



CLIMATE-PROOF DISASTER RISK REDUCTION

WORKING TOGETHER TO STRENGTHEN THE RESILIENCE OF VULNERABLE COMMUNITIES TO DEAL WITH INCREASED DISASTER RISK, EFFECTS OF CLIMATE CHANGE AND ENVIRONMENTAL DEGRADATION



FULL PROPOSAL

APPLICATION FOR MFS-II SUBSIDY 2011-2015

July 2010

APPLICANT

- Netherlands Red Cross

CO-APPLICANTS

- CARE
- Cordaid
- Red Cross / Red Crescent Climate Centre
- Wetlands International



PARTNERS FOR RESILIENCE

The Netherlands  Red Cross



Cordaid 

RED CROSS/RED CRESCENT  INTERNATIONAL FEDERATION
CLIMATE CENTRE  The Netherlands  Red Cross

 WETLANDS
INTERNATIONAL

Table of Contents

Tab 1	Table of contents
Tab 2	General information about the applicant
Tab 3	Management summary
Tab 4	Section 5.2.1 Contextual analysis
Tab 5	Section 5.2.2 Objective and strategy
Tab 6	Section 5.2.3 Intended results
Tab 7	Section 5.2.4 Monitoring, accountability and evaluation
Tab 8	Section 5.2.5 Harmonisation and complementarity
Tab 9	Section 5.2.6 Efficiency
Tab 10	Section 5.2.7 Sustainability
Tab 11	Applicant's signature
Tab 12	Compulsory appendices
Tab 13	Optional appendices

2. General information about the applicant

a. Name of organisation/ consortium	Netherlands Red Cross (NLRC), lead applicant for the Partners for Resilience
b. Address	Leeghwaterplein 27 2521 CV The Hague
c. Tel. no. / fax no.	T: 070 - 44 55 666 / F: 070 – 44 55 777
d. Email	info@redcross.nl ; jlahr@redcross.nl
e. Director(s)	Cees Breederveld, General Director
f. Contact person for this application	Juriaan Lahr, head of the International Assistance department
g. Theme(s) of application	<p>Main theme:</p> <ul style="list-style-type: none"> • Sustainable economic development <p>Other themes:</p> <ul style="list-style-type: none"> • Water and sanitation • Health care • Good governance
h. If you are the lead party of a consortium, give the names of all co-applicants, their full addresses, directors and contact persons. You may provide this information in a numbered appendix.	<ul style="list-style-type: none"> • <u>Stichting CARE Nederland</u>, Juffrouw Idastraat 11, 2513 BE 's Gravenhage, lawfully represented by Guus Eskens, Director T: 070 - 310 50 50; F: 070 - 356 07 53; email: eskens@carenederland.nl • <u>Stichting Cordaid</u>, Lutherse Burgwal 10, 2512 CB 's-Gravenhage, lawfully represented by René Grotenhuis, Director T: 070 – 31 36 300; F: 070 - 313 63 01; email: rene.grotenhuis@cordaid.nl • <u>Stichting Red Cross / Red Crescent Climate Centre</u>, Leeghwaterplein 27, The Hague, lawfully represented by Madeleen Helmer, Head T: 070 – 44 55 886; F: 070 – 44 55 712; email: mhelmer@redcross.nl • <u>Stichting Wetlands International</u>, Horapark 9, 6717 LZ Ede, lawfully represented by Jane Madgwick, Chief Executive Officer T: +31 (0) 318-660910; F: 0318-660950; email: jane.madgwick@wetlands.org
i. Are you a co-applicant in another consortium that is applying for a grant under MFS? If so, name the lead party of that consortium.	Cordaid, 'Samen voor verandering: <i>Communities of Change</i> '
j. Dutch bank account no., bank name	ING bank, account number 66.91.13.700
k. Applicant's total annual budget	<p>Actual 2008: € 81.259.000</p> <p>Actual 2009: € 77.041.000 (budget 2009: € 79.814.000)</p> <p>Budget 2010: € 84.112.000</p> <p>Budget 2011: € 85.000.000</p>
l. Grant amount requested, per year and total amount	<p>2011: € 12.675.320 2013: € 12.675.320 2015: € 12.675.320</p> <p>2012: € 12.675.320 2014: € 12.675.320 Total: € 63.376.600</p>

m. Programme budget (per programme per year and total amount)	2011: € 13.909.540 2013: € 13.909.540 2015: € 13.909.540 2012: € 13.909.540 2014: € 13.909.540 Total: €69.547.700																									
n. In what countries will the activities be implemented?	Nine countries: Ethiopia, Guatemala, India, Indonesia, Kenya, Mali, Nicaragua, Philippines and Uganda																									
o. Does your organisation and/or any of your co-applicants receive any other grants from the Ministry of Foreign Affairs? If so, which grants, what are the amounts involved, what is their duration, and for what activities have they been granted (activity number)? You may provide this information in a numbered appendix.	<p>Below are the funds received in the past 5 years from the Ministry of Foreign Affairs for structural poverty alleviation.</p> <p>Excluded in the overview are subsidies received from the department of Humanitarian Assistance (DMV/HH), which at this moment includes the bloc grant for emergency relief (activity number 17880) and the Capacity-building pledge 2008-2011 for Western Africa and Central Asia and Disaster Risk Reduction (activity number 17981). More information can at all times be provided if required.</p> <table><tr><th>Programme</th><th>Activity nr.</th><th>Period</th><th>Subsidy DGIS</th><th>Own Contribution NLRC</th></tr><tr><td>MFS</td><td>14926</td><td>01-01-08 until 31-12-09</td><td>€ 4.219.160</td><td>€ 506.220</td></tr><tr><td>TMF I</td><td>9014</td><td>01-01-03 until 31-12-04</td><td>€ 5.108.087</td><td>€ 0</td></tr><tr><td>TMF II</td><td>10478</td><td>01-01-05 until 31-12-05</td><td>€ 6.875.791</td><td>€ 946.189</td></tr><tr><td>Mongolia WatSan improvement</td><td>14349</td><td>01-09-2006 t/m 30-08-2009</td><td>€ 776.500</td><td>€ 0</td></tr></table> <p>For the overview of subsidies received by the alliance members CARE Netherlands, Cordaid, RCCC and Wetlands International, please refer to annex A.</p>	Programme	Activity nr.	Period	Subsidy DGIS	Own Contribution NLRC	MFS	14926	01-01-08 until 31-12-09	€ 4.219.160	€ 506.220	TMF I	9014	01-01-03 until 31-12-04	€ 5.108.087	€ 0	TMF II	10478	01-01-05 until 31-12-05	€ 6.875.791	€ 946.189	Mongolia WatSan improvement	14349	01-09-2006 t/m 30-08-2009	€ 776.500	€ 0
Programme	Activity nr.	Period	Subsidy DGIS	Own Contribution NLRC																						
MFS	14926	01-01-08 until 31-12-09	€ 4.219.160	€ 506.220																						
TMF I	9014	01-01-03 until 31-12-04	€ 5.108.087	€ 0																						
TMF II	10478	01-01-05 until 31-12-05	€ 6.875.791	€ 946.189																						
Mongolia WatSan improvement	14349	01-09-2006 t/m 30-08-2009	€ 776.500	€ 0																						

TAB 3. MANAGEMENT SUMMARY

A) Thematic overview per country

The thematic overview per country is included as annex 1.

B) Summary of the programme

The programme “Climate-proof Disaster Risk Reduction” of the Partners for Resilience aims to reduce the impact of natural hazards on the livelihoods of 750.000 – 1.000.000 vulnerable community members. The Partners for Resilience is an alliance consisting of: the Netherlands Red Cross (lead party), CARE Nederland, Cordaid, Red Cross/Red Crescent Climate Centre and Wetlands International. The programme will be implemented in nine countries: Ethiopia, Guatemala, India, Indonesia, Kenya, Mali, Nicaragua, Philippines, and Uganda.

The programme has three **outcome objectives**:

- Objective 1: To increase the resilience of communities to disasters, climate change and environmental degradation
- Objective 2: To increase the capacity of civil society organisations (CSOs) to apply disaster risk reduction (DRR), climate-change adaptation (CCA) and ecosystem management and restoration (EMR) measures and conduct policy dialogue
- Objective 3: To make the institutional environment from international to grass-root level more conducive to integrate disaster risk reduction, climate change adaptation and ecosystem-based approaches

To work on reaching these objectives, the programme will employ three **intervention strategies**, each linked to one of the specific objectives:

- Intervention strategy 1: Strengthening community resilience (related to DGIS strategy ‘DAB’)
- Intervention strategy 2: Strengthening of civil society (related to DGIS strategy ‘MO’)
- Intervention strategy 3: Policy dialogue and advocacy for stronger DRR/CCA policies and increased resources at all levels (related to DGIS strategy ‘BB’)

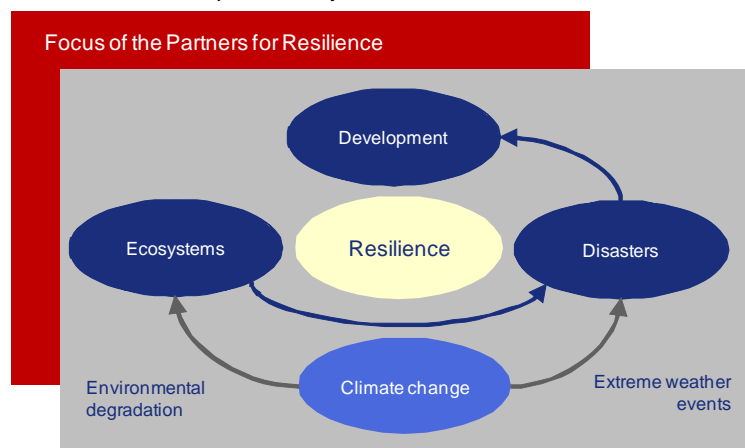
The translation of each intervention strategy into practice is characterised by an innovative integration of three **approaches**:

- Disaster risk reduction (DRR): The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events.
- Climate change adaptation (CCA): The adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities.
- Ecosystem management and restoration (EMR): A strategy for the integrated management of land, water and living resources that provides sustainable delivery of ecosystem services in an equitable way.

The **target group** of the programme are both rural (fishermen, farmers, pastoralists) and urban slum communities, living in areas of increasing disaster risk, climate change and ecosystem degradation. Poor communities are the first to suffer the impact of disaster (e.g. deaths and destroyed assets) while the longer-term effects of hazards, climate change and ecosystem degradation affect their livelihoods and erode their resilience.

The vision of the Partners for Resilience on the linkages between development, ecosystem degradation, natural hazards and climate change is depicted in the adjacent figure. The Alliance’s main focus is on disaster risk reduction, in which climate change adaptation and ecosystem management and restoration take up an important place, as major conditions to enable and sustain development. Resilience is the ability of people to withstand shocks in their environment and secure their livelihoods.

The programme objectives unequivocally contribute to the **overall aim of MFS-II** which is “to contribute to the establishment and functioning of civil society in the South as a building block for structural poverty reduction”. In addition, the programme responds directly to two of the Minister’s policy intensifications: growth and equal distribution of resources; and sustainability, climate and energy. Core to the programme is the assertion that the three methods for strengthening resilience DRR, CCA and EMR will, if implemented in an integrated manner, create significant synergetic effects. Disaster risk reduction strategies will be more robust if they include the risks related to climate change. Vibrant ecosystems are essential as buffers against extreme events. By thus positioning the ‘triangle’ of DRR-CCA-EBA, the Partners for Resilience have found an innovative and cost-effective solution for creating resilience for development. Sharing of innovations with other stakeholders at different levels is an essential feature of the programme, from local to global and back. To this end a global support component has been included.



The intervention strategies themselves are considered as closely interlinked building blocks: capacity building of CSOs (strategy 2) is seen as a crucial strategy to facilitate civil society engagement in building community resilience (strategy 1) as well as engaging in relevant policy dialogues (strategy 3). The policy dialogue will contribute to community resilience, through the creation of a more conducive institutional environment for community resilience activities and the mobilisation of resources. Vice versa, field experiences inform policy and planning processes. A wide array of **activities** will be employed to reach the programme objectives. Main activities include:

Intervention strategy 1: Strengthening community resilience	<ul style="list-style-type: none"> • Conducting assessments together with communities to determine the main disaster-related risks to livelihoods • Design and implement community-driven DRR/CCA/EMR projects enhancing livelihood security, such as a) making houses disaster resistant and protect land against damage from natural hazards; b) introduce improved agricultural, pastoralist and marketing methods and c) setting up robust water supply systems • Facilitate community access to knowledge and resources, e.g. by setting up microcredit and risk insurance facilities • Organise community-to-community exchange visits to share best practices, e.g. through participatory video-making
Intervention strategy 2: Strengthening of civil society	<ul style="list-style-type: none"> • Strengthening the organisational and institutional capacity of CSOs through training, field experience and a robust feedback system of lessons learnt. Training topics may include strategic planning, financial management and enhancing accountability, introduction of performance benchmarks, improved HR methods etc. • Strengthening the programmatic capacity of CSOs to appreciate and effectively work with the integrated DRR/CCA/EMR approach • Organising national, regional and global workshops to share good practices, tools and experiences between CSOs and knowledge centres
Intervention strategy 3: Policy dialogue and advocacy	<ul style="list-style-type: none"> • Engage in policy dialogue at national, regional and international level to promote lessons learnt on linking and upscaling of DRR/CCA/EMR • Create or engage in national, regional and global multi-stakeholder networks that contribute to the development of an integrated DRR/CCA/EMR approach • Documentation and exchange of good practices and innovations through publications, peer reviewed scientific articles and digital audiovisual materials

Implementing organisations. The Partners for Resilience will work through CSOs in the nine countries for implementation. The *Netherlands Red Cross* has vast experience in community health, DRR, CCA and microfinance. *CARE Nederland* is specialised in DRR, CCA, food security and natural resource management. *Cordaid* has a comparative advantage in livelihood strategies, community-managed DRR and linking and learning tools. *Wetlands International* has unique expertise in ecosystem-based approaches to create resilient communities and landscapes. The *Red Cross/Red Crescent Climate Centre* will particularly work with stakeholders to promote upscaling and replication of successful approaches, standardisation of climate risk assessments, and monitoring and evaluation of the impacts of climate risk management. A total of 74 Southern partners have committed themselves to the programme. They have been selected on the basis of their mandate, technical expertise, track record and organisational characteristics. A majority of these partners have been involved in the formulation of the currently presented programme through country-based workshops and dialogues. Moreover, the programme builds upon a wealth of already existing (global) partnerships of the alliance members. Lastly, various partnerships are being established between the Partners for Resilience with knowledge institutions and the private sector, such as with the Faculty of Disaster Studies of Wageningen University, ITC, the Erasmus Centre for Strategic Philanthropy, the Dutch Association of Engineers and the Dutch Association of Insurers.

Management. The programme will be managed by a Programme Working Group (PWG), consisting of programme staff of the alliance members. Based on regular feedback from the field, periodic field visits and quality analyses, the PWG will meet monthly to discuss programmatic and management aspects. Final oversight will be provided by the Steering Group, consisting of the senior management of the alliance members. The Partners of Resilience will be assisted by an International Advisory Board of five members, representing the regions and themes covered by the programme, as well as relevant private sector expertise. Two times a year the Board will reflect on global trends and developments concerning disaster risk reduction, climate change adaptation and natural resources management, and give strategic advice regarding the monitoring and evaluation of results, and challenges and opportunities for the programme. The total cost of the programme is €69,547,700, of which MFS-II will contribute €63,376,600, while the balance of €6,171,100 is funded by the Alliance members. The budget has been further fine-tuned and overhead costs have been kept within 10% of total cost.

Tab 4. Section 5.2.1 Contextual analysis

Please refer to annex 2 under 'Tab 12. Compulsory appendices' for the contextual analyses of the programme countries:

- Annex 2.1 Ethiopia
- Annex 2.2 Guatemala
- Annex 2.3 India
- Annex 2.4 Indonesia
- Annex 2.5 Kenya
- Annex 2.6 Mali
- Annex 2.7 Nicaragua
- Annex 2.8 The Philippines
- Annex 2.9 Uganda

5. Objective and strategy

5.2.2a: Objective: the programme proposal must contribute to the strengthening of civil society in the South

Figure 1 below shows the three intervention levels of the Partners for Resilience. The figure illustrates the importance of strengthening civil society in the overall approach: strong civil society organisations (CSOs) will be able to execute successful community-level projects and encourage policy makers to make policies for a more conducive environment. Together, this will strengthen the resilience of communities, as a result of which the impact of natural hazards on the livelihoods of vulnerable people is reduced. CSOs in the programme countries are the main instruments through which the alliance will work¹.

Figure 1 Interrelated intervention levels



The SWOT analyses conducted show a wide range of entry points for strengthening civil society:

Trends from analyses of civil society (organisations) in the nine programme countries	
Strengths	<ul style="list-style-type: none"> • Reasonably good expertise in the fields of DRR, CCA and EMR exists in a number of CSOs in each country • Civil society in the nine countries is generally well respected (despite occasional setbacks) • Partnerships between alliance members and CSOs in the programme countries are generally well developed • CSOs in Asia tend to be very effective and self-confident within their own constituencies
Weaknesses	<ul style="list-style-type: none"> • Capacity is lacking in <i>linking</i> DRR, CCA and EMR into one coherent approach • In all countries there is a need for additional organisational and institutional development in terms of strategic, operational, financial and human resource management • Although CSOs in Africa work very closely with communities, too often they do not manage to create sufficient ownership in the process • A weak institutional funding base, mainly due the short time horizon of relief work, undermines achievement of longer term organisational goals for CSOs in about half the programme countries • CSOs in Asia often lack the capacity and confidence to advocate effectively with the government
Opportunities	<ul style="list-style-type: none"> • The environment for climate-proof DRR is considered highly favourable. In all countries, governments as well as the local donor communities subscribe to the principles underpinning the approach of the Partners for Resilience. • In Central America and in India, the regulatory environment is relatively friendly • In many countries, the policy framework for DRR is in place: government has policies for DRR management, including financial provisions. Implementation at regional/district level is however lacking. • The Southern partners of the alliance members have complementary expertise, networks and competences
Threats	<ul style="list-style-type: none"> • The regulatory environment in which CSOs operate varies substantially, with CSOs in Ethiopia and Uganda facing some serious constraints • In Central America, civil society is internally divided due to different political allegiances • Despite growing attention for disaster risk reduction, there remains a strong emphasis on disaster relief. In the latter case, CSOs often find themselves in the position to be little more than subcontractors to international programmes

¹ For background information on different programmatic aspects (including a glossary of terms used), see annex B1-6

Strategies to address strengths. There are capable civil society organisations in all nine programme countries that can and want to act for the enhancement of vulnerable people's resilience to natural hazards. The alliance members are currently (or have been recently) working with the majority of these CSOs. Various partners already have strong expertise in the field of DRR, CCA and EMR. With these partners, a head start into the programme can be made. For instance in Ethiopia and Indonesia, alliance members already have programmes in the MFS-II target areas. The support structure is in place and implementation can commence rapidly. In Kenya, on the other hand, it will be for the first time that four alliance members collectively initiate work in the selected area. More time is required to set up appropriate implementation structures.

Strategies also differ as to the strengths of public institutions. For instance in Asia, the basic development infrastructure (water facilities, schools, roads etc.) tends to be in place and public authorities generally have sufficient implementing capacity and funds. CSOs in these countries therefore will be working relatively more on policy dialogue and advocacy.

Strategies to address weaknesses. It is not surprising that the capacity to link the approaches of DRR, CCA and EMR was found to be missing among partner CSOs. After all, these links are one of the major innovations of the programme. As a consequence, in all countries the emphasis in the first year of implementation is on strengthening civil society partners in this programmatic aspect. Furthermore, the programme pays significant attention to *organisational and institutional capacity building (OD/ID)* to strengthen the functioning of the partner CSOs in those fields required. The major instruments here are training, practice and exchange of experience, including the use of the networks of alliance members and the networks of knowledge institutes and private sector collaboration partners. The context analyses show that particularly in Africa, CSOs will benefit from organisational and institutional strengthening. The target areas where these organisations are based are very remote and it is difficult to recruit and retain staff. Organisational strengthening of Southern partners will take several forms such as strategic planning, financial management and enhancing accountability, introduction of performance benchmarks and improved HR methods. Institutional support is provided particularly to ensure that interventions can be independently sustained by the end of the programme period. Particularly for African CSOs (but for all partners in general), a strong emphasis has been and will be placed on ownership right from the planning stages.

Strategies to address opportunities. The conducive environment for disaster risk reduction combined with climate change adaptation and ecosystem approaches offers the prospect of additional availability of donor funding to ensure up-scaling once the programme starts to render results. Many knowledge institutes, private sector actors and civil society organisations have expressed an interest in the programme. Facilitating additional partnerships is an important priority for the programme. For example, meteorological institutes, including international ones such as the International Institute for Climate and Society (IRI) of Columbia University, could facilitate Early Warning/Early Action with the timely provision of meteorological data for the benefit of the country programmes. More specifically, in Indonesia, discussions with the Agency for Meteorology, Climatology, and Geophysics brought forth a concrete opportunity for collaboration. This includes the Partners for Resilience's role in the follow up and sustainability of the Agency's short-term climate change awareness programme funded by UNDP's Indonesia Climate Change Trust Fund. The alliance will be consulted during the further development of this initiative and has been invited to attend consultative meetings. Another concrete result of the mutual consultations so far is that the Agency for Meteorology, Climatology, and Geophysics will include NTT province in their programme – the first example of upscaling!

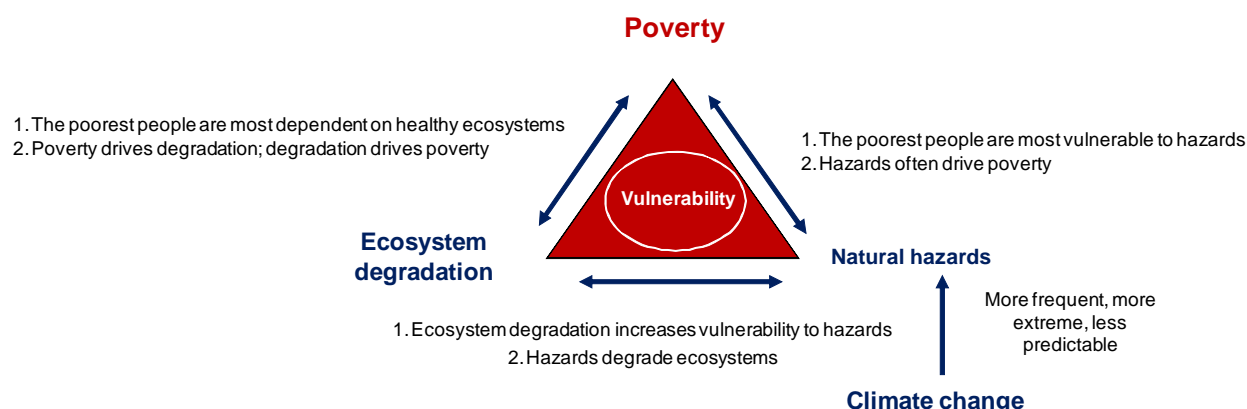
Strategies to address threats. The regulatory environment in which CSOs operate varies substantially, with many facing constraints. These threats are real and cannot be easily mitigated. The third intervention strategy – policy dialogue and advocacy – is oriented at improving the environment for the integration of disaster risk reduction, climate change adaptation and ecosystem management and restoration. This will be done through the collection and dissemination of inspiring examples that have proven to work. The capacity of CSOs to inform and influence policy makers is at the same time strengthened as part of the OD activities. Because of the internal divisions in civil society, the major strategy in Central America is to build trust within the community of CSOs by strengthening partnerships, creating forums for exchange and stimulating dialogue.

5.2.2b: The objective of each programme must follow logically from the contextual analyses and be in line with the applicant's vision and mission.

The following **vision** has brought together NLRC, CARE, Cordaid, RCCC and WI into the Partners for Resilience: Development of families and communities greatly relies on their ability to withstand shocks in their environment and on their capability to secure their livelihoods. Disaster risk reduction and the prevention of ecosystem deterioration are both effective and necessary to strengthen resilience and sustain development, particularly at the local level. Adapting to climate change is crucial to communities.

The name of the alliance stems from the fundamental belief of its five members in the central role of **resilience** as the way to deal effectively with development in disaster-prone areas that suffer from ecosystem degradation. Resilience is defined as people's ability to withstand shocks in their environment and their capacity to secure their livelihoods. It is the opposite of vulnerability. The alliance view on the root-causes of vulnerability is depicted in the following figure:

Figure 2 Linkage between poverty, ecosystem degradation, natural hazards and climate change



Following the joint vision, it is the **mission** of the Partners for Resilience and its partners in Africa, Asia and Central America: to mobilise and generate knowledge and expertise, and strengthen the capacities of communities who are vulnerable because of increasing disaster risk, climate change and ecosystem degradation. We will do so by increasing the resilience of these communities and consequently helping them to sustain their development.

Relation with context analyses. The context analyses demonstrate that the *frequency and intensity of most climate-induced hazards in the target areas is increasing*. Environmental degradation is reducing the capacity of ecosystems to meet people's need for food and other products, and to protect them from hazards through services such as flood regulation, slope stabilization, and protection from storm surges. The people most affected by reoccurring disasters in the target areas are often those that are the most dependent on these ecosystem functions.

Secondly, the context analyses *unambiguously establish how families and communities in the target areas of the programme have been and are being suffering repeated setbacks in their livelihoods as a result of natural hazards*: when vulnerable communities, households or individuals are affected by natural hazards, such as floods, landslides, droughts and storms, all components of their livelihoods may be affected - community members may be killed, wounded, be more food insecure and/or their health situation may deteriorate (loss of human capital), houses, public buildings and infrastructure may be damaged (loss of physical capital), land may become less productive, water sources polluted, forests may be damaged and animals killed (loss of natural capital), social networks and family ties disrupted (loss of social capital) and people may also undergo serious financial losses as a result of the costs of reconstruction or the disruption of their livelihood activities (loss of financial capital).

Thirdly, the context analyses demonstrate that *communities' traditional coping mechanisms against natural hazards are decreasingly effective*. This applies to both rural communities (fishermen, poor farmers, pastoralists) and, in the case of the Philippines, urban slum populations scraping by in the informal sector. For instance, the Borana people in Kenya and Ethiopia rely on traditional systems for coping with livestock losses during droughts. A group of traditional elders jointly decide which households need assistance and which more wealthy households should provide an indicated number of animals to those who are affected most. This system has been working well as long as droughts occur once incidentally. With increasing recurrence of droughts, it is increasingly difficult to maintain this traditional mechanism. Thus, new response strategies are required.

Findings from the context analysis related to civil society (organisations) have been described in section 5.2.2a. Concerning the policy framework, finally, the context analyses demonstrate that *in most countries, the institutional framework is present at the national level: DRR policies exist. However, these policies tend to be weakly implemented at lower levels.* Local authorities often lack the capacity to convert policies into practical actions of use for communities. The Partners for Resilience will assist policy makers to make these policies work or to adjust them where needed, for instance by providing examples of effective application in other countries/areas.

Overall objective of the programme. Following the observations in the context analyses, the Partners for Resilience's will adopt an *integrated approach to reducing the impact of natural hazards on poor and vulnerable communities by combining disaster risk reduction (DRR) with climate change adaption (CCA) and ecosystem management and restoration (EMR).* To introduce this integrated approach, the programme has formulated three result-oriented objectives that, once accomplished, will ensure the sustainable application of DRR/CCA/EMR in the target areas and beyond. Each objective corresponds with one of the three interventions strategies of MFS-II and the interaction between these objectives is essential for their attainment (see figure 1 above). Central is the belief that DRR/CCA and EMR approaches are effective at community level because they revolve around the integration of livelihood activities. This is what in the eyes of the alliance will encourage sustainable development. See the following section for an elaboration on the three programme objectives.

5.2.2c: Each programme's strategy must derive logically from the objective or objectives and assume ownership on the part of the target group or target groups

The programme has three **specific (outcome) objectives**:

Objective 1	To increase the resilience of communities to disasters, climate change and environmental degradation
Objective 2	To increase the capacity of civil society organisations (CSOs) to apply disaster risk reduction (DRR), climate-change adaptation (CCA) and ecosystem management and restoration (EMR) measures and conduct policy dialogue
Objective 3	To make the institutional environment from international to grass-root level more conducive to integrate disaster risk reduction, climate change adaptation and ecosystem-based approaches

To work on reaching these objectives, the programme will employ three **intervention strategies**, each corresponding to one of the objectives:

Relation with DGIS strategies		
Intervention strategy 1	Strengthening community resilience	DAB
Intervention strategy 2	Strengthening of civil society	MO
Intervention strategy 3	Policy dialogue and advocacy for stronger DRR/CCA policies and increased resources at all levels	BB

The translation of each intervention strategy into practice is characterised by an innovative integration of three **approaches**:

Disaster risk reduction (DRR)	The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events.
Climate change adaptation (CCA)	The adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities.
Ecosystem management and restoration (EMR)	A strategy for the integrated management of land, water and living resources that provides sustainable delivery of ecosystem services in an equitable way.

Combined, these approaches are expected to lead to maximum impact in terms of reduced vulnerability (= increased resilience) of the **target group**: rural and urban slum communities, living in areas of increasing disaster risk, climate change and ecosystem deterioration.

Ownership 1: partner-driven programme planning

Communities are the first to suffer the multiple consequences of natural hazards and climate change. Therefore, a community focus is central for the Partners for Resilience. Communities will be fully involved in the *implementation* of the programme. In the *formulation* of the programme, they have been indirectly involved as explained in this section. To improve the resilience of the target group, the alliance works through civil society organisations: local NGOs and community-based organisations (CBOs). These partners will undertake activities that help community members to secure their livelihoods and these partners will execute policy dialogue to advocate public authorities for an environment that is more conducive to DRR/CCA/EMR. These CSOs have an excellent insight into the needs and priorities of the target group, already having established ties in many selected communities. The programme formulation process in the nine countries was for this reason highly partner-driven. In every country, a local representative from the alliance members organised analysis and formulation workshops where southern partners set the agenda. Within the boundaries of the overall programme logframe, they were invited to formulate a specific country programme matching the needs of the target group. The selection of intervention areas, the tentative selection of communities, the intended results and the appropriate activities pertaining to the country programme were all principally conceived by the partner CSOs. For various reasons, communities themselves were not directly involved in the actual formulation process, namely: 1) not unnecessarily raise hope and expectations as long as programme funding has not been secured; 2) the definite selection of communities is yet to be made in a continued consultation process between alliance members, partners, local authorities and communities; 3) it would be too complex, time and money-intensive to involve communities at this stage for detailed planning; and, most importantly, 4) the further detailing of the country programme will be community-driven – see the following paragraph.

Ownership 2: community-driven country programme implementation

The Partners for Resilience are convinced that to ensure the effectiveness and sustainability of their interventions, DRR/CCA and EMR activities to strengthen livelihoods should be fully owned by communities. Therefore, planning for implementation at country level will be entirely built on community-based methods. Community-based planning, including for DRR and early warning, will help communities to be better prepared to withstand natural hazards. The process will be facilitated by Southern partners. Participatory methods such as community risk assessments, analysis and action planning will be the basis for the development of the programme. As a result of these assessments, approaches will be selected that communities believe best improve their livelihoods. These may range from ecosystem restoration, improved agricultural methods and income diversification to the improvement of water supply for the purpose of irrigation and household use. All interventions will result from discussions between communities and Southern partners and thus reflect their needs and aspirations. See the adjacent text box for an example of tools to be possibly employed to strengthen community ownership in advocacy with public authorities.

Box 1. Participatory video. Community members, especially youth, are trained in using the camera and editing footage. They film the threats and solutions they consider important, for example houses threatened by landslides, which occur after heavy rains. The films can be used to negotiate with the local government and transfer experiences to other communities.

5.2.2d: The strategic approach must be partly based on lessons learnt in the past

When the Alliance partners came together to develop the present programme, they brought with them a wealth of experience in disaster risk reduction, climate change adaptation, and ecosystem management and restoration. CARE NL, Cordaid, the Netherlands Red Cross and the Red Cross Climate Centre knew each other quite well from the Dutch DRR platform and the HIER campaign which had made them aware of the need to integrate approaches in DRR and climate change adaptation. Moreover, their experience had taught them that ecosystems were important for strengthening resilience, but they lacked sufficient knowledge in this area. Therefore, Wetlands International was invited to join the alliance. The development of the programme is based on numerous lessons learnt, some of which were well-known and did not need elaboration, while others were new or took on a new meaning in the context of the integrated approach that was developed. A selection of these lessons learnt follows on the following page.

<p>Lesson 1: Community risk assessments should pay systematic attention to climate trends and timely weather information</p>	<p>A Netherlands Red Cross document summarising the lessons learned and good practices from projects for reducing climate change induced disaster risk in Indonesia, Colombia and Ethiopia (2009) states: "Good quality long term weather data and/or sufficiently scaled down climate models (both spatially and time wise) were not available in most project sites which made reliable integration of climate trends in the project planning phase rather challenging. In some cases perceptions by the beneficiaries themselves on changing climate trends were the most important source of information." Furthermore, in 2008, a scientific assessment of the potential use of community-based vulnerability and capacity assessment tools for adaptation to climate change took place. Based on a sample of such assessment tools employed by Red Cross societies around the world, the assessment also found that, indeed, there is great potential for application of existing community risk assessment tools for climate change adaptation, but that these tools could be improved by paying more systematic attention to climate trends, and by discussing the potential of changing risks with communities to bring out their ideas about solutions. The design of the present programme addresses these aspects upfront. The Red Cross/Red Crescent Climate Centre will work on improving the timely availability of meteorological information with a special emphasis on the practicality of different timescales. This information will be essential input for the community risk assessments.</p>	<p><i>Source: Netherlands Red Cross (2009), Reducing climate change induced disaster risk in Indonesia, Colombia and Ethiopia, internal document</i></p> <p><i>Source: Van Aalst, M.K., I. Burton and T. Cannon (2008), Community-based climate risk reduction, Adaptation to climate change and Red Cross / Red Crescent Vulnerability and Capacity Assessments, Global Environmental Change, 18, 165–179</i></p>
<p>Lesson 2: Ecosystem-based approaches and community managed disaster risk reduction mutually reinforce each other</p>	<p>In 2009, Wetlands International evaluated its post-tsunami coastal reconstruction and coastal zone management initiatives. The quantified information emerging from these evaluations clearly demonstrates that resilience in vulnerable coastal areas often is most easily achieved if community-based and ecosystem-based interventions are linked. A threefold increase in income in a few years time for example was directly attributable to the combination of income diversification measures and restoration of mangrove ecosystems. Likewise decreases in damage from storms and erosion were a result of livelihood improvements that were undertaken in the context of ecosystem rehabilitation activities. The insight that DRR/CCA measures and ecosystem-based approaches reinforce each other and strongly contribute to increased resilience lies at the basis of the decision of the Partners for Resilience to position DRR, CCA and ecosystem-based approaches (and the linkages among these components) as the core of the programme.</p>	<p><i>Sources: Ottow, B. & Janssen, H., 2009. Evaluation of Green Coast phase 2 in Aceh. Building resilient coastal ecosystems and communities. Deltares, Delft; Menkveld, R. & Firmenich, B., 2009. Assessing the total economic value and livelihood importance of a mangrove ecosystem under different management states: a case study in Java</i></p>
<p>Lesson 3: The programme should only focus on the type of livelihoods that are relevant to a community's resilience in the face of natural hazards</p>	<p>The final report of a CARE disaster risk reduction project in the Philippines showed that some communities were not very interested in the livelihoods improvements advanced by the project. After some time, it was realised that these communities were of relatively higher economic status and less dependent on the type of livelihoods that the project had proposed for improvement. This lessons served to underline once again the need for being selective about the livelihoods interventions and communities the programme intends to support. The present programme will go to great lengths to ensure that livelihood interventions are supported in such a way that they contribute to resilience in the face of natural hazards. This sets the programme apart from regular livelihoods programmes.</p>	<p><i>Source: ACCORD (2009), Strengthening Assets and Capacities of Communities and Local Governments for Resilience to Disasters (ACCORD), Intermediate Report prepared for the European Commission</i></p>
<p>Lesson 4: Microcredit can be used to motivate communities to protect ecosystems</p>	<p>Evaluation of Wetlands International's Bio-rights approach demonstrated that financial incentives provide a powerful tool to ensure sustainable development of local communities. Under this approach micro-credits are provided for livelihood development, while communities in return engage in conservation or restoration of the environment. Micro-credits are converted into definitive payments upon delivery of successful conservation services towards the end of a contractual period. Through extensive studies it was found that the approach overcomes trade-offs between conservation and development needs as the micro-credits provide for (temporary) incentives that cover the lost opportunity costs for adopting more sustainable livelihood strategies. The approach was also found to increase local ownership over natural resources and enhance engagement in policy and planning, thereby strengthening the position of local communities. Bio-rights will play a role in the present programme as an innovative means that links ecosystem- and community-based approaches to DRR and CCA.</p>	<p><i>Source: Eijk, P. van, 2009. Bio-rights in theory and practice: a financing mechanism for linking poverty alleviation and environmental conservation. Wetlands International, Wageningen, The Netherlands</i></p>
<p>Lesson 5: Working with local government and mobilising its resources are crucial for the sustainability of DRR measures</p>	<p>In 2009 Cordaid commissioned an evaluation of their Disaster Risk Reduction programme. The report recommends that, for reasons of sustainability, the building of links with local government and the mobilisation of government resources should always be pursued in DRR programmes. Similarly, it recommends including the creation of a favourable local regulatory environment towards DRR in their projects, because where DRR groups and other community structures have been successful in lobbying for local regulatory change, this had significantly increased their authority within the community, in addition to any benefits that the regulatory change brought for the community. One of the conditions for success of the present programme will be a close cooperation between local government and civil society, which should ensure that regulatory environment can be influenced appropriately and that sufficient government resources are made available for disaster risk reduction. Similarly, the programme will build communities' capacity in advocacy so that they can make their voices heard by local government.</p>	<p><i>Source: John Cosgrave (2010), Programme Evaluation of Disaster Risk Reduction – Overall Report, Channel Research</i></p>

6. Intended Results

5.2.3a: The programme should indicate the intended results and should be effective

The logical framework completed according to the instructions of the application form is included as compulsory appendix number 3.

5.2.3b: A logical connection should exist between the programme's strategy and intended results

The programme uses three interventions strategies (1. Strengthening community resilience; 2. Strengthening civil society and 3. Policy dialogue and advocacy) to achieve the goal of reducing the impact of natural hazards on vulnerable communities. It will only be possible to achieve this goal in a sustainable manner if there is constant interaction and feedback between the three intervention strategies. The alliance's focus is on strengthening communities' resilience by protecting, strengthening and diversifying their livelihoods. In the disaster-prone areas that the programme will target, this is achieved by combining disaster risk reduction (DRR), climate change adaptation (CCA) and ecosystem management and restoration (EMR) in the methods that partner CSOs employ.

Results in strengthening resilience. Facilitated by civil society partners, communities will first carry out risk analyses. Data on climate change and ecosystem degradation will be included in the community risk assessments so that communities can define appropriate measures in anticipation of increasingly frequent and intense natural hazards (see adjacent text box for an example).

The risk analyses will generate specific plans with activities in e.g. agriculture, fisheries and ecosystem restoration. Implementation of these community-driven plans will reduce risks and enhance livelihood security. The *outcome* of this will be increased resilience of communities to disasters, climate change and environmental degradation.

The abundance of complementary experiences of the alliance members guarantees a wide array of possible interventions. By facilitating access to outside knowledge - for example on climate change and novel ways of linking livelihoods with environmental protection - new methods to reduce risk can be piloted. Communities can learn from each other through exposure visits that will stimulate replication.

The Partners for Resilience will specifically integrate gender in their community-based interventions. In the context of natural hazards, men and women have different needs, vulnerabilities, roles, responsibilities, interests and capacities. The broader perspective of culture, class, ethnicity, race and religion also come into play. Therefore, they are affected differently by disasters. Climate change and the scarcity of natural resources threatening food security and access to water, inevitably accentuate such differences. By orienting disaster risk policy so that it builds on the social capital of both men and women, a better informed approach to risk reduction is possible. It will be key to include the gender perspective in disaster risk assessments and analyses, as well as in the baseline measurements.

Results in capacity-building of civil society organisations. To ensure sustainability of results, the capacities of local community organisations and NGOs to apply DRR/CCA/EMR measures will be built up, c.q. strengthened. In addition, communities will be supported in organising themselves for implementation and for policy dialogue with government and other stakeholders. This is done through organisational and institutional capacity development (OD/ID). Sharing the network of training institutes and training tools (manuals, learning devices etc.) between alliance members is expected to bring substantial synergy benefits. The capacity-strengthening activities are expected to increase the access that partners have to external resources and mobilise support for enhanced and sustainable risk reduction at community level. To further increase their capacity, community organisations and CSOs will participate in linking and learning activities at national, regional and global level.

Box 2. Example of community planning based on CCA

Climate trends data indicate upcoming droughts. A community then knows that the availability and quality of water may deteriorate, implying they would have to find good quality water in areas farther away. Since women and girls are often in charge of fetching water, this would take them more time at the expense of other important tasks. In fact, a girl could be forced to drop out of school because she needs to fetch water. Installing a borehole with a hand-pump or restoring a mangrove forest nearby would alleviate this problem. In short, the community risk assessment will identify what livelihoods are under threat from natural hazards and appropriate, well-informed, measures can be planned to counter these challenges.

Box 3. Different needs of men and women.

Pastoralist people, traditionally consuming mainly milk products, in the Horn of Africa traditionally migrate with their livestock to areas where there is sufficient pasture and water. This is the task of men. These areas vary according to the season. During severe droughts men have to move further and further away to find sufficient food and water. Especially for women severe droughts make life extremely harsh. Women, children, elderly and sick people stay behind, whereby women are responsible for the food and water supply. A few lactating animals stay with the women to provide them with milk. Community-level gender-oriented interventions would be to improve water supply e.g. by installing rainwater harvesting tanks, introduce camels to assist women with carrying water, introduce resilience agricultural practices, and take public health measures.

Results in policy dialogue. Innovative practices developed under the first strategy (poverty alleviation) will be made available by the alliance members and their partners to national and international stakeholders. This should persuade them to commit themselves to the integrated DRR/CCA/EMR approach, influence policies and increase resources for replication at different levels. More generally, it will improve the enabling environment for connecting and integrating the three approaches.

In short, the three intervention strategies are closely interrelated and it is the synergy of the three strategies that will strengthen sustainability of the results (see figure 1 in section 5.2.2.a above). In each country all three strategies will be pursued, but the actual weight accorded to each of the strategies will be determined by the context analyses. For example in Africa, where civil society and the institutional context are less developed and where resources are more limited, the emphasis on poverty alleviation will be stronger than in Asia, where advocacy for access to existing resources will be more prominent.

Capacity building is the core of the strategy mix as it strengthens the use of specific poverty alleviation strategies that take hazards and disaster into account. Furthermore, it empowers civil society to engage in policy dialogue on the need for integration of DRR, climate change or ecosystem based approaches in existing policies and budgets.

The alliance addresses capacity gaps of civil society to integrate DRR, CCA and EMR in all countries. However, in each country capacity building will build on the specific capacities already existing and will provide tailor-made training related to hazards, ecosystems and impact of climate change that are specific to each country.

5.2.3c: The programme must contain a baseline measurement

Purpose. Before the start of the programme, in the first months of 2011, the alliance will conduct a baseline assessment. The main purpose of the assessment is to establish a reference point for monitoring and subsequently define or fine-tune realistic targets. The general picture in the nine countries has been examined during the context analyses, on the basis of which the output and outcome results have been determined. These overall programme results, as well as the planned coverage of 750.000 to 1.000.000 beneficiaries are not subject to revision during the baseline assessment. The assessment will focus on what the alliance intends to *monitor and evaluate* - the indicators defined in the logical framework.

The more general management indicators that are not included in the logical framework (see section 5.2.4) can only be measured and compared via trend analysis during implementation of the programme. The management indicators are mostly process indicators which are linked directly to the performance of the alliance and the programme, such as % of overhead, % of support costs versus total costs, delay in reporting etc. Targets and baseline data (if relevant) will need to be defined for these process indicators as well.

The indicators in the logical framework are overall indicators for all countries. The majority cannot be measured directly, but are compiled from a number of underlying sub-indicators (see section 5.2.4, box 4). These sub-indicators are the focus of the baseline assessment. Main elements of the sub-indicators are knowledge level, attitudes, practices and (organisational) capacity. Examples are: knowledge to act in the face of disasters; knowledge to manage natural resources in a sustainable way; the capacity to setup and manage a monitoring and evaluation system; the extent to which organisations are involved in policy dialogue. Since the sub-indicators can differ per country, the baseline assessment is also context-specific.

Methodology. The baseline assessment will be conducted in all nine countries, at different levels. The assessment, like the three programmatic intervention strategies, will focus on communities, civil society organisations and the institutional environment respectively. For communities, Knowledge, Attitudes, Practices (KAP) surveys and Vulnerability and Capacity Assessments (VCA) will be used to determine current knowledge levels, the way people deal with vulnerabilities and the resources they have to do so. In the view of efficiency, a representative sample will be drawn from the total of communities the Alliance is planning to work with. More general data on poverty levels, employment levels, etc. will be obtained from government, UN and World Bank sources where available. Organisational capacity will be assessed using existing alliance members tools and indices, amongst which SWOT analysis and VCA. Subjects of the organisational assessments are: 1) strategy and organisation; 2) finance and governance; 3) service delivery; 4) operations; 5) knowledge and innovation; 6) HRM and leadership. For the assessment of the institutional environment, finally, a mapping and quick analysis of existing policies which (should) contain DRR, CCA or EMR elements will be conducted at national and district level.

A global standard for the assessment will be developed by the Programme Working Group in close cooperation with the associated knowledge centres, in particular the Institute for Environmental Studies (Uni-

versity Amsterdam) and Disaster Studies (Wageningen University). This standard will incorporate existing tools as described above. A Terms of Reference will be developed for the country assessment teams and external lead assessors that will be recruited by the alliance. The lead assessors will coordinate the country teams in which alliance partners and key Southern partners will be represented. The country teams will fine-tune the global assessment standard to suit the local context. The overall coordination for the entire assessment lies with the alliance programme coordinator in The Hague. The process indicators will be defined by the Programme Working Group. Preparations for the baseline study will start end of 2010. The assessment itself will be conducted in the first quarter of 2011.

5.2.3d: The programme must tie in with the applicant's (and co-applicants') capacity. The intended results must be realistic and achievable, bearing in mind the applicant's (and co-applicants') human and financial capacity

The proposed programme is founded on a solid capacity of the Partners for Resilience. Each of the alliance members has worked in the various fields of expertise (disaster risk reduction, climate change adaptation, ecosystem management) and has built up an extensive knowledge base with experienced staff. The Partners for Resilience have sufficient financial and human capacity to effectively implement the proposed programme, as demonstrated by the following tables.

Table 1. Turnover 2009	
NLRC	€ 20.077.672
CARE Netherlands	€ 11.762.000
Cordaid	€ 157.110.000
Wetlands International	€ 6.240.120
RCCC	€ 823.000
Total Partners for Resilience	€ 196.012.792
Budgeted MFS-II average per year	€ 63.010.100

Financial capacity. The Partners for Resilience have implemented programmes in all target countries before. The total financial volume of programmes managed in the past four years is 92% of the total volume in the proposed programme (table 2). This indicates that the absorption capacity in each of the countries is sufficient. Compared to the annual budget for the alliance (table 1), this programme's funding represents one third (32%) of overall funds spent on their objectives. The upscaling in a few countries is possible also through utilising available capacities in the partners' global networks, apart from internal alliance capacities. Whereas some countries have absorbed less funding from the alliance members, partner consultation added further confidence that these amounts can be realistically absorbed.

Human capacity. The Partners for Resilience have more than sufficient in-house staff capacity to implement the proposed programme, as demonstrated by annex C which provides an overview of all staff that will be directly involved in the programme in the Netherlands and in the programme countries. Table 3 summarises the information in said annex. In total, 148 staff members are available for execution of the programme, of which 16 fte for M&E. Working experience in the relevant (or closely related) fields is substantial, on average 12 years.

Table 2 Partner for Resilience: Financial volume in proposed countries		
Programme country	Average realised expenditures per year 2006-2009	Average budgeted expenditures per year 2011-2015
Ethiopia	€ 4.496.206	€ 10.580.011
Guatemala	€ 2.820.271	€ 6.808.880
India	€ 12.849.250	€ 3.651.328
Indonesia	€ 20.062.328	€ 12.479.830
Kenya	€ 5.805.049	€ 4.104.593
Mali	€ 466.500	€ 3.420.249
Nicaragua	€ 244.383	€ 5.303.780
Philippines	€ 5.695.362	€ 6.420.063
Uganda	€ 5.323.131	€ 10.242.263
Total	€ 57.762.480	€ 63.010.100

Table 3 Partners for Resilience: Staff available for programme implementation		
Programme country	Total number of staff directly available for the programme	Average number of years working experience
Ethiopia	22	12,5
Guatemala	7	14
India	4	7
Indonesia	21	10
Kenya	12	12,5
Mali	6	17
Nicaragua	8	8
Philippines	23	10
Uganda	4	17
Total abroad	107	12
Netherlands	41	15
Total	148	12

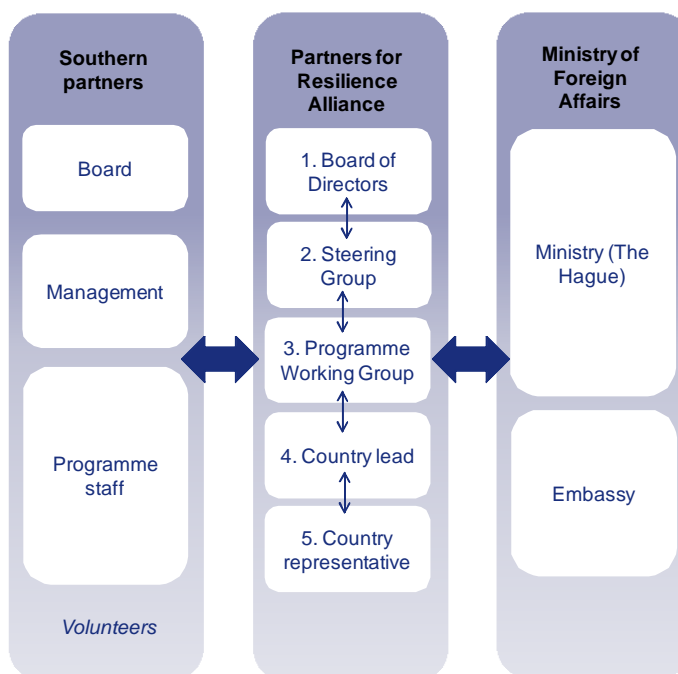
7. Monitoring, accountability and evaluation

5.2.4a: The intended results must be monitored, ensuring contextual relevance.

Monitoring and evaluation (M&E) serve three purposes: 1) project management, 2) learning and 3) accountability. All three purposes and how the alliance has incorporated these are described below.

Levels of management. Management or programme steering essentially is taking decisions. The alliance internally distinguishes five levels at which decisions will be taken to manage the programme: 1) Board of Directors; 2) Steering Group; 3) Programme Working Group; 4) Country Lead; 5) alliance member country representative. Each level has its own types of decisions to take and each of these decisions requires specific information. The monitoring system is designed to provide this information. The alliance developed indicators that form the backbone of the information on which decisions will be based, complemented by narrative reports, financial reports, anecdotal evidence, field visits, etc. The Partners for Resilience's governance, management and implementation structure is described in the **Management Matrix**, an important document related to the M&E system of the alliance, which has been included as annex D.

Figure 3 Management structure



Decision-taking is informed by information coming from the M&E system. The types of decisions taken at different levels determine the frequency of reports and meetings. Strategy changes in the overall programme, for instance, are not expected to be required on a regular basis. Therefore, the Steering Group, the level responsible for strategy-related decisions, is informed on overall programme progress and constraints through bi-annual reports from the Programme Working Group. Regular Steering Group meetings will be planned around these reports. When urgent issues emerge through other channels, additional meetings will be planned as needed. This general setup is the same for all decision taking levels.

Project cycle management. Monitoring and evaluation for the Partners for Resilience alliance programme is strongly linked to the project cycle in which four main phases are distinguished: I. Analysis; II. Planning; III. Implementation and IV. Evaluation. The programme itself and the M&E system have been designed during the planning phase in a way that facilitates meaningful monitoring and evaluation in the implementation and evaluation phases.

Two types of indicators. The alliance has developed two types of indicators, *programme progress indicators* and *general management indicators*. They have their own characteristics and will be gathered using different reports.

Programme progress indicators enable the alliance and its partners to monitor progress towards our common goals. These indicators are part of the overview of the intended results (annex 3). The indicators in the overview are designed as coverage indicators, to enable the alliance to capture progress from all nine countries, all with their different context, and aggregate on overall programme level. This means that each indicator has underlying definitions that may show variation from context to context. An example of how these indicators will be elaborated at country level and monitored at aggregated levels is given in box 4 below.

The programme progress indicators contain targets that are based on the context analyses in all nine countries and the experience of alliance members' and partners' staff. Fine-tuning of these targets will be possible after conducting baseline assessments (see section 5.2.3.c) in all programme areas and for all the indicators we want to measure. To assess whether the programme is on track, milestones have been formulated for each intervention strategy and plotted on the timeline of the programme (see section 5.2.6.c).

Apart from the above-mentioned *programme progress reports*, which are linked to the indicators in the logical framework, a more general *management report* will be developed. This management report will contain the more general process indicators on efficiency, harmonisation, and context changes (risks). The report will be produced on country lead level and, in an aggregated form, move upwards through the management levels to provide the necessary information for decision taking. In addition to these reports (on programme progress and management issues), *surveys* and *expert reviews* will be conducted on a regular basis to assess harmonisation, cooperation and appropriateness.

Box 4. Context specific elaboration of indicators

Overall programme indicator: At least 70% of communities (500.000 beneficiaries) are better able to provide for their households based on livelihood security

Questions for local indicator: a) what counts as a community?; b) how to measure household provision based on livelihood security?

Definition:

Community: group of at least X people in specific geographic area, with a form of recognised leadership. OR: people living within recognised village boundaries of named village.

Sub indicator(s):

Household provision based on livelihood security: average amount (kilograms) of food per month obtained from subsistence fishing/farming. OR: average amount of financial means (local currency) per month obtained through selling of self-produced goods.

The level of significant increase for the above example indicator will be determined in the baseline study based on local context, after which the overall programme indicator can be tracked for this specific context.

Most indicators that are gathered from grassroots level are aggregated to overall programme level, which makes it possible to use the same kind of information for different levels of decisions making – from very direct and context specific to more abstract on overall programme level.

Context. The programme is based on a number of assumptions about the context: on the political situation (stable/unstable, conducive/less conducive); stakeholder actions (living up to agreements, being supportive/obstructive); natural environment (occurrence/absence of natural hazards) etc. When the parameters of the context change, they will affect the impact of the programme interventions, either negatively or positively. This is why contextual parameters will be monitored on a regular basis. Changes in context will be captured in programme progress reports and discussed among the relevant management levels, leading to for instance decisions to amend the mix of resources amongst intervention strategies. Some contextual issues can be managed at country level, others may even require involvement of the Board of Directors. Changes in the security situation, which directly affect alliance personnel, will be monitored directly by the different alliance members' existing organisational structure. Where security issues may affect the safety of other alliance members personnel or the implementation of the programme, alliance members have the obligation to inform each other.

Learning. The second purpose of M&E, learning, is also connected to steering of the programme. Organisational learning is often depicted as a process involving loops (e.g. Deming cycle; loops of learning). The underlying idea is that organisations should continuously improve the performance of what they do. Single loop learning, the most basic form of learning, is about process design – are we doing things right? This basically is day-to-day project management as described above. The alliance will monitor a list of indicators to know whether the programme is still on track. If not, decisions will be taken to get it on track again.

Double loop learning is about new insights – are we doing the right things? This is linked to evaluations or evaluative practices. Annually, with the development of annual plans of action per country, the alliance will assess whether the course that was initially set out is still leading to the desired outcome for the beneficiaries. During this annual review and through the midterm evaluation, the alliance will furthermore determine if things can be done better, based on lessons learnt from programme progress reports, field visit reports and advice from the International Advisory Board (see annexes E1 and E2 for tasks, responsibilities and composition of the IAB). The alliance, additionally, planned for regular events for learning and exchange among alliance and

Southern partners, and with other stakeholders. Since the combined CCA/DRR/EMR approach is new, an important objective is to jointly develop and keep on developing the approach, including the experiences of all.

Learning will be organised at different levels. Partner CSOs will have the possibility to learn from each other at local level. alliance partners and members will be able to share experiences at national, regional and global level. The alliance furthermore seeks to create opportunities to make its experiences available to a larger audience through the organisation of global events. The core of learning information is generated at the community level, where partners will collect stories of significant change as a result of work by the alliance. These stories will contain lessons that can be shared with other communities both inside and outside the country.

Currently the alliance explores, together with selected resource organisations, opportunities for specific research on subjects of mutual interest, such as practices/processes in climate change adaptation at community level or the impact of the programme on poverty reduction at community level. The research agenda will be developed in the first half of 2011. See annex F for an overview of initiatives taken to align the programme with research institutes, private actors and networks.

Accountability. The Partners for Resilience alliance has made commitments towards Southern partners and beneficiaries. Furthermore, the alliance, by submitting a proposal to the Dutch Ministry of Foreign Affairs has taken on the responsibility to deliver the agreed upon results, which have been defined qualitatively and quantitatively. Combined, this is what the alliance is accountable for, both downward and upward. Since the Partners for Resilience generally reach their final beneficiaries through their Southern partners, accountability towards the communities primarily goes via the partners. Moreover, the beneficiaries' perspective will be assessed explicitly in the mid-term and final evaluations (see following section).

The alliance shares annual progress reports with the Ministry of Foreign Affairs and Southern partners. Additionally, annual audit reports will be shared with the Ministry. Other stakeholders will be informed on Partners for Resilience activities and achievements through the alliance website.

5.2.4b: The programme must be evaluated and the evaluations are of good quality

Mid-term evaluation. The Partners for Resilience will carry out a participatory mid-term evaluation in all countries. The evaluation will be supported by external evaluators/facilitators and be starting in the spring of 2013. The mid-term evaluation will focus on output and outcome level of the three intervention strategies and will pay special attention to synergies between the different intervention strategies. The exercise will include selected joint field visits and learning workshops with alliance members in each country, which will reflect on programme achievements and bottle necks. Where relevant the workshop participants will propose adjustments to the programme. The main purpose of this evaluation is internal learning, which will be used to adjust the programme for the remaining years where needed.

Since the evaluation is focussed more on internal learning than on accountability, it will be conducted both by internal and external evaluators. An external lead evaluator will be employed to coordinate a peer review in which programme staff from all countries and possibly the Ministry and other stakeholders will participate. The position of lead evaluator will be subject to a tendering procedure. The Terms of Reference (ToR) will be approved by all alliance members and Southern partners involved and will be shared with the Ministry of Foreign Affairs.

End-term evaluation. A fully external end-term programme evaluation will start in the second half of 2014. A relatively early start is preferred in order to use its conclusions and recommendations for programming beyond the MFS-II programme. Compared to the mid-term evaluation, this one has a stronger focus on upward and downward accountability. It will establish progress made in terms of outcomes compared to the baseline surveys, directly involving the target group (e.g. through focus-group discussions and story-telling). Where possible the programme's sustainability and impact will be assessed. The evaluation will look at the extent to which the programme has succeeded in fostering innovation. Lastly, the cost-effectiveness of interventions, including the value added of working as an alliance will be assessed. The evaluation will be subject to a tendering procedure. An external reference group will be set up as a quality insurance mechanism. The members will be

representatives of the knowledge centres that have expressed interest in the work of the alliance, such as the Disaster Studies unit of the University of Wageningen, and members of the International Advisory Board. The alliance is strongly committed to ownership by communities and civil society and this will be reflected in the TORs, the evaluation design and methodology. The TORs themselves will be developed in consultation with these partners as well as other stakeholders.

Voices of communities and civil society partners will feed into the evaluation through stories of significant change collected since the start of the programme. This has proven to be a powerful tool for identifying good practises and promoting learning between countries.

A desk study will be part of the external evaluation. The desk study will list key achievements of the global support component. During field visits the relevance and effects of these achievements can be corroborated, at community, regional and national level. The evaluation team members will be required to have field experience in some of the nine countries, so as to ensure that realities of the context can be sufficiently taken into account. The evaluation results will be summarised and translated in different languages and will be shared with communities and other stakeholders. A learning conference, to be organised in 2015, will set the agenda for the next years.

Comparative post-disaster impact evaluation. Impact evaluation is highly complex. The Partners for Resilience aim to improve methodologies for measuring (that is to say: improving measures to attribute) the impact of their work. To this end, comparative post-disaster ad hoc evaluations will be conducted. For instance, if the western part of a programme country is struck by drought, a research will be conducted to assess the impact of the disaster in one area where the Partners for Resilience have been working and in one area where they have not. This is done to verify the assumption that target communities are more resilient to disasters as a result of interventions than communities not included in the programme.

Representativeness. It is absolutely essential that the evaluations reflect the programme in all its dimensions and diversity. To evaluate a fair representation of 75% of all programme activities or budget it does not suffice to simply include 75% of the nine countries. The representativeness depends on contextual factors which affected the elaboration of the DRR/CCA/EMR approach in a specific context. The integration can have a different focus in different cultures, natural environments, etc. Another important factor influencing representativeness is the level of achievement in the different contexts. Representativeness also means incorporating both the success stories and the less successful projects. Since these factors or their exact effects cannot be determined at this stage and since the selection of representative projects and activities should be made independently, this will be conducted by the external evaluator during the inception phase of the final evaluation.

Tab 8. Section 5.2.5 Harmonisation and complementarity

Please refer to annex 4 under 'Tab 12. Compulsory appendices' for the reports on harmonisation and complementarity of the programme countries:

- *Annex 4.1 Ethiopia*
- *Annex 4.2 Guatemala*
- *Annex 4.3 India*
- *Annex 4.4 Indonesia*
- *Annex 4.5 Kenya*
- *Annex 4.6 Mali*
- *Annex 4.7 Nicaragua*
- *Annex 4.8 The Philippines*
- *Annex 4.9 Uganda*

9. Efficiency

5.2.6a: Investment in the programme should translate into benefit for the target group (added value for target group) and not cost more than necessary (the programme must be efficient, overheads must be in reasonable proportion to direct programme costs)

Programme budget

The programme budget, including an explanation of the structure and cost items of the budget, is included in annex 5. In order to provide better inside in the budget - its constituting components, the allocation across countries and its financing - we have adjusted the presentation of the budget in various ways. The amendments just concern the own contribution of alliance members and the way of presentation. The content of the budget itself has not been changed.

Cost-effectiveness of the programme

Cost-effectiveness is defined as the objective to (a) minimise the cost of achieving an intended result through a certain strategy, or (b) maximise the impact with a given amount of resources. In this section we demonstrate why the budgeted costs are necessary in relation to the intended results.

During the planning phase, great attention has been paid to the selection of programme strategies that are effective and low-cost at the same time. These strategies distinguish themselves by their emphasis on **soft solutions** (e.g. capacity development, institutional strengthening, community-based approaches), rather than hardware solutions (e.g. building dams, infrastructure). The former are considered to be much more cost-effective and superior in terms of sustainability. The NGO sector has long prided itself on its comparative advantage in this respect. Some of the low-cost strategies to be employed by the Partners for Resilience are in themselves not so new - but no less relevant for that matter. The most important ones are summarised in the following table:

Cost-effective strategies to be employed
Strong emphasis on community-based approaches, including the use of volunteers by the national Red Cross Societies
Micro-finance mechanisms which create access to credit for rural populations excluded from the regular financial system
Disaster risk reduction (DRR) instead of disaster response
Climate change adaptation (CCA) to improve disaster risk reduction strategies
Ecosystem management and restoration (EMR)
<i>NB. New strategies such as 'hybrid engineering' and 'nature driven design' may also be adopted in the programme (see optional appendix F for examples of the cost-effectiveness of such innovative approaches).</i>

In the present programme, the integration of three distinctive approaches towards disaster risk reduction (DRR), climate change adaptation (CCA) and ecosystem management and restoration (EMR) into the joint **Partners for Resilience DRR/CCA/EMR approach** is designed to deliver an outstandingly cost-effective strategy. Its social and environmental sustainability are presumed to yield lower cost per beneficiary over time, as explained below (added value target group).

The *effectiveness* of the programme will be assessed through the output and outcome indicators (see appendix 3 - logframe). The *cost-effectiveness* of the programme is measured by regularly combining these programmatic indicators with management indicators. How this is done, is explained in the next section.

Added value for the target group

In order to provide most added value to the target group – rural and urban communities – it is believed that three intervention strategies are required (see 5.2.2c). Sustainable impact in terms of strengthened resilience of 750.000 – 1.000.000 community members to deal with disaster risk, effects of climate change and environmental degradation can be attained with an MFS-II grant of 63.376.000 Euro and an own contribution of 6.171.000 Euro because **unit costs will decrease over time while effectiveness increases:**

Community resilience interventions (strategy 1) are the principal factors that determine unit costs. Civil-society capacity-building

Box 5. Kofi Annan about prevention:

"More effective prevention strategies would save not only tens of billions of dollars, but save tens of thousands of lives. Funds currently spent on intervention and relief could be devoted to enhancing equitable and sustainable development instead, which would further reduce the risk for war and disaster. Building a culture of prevention is not easy. While the costs of prevention have to be paid in the present, its benefits lie in a distant future. Moreover, the benefits are not tangible; they are the disasters that did NOT happen."
– "Facing the Humanitarian Challenge: Towards a Culture of Prevention"

(strategy 2), policy dialogue and advocacy (strategy 3) can be considered as additional productive investments. These latter ensure the sustainability and replication of results. The benefits from strategies 2 and 3 will not become apparent until the fourth and fifth years of the programme. Until then, their share in cost per beneficiary will be relatively high. Once the effects of strategies 2 and 3 kick in, their cost will decrease and create financial space for upscaling. Strategy 3 includes innovation and networking. As the Partners for Resilience work at multiple levels (community, district, provincial, and national), they can deliver a consistent set of messages which will be more likely to have impact, avoiding unnecessary duplication. Although up-scaling to other communities will require continued investment in capacity-building, policy dialogue and advocacy, it will be at a lower cost. For the target group, this will mean that 750.000 – 1.000.000 livelihoods are more robust when they are confronted with a disaster, that their assets and resources are better safeguarded and that they have more diversified sources of income at the end of the programme.

How will available means be cost-effectively deployed?

Declining support costs	As the budget shows, it is expected that when more economies of scale are attained within the alliance, more beneficiaries can be reached and more upscaling and multiplier effects are realised. As support costs decline, a larger proportion of the budget can be allocated to costs directly related to the outcomes.
Efficient deployment of staff	Closer cooperation between the Partners for Resilience will open opportunities for more efficient deployment of staff. Partners can make their considerable in-house resources available to other members at no or reduced cost. Evaluations will be centrally managed and jointly executed. Monitoring visits are expected to be gradually more and more combined. The number of external consultancies can be reduced due to the broad range of expertise available at local, national and global level among the five Partners for Resilience in areas such as DDR, contingency planning, agriculture, ecosystem management, water and sanitation, public health etc. This effect is amplified by the international nature of the networks of which the alliance members are part.
Availability of training material and training institutes	The Partners for Resilience have an existing network of training institutes in Africa (East and West), India, Indonesia and Central America. There will be no need to incur costs for training of trainers or to establish new partnerships with training institutes. Furthermore, the cost of training workshops can be reduced, by sharing the venue and external facilitators. Examples are training modules on DRR and CCA and assessment tools that, whether already developed for previous programmes or to be developed during the current programme period, will be readily available to other members.
Promising partnerships	The Associations of Insurers, Association of engineers and the Erasmus Centre for Strategic Philanthropy (ECSP) will work with the Partners for Resilience to improve the overall performance and effectiveness of the programme. Among others, development of a cost-benefit analysis tool is envisaged. See annex F for an overview of partnerships.

5.2.6b: It must be possible to verify the programme's efficiency during implementation, if necessary leading to cost-reducing measures

In order to make course corrections to increase the programme's efficiency in a timely manner, a management structure is required that can decide and act promptly on the basis of readily available information and feedback from programme operations. The management structure of the Partners for Resilience, consisting of various layers with different information requirements, has been outlined in the **management matrix**, which was introduced in section 5.2.4 and can be found in annex D.

The management matrix stipulates which indicators are monitored at which level. They reflect programme achievement, financial implementation, internal processes and external factors over given time periods. Relations between indicators in the management matrix (management indicators) and the logical framework (programmatic indicators), complemented with other information such as partner satisfaction surveys, feedback through the complaints mechanism and institutional reports from the alliance members such as annual accounts and audits will together point to the programme's efficiency, effectiveness and sustainability and will be the basis for decisions on course corrections.

The management information structure is schematically shown in the following figure:

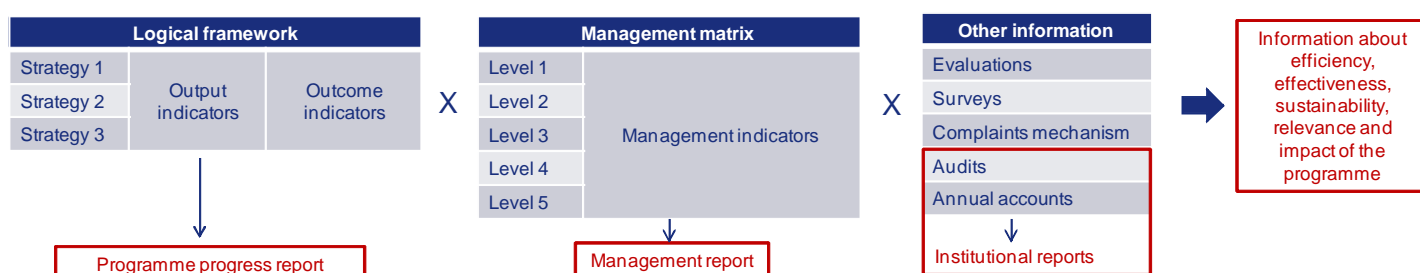


Figure 4. Management information structure

The management matrix identifies the **key efficiency indicators** monitored for the entire programme, being:

Costs per beneficiary
% support costs versus total country budget (per country)
% of costs for goods/services procured collectively by the Partners for Resilience
% of total and annual programme budget realised
Average due dates processing financial transfers from NLRC to alliance partners
Average due days of reports (external)
% of overhead according to agreed standard (benchmark)
% costs for intervention strategy 1 versus intervention strategy 2 and 3

Baseline data pertaining to these efficiency indicators, as well as targets, will be determined by the Steering Group in the last quarter of 2010. The Steering Group will monitor progress on these indicators and decide upon corrective measures if needed. They will do so on the basis of programme progress reports biannually provided by the Programme Working Group, management reports biannually provided by the NLRC and institutional reports (audit statements, annual accounts) annually provided by the alliance members.

The division of costs across intervention strategies is an important indicator of cost-effectiveness. The Partners for Resilience strive to achieve maximum impact on community resilience. Monitoring should ensure that the mix of intervention strategies is at all times optimally geared towards maximising impact. For instance, if monitoring data show that insufficient results are attained in strategy 1 because of a changed context, it may be necessary to shift resources to supporting strategies 2 and 3. Alternatively, if more results than expected are reached in strategy 2 or 3 (for instance because local authorities more rapidly than anticipated understand how to put DRR policies into practice), resources can be shifted to community-level interventions.

At **country level**, more detailed efficiency indicators will be defined. The partner CSOs with whom we will work for this programme (in many cases, building upon earlier contracts) have proven to be able to manage for efficiency. Within the boundaries set by the selected programme and interventions strategies, efficiency will be managed dynamically: either producing more outputs for a given amount of money, or produce a given volume of outputs at a lower cost. The approach to efficiency improvement is mundane and depends largely on operational factors, such as reducing the cost of travel; bulk purchase of certain supplies; international procurement of certain items, such as vehicles and IT equipment; optimising staffing levels etc. Certain programme strategies may require more expensive options, which will not be subject to cost-cutting such as the procurement of locally produced, more expensive, items for reasons of sustainability and ownership. Efficiency improvement at country level will be monitored through **output-related unit costs**. Some examples are:

Cost per participant of disaster risk assessment exercise
Cost per beneficiary to get microcredit scheme up and running (including, mobilisation training and small supplies)
Cost of improved drinking water point (i.e. dug well, borehole with handpump) per person; <i>(the denominator will change depending on the capacity of the water point and the technology used)</i>
Cost of reclaiming one hectare of land
Cost/benefits of improved watershed per beneficiary
Cost of restoring one hectare of degraded land

Combined with programmatic indicators (specified in the country logframes), this will provide information about cost-effectiveness at country-level. Due to the tailor-made nature of the programme these indicators are bound to be very context-specific and aggregation will be difficult and not necessarily useful. Examples of some **outcome-related unit costs** in this programme to be monitored at country level are:

The cost of the combined programme interventions that have led one community (being xx beneficiaries) to apply innovative practical adaptation measures to face the impacts of climate change;

The cost of the combined programme interventions that have led one community (being xx beneficiaries) to better provide for their households (*indicator to be measured by means of livelihood security assessments*).

Audits. The members of the alliance are subject to annual external audits conducted in accordance with international auditing and accounting standards. Recommendations for improving accountability usually result in improved efficiency medium- and long-term. Effectiveness can sometimes be improved in case it turns out that expenditure is not in line with originally agreed upon strategies. Exchange of audit experience between partners may speed up closing of the auditor's recommendations for follow-up action. The Partners for Resilience have auditing guidelines for their southern partners.

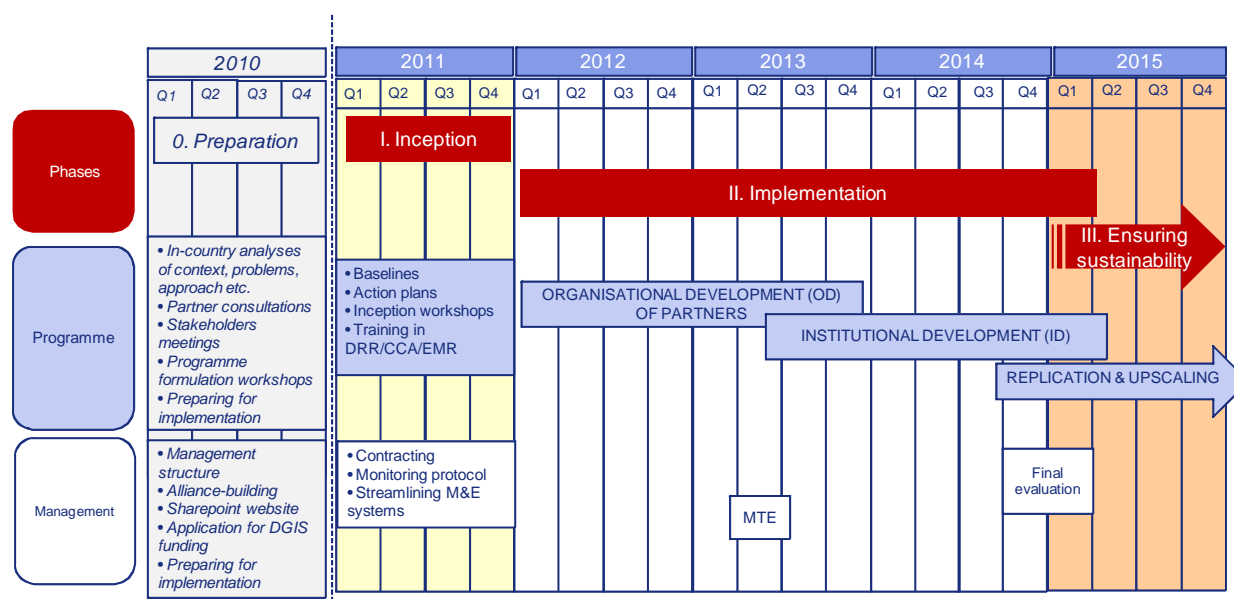
Overhead. Overhead. A calculation of the average overhead costs is provided in the clarifications to the budget, annex 5b. The maximum overhead percentage used for the programme will be 10%. The overhead percentages show large variations per member, since all alliance members have different cost structures, even though they all apply RJ650. The alliance will ensure a uniform way of reporting in order to be able to monitor and analyse overhead costs in order to minimize these within the respective organisational contexts.

Example. The external evaluation of the DIPECHO VI "Enhancing Vulnerability and Capacity Assessment (VCA) project in Vietnam" (contract value 331.923 Euro, implemented in 2008-2010) by the Netherlands Red Cross found that efficiency was well-managed. The evaluators concluded: "*The planned budget fit quite well with the expenditures; a surplus of around 60,000 Euros due to the increase of the value of the euro and reduction in cost of certain activities was discovered well in time. The evaluators believe that the project has efficiently and effectively used this surplus money to up scale the results of the project*".

5.2.6c: The programme must contain a realistic timeline.

The timeline of the programme proposed by the Partners for Resilience is depicted by the following figure. Below, we describe the programmes phases, the programmatic and organisational milestones we envisage and the underlying assumptions. We do not attempt to be exhaustive, so only the most important aspects of each phase are highlighted.

Figure 5. Programme planning at headlines



There are good reasons to assume that results will be realised within the planned timeframe. DRR, CCA and EMR are all programme strategies that the Partners for Resilience have been implementing for many years and much know-how has been accumulated. (See section 5.2.3d for the capacity of the Partners for Resilience). The major new element is the aspect of integration where there is less experience to draw on. We recognise that there are certain risks related to the planning, some of which are discussed below.

The programme consists of three phases (not counting the preparatory phase of MFS-II application). Furthermore, we distinguish between aspects directly related to the programme and to matters indirectly related to the programme – having a more managerial, organisational nature. Activities foreseen for 2011 are summarised in annex H.

Phase I – Inception

In the inception phase, the foundations are laid for the implementation of the programme. The length of the inception period may vary per country. In some locations, the first six months of the programme will be a preparatory phase devoted to community dialogue, planning, mobilisation, capacity building of both CSOs and communities, and discussions on practical arrangements for sustainability. In other locations, where member organisations have ongoing programmes, this essential phase may take less time and physical implementation of measures for strengthening resilience can start earlier. The precondition for implementation is that adequate baseline data are available. Hence, completion of the baseline studies is a major milestone in this phase. Risks of delay and insufficient quality will be minimised by: 1) starting planning for baseline measurements from July 1st 2010 onwards, so as to ensure the timely availability of parties to be contracted; 2) limiting the number of contractors so as to reduce complexity and external dependencies; 3) limiting the selection of contractors to those that have established a reputation for reliability. Baseline measurements will be carried out with close involvement of communities. Partner CSOs will need to accompany this process and no obstacles are expected here, since most partners are experienced in this regard.

Milestones inception phase (July 2010 – December 2011)	
Programmatic	Baseline studies completed by end Q1 2011
	Partners trained in DRR/CCA/EMR approach by end 2011
	Programme inception workshops finalised by end Q2 2011
Managerial	Contracts between NLRC and alliance members and with partners concluded by end Q1 2011
	Actions plans by selected CBOs/NGOs and communities finalised by end Q2 2011
	Collaboration agreements with third parties (knowledge institutes, private sector etc.) concluded by end Q3 2011
	M&E systems streamlined by end 2011

Phase II – Implementation

In the implementation phase, implementation in communities with support from CSOs and local Government departments will start. Southern partners and the local Government departments must be persuaded to adopt the integrated approach which may mean that they have to work differently. This risk of delay here may be most elevated among Government counterparts, but may be present for CSOs as well. In this phase, CSOs will lead and success will depend mostly on their active involvement. As the CSOs and the Partners of Resilience have a clear understanding - formalised in MoUs - it should be relatively easy to keep the programme on track through dialogue. Alternatively, CSO capacity may need to be strengthened. Hence, organisational development receives much attention in the first years of implementation. This will gradually give way to activities aimed at institutional strengthening, in order to ensure sustainability of programme interventions.

Since the five Partners for Resilience have uneven levels of experience in the integration of DRR/CCA/EMR it will be essential that they work closely together so as to learn from each other. Measuring and monitoring the quality of cooperation between the Partners for Resilience will be a high priority for the Steering Group. This will be one of the points of attention in the mid-term evaluation in 2013. Key milestones are presented in the following table:

Milestones implementation phase (January 2012 – March 2015)	
Strategy I (DAB)	60.000 households have protected water sources by the end of Q2 2013; and

	100.000 households have protected water sources by the end of Q1 2015
	60.000 households have protected land by the end of Q2 2013; and 100.000 households have protected land by the end of Q1 2015
	25% of communities have adopted environmental protection measures by the end of Q2 2013; and 60% of communities have adopted environmental protection measures by the end of Q1 2015
Strategy II (MO)	50% of communities have DRR/CCA/EMR committees in place by the end of Q1 2012
	100% of communities have DRR/CCA/EMR committees in place by the end of Q2 2013 of which 50% are well-functioning
	100% of DRR/CCA/EMR committees are well-functioning by the end of Q1 2015
	30 learning workshops have been successfully organised by the end of Q2 2013; and 60 learning workshops have been successfully organised by the end of Q1 2015
Strategy III (BB)	10 good practices and innovative approaches documented by the end of Q1 2013; and 20 good practices and innovative approaches documented by the end of Q1 2014
	7 workshops and conferences at national and global level organised by the end of Q3 2013; and 16 workshops and conferences at national and global level organised by the end of Q2 2015
Managerial	Mid-term evaluation completed by end of Q2 2013
	Final evaluation completed by end of Q1 2015

Phase III – Ensuring sustainability

In the third phase, ensuring programme interventions, replication and upscaling of the approach becomes the focus. The role of Government departments will grow. Sustained advocacy based on lessons learned from the experience of the CSOs should persuade them to switch to the more successful integrated approach. The assumption is that results at the community level are so convincing that it won't be very difficult to persuade government counterparts. Should government departments however not respond positively, alternative strategies for advocacy should be considered (e.g. changing to silent diplomacy, developing more evidence-based communication tools). Since the field of climate change is constantly evolving new allies may become available ready to join the programme's advocacy.

Sustainability is something that will be embedded from the start of the programme, as described in section 5.2.7. Six sustainability indicators are to that end closely monitored throughout programme implementation. Nonetheless, in 2015, specific attention is devoted to ensuring sustainability, building upon the institutional development activities provided in preceding years.

Scaling-up and replication *within the programme scope* may entail that lessons learnt are distributed to other countries (global support component) and that new communities are included to replicate the proven approach. Namely, after two or three years, a consolidation phase will set in the communities where the programme started. Inputs will be gradually withdrawn, and communities apply sustainable solutions and capitalise on their achievements. As programme costs for these communities decrease, funds are freed up that can be used for upscaling and replication elsewhere. *Beyond the programme scope*, this means that other actors (such as neighbouring communities, local authorities, donors etc.) adopt the approach within their activities/programmes: a multiplier effect. Both are foreseen to occur in this phase.

Milestones phase III (January – December 2015)	
Programmatic	Outcomes achieved by the end of 2015
	Sustainability of interventions ensured

10. Sustainability

5.2.7a: *The programme results must be of a sustainable nature.*

After the Partners for Resilience have ceased funding the MFS-II programme by the end of 2015, 1) local civil society partners should be able to autonomously sustain relevant programme interventions and 2) supported communities should have the capacity to continue the process of becoming more resilient independently. In this section we describe what measures are taken during programme implementation to ensure these outcomes.

We distinguish six types of sustainability. For each type, a monitoring indicator has been included in the programme logical framework (annex 3):

1. Financial sustainability: financing of programme-related activities through alternative (non-MFS II) funding sources

Financial sustainability measures	Explanation
1. Engagement of local government units to co-finance projects and/or sustain projects beyond the duration of the programme	With local governments, Memorandums of Understanding (MoU) will be signed. For instance, in Central America community disaster risk reduction groups will involve the local government in their DRR plans and receive partial funding for their plans. In an earlier DRR programme implemented by the NLRC in Guatemala, they proved to be capable to achieve this. The programme in Nicaragua and Guatemala further builds upon these interventions.
2. Mainstreaming Alliance activities in other regular programmes of NGOs, CBOs, and local government units	As much as possible, the programme incorporates activities over time in already existing initiatives, which will allow these to be mainstreamed without the need to seek additional funding.
3. Using the programme to leverage financing from other funding sources	Alliance members and their Southern partners will continuously strive to identify possible additional financing to match the programme funds and to encourage replication/multiplication of the results.
4. Building capacities of communities, NGOs, CBOs, and local government units in resource mobilisation and project cycle management	The programme includes organisational development (OD) of supported actors. Training on financial management, resource mobilisation and project cycle management is provided to organisations that display a need in this regard (following the baseline assessment).
5. Putting emphasis on activities that generate an income or strengthen livelihoods	For example, via the bio-rights approach, the programme in Mali will encourage vulnerable women to seek financial resources for sustainable income generating projects. Women can obtain microcredits if they advance projects related to natural resource management and biodiversity conservation.
6. Promoting cash or kind contributions by beneficiaries, e.g. for maintenance or replication of activities.	The programme promotes the idea that beneficiaries contribute within their abilities to the activities in their community. One of the advantages is that reluctance by beneficiaries to contribute can sometimes reveal projects that are unlikely to be sustainable.
Indicator: amount of resources mobilised by programme partners for DRR/CCA/Eco-system activities outside the programme's scope (ref: indicator II.a.6 in the logical framework)	

2. Institutional sustainability: structures allowing the results of the interventions to continue after the programme has ended.

Institutional sustainability measures	Explanation
1. The Alliance partners will, whenever possible, engage with existing structures and institutions, to ensure that these will continue after the programme has phased	For civil society institutions to be sufficiently strong to allow the results of the interventions to continue after the end of the programme, a combination of capacity building and organisational strengthening will be required. Capacity building efforts, such as training of staff and provision of equipment, will mainly contribute to enhancing the technical and operational capabilities but may not necessarily be sufficient for institutions to survive. Therefore organisational strengthening, such as

out.	strengthening the organisational set-up and enhancing the management and strategic planning skills, will be needed, if the viability of the Southern partners as autonomous organisations is to be ensured. The same is the case for the community disaster risk reduction committees that need organisational strengthening as recommended by the 2010 evaluation report of Cordaid's Disaster Risk Reduction programme.
2. When 1. is not possible, efforts will be made to build up the capacity of the newly set up institutions and create linkages with existing structures.	For example, in Indonesia community volunteer groups will be newly created but they will need to be officially endorsed by the Head of Village. These groups will be properly trained and equipped with the necessary skills and equipment to ensure continuation after the programme has finished. Another example are multi-actor fora. When fora are to be newly set-up, linkages will be sought with other ongoing initiatives, and efforts will be made to ensure (district) government leadership for the coordination and continuity in funding of the initiative.
Indicator: % of NGOs that have mainstreamed DRR, CCA and EMR practices and policies into their approaches, institutions and networks (ref: outcome indicator II.a.1 in the logical framework)	

3. Social sustainability: target communities feeling strong commitment to autonomously continue programme interventions following phasing out of external funding.

Social sustainability measures	Explanation
True "ownership" of programme outcomes by the beneficiaries is strived for by allowing genuine participation in the identification, design, development, monitoring and evaluation of the programme by target communities	Alliance partners have developed different tools and approaches for this purpose: the Red Cross/Red Crescent uses the "Vulnerability and Capacity Assessments" method in the field of community risk assessment/action planning and Cordaid developed "Community Managed Disaster Risk Reduction (CMDRR)", an overall approach whereby a community systematically identifies and manages its disaster risk reduction measures itself. For example, in Kenya and Ethiopia traditional systems exist among the Borana groups to assist one another in times of stress. The CMDRR programmes in these regions build on these traditional systems, which creates commitment.
Indicator: % communities with well-organised DRR/CCA/EMR committees (ref. output indicator II.b.4)	

4. Technical sustainability: using technologies that respond to local demands and capabilities and that can be operated and maintained locally.

Technical sustainability measures	Explanation
Conduct technical needs assessments	The programme aims to involve a wide range of technical means in the field of natural resource management, water management, disaster mitigation, ecosystem based approaches and climate adaptation. Needs assessments are done to ensure that proposed technical interventions correspond to a specific need, are adapted to the technical skills and capabilities of the people and organisations that are going to operate them and can be easily maintained (and if necessary replaced) locally.
Establishing and training maintenance committees	Training of maintenance committees
Indicator: % of community DRR/CCA/EMR activities based upon community needs analysis and action plans (ref. output indicator I.b.4)	

5. Policy level sustainability: influencing the regulatory environment in view of increased policy support and resourcing.

Policy sustainability measures	Explanation
Intervention strategy III: Policy dialogue and advocacy for stronger DRR/CCA policies and increased resources at all levels	Intervention strategy 3 is entirely devoted to creating an enabling policy and legal environment at national and local level to enhance overall impact and ensure sustainability. It also includes policy dialogue at regional and global level, based on learning from the country programmes. For example in the Horn of Africa Southern partners have been selected on the

	basis of their proven capacities to advocate with government for better DRR policy implementation, ensuring that funding for prevention reaches the target groups. They do so jointly with a number of agencies, using data on the impacts of climate change in semi-arid and arid regions. They disseminate the data using written and video materials and organise field visits with journalists and government officials.
Indicator: % of CBOs and NGOs engaged with other stakeholders in joint policy dialogue efforts for an institutionally conducive environment for DRR/CCA/EMR (ref. outcome indicator II.a.3)	

6. Environmental sustainability: improve the sustainable use and restoration of natural resources on which resilience depends.

Environmental sustainability measures	Explanation
Environmental impact and restoration will be considered for all the programme interventions and will be specifically assessed during baseline, monitoring and evaluation	Environmental sustainability is a key concern of the programme - disaster, climate change and ecosystems being interconnected in relation to achieving resilience and sustainable livelihoods.
Indicator: % of communities engaged in environmental management and restoration measures (ref. output indicator I.b.3)	

To conclude, sustainability of programme interventions will be a continuous concern during the different stages of programme development and implementation. It has been addressed in the planning stage and will continue to be systematically taken up in country programming and implementation. Monitoring of the sustainability indicators will allow to verify if sustainability objectives are on track or whether adjustments are required. Finally, the multiple lessons learnt on how sustainability was (or was not) reached in earlier programmes of the Alliance partners will be shared and taken into account when designing and developing programme interventions.

11. Closure signature

Applicant herewith declares that all information provided in the application form and corresponding annexes have been completed truthfully and attached.

Name applicant / lead applicant	Netherlands Red Cross
Name Legal Representative	Drs. A.E.M. Theunissen, Treasurer
Date	29-06-2010
Location	Heerlen
Signature	