund. The tool identifies six organisational 'areas' crucial to mainstreaming: policy, strategy, country programming, project cycle management, external relations and institutional capacity. It also identifies four 'levels' of mainstreaming: Level 1 'Little or no progress', Level 2 'Awareness of needs', Level 3 'Development of solutions' and Level 4 'Full integration'.

In total, 11 organisations submitted reviews: Canadian government (CIDA), Danish government (Danida), European Commission (ECHO, DG DEV, DG RELEX), French government (Ministère des Affaires Etrangères, (MFA)), Inter-American Development Bank, Norwegian government (MFA), Swedish government (Sida), Swiss government (SDC), UK government (DFID), UNDP (BCPR) and the World Bank (HRM). Tearfund also recently assessed its progress with mainstreaming and included the findings in Table 2. All the reviews, as written by these donor organisations, are analysed in this report and included in the Appendix.

Key issues raised by the 11 participating organisations have been highlighted in this report, as well as examples of positive donor initiatives. According to the self-assessments, it appears that the average 'level' of DRR mainstreaming relates to the 'Development of solutions' stage (Level 3). The need for improved DRR is now generally recognised and accepted, but mainstreaming in practice is often still elusive.

Eight of the 11 organisations participated in Tearfund's original research into donor policy on DRR in 2003. Within these eight organisations, to a greater or lesser extent, DRR now has a higher level of priority than in 2003. This of course is encouraging. Less encouraging, however, is the fact that attainment of Level 4 targets is still impeded by barriers similar to those identified in the research of four years ago.

In their reviews, donor organisations highlighted many challenges in mainstreaming DRR, and proposed a number of methods for overcoming them. These are summarised in Table 1 overleaf.

The self-assessment methodologies adopted by the participating organisations were generally based on an approach that would require a minimal amount of time and effort. Such an approach does not provide the potential benefits that could be achieved by undertaking a thorough and comprehensive self-assessment. Therefore Tearfund recommends that the 11 participating donors now commit to conducting thorough assessments where these have not been done, and to developing a plan for measuring progress over time. We also urge other donor and development organisations to assess their progress with mainstreaming DRR as a matter of urgency.

**Table 1:
Challenges and
solutions**

| Challenge | Proposed solutions |
|--|--|
| Priorities dictated by others | <ul style="list-style-type: none"> • Identify DRR champions at high levels • Establish DRR focal points in-region / country • Demonstrate the effectiveness of integrating DRR with development |
| Personnel (lack of knowledge and awareness) | <ul style="list-style-type: none"> • Focus on capacity building, training and awareness raising • Tools, checklists and guidelines should be accompanied by a dissemination and training 'programme' • Root DRR in an organisation, not individuals |
| Mainstreaming fatigue | <ul style="list-style-type: none"> • Build DRR into work already underway in other relevant areas • Package and present the DRR mainstreaming agenda carefully |
| Relief – development divide (DRR tends to be humanitarian-led) | <ul style="list-style-type: none"> • Improve the general levels of cooperation between humanitarian assistance and development departments • Make resources available to increase staff understanding of disasters as a development concern |
| Coordination (among multiple stakeholders) | <ul style="list-style-type: none"> • Allocate time and resources for those facilitating the integration of DRR • Utilise in-region / country DRR focal points |

Tearfund's three key recommendations for donor organisations are:

- 1 Undertake a comprehensive review of progress with mainstreaming, using the Mainstreaming Tool or similar aid.** Assessments should be undertaken routinely and regularly so that progress – or lack of it – can be monitored.
- 2 Establish a coalition on DRR.** The first session of the Global Platform for Disaster Risk Reduction (Geneva, 5-7 June 2007) is a natural starting point for such a coalition.
- 3 Focus on addressing the key barriers to mainstreaming** (as highlighted by the participating organisations).

The report concludes that failure to invest resources in addressing the challenges to mainstreaming DRR is unacceptable, given the high profile of recent disasters, their increasing impact on the world's poorest people and the escalating threat of global climate change. The individuals and units 'championing' the cause of DRR within organisations must be given more high-level support to increase and maximise the impact of their efforts.

1 Introduction

Tearfund believes it is crucial that all levels of society and government make a greater commitment to disaster prevention. Pressures such as population expansion, urbanisation and global climate change are making the world increasingly unsafe, and it is imperative that we increase disaster risk reduction measures to avert, or reduce the scale of, future disasters. In 2003, this prompted Tearfund to analyse how institutional donors were responding to the issue of disaster risk reduction (DRR).¹ Tearfund interviewed nine key institutional donor organisations to determine the level of priority they gave to DRR within their relief and development programming, and the reasons behind this level of prioritisation. The participating organisations were:

- Canadian government (CIDA)
- European Union (ECHO, DIPECHO, DG RELEX, DG Environment)
- Inter-American Development Bank (Sustainable Development Department)
- Swedish government (Sida)
- Swiss government (SDC)
- UK government (DFID)
- UN (UNDP and UNICEF)
- US government (Office of Foreign Disaster Assistance)
- World Bank (Disaster Management Facility)²

Views were also sought from the ProVention Consortium, UN/ISDR, IFRC, the Centre for Research on the Epidemiology of Disasters (CRED), NGOs and independent consultants.

The research revealed that disaster risk reduction was given a relatively low priority within donors' relief and development plans, processes and practical implementation. Explanations for this low priority included:

- A lack of knowledge and understanding of the nature of risk reduction
- The cultural divide between 'relief' and 'development' sectors, resulting in risk reduction not being fully 'owned' by either
- Risk reduction 'competing' with other pressing development needs.

These were barriers to mainstreaming disaster risk reduction within relief and development programming.

Following the research, Tearfund, in collaboration with Professor Ian Davis (Cranfield University) and in consultation with Dr John Twigg (Benfield Hazard Research Centre), developed a **Mainstreaming Tool** of performance targets and indicators. This tool (*Mainstreaming disaster risk reduction: A tool for development organisations*, 2005) was

1 Tearfund (2003) *Natural disaster risk reduction: The policy and practice of selected institutional donors*. <http://tilz.tearfund.org/Research/Climate+change+and+disasters+policy>

2 DMF has now been replaced by a global partnership – the Global Facility for Disaster Reduction and Recovery (GFDRR) – which is housed at the World Bank

intended to help development organisations assess, measure and monitor their progress with mainstreaming disaster risk reduction. This tool has been disseminated widely among donor and other organisations.

Since 2003, there has been a greater degree of international interest in, and focus on, disaster risk reduction. In part this has been inspired by the World Conference on Disaster Reduction and the *Hyogo Framework for Action 2005- 2015: Building the resilience of nations and communities to disasters* (Japan 2005). However, it is also in recognition of the devastation caused by recent major catastrophes, including: the Indian Ocean tsunami (December 2004); the extreme 2004-2005 hurricane seasons in the Caribbean, including Hurricane Katrina (August 2005); and the South Asia earthquake (Kashmir, October 2005). Climate change is also highlighting the importance of improved disaster risk reduction, and the key role that DRR has in adaptation processes and interventions.

In light of these events, Tearfund decided it was timely to undertake a detailed review of institutional donor progress with mainstreaming DRR. We asked donor organisations to **assess their own progress** on DRR, using the Mainstreaming Tool. (Tearfund undertook self-assessments in 2005 and late 2006; the result of the latter is included in Table 2).

2 Research methodology

Initially only the donor organisations that cooperated in Tearfund's 2003 research were invited to participate in this study. However, some of these organisations recommended that others also be included. Therefore, in 2006, Tearfund invited a total of 19 donor organisations to participate. Of these, the following 11 have assessed their progress with mainstreaming and submitted their findings as presented in this report:

- Canadian government (CIDA)*
- Danish government (Danida)*
- European Commission (ECHO, DG DEV, DG RELEX)*
- French government (Ministère des Affaires Etrangères)
- Inter-American Development Bank*
- Norwegian government (MFA)
- Swedish government (Sida)
- Swiss government (SDC)*
- UK government (DFID)*
- UNDP (BCPR)
- World Bank (HRM)*

Tearfund and UN/ISDR have been collaborating on this initiative over recent months, to encourage as many donor organisations as possible to review their progress with DRR. Tearfund, with UN/ISDR support, presented an interim report based on initial findings³ in Geneva at an ISDR Support Group meeting⁴ (7 February 2007) and at a Good Humanitarian Donorship meeting⁵ (26 March 2007). In making these presentations, we sought to encourage others to undertake self-assessments and submit them for this study ahead of the Global Platform for Disaster Risk Reduction (5–7 June 2007).

Organisations were asked to assess for themselves what 'level of progress' they had reached with mainstreaming DRR. The assessments were all⁶ based on the use of a framework which Tearfund developed as a simplified summary of the Mainstreaming Tool – *Framework for Assessing the Level of Disaster Risk Reduction Mainstreaming within a Development Organisation*. The framework helped to ensure that the review process was not seen as burdensome.

Organisations used the framework to assess their position / progress in six areas crucial to the process of mainstreaming. Key questions were attached to each of these six areas, as follows:

-
- 3 Organisations marked with an asterisk (*) were the first to submit their reviews. These were referenced in the interim report to encourage the involvement of others
- 4 Chaired by the Swiss government
- 5 Chaired by the Norwegian government
- 6 With the exception of the European Commission

- 1 **Policy** Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies?
- 2 **Strategy** How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes?
- 3 **Country programming**⁷ To what extent are hazards, vulnerabilities, capacities and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes? How is DRR applied within Direct Budgetary Support mechanisms?
- 4 **Project cycle management** How is DRR integrated into project planning, implementation, evaluation and re-design processes?
- 5 **External relations** How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders?
- 6 **Institutional capacity** In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas?

For each of the six areas, respondents were asked to indicate their level of progress with mainstreaming, ranging from Level 1 to Level 4:

- | | |
|--|--|
| Level 1 'Little or no progress' | The organisation undertakes DRR in an ad hoc manner, with little or no awareness of the importance of adopting a systematic approach to reducing disaster risks within its relief and development processes. |
| Level 2 'Awareness of needs' | The organisation has a growing level of awareness and understanding of the value and requirements of mainstreaming, and recognises the need for action. |
| Level 3 'Development of solutions' | The organisation is developing plans and tools to address the requirements of integrating risk reduction into its relief and development processes. |
| Level 4 'Full integration' | The organisation places high importance on reducing disaster with sustainable action at multiple levels and within multiple sectors, and there is a comprehensive demonstration of practice. |

7 Referred to as 'Geographical Planning' in the Mainstreaming Tool

As well as determining the level of mainstreaming achieved across the six areas, participants were also asked to provide supplementary information in response to the following questions:

- 1 What evidence did you collect to support this assessment?
(later amended to: What methodology did you use to reach this conclusion?)

Tearfund suggested that qualitative and quantitative data could be collected through:

- Semi-structured interviews with key staff
- Informal group meetings
- Questionnaires
- Analysing key documents such as Country Assistance Plans, strategies, project proposals, reports and reviews
- Analysing staff training and development

The way in which the individual reviews were undertaken was not prescribed by Tearfund but was decided by the participating organisations. The methodology adopted by an organisation could range from a fully participatory and comprehensive approach to a non-participatory and superficial method, with a range of other approaches in between.

Participatory /
Comprehensive

Tearfund emphasised that the review process in itself is likely to help achieve disaster risk reduction mainstreaming if it involves key stakeholders from across different sectors, departments, levels and countries, combined with a thorough analysis of documentation and experience. However, this approach, although potentially very beneficial in terms of creating an agreed baseline, is likely to be time-consuming.

Non-participatory /
Superficial

Alternatively, key individuals may be in a position to make an assessment of progress in isolation from the wider organisation. Whilst still useful, this approach is less robust and less able to generate ownership and commitment at an organisational level.

- 2 Why is the organisation at this level of mainstreaming?

In order to place the findings in context, organisations were provided with an opportunity to explain why they were at a particular level of mainstreaming.

- 3 What challenges (in this area) does the organisation encounter, and how could these be overcome?

By identifying the challenges hindering further progress towards Level 4 targets, the research is able to offer an analysis of the constraints which organisations face. Likewise possible solutions to address these challenges can be shared for further consideration and action.

**Table 2:
Summary of
findings**

 (For footnotes
see next page)

| | Level 1 'Little or no progress' | Level 2 'Awareness of needs' | Level 3 'Development of solutions' | Level 4 'Full integration' |
|---------------------------------|---|---|---|---|
| Policy | | <ul style="list-style-type: none"> • France: MFA⁹ • Norway: MFA¹⁰ | <ul style="list-style-type: none"> • Canada: CIDA¹¹ (Level 3 B) • Denmark: Danida • France: MFA • Norway: MFA • Sweden: Sida • Switzerland: SDC¹² • UK: DFID • UNDP¹³ • <i>Tearfund</i> • World Bank | <ul style="list-style-type: none"> • Switzerland: SDC (Humanitarian Aid Department) • IDB |
| Strategy | | <ul style="list-style-type: none"> • Canada: CIDA • France: MFA • Norway: MFA • Sweden: Sida¹⁴ | <ul style="list-style-type: none"> • Denmark: Danida • Switzerland: SDC • Sweden: Sida • UK: DFID • UNDP • <i>Tearfund</i> • World Bank | <ul style="list-style-type: none"> • Switzerland: SDC • IDB |
| Country programming | | <ul style="list-style-type: none"> • Canada: CIDA (Level 2 A/C) • France: MFA • Norway: MFA • Switzerland: SDC • UK: DFID • UNDP¹⁵ | <ul style="list-style-type: none"> • Denmark: Danida • France: MFA • Sweden: Sida • Switzerland: SDC • UNDP • <i>Tearfund</i> • World Bank¹⁶ | <ul style="list-style-type: none"> • Switzerland: SDC • IDB • UNDP (Level 4 A) • World Bank |
| Project Cycle Management | | <ul style="list-style-type: none"> • Canada: CIDA (Level 2 B) • France: MFA • UNDP | <ul style="list-style-type: none"> • Denmark: Danida • Norway: MFA • Sweden: Sida • Switzerland: SDC • UK: DFID • IDB • UNDP • <i>Tearfund</i> • World Bank | |
| External relations | | <ul style="list-style-type: none"> • Switzerland: SDC • Sweden: Sida | <ul style="list-style-type: none"> • Canada: CIDA (Level 3 B) • Denmark: Danida • Norway: MFA • UK: DFID • UNDP • World Bank¹⁷ | <ul style="list-style-type: none"> • Switzerland: SDC • IDB • UNDP • <i>Tearfund</i> • World Bank¹⁸ |
| Institutional capacity | Sweden: Sida ¹⁹ | <ul style="list-style-type: none"> • Canada: CIDA • France: MFA • Sweden: Sida • Switzerland: SDC | <ul style="list-style-type: none"> • Denmark: Danida • Norway: MFA • UK: DFID²⁰ • UNDP • IDB • <i>Tearfund</i> • World Bank | <ul style="list-style-type: none"> • Switzerland: SDC • UK: DFID • UNDP |

3 Results

3.1 Summary of findings

The individual reviews written and submitted by the donor organisations are included in the Appendix to this report, without any alteration by Tearfund. On the previous page is a table summarising which ‘level of progress’ each donor organisation currently considers itself to have achieved.⁸ (In some instances the **narrative** provided by the organisation may provide a better indicator of progress than the **level** selected [see 4.1.1]).

3.2 Key issues raised in donor reviews

This section highlights some of the key issues raised within the 11 reviews written and submitted by donor organisations. For more detail it is necessary to read the reviews themselves (see Appendix).

3.2.1 Policy

Two approaches to DRR policy have been identified: adopting a stand-alone policy, or incorporating DRR mainstreaming within the organisation’s existing policy structure.

-
- 8 The European Commission did not make use of the framework supplied by Tearfund. Instead departments wrote their own account of progress with mainstreaming DRR. Therefore the EC is not included in the table.
- 9 The French MFA considers itself to be between Levels 2 and 3 (therefore included in both levels)
- 10 The Norwegian MFA considers itself to be between Levels 2 and 3 (therefore included in both levels)
- 11 By using the Mainstreaming Tool as well as the summary framework supplied by Tearfund, CIDA has gone into additional layers of detail and consequently has determined sub-levels of mainstreaming (in this case sub-level B)
- 12 SDC considers different aspects of its work or departments to be at different levels. Consequently in some areas SDC is represented in up to three different levels.
- 13 UNDP considers this mainstreaming ‘area’ to encompass both policy and institutional arrangements – the two being closely linked in terms of implications on DRR mainstreaming activities
- 14 Sida considers itself to be between Levels 2 and 3 (therefore included in both levels)
- 15 UNDP considers different aspects of its work to fall in Levels 2, 3 and 4 (therefore included in all levels)
- 16 Mostly the World Bank considers itself to be Level 3, but in a few countries it considers itself to be Level 4 (therefore included in both levels)
- 17 World Bank country level
- 18 World Bank central level
- 19 Sida considers itself to be between Levels 1 and 2 (therefore included in both levels)
- 20 DFID considers itself to be between Levels 3 and 4 (therefore included in both levels)

There are several catalysts for achieving this. Humanitarian departments commonly push forward the process of policy development, often influenced by their involvement in recovery and reconstruction after a disaster. Indeed recent disasters, such as the Indian Ocean tsunami (2004) and the South Asia earthquake (Kashmir, 2005), are cited as events that have raised DRR's profile and inspired action. Regardless of humanitarian departments' prompting in this area, senior high-level support and commitment among those with influence is a prerequisite for policy development. The final issue highlighted as a catalyst over the last couple of years is an increased level of political awareness due to compelling evidence of the links between climate change and disaster risks.

The actual development of a DRR-related policy has to take into account that partner countries increasingly dictate priorities. Also, other issues being mainstreamed within an organisation can act as constraints.

An important consideration which donors raised is that, while a policy may be in place, it may not be implemented. A significant amount of awareness raising and training is required in this regard. It is important that participation has depth (e.g. down to programme manager level) as well as breadth across geographical and non-geographical departments.

3.2.2 Strategy

Many organisations are struggling to be less ad hoc and more strategic in their decision-making, even when working under a formal strategy document. Fragmented and small budgets, lack of experience and evaluations, and too few personnel are some examples of why more progress has not yet been made.

3.2.3 Country programming

DRR is often focused in places recently affected by disaster. But some comprehensive risk assessment tools also influence decision-making over the location of DRR. In some instances existing geographical planning tools may be redesigned to take account of hazards, risks and vulnerabilities; in other cases new tools have been developed. Despite the tools and techniques, programming has to be aligned with the priorities of the recipient country (as reflected in PRSPs, UNDAFs and CASs). This is one factor explaining why the integration of DRR into country programming varies significantly.

Another issue raised was the disparity in the degree of effort directed at supporting DRR at national and local levels (see Section 4.2.3).

3.2.4 Project Cycle Management (PCM)

Some organisations have adopted checklists to aid the integration of DRR within PCM processes. However, there can be a degree of resistance to such techniques, because they may be seen as burdensome and mechanical. Good practice guidelines are also promoted.

3.2.5 External relations

It is well recognised that effective DRR requires strong coordination with multiple stakeholders. This coordination may be internal within an organisation or external with partners and others, and will involve multiple disciplines and levels. It takes a substantial amount of time and resources to nurture these relationships.

3.2.6 Institutional capacity

In many cases donor organisations are struggling with a serious shortfall in DRR staff numbers and capacity. According to the information provided, the number of dedicated DRR personnel within an organisation at headquarters level varies from one third of a role to four or more staff. However, for some organisations, the placement of focal points in-country boosts this capacity. Resources to improve organisational knowledge and understanding can prove helpful in disseminating information.

3.2.7 Summary of challenges and methods for overcoming them

In their reviews, donor organisations highlighted many challenges in mainstreaming DRR, and proposed a number of methods for overcoming them. Tearfund faces some of the same challenges.

Priorities dictated by others

The level of priority, and hence the impetus and support given to DRR, can be dictated by a range of people and organisations. Internally the perspective of senior management is very influential, and externally partner organisations and countries need to be convinced of the importance of the subject. It is not possible to dictate how DRR is to be achieved. Changes in political parties, key staff positions and so forth compound the problem, which means the effort must be continual.

Proposed 'solutions' include:

- Identifying DRR champions at high levels and securing sustained political support. This will create a context conducive to further progress.
- Establishing DRR focal points in-region / country, to help champion the DRR agenda.
- Making the links between DRR and development effectiveness more explicit, such as in relation to the attainment of the MDGs. Qualitative and quantitative evidence of DRR effectiveness and of the benefits of mainstreaming are required. The regular use of monitoring and evaluation tools is key.

Personnel

The integration of DRR within relief and development activities is a complex issue which is compounded by a general lack of knowledge and awareness among staff.

Proposed 'solutions' include:

- Capacity building, training and awareness raising. (These are the fundamental bases from which it is hoped challenges will be overcome.)

- Tools, checklists and good practice guidelines. These need to be accompanied by a dissemination and training ‘programme’, to raise staff awareness of the resources available to them and how they should be used.
- Rooting DRR within an organisation and not in selected individuals, to avoid ‘institutional memory loss’.

Mainstreaming fatigue Some organisations are experiencing fatigue because of having to integrate numerous crosscutting issues. DRR is perceived as a further complication in an already complex environment where personnel are over-stretched with other commitments.

Proposed ‘solutions’ include:

- Building DRR into work already underway on areas such as governance, gender and the environment, to avoid adding yet another load on overburdened staff. Guidance notes on how this can be achieved could prove useful.
- Carefully considering the way in which the DRR mainstreaming agenda is packaged and presented to staff, to avoid resistance and negative attitudes.

Relief – development divide Despite the fact that DRR is relevant to several departments, it struggles to find a natural home, falling in the gap between relief and development processes. Its current status as being humanitarian-led means it is sidelined by disasters and focused on the recovery and reconstruction stage – instead of being an integral part of ‘normal’ development. It is therefore often associated more with ‘disaster management’ than ‘vulnerability reduction’.

Proposed ‘solutions’ include:

- Increasing the general level of cooperation between long-term development departments and humanitarian assistance units.
- Making resources available to increase organisational understanding of disasters as a development concern.

Coordination DRR involves multiple stakeholders and requires very significant levels of coordination, but there may not be mechanisms to support this.

Proposed ‘solutions’ include:

- Allocating time and resources to support those facilitating the integration of DRR within complex social / political environments.
- Utilising in-region / country DRR focal points to help facilitate the coordination process.

4 Tearfund's analysis of results

Tearfund is very grateful to all the organisations that took part in this research project. We appreciate their willingness to openly assess their progress with mainstreaming and allow the findings to be shared with others.

4.1 Review methodologies used

4.1.1 Self-assessment

As organisations have undertaken their own review knowing that this will be shared publicly, in some instances the **narrative** provided may provide a better indicator of progress than the **level** selected. While organisations are likely to want to portray their work in the best possible light, there is a benefit in being self-critical, honest and transparent. If all adhere to this principle, then real progress in tackling challenges to mainstreaming can be discussed and ideas for resolutions proposed.

Organisations were invited to undertake the review using the methodology of their choice for collecting evidence. Qualitative and quantitative data could be collected through:

- semi-structured interviews with key staff
- informal group meetings
- questionnaires
- analysing key documents such as Country Assistance Plans, strategies, project proposals, reports and reviews
- analysing staff training and development.

Whilst Tearfund initially highlighted the benefits of a thorough review involving full data collection as outlined above, most organisations undertook a simple exercise based on filling out the summary framework document provided. Relevant documentation and landmark events in the organisations' recent history were often cited, but interviews, meetings and questionnaires were not common practice.²¹ Later, for consistency's sake and to enable organisations to undertake self-assessments in time for the Global Platform for Disaster Risk Reduction in June 2007, Tearfund suggested a simpler review process. However, this should be seen as an initial baseline for future follow-up on a more comprehensive basis.

Tearfund's use of questionnaires

According to the Mainstreaming Tool, to reach Level 2 ('Awareness of needs') an organisation must have a *'growing level of awareness and understanding of the value and requirements of mainstreaming'*. To assess accurately whether an organisation has achieved Level 2, therefore, an assessment of the attitudes and perceptions of a wide range of employees is needed.

21 CIDA and Sida were exceptions in this regard

When Tearfund assessed its progress with mainstreaming in 2005 and late 2006, we undertook staff surveys using a questionnaire. A series of 17 statements were offered and respondents were asked to choose between strong agreement, agreement, disagreement, strong disagreement, or 'do not know'.

The statements were primarily designed to help determine whether Level 2 had been reached. For example, statements included *'Relief and development must be closely linked in order to reduce disaster risk'* (Policy, Level 2B), and *'Risk assessment should be carried out for all development projects in disaster-prone areas'* (Strategy, Level 2B). However, some statements were also included to assess whether Levels 3 and 4 had been attained, such as: *'Tearfund has a corporate commitment to mainstreaming DRR, evidenced by a policy paper or similar'* (Policy, Level 4A) and *'Tearfund has a supportive environment, including sufficient funding, for mainstreaming disaster risk reduction'* (Institutional Capacity, Level 4A).

Fifty staff members responded to the 2006 questionnaire. They played a variety of roles including working directly with Tearfund partner organisations, supporting field teams and programme development. The responses, once collated and analysed, enabled Tearfund to assess more accurately which level of progress on mainstreaming it had achieved.

4.1.2 Organisations with a range of levels

As can be seen in Table 2, some organisations have chosen to provide different results for different areas of their work, departments or countries. It is understandable that there are differences across an organisation, and so there is some merit in highlighting these. By analysing why these differences occur, progress may be made in bridging the gaps. However, segregating sectors, departments and so forth when considering progress on mainstreaming does perhaps demonstrate a fundamental problem: DRR is not accepted and adopted as an integral component of relief and development programming by the organisation as a whole.

4.2 Positive donor initiatives

This section highlights positive initiatives taken by donor organisations within each of the six mainstreaming areas. It is hoped that some of these experiences can be replicated more widely.

4.2.1 Policy

The reviews revealed that senior high-level support and commitment among those with influence is a prerequisite for policy development. SDC is able to report, *'The importance of DRR is being recognised by the SDC Board of Directors,'* and IDB states, *'The Board of Directors of the IDB has been very active in the issue of DRM (Disaster Risk Management), approving not only the policy but ... financing to facilitate its implementation.'*

4.2.2 Strategy

A lack of DRR-focused evaluations is one reason for slow progress with strategic decisions to integrate DRR within relief and development processes. This has been addressed in the World Bank, according to its review: *‘The recent World Bank IEG evaluation, “Hazards of Nature, Risks to Development”, recommended the development of a disaster-related strategy or action plan which, as well as supporting improved emergency response operations, should “make provisions to give more attention to natural hazards during the appraisal of investment projects generally, and specifically in the preparation of PRSPs, CASs, and other strategic documents.” A Strategic Framework for Disaster Risk Reduction has been approved by the Bank’s Board of Directors on February 27, 2007. This aims at assisting its client countries that suffer from or are at risk of high mortality and economic losses due to multiple natural hazards, to mainstream risk management in country development strategies for good governance, sustainable economic growth and poverty reduction.’*

4.2.3 Country programming

Prioritisation mechanisms help with decision-making, and several institutions have introduced assessment tools. For instance, IDB has financed a disaster risk indicators project for 14 countries, and the World Bank has identified countries of high risk through the *Global Disaster Risk Hotspots* initiative with the ProVention Consortium.

However, it has also been noted that DRR prioritisation is dependent upon the approval of various stakeholders, such as recipient countries. UNDP plays a pivotal role in addressing this: *‘The UN Common Country Assessments (UNCCA), and Development Assistance Frameworks (UNDAF) have been supported with guidance from BCPR on how to integrate risk assessments and risk considerations into country-wide planning frameworks, in support of national government efforts.’* SDC and Sida also address this issue. SDC organises *‘regional mainstreaming workshops (the first held in October 2006 in Armenia), to contribute to the promotion of DRR as an integral part of country strategies and programmes’*, and Sida states: *‘In the country strategy process Sida requires an Environmental policy brief to be carried out at an early stage which includes recommendations to the forthcoming strategy process on DRR issues. This is done by a helpdesk.’*

Another issue raised in this area was the disparity in the degree of effort directed at supporting DRR at national and local levels. However, DFID’s pilot risk assessments are initiated by headquarters, *‘with a view to developing the processes and skills to ensure that in future, risk assessments and the design of appropriate responses will be taken on by country offices. Training is currently being developed towards this end.’* It is feasible that this approach could help in the process of localising decision-making.

4.2.4 Project Cycle Management

Staff sometimes resent the use of checklists to aid DRR integration into project planning, implementation, evaluation and re-design processes. Going a step further, Danida is *‘developing a strategy and “tool box” to ensure that hazards, risks and vulnerabilities are addressed within project planning, implementation and evaluation according to the local context.’*

4.2.5 External relations

Respondents highlighted a number of interesting initiatives to help coordination among the wide array of stakeholders engaged in DRR and related issues. CIDA and DG ECHO both discuss attempts to encourage commitment to DRR, and DFID mentions plans to carry out a scoping study, to look at ways to work with the private sector. Some specific examples of donors' work in this area are provided by IDB and SDC. The IDB Disaster Policy Dialogue Forum (in existence since 2001) has provided a way to strengthen cooperation with the borrowing member countries. SDC established the ISDR Support Group in 2002. It also played an important role in the World Conference on Disaster Reduction (WCDR) process and the elaboration of the Hyogo Framework for Action (under the chairmanship of the Deputy Head of Swiss Humanitarian Aid). SDC also plays a key role in the current process of strengthening the ISDR system and is an active stakeholder in the ProVention Consortium. Regionally, SDC organised a DRR conference in Nicaragua in 2005.

4.2.6 Institutional capacity

For some organisations, such as CIDA, there is a '*strong corporate culture of mainstreaming cross-cutting priorities (gender equality and environmental sustainability) and incorporating horizontal initiatives across programming desks in other sectors (e.g. HIV/AIDS mainstreaming, avian influenza programming, climate change programming)*'. However, this is not necessarily common practice. To help create a culture conducive to mainstreaming, SDC has an internal P&P (Prevention and Preparedness) Steering Group that meets regularly. DFID has published a paper establishing DRR as a development concern to raise awareness across the organisation.²² And the Norwegian MFA suggests that an organisational reorganisation, such as at NORAD (Norwegian Agency for Development Cooperation), can be used to effect change favourable to mainstreaming DRR.

Several donor organisations have developed a network of focal points for DRR in-country to act as a go-between with headquarters. Organisations that have adopted or are considering adopting this approach include IDB, SDC and DFID.²³

Finally, UNDP has undertaken a number of measures to increase staff skills and knowledge. It states: '*The experience in most organisations has been to view Disaster Reduction and Recovery as a "technical" or "specialist" area of activity. This trend is perhaps intrinsic to the manner in which the "discipline" or/ and practice of DRR has evolved. UNDP is, however, aware of this tangent and seeks to address it by providing capacity development and training support to staff working on cross-practice areas (governance, environment, poverty reduction, conflict) so that DRR issues may be well understood and underpin development efforts across UNDP.*' The European Commission is also attempting to raise staff awareness. DG DEV has produced detailed Programming Guidelines for mainstreaming DRR in the

22 DFID (2004) *Disaster Risk Reduction: a development concern (A scoping study on links between disaster risk reduction, poverty and development)*. London: ODI

23 With a system in place whereby DRR advisors and focal points meet via video conference every two months

Commission's development cooperation with ACP countries, and made this document available for all Delegations and National/Regional Authorities.

4.3 The value of the review process

4.3.1 Using reviews to aid progress with mainstreaming

The results of the self-assessments undertaken by the participating organisations, as summarised in Table 2, can be misleading. If one or two people, with responsibility for the integration of DRR within an organisation, undertake the assessment themselves then they can present a biased view. However, if a more thorough analysis is undertaken that involves the participation of a wide cross-section of the organisation representing different levels of staff seniority, sectors, departments, countries and so on, the result is a more robust baseline. Moreover, the process of undertaking a review of this nature will aid the mainstreaming of DRR. It will help to raise awareness, build relationships and develop a shared understanding of problems and solutions. This is a firm foundation from which progress can be made in a collaborative effort.

Benchmarking
CIDA's methodology

As we advised (although it was by no means a requirement), some organisations²⁴ referred not only to the summary framework but also to the Mainstreaming Tool. This indicated a positive approach to the review process and a willingness to make a more detailed assessment. CIDA can be singled out in this regard. Most of the mainstreaming areas in CIDA's review refer to both a level and a sub-level (such as Level 3 B).²⁵ CIDA should also be commended for using semi-structured interviews and group meetings to determine its progress, as well as a comprehensive document review.

Such an approach does, however, lend itself to lower 'scores' in comparison with other organisations that make more assumptions on their progress or do not consider the fuller implications of how each level is achieved by referencing the Mainstreaming Tool. This is why emphasis should be placed on the narrative supporting the review findings rather than on the levels selected.

4.3.2 Rates of progress

Organisations may be at very different stages in terms of their current performance in mainstreaming DRR. While it is helpful to celebrate actual progress and encourage it where it has not happened, taking a snap-shot of an organisation's current standing on DRR can hide a more significant perspective: the rate of progress being made. Comparing rates of progress over time enables small or large organisations, newcomers or established 'leaders',

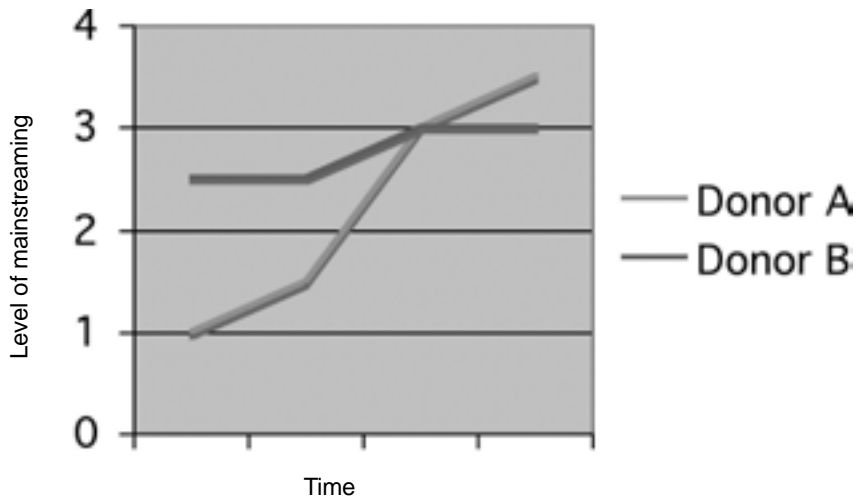
24 Including DFID and UNDP

25 Refer to the Mainstreaming Tool for further information on sub-levels

to be measured against each other. This avoids intimidating organisations which are concerned they will not measure up against their counterparts.

In Figure 1, Organisation A is currently at a low level of mainstreaming, but over time some excellent progress may be made. Organisation B, although initially strong, may make only very small progress over time from current levels and therefore compares poorly with Organisation A.

**Figure 1:
Rate of Progress
on Mainstreaming
DRR**



Although organisations used different methodologies to assess their progress, DRR appears to have a higher level of priority in some donor organisations compared with the findings of Tearfund’s 2003 research. Undoubtedly, progress is being made. Tearfund hopes, however, that organisations will now commit to planning a more comprehensive assessment of their mainstreaming achievements – to be used as a baseline for measuring progress more accurately over time.

5 Conclusion and recommendations

Eleven donor organisations have reviewed their progress with mainstreaming DRR for this research project. This is a welcome and useful contribution to the outworking of the Hyogo Framework for Action 2005-2015, agreed at the World Conference on Disaster Reduction in Japan in 2005. The participating organisations should be commended for their willingness to devote time to this process and to share their findings with others.

According to the 11 self-assessments, it appears that the average 'level' of DRR mainstreaming relates to the 'Development of solutions' stage (Level 3).²⁶ This sums up where the international community has got to in recent years: the need for improved DRR is now generally recognised and accepted, but mainstreaming in practice is often still elusive. Much more progress is being made in some areas than in others. Policy, country programming and external relations, for example, appear to be in a stronger position than institutional capacity. Similarly, DRR has a significantly higher status and greater impact in some organisations than in others. However, it is important not to base opinion solely on the 'summary of findings' (Table 2) presented in this report: the detail of the reviews themselves must also be taken into account (see Appendix).

Eight of the 11 organisations had participated in Tearfund's original research into donor policy on DRR in 2003. Within these eight organisations, DRR now has a higher level of priority than in 2003, to a greater or lesser extent. This of course is encouraging. Less encouraging, however, is the fact that organisations still face barriers to attaining Level 4 targets similar to those identified four years ago. In 2003 the barriers to mainstreaming were identified as a lack of knowledge and understanding of the nature of risk reduction, lack of ownership of the subject (the relief – development divide), and competition with other issues. This study has identified that all these barriers are still present. Moreover, other barriers have emerged. 'Mainstreaming fatigue', lack of mechanisms to aid coordination among stakeholders, and the fact that priorities are dictated by senior management and recipient countries are all significant issues that have been given new emphasis.

Organisations have suggested measures to help overcome these challenges, and these too bear a resemblance to the research findings of 2003. In particular, there is still a need to 'make the case' for DRR, demonstrating the effectiveness of integrating DRR into development. The need for strong leadership, DRR 'champions' and the use of training to develop staff skills was also raised in 2003. However, a stronger message emerging from this current research is that it is important to integrate DRR into existing mechanisms and tools, rather than develop new stand-alone processes and tools.

As has been highlighted in this report, the self-assessment methodologies adopted by the participating organisations were generally based on an approach requiring a minimal amount of time and effort. This is not surprising, considering the demands placed on those responsible for facilitating/compiling the review for their organisation. Such an approach does, however, undervalue the potential benefits that could be had through a thorough and

26 Level 1 relates to 'Little or no progress', Level 2 'Awareness of needs', Level 3 'Development of solutions' and Level 4 'Full integration'.

comprehensive self-assessment. As such CIDA's approach was singled out as providing a useful indicator of a more detailed methodology that could be emulated by others.

Tearfund recommends that the 11 participating donors now commit to conducting thorough assessments where these have not been done, and to developing a plan for measuring progress over time. We also urge other donor and development organisations to assess their progress with mainstreaming DRR as a matter of urgency.

Recommendations

Tearfund hopes that this study will inspire donor and other organisations to make faster progress with mainstreaming DRR. In particular, we recommend that donor organisations:

- 1 Undertake a comprehensive review of their progress with mainstreaming, using the Mainstreaming Tool or similar aid

This should utilise qualitative and quantitative data drawn from different departments, levels and countries. Ideally organisations would agree a common methodology among themselves, so that experiences can be effectively shared. Assessments should be undertaken routinely and regularly so that progress – or lack of it – can be monitored.

- 2 Establish a coalition on DRR

In 2003, several donor organisations expressed a willingness to establish an informal coalition or group, meeting infrequently but regularly, as a means of improving information-sharing and enabling an exchange of experiences on DRR. Such a group was not established, but could now prove useful in building on work undertaken for this study.

The first session of the Global Platform for Disaster Risk Reduction in Geneva, 5-7 June 2007, is a natural starting point for such a group. Regional platforms and subsequent sessions of the Global Platform could also be used for follow-up progress meetings.

- 3 Focus on addressing the key barriers to mainstreaming

Institutional donors have made a number of suggestions for how challenges to mainstreaming DRR can be overcome. These are summarised in Section 3.2.7. Failure to invest resources in addressing the challenges to mainstreaming DRR is unacceptable, given the high profile of recent disasters, their increasing impact on the world's poorest people and the escalating threat of global climate change. The individuals and units 'championing' the cause of DRR within their organisations must be given more high-level support to increase and maximise the impact of their efforts.

Appendix **Reviews submitted by donor organisations**

The following eleven organisations were asked to assess for themselves what ‘level of progress’ they had reached with mainstreaming DRR. With one exception, the reviews were all based on the use of a framework which Tearfund developed as a simplified summary of the Mainstreaming Tool – *Framework for Assessing the Level of Disaster Risk Reduction Mainstreaming within a Development Organisation*.

The individual reviews written and submitted by the eleven donor organisations are included in this Appendix, without any alteration by Tearfund.

| | |
|--|----|
| Framework for assessing the level of disaster risk reduction mainstreaming within a development organisation | 28 |
| Canadian International Development Agency (CIDA) | 32 |
| Danish International Development Agency (Danida) | 40 |
| European Commission: ECHO, DG DEV, DG RELEX | 45 |
| French Ministry of Foreign Affairs (Ministère des Affaires Etrangères, MFA) | 54 |
| Inter-American Development Bank (IDB) | 58 |
| Norwegian Ministry of Foreign Affairs (MFA) | 62 |
| Swedish International Development Cooperation Agency (Sida) | 66 |
| Swiss Agency for Development and Cooperation (SDC) | 70 |
| UK Department for International Development (DFID) | 74 |
| United Nations Development Programme (UNDP) | 78 |
| World Bank | 90 |

Framework for assessing the level of Disaster Risk Reduction mainstreaming within a Development Organisation

LEVEL 1 Little or no progress
The organisation undertakes DRR in an ad hoc manner with little or no awareness of the importance of adopting a systematic approach to reducing disaster risks within its relief and development processes.

LEVEL 2 Awareness of needs
The organisation has a growing level of awareness and understanding of the value and requirements of mainstreaming, and recognises the need for action.

LEVEL 3 Development of solutions
The organisation is developing plans and tools to address the requirements of integrating risk reduction into its relief and development processes.

LEVEL 4 Full integration¹
The organisation places high importance on reducing disaster with sustainable action at multiple levels and within multiple sectors, and there is a comprehensive demonstration of practice.

Mainstreaming Areas¹

| POLICY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|-------------------------------|----------------------------|----------------------------------|--------------------------|
| Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies? | | | | |
| What methodology did you use to reach this conclusion? | | | | |
| Why is the organisation at this level of mainstreaming? | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | | | | |

| STRATEGY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|-------------------------------|----------------------------|----------------------------------|--------------------------|
| How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes? | | | | |
| What methodology did you use to reach this conclusion? | | | | |
| Why is the organisation at this level of mainstreaming? | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | | | | |

| COUNTRY PROGRAMMING | | | | | | | |
|--|------------------------------|----------------|---------------------------|----------------|---------------------------------|----------------|-------------------------|
| LEVEL 1 | Little or no progress | LEVEL 2 | Awareness of needs | LEVEL 3 | Development of solutions | LEVEL 4 | Full integration |
| To what extent are hazards, vulnerabilities, capacities, and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes? How is DRR applied within Direct Budgetary Support mechanisms? | | | | | | | |
| What methodology did you use to reach this conclusion? | | | | | | | |
| Why is the organisation at this level of mainstreaming? | | | | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | | | | | | | |

| PROJECT CYCLE MANAGEMENT | | | | | | | |
|--|------------------------------|----------------|---------------------------|----------------|---------------------------------|----------------|-------------------------|
| LEVEL 1 | Little or no progress | LEVEL 2 | Awareness of needs | LEVEL 3 | Development of solutions | LEVEL 4 | Full integration |
| How is DRR integrated into project planning, implementation, evaluation and re-design processes? | | | | | | | |
| What methodology did you use to reach this conclusion? | | | | | | | |
| Why is the organisation at this level of mainstreaming? | | | | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | | | | | | | |

| EXTERNAL RELATIONS | | LEVEL 1 | LEVEL 2 | LEVEL 3 | LEVEL 4 |
|---|--|------------------------------|---------------------------|---------------------------------|-------------------------|
| | | Little or no progress | Awareness of needs | Development of solutions | Full integration |
| How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders? | | | | | |
| What methodology did you use to reach this conclusion? | | | | | |
| Why is the organisation at this level of mainstreaming? | | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | | | | | |
| INSTITUTIONAL CAPACITY | | LEVEL 1 | LEVEL 2 | LEVEL 3 | LEVEL 4 |
| | | Little or no progress | Awareness of needs | Development of solutions | Full integration |
| In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas? | | | | | |
| What methodology did you use to reach this conclusion? | | | | | |
| Why is the organisation at this level of mainstreaming? | | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | | | | | |

Framework Guidance Notes

- 1 The methodology for data collection can be through a combination of:
 - Analysing reports and reviews
 - Assessing the extent to which DRR is integrated in Country Assistance Plans, strategies, project proposals etc
 - Analysing staff training and development
 - Semi-structured interviews with key staff
 - Informal group meetings / interviews
 - Questionnaires.
 - 2 Organisations may be between levels because, for instance, some departments are more advanced than others. Answering the question “Why is the organisation at this level of mainstreaming?” provides an opportunity to explain the organisations’ position.
 - 3 Tearfund’s *Mainstreaming disaster risk reduction: A tool for development organisations* can be referred to for information and clarification.
 - 4 DRR = Disaster Risk Reduction
- i ‘Indicators of institutionalisation’ identified within the HPN *Good Practice Review* on disaster risk reduction. (Twigg (2004), Good Practice Review no. 9, *Disaster risk reduction: Mitigation and preparedness in development and emergency programming*, Humanitarian Practice Network, ODI)
- ii The process of mainstreaming should be viewed as open-ended: while organisations should aim to achieve Level 4, they should also aim to make continuous improvements to their approach.

Canadian International Development Agency (CIDA)

Assessing DRR Mainstreaming

| POLICY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|-------------------------------|----------------------------|--|--|
| Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies? | | | <p>Level 3 B</p> <p>A cross-section of staff are engaged in a consultative process to inform the development of a policy which could lead to an enhanced commitment to mainstream DRR within the organisation's relief and development operations.</p> <p>As opposed to a stand-alone DRR policy, the most likely outcome of this process would be the mainstreaming of DRR within existing CIDA policy, for example through the ongoing review of CIDA's Sustainable Development Strategies and Environmental Policy Statement. This would be a first step towards ensuring the systematic integration of DRR considerations within CIDA's projects and programs.</p> | |
| What evidence did you collect to support this assessment? | | | | <ul style="list-style-type: none"> • Analysing internal reports and corporate policy documents: strategic environmental assessments, country programming frameworks, institutional programming frameworks, corporate risk assessments, CIDA's draft Sustainable Development Strategy. • Semi-structured interviews with CIDA's multilateral branch, bilateral programming branches, and policy branch. • Internal group meetings. |
| Why is the organisation at this level of mainstreaming? | | | | <p>The mainstreaming of DRR is part of a broader process of overall environmental mainstreaming, a process which began in 2004. CIDA's current level of mainstreaming reflects the level of sustained engagement that has been undertaken in recent years.</p> |

| POLICY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|----------------------------|----------------------------------|--------------------------|
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | <ul style="list-style-type: none"> • DRR is one of many competing priorities for programming and, based on aid effectiveness principles, these priorities are increasingly dictated by the partner countries. The challenge, to a large extent, is to convince programming officers and specialists of the importance and relevance of integrating DRR within CIDA's projects and, to the extent possible, to reinforce DRR's importance in ongoing policy dialogue. • The risk exists that incorporating DRR mainstreaming into environmental sustainability planning could be viewed in the agency as further complicating an already complex crosscutting theme, which could be viewed as an additional administrative burden and extra work for both project officers and environmental specialists. • It will be necessary to clearly articulate the rationale, relevance, and importance of DRR in this integration of DRR in CIDA's environmental policy, including the establishment of criteria on risk and vulnerability that indicate where DRR mainstreaming is specifically needed in development programming, to ensure that these considerations do not get lost within environmental mainstreaming, given the potential of multiple competing priorities within that mandate. • These challenges can all be mitigated by showing the direct links between DRR and development effectiveness and investment management, and by developing and disseminating training tools for development officers and environmental specialists. | | | |

| STRATEGY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|---|--|----------------------------------|--------------------------|
| How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes? | | <p>CIDA recognises that current decision-making for disaster risk reduction mainstreaming in development programming is ad hoc and could be more strategic.</p> <p>There is growing awareness across the organisation regarding the need to develop a strategic approach to risk reduction.</p> <p>The need to focus on key countries and sectors has been recognized.</p> | | |
| What evidence did you collect to support this assessment? | <ul style="list-style-type: none"> • Semi-structured interviews with CIDA's multilateral branch, bilateral programming branches, and policy branch. • Internal group meetings. • In 2002, CIDA's humanitarian assistance division (HAPS) carried out an evaluation of its DRR programming, leading to a strategic re-direction of HAPS's DRR programming portfolio. • As of October 2006, CIDA had an on-going operational programming portfolio of projects totalling over \$250 million that address DRR, either as the primary programming focus or as a substantial secondary focus. However, despite this significant investment, there is no overall strategic framework for DRR programming or reporting at a corporate level. | | | |
| Why is the organisation at this level of mainstreaming? | This increased level of awareness and commitment to DRR programming reflects an increase in environmental awareness at CIDA and is likely supported, to some extent, by the numerous high-profile natural disasters of recent years. | | | |

| STRATEGY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|----------------------------|----------------------------------|--------------------------|
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | <ul style="list-style-type: none"> Changes of governing political parties, changes of CIDA Ministers, and a high turnover of civil servant staff within CIDA present a challenge for ongoing policy streamlining efforts and the establishment of new programming priorities. Lead responsibility for DRR programming and policy within CIDA has rested with CIDA's humanitarian assistance division (with overall Government of Canada international policy on DRR the responsibility of the Department of Foreign Affairs and International Trade). Given the number of major natural disasters in the last three years, the officer responsible for DRR policy mainstreaming activities within CIDA has been regularly pulled away from DRR work and tasked with urgent humanitarian response responsibilities. | | | |

| COUNTRY PROGRAMMING | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|-------------------------------|--|----------------------------------|--|
| <p>To what extent are hazards, vulnerabilities, capacities, and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes?</p> <p>How is DRR applied within Direct Budgetary Support mechanisms?</p> | | <p>Level 2 A/C</p> <p>There is growing understanding of the disaster-risk vulnerability relationship at relevant geographical levels, and of the impact of disasters on the organization's work in a given geographical area.</p> <p>There is widespread growing understanding of the need to apply policy commitment to risk reduction within geographical planning (including Direct Budgetary Support mechanisms).</p> <p>DRR has been incorporated into some existing strategies for hazard-prone countries (such as Bolivia, Tajikistan, Ethiopia, Mozambique, Ghana and the Caribbean region) and new DRR programming is anticipated in some of these regions.</p> | | |
| What evidence did you collect to support this assessment? | | | | <ul style="list-style-type: none"> Analysing internal reports and corporate policy documents: strategic environmental assessments, country programming frameworks, institutional programming frameworks. Semi-structured interviews (CIDA's multilateral branch, bilateral programming branches, and policy branch). |
| Why is the organisation at this level of mainstreaming? | | | | <ul style="list-style-type: none"> CIDA's bilateral programming is aligned with priorities identified by the recipient country (as reflected in PRSPs, UNDAFs, and CASS). As developing countries take greater ownership of DRR issues and include these in their domestic poverty reduction planning, it is anticipated this will be increasingly reflected in CIDA bilateral programming. Canada is strongly committed to disaster risk reduction and in particular to helping vulnerable countries reduce the impact of natural disasters. We support a range of disaster risk reduction activities aimed to enhance domestic and international capacity for disaster management, both through bilateral and multilateral assistance. As such, Canada hopes to see more attention given to DRR issues in the domestic poverty reduction planning of developing countries, especially those which are particularly hazard-prone. |

| COUNTRY PROGRAMMING | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|-------------------------------|----------------------------|----------------------------------|--------------------------|
| <p>What challenges (in this area) does the organisation encounter, and how could these be overcome?</p> <ul style="list-style-type: none"> • There is a need to build capacity in CIDA bilateral branches regarding DRR issues, both for mainstreaming and for DRR-focused project design. • Challenges may be overcome through training; promoting awareness of the benefits of sound DRR programming; promoting sustainable development; and developing tools, resources and checklists. | | | | |

| PROJECT CYCLE MANAGEMENT | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|-------------------------------|---|----------------------------------|---|
| <p>How is DRR integrated into project planning, implementation, evaluation and re-design processes?</p> | | <p>Level 2 B</p> <p>There is a growing recognition of the need for reducing disaster risks within every aspect of project cycle management, for the dual purpose of protecting projects from disaster impact and ensuring that new projects do not increase disaster risks or enhance vulnerability.</p> <p>A specific entry point in this process is to enhance collaboration with CIDA's environment specialists, who currently review and, in some instances contribute to, the planning, implementation, and evaluations of development programs and project spending.</p> <p>Further DRR policy development/integration and senior-level support are required before a clear CIDA plan of action for mainstreaming can be developed.</p> | | |
| <p>What evidence did you collect to support this assessment?</p> | | | | <ul style="list-style-type: none"> • Analysing internal reports and corporate policy documents: strategic environmental assessments, country programming frameworks, institutional programming frameworks, corporate risk assessments. • Semi-structured interviews (CIDA's environment specialists, multilateral branch, bilateral programming branches, and policy branch). |
| <p>Why is the organisation at this level of mainstreaming?</p> | | | | <p>Reflects current level of approved, corporate policy on environmental sustainability and mainstreaming.</p> |

| PROJECT CYCLE MANAGEMENT | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|----------------------------|----------------------------------|--------------------------|
| <p>What challenges (in this area) does the organisation encounter, and how could these be overcome?</p> | <ul style="list-style-type: none"> • There exists a wide-range of DRR practice within CIDA, both between and within branches, with some country programs highly committed to DRR programming and mainstreaming (e.g. CIDA's Caribbean program), while other programs have prioritised other programming sectors and crosscutting themes. • CIDA is not an implementing agency; as a result, DRR knowledge is often based on project officers' visits to the field and partner reporting, and therefore knowledge and capacity is not uniform across different country programs. • Challenges may be overcome through training; promoting awareness of the benefits of sound DRR programming; promoting sustainable development; and developing tools, resources and checklists. | | | |

| EXTERNAL RELATIONS | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|-------------------------------|----------------------------|---|--------------------------|
| <p>How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders?</p> | | | <p>Level 3 B</p> <p>Linkages are being made with key stakeholders at local, national and international levels to raise awareness of CIDA and Canada's commitment to DRR to develop collaborative work, and to learn from the approaches/research of others.</p> <p>CIDA receives considerable support and engagement on DRR mainstreaming from other actors in the Government of Canada, such as the Department of Foreign Affairs and International Trade, which is charged with coordinating the Government of Canada response to natural disasters abroad, as well as the development of Canada's international policies on disaster risk reduction.</p> <p>Development programming:</p> <p>DRR appears to be becoming a greater priority among CIDA's development stakeholders.</p> <p>Progress toward DRR mainstreaming is being made within the UN and International Financial Institutions, partly as a result of targeted support from CIDA.</p> | |

| EXTERNAL RELATIONS | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|---|----------------------------|--|--------------------------|
| | | | <p>Humanitarian programming: CIDA supports, enables and invests in capacity development for risk reduction with its implementing partners. CIDA collaborates with other stakeholders; information, expertise and resources are shared as required. Common policies and shared strategies may be developed. CIDA publicly promotes disaster risk reduction policy and strategy.</p> | |
| <p>What evidence did you collect to support this assessment?</p> | <ul style="list-style-type: none"> • Analysing reports and corporate policy documents: input from CIDA and the Government of Canada at international conferences and workshops reflects this commitment to DRR. • Semi-structured interviews (CIDA's environment specialists, multilateral branch, bilateral programming branches, and policy branch, Government of Canada's Department of Foreign Affairs and International Trade). | | | |
| <p>Why is the organisation at this level of mainstreaming?</p> | <p>Effective briefing and consultation structures for activities in regional, international and multilateral fora allow for strategic and concerted efforts on DRR issues, including strong cooperation among departments of the Government of Canada.</p> | | | |
| <p>What challenges (in this area) does the organisation encounter, and how could these be overcome?</p> | <ul style="list-style-type: none"> • Continued challenge of mobilizing support, both vertically and horizontally, for sustained policy engagement and leadership within CIDA on DRR issues. • How to overcome: continued collaboration with the Department of Foreign Affairs and International Trade to underline the importance of investing in DRR and to mobilize resources targeted for that purpose and continue commitment to demonstrate the development impact of DRR mainstreaming. | | | |

| INSTITUTIONAL CAPACITY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|---|--|---|---------------------------------|
| In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas? | | | <p>CIDA recognises that it must build appropriate capacity, including sufficient resources to support the process of mainstreaming risk reduction.</p> <p>Currently, responsibility for DRR programming and policy is limited to one half of one senior program officer's assignment in CIDA's division for humanitarian assistance (HAPS). While several other officers across CIDA manage DRR projects, no coordination mechanism between these currently exists.</p> <p>HAPS contributes close to \$5 million annually toward targeted DRR programming. Since January 2005, 12 HAPS projects have focused on DRR, totalling approximately \$13 million.</p> | | |
| What evidence did you collect to support this assessment? | | <ul style="list-style-type: none"> • Semi-structured interviews (CIDA's environment specialists, multilateral branch, bilateral programming branches, and policy branch). • Internal group meetings. • Strong corporate culture of mainstreaming crosscutting priorities (gender equality and environmental sustainability) and incorporating horizontal initiatives across CIDA programming desks in other sectors (e.g. HIV/AIDS mainstreaming, avian influenza programming, climate change programming). | | | |
| Why is the organisation at this level of mainstreaming? | | Reflects current level of approved, corporate policy on environmental sustainability and mainstreaming and reflects current staffing allocation for DRR issues. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | | <ul style="list-style-type: none"> • Despite significant CIDA programming for DRR, DRR results and impact have not been assessed on a corporate level (though an evaluation of HAPS DRR programming was carried out in 2002) nor has a concrete DRR policy been developed (either as a component of the environmental sustainability policy or as a stand-alone policy). • Mitigating activities could include: identifying a dedicated DRR champion at the executive level to highlight the need for increased resource allocation and policy engagement on DRR issues; expanding on the good policy work on sustainable development that has been done by CIDA's Policy Branch; making more explicit the link between DRR impact and the achievement of Millennium Development Goals to facilitate the inclusion of DRR programming in bilateral country programming plans. | | | |

Danish International Development Agency (DANIDA)

Assessing DRR Mainstreaming

| | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|----------------------------|---|--------------------------|
| POLICY | | | | |
| Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies? | | | The organisation has a conceptual framework for disaster management, which recognises vulnerability as contributing to the risk of disasters. | |
| What evidence did you collect to support this assessment? | See attached ToR for the MFA's development of tools and action plan to integrate DRR in development assistance. | | | |
| Why is the organisation at this level of mainstreaming? | DRR has become a political priority for Danish development assistance. Denmark was a member of the TEC core management group established to lead the evaluation of the international response to the Indian Ocean tsunami. In the Hyogo Framework for Action, Denmark pledged to organise an international conference on community resilience and DRR. The MFA put in many resources in the preparation of the community resilience workshop that was held in Copenhagen in November 2005. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | There is a general fatigue towards integration of crosscutting issues as it is often seen as just additional planning, monitoring and reporting workload. | | | |

| | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|----------------------------|--|--------------------------|
| STRATEGY | | | | |
| How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes? | | | There is awareness of the need to develop a strategic approach to risk reduction across the organisation in response to policy directives. A number of staff across sectors are engaged in a consultative process to develop a strategy which mainstreams risk reduction within the organisation's relief and development operations. | |
| What evidence did you collect to support this assessment? | The Danish strategy, action plan and tools to integrate DRR will be based on lessons learned from other organisations and the capacity and 'windows of opportunity' in the MFA and relevant embassies. | | | |
| Why is the organisation at this level of mainstreaming? | There is political and management commitment. Staff time has been made available and additional external professional resources have been hired to assist in reviewing existing lessons and practises world wide and to develop a Danish action plan and 'tool box'. | | | |

| STRATEGY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|----------------------------|--|--------------------------|
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | The packaging and presentation of the strategy and tool box within the MFA is essential for avoiding resistance and negative attitudes and getting departments and embassies on board. | | | |
| COUNTRY PROGRAMMING | | | | |
| To what extent are hazards, vulnerabilities, capacities, and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes? How is DRR applied within Direct Budgetary Support mechanisms? | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| What evidence did you collect to support this assessment? | | | There is increased understanding of the need to apply policy commitment to risk reduction in some programme countries, and the organisation is considering how existing geographical planning tools can be (re)designed to take account of hazards, risks and vulnerabilities. The organisation is developing a strategy to ensure that some – but not all – planning frameworks include disaster risk reduction. | |
| Why is the organisation at this level of mainstreaming? | A number of existing Danish-supported environmental projects and programmes have DRR elements/components such as coastal zone management in Mozambique and Vietnam. Recently, a separate climate adjustment budget has been allocated to support a number of climate adjustment projects in countries vulnerable to natural hazards and disasters. The climate initiatives at country level are still at a planning stage. It is being explored at present, if and to what degree DRR and National Action Plans for Adaptation (NAPA) can be coordinated in Danish development assistance. In addition, Denmark supports multilateral DRR initiatives such as ISDR and BCPDR. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | It is the appropriate thing to do, based on the knowledge that about 2/3 of the Danish assistance programme countries are in the 'high risk' category of countries. Based on the evidence of consequences of recent major disasters there is increased staff awareness, interest and commitment. There are many crosscutting issues to attend to. If not realistically integrated into programs and portfolios in relevant multilateral and bilateral areas, DRR will be competing with other priorities. | | | |

| PROJECT CYCLE MANAGEMENT | | | |
|--|--|---|---------------------------------|
| LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| How is DRR integrated into project planning, implementation, evaluation and re-design processes? | | The organisation is developing a strategy and 'tool box' to ensure that hazards, risks and vulnerabilities are addressed within project planning, implementation and evaluation according to the local context. | |
| What evidence did you collect to support this assessment? | See attached ToR and Inception Note for the ongoing work to prepare a DRR strategy and 'tool box'. | | |
| Why is the organisation at this level of mainstreaming? | See answers in boxes above. | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | See answers in boxes above. | | |

| EXTERNAL RELATIONS | | | |
|---|--|--|---------------------------------|
| LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders? | | Linkages are being made with key stakeholders at local, national and international levels to raise awareness of the organisation's risk reduction policy and strategy, to develop collaborative work and to learn from other's approaches/ research. | |
| What evidence did you collect to support this assessment? | Denmark has been actively participating in international conferences such as the Hyogo Conference in 2005 and the World Bank meeting on establishment of a Global Facility for DRR in September 2006. Denmark organised the international conference on community resilience in Copenhagen in November 2005. The MFA is also maintaining a dialogue with Danish NGOs and relevant Danish state institutions (defence, police, etc). | | |
| Why is the organisation at this level of mainstreaming? | Lessons learned from DRR related activities show that involvement of many stakeholders is necessary to address the complexity of the problem. | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Coordination and information sharing has to be rooted in the organisation and not only in selected individuals. Otherwise there is a risk of 'memory loss'. There are many transaction costs as continued engagement is necessary and time must be set aside to address many ad hoc tasks. | | |

| INSTITUTIONAL CAPACITY | | | |
|---|---|--|-------------------------|
| LEVEL 1 | LEVEL 2 | LEVEL 3 | LEVEL 4 |
| Little or no progress | Awareness of needs | Development of solutions | Full integration |
| In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas? | | Plans have been made to develop a supportive institutional environment for the integration of DRR in relevant areas of Danish multilateral and bilateral development assistance. | |
| What evidence did you collect to support this assessment? | The political prioritisation of DRR is expected to make resources available within the overall budgetary framework for development assistance. Staff and technical assistance have been set aside to develop the DRR strategy and 'tool box' and to assist in process of implementing the strategy. | | |
| Why is the organisation at this level of mainstreaming? | Political prioritisation of DRR. | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | The capacity and willingness of decentralised management and staff (embassy level) to implement the strategy. | | |

European Commission

DG ECHO support to Disaster Risk Reduction – 24.10.2006

Disaster preparedness (as part of Disaster Risk Reduction – DRR) is part of DG ECHO's mandate. It is mentioned in article 1 and 2(f) of the Humanitarian Aid regulation.¹

DG ECHO support to DRR can be divided into four main components:

- **DIPECHO** programmes (that stands for Disaster Preparedness in ECHO) implemented in the most disaster prone regions of the world. A specific budget line is devoted to it (B 23 02 02)² amounting to 19 M€ in 2006.
- through **mainstreaming** of disaster preparedness components in relief interventions
- through **advocacy** towards Devolvement stakeholders being Commission services or others
- through **specific interventions** such as the drought preparedness decision for the Horn of Africa which was launched in 2006.

The DIPECHO programme

In 2006 ECHO supported DIPECHO programmes in the Caribbean, Central America and the Andean Community, Central Asia, South and South East Asia. All these programmes will be continued in 2007.

In the **Caribbean**, the **6th DIPECHO Action Plan** is scheduled for September 2007–February 2009, allowing time for appraisal of operations currently implemented in the framework of the 5th DIPECHO Action Plan and for consultation with partners. Some likely priorities are to reinforce DIPECHO in Haiti, to consolidate Disaster Preparedness in urban settings, to include more English-speaking Caribbean countries plus countries new to DIPECHO, such as Suriname or Guyana.

In **Central Asia**, an evaluation of the first three DIPECHO Action Plans has been carried out in 2006. It has found that activities implemented in the region through these Actions Plans have been both pertinent and necessary, and that the reduction of the communities' risk and vulnerability was justified. Furthermore, the evaluation recommended continuing the programme. A fourth Action Plan will be implemented in Tajikistan, Uzbekistan, Turkmenistan and Kazakhstan.

New DIPECHO Actions Plans for disaster preparedness are also planned for **South East Asia** (Vietnam, Cambodia, Laos, Timor Leste, Indonesia and the Philippines) as well as for Central America (Guatemala, Honduras, Nicaragua, El Salvador, Costa Rica and Panama). Furthermore, two new Action Plans will be initiated:

1 Regulation 1257/96 of 20 June 1996

2 The DIPECHO line will become B 23 02 03 as from 2007

- in **South Asia** (currently covering Bangladesh, India, Nepal and Pakistan with needs assessment being also done in Sri Lanka and Afghanistan, having in mind the deteriorating security situation in both countries)
- in **South America** (currently covering the Andean Community but with a potential extension to Mercosur region and Chile, should it be feasible and needs-based).

In these two regions, consultations with stakeholders will be organised in each of the countries concerned before issuing guidelines for each region in terms of priority of interventions.

For all DIPECHO programmes the focus remains on a community-based approach in the most relevant disaster-prone areas responding to the specific needs of the local communities in the area of disaster preparedness and mitigation, while strengthening at regional level the institutional exchange of best practices, experiences and know-how. Trans-boundary DIPECHO projects may also be relevant in some cases and have an added-value in terms of risk management.

Under its DIPECHO programme DG ECHO will continue to support **early warning systems** at a local level focusing on people rather than on technology. DIPECHO partners are encouraged to include this element in their proposals submitted for funding. Furthermore, DG ECHO will remain closely associated with efforts made at a global level to establish early warning systems with a wider scope such as the tsunami early warning system in the Indian Ocean which received financial funding from DG ECHO and which will continue to be supported by the Commission (DG RELEX) in 2007.

Mainstreaming

As clearly stipulated in ECHO strategy, mainstreaming of Disaster preparedness has to be reinforced in the future and done in a more systematic manner in relief ECHO interventions. Integrating risk reduction is considered as being an improvement of the quality of DG ECHO response. The humanitarian stakeholders, being the first ones in the field after a disaster, can better witness the direct consequences of it and already envisage measures to reduce the impact of any new disasters in the future. This is particularly true in regions affected recurrently by small-scale disasters.

Advocacy

DG ECHO will continue and reinforce its advocacy activities so as to make sure that development stakeholders afford sufficient prominence to disaster risk reduction in development programmes.

Special attention is also paid to establishing a link to more ambitious risk reduction activities in the context of the implementation of the *Hyogo Framework for Action* decided in Kobe/Japan at the beginning of 2005, and which are/should be funded by development donors.

Drought preparedness

In the **Horn of Africa Region** a regional decision for a total of 10 M€ was adopted in July 2006 for drought preparedness, risk reduction and early warning for the pastoralist populations in Kenya, Uganda, Ethiopia, Eritrea, Sudan, Somalia and Djibouti. It is being implemented through 2006 and 2007. This programme is the first DG ECHO-funded of its kind to tackle the issue of drought as a slow-onset disaster, using the Disaster preparedness approach. It seeks to reduce the impact of drought and work with communities, local and central governments to build in adequate community-based contingency planning and develop early warning systems which will function throughout the drought cycle. A slow onset disaster needs a specific approach, tailor-made to deal with the peaks of the drought cycle. The high level of partner interest would point to the fact that this is the most appropriate strategy for tackling drought in the region. In the interest of LRRD (Linking Relief, Rehabilitation and Development), this Decision has been developed in close cooperation with the Development Directorate General and EC Delegations in the respective countries, such as Kenya where the EC Delegation's Drought Management Initiative enables the same partners to be funded, and Uganda through close coordination with the EC Delegation in Uganda.

Disaster Risk Reduction within DG DEV State of play autumn 06

Disaster Risk Reduction and its integration/mainstreaming into long-term development cooperation is of a fairly recent date. Part of it is as a response from an ACP request in 2004 for an EC Natural Disaster Facility.

After discussions with the ACP, including a technical work-shop in May 2005, the Joint EU/ACP Council of Ministers in June 2006 agreed to, as a first phase, allocate 12M€ to the six ACP Regions for local/regional institutional capacity building in Disaster Risk Reduction/Management. Funding has been provided through the Intra ACP Envelope for the 9th EDF.

These requests are presently being processed by the European Aid Office, after a Service Request from DG Development. At present a consultant, commissioned by AIDCO, has studied the requests according to normal EC procedures, and it is estimated that the resources will be mobilised before the end of the year.

As a second phase, the Delegations and consequently the National/Regional Authorities in the ACP countries, have been requested to look into the possibilities to reflect DRR activities in the Country Strategic Papers (CSPs) and the National Indicative Programs for the 10th EDF, a process which has recently started. (DRR for the so-called A-envelopes; Rehabilitation/Reconstruction for the so-called B-envelopes). In two recent Commission Communications regarding the special partnerships with the Caribbean and Pacific regions, the importance of DRR has also been underlined.

To support DRR inclusion in the CSPs, DG DEV has produced detailed Programming Guidelines for the mainstreaming of Disaster Risk Reduction in the Commission's Development Cooperation with the ACP countries. This is a document, which has been available for all Delegations and National/Regional Authorities.

It is too early to know what result this initiative by DG DEV will have on the mainstreaming of DRR into more long-term development Cooperation during the 10th EDF, but it is considered a step in the right direction. The inter-relation between DRR and Climate change and its adaptation to Sustainable Development, to Food Security interventions and the International Insurance facilities will be further looked into. A continued exchange of views with the main international main stakeholders in these matters, like UNISDR, WB and WMO, will be maintained.

In the draft outline for a future Joint Africa/Europe Strategy, its common values, shared visions and objectives, the Development of a Disaster Risk Reduction strategy is one of the strategies mentioned under the Environmental Chapter.

Most probably DG DEV will also continue to discuss with the ACP the possibilities of additional funding during the 10th EDF from the Intra ACP Envelope. No decision on that matter has however yet been taken.

A policy regarding mainstreaming/inclusion of DRR interventions in DG DEV's long term development planning is being discussed.

**Disaster risk reduction and DG RELEX
Integration of Disaster Risk Reduction/Disaster Preparedness Prevention
into programming (2007–2013) in RELEX countries**

1 ENPI countries

Algeria, Lebanon, Morocco, Syria, Tunisia, Yemen, Palestine

In the cases of these countries a close and regular dialogue is foreseen under the Neighbourhood programme which is designed and able to accommodate any concerns which may arise as regards emerging risks.

Egypt

The possibility is specifically opened to fund 'conflict prevention and crisis management, and the development of a strategy on disaster management and reduction'.

Regional Programme

This programme is based on the five-year work programme agreed at the Barcelona Summit (Nov 2005). It recognizes the prevention of disasters as a priority area, and relevant actions will be defined in the next stage (annual programming).

2 Asia

Asia Regional Programme

The draft programming documents recognize the continent's high risk of disasters such as earthquakes, tsunamis, hurricanes, cyclones, floods, droughts etc. and address disaster risk reduction in the following areas:

- Support to SAARC countries (Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan and Sri Lanka) to promote policy dialogue in the area of disaster preparedness and regional alert systems.
- To reduce the risk of an Avian Influenza pandemic, support for strategic, multi-sectoral actions and plans with respect to AI and other communicable animal diseases as well as HIP preparedness.
- Support for disaster risk reduction for uprooted people.

| | |
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| Bangladesh | In NIP 2005 there was a 9M€ funding to support earthquake and tsunami preparedness, in the context of the national Comprehensive Disaster Management Programme providing an institutional framework for Disaster Risk Reduction and Management in Bangladesh. <i>Environment and Disaster Management</i> has been selected as a non-focal sector in the CSP 2007–2013, including supports to the Government’s capacity to deliver timely advice and warnings on climate related incidents to vulnerable groups. Allocation: 5–10% of the funding envelope for the NIP 2007–10. |
| Cambodia | DIPECHO assistance to local communities and the relevant institutions most vulnerable to natural disasters will continue, but no new actions are programmed. |
| Indonesia | €40 million in humanitarian assistance through ECHO (in 2004–2005) and €200 million in assistance to reconstruction (part of the Tsunami programme 2005–2006) are still under implementation, and include DPP elements. No new actions are planned in the new programming documents. |
| India | The CSP 2007–2013 foresees celebration of workshops on Climate Change and Natural Disasters under the Science and Technology cooperation area. |
| Laos | DIPECHO continues to target local communities and institutions most vulnerable to natural disasters. The CSP anticipates the use, when and if required, of ECHO’s natural disasters preparedness and mitigation programme, but no specific new measures are programmed. |
| Maldives | Disaster preparedness/ prevention has been a major element in the new programming phase. The focus of the CSP is to boost the country’s regional development to reduce vulnerability to natural disasters and reduce regional disparities by contributing to the GoM’s ‘focus’/‘safe’ islands programme. This is an enhanced version of the regional development strategy adopted in 1998 and was already supported with €14 million 2005/2006. (75% of the budget of the new NIP will be allocated to this focal sector). |
| Mongolia | The programming documents refer to ECHO aid (EUR 1 million grant in 2004) focused on disaster-preparedness through small-scale programmes; but no specific, new actions are proposed. |

- Pakistan Within the focal area 2, Education and Human Resources Development, DIPECHO activities will focus on capacity building of local communities and authorities to enhance disaster preparedness and response.
- Philippines The CSP 2007–2013 includes a special section on risks affecting the strategy and an annex on disaster preparedness and prevention and foresees a revision of the strategy if needs be. However, no specific new actions are proposed.
- Sri Lanka Under the Tsunami Indicative Programme adopted by the Commission in May 2005, €95 million was allocated to Sri Lanka over a two-year period (2005-06), which included contributions to the World Bank-managed Regional Fund for tsunami reconstruction (€50 million), and UNDP’s Quick Recovery Programme (€5 million), both focused on the North and East and reconstruction of a segment of the partly coastal South to East road (Matara–Batticaloa), and through a €40 million contribution agreement with the ADB. No further, new measures are envisaged in the new programming documents.
- Vietnam The CSP mentions ECHO’s current support to vulnerable communities to prepare for floods, typhoons and droughts that regularly strike the same regions. However, no specific, new actions are programmed.
- Central Asia The programming documents recognize that natural disasters (namely earthquake, flooding, landslide and drought) present a constant threat to populations throughout Central Asia. They recall that support to disaster preparedness and prevention has been done through DG Humanitarian Aid – ECHO, which funded action plans for Central Asia since 2003 to strengthen the capacity of local actors to predict, provide early warning, respond to and cope with disasters and to protect vulnerable groups from likely natural disasters through small scale infrastructural works. The Action plans are still being implemented; and the Central Asian countries are actively participating in the Hyogo Framework of Action on Disaster Reduction. Therefore no specific new measures are proposed in the new programming documents.

3 Latin America

- Regional Programmes:
Andean Community and
Central America In the **CAN and Central America Regional** strategies, disaster prevention was part of the 2002–06 programme. A number of programmes are under implementation such as **€20M Regional Programme for Vulnerability Reduction and Environmental Management** and a **€10 m disaster prevention and preparedness programme with the Andean Community**. These programmes will continue for some time. In the new strategy papers for these two sub-regions, there are no specific, new allocations for disaster prevention; but disaster prevention is presented as a cross cutting issue for most of the countries. There are further references to ECHO’s ongoing Disaster Preparedness Programmes (DIPECHO).

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| Bolivia | The draft programming document highlights Bolivia's acute vulnerability to natural disasters and states that disaster risk reduction will be incorporated in the design and implementation of projects and programmes in all three proposed priority sectors. In addition a support to the Government of Bolivia / UN Post flood Damage and Need assessment is provided under the Instrument for Stability. This includes also support to vulnerability and contingency planning activities at local and national level. |
| Colombia and Mexico | The CSPs quote disaster prevention programmes, in particular, reference is made to programmes financed by various other donors: IADB, World Bank, OMS, JICA and UNDP. |
| Costa Rica | Disaster preparedness and prevention is also addressed at regional level by a specific regional programme adopted in 2005. |
| Ecuador | The CSP describes Ecuador's acute vulnerability to a range of natural disaster, says disaster risk reduction will be an integral element of the design and implementation of projects and programmes in disaster-prone areas and stresses the need to seek synergies and promote coordination with the ECHO DIPECHO programmes. |
| Guatemala | ECHO since 1998 has been financing projects throughout Central America to promote disaster-preparedness and reduce the vulnerability of local communities to natural disasters. The EC response to Hurricane Mitch was €16 million under the Programme for Reconstruction of Central America (PRRAC) in the sectors of health, education, water and sanitation. Following Tropical Storm Stan in early October 2005, ECHO made available over €4 million for Guatemala. The 2007–13 CSP stresses the importance of mainstreaming environmental sustainability and the protection of natural resources and the importance of supporting initiatives in relation notably to climate change, biodiversity, or vulnerability of the country to natural disasters. Awareness-raising is also mentioned. |
| Honduras | The CSP points out that environmental vulnerability remains critical and requires sustained efforts in terms of disaster mitigation, territorial development and integrated management of forestry and water resources. Strong emphasis is put on the forestry sector in particular. |
| Nicaragua | The need to ensure environmental sustainability and the protection of natural resources against both natural and man-made disasters is particularly mentioned, and the documents confirm that risk management must be mainstreamed. |
| Venezuela | The CSP recalls that in the previous CSP for the 2001–2006 CSP, €30 million of the total of €38.5 million was earmarked for disaster prevention and reconstruction. In response to an initiative from the European Parliament, "Disaster prevention in the Vargas State", projects worth €25 million were subsequently added to the prevention and reconstruction components of the 2001–2006 CSP. In the future programming period, disaster prevention is not as such a focal sector but figures as a cross cutting issue. |

Additional information on DG RELEX progress with mainstreaming

- **DG RELEX represents the COM in the Global Facility for Disaster Risk Reduction (GFDRR) Steering Committee** where a number of new initiatives, with the COM in the lead, are under discussion.
- **RELEX is also partner to UN and WB** in the implementation of the Hyogo Framework for Action promoting harmonization of approaches and techniques at EU and global level that build resilience of Nations and Communities to Disasters. **In particular we lead in developing common disaster damage, needs and capacity assessment methodology with the UN and World Bank**, drawing upon the scientific resources of its scientific DGs (Joint Research Institute, Enterprise, etc) and a rapid funding facility under the Instrument for Stability. A pilot exercise is taking place on the Bolivia flooding.
- In line with the Paris declaration, RELEX will invite Member States to participate in **joint post-disaster needs assessments**, together with the UN and World Bank.
- The COM has recently re-established the **Inter-Service group on DRR** and DG RELEX is actively participating in the work **aimed at setting up the ground for a possible future EU/COM strategy or communication on DRR** with related activities, such as training module for EC staff in HQs, delegations' staff and experts in the field, that would strengthen the COM capacities in mainstreaming DRR into COM external aid. (RELEX A2 is the focal point for DG RELEX).
- DRR is to be mainstreamed through development activities, and support to PRSP through our CSPs in third countries is considered the main vehicle for achieving it. EC Delegations have a comparative advantage that needs to be strengthened.
- **Strategy for integrating DRR in development co-operation**
With re-establishment of the DRR IS-Group and the growing political momentum in this area we are committed to keep working on this issue. As per our procedures we will be arranging consultations with relevant partners in the appropriate stages of the process. The current programming cycle and mainstreaming experience in other related areas such as environment – as well as constructive input from our partners such as EU-CORD – have prepared the ground for the development of our approaches in this area.
- From an EU point of view, although committed to the HFA agreed in Kobe, only 3 out of the 27 EU Member States have developed a DRR-specific strategy, tools and staff trainings. A COM-led communication could serve as a framework for stronger EU coherence around agreed principles and tools.
- **Mainstreaming in CSPs**
The Commission services do have **established programming guidelines that include an approach to DRR in the CSP context**. In addition the environmental mainstreaming manual provides further guidance in the area as do the discussions carried out in the context of the partner consultations in preparation of the CSPs and the Country Environmental profiles. We are working on further developing these guidelines in the context of the new strategy. COM recognizes that in some high-risk countries, it may seem strange that COM does not engage stronger in DRR activities, but one has to remember that it is often the recipient country that identifies priorities for poverty reduction and donor support. Given WB's direct involvement in formulating the PRSPs,

COM highly appreciates the WB engagement. DRR is a long-term issue and it is first and foremost a responsibility of individual governments.

- The commission services will continue to try to influence its partners to incorporate these aspects in the project identification processes and throughout programme implementation during the CSP cycle of 2007-13. Next comprehensive openings for doing this at the strategic level are in the context of the Mid-Term review of our programmes in 2010.

| POLICY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|---|--|----------------------------------|--------------------------|
| Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies? | | | France has a pragmatic approach to taking account of disaster risk reduction in its development aid and humanitarian aid policies. A more systematic policy is currently being prepared. | | |
| What methodology did you use to reach this conclusion? | | On the national level, a risk prevention policy has been in existence for over 25 years. This policy mobilizes a large number of actors both from the State and from civil society (associations, Red Cross). Since the Kobe Conference in 2005, these actors, represented by the Ministry of Ecology and Sustainable development, and the Ministry of Foreign Affairs, have started to coordinate to set up a risk prevention policy at international level. | | | |
| Why is the organisation at this level of mainstreaming? | | The stakes involved in risk prevention on an international level are taken into account by French development aid and humanitarian aid actors. The day after the Tsunami of December 2004, a coordinated programme was put into place in the Indian Ocean. Initiatives aimed at other regions of the world are not yet benefiting from the same level of coordination. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | | The challenge for better organisation and better coordination between the various actors, and the preparation of a real disaster risk prevention strategy on an international level. | | | |
| STRATEGY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes? | | | A strategy of taking disaster risk prevention into account is currently being defined (see above). That being the case, the concept of sustainable development which has been part of public policies for several years encompasses risk prevention. | | |
| What methodology did you use to reach this conclusion? | | | | | |
| Why is the organisation at this level of mainstreaming? | | | | | |

| STRATEGY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|---|---|--|
| <p>What challenges (in this area) does the organisation encounter, and how could these be overcome?</p> | <p>Certain types of risk have long been taken into account in the development aid policies (drought, locust and food security risk). Influenced by recent world conferences on disaster risk prevention, and spurred on by humanitarian actors, the field of intervention of development actors has widened to include other types of risk (tsunami: setting up of an early warning system; bilateral cooperation on civil security; action of the French territorial collectivities in the West Indies/Caribbean region).</p> | | | |
| COUNTRY PROGRAMMING | | | | |
| <p>To what extent are hazards, vulnerabilities, capacities, and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes? How is DRR applied within Direct Budgetary Support mechanisms?</p> | <p>LEVEL 1 Little or no progress</p> | <p>LEVEL 2 Awareness of needs</p> <p>The country strategies must increasingly take into account the multiplicity of disaster risk in all regions of the world. Certain new risks, linked to climate change, still require more in-depth knowledge.</p> | <p>LEVEL 3 Development of solutions</p> <p>A major French contribution was made in the Indian Ocean region (7 million euros over three years) starting from an ad hoc budget agreed by several ministries. It covers regional programmes (setting up of a tsunami warning system = SATOI =) and bilateral initiatives (French-Indonesian cooperation on civil security). It concerns a wide spectrum of measures ranging from scientific studies to awareness raising among communities. Moreover, action against the drought risk in the Sahel and the locust risk in West Africa is being implemented out of development budgets. French Red Cross programmes are focused on disaster preparedness and mitigation.</p> | <p>LEVEL 4 Full integration</p> |
| <p>What methodology did you use to reach this conclusion?</p> | <p>Inter-Ministry meetings. Contacts with civil society.</p> | | | |
| <p>Why is the organisation at this level of mainstreaming?</p> | | | | |
| <p>What challenges (in this area) does the organisation encounter, and how could these be overcome?</p> | <p>Conflict between the short term and the long term. Gaining more acute awareness on the part of the humanitarian actors.</p> | | | |

| PROJECT CYCLE MANAGEMENT | | | | | | | |
|---|------------------------------|-------------------------------|---------------------------|--|---------------------------------|--|-------------------------|
| LEVEL 1 | Little or no progress | LEVEL 2 | Awareness of needs | LEVEL 3 | Development of solutions | LEVEL 4 | Full integration |
| How is DRR integrated into project planning, implementation, evaluation and re-design processes? | | See replies above (strategy). | | | | | |
| What methodology did you use to reach this conclusion? | | | | | | | |
| Why is the organisation at this level of mainstreaming? | | | | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | | | | Exercises to feed back experiences should be carried out regularly regarding risk prevention programmes. | | | |
| EXTERNAL RELATIONS | | | | | | | |
| LEVEL 1 | Little or no progress | LEVEL 2 | Awareness of needs | LEVEL 3 | Development of solutions | LEVEL 4 | Full integration |
| How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders? | | | | | | | |
| What methodology did you use to reach this conclusion? | | | | | | | |
| Why is the organisation at this level of mainstreaming? | | | | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | | | | | | There is a need to define a political framework and closer inter-ministerial coordination in order to prioritise the collaborations to be developed, while retaining flexibility in implementation and aiming to obtain practical results. | |

| INSTITUTIONAL CAPACITY | | | | | | | |
|---|------------------------------|----------------|--|----------------|---------------------------------|----------------|-------------------------|
| LEVEL 1 | Little or no progress | LEVEL 2 | Awareness of needs | LEVEL 3 | Development of solutions | LEVEL 4 | Full integration |
| In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas? | | | Apart from the specific budget devoted to the measures undertaken in the Indian ocean, and those relating to drought, locust and food security risks, the financial resources which can be released for development initiatives in the area of risk prevention are still insufficient. As to the humanitarian budget, it can only sustain marginal initiatives in this area. | | | | |
| What methodology did you use to reach this conclusion? | | | | | | | |
| Why is the organisation at this level of mainstreaming? | | | | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | | | | | | | |

Inter-American Development Bank (IDB)

Assessing DRR Mainstreaming

| POLICY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|-------------------------------|----------------------------|----------------------------------|--|
| Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies? | | | | | The DRM Policy was approved in February 2007 by the Board of Directors of the IDB. It was a significant step towards a proactive stand of the Bank, compared with the 1999 policy. |
| What evidence did you collect to support this assessment? | <p>Many actions were approved to adopt proactive DRM even before the approval of the policy, on the basis of the principles and priorities outlined in the Policy profile:</p> <ul style="list-style-type: none"> • The IDB Action Plan of proactive DRM was approved and applied since 2005. • Special Budget Initiatives for 2006 and 2007 to fund Action Plan activities were approved. • Two grant facilities for the benefit of the borrowers were approved in 2006: (i) the Disaster Prevention Fund and the (ii) Multidoror Disaster Prevention Trust Fund. They are strategic in helping the implementation of proactive DRM among the borrowers. | | | | |
| Why is the organisation at this level of mainstreaming? | <ul style="list-style-type: none"> • The Board of Directors of the IDB has been very active in the issue of DRM, approving not only the policy but the above financing to facilitate its implementation. • The President of the IDB championed in the creation of two strategic grant facilities. • In the new organizational chart of the Bank, which will be implemented starting in the second half of 2007, the theme of Disasters appears as the first time with the establishment of a new unit: Environment, Disasters and Rural Development Division. | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | The organizational realignment may cause delays in the further implementation of proactive DRM actions despite the Board's insistence that the execution be accelerated. | | | | |
| STRATEGY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes? | | | | | The IDB is actively including DRM in the country strategy documents in high risk countries. |
| What evidence did you collect to support this assessment? | <ul style="list-style-type: none"> • Companion Paper to the Disaster Risk Management Policy, as a strategic document, has been approved. • Three consultants were hired in 2006 for two years to facilitate the inclusion of DRM in the country strategy documents in high risk countries. • Detailed guidelines under preparation for June 2007, will facilitate the implementation of DRM in country programming by country teams and project cycle by project teams. • The Board requested the Management to organize a special seminar on the strategic options for disaster financing by the Bank which took place May 4, 2007. | | | | |
| Why is the organisation at this level of mainstreaming? | The process started year 2000 when the first Disaster Action Plan was presented in the IDB's Annual Meeting in New Orleans by the President and three Heads of State. But only the Action Plan of 2005 and the resulting special DRM Budget Initiatives identified resources for mainstreaming. | | | | |

| STRATEGY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|----------------------------|----------------------------------|--|
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | The strategic actions may encounter slower than expected implementation due to the organizational realignment of the Bank in 2007. | | | |
| COUNTRY PROGRAMMING | | | | |
| To what extent are hazards, vulnerabilities, capacities, and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes? How is DRR applied within Direct Budgetary Support mechanisms? | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| | | | | Disaster Risk is being included as one of the IDB Country Development Risk elements for the overall IDB Programming Process. |
| What evidence did you collect to support this assessment? | <ul style="list-style-type: none"> • The IDB has developed a single approach for development risk management at the country level. Within this framework, disaster risk is included as a crosscutting risk, based on the DRM Policy. • Three consultants were hired in 2006 for two years to facilitate the inclusion of DRM in the country strategy documents in high risk countries. • Detailed guidelines under preparation for June 2007, will facilitate the implementation of the DRM in country programming by country teams. • The IDB has developed disaster risk indicators for 14 countries in order to help identify needed actions for programming. • The Bank is currently funding detailed risk assessments for five countries. | | | |
| Why is the organisation at this level of mainstreaming? | The Action Plan of 2005 identified and the Special Budget Initiatives of 2006 and 2007 provided resources for the inclusion of DRM in country programming. The methodology and first set of disaster indicators were developed for 2005. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | The inclusion of DRM in programming may suffer delays due to the organizational realignment. The new country coordinators and economists will require training in 2007. Results indicators to measure progress in the mainstreaming of disaster risk into country programming will be developed in 2007. The borrowing member countries, which are being classified as high risk, will receive special treatment in the programming process (but only the high risk countries). The classification may be controversial. | | | |

| PROJECT CYCLE MANAGEMENT | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|--------------------------------------|-----------------------------------|---|---------------------------------|
| How is DRR integrated into project planning, implementation, evaluation and re-design processes? | | | | Disaster risk is being incorporated in the environmental and social impact analysis framework. Projects with high disaster risk will receive special analysis. | |
| What evidence did you collect to support this assessment? | The integration of disaster risk into project cycle management will be aided by a recently created computerized classification system of the environmental and social impact analysis framework. | | | | |
| Why is the organisation at this level of mainstreaming? | The checklist approach has been developed for the incorporation of disaster risk management in project cycle (publication ENV-144 of 2005). The computerized classification system of the environmental and social impact analysis framework is still being perfected. | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | The IDB is currently developing a single approach for development risk management also for the project level. Within this framework, disaster risk will be included based on the DRM Policy guidelines under preparation. Full integration of DRM into project cycle within the framework of the environmental – social computerized classification system in 2007 may face challenges. | | | | |

| EXTERNAL RELATIONS | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|---|--------------------------------------|-----------------------------------|---|--|
| How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders? | | | | | The IDB contributes to institutional strengthening both for the borrowing member countries and regional implementing partners. |
| What evidence did you collect to support this assessment? | <ul style="list-style-type: none"> • The IDB prepared a DRM Communication Strategy document in February 2007. • The IDB Disaster Policy Dialogue Forum, in existence since 2001, has provided a way to strengthen cooperation with the borrowing member countries. • In the indicators work, the cooperation with UNDP and the World Bank has been strong. • In the region, cooperation with the Caribbean Development Bank has been especially strong. • The Bank has been active in the ProVention Consortium and cooperated with ISDR, OAS, ECLAC, subregional entities, such as CEPREDEMAC, CDERA and CAPRADE, private sector organizations and a host of bilateral organizations. • The Multi-donor Disaster Prevention Fund, with initial instalments from Japan, Korea and Spain is established. | | | | |
| Why is the organisation at this level of mainstreaming? | The need for cooperation was identified already in the Action Plan of 2000, and developed further ever since. | | | | |

| EXTERNAL RELATIONS | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|----------------------------|----------------------------------|--------------------------|
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Cooperation requires time commitments and resources. Many meetings in different parts of the world pose a challenge. | | | |

| INSTITUTIONAL CAPACITY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|----------------------------|--|--------------------------|
| In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas? | | | A two year DRM training plan targeting IDB staff is being readied for implementation in 2007–2008. | |
| What evidence did you collect to support this assessment? | <ul style="list-style-type: none"> • With the Special Budget Initiative the Bank is financing the 2005 Disaster Action Plan for proactive DRM with increase in staff and consultants. • A DRM Training plan targeting IDB staff (in country programming, projects, DRM Focal Points) and Bank managers is in final preparation and will be implemented in 2007 and 2008. | | | |
| Why is the organisation at this level of mainstreaming? | The Bank established 40 disaster focal points throughout the institution. However, only since 2005 have there been at least modest resources available to build capacity. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | In the new organizational chart of the Bank, the theme of Disasters appears for the first time with the establishment of a new unit , Environment, Disasters and Rural Development Division. This is the first time most of the disaster specialists will be in one division. | | | |

Norwegian Ministry of Foreign Affairs

Assessing DRR Mainstreaming

| POLICY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|--------------------------------------|--|---|---------------------------------|
| Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies? | | | | Different elements of policy co-exist, but not as part of a unified approach. The work is very much humanitarian-led. | |
| What evidence did you collect to support this assessment? | Ministerial endorsement of the need to focus more on DRR. Policy paper to be finalised before summer. Possibly white paper to Parliament later on this year. Plans for integrating priorities in 2008 budget under way. | | | | |
| Why is the organisation at this level of mainstreaming? | In between level 2 and 3. Reason being the organisational set-up and lack of ownership to DRR. Humanitarian side is pushing the process. | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Lack of sufficient knowledge and political guidance. Better coordination in-house in the MFA needed. Policy paper, action plan, induction courses and repeated instructions the way forward. | | | | |
| STRATEGY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes? | | | It will take some time in order for us to be strategic, based on our fragmented budget and policy system, and lack of experiences/evaluations. | | |
| What evidence did you collect to support this assessment? | Mainstreaming policy paper to be adopted in near future. Action plan to be developed, together with the necessary tool-kit for embassy staff. | | | | |
| Why is the organisation at this level of mainstreaming? | An action plan based on the policy paper will provide a much-needed strategy. This will help in having DRR reflected in budget texts, work plans etc. | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | We need to avoid adding yet another task on overburdened embassy staff. Build as much as possible on work already underway, but perhaps under a different 'name' (e.g. climate change adaptation = DRR). Raise awareness of the need for more bottom-up work in local communities/cities. | | | | |

| COUNTRY PROGRAMMING | | | |
|--|--|---|---------------------------------|
| LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| To what extent are hazards, vulnerabilities, capacities, and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes? How is DRR applied within Direct Budgetary Support mechanisms? | Integration into country programming varies strongly. Budgetary support mechanisms are patchy but under revision. | | |
| What evidence did you collect to support this assessment? | Internal desk studies and assessments have unveiled great variation in knowledge and practice, even in some of the most vulnerable countries. | | |
| Why is the organisation at this level of mainstreaming? | DRR has been regarded as 'humanitarian' and not as part of the ongoing work on MDGs, poverty reduction etc. | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | More information, clear political signals, an action plan, practical guidance notes/tool-kit, repeated messages and standardized reporting requirements. | | |

| PROJECT CYCLE MANAGEMENT | | | |
|--|---|---|---------------------------------|
| LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| How is DRR integrated into project planning, implementation, evaluation and re-design processes? | | Not systematic. | |
| What evidence did you collect to support this assessment? | On the multilateral side (UN, World Bank etc) this is integrated, not so in our bilateral development aid. Should have a more central place in our PRSP work etc. Information is being circulated on the need for more focus. | | |
| Why is the organisation at this level of mainstreaming? | See previous comments. | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Increase the awareness of staff about the potential for integrating DRR in bilateral aid work, dissemination of information about risk and vulnerability analysis, better coordination among donors locally. | | |

| EXTERNAL RELATIONS | | | |
|---|---|---|---------------------------------|
| LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders? | | Vis-à-vis partners we play an active role in enhancing DRR, the integration of which into development policies etc. Nordic network of MFA officials recently established. | |
| What evidence did you collect to support this assessment? | Too often we see that external partners neglect DRR in their humanitarian and development policies. A growing awareness of this among our bilateral embassies. At the multilateral level (OCHA, ISDR, ProVention, World Bank etc) this is firmly on our agenda. | | |
| Why is the organisation at this level of mainstreaming? | Experiences from natural disasters have taught us the importance of more emphasis on DRR, as an integral part of our contribution to the work on MDGs. DRR is for us both part of the humanitarian imperative and of our work on sustainable development, but two chairs like these do not make for one policy. | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | The challenges are not least to create a better understanding – at home and with partners – of what can be achieved by giving more attention to DRR. The Stern Review has been of great help. This again will affect the focus on capacity building, information, knowledge and understanding of complexities and inter-linkages. | | |

| INSTITUTIONAL CAPACITY | | | |
|---|---|---|---------------------------------|
| LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas? | | The MFA and NORAD have started on developing mainstreaming measures. Staff capacity a problem at embassies. | |
| What evidence did you collect to support this assessment? | Coherent policy proposal underway; will focus on these questions. Political support will underline the need for reform. | | |
| Why is the organisation at this level of mainstreaming? | Fragmented policies and budgets have been an obstacle to more mainstreaming. Reorganisation of NORAD a tool for change. | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | More active involvement of partners – colleagues in the MFA outside of the humanitarian team, NORAD and embassies. Repetition of political message. Guidelines etc. | | |

Swedish International Development Cooperation Agency (Sida)

Assessing DRR Mainstreaming

| | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|----------------------------|----------------------------------|--------------------------|
| POLICY | | | Level 3 | |
| Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies? | | | | |
| What evidence did you collect to support this assessment? | Through informal group meetings and written answers from Sida's departments for Infrastructure and Economic Cooperation; Natural Recourses and the Environment; Cooperation with NGOs, Humanitarian Assistance and Conflict Management. | | | |
| Why is the organisation at this level of mainstreaming? | <ul style="list-style-type: none"> • Sida has applied a stepwise approach, in 2005 a mapping exercise on Sida's work with DRR was carried out including recommendations for Sida's future DRR work. • The Swedish Government demanded Sida to work with Disaster Risk Reduction in the appropriation letter for 2006. This has led to Sida adopting a conceptual framework for DRR (called a strategy), recognising vulnerability as a disaster risk. Decision has been taken by the policy department to transform the strategy document into an organisation wide policy. • Knowledge about DRR is present within Sida, however, not a wide cross-section of staff. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | <ul style="list-style-type: none"> • Sida's management needs to prioritise DRR-issues to a greater extent. • In Sida's organisation there is no system or clear structure for handling multisectoral areas. • Long-term development departments and humanitarian assistance section needs to cooperate to a greater extent. • To get an organisation, that is already mainstreaming an overload of policies and crosscutting issues, willing to mainstream another one. | | | |
| STRATEGY | | | Level 2.5 | |
| How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes? | | | | |
| What evidence did you collect to support this assessment? | Through informal group meetings and written answers from Sida's departments for Infrastructure and Economic Cooperation; Natural Recourses and the Environment; Cooperation with NGOs, Humanitarian Assistance and Conflict Management. | | | |
| Why is the organisation at this level of mainstreaming? | <ul style="list-style-type: none"> • A strategy has been developed providing guidelines on how DRR shall be mainstreamed at different levels of intervention. • Sida's organisation in general lack connection between long term development and humanitarian assistance. However, progress is coming, especially within areas such as recovery after disasters. • Until now Sida has worked with the DRR issues on a project level, both with direct support to DRR projects/programmes (CEPRENAC in Central America) and as part of programmes, e.g. in integrated water resources management programmes in Africa. | | | |

Swedish International Development Cooperation Agency (Sida) Sheet 2

| STRATEGY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|----------------------------|----------------------------------|--------------------------|
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | <ul style="list-style-type: none"> • Raise the general knowledge at Sida about DRR. • To get simple tools for working with DRR, assessing risks etc. • To raise awareness within the organisation of the needs and linkages with poverty reduction. • Identify competent partners at local implementation level. | | | |
| COUNTRY PROGRAMMING | | | | |
| To what extent are hazards, vulnerabilities, capacities, and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes? How is DRR applied within Direct Budgetary Support mechanisms? | | | Level 3 | |
| What evidence did you collect to support this assessment? | Through Sida assessment memos, informal group meetings and written answers from Sida's departments for Infrastructure and Economic Cooperation; Natural Resources and the Environment; Cooperation with NGOs, Humanitarian Assistance and Conflict Management. Written policy briefs from strategy processes, e.g. the new Regional Strategy for Central America and the Strategy for Kenya. | | | |
| Why is the organisation at this level of mainstreaming? | <ul style="list-style-type: none"> • Sida's sector departments are in general aware of DRR issues in programme and projects. • In the country strategy process Sida requires an Environmental policy Brief to be carried out at an early stage which includes recommendations to the forthcoming strategy process on DRR issues. This is done by a helpdesk. • In all Sida's assessments of support, risk assessment is included which offers a possibility to also address DRR. • Sida is aware that DRR must be incorporated in the country and regional cooperation strategies, managing Sida's cooperation with a country or region. Awareness is there and the organisation is developing a process to ensure that this is done. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | <ul style="list-style-type: none"> • A higher knowledge and understanding for DRR is needed among Sida's staff. • Capacity building and communication. • Sida is concentrating the amount of sectors, which leads to reluctance to handle 'new' issues. • High workload, at Sida in general. • DRR concerns several departments and has no evident home in the organisation, however, progress is, for instance, Sida's work with the World Bank towards introducing DRR in PRSP. | | | |

| PROJECT CYCLE MANAGEMENT | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|--------------------------------------|-----------------------------------|---|---------------------------------|
| How is DRR integrated into project planning, implementation, evaluation and re-design processes? | | | | Level 3 | |
| What evidence did you collect to support this assessment? | Through Sida assessment memos, informal group meetings and written answers from Sida's departments for Infrastructure and Economic Cooperation; Natural Recourses and the Environment; Cooperation with NGOs, Humanitarian Assistance and Conflict Management. | | | | |
| Why is the organisation at this level of mainstreaming? | <ul style="list-style-type: none"> • In all Sida's assessments of support, risk assessment is included which offers a possibility to also address DRR. • Sida's department for Infrastructure and Economic Cooperation has been working actively with DRR within recovery projects after several disasters (Hurricane Mitch, Tsunami 2004 etc), as well as with environmental programmes. | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | <ul style="list-style-type: none"> • Sida's management needs to prioritise DRR-issues to a greater extent. • In a structured way, to handle recovery after disasters, and involving all relevant Sida departments (extended cooperation between different Sida departments). • Raise the general knowledge about DRR. • Long-term development departments and humanitarian assistance section needs to cooperate to a greater extent. • There is not a systematic risk assessment considering natural disasters in all assessments. Easy applicable tools are needed. | | | | |

| EXTERNAL RELATIONS | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|---|--------------------------------------|-----------------------------------|---|---------------------------------|
| How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders? | | | Level 2 | | |
| What evidence did you collect to support this assessment? | Through Sida assessment memos, informal group meetings and written answers from Sida's departments for Infrastructure and Economic Cooperation; Natural Recourses and the Environment; Cooperation with NGOs, Humanitarian Assistance and Conflict Management. | | | | |
| Why is the organisation at this level of mainstreaming? | <ul style="list-style-type: none"> • DRR-components are present in the projects, however, Sida does not manage the DRR dialogue on a national level. In addition, different level of engagement in DRR in different regions and countries sets the base for dialogue. • To some extent, DRR issues are in dialogue in environment projects, education projects etc. • Sida supports Stockholm Environment Institute, SEI, in increasing the knowledge and developing tools for climate change risk screening and management. The stakeholders addressed are national government, NGOs and multilateral and bilateral development agencies. | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | <ul style="list-style-type: none"> • Raise the general knowledge at Sida about DRR. • High workload at Sida, in general. | | | | |

| INSTITUTIONAL CAPACITY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|--------------------------------------|-----------------------------------|---|---------------------------------|
| In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas? | | Level 1.5 | | | |
| What evidence did you collect to support this assessment? | Through Sida assessment memos, informal group meetings and written answers from Sida's departments for Infrastructure and Economic Cooperation; Natural Resources and the Environment; Cooperation with NGOs, Humanitarian Assistance and Conflict Management. | | | | |
| Why is the organisation at this level of mainstreaming? | <ul style="list-style-type: none"> • Staff resources - Sida has one person dedicated to climate change issues and 0.3 person to DRR. Others are involved in their normal capacity. • Sida is in the first phase of implementation of the Sida strategy developed 2006. | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | <ul style="list-style-type: none"> • DRR needs to be prioritised by Sida's management. • Too few personnel and economic resources allocated to carry out the strategy which is ambitious. • DRR concerns several departments and has no evident home in the organisation. | | | | |

Swiss Agency for Development and Cooperation (SDC)

Assessing DRR Mainstreaming

| | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|----------------------------|---|--|
| POLICY | | | | |
| Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies? | | | SDC DRR guidelines are currently being drafted and will complete and/or replace earlier documents on specific DRR topics. Policy dialogue on DRR is ongoing within SDC. | 'Prevention+Preparedness' is recognized as one of the four domains of activities of the SDC Humanitarian Aid Department. |
| What evidence did you collect to support this assessment? | Frequent in-house discussions and consultations on DRR topics. Internal P+P (Prevention and Preparedness) Steering Group, which meets regularly. SDC policy statements at international conferences on DRR, such as at this year's IDRC in Davos. | | | |
| Why is the organisation at this level of mainstreaming? | The main impulses came through the SDC Humanitarian Aid Department and were often connected with SDC's involvement in recovery and reconstruction activities after disasters. The importance of DRR is being recognized by the SDC Board of Directors. However, further mainstreaming needs to be done, in particular with the SDC's development branch. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | The number of cross cutting and mainstreaming issues is overwhelming and hence clear priority setting is a major challenge. The SDC Portfolio Analysis (2005–2006) has not captured adequately SDC's DRR activities, which continue to appear under different labels. A coherent approach to DRR hence remains a key challenge, as well as further promoting awareness on DRR issues across all relevant SDC units at HQ as well as in the field. | | | |
| STRATEGY | | | | |
| How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes? | | | The normative level of the DRR guidelines will be a 'class b' paper (second highest class). Responsibility for implementation of the strategy will be separate for the development and humanitarian aid sector of SDC. Hence consultation mechanisms between the two branches implementing the DRR strategy will need to be strengthened in order to ensure coherence. | Strategy and concept papers are available and being regularly revised. |
| What evidence did you collect to support this assessment? | Decision by the SDC Board of Directors to issue SDC guidelines on DRR which will be applicable for the development as well as humanitarian aid branch of the organization. | | | |

Swiss Agency for Development and Cooperation (SDC) Sheet 2

| STRATEGY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|---|--|--|
| Why is the organisation at this level of mainstreaming? | SDC employs several DRR experts either as regular staff or as consultants. Thanks to their efforts and also the strong commitment of some of its senior managers (in particular the Head and Deputy Head of the Humanitarian Aid Department), DRR is increasingly recognized as a key area of work for SDC. The vast experience of SDC in disaster relief and recovery programmes was also instrumental in raising awareness for the need for more investment in DRR. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | A tendency to produce a huge amount of paper work (from project concepts to country concepts to regional concepts), often 're-inventing the wheel'. DRR guidelines should help to provide more coherence and help also in the 'knowledge management process'. | | | |
| COUNTRY PROGRAMMING | | | | |
| To what extent are hazards, vulnerabilities, capacities, and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes? How is DRR applied within Direct Budgetary Support mechanisms? | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs Development and technical cooperation: DRR is not yet fully recognized as an integral part of the planning process. Humanitarian aid: Support for DRR is increasingly part of the overall commitment in recovery situations after disasters. | LEVEL 3 Development of solutions By organizing regional mainstreaming workshops (first held in October 2006 in Armenia), SDC endeavours to contribute to promote DRR as an integral part of country strategies and programmes. The humanitarian aid budget of SDC allows investment in DRR (SDC uses about 10% of its humanitarian aid budget for DRR and preparedness activities). | LEVEL 4 Full integration In Central Asia, Central and South America, Southern Caucasus, the SDC has designed and is implementing national and/or regional preparedness and DRR programs. |
| What evidence did you collect to support this assessment? | Regional and country programs and bilateral cooperation strategies. | | | |
| Why is the organisation at this level of mainstreaming? | SDC's development portfolio comprises key priorities like governance, gender, rural development and environment. Mainstreaming of DRR has to be undertaken within these priorities, rather than as a separate priority. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Resources from SDC's development budget cannot easily be reallocated to DRR project. The approval of the DRR guidelines should, however, help to raise organization-wide awareness and set clear priorities. | | | |

| PROJECT CYCLE MANAGEMENT | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|--------------------------------------|-----------------------------------|---|---------------------------------|
| How is DRR integrated into project planning, implementation, evaluation and re-design processes? | | | | SDC is in the process of integrating DRR in its Project Cycle Management, in accordance with its DRR guidelines, which will be finalized shortly. | |
| What evidence did you collect to support this assessment? | The process has been launched. | | | | |
| Why is the organisation at this level of mainstreaming? | The main impulse was given by the Humanitarian Aid Department. | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | The inclusion of DRR projects in the SDC Project Cycle Management is a new development. Special training courses are planned for 2007. | | | | |

| EXTERNAL RELATIONS | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|--------------------------------------|---|---|---|
| How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders? | | | Discussion of DRR issues in executive boards of various UN agencies needs to be further promoted. | | SDC established in 2002 the ISDR Support Group. It took a lead role in the Kobe process and the elaboration of the Hyogo Framework for Action (Chairmanship by the Deputy Head of Swiss Humanitarian Aid). It plays a key role in the current process of strengthening the ISDR system. SDC is also an active stakeholder in the ProVention Consortium, and e.g. organized in 2005 a regional DRR Conference in Nicaragua and contributed substantially to the IDRC in Davos in August 2006. SDC is also following actively the desertification Convention and is a member of the GEF Council. |
| What evidence did you collect to support this assessment? | SDC's commitment and support to ISDR, its role in the WCDR in Kobe, as well as the outcome of conferences mentioned above (External relations: level 4). | | | | |

| | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|---|---|---|---|
| EXTERNAL RELATIONS | | | | |
| Why is the organisation at this level of mainstreaming? | SDC is well positioned in Geneva and thus has a comparative advantage over other governments with regards to its proximity to several multilateral key DRR actors | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Highly complex multi-stakeholder process. Different and sometimes competing agendas of DRR stakeholders. Limited human resources available to SDC for its major multilateral involvement, particularly with the ISDR. | | | |
| INSTITUTIONAL CAPACITY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas? | | The appointment of SDC DRR focal points for various disaster prone countries is currently under discussion. | | At HQ level, the SDC Prevention and Preparedness team (P+P team) is dealing with DRR issues on an ongoing basis. The group includes DRR experts which are working for the SDC as consultants. |
| What evidence did you collect to support this assessment? | The work carried out by the P+P team and its advisory role and influence for promoting DRR. | | | |
| Why is the organisation at this level of mainstreaming? | The Humanitarian Aid Department is the main driver of this process. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Coordination between the humanitarian aid and development branches of SDC on DRR needs to be further improved. | | | |

UK Department for International Development (DFID): a self-assessment

Assessing DRR Mainstreaming

| | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|----------------------------|----------------------------------|--------------------------|
| POLICY | | | | |
| Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies? | | | X | |
| What evidence did you collect to support this assessment? | Policy paper agreed at Ministerial level. Commitment to report to Parliament on implementation after 18 months of the policy launch. Senior management endorsement. Further paper published setting out DFID's policy with respect to DRR being a development concern. DRR incorporated into DFID Corporate Risk register, and DFID's Third White Paper. | | | |
| Why is the organisation at this level of mainstreaming? | Would be level 4 but mainstreaming across the organisation not yet fully achieved. Breadth of involvement is good, e.g. most relevant geographical departments and a number of non-geographical departments. But greater depth of involvement required in some cases, e.g. down to programme manager level. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Establishing appropriate mechanisms for transmitting best practice. It is hoped that training modules currently being developed will address this, and be modified as necessary to address specific needs. DRR is still based within the Conflict, Humanitarian and Security Department, and not development. More needs to be done to improve coordination between headquarters and regional/country offices. Focal points established in 14 disaster-prone country offices to help resolve this. | | | |
| STRATEGY | | | | |
| How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes? | | | X | |
| What evidence did you collect to support this assessment? | Comprehensive mainstreaming strategy adopted and endorsed by senior management, progress against which will be reviewed by the UK Parliament in 2007. | | | |
| Why is the organisation at this level of mainstreaming? | Most requirements of level 4 are met, except that the detailed mainstreaming strategy is not reflected in internal and external documents, only the mainstreaming commitments of the higher level policy document are reflected in this way. DRR spending still not recorded as a separate item in budget lines. Not all offices committed to DRR. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Managing more work with less staff time. Other competing priorities. Looking to address both of the above by creating tools to integrate DRR into work plans rather than increasing workloads. Also making the quantitative and qualitative case that development programmes benefit from DRR being incorporated. | | | |

| COUNTRY PROGRAMMING | | | | |
|--|---|-----------------------------------|---|---------------------------------|
| | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| To what extent are hazards, vulnerabilities, capacities, and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes? How is DRR applied within Direct Budgetary Support mechanisms? | | X | | |
| What evidence did you collect to support this assessment? | Pilot risk assessment about to take place with more to follow. These pilots will be initiated by headquarters, but with a view to developing the processes and skills to ensure that in future, risk assessments and the design of appropriate responses will be taken on by country offices. Training is currently being developed towards this end. Possibility of integrating with climate risk assessments being discussed. DRR advisors are present on the quality assurance group that agrees all new country assistance strategies. | | | |
| Why is the organisation at this level of mainstreaming? | Too early to comment on DRR in direct budgetary support as the new country assistance strategies are only just being finalised. Ongoing risk assessments at country level are not yet the norm. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Skills and knowledge needed at programme manager level. Training will address this. | | | |
| PROJECT CYCLE MANAGEMENT | | | | |
| | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| How is DRR integrated into project planning, implementation, evaluation and re-design processes? | | | X | |
| What evidence did you collect to support this assessment? | Mainstreaming included in department's best practice guide to programme management. Guidance to DFID Economists includes chapter on DRR. Integrated into relief programmes with high level commitment to spend up to 10% of any relief response to a major natural disaster on DRR where appropriate activities can be identified. Currently being integrated into country assistance plans. | | | |
| Why is the organisation at this level of mainstreaming? | See below. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Again, skills and knowledge needed at programme manager level. To be addressed in training mentioned above. More time and resources need to be allocated to monitoring and evaluation. | | | |

| EXTERNAL RELATIONS | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|--------------------------------------|-----------------------------------|---|---------------------------------|
| How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders? | | | | X | |
| What evidence did you collect to support this assessment? | Four DFID funded ODI seminars on DRR taking place October/November. DFID's formal institutional partnerships with UNDP and OCHA contain specific goals on building DRR in these agencies and other partners, e.g. governments and regional organisations. Also providing £1 million a year to support ISDR and further supporting its capacity by providing an expert to its panel of advisors. Involved in supporting the ISDR reform process. Regular engagement with other donors through work with ProVention and the World Bank Facility, and looking now at how it might be pursued through the Good Humanitarian Donorship forum. £4.3 million over three years committed to the World Bank Facility for Disaster Risk Reduction. Support to six NGOS through the Conflict, Humanitarian and Security Fund. This group meets every three months to ensure coordination, and annually to report to DFID. £3 million support to IFRC for DRR. Scoping study about to be carried out to look at ways that we could work with the private sector. | | | | |
| Why is the organisation at this level of mainstreaming? | All parts of level 4 are being achieved, but there is no specific stakeholder analysis taking place (as per level 3) nor is one planned. Stakeholder analysis is being done at different levels as part of the on-going work towards mainstreaming, for instance country offices will carry out DRR stakeholder analysis as they come to implement their strategies, along with similar analyses for other types of assistance. This makes the scoring for this one difficult. | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Coordination between partners, e.g. between NGOs working at the community level and higher level work with the World Bank on its PRSPs. | | | | |

| INSTITUTIONAL CAPACITY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|--------------------------------------|-----------------------------------|---|---------------------------------|
| In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas? | | | | X | |
| What evidence did you collect to support this assessment? | A core staff of four are on-hand at headquarters level to provide advice, and there are two regional advisors with responsibility for DRR also in place (Caribbean and Asia). HQ staff linked to country level staff through DRR focal points, with network established so that focal points and HQ advisors will meet by video conference every two months. | | | | |
| Why is the organisation at this level of mainstreaming? | DFID is somewhere between level 3 and 4. DFID is beyond the planning stage for level 3 A, and is already implementing the plans to 'develop a supportive institutional environment for mainstreaming Disaster Risk Reduction.' Level 3 B is mostly complete, with indicators for progress against the mainstreaming plan. | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Difficult to put in place systems to check progress against financial commitments, e.g. an increase in spending on DRR. Discussions are underway as to how this might be achieved without excessive work. Need for more staff capacity. Still under humanitarian budget line. | | | | |

United Nations Development Programme (UNDP)

Assessing DRR Mainstreaming

| POLICY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|--|--|--|
| <p>The organisation has little or no understanding of the relevance and importance of DRR for its relief and development policy and practice.</p> <p>Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies?</p> <p>COMMENTS from UNDP:</p> <p>1 In this first 'area' of the framework, UNDP addresses how the organisational structure and institutional arrangements have incorporated DRR, in addition to the policy, strategy and capacity indicators/areas of mainstreaming. (See attached explanatory note on identified need for this.)</p> | <p>The organisation has little or no understanding of the relevance and importance of DRR for its relief and development policy and practice.</p> | <p>A There is general awareness within the organisation of the significance of disasters for its relief and development work, including the extent of the threat that disasters pose to the organisation's long term development goals and objectives.</p> <p>B The organisation recognises the need for relief and development to be linked in a coordinated approach to reducing disaster risks.</p> | <p>A The organisation has a conceptual framework for disaster management which recognises vulnerability as contributing to the risk of disasters.</p> <p>B A wide cross section of staff are engaged in a consultative process to EITHER:</p> <p>a) inform the development of a policy which commits the organisation to mainstreaming DRR within the organisation's relief and development operations OR;</p> <p>b) incorporate risk reduction mainstreaming into the organisation's existing policy structure.</p> | <p>A The organisation has a 'policy' on DRR with realistic, achievable goals for mainstreaming. This is understood and accepted across the organisation.</p> <p>B The organisation's risk reduction policy commits it to addressing three critical issues:</p> <p>a) ensuring that development programmes/projects supported by the organisation are protected through DRR elements</p> <p>b) ensuring that disaster relief and rehabilitation programmes/projects are managed in a developmental manner.</p> <p>c) ensuring that development, relief and rehabilitation programmes/projects do not increase people's vulnerability to disasters.</p> <p>C the risk reduction policy is fully endorsed by senior management.</p> <p>D the risk reduction policy is reflected in internal and external documents.</p> |
| | | | <p>1 Policy level</p> <p>UNDP focuses efforts on DRR through the Crisis Prevention and Recovery (CPR) Practice Area (one of UNDP's three current 'practice areas' – in addition to poverty reduction, democratic governance, energy and environment; and HIV/AIDS).</p> <p>UNDP's new strategic framework 2008–12, explicitly recognises the need to promote risk reduction and disaster preparedness within all aspects of its development work.</p> | |

| POLICY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|-------------------------------|----------------------------|--|--------------------------|
| <p>2 General/explanatory comment: In practice, 'mainstreaming' has been applied at 2 levels in UNDP: one, from within the DRM practice area – it has been considered important to encourage a shift from programming for disaster management activities which address response, recovery, mitigation and preparedness in a phased manner, to a more integrated approach of mainstreaming risk reduction as an underlying principle for all activities associated with response, recovery, preparedness and mitigation. The second area of mainstreaming has been 'integration' of the disaster risk management practice with 'development areas' of activity. UNDP thinks it important to integrate risk reduction standards and measures into how 'development activities' in the field of education, environment, health, infrastructure, poverty reduction, livelihoods, governance etc are planned for, and delivered – while considering the underlying risk factors. In other words, mainstreaming risk reduction as an underlying principle and outcome of all development activity has been the second area of mainstreaming work for, and within, UNDP.</p> | | | <p>The Bureau for Crisis Prevention and Recovery (BCPR) is the practice leader for CPR within/for UNDP. A repository for tools, methods and comparative experiences, BCPR provides expertise on conflict prevention and disaster reduction and recovery issues to UNDP Country Offices, UN Country Teams, Regional Bureaus and UN Headquarters.</p> <p>2 Institutional arrangements</p> <p>BCPR works closely with its country and regional staff substantially focusing its technical knowledge and financial resources in support of disaster risk reduction and recovery activities.</p> <p>Within UNDP, BCPR fulfils this technical advisory service for disaster reduction and recovery issues specifically through the work of the Disaster Reduction and Recovery Team (DRT).</p> <p>DRT extends focused support to UNDP at the corporate and national level, to mainstream DRR into development priorities of UNDP, UN partner agencies/ UN Country Teams, and national government counterparts.</p> <p>In 2004, UNDP adopted a conceptual framework for understanding disaster risk and a tool to measure relative risks and vulnerabilities – the Disaster Risk Index.</p> <p>UNDP is presently developing guidance and tools to enhance staff capacities for mainstreaming DRR across UNDP's work at the corporate (cross practice areas such as governance, poverty reduction, environment and conflict/crises interfaces), and national level (with UN Country Teams).</p> | |

| | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|----------------------------|----------------------------------|--------------------------|
| POLICY | | | | |
| What evidence did you collect to support this assessment? | Analysing key UNDP/UN Policy and strategy documents: <ul style="list-style-type: none"> • Reducing Disaster Risks Report (2004) • Multi Year Funding Framework Results reporting 2004-07 • Strategic Planning Framework Priorities 2008-12 • Secretary General's high level panel report 'Delivering as One' (2006). Analysing staff learning, training and development | | | |
| Why is the organisation at this level of mainstreaming? | There have been different levels of influence regarding UNDP's DRR (mainstreaming) approach: <ol style="list-style-type: none"> 1 External factors/context a) Major natural disaster events in past years, have motivated significant DRM efforts across all regions. b) Compelling evidence linking climate change to increasing disaster risk raised political awareness over the past couple of years. c) Also, there is increasing evidence that 'crises' and development processes have mutual impacts, and that prospective and 'risk aware' development planning can actively reduce disaster risks. 2 Institutional response As a development agency that works in 'special development situations' UNDP has attempted to factor this mutual link between crises and development, into all plans and activities supported at the national level. 3 The Secretary General's recent High level Panel Report on 'Delivering as one' (2006) recommends that UNDP, on behalf of the UN system, is to assume the role of UN leader and coordinator for early recovery from natural disasters at the national level. The SG's report also recommends that UNDP take the lead in supporting governments with articulating national development strategies that address risk reduction priorities explicitly. 4 In parallel, UNDP has been at the forefront of influencing and advocating for risk reduction priorities at the global and national level – amongst donors, bi lateral agencies and UN system partner agencies. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | <ol style="list-style-type: none"> 1 External context Approach to disaster risks at national levels remains one of 'disaster management' rather than 'vulnerability reduction' across many response centric disaster management institutions. 2 Internal/institutional context Past experience across regions suggests that UNDP has the capacity and expertise to 'deliver solid support to countries' in CPR programming. However, there is acknowledgement that it should concentrate on doing more to help address risks before crises occur – especially pertinent to disaster risk reduction efforts, as a majority of UNDP's past support to countries has been in post-disaster recovery operations. | | | |

| | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|-----------------|--|--|--|--|
| STRATEGY | | | | |
| | Where the organisation undertakes DRR, it is done on an ad hoc basis and there is little or no recognition of the need for a strategic approach to reducing risks. | <ol style="list-style-type: none"> The organisation recognises that ad hoc decision making for DRR is inadequate. There is widespread awareness of the need to develop a strategic approach to risk reduction across the organisation, in response to policy directives. | A wide cross section of staff are engaged in a consultative process to EITHER: <ol style="list-style-type: none"> develop a strategy which mainstreams risk reduction within the organisation's relief and development operations, or, ensure that mainstreaming DRR is a component of the organisations' existing strategy framework. | <ol style="list-style-type: none"> The organisation has a comprehensive mainstreaming strategy based on the conceptual framework and policy. The strategy is fully endorsed by senior management. The strategy is reflected in internal and external documents. |

| STRATEGY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|-------------------------------|----------------------------|---|--------------------------|
| <p>How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes?</p> | | | <p>DRR has been integrated into UNDP's strategic framework's priorities since 2003, through a 'service line' dedicated to 'natural disasters'. (Within the Multi Year Funding Framework results reporting, 2004-2007).</p> <p>With UNDP's new Strategic Planning Framework 2008-2012 - which replaces the MYFF with effect from 2008, there is explicit recognition of DRR benefits and the need to 'promote disaster preparedness within all aspects of its work - conflict prevention, disaster recovery and peace building - as well as broader development agenda of UNDP' (BCPR strategy, Jan 2007).</p> <p>Since 2005, CIDA has supported this component of UNDP-BCPR's 'strategy' through a 'global initiative on mainstreaming risk reduction'. This initiative seeks to influence Bureau wide priorities whilst developing tools that enable UNDP country office staff to more effectively integrate risk reduction into UNDP's portfolio of development activity across the world. The Global Mainstreaming Initiative on Disaster Reduction encompasses UNDP's perspective on mainstreaming risk reduction.</p> <p>In 2006, efforts to integrate risk reduction into all CPR activities have concretised through a project that seeks to explore 'disaster-conflict interfaces' - and propose an integrated framework for dealing with 'crises risks'.</p> | |

| STRATEGY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|----------------------------|----------------------------------|--------------------------|
| What evidence did you collect to support this assessment? | Analysing key UNDP/UN Policy and strategy documents: <ol style="list-style-type: none"> 1 Programme Concept of the Disaster Reduction and Recovery Team 2007–2011 2 Multi Year Funding Framework Results reporting 2004–2007 3 Strategic Planning Framework Priorities 2008–2012 4 Project information on the 'Global Mainstreaming Initiative for Disaster Risk Reduction' (2007) | | | |
| Why is the organisation at this level of mainstreaming? | UNDP has focused the increased momentum for DRR at the global and national level, by emphasising two approaches: the development of national and local capacities for risk reduction, and building global and national partnerships for sustaining risk reduction measures – as a key development priority for the UN and national governments. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | There is still a need to integrate risk reduction priorities and analysis across UNDP's work on other development priorities. UNDP is presently addressing this gap by developing tools and guidance which will explore the links between DRR and other practice areas; and identify entry points for such integration especially in work on governance, poverty reduction and environment. | | | |

| GEOGRAPHICAL PLANNING /COUNTRY PROGRAMMING | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|--|--|--|
| | The organisation has little or no awareness of the need to consider disaster risks within geographical planning. | <p>A. widespread understanding of the disaster-risk-vulnerability relationship at relevant geographical levels, and of the impact of disasters on the organisation's work in a given geographical area.</p> <p>B. widespread understanding of the need to apply policy commitment to risk reduction within geographical planning (including direct budgetary support mechanisms).</p> <p>C. organisation is considering how existing geographical planning tools can be re designed to take account of hazards, risks and vulnerabilities.</p> | The organisation is developing a process to ensure that all planning frameworks include DRR (in order that planning is undertaken as outlined in level 4). | <p>A There is ongoing analysis of the disaster environment in any given location (i.e. assessment of hazards, disaster impact, vulnerabilities and risks). This analysis involves the perspectives of local communities, NGOs and other stakeholders.</p> <p>B Appropriate risk reduction strategies are developed on the basis of the above and integrated into new geographical plans as a matter of course.</p> <p>C Where the organisation focuses on Direct Budgetary Support, it seeks the inclusion of disaster risk assessment and risk reduction in the national planning frameworks of disaster-prone countries (e.g. NSSDs and PRSPs).</p> |

| GEOGRAPHICAL PLANNING /COUNTRY PROGRAMMING | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|--|---|---|
| <p>To what extent are hazards, vulnerabilities, capacities, and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes?</p> <p>How is DRR applied within Direct Budgetary Support mechanisms?</p> <p>GENERAL COMMENT</p> <p>UNDPs efforts at mainstreaming are carried out with a two pronged approach to address:</p> <p>a) internal efforts (within UNDP – HQ, Regional Centres and COs) to mainstream DRR into policies, cross-practice activities, project planning, LPAC processes, Project Documents etc. and;</p> <p>b) assess the results of the above efforts on-the-ground, i.e. evidence of government policy change in ministries and local government, quantifiable successes, endorsement, etc. that reflect the actual changes or lack of changes within a given country.</p> | | <p>There is widespread understanding of the disaster-risk-vulnerability relationship and the impact of disasters – evidence has been furnished by various global and national level studies for the same.</p> <p>UNDP at the national level is encouraging a systematic assessment of risks and vulnerabilities, to enable country planning frameworks with concrete risk evidence which will inform development policies and programming.</p> | <p>In particular, the UN Common Country Assessments (UNCCA), and Development Assistance Frameworks (UNDAF) have been supported with guidance from BCPR on how to integrate risk assessments and risk considerations into country wide planning frameworks, in support of national government efforts.</p> | <p>Level 4 A</p> <p>Ongoing analysis of hazards/environment is something UNDP country offices engage with across different contexts. Unfortunately, a thorough disaster risk analysis has often been spurred in response to major disaster events, whereby an assessment of disaster impacts and vulnerabilities has been considered vital in the aftermath. However, more prospective planning and risk assessments are being incorporated across other countries in regions affected by major disasters in the past years, e.g. Asia.</p> |
| <p>What evidence did you collect to support this assessment?</p> | <p>Analysing key UNDP/UN Policy and strategy documents:</p> <ul style="list-style-type: none"> • Reducing Disaster Risk Report (2004) • PRSPs/Country Planning Frameworks (various: 2003–2007) • UNCCA/UNDAF guidance note | | | |
| <p>Why is the organisation at this level of mainstreaming?</p> | | | | |

| GEOGRAPHICAL PLANNING /COUNTRY PROGRAMMING | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|----------------------------|----------------------------------|--------------------------|
| <p>What challenges (in this area) does the organisation encounter, and how could these be overcome?</p> | <p>UNDP is at various levels of mainstreaming DRR into its country programming/geographical planning, depending upon the country and region. i.e. UNDP is at different levels of mainstreaming across countries and regions, and thus, faces different kinds of challenges as enlisted below:</p> <ol style="list-style-type: none"> 1 Continued pre-eminence of emergency response institutions/actors across all regions. The conceptual shift from ‘disaster management’ to ‘vulnerability reduction’ hasn’t been too well adapted across many countries’ central planning institutions. 2 Unequal efforts directed at national versus local level. At the national level there is great emphasis placed on developing stronger institutional and legislative systems, while a similar thrust is often lacking at the intermediate and local levels. 3 Lack of sustained efforts, and engagement in integrating risk reduction with other development priorities of countries. 4 Front-loaded donor driven DRM projects that inhibit sustained investment for risk reduction from national budgets. 5 Lack of commonly accepted and widely utilised tools for tracking progress in DRR. 6 Vulnerabilities are often socio-politically demarcated – and hence, geographical planning even where applied in programming at the national level, typically doesn’t cover the range of sociological and economic issues presented by issues of land rights, coastal zone regulations, etc. | | | |

| PROJECT CYCLE MANAGEMENT | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|--|---|--|
| <p>How is DRR integrated into project planning, implementation, evaluation and re-design processes?</p> | <p>The organisation has little or no understanding of the importance of addressing hazards, risks and vulnerabilities within the project cycle management.</p> | <p>A The organisation recognises a need for reducing disaster risks within every aspect of project cycle management, for the dual purpose of:</p> <ul style="list-style-type: none"> • protecting projects from disaster impact • ensuring that new projects do not increase disaster risks or enhance vulnerability. <p>B The organisation is considering how existing project cycle management tools can be re designed to take account of hazards, risks and vulnerabilities.</p> | <p>The organisation is developing an approach to ensure hazards, risks and vulnerabilities are addressed within project planning, implementation and evaluation according to the local context.</p> | <p>A Project cycles routinely incorporate disaster risk reduction in planning implementation and evaluation, for the dual purpose outlined in level 2.</p> <p>B Recommendations arising from monitoring and evaluation inform project (re)design.</p> <p>C Where explicit disaster risk reduction programmes are established, these are linked to the organisation’s humanitarian/development programmes.</p> |
| | <p>UNDP’s activities towards including risk considerations in aspects of project cycle management are taking place at two levels: Bureau/corporate level: the inclusion of disaster risk considerations in all country/regional level projects is encouraged by requesting technical inputs from the DRT.</p> | <p>UNDP is in the process of developing a specific training module (as part of a larger training and learning facility for Disaster Reduction and Recovery) on ‘Mainstreaming DRR’. Through this UNDP hopes to develop contextualised approaches towards ensuring that risk and vulnerability considerations are specifically addressed within project planning, implementation and evaluation contexts.</p> | | |

| PROJECT CYCLE MANAGEMENT | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|---|---|---|
| | | At the country level, incorporation of disaster and environment risk assessments is encouraged in BCPR funded projects specific to DRR and disaster recovery. National country programmes are informed through guidance provided on the UNDAF and follow up UNDAF processes to ensure the integration of DRR, as appropriate. | UNDP's present engagement with the 'disaster-conflict interface' project will also ensure that entry points for disaster risk sensitive programming are found in conflict prevention and transition recovery projects. There is an explicit recognition of the need to integrate disaster risk and vulnerability analysis with conflict analyses for interface scenarios. In a sense, UNDP is going a step further, in parallel, to develop tools and programming for 'crises risks'. | |
| What evidence did you collect to support this assessment? | <ul style="list-style-type: none"> Analyzing key documents such as country assistance strategies; Project proposals presented to BCPR from Country offices and regional bureaux in the past few months. | | | |
| Why is the organisation at this level of mainstreaming? | See below. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | <ul style="list-style-type: none"> Lacking 'evidence' to show why it pays to mainstream DRR considerations into development activities. No major incentives for national/local governments, country offices and regional bureau not yet directly affected by major disasters, to consider the benefits of mainstreaming DRR for prospective risk planning. | | | |
| EXTERNAL RELATIONS | | | | |
| | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| | Where the organisation undertakes DRR, it works dependently and has little or no awareness of the need to collaborate with others. | The organisation recognises that it cannot act alone in the field of DRR. | <p>A All relevant stakeholder's including implementing partners and collaborating bodies are being identified through a 'stakeholder analyses'.</p> <p>B. Linkages are being made with key stakeholders at local, national and international levels to raise awareness of the organisations risk reduction policy and strategy; to develop collaborative work; and to learn from other approaches/research.</p> | <p>A. the organisation supports, enables and invests in capacity development for risk reduction within its implementing partners.</p> <p>B the organisation collaborates with other key players and relevant regional or global coordinating or networking bodies, and information, expertise and resources are shared as required. Common policies and shared strategies may be developed.</p> <p>C. the 'public face' of the organisation reflects its DRR policy and strategy.</p> |

| EXTERNAL RELATIONS | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|----------------------------|---|---|
| <p>How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders?</p> | | | <p>UNDP has not formally undertaken a stakeholder analysis – but relevant partners and stakeholders at the global, regional and national level have been identified and common work plan priorities are being aligned.</p> <p>As part of this process, UNDP is also currently aligning countries for ‘focus’ with partners engaged in similar efforts. This will ensure that there are coherent efforts made at the national and regional level, and duplication of activities and dedicated funds is avoided. However, this alignment of focus between agencies will need some more time and effort to materialise.</p> <p>NOTE: UNDP is not necessarily progressing from level 3 to level 4 in this case, but happens to work on both levels simultaneously, and in this case, with more success on level 4 than 3.</p> | <p>UNDP is dedicating time and resources to strengthening capacity development and training support for DRR through the course of 2007. This training support, while initially targeted at UNDP staff, will also invite participation from donor and bilateral agencies interested in availing of such trainings.</p> <p>UNDP also collaborates with other key players at the national, regional and global level by coordinating activities and sharing relevant information and updates on events, news and priorities.</p> <p>UNDP’s public website portal adequately reflects its prioritisation of DRR issues.</p> |
| <p>What evidence did you collect to support this assessment?</p> | <p>Semi-formal interviews with relevant staff</p> | | | |
| <p>Why is the organisation at this level of mainstreaming?</p> | <p>UNDP – on behalf of the UN system – is invested with a responsibility for risk reduction and early recovery from natural disasters. In fulfilment of this lead role, UNDP has been spearheading activities with donor, bilateral and NGO partners for greater coherence in activities surrounding mainstreaming risk reduction into national policy, programmes and plans. UNDP has also been dedicated to clarifying institutional commitments to mainstreaming DRR in corporate policies, strategies and financial allocations.</p> | | | |
| <p>What challenges (in this area) does the organisation encounter, and how could these be overcome?</p> | <p>1 Lack of monitoring and evaluation tools for ‘checking’ outcomes of mainstreaming activity at all levels and by different stakeholders. 2 Lack of evident incentives – institutionally and developmentally, for mainstreaming DRR in policies, strategies and plans.</p> | | | |

| INSTITUTIONAL CAPACITY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|--|--|---|---|
| In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas? | | The organisation has little or no capacity to mainstream DRR and little or no recognition of their need to increase/develop its financial or human resources for this purpose. | The organisation recognises that it must develop appropriate capacity including sufficient resources to support the process of mainstreaming risk reduction. | <p>A Plans are being made to develop a supportive institutional environment for mainstreaming DRR.</p> <p>B Tools are being developed to assess the organisation's progress with mainstreaming.</p> | <p>A Institutional capacity is sufficient to support all the processes outlined in mainstreaming areas 1-5, i.e.:</p> <p>a) financial resources</p> <p>b) skills and knowledge (staff training, materials and appropriate technical support)</p> <p>c) strong cross organisational commitment and ownership of risk reduction policy and strategy at all levels</p> <p>B There are strong links between HQ and field staff, who have access to services and exchange of information.</p> <p>C Tools are routinely used independently and comprehensively to assess the organisation's progress with mainstreaming.</p> |
| | | | | <p>Under a recent re-organisation, capacities in BCPDR have been re-distributed with the intention of representing the issue of DRR across the different kinds of technical support the organisation extends to all regions. For instance, while there is a dedicated team for risk reduction and recovery within BCPDR, there is also a recognition that capacities for DRR need to be well spread over support the Bureau extends to regional bureaux and country offices across the regions.</p> <p>UNDP is keen to ensure that BCPDRs regional programme and support teams equally represent personnel capacities to deal with DRR and conflict related issues for all regions.</p> | <p>UNDP has sufficient financial allocations made to address the issue of disaster reduction and recovery. A wide portfolio of activities under the disaster risk reduction agenda is indicative of this institutional commitment.</p> <p>UNDP is currently developing trainings, reference materials and extending appropriate technical support for developing capacities of programme staff at the national level. UNDP is also keen to encourage cross practice meetings at the regional and Bureau level to address linkages with UNDPs' other practice areas on governance, poverty reduction, environment and conflict risks. The DRT is presently organising such Bureau wide support under the 'Training and Learning Facility' for DRR.</p> |

| INSTITUTIONAL CAPACITY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|----------------------------|---|--|
| | | | <p>Through the upcoming 'training and learning facility' for Disaster Reduction and Recovery, BCPR hopes to provide access to contextualised approaches towards ensuring that risk and vulnerability considerations are addressed by units/personnel across the Bureau, and at country office and regional level.</p> | <p>There are strong linkages between HQ and field staff – UNDP addresses DRR at the regional and national level through the presence of Disaster Risk Reduction Advisors across all regions.</p> |
| <p>What evidence did you collect to support this assessment?</p> | | | | |
| <p>Why is the organisation at this level of mainstreaming?</p> | <p>Recognition that risk reduction issues need to be well understood and represented across UNDP. The experience in most organisations has been to view Disaster Reduction and Recovery as a 'technical' or 'specialist' area of activity. This trend is perhaps intrinsic to the manner in which the 'discipline' or/and practice of DRR has evolved. UNDP is however, aware of this tangent and seeks to address it by providing capacity development and training support to staff working on cross practice areas (governance, environment, poverty reduction, conflict) so that DRR issues may be well understood and underpin development efforts across UNDP.</p> | | | |
| <p>What challenges (in this area) does the organisation encounter, and how could these be overcome?</p> | <p>1 Competing priorities for risk reduction across the regions that UNDP engages with. 2 Number of materials and trainings on/for DRR being developed – sometimes results in duplication.</p> | | | |

Notes on UNDP's response to Tearfund's framework:

Not all the documents referred to as evidence within the framework, can be attached. I.e. some of these might still be 'works in progress' and hence internal planning documents which cannot be shared. Nonetheless, these make reference to key shifts in institutional policy and strategy for DRR mainstreaming.

A bulk of UNDP reporting on results (as from the Multi Year Funding Framework) derives from the information volunteered by country office staff reporting on some/ different aspects of the progress made with mainstreaming DRR into planning and programming at the national level. However, the premise is that this is not a full representation of what efforts exist across regions – it's only a sample of the information reported/ offered in the annual results database. Other reporting processes are based on more informal feedback/ demand for funding across different service lines/ practice areas of UNDP.

A lot of the support that UNDP extends at the national level is based on technical/ advisory services – which are not often reported in the results database as indicating immediate/ concrete 'results' produced. However, sustainable impacts and key outcomes achieved with respect to national policy, strategy and development prioritization – as a result of UNDP's technical services on DRR mainstreaming, are highlighted in internal practice / case study documentation.

UNDP has found it challenging to prioritise DRR within the institutions' short term objectives viz other competing development priorities.

Under the present structure of the framework proposed by Tearfund, UNDP doesn't necessarily view placement in or across the levels as linear. In some instances, it was found that 'progress' in level 4 for instance, has been institutionally achieved without really addressing level 3 indicators entirely. Also, while UNDP is often placed across levels for different mainstreaming areas, its working at multiple levels instead of necessarily moving beyond one level to the next in linear progression.

Organizational structures/ institutional arrangements for DRR might be a key consideration when defining institutional adoption of 'mainstreaming DRR'. UNDP-BCPR's organizational structure, for instance, will reflect its institutional *policy, strategy* and *capacity* for mainstreaming DRR. Hence, it will be equally important to include how UNDP 'organizes' its capacities – rather than limit this assessment to the institutional 'enablers' for mainstreaming DRR. So for instance, under mainstreaming area 6 – on 'institutional capacity', an assessment of 'financial resources', 'skills and knowledge', 'commitment and ownership of risk reduction policy and strategy at all levels', and 'tools for mainstreaming' may act as 'enablers' for an institution committed to mainstreaming DRR, but perhaps would not necessarily indicate the 'structure' within which mainstreaming policy, strategy and capacity itself is organized. This latter point is equally important for the mainstreaming framework template to consider/ or indicate where such details of 'structure' or 'arrangements' can be best represented. UNDP includes this into area 1 – under Policy.

Perhaps an indicator for 'mainstreaming DRR' for an institution should also be the development, or/ and application of indicators to assess the points of linkage between DRR and other development priorities. I.e. for an institution to be able to mainstream DRR into its own work (presuming this institution is a 'development agency' such as UNDP) there needs to be some thinking and application around the entry points for such mainstreaming in practical terms. For UNDP, integration of DRR with other thematic areas – i.e. governance, poverty reduction and environment have been included under area 1 – Policy.

While the mainstreaming areas of the framework address the 'how' and the process of institutional mainstreaming – UNDP also thought it necessary to assess 'what' is achieved as an outcome of such institutional mainstreaming for DRR – for the institution itself, and for its 'clients'. How do we 'measure' or 'assess' the *outcomes* of institutional mainstreaming, since that seems like a desirable incentive for a donor institution to work with? It would be interesting to look at the different incentives that donor viz client organizations assess as being important outcomes to work towards/ with institutional mainstreaming of risk reduction.

UNDP factors the *internal efforts* as well as the *external impacts/ outcomes* of mainstreaming DRR in its submission. The framework's present template represents a 'mix' of mainstreaming efforts for an agency like UNDP: at one level it records mainstreaming efforts within/for UNDP, and at another level – by UNDP/for national (government) counterparts. UNDP – perhaps unlike most other 'donors' being currently assessed is in the unique position of being an 'actor' at the national level. Hence – the need to capture its added input of mainstreaming institutionally (at the corporate level) but also (and perhaps more importantly) at the outcomes level of efforts 'on the ground'. This point is further elaborated under mainstreaming area 3: geographical planning/ country programming, where this point of difference between the mainstreaming efforts within the institution, and the impact of such efforts on the ground, needs to be assessed.

| POLICY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|-------------------------------|----------------------------|----------------------------------|--------------------------|
| Does the organisation have a policy on DRR (which supports mainstreaming in the organisation), or have modifications been made to existing policies? | | | | Efforts ongoing. | |
| What evidence did you collect to support this assessment? | World Bank policies and procedures for Emergency Response (OP/BP 8.50) have been recently revised and approved by the Bank's Board of Directors on February 27, 2007. The revised policy aims to ensure a more flexible and strategic response to all emergencies, and provides for integration of DRR principles into its development operations, particularly the country assistance strategies. | | | | |
| Why is the organisation at this level of mainstreaming? | Revision of the policy has been ongoing for about five years, and since 1998, the Hazard Risk Management Team (formerly Disaster Management Facility) has been working to promote mainstreaming of DRR. Recent large catastrophes (2004 Indian Ocean tsunami, 2005 south Asia earthquake, record hurricane season in the Caribbean) have also raised the profile of DRM at the highest levels to spur action. | | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Related to the policy changes, there will need to be an acceptance of a higher level of risk with Bank engagement if the institution is act more flexibly in post-disaster response (but this is less related to mainstreaming DRR). There will also need to be a significant training and dissemination program to accompany the new policy; this is being planned. Also, while the Emergency Policy emphasizes the need for addressing long-term DRR in 'standard' development investment operations, this is a separate policy than those related to 'normal' development projects, where mainstreaming is needed. Other efforts are underway to achieve mainstreaming through other mechanisms (see below). | | | | |
| STRATEGY | | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| How strategic is the organisation in ensuring that DRR is integrated into its development and relief processes? | | | | Ongoing. | |
| What evidence did you collect to support this assessment? | The recent World Bank IEG evaluation, <i>Hazards of Nature, Risks to Development</i> recommended the development of a disaster-related strategy or action plan which, as well as supporting improved emergency response operations, should 'make provisions to give more attention to natural hazards during the appraisal of investment projects generally, and specifically in the preparation of PRSPs, CASS, and other strategic documents.' A Strategic Framework for Disaster Risk Reduction has been approved by the Bank's Board of Directors on February 27, 2007. This aims at assisting its client countries that suffer from or are at risk of high mortality and economic losses due to multiple natural hazards, to mainstream risk management in country development strategies for good governance, sustainable economic growth and poverty reduction. | | | | |
| Why is the organisation at this level of mainstreaming? | The Framework has been developed over several years, based on early successes at the country level of identifying highly vulnerable countries/areas/sectors through risk assessment, developing a menu of options for reducing risk, and exploring more efficient mechanisms for <i>ex ante</i> risk financing. (See country case studies and risk management strategies prepared for Mexico, India, Vietnam, ECA region, Philippines, EAP region, etc.) In many cases, country studies are upscaled into major investments for DRR. | | | | |

| STRATEGY | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|----------------------------|----------------------------------|--------------------------|
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | A key challenge is that the Bank is decentralized, and each country unit and borrowing government must be convinced of the benefits of investing in DRR. This requires a global effort of identifying the countries most at risk, undertaking the necessary country level analysis, and gaining country level ownership of the need to invest in DRR. See below for more detail. | | | |

| COUNTRY PROGRAMMING | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|----------------------------|---------------------------------------|--|
| To what extent are hazards, vulnerabilities, capacities, and risks assessed in different locations, and risk reduction strategies integrated into new country strategies and programmes? How is DRR applied within Direct Budgetary Support mechanisms? | | | For the most part, we are at level 3. | In a few countries, we are at level 4. |
| What evidence did you collect to support this assessment? | As mentioned above, the Bank's Framework for Disaster Risk Management includes identifying countries at high risk to disaster, and targeting them for integration of DRR into the Country Assistance Strategy (CAS) and Poverty Reduction Strategy Paper (PRSP). The first step of identifying countries of high risk was completed with the <i>Global Disaster Risk Hotspots</i> initiative, undertaken by the Bank and the ProVention Consortium. As the CASs of highly vulnerable countries come up for revision, the Country Directors are being informed that the CAS has been "flagged" for integration of DRR, and that they can rely on support from the Hazard Risk Management Team for assistance in achieving this goal. | | | |
| Why is the organisation at this level of mainstreaming? | Initial successes have been made in a few countries (see CASs for Bangladesh, India, Mozambique, Turkey, and CAS PR for Indonesia), but more country level analysis is needed to demonstrate the benefits of mainstreaming DRR for sustainable development within each country. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Most borrowers are not willing to cover the costs or borrow for the 'up front' work needed to do the risk assessment, feasibility studies, etc. to identify and develop a strategy for reducing disaster risk. The Bank recently launched the Global Facility for Disaster Reduction and Recovery (GFDRR), which includes a multi-donor trust fund to support country level technical assistance for mainstreaming DRR. | | | |

| PROJECT CYCLE MANAGEMENT | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|--|----------------------------|--|--------------------------|
| How is DRR integrated into project planning, implementation, evaluation and re-design processes? | | | Efforts ongoing; some tools developed, others under preparation. | |
| What evidence did you collect to support this assessment? | A number of tools, studies, and good practice documents have been developed (see www.worldbank.org/hazards), including the Hotspots mapping tool, training for staff on using Bank policy tools for mainstreaming DRR, guidelines for mainstreaming DRR into rural development projects, etc. Others are under development, including the ProVention Guidance Notes for Mainstreaming Disaster Risk, further efforts to strengthen the data and analysis of Hotspots, screening tools, and guidance for other sectoral investments such as infrastructure, urban, etc. | | | |

| PROJECT CYCLE MANAGEMENT | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|--|---|----------------------------|----------------------------------|--------------------------|
| Why is the organisation at this level of mainstreaming? | Early efforts of the Bank to mainstream DRR were necessarily focused on research to document the longer-term social and economic impacts of disasters, i.e., to demonstrate that disasters have impacts on GDP growth and on poverty reduction. As it has been effectively demonstrated that disasters are not merely a humanitarian issue, but rather a key development challenge, efforts are now turning to tools to facilitate mainstreaming DRR at the country and project level. In sum, we have more or less addressed the question of 'why mainstream DRR?' and are now focusing on the 'how to go about it.' | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | Tools must be easy to use and not greatly increase the transaction costs of processing projects in order to be used by staff. In addition, tool production must be accompanied by a dissemination and training program to raise staff awareness of the resources available to them and how to use them. Otherwise, they run the risk of sitting on shelves or websites and not being utilized. The HRM Team, which runs an annual training program for Bank staff, is continually updating the course modules in order to incorporate new resources as they come on line. | | | |

| EXTERNAL RELATIONS | LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
|---|--|----------------------------|----------------------------------|--------------------------|
| How collaborative is the organisation in terms of ensuring DRR is supported by relevant stakeholders? | | | Country level. | Corporate/central level. |
| What evidence did you collect to support this assessment? | The Bank launched in 2000 the ProVention Consortium as a global coalition of international organizations, governments, the private sector, civil society organisations and academic institutions dedicated to promoting DRR in development efforts. ProVention has generated a large body of research on the linkages between disasters and poverty, and the need to integrate disaster risk reduction into development activities. The research has been recognized by five independent evaluations as high quality, and is used to promote changes at the policy level within the Bank, developing country governments, and a number of international agencies. While the Bank has been a driving force in establishing ProVention, it has also been one of its biggest beneficiaries. The Bank continues to be engaged in ProVention, and to benefit from and influence its outputs. More recently, the Bank has launched the GFDRR as a partnership with the UN/ISDR system to enhance global and regional advocacy, partnerships and knowledge management for mainstreaming hazard risk management in low and middle-income countries at risk, and to support efforts by developing country governments to enhance investments in risk reduction. | | | |
| Why is the organisation at this level of mainstreaming? | While the corporate/central level is quite advanced, efforts at the country level are getting underway. Track 2 of the GFDRR will provide support at the country level for the Bank to work in partnership with development partners to mainstream hazard risk reduction and mitigation into its clients' Country Assistance Strategies (CAS) and Poverty Reduction Strategies. | | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | For the country level, it will be important that each Bank country unit and borrowing government has a high degree of ownership of the programs developed with GFDRR support, and an awareness of the need to work in partnership with other agencies on this multi-disciplinary topic. GFDRR Secretariat staff can help to build this awareness and facilitate partnerships at the country level. | | | |

| INSTITUTIONAL CAPACITY | | | |
|---|--|---|---------------------------------|
| LEVEL 1 Little or no progress | LEVEL 2 Awareness of needs | LEVEL 3 Development of solutions | LEVEL 4 Full integration |
| In terms of financial resources and staff capacity, how does the organisation ensure that there is an enabling environment to achieve mainstreaming in all areas? | | Efforts ongoing. | |
| What evidence did you collect to support this assessment? | The HRM Team in the Urban Anchor is small (currently three staff and two consultants), and serves as the anchor for a Thematic Group of about 100 Bank staff with varying degrees of interest and experience in DRR. In addition, Regional Focal Points in each of the Bank's six regions are championing the DRR agenda at the country level. | | |
| Why is the organisation at this level of mainstreaming? | Core budget support for specialized DRR staff has remained limited, but it is expected that the GFDRR will provide additional support for further central capacity. In addition, Bank capacity is strengthened through the successful delivery of the HRM Training program. | | |
| What challenges (in this area) does the organisation encounter, and how could these be overcome? | One challenge may be that championing the DRR agenda be seen as an additional task to the already busy work programs of staff members. As awareness and ownership of the agenda increases throughout Bank operational units, it will important to also ensure that the time and financial support is provided. | | |