The Netherlands Red Cross

Programme Report Inception Phase January-August 2016
Strategic Partnership
Dialogue and Dissent 2016-2020
Netherlands Red Cross / Partners for Resilience

The Netherlands Red Cross

care

Cordaid
BUILDING FLOURISHING COMMUNITIES

RED CROSS/RED CRESCENT
CLIMATE CENTRE
International Federation
of Red Cross and Red Crescent Societies
The Netherlands Red Cross

Wetlands
INTERNATIONAL

Contents

Cover page: A boy in Potrero, a barangay in the city of Malabon in Manila, stands in front of his family's makeshift house. The area is located along the Talluhan river and is frequently flooded during periods of typhoon activity, because of largely absent protection measures. The resulting stagnant water provides many health challenges. PfR works with local government and organised communities to install and strengthen protection measures, improve waste management, and to have better early warning systems. Also contingency planning has been improved, including evacuation drills, and more attention is also being paid to fire risks. Finally measures have been taken upstream along the Talluhan river:.Potrero participated in the reforestation of the slopes in the La Mesa watershed to control soil erosion, sedimentation, and siltation of waterways and to help preserve supplies of fresh water to the whole region. (Photo: Raimond Duijsens/ PfR – Netherlands Red Cross)

1 Introduction: Partners for Resilience and the Strategic Partnership

Partners for Resilience (PfR) is an alliance of humanitarian, development, climate and environmental civil society organisations, composed of five Netherlands based members (CARE Nederland, Cordaid, the Netherlands Red Cross, the Red Cross Red Crescent Climate Centre, and Wetlands International) and their partner civil society organisations in the South. The alliance, led by the Netherlands Red Cross, promotes the application of Integrated Risk Management (IRM) –integrating Disaster Risk Reduction (DRR), Ecosystem Management and restoration (EMR) and Climate Change Adaptation (CCA)– to strengthen and protect livelihoods of vulnerable communities (see box). PfR focuses primarily on climate-related natural hazards, whose underlying causes and potential for disasters result to a large extent from human-induced processes.

The PfR members have been working as an alliance in the field of IRM since 2011. Together with their local partners in Southern countries, PfR works to build and strengthen community resilience through Integrated Risk management through working with communities, strengthening civil society organisations, and engaging with governments and other stakeholders. The new strategic partnership (2016–2020) combines and strengthens PfR's and the ministry's knowledge, expertise and networks in the above fields: they will share knowledge, exchange information on relevant developments and contacts, make expertise (including tools) available, support each other's interventions and seek for synergy and coherence to yield maximum result. This will enable increased access to stakeholders in policy, investment and practice domains to promote the increased and sustained application of IRM. In the strategic partnership synergies are sought through regular dialogue, including with embassies, in order to maximise intervention results. At the same time both parties acknowledge that the dialogues may give rise to discussions in which there may be dissent. Dialogues are held at ministry level in The Hague, as well as with embassies in (or working for) the countries where PfR will implement its programme.

> ### Integrated Risk Management to build community resilience
>
> PfR strengthens community resilience by reducing risks and strengthening livelihoods of vulnerable communities, with specific attention for marginalized groups and women, by involving the wider civil society in addressing risks faced by all groups in society, in particular women, and by working on a conducive legal and financial environment.
>
> The Integrated Risk Management (IRM) approach bridges time- and spatial scales. It integrates the urgent attention needed for changing risks due to changes in hazards, exposure and vulnerability. IRM includes a specific focus on ecosystem degradation, locally and in the wider landscape, as well as changes in hazards due to climate change (in relation to current risks, near-term changes and longer-term shifts in climate patterns). IRM thus integrates elements from disaster risk reduction, climate change adaptation and ecosystem management and restoration.
>
> The focus of IRM is on communities and groups that are marginalised and therefore most vulnerable, with special attention paid to women, youth, elderly and disabled persons.

PfR and the Ministry aim to develop and strengthen the capacity of civil society partners in selected countries to pursue targeted Dialogues on IRM with selected stakeholders to improve polices, investments and practices that will ultimately contribute to increased resilience of communities.

In each country/region the Partners for Resilience will co-operate in a Country/Regional Team, consisting of the representatives of the five PfR alliance members present in that specific country/region, plus representatives from their in-country/-region implementing civil society partner organisations. Each of these teams will be led by a Country/Regional Lead, which the various alliance members will provide for. This lead will liaise with a Co-ordination Team in the Netherlands. Operational support will be provided by the Programme Working Group, strategic guidance will come from the Steering Group. Finally various specific thematic groups (Communication, Knowledge and Learning, PME, Finances, and others were necessary) will provide input to the programme.

2 | From Theory of Change to activity plans

2.1 Theory of Change

Disasters and development are at odds: disasters wipe out development gains of individuals, households, communities and entire countries. The number of disasters is growing, affecting more people and causing increasing economic damage. Continuing development as business-as-usual will prevent the attainment of poverty-eradication by 2030. Disaster risks and their impact are not only caused by misguided investments, environmental degradation, or urbanization: climate change causes more extreme and less predictable weather events, which push ever more vulnerable people beyond their coping levels.

This trend can be effectively addressed if more attention is paid to better management of disaster risks in development, and if multi-sector approaches are applied. In this way development processes can be safeguarded and opportunities for growth can be unlocked. Partners for Resilience brings five years of experience how to manage risks in development. Through the application of IRM the alliance is well placed to further the implementation of the Sendai Framework for DRR at national and local levels and contribute to the succesful implementation of the COP21 Paris Agreement and the Sustainable Development Goals. Over the years PfR has identified and addressed a number of bottlenecks to effectively manage disaster risk and thus enable sustainable and inclusive economic growth. It sees three major domains with distinct challenges:

- **Policy |** Mainstreaming of IRM in sector policies is still limited. Policies often insufficiently facilitate investors and local decision-makers on mainstreaming IRM.
- **Investment |** As a consequence, public and private investment mechanisms fail to address IRM and there is hardly any accountability for sustainable inclusive development.
- **Practice |** Guidelines, standards and habits that take account of IRM are absent. Consequently formal projects but also (informal) behaviour often have unintended negative impacts.
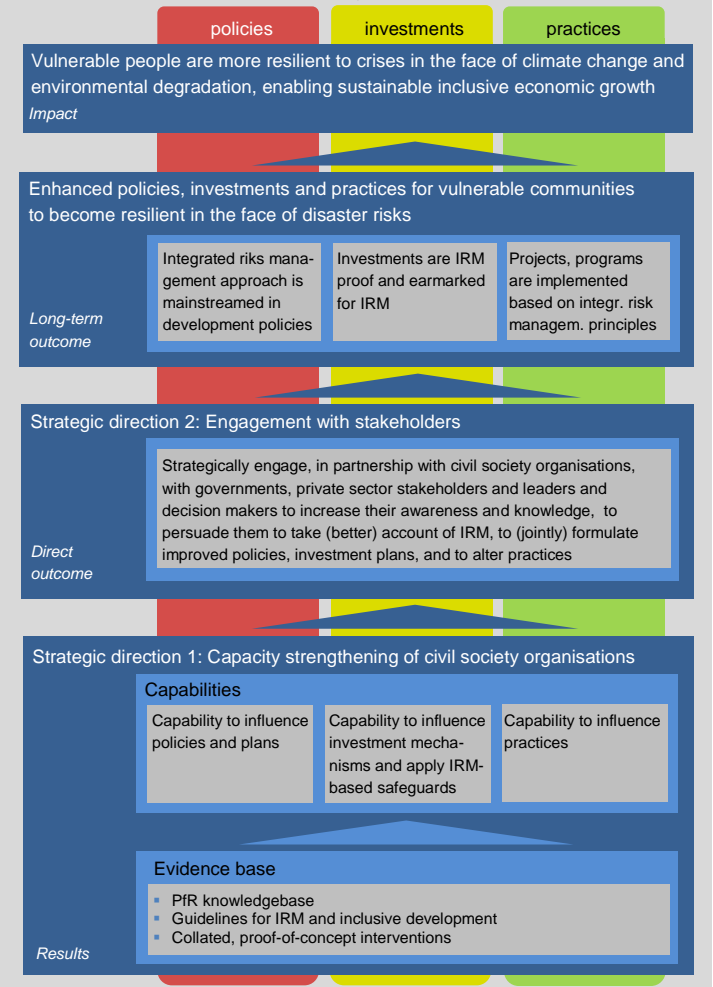
Strategic Partnership's Theory of Change

If	we strengthen CSOs at global, national and local level by focusing on a sound knowledge basis and improved capacity to argue for IRM in their own socio-economic and political context
then	an effective lobbying and advocacy programme on IRM can be implemented.
which results in	▪ raised awareness of decision-makers, politicians, private sector partners and investors at global, national and local levels; ▪ acknowledgement by all stakeholders of the importance of mainstreaming IRM in sector policies and investment funding, and enhancing practice at the local level ▪ better laws and regulations, screening of public and private investments, and enhanced practices and multi-stakeholder approaches.
because	PfR experience shows CSOs themselves are best placed to put IRM on the political agenda at all levels by influencing policy-making, advocating for vulnerable men and women, and sharing evidence-based knowledge.

policies	investments	practices

Vulnerable people are more resilient to crises in the face of climate change and environmental degradation, enabling sustainable inclusive economic growth
Impact

Enhanced policies, investments and practices for vulnerable communities to become resilient in the face of disaster risks

Integrated riks management approach is mainstreamed in development policies	Investments are IRM proof and earmarked for IRM	Projects, programs are implemented based on integr. risk managem. principles

Long-term outcome

Strategic direction 2: Engagement with stakeholders

Strategically engage, in partnership with civil society organisations, with governments, private sector stakeholders and leaders and decision makers to increase their awareness and knowledge, to persuade them to take (better) account of IRM, to (jointly) formulate improved policies, investment plans, and to alter practices

Direct outcome

Strategic direction 1: Capacity strengthening of civil society organisations

Capabilities

Capability to influence policies and plans	Capability to influence investment mechanisms and apply IRM-based safeguards	Capability to influence practices

Evidence base
- PfR knowledgebase
- Guidelines for IRM and inclusive development
- Collated, proof-of-concept interventions

Results

In the strategic partnership PfR aims to strengthen the capacity for pursuing dialogues, and in consultation with the Netherlands government, to embark on targeted dialogue trajectories within the three domains to ensure that the needs of vulnerable people are incorporated in policies, investments and practices. These enhanced policies, investments and practices in turn will help vulnerable communities to become more resilient to disaster risk, as prior experience demonstrates. Ultimately, when these communities are more resilient in the face of climate change and environmental degradation, this will enable sustainable inclusive economic growth (see box).

Thus the strategic partnership of PfR and the Netherlands government will work to ensure increased community resilience to crises triggered by climate-related hazards, and compounded by climate change and environmental degradation, through

1. **Capacity strengthening of civil society organisations for lobby and advocacy** - strengthening Southern civil society organisations and communities (through these organisations) in their lobby and advocacy on IRM in the interest of all people in society, so that these communities, supported by partner organisations, are capable of enhancing their resilience. For this they require **1.a** A sound evidence base for IRM and **1.b** Improved capabilities to argue for IRM

   To adequately support the partners and structure interventions, baseline assessments have been carried out, resulting in a Dialogue Capacities Framework (DCF) for each PfR country programme. The framework presents the current status of capacities, listed by the organisations themselves, based on available and needed capabilities in relation to the agreed IRM Dialogue trajectories. The status enables the identification of strengths and weaknesses, and consequently of a plan to strengthen certain capacities – including partner-to-partner training, and the application and/or development of materials within each partner's (international) networks.

   Furthermore the agreed trajectories each require evidence to make the IRM Dialogues effective. The needs for (collecting and/or developing) evidence have been listed, as a basis for targeted actions.

2. **Engagement with stakeholders** - embarking on specific IRM dialogues, from local to global level, focusing on the interrelated domains of policy, investment and practice.

   In-country assessments have been carried out, agreeing on IRM-related issues in the three domains to which PfR partners can contribute through dialogues. Based on a context analysis the needs and aims have been defined, together with the stakeholders involved, the PfR partner(s) best positioned, and baseline. Consequently an action plan is designed with milestones, activities and budgets.

2.2   IRM dialogues: from local to global level, and back

To foster the application of IRM to make people more resilient to crises in the face of climate change and environmental degradation, partners at national, regional and global levels have explored and selected issues where a targeted dialogue with involved stakeholders is expected to lead to improved policies, investments and practices. In workshops they mapped the aims for each trajectory, as well as the stakeholders involved (both as ultimate target group and as 'allies'), the current situation, the milestones and related activities, and the PfR partners best situated to take a lead. Moreover they explored the evidence that they would need in the trajectories that would add to the credibility of the dialogues, and, especially at country level, the capabilities that are needed to pursue these dialogues successfully – at personal, organisational, network and environment level.

Whereas building community resilience is essentially a local endeavour, it relies on higher-level policies, plans and investments that, to be effective, need to include information on their implications for local resilience, and more specifically of the needs, opportunities and priorities at local level – information that partners bring in the dialogues. Thus, while decisions work downward, information also

needs to flow upward between levels in the different domains. Moreover the domains are often also interconnected: investments for example are based on policy decisions, and practices derive from situations that are shaped by policy and investment decisions.

During the course of the first PfR programme (2011-2015) the alliance actively contributed to several international IRM-related agreements in the fields of Disaster Risk Reduction ("Sendai Framework for DRR', climate change ('Paris Agreements') and development (Sustainable Development Goals). Under the new programme (2016-2020) these need to be translated in policies and plans, and their impact on investments and practices needs to be regulated. Therefore they take up a central place in all plans.

Based on the above, PfR's IRM dialogues not only aim at all these different levels and their inter-linkages, but will also reinforce relations between them, within and between the different domains, to optimise synergy and exchange. Thus the PfR programme distinguishes three (interrelated) levels:

- **Global level interventions** aiming to influence relevant resilience related global policy frameworks, funding mechanisms, and investment and development initiatives to consider IRM adequately and to include perspectives of communities, including those specific to distinct groups
- **Regional level interventions** that address resilience challenges that span beyond country boundaries and/or that link to regional policy processes and related investments, initiatives, platforms, networks and institutions, which are established to tackle issues of common concern.
- **National level interventions** that aim increasing community resilience by promoting IRM at the level of these communities, as well as with stakeholders at the higher levels of country, province, and nation.

Developing the capacities of civil society organisations will be mainly within countries, and thus be included in the national programmes, trained staff and the knowledge and evidence base for IRM will increasingly be applied also at the higher levels.

2.3   Inception process

This report presents the outcomes of the inception phase, in which the above capacity strengthening needs (including knowledge base) and IRM Dialogues have been agreed. It provides condensed overviews per country, and complements this with a Global Programme which highlights the IRM Dialogues that will be pursued at an international level, with linkages to the national plans. Also the plans specifically address cross-cutting issues like gender, and quality, cost-effectiveness and sustainability. Finally the role of embassies is highlighted.

It should be noted that, due to time constraints and the overall complexity of the programme, the focus has been on country programmes and the global plan. The regional trajectories will be agreed in a process that will build on

Steps in the initiation process
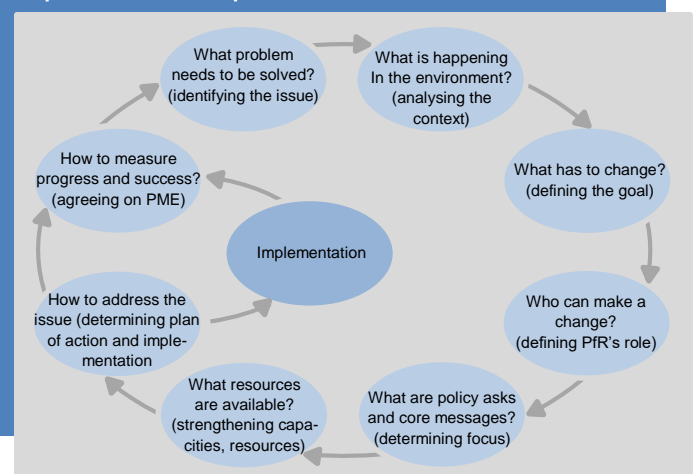
the plans from both levels, where possible creating synergies that will help the interventions at all levels in the programme. This process is foreseen to be completed before early 2017.

Finally the programme proposals built on the context analyses that were carried out during the initial development of the Strategic Partnership programme. The workshops applied similar processes to arrive at a joint plan for the IRM dialogues as well as for the necessary knowledge and evidence base and the dialogues capacities.

2.4 The global perspective

Many legal arrangements and funding streams originate from and adhere to International agreements and frameworks. As highlighted in par. 2.2 the prime global agreements and frameworks for PfR are the Sendai Framework (DRR), the Paris Agreement (Climate Change) and the SDGs (Development). Additionally other agreements, like the Ramsar Convention (biodiversity) feed PfR's global orientation.

It is recognised in the PfR programme that it is important to ensure that IRM considerations are taken into account at global level to inform governments and stakeholders in the processes that lead to the agreements and frameworks. Furthermore, as global agendas continue to develop, and agreements need to be translated into concrete plans and budgets, a constant dialogue needs to be pursued. The global plan highlights several topics that will be targeted, as well as the corresponding platforms and processes. It seeks linkages with PfR's national and regional plans to create synergy in dialogue efforts at the various levels. Furthermore it allows for new IRM-related issues and events to be included when they emerge.

2.5 The regional perspective

While in some countries the issues for the dialogue agenda are thematically unique and/or geographically limited to that country, in other situations they span beyond boundaries and are thus a concern for several countries. Examples are river basins, coastal zones or other spatially connected geographies. Often they link to regional policy processes and related initiatives, platforms, networks and institutions that are established to tackle issues of common concern.

With selected regional trajectories PfR aims to address cross-border issues more effectively. They will also function to stimulate south-south exchange and learning in a more structured way. As a consequence it is recognised that the focus of the trajectories is rather diverse.

> **Regions in PfR 2016-2020**
>
> **The Coastal Zones and river basins in Asia** that must become more adaptive in the light of climate change and regional policy making. A distinction is made between
> - the archipelagos of Indonesia and Philippines (SE Asia) and
> - coastal deltas in India and neighbouring countries (South Asia)
>
> **Central America region** where countries are faced with similar climate resilience challenges and the potential for country-to-country learning and joint L&A is under-exploited
>
> **The Upper Niger River Basin**, because of the interrelatedness of interventions in Guinea, Mali and Niger. PfR point of entry will be Mali
>
> **The Semi-Arid Zone in the Horn of Africa** (Ethiopia, Kenya, parts of Uganda and South Sudan), because of the similarity of the agricultural systems and the cross-border trans-migration of livestock.

During the Inception phase, focus has been on the development of the country plans and the Global plan. In the next period, the planning for the regional trajectories will be worked out in detail, aligned with the country plans and the global plan. More detailed information regarding the regional trajectories can therefore only be found in the annual report 2016, to be submitted early 2017.

2.6 The national perspective

Countries on which this partnership will focus were selected first and foremost on basis of their overall disaster risk[1], which includes assessments of hazards, vulnerabilities and capacities. Additionally a mixture was sought of countries under PfR 2011-2015 (allowing for building on existing structures) and 'new' countries, while including the Netherlands government's partner countries as much as possible.

In all countries where PfR continues its engagement their previous experiences will provide an evidence basis for the dialogues, and prior investments in capacity and organisational strengthening will benefit the new programme. The new countries will profit from the experiences of other PfR countries in their region, and provide additional leverage for dialogues at the regional level.

Countries in PfR 2016-2020	
▪ Latin America and Caribbean	**Guatemala**[1]**, Haiti**
▪ Africa	**Ethiopia**[1]**, Kenya**[1]**, Uganda**[1]**, South Sudan, Mali**[1]
▪ Asia	**India**[1]**, Indonesia**[1]**, Philippines**[1]
▪ Not specified	additional country[2]

[1] also included in PfR 2011-2015
[2] to be determined on basis of emerging opportunity during the course of the programme

It should be noted that in several countries especially the capacity strengthening plans will need to be agreed in more detail. The selection of dialogue trajectories has been prioritised and serves as the starting point for determining which specific capabilities are needed to be effective in these trajectories, plus which knowledge and evidence will serve the specific aims. While the Dialogue Capacity Frameworks (DCFs) have been determined in each country as a basis, they currently mainly provide a baseline on which, in light of the selected trajectories and the currently available resources, strengths and weaknesses will be determined and an activity plan will be developed. The level to which this has been done varies between countries, as will the overviews in chapter 4 show.

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[1] As a basis the Inform Index is applied (see www.inform-index.org.) Countries are listed on basis of highest overall risk, with the exclusion of OECD and upper-middle income countries, and of countries that are currently engaged in high-intensity conflict.

3 | Global Plan

3.1 Influencing policy constructs, policy implementation, and practice and investments at global level

The Global IRM programme aims to contribute to community resilience by influencing policies to incorporate the principles of integrated risk management. Apart from influencing policy dialogue at global level and national level where *capacity strengthening* of civil society organisations a priority, the programme is well positioned to link global policy dialogue with national and local practice. To achieve this broad objective the PfR Global Programme has identified three main trajectories to focus on :-

1. Influence policy dialogues on major international frameworks (Sendai Framework for DRR, SDGs, UNFCCC Paris Agreement and the New Urban Agenda-Habitat III).
2. Support/ contribute to formulation of implementation plans for four major frameworks
3. Promote risk-proof investments

The PfR global programme recognizes that disaster risk and resilience impact **gender** roles differently, and thus a consistent gender focus is needed throughout the programme. PfR global programme will systematically advocate for gender-sensitivity in reducing risks to shocks from climate change, ecosystem degradation and mal practices in the development/investment sector. This gender focus requires a strong analysis in country-level assessments where gender disaggregated data can be projected with specific reference to the needs of women, men, the youth children (boys and girls) and other groups.

Awareness, attention and collective action for resilience building through climate change adaptation, protection and restoration of our ecosystems and reducing disaster risk is increasing steadily. For this purpose, global goals and commitments have been set out over the course of 2015/2016 in major international frameworks:
- Sendai Framework For Disaster Risk Reduction (SFDRR)
- Sustainable Development Goals (SDGs)
- UNFCCC Paris Agreement
- The Habitat III New Urban Agenda

In each of these frameworks, there is one overarching objective to mitigate risk and increase resilience of vulnerable people. The success of formulating such far-reaching agreements now presents us with the next big task: Implementation of these agreements at regional, national and local levels.

PfR's Global programme is contributing to building community resilience to shocks from climate (change), environment and development risks by influencing policies to incorporate the principles of Integrated Risk Management. Apart from influencing policy dialogue at global level, the programme is well positioned to link global policy dialogue with regional, national and local practice and investments.

To achieve this broad objective the PfR Global Programme has identified three main trajectories to focus on:

- Policy domain: Integrated Risk Management approach is mainstreamed in implementation strategies of the key development policies (Sendai Framework for DRR, SDGs, UNFCCC Paris Agreement and the New Urban Agenda).
- Investment Domain: Investments are risk-proof and incorporate core IRM principles.
- Practice Domain: Support/contribute to formulation of National implementation plans for the three major frameworks

The underpinning principle is that policy, investments and practice are closely intertwined and do not function in isolation; and that policy, practice and investments must closely interact for an effective impact to reduce disaster risks from climate change and environmental degradation.

At the global level, Partners for Resilience (PfR) inception phase in 2016 has identified and prioritised local, national, regional and global opportunities in partnerships, key events and dialogue processes to contribute to effective development of policies/strategies where Integrated Risk Management approaches should be applied to contribute to strengthening/building resilience. While some processes are more predictable and easy to plan for (e.g. COP 23, CANCUN Global Platform of ISDR 2017, Habitat III Quito 2016), there are other events that may be more spontaneous but present major opportunities to influence strategy development (e.g. PfR Global used its network to participate in the Ministerial African Drought Conference in Namibia in August 2016 and actively contributed to the development of the Strategic Framework on Drought Resilience ensuring that core IRM principles were integrated in key conference outcome documents. The outcomes of this conference directly impact how national governments in Africa chart their future plans for drought management and response at national and local levels and thus has implications on how PfR Country Teams position themselves to work with governments and ensure the IRM approach is further advocated for in national drought management plans).

Furthermore, at national level PfR partners have also identified the linkages between the regionally, nationally and locally identified policy themes (and the related risks they seek to address) with related global discussions on these topics. PfR involvement in international policy dialogue can create policy space and political support, and 'serve' the work of the country teams by linking local information about risks and appropriate solutions to national, regional and global policy planning and financing.

Policies - Influence policy dialogues on major international frameworks	
1.1	Sendai Framework for Disaster Risk Reduction
1.2	Paris Climate Agreement
1.3	Sustainable Development Goals
1.4	Habitat III New Urban Agenda
Investments - Promote inclusive, sustainable investment	
2.1	Risk-informed investment dialogues
2.2	Climate finance
2.3	Advance risk screening of investments (public, private, and public-private)
2.4	Strengthen sustainability and inclusiveness in Netherlands water sector programmes and aid & trade programmes
2.5	Forecast-based financing
2.6	Environmental impact assessments
Practices - Support/ contribute to formulation of implementation plans for the three major frameworks	
3.1	Sustainable agriculture and forestry
3.2	Urban resilience / Liveable and sustainable cities (SDG 11)
3.3	River basin and coastal zone management/ early warning early action

3.2   Global to local and vice-versa

Local communities are at the frontline of risks that emerge as a result of climate change, ecosystem degradation and sometimes disasters from development malpractices (or a combination of these). Therefore, both the experience and the interests of local communities need to be at the core of global debates and policy development. At the same time local communities often lack the resources, time and capacity to engage in global (or national/regional) policy discussions. The global component of PfR seeks to operate in this void, informing global policy debate on local realities and translating global agreements to regional, national and local contexts. For example, the PfR global programme has identified influencing the discourse on the Sendai Framework for DRR and is engaged in the ISDR-led global Platform for DRR to contribute to developing DRR implementation strategies. This process cascades to regional/national level where PfR Country Teams have also plagued themselves into national planning processes for Regional Ministerial Platforms for DRR taking place in Mauritius and India in November 2016. In Asia, PfR Country Teams have established dialogues with their governments in Indonesia, Philippines and India to identify critical issues in policy, practice and investments that form a priority for negotiations and influence with key messages on IRM mainstreaming in policy. In East Africa, PfR Global is working closely with the Regional team to coordinate communication with national governments in Ethiopia, Kenya and Uganda to support national policy positions in the DRR strategy discussions and ensure core IRM principles are considered. *The aspiration in this global-regional-national linkage is to see this translate into practical actions in programmes designed for local-level implementation.* In addition to strengthening dialogue on policies and translation of policies into practice, PfR is contributing to promoting inclusive, green and sustainable investments from public and private sectors to contribute to resilience.

PfR envisages its role as brokers of change that link local realities with global debate and vice versa. Alliance members monitor and actively contribute to the implementation of the international agreements. The unique advantage of PfR is that it's members' experiences, mandate and networks are active at local, regional and global level, and can work in synergy and complementarity. Through our community networks, we have a good understanding of local risks, and of local solutions to build resilience. PfR connects this to national, regional and global policy and financing systems, linking top-down and bottom-up. The scales are embedded in different levels of governance: issues that span beyond country boundaries are addressed globally or regionally, the management of development within broader landscapes is addressed at transboundary, national or province level, while local level community needs are mostly (but not exclusively) governed at district or community scales. Additionally, PfR's vision to influence policy directly links to positively alter practice and investments with full consideration of risk reduction approaches.

3.3   PfR collaboration with the Netherlands Ministry of Foreign Affairs

The Partners for Resilience entered into a strategic partnership with the Netherlands Ministry of Foreign Affairs as part of the implementation agreement for the Partners for Resilience 2016-2020 Programme. In this agreement, the Ministry stresses that the partnerships would "enable CSOs to effectively voice alternative or dissenting views in a dynamic and increasingly global context" and offer opportunities for "joint, complementary action to effectively advocate change and influence policy" (Dialogue and Dissent, 2015 pg.2). The Partners for Resilience values this Strategic Partnership as it opens up many more doors for PfR to strategically partner with the Netherlands Government to advance lobby and advocacy efforts, particularly in processes that are heavily inter-governmental-led processes and where civil society sometimes only has 'participant or observer' status.

With several international processes underway in the arena of climate change, urbanization and sustainable development, and most of which entail strong leadership from governments, PfR anticipates from the Ministry: -

to optimize the strategic relationship with the Ministry to access 'negotiations' and influence policy and practice at major international conferences. For example, the Ministry's invitation to have civil society join the Dutch Delegation in the Habitat III conference offers PfR an opportune moment to advocate on climate change adaptation and ecosystem management approaches to be considered in the New Urban Agenda. Several other opportunities similar to the Habitat III process must be kept on the agenda, e.g. COP23 engagement, CANCUN2017, CREWS).

Open doors for closer interaction between PfR and other government and multilateral organisations whose work have an impact on contributing to sustainable development. For example, at COP21, extensive discussions were held on potential PfR involvement in the World Bank-led CREWS initiative through the Ministry's facilitation. PfR remains committed to offer its expertise in this field and be a partner to the Dutch government to foster this initiative.

Connect PfR to other Dutch ministries engaged in operations with impact on climate change adaptation, environment/ecosystem management and investments. For example, PfR would benefit from engagement on policy discussions on trade and investments to draw attention to sustainable ecosystem management practices and promote risk-proof investments. For example, PfR participated in a ministerial meeting on the AU/EU Investing in a Food Secure Future. While this conference was hosted under the auspices of Netherlands EU Presidency, the Ministry of Economic Affairs played a key role and thus linkages through the Ministry to such processes in the future may benefit PfR's agenda to advocate on risk reduction.

Facilitate structured engagement between PfR and embassies particularly where policy and trade interact. Communication from Ministry to embassies in PfR countries on the Ministry's strategic partnership with PfR may strengthen awareness of programme at embassy level but also ease PfR's access to embassies on issues relating to climate change, ecosystem management and investments. For example, PfR acknowledges dialogue opportunities to promote sustainable investments that consider social contracts with communities and ecosystem management that present in the upcoming trade mission to Indonesia (October 2016) being coordinated by RVO in collaboration with the Ministry of Environment and Infrastructure and the Ministry of Foreign Affairs, and which the latter can facilitate as a strategic partner.

Regular structured meetings, biannually, to brief the Ministry of Foreign Affairs on opportunities and challenges in the implementation of the PfR programme.

4 Country plans

4.1 Introduction

Designing the plans | The country plans have been developed by the Country Teams under supervision by the Country Lead in every country. The process started in February with a workshop for the latter in The Hague, where the programme's aims, set-up and unique features were discussed, as well as the way forward re. a range of issues like monitoring and evaluation, reporting, governance, capacity strengthening. Subsequently workshops and planning sessions were held in each individual country, often with participation of one or more staff from HQ. Based on a format the teams worked on mapping out key issues and conducting a stakeholder analysis to arrive on a set of potential IRM Dialogue trajectories. Southern Civil Society organisations (national Red Cross Societies, and national/local partners of CARE, Cordaid and Wetlands) were involved, as well as in-country staff from the Red Cross Climate Centre (RCCC). A first assessment of capacities provided clarity on available and required resources, which not only laid the basis for the Capacity Strengthening plan, but also served as a reality check for the initial list of Dialogue trajectories. As a next step these would be further narrowed down, with inclusion of targets and milestones, and an exploration of necessary knowledge, tools, methods. Also the gender aspect of the selected trajectories was discussed and addressed in the plans. Based on the selected trajectories and required capacities to properly pursue these, the Dialogue Capacity Framework was made, which serves as the main tool to track and steer capacity strengthening efforts during the course of the programme. Finally lead and support roles were agreed, and budgets were allocated to the plans.

In two rounds of discussion, the Steering Group, on basis of prior assessments of the Programme Working Group, assessed the proposals. In August, after the first round, the Country leads were provided with general and country-specific feedback, and additional input was assessed in the second assessment, where the final plans were approved, together with the Global Plan and the Capacity Strengthening plan. Each of these plans is presented in this report. Finally the Global Coordinator for Humanitarian Diplomacy ensured not only that PfR would select and work on a number of global trajectories, but also ensured linkages with the various country programmes.

In most countries the embassy has been involved in the inception phase, albeit with different degrees of intensity. In two countries the Netherlands government is not represented with an embassy, whereas in other countries the embassy is overseeing a multitude of partnerships under the D&D framework, which naturally has an effect on the frequency and intensity of the engagement.

Activity plans, and measuring progress | While engagement with policy makers was one of the strategic directions under the previous PfR programme (2011-2015), this new programme constituted nevertheless a major shift of focus for all teams. As a consequence the exploration of issues and the agreement on the lay-out of the trajectories consumed substantial time. Therefore the plans are, at the moment of submitting this report, still largely formulated in qualitative terms. A Monitoring and Evaluation framework has been designed which will be the basis for tracking progress. This framework is presented in par. 6.3.2, and the period until the end of 2016 will be used to discuss and agree on country-specific contents with the Country Teams. Alignment will be sought with the systems that have been agreed at country level, like log books.

As for the Capacity Strengthening, work packages are proposed to the Country teams, on basis of the Dialogue Capacity Frameworks and the identified strengths and weaknesses and preferences and priorities. An overview is presented in annex 2.

4.2 **Ethiopia** (Semi-Arid Ecosystem – East Africa)

Context analysis | Disaster risk and climate variability and change are increasingly considered by federal and state governments through policies and investment frameworks, with due recognition of the importance of multi-sector approaches and community involvement. Many IRM-related policies however are rather sector-driven, and moreover several policies do not lead to concrete action. At local level resources to fund IRM are limited: priority is given to relief operations rather than DRR. Moreover there is generally little knowledge about the above policies and investment

Trajectories and domains

1. IRM integration in regional DRM strategy
2. Improving capacities of IRM stakeholders for implementation of strategies
3. Management and utilisation of water and land resources to provide local development opportunities
4. Improve food security through management of agriculture, livestock and rangeland practices
5. Access to climate fund for communities
6. Integrating IRM in investment plans
7. EIA based investment strategies include IRM

schemes. Many CSO are active in IRM (-related fields). Yet while legislation promotes local community ownership and local governments acknowledge CSOs as partners for policies and practices, their capacities are limited.
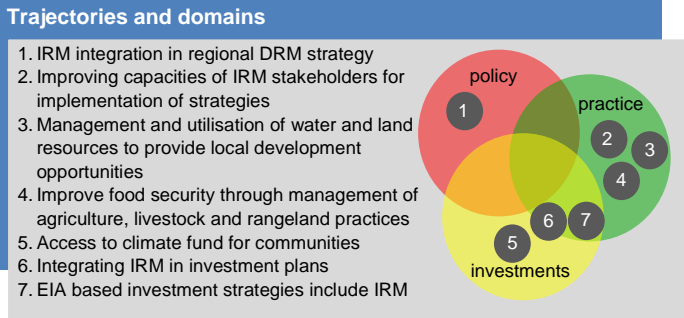
Recently local tensions between communities and private companies (some upported by the Netherlands government) have turned violent. Possible subsequent developments may impact on the below plans.

IRM Dialogues | The programme focuses on national level, plus at the Oromia, Afar and Amhara regions – the latter were selected because of disaster proneness in combination with the partners' presence and the strengths of local institutions.

trajectory 1	IRM integration in regional DRM strategy and guidelines
domain	policy
level	national level, plus Oromia, Afar, Amhara regions
partners	Lead: Cordaid; contributors: Wetlands International

trajectory 2	Improve capacities of stakeholders (e.g. DRM Commissions; Ministerial Offices for Agriculture, Health; CSO's; private sector) at regional level to implement effective Disaster Risk Management policies
domain	practice
level	Oromia, Afar, Amhara regions
partners	Lead: Cordaid; contributors: Ethiopia RC, RCCC (other: Wetlands Int'l, Cordaid, Netherlands RC)

trajectory 3	Improving sustainable and proper management and utilisation of water and land resources in the catchment by all stakeholders providing sustainable development opportunities for local economies
domain	practice
level	Oromia, Afar, Amhara regions (selected Woredas)
partners	Lead: Wetlands Int'l; contributors: Cordaid, Ethiopia RC

trajectory 4	Improving food security through the management of agriculture, livestock and rangeland practices
domain	practice
level	Oromia, Afar, Amhara regions (selected Woredas)
partners	Lead: CARE Ethiopia; contributors: Cordaid, Ethiopia RC (other: CARE NL, RCCC, Wetlands International)

trajectory 5	Provide access to climate fund for communities
domain	investment
level	national level, plus Oromia, Afar, Amhara regions
partners	Lead: Ethiopia RC; contributors: CARE Eth (other: RCCC, Wetlands International)

trajectory 6	Ensuring investors adhere to IRM principles and support communities to have increased resilience to climate shocks and impact by integrating IRM in their investment plans
domain	Investment (impacting specifically on the practice domain)
level	national level, plus Oromia, Afar, Amhara regions
partners	Lead: Cordaid; contributors: CARE, RC Eth, RC NL, Wetlands International (other: RCCC)

trajectory 7	Investment strategies are based on the Environmental Impact Assessment that include IRM risk screening that involve local communities
domain	Investment (impacting specifically on the practice domain)
level	Oromia, Afar, Amhara region
partners	Lead: CARE; contributors: RC Eth, Wetlands International (other: RCCC)

Gender | Women will be actively involved in all planning processes and reporting procedures will be gender disaggregated. Effort will be exerted to ensure that the concerns of women are addressed in the planned IRM dialogues. The programme and partners' staff will be trained on gender equality and gender sensitive tools such as gender vulnerability assessment and leadership tools. The programme itself will provide capacity training in IRM particularly for women and girls. Moreover PfR aims its programme and staff to become examples and role models on the promotion of gender equality as a specific strategy.

Evidence | Ethiopia team can further build on the experiences of PfR1, especially when it regards their experiences in IRM and policy dialogue. However, for certain IRM dialogues, especially in the Investment and the Practice Domain, experiences and evidence base still need to be gained and developed. In order to effectively supervise and monitor the research and evidence base generation activities, the following key issues have been identified regarding knowledge / capacity building:
▪ Research skills
▪ Policy analysis
▪ Knowledge and skills for documentation and communication of good practices
Reference is made to annex 3 for more details.

Capacity Strengthening | The Ethiopia PfR partners have developed a clear strategy on how to work together on the various dialogues identified during the inception phase. The team is building on what it is doing best: Its technical knowledge in the various fields. The work plan includes a clear paragraph on capacity strengthening in view of the various dialogues and content concerned. The proposed capacity strengthening interventions mainly focus on key-stakeholders (including government offices). Specific focus is needed on strengthening dialogue capacities of PfR agencies and their civil society partners.

In the *self-assessment,* based on the Ethiopian dialogue capacity framework, capacity to negotiate (diplomatic skills) and capacity to mobilize were identified as areas where capacities are lacking at personal, organisational, network and environment level. These are crucial capacities when it comes to connecting constituencies with decision-makers. The civic space to employ and develop these

Dialogue Capacity Framework

Ethiopia	Assessment level:	Individual				Organizational						Network	Environment
No.	Category	Ayichalim	Leulseged	Dr. Sileshi	RCCC	SSD	ERCS	RCCC	Cordaid	CARE	WI	(PfR)	
1	Resources to implement												
2	Leadership & Decision-making												
3	Collaboration												
4	Learning and Adaptive capacity												
5	Conflict resolution capacity												
6	Knowledge & Information												
7	External Communication												
8	Capacity to mobilize												
9	Ability to relate												
10	Capacity to facilitate												
11	Capacity to negotiate												

capacities is however severely restricted in Ethiopia. Hence the proposed strategy of closely working with government offices building their capacities with a focus on constructive dialogue may be considered an important advocacy strategy that should support constructive dialogue with civil society. Also the M&E

of policy dialogue interventions and research skills were identified as areas that need major improvements. Given their generic nature a regional training together with the country teams of Uganda, Kenya and South-Sudan is envisaged.

Engagement with the Netherlands embassy | The Dutch move to synchronise their multi-annual program cycle with that of the Ethiopian government, enabling PfR to work more effectively together in relevant policy fields that are also prioritised by the embassy like food security and water.[1]

For PfR Ethiopia the role of the embassy is crucial. Since the programme is formally categorised as indirect costs as per the 30/70 Directive of the Charities and Societies Proclamation of Ethiopia, the embassy is hoped to persuade the Ethiopia government to sign the programme agreement.

The embassy has expressed its commitment and support to the programme, for example in mobilizing the relevant high level government officials, representatives of donor agencies and other embassies to actively participate in IRM dialogues. The Netherlands government's economic support to Ethiopia provides ample opportunities for this. Recent outbreaks of violence in the Oromiya and Amhara regional states caused the country team to consider organizing a forum where all stakeholders can meet and find solutions that cater to everyone's needs. The team has also decided and started to actively engage with the embassy to deliberate on the context in the country and set a schedule for regular meetings to review and amend the country plan to make it fit in the current local situation.

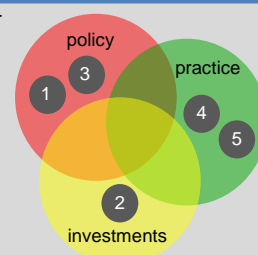## 4.3 Guatemala (Central America Region)

Context analysis | In the disaster realm the government prioritises response over risk reduction. For the latter, environmental, climate and other factors are factored in in a limited and isolated way, despite recent legislation.

Trajectories and domains

1 Interagency Strategic Agenda as a space for dialogue for IRM
2 Municipal planning with IRM approach
3 Involvement of civil society in the national IRM legislation
4 Knowledge management of IRM approach
5 Empowerment of women in the IRM approach

The Interinstitutional Strategic Agenda (ISA), agreed in 2014 between government institutions and PfR to facilitate a comprehensive IRM approach, will facilitate an efficient implementation of the new programme; after the first three years the focus of the programme will shift to the regional level.

IRM Dialogues | The trajectories focus on regional, national and local level. For the latter, municipalities (which stretch to regional size) are selected on basis of access and capacity of the partners: CARE works in the municipalities of Nahualá, Santa Catarina Ixtahuacán, Sololá; Guatemala RC in Santa Cruz del Quiché; Cordaid/Caritas Zacapa in Zacapa, Usumatlán, Cabañas and San Cristóbal Acasaguastlán; Wetlands Intenational in Puerto Barrios, Livingston (Izabal), Taxisco, Guazacapan, Chiquimulilla

trajectory 1	Interagency Strategic Agenda (ISA) as a space for dialogue for IRM.
domain	policy
level	Regional/ local
partners	Lead: CARE; contributors: Cordaid/Caritas, Guatemala RC, RCCC, Wetlands International

trajectory 2	Municipal planning with IRM approach.
domain	investments
level	Regional/local
partners	Lead: Coardaid/Caritas; contributors: CARE, Guatemala RC, RCCC, Wetlands International

trajectory 3	Involvement of civil society in the national IRM legislation

domain	policies
level	National (focus mainly in Guatemala City), regional/local
partners	Lead: Guatemala RC and RCCC (with IFRC); contributors: CARE, Cordaid/Caritas, Wetlands International

trajectory 4	Integrating IRM in university and school curricula.
domain	practice
level	Regional / local
partners	Lead: Wetlands International; contributors: CARE, Cordaid/Caritas, Guatemala RC (with IFRC), RCCC

trajectory 5	Empowerment of women in the IRM approach
domain	practice
level	Some of the women's networks are at a national level. The networks or local entities will be identified in each of the territories where partners are present.
partners	Lead: CARE; contributors: Cordaid/Caritas, Guatemala RC, RCCC, Wetlands International

Gender | With the participating entities under the ISA, the PfR partners will apply tools and policies (like 'Igualdad Casa Adentro') for sensitisation and making policies gender sensitive. Also for national IRM legislation PfR will promote the inclusion of (reference to) women. Furthermore, at municipal level women will be stimulated to be active representatives of grassroots organisations (like Comude), and support will be provided for IRM proposals of organised women groups.

In its knowledge management PfR will stimulate women participation, as students as well as teachers, so that women can actively contribute to the inclusion of the gender component in IRM training processes.

Evidence | Especially regarding the Strategic Inter Agency Agenda the Guatemala team can further build on experiences gained and knowledge build during PfR1. The evidence / knowledge base regarding the school programme in Guatemala under PfR1 will be used as a basis for the new school programme in Haiti under PfR2016-2020. Regarding other selected trajectories. Guatemala team has identified a separate trajectory for their evidence building: "Knowledge management of the IRM approach". Reason for this is that IRM information is scarce and scattered. Team wants to gather and centralize the IRM-approached information to share it in municipal, academic, national, regional, spaces among others.

The greatest change aimed for is the academic community to take charge of the generation and transmission of IRM knowledge. Under PfR1 alliances have been created with academic organizations such as USAC, the UVG (Del Valle University of Guatemala), URL (Landívar University of Guatemala), and other research centres that enable a better management of knowledge because of their mandate and nature. The academia will lead the spreading of knowledge by using existing spaces for learning and innovation. The ISA and MINEDUC will promote the use of educational models (environmental education focused on IRM). Guatemala team has identified some specific needs for evidence building. More details can be found in annex 3.

Capacity Strengthening | The team in Guatemala has chosen an interesting approach in furthering the Inter-agency Strategic Agenda (ISA) that has been negotiated between three ministries under PfR1. It seeks involvement of the planning authority SEGEPLAN for effective linkages to both the regional as well as the local level. SEGEPLAN is also expected to cater for the training needs of organized civil society represented in the Municipal Development Councils (COMUDES). These efforts will be complemented by trainings from within the CARITAS network which has a thorough experience with NGO-Municipality interactions. The team proposes the involvement of the University of San Carlos of Guatemala as a way to bring civil society perspectives to the attention of policy makers and to build the evidence base for IRM.

In terms of the *self-assessment* the team are confident they can handle the job. Capacity to negotiate, conflict resolution capacity and capacity to deal with trauma have broadly been pinpointed as areas where some attention is needed, which can be understood given the conflict history of the country. The Guatemala team has reduced the analysis of the environment to their allies and beneficiaries. Over the years the self-

Dialogue Capacity Framework

Guatemala	Assessment level:	Individual					Organizational					Network	Environment
No.	Category	Veronica	Lucía	Nery	Edwin	Jorge	NRC/ CRG	RCCC	Cordaid/ Caritas	CARE	WI	(PfR)	allies & benefi-ciairies
1	Resources to implement												
2	Leadership & Decision-making												
3	Collaboration												
4	Learning and adaptive capacity												
5	Conflict resolution capacity												
6	Knowledge & Information												
7	External Communication												
8	Capacity to mobilize												
9	Ability to relate												
10	Capacity to facilitate												
11	Capacity to negotiate												
12	Capacity to deal with trauma												

assessment may become a bit more realistic in various ways and some orange and red may appear, showing improved understanding of capabilities needed as well as expansion of the organizational network that takes part in the program.

Engagement with the Netherlands embassy | Throughout the inception process the Netherlands embassy (a Guatemala-based representative from the Netherlands embassy in Costa Rica) was actively involved. The role that is foreseen for the embassy is to facilitate information and guidance in private sector involvement, regional learning events, funding opportunities in the water sector, and linking with other governmental institutes in the region within the framework of the ISA. Also the embassy will contribute to establishing links with Costa Rican communities for learning and exchange visits, notably in relation to water and solid waste management. Potential roles on the latter three trajectories are yet to be discussed. The fact that the embassy is located in Costa Rica may well be beneficial for the foreseen shift to a more regional focus.

4.4 Haiti

Context analysis | Six years after the earthquake, the donor community is withdrawing but Haitian long-term structural needs and vulnerabilities are far from being dealt with. The challenge is now to provide vulnerable communities with secure livelihoods, efficient safety-nets and a healthy environment, in order to mitigate the frequency and impact of shocks and to foster sustainable development. In Haiti public policies however, legislation and commitments on DRR are fragmented and dispersed. Specific Haitian legislation on DRR may be resumed in few

Trajectories and domains

1 integrate DRR, Climate Change and the role of ecosystems at school curricula
2 harmonise instruments, tools and institutions involved in Early Warning Systems
3 Earmark 10% of relief/ development funding for IRM/Resilience

clauses integrated in the legal framework of the Ministry of Interior, which set the basis for the National Plan of Response to Emergencies; and in the September 2008 law on the emergency state, which was finally repealed in 2010, practically depriving the National System for Disaster Risk management of its legal framework. Despite this legal vacuum and weak regulation, there are several ongoing initiatives aiming at integrating the Sendai framework into the national legislation, adopting a National plan of actions for climate change adaptation, developing legislation and public policies governing land tenure, construction and urbanisation, and environmental management
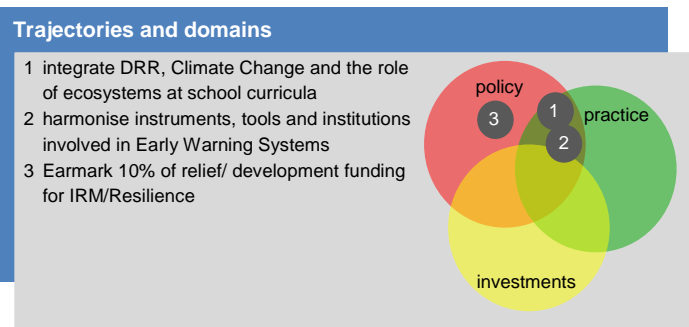
IRM Dialogues | In Haiti the highly centralised decision making processes imply that the focus of the dialogues, in line with the observations described above, is at the national level. Moreover the Red Cross, being the only PfR partner with in-country presence, will take the lead in all trajectories.

trajectory 1	Integrate the nexus of Disaster Risk, Climate Change and the role of ecosystems in Haitian school curricula
domain	Policy (and practices)
level	National
partners	Lead: Haitian Red Cross; support: RCCC

trajectory 2	Harmonise among the instruments, tools and institutions involved in the Early Warning Systems
domain	Policy (and practices)
level	National
partners	Lead: Haitian Red Cross; support: RCCC

trajectory 3	Earmarking 10% of relief/development funding for IRM/Resilience
domain	Policy
level	National
partners	Lead: Haitian Red Cross

Gender | The Haitian Red Cross is widely recognised as a strong promotor of the role of women. Its policies and strategies are a manifestation of that, and in addition to that it organises a dedicated conference in December 2016. In line with this orientation the PfR programme will be inclusive and participatory, with attention for the creation of strategic local and national alliances, and proposed IRM tools, measures and solutions will ensure due attention for the specific needs of women, and the opportunities they bring.

Evidence | Being a new PfR country, Haiti team does not have the rich experiences in IRM yet as many of the other countries. Though partners engaged can surely build on earlier work done in the field of Integrated Risk management. In consideration of the selected trajectories the below evidence/ knowledge need to be developed:
- *Trajectory 1*: learning resources for the integration of climate change in the primary and secondary grade curricula. These resources are: teachers' module, interactive DVD on climate change, lesson plans, and practical activities booklet; Haiti team will build on the experiences that the Guatemala team gained under PfR1
- *Trajectory 2*: about the Risk knowledge: development of the baseline understanding about risks (hazards and vulnerabilities) and priorities at a given level; about the Monitoring: systematisation of the data flow in order to ensure efficient follow-up and to keep up-to-date on how those risks and vulnerabilities change through time; about the Response capability: assessing and ensuring that each level is enabled to reduce risk once trends are spotted and announced ; about the Warning communication: mapping and harmonising the tools developed to package the monitoring information into actionable messages understood by those that need, and are prepared, to hear them.
- *Trajectory 3*: development of evidence based arguments and comparative studies in order to proof the IRM/Resilience investments' cost-effectiveness.

By the end of 2017 the evidence based documentation for all trajectories is developed. The Climate Centre will be involved from within PfR particularly in relation with trajectories 1 and 2. Domestic and international academic researchers will be involved for Trajectory 3. Reference is made to annex 3 for more details.

Capacity Strengthening | The team in Haiti is still small but has done well in putting together a program with a focus on capacity strengthening of the Haiti Red Cross itself initially. The first trajectory links to experience in neighbouring Dominican Republic and builds on plans already existing within the Ministry of Education to integrate DRR and Climate Change related content into the school curriculum. It also sits well with the Small Island Developing States (SIDS) grouping within the Climate Change agenda. Also

within PfR similar experience with school curriculum processes may be capitalized on and exchange can be facilitated.
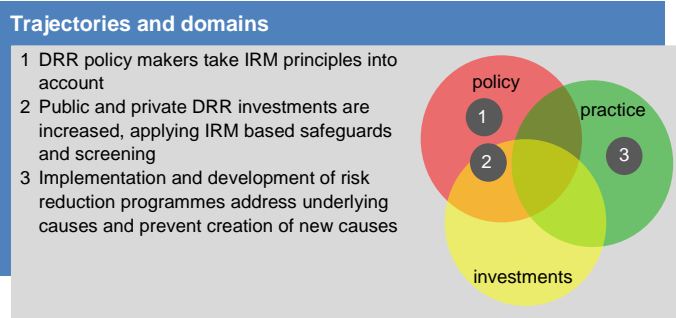
The *self-assessment* was done for the Haiti Red Cross as other partners have not yet become fully operational. Also the environment was assessed. The data reflects the earlier analysis of the team with regard to the limited capacity of the Haitian Department of Civil Protection for domestic disaster response which will be an important target of capacity strengthening interventions along with the Haiti Red Cross itself.

Dialogue Capacity Framework

Haiti	Assessment level:	Individual			Organizational				Network	Environment
No.	Category	Analisa	Name 2	Name 3	HRC	Partner 2	Partner #	Partner #	(PfR)	
1	Resources to implement	red			yellow					red
2	Leadership & Decision-making	yellow			orange					orange
3	Collaboration	yellow			orange					red
4	Learning and adaptive capacity	yellow			red					red
5	Conflict resolution capacity									red
6	Knowledge & Information	yellow			red					red
7	External Communication	yellow			orange					orange
8	Capacity to mobilize governmental actors	green			green					orange
9	Ability to relate to external environment	light green			yellow					light green
10	Capacity to facilitate									
11	Capacity to negotiate	light green			yellow					light green

Engagement with the Netherlands embassy | While PfR's collaboration with the Netherlands embassy (based in the Dominican Republic) has been limited so far, both agreed that opportunities for closer engagement will be assessed. Given the recent IOB study in relation to the Dominican Republic on the issue of disaster management there is fertile ground for this engagement.

4.5   India (Coastal Zones and watersheds in Asia)

Context analysis | Spurred by increasing disaster losses the national government has put policies and a national institute in place, and has improved its response infra-structure and promotes early warning and preparedness. However the continued emphasis on response rather than preparedness and risk reduction, the weak inter-sectoral linkages and limited integration of climate and ecosystem considerations in risk reduction have limited the impact.

Trajectories and domains

1 DRR policy makers take IRM principles into account
2 Public and private DRR investments are increased, applying IRM based safeguards and screening
3 Implementation and development of risk reduction programmes address underlying causes and prevent creation of new causes

policy
practice
investments

Panchayati Raj Institutions (PRIs), the lowest administrative level, are central in building community resilience. Despite this, addressing developmental and IRM concerns has been limited. CSOs, in their bridge function between national, state and local level, bring best practices and lessons, and in that way can enrich the delivery of disaster management programmes.

IRM Dialogues | The partnership aims to work around replicable and scalable demonstrations in six states with national and local partners to build proof of evidence concepts (in four landscapes and two administrative districts). Work in the Mahanadi Delta (Odisha) and Nuagoan watershed (Uttarakhand) will complement existing EMR and CBA approaches with DRR themed interventions to achieve IRM implementation. Similarly, DRR efforts in Gandak-Kosi floodplains (Bihar) and Thenpennai- Malatarru floodplains (Tamil Nadu) will be complemented with EMR and CBA approaches. Finally work in the district of Anand (Gujarat), Utarkashi, Pitthoragar and the dstrict of Dehradun (Uttarakhand) and Mandi (Himachal Pradesh) will leverage the extensive network of India Red Cross' First Medical Responders (FMRs) to enable implementation of community managed IRM approaches.

trajectory 1	DRR policy makers at various governance levels take into account integrated risk management principles and approaches: National guidelines integrate IRM approaches in DRR policies; DDMPs integrate IRM approaches; a national prioritisation scheme highlights the key role for wetlands in DRR
domain	Policy
level	Implementation areas have been selected using a mix of landscapes (4) and administrative approach (2 districts). Program aims to work in 6 states and at national level.
partners	Lead: Wetlands International S. Asia; support: Cordaid, India RC, RCCC, national CSOs incl. Caritas India, SEEDS India

trajectory 2	Public and private DRR investments is increased, applying of IRM based safeguards and screening: leverage of state level development programme funding and establishment strategic partnerships with private sector stakeholders
domain	Policy
level	Implementation areas have been selected using a mix of landscapes (4) and administrative approach (2 districts). Program aims to work in 6 states and at national level.
partners	Lead: Wetlands International S. Asia; support: Cordaid, India RC, RCCC, national CSOs incl. Caritas India, SEEDS India Landscape/State level specific CSOs (Kalvi Kendra in the district of Villupuram, HARC in Uttarakhand, NetCoast in the Mahanadi Delta. Potential partners: India Business Biodiversity Initiative, IUCN led 'Leaders for Nature' programme

trajectory 3	Implementation and development of risk reduction programmes at various levels address underlying causes of risk and prevent creation of new risks
domain	Practice
level	Implementation areas have been selected using a mix of landscapes (4) and administrative approach (2 districts). Program aims to work in 6 states and at national level
partners	Lead: Wetlands International S. Asia; support: Cordaid, India RC, RCCC, national CSOs incl. Caritas India, SEEDS India Landscape/State level specific CSOs Landscape/State level specific CSOs: Kalvi Kendra in the district of Villupuram, HARC in the state of Uttarakhand, NetCoast, a federation of NGOs in the Mahanadi Delta

Gender | PfR will work to ensure that IRM planning of stakeholders at community level will take gender-specific vulnerabilities, needs and capacities into account. Specific modules will be developed, and gender equity safeguards will be used for linking vulnerable communities with ongoing developmental programmes. Special focus will be on the application of traditional and indigenous knowledge re climate change adaptation and planning for ecosystem management at community scale. Finally the PfR India team will be trained on gender aspects in programming, and will ensure effective integration in policies of the organisations. Its reporting will include gender-segregated information.

Evidence | PfR India and its partners can build on years of experiences in several regions. Some of the experiences of PfR1 will now be replicated in new geographical areas. Cooperation with the National / State / District Disaster Management Authorities will be further intensified. The main knowledge base required for selected IRM dialogues are:

▪ *Trajectory 1* (policy domain): DRR policy makers at various governance levels take into account integrated risk management principles and approaches:
  – Guidelines and proof of concept of integrating climate information in risk reduction planning
  – Collated proof of evidence and practise on ecosystem based approaches, particularly wetlands and IWRM in DRR
▪ *Trajectory 2* (investment domain): Public and private investments into disaster risk reduction is increased, with appliance of IRM based safeguards and screening:
  – Guidelines and proof of concept of integrating climate information in community scale risk reduction planning
  – Collated proof of evidence and practise on the inter-linkages between landscape degradation, increasing disaster risk, impacts on businesses and engagement opportunities
▪ *Trajectory 3* (practise domain): Implementation and development of risk reduction programmes at various levels address underlying causes of risk and prevent creation of new risks.
  - Monitoring and evaluation systems to assess incrementality and cost effectiveness of ecosystem based approaches for DRR planning
  - Risk screening tools to assess impacts of developmental interventions on existing risks

Capacity Strengthening | The team did well in putting together a clear and concise program with clear timelines, achievable ambitions and strategic sequencing of interventions. First and foremost a common understanding of IRM approaches and principles amongst all partners is valued as a precondition to successful IRM dialogues. The team therefore proposes a focus on capacity strengthening during the first 1,5 year and also the further development of the evidence base. Also the investment domain requires more knowledge and consideration before taking up according to the team, which shows a mature balance between ambition and capacities to deliver on that ambition.

The IRM dialogue *capacity self-assessment* has not been carried out in a structured way. A local dialogue capacity framework has not been put together. The team is aware of this, as shown in its detailed workplan re. the implementation of the trajectories, and the identified available and lacking capacity.

Dialogue Capacity Framework

India No.	Category	Individual Name 1	Name 2	Name 3	Name 4	Organizational Partner 1	Partner 2	Partner #	IRCS	RCCC	Cordaid	WII	Network (PfR)	Environment
1	Resources to implement													
2	Leadership & Decision-making													
3	Collaboration													
4	Learning and Adaptive capacity													
5	Conflict resolution capacity													
6	Knowledge & Information													
7	External Communication													
8	Capacity to mobilize													
9	Ability to relate													
10	Capacity to facilitate													
11	Capacity to negotiate													

For a number of policy influencing tactics no capacity gaps were felt. This analysis may apply to PfR partners but may not be applicable to local partners and CSOs that are taken along in the process of influencing. Hence, capacity strengthening support from the Netherlands will be aiming at strengthening the M&E of local capacity strengthening and the development of a local IRM dialogue capacity framework to monitor changes in that regard. Also attention may need to be paid to important aspects of Indian civil society and how to capitalize on them while strengthening IRM dialogue capacities of key-constituencies.

Though the program shows limited desire to engage with the private sector at an early stage the team plans to build its internal and CSO partners capacities on how to engage with private sector through participation in and contributions to various platforms and trainings such as e.g. the business training course of WBCSD (World Business Council for Sustainable Development) in November 2016 in Chennai the AMCDRR in November 2016 and the Ramsar Convention in 2017. Especially the experience with public-private partnerships in the South-Asian region may appear relevant to explore and provide entry points for risk screening with the private sector. All in all the program shows good command of lobby and advocacy strategies and implementation thereof and probably will require less support in that area.

Engagement with the Netherlands embassy | The Netherlands Embassy in India is a trade mission. However, the embassy holds a number of offices with crucial linkages relevant to PfR programming: Office of the Counsellor for Agriculture, Nature and Food Quality, the Department of Science and Technology and the Netherlands Foreign Investment Agency (NFIA) will be important sources of information on linkages between Netherlands and Indian businesses and investors. Primary contact point for NGOs is the Political Affairs office, who also monitor Indian national policy development and national-local governance linkages, both relevant to the PfR prgramme.[2]

It has been agreed that the embassy will assist PfR in providing access to Dutch companies specialising in various aspects of water management (especially in relation to water-mediated risks such as the Clean Ganga programme). Also it will promote IRM approaches in its engagements with the Government of India on issues of common interest, and will share its knowledge and expertise on IRM (to which PfR intends to contribute) with the embassy's mission in Bangladesh. Finally the embassy has indicated its interest to participate in field missions, workshops and learning events, including sharing of knowledge.

4.6 Indonesia (Coastal zones and watersheds in Asia)

Context analysis | While DRR has been declared a development priority, the legal, organisational and political complexities result in fragmentation, reduced co-operation and co-ordination, and thus hamper the effectiveness of dedicated legislation and resources. Much legislation is overlapping, sometimes even contradicting. Moreover many government agencies lack IRM knowledge, partly due to a high turnover of staff, and a lack of transparency and accountability, corruption and slow government processes further frustrates adequate planning and budgeting. Also the allocated budgets for local governments are often insufficient to match their tasks and ambitions.

Trajectories and domains

1. DM law and DRR policies and regulations comply with IRM standards, are harmonised with each other, and align w/ sectoral policies
2. Global agreements are taken into consideration in national and local policies
3. Community-based development plans incorporate and fund IRM initiatives
4. Lowland development planning complies with IRM critera
5. Watershed management approach and frameworks incorporated in village and district development plans
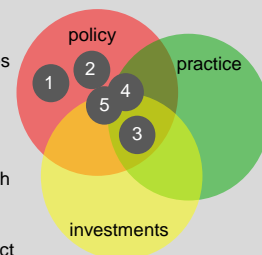
Civil society in Indonesia is vast, but its growth has led to fragmentation and a competition for funds, which in turn hampers co-operation on common issues. Authorities, in particular the National Agencies for Disaster Management and for Planning welcome civil society initiatives, and have shown serious interest in PfR and the IRM concept.

IRM Dialogues | Whereas all trajectories will focus on policy issues that are initiated at the national level, one trajectory will explicitly link to the local level Village Laws and Regulations, and build on previous local engagement of partners: Village Law No 6/2014, Government Regulation 22/2015 & 47/2015, Regulation of Village Minister, PDTT (No 2, 3, 4, 21 year 2015), Kemendagri Regulation on Village (111/2014, 113/2014, 67/2011, and 5/2015) and the NTT Provincial Medium Term Development Plan (RPJMD) 2014 – 2018. Also the capacities of communities will be strengthened.

trajectory 1	Disaster Management (DM) law and select related DRR policies and regulations comply with IRM standards, are harmonized with each other, and align with relevant sectoral policies
domain	policy
level	national
partners	Lead: Red Cross (PMI and IFRC); contributors: CARE International Indonesia, Wetlands International Indonesia, Cordaid/ Karina KWI, RCCC (each focusing on specific aspects) Lead: Red Cross (IFRC and PMI)

trajectory 2	Global agreements (like SFDRR, SDGs, Paris Climate Agreement, including their respective regional roadmaps that highlight the importance of IRM), are taken into consideration in national and local policies and vice versa
domain	policy
level	national
partners	Lead: RCCC; contributors: CARE International Indonesia, Cordaid/ Karina KWI, PMI/IFRC, Wetlands International Indonesia (each focusing on specific aspects)

trajectory 3	Gender-sensitive community-based development plans incorporate and fund IRM initiatives, leverage maximum funding allocated through Village Law, and align with and inform national IRM policy frameworks
domain	▪ policy: focus on Village Laws and Regulations. ▪ investment: building the capacity of communities to secure investments from both government agencies and private sectors corporations to effectively resource IRM projects and developments; and building the understanding of government agencies and private sector actors of the importance of making investments risk proof. ▪ practice: developing mechanisms to influence the review of local/village-level policies and regulations to incorporate IRM principles, using the technical input of local civil society, NGOs, and knowledge/research centres.
level	national / regional / local
partners	Lead: CARE International Indonesia; contributors: Cordaid/ Karina KWI, PMI/IFRC, RCCC, Wetlands International Indonesia

trajectory 4	Finding provisions for lowland development planning complies with IRM criteria, promoting investment in sustainable economies and livelihoods for lowland communities
domain	Policy (with links to investments and practices)

level	Local (Jakarta and lowland areas in NTT, Sumatra, Java and Kalimantan)
partners	Lead: Wetlands International; contributors: CARE International Indonesia, Cordaid / Karina KWI, PMI/IFRC

trajectory 5	Watershed Management Approach and accompanying regulatory frameworks incorporated into Village and District Development Plans in Sikka district in NTT and (to a lesser degree0 Jakarta (Banten Bay), in a manner that can inform future mainstreaming at national level
domain	Policy (with links to investments and practices)
level	Local (Sikka district, NTT; Banten Bay, Jakarta)
partners	Lead: Cordaid / Karina KWI; contributors: CARE International Indonesia, PMI/IFRC, Wetlands International

Gender | Building on experiences in the previous PfR programme, the lead organisation In Indonesia (CARE) has employed a gender adviser who will support the development of gender-inclusive strategies under all five trajectories, and to build the capacities of the individual organisations also beyond their work in PfR.

In their programming activities the partners will also apply targeted capacity building of communities to enable women to actively participate in the programme and benefit from more gender-sensitive budget allocations. Also other at-risk groups, like older people, children and people with disabilities, will be included in planning and implementation, through targeted initiatives, workshops and advocacy messages. The programme will collect and disaggregate data on women and these other minority groups. Finally PfR will promote the consideration of the role of gender in all targeted and proposed policies, laws and regulations, ensuring the improvement of the status of women in Indonesia.

Evidence | In regard to all five selected IRM dialogues, the Indonesia team will further build on its experiences and evidence base of PfR1. Though it is recognised that in some fields earlier experiences still need to be documented dwell, and now knowledge should be gained. In some case these knowledge is available by others, in some case new knowledge needs to be developed in order to build strong evidence. Under PfR 1 the following outcomes were achieved, that will help to inform an evidence base for IRM dialogue activities:

- Target communities (farmer groups, women groups, youth) have more sustainable livelihoods;
- Target communities have increased access to and influence on relevant government agencies;
- Target communities have increased access to information related on IRM issues;
- Successful interventions have been replicated by local government and non-targeted communities;
- The capacity of community groups to participate in policy development activities has increased through access to resources, knowledge and networks, which in turn has increased their resilience; and
- The farmers in targeted farmer groups are better able to manage their farms effectively and in a sustainable manner. They got access to resources, knowledge, networks, access agricultural inputs and maintained quality control over production;

In PfR2016-2020, a number of tools/evidence remain to be developed and steps to be taken, including:

- Evaluation of the impact of PfR 1 achievements to collect evidence-based IRM dialogue arguments;
- A step-by-step process on how to translate evidence into policy and funding;
- Introduction and promotion of the PfR1/IRM concept in communities;
- Formulation of a document which contains good practices such as reported under PfR1 including the concepts, objectives, priorities, strategies, and approaches;
- A map of the stakeholders and the contacts needed to target IRM dialogue activities better;
- A joint meeting with government and partners in NTT order to better understand the Village Law planning process including the concept, strategy integration, main issues in the region, and cross-sector cooperation approaches with local partners.

Capacity Strengthening | The team has drafted an ambitious change agenda with five trajectories that cater for IRM mainstreaming in policies and practice as well as development planning (investment) at national and district level. The Indonesian national nine-point action agenda "Nawacita" will be an important vehicle to bring change in these various fields. Hence it will be necessary to validate the IRM agenda against this policy framework and identify specific areas where changes in the latter are sought. A role for PfR partners may be to monitor its implementation. The ASEAN Social and Cultural Community has been selected by the team as the most strategic regional entity. The interfaith movement has been pinpointed to as an interesting entry point to ensure adherence to the legislation and actual implementation of measures. Special attention is required for analysing root causes of gender disparities and have women drive the change agenda bottom-up, which will lead to sustainable outcomes for IRM.

The *self-assessment* was to be done for each of the levels of capacity (individual, organizational, network, environment). However, the self-assessment was carried out for each of the trajectories instead linked to the lead organization, in an even more detailed manner. Rather than assessing the various categories, individual capacities were assessed. This approach has the advantage of having more relevance to the Theory of Change with regard to making a difference for vulnerable communities. However, the strategic direction to strengthen capacities of civil society may be lost in the process and needs special consideration during implementation. It anyhow provides an interesting alternative approach to keeping track of capacity strengthening that most probably works best for the team in Indonesia.

Dialogue Capacity Framework

No.	Category	Skills / Capability	Name 1	Name 2	Name 3	Name 4	Name 5	IFRC / PMI (DRR law)	RCCC (local-global linkages)	CARE Indonesia (village level gender)	WI Indonesia (lowlands)	Karina KWI (watershed)	Network (PfR)	Environment
1	Communication	Facilitation skills												
		Training of trainers (TOT) skills												
		Use of multimedia, including website management												
		Use of social media												
		Media engagement skills												
		Skills in developing publications and other communications materials												
2	Leadership	Clear coordination and leadership (including understanding roles & responsibilities)												
3	Collaboration	Relationships with key stakeholders												
		Ability to build institutional relationships												
		Ability to grow a coalition of support from the community												
4	Knowledge and Information	Technical knowledge of IRM												
		Knowledge and understanding of how to implement a gender sensitive approach												
		Understanding of regulatory frameworks relevant to IRM												
		Understanding policy making process + government budget making process												
5	Learning	Ability to build an evidence based (collecting, consolidating, sharing)												
		Ability to access information												
		Ability to conduct a needs assessment and analysis of communities (including mapping processes)												
		Access to technical expertise												
6	M&E	Reporting skills												
		M&E skills												

The self-assessment of the team acknowledges limited capacity in both "knowledge and understanding of how to implement a gender sensitive approach" as well as the "ability to conduct a needs assessment and analysis of communities (including mapping processes)". This provides important entry points for learning and capacity building. Still when it comes to capacity building knowledge on IRM is prioritized over knowledge on gender when it comes to the capacity strengthening agenda. This will be an important issue to address while providing support to the Indonesia team.

Engagement with the Netherlands embassy | The PfR Strategic Partnership in Indonesia has engaged representatives from the Netherlands embassy a number of times during the inception phase of the programme. Most notably, several representatives from PfR met with the Netherlands embassy during the start of the inception phase, and these representatives in turn attended part of the inception workshop, where they received a briefing on the five IRM trajectories and explored ways of how the PfR members intended to achieve them. Throughout the inception phase the Alliance Co-Lead has also attended meetings of the Netherlands Water Platform in Indonesia, to learn more about that program and seek ways in which to engage.

To signify the end of the inception phase and the commencement of high-level IRM dialogue, representatives from the Netherlands embassy will be invited to attend the launch of the PfR Strategic Partnership Indonesia programme in Jakarta on 30 November. There are also plans for PfR Indonesia to participate in a high-level trade mission from the Netherlands in November 2016.

Moving to implementation, it is anticipated that embassy representatives will play a role in participating in a number of relevant high level meetings with government and parliamentarians, when required. In particular, the Netherlands Water Platform in Indonesia is seen as a very useful to hold dialogues relating to the water sector and flood prevention, which is of particular relevance to Trajectories 3 and 5. This platform offers the possibility to look for opportunities of cooperation with the Netherlands embassy and other Dutch companies and institutions involved in the water sector.

For Trajectory 4, there is the potential that the targeted coastal lowland may align with the Delta Alliance, which in the Netherlands embassy participated in the past. This trajectory will also be aligned with the 'Building with Nature' programme in Indonesia funded by the Sustainable Water Funds (SWF) and the Netherlands Ministry of Foreign Affairs. The latter programme is a cooperation between the Indonesia Ministry of Marine Affairs and Fisheries (KKP) and Ministry of Public Work and People's Housing (PUPR), on behalf of the Government of Indonesia and the Ecoshape Consortium. In the PfR Strategic Partnership, the partners will use demonstration sites to present good practice in mangrove management and restoration to show to the government of Indonesia the importance of mangroves from an IRM perspective

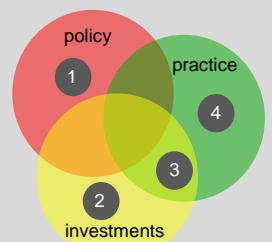## 4.7 Kenya (Semi-Arid Ecosystem – East Africa)

Context analysis | Different DRM policies are currently either in place or being developed. The decentralisation of governance to county level provides an opportunity for county level policy formulation and legislation on IRM, and a further integration of IRM in development plans, spatial plans and budgets. However, existing capacity to operationalise IRM at county level is limited.

Trajectories and domains

1. national, regional, county level legislation recognise and adopt IRM approach
2. investments along two riverbeds comply with IRM based safeguards or principles and apply IRM measures
3. climate funds are tracked to reach the most vulnerable and are utilised in the most effective manner
4. adaptation and replication of IRM good practices

Kenya has a rich and diverse CSO network that bring skills, equipment and tools. While the above decentralisation processes bring substantial opportunities to influence policy and planning processes, many CSOs lack relevant capacities, limiting their impact at county level. Platforms that have been created increase collaboration and amplify communities' voice, and PfR will build on this.

IRM Dialogues | PfR Kenya will focus on influencing disaster management policy by ensuring that it is IRM inclusive both at County and National level. It will also work with County Governments of the Ewaso Nyero River Basin: Isiolo, Samburu, Laikipia and in the, Tana river and Kilifi on building their

capacity on developing County DRM policy, revise their existing DRM policy and create critical mass to lobby County Government to allocate resources for the existing DRM policy.

trajectory 1	National, Regional and county level legislations, plans and policies in four Counties (Samburu, Isiolo, Kilifi and Laikipia), one bill at national level and a regional strategy/ legislation will recognize and adopt the IRM approach and contribute towards strengthening community resilience along the Ewaso Nyiro and Tana River Basin
domain	Policy
level	National and county
partners	Lead: Kenya Red Cross; contributor: Cordaid (other: Wetlands International)

trajectory 2	Investments along the Ewaso Nyiro and Tana Delta (covering four counties: Isiolo, Samburu, Tana River and Laikipia) comply with IRM-based safeguards or principles and apply IRM-based mitigation measures so as to avoid causing new vulnerabilities and aggravating existing ones.
domain	investments
level	county
partners	Lead: Wetlands International; contributors: Cordaid (other: Kenya Red Cross)

trajectory 3	Tracking climate change funds to reach the most vulnerable and utilised in the most effective manner
domain	
level	Investment and practices
partners	Lead: Kenya Red Cross; contributors: Cordaid, Wetlands International (other: Cordaid/MID-P)

trajectory 4	Adoption and replication of IRM good practices in selected counties (Isiolo, Laikipia, Samburu) and Ewaso Nyiro and Tana river basins
domain	practice
level	County (Ewaso Nyiro and Tana River basin)
partners	Lead: Cordaid; contributors: Kenya Red Cross, Wetlands International

Gender | Recognising that the current situation in Kenya re women involvement in legislative and decision making processes and moreover their access to (disaster) information is unfavourable, PfR will promote equal and active participation of women and men in DRR-related initiatives at local, county and national level. Therefore PfR Kenya will promote equal and active participation of both women and men in IRM to achieve the overarching goals of the Sendai Framework of Action and selected SDGs at county, national and regional levels. In and through the programme PfR will also promote the understanding of the benefits and efficiency gains of mainstreaming a gender perspective in IRM programs and policies, among the policy and decision makers it targets. The programme will identify (through analysis) potential measures to assure an inclusive approach, with attention for vulnerabilities and capacities of women and minority groups, in the PfR activities and in the IRM related policies, investments and practices.

Evidence | Under PfR1 the alliance members developed good practice documentation in terms of project reports and videos showing the importance of integrating IRM in policies, strategies, plans and programmes. However, there is still work to be done in regards to knowledge management and the development of new tools and guidelines to help position CSOs to influence IRM dialogue at all levels. This includes repackaging PFR1 case studies for different target groups, developing an IRM guideline to be used in training of CSOs and Governments, and to establish a database on IRM so that stakeholders can have access and can utilize the information available.

The Kenya team has identified a great number of issues under each of the three trajectories, related to available evidence, gaps identified, and required action. Reference is made to annex 3 for more detail.

Capacity Strengthening | The Kenya team managed to put a good proposal together that both has a focus, clear task division as well as coherent approach to knowledge management, capacity development and IRM dialogue planning. In developing the IRM dialogue skills of partners, assessments are a clear part of the intervention strategy, which implies a keen eye for strengthening their capacity as well. This also holds for the self-assessment which has been seriously carried out. However, when it comes to articulating what capacities are actually needed for successful IRM dialogues, it appeared

harder for the team to do. Good first steps have been taken in terms of a proper stakeholder analysis. Activities identified show a hands-on approach with clear ideas on what ingredients constitute a proper IRM dialogue trajectory. A realistic time-plan has been prepared. The team may benefit from a better understanding of a Theory of Change approach, requiring to be explicit about assumptions made regarding mechanisms of change.

The *self-assessment* shows a desire to further develop the knowledge base on IRM. This is also prioritised by the team. The initial support will focus on getting this into shape, making the most out of upcoming regional and global consultations while simultaneously working on developing a joint knowledge and learning agenda linked to the various trajectories identified. The self-assessment shows that each of the key-individuals within PfR member agencies have good skills for dialogue. At organizational level there is still some mileage to gain.

Dialogue Capacity Framework

Kenya — Assessment level:	Individual level				Organizational					Network	Environment
No. Category	Zeituna Roba	Titus Wamae	Sarah Nduku	Lilian Nyaega	MID-P	IMPACT	KRCS	Cordaid	WI	(PfR)	
1 Resources to implement											
2 Leadership & Decision-making											
3 Collaboration											
4 Learning and adaptive capacity											
5 Conflict resolution capacity											
6 Knowledge & Information											
7 External Communication											
8 Capacity to mobilize											
9 Ability to relate											
10 Capacity to facilitate											
11 Capacity to negotiate											
12 Capacity to deal with trauma											

The environment is not really enabling when it comes to collaboration. However, Partners for Resilience shows that despite this context, members were able to work effectively together over the past five years and are motivated to deepen the partnership to the level of effective joint advocacy programming.

Engagement with the Netherlands embassy | The Netherlands is phasing out its development cooperation programme with Kenya in 2020[3]. The regional role that the embassy already plays, with several attachés accredited for the region, will become more prominent, offering opportunities to also link to programming in Ethiopia, Uganda and South-Sudan. Bilaterally the relationship is expected to evolve from aid to trade and investment with economic diplomacy becoming more prominent. This may evolve into a more prominent dialogue with the embassy on Dutch investments.

The embassy has taken an active role re. PfR and other Netherlands government-supported partner-ships. As it currently is not involved in IRM programmes in areas where PfR Kenya is active, its focus will be on (stakeholders at) the national level on issues related to IRM. However for county-level ecosystem conservation programmes that the embassy supports PfR will explore areas for synergy or even joint implementation. For the local level PfR will likely benefit from embassy-facilitated partnership meetings with other alliances, where space is created for learning and creating synergy.

Close collaboration is foreseen on sharing information and experiences re. climate change, and re. the Netherlands government's plans and funding mechanisms in Kenya regarding climate financing. Also PfR aims to have annual review meetings of the alliance with the embassy to share lessons and take recommendations for learning and replication.
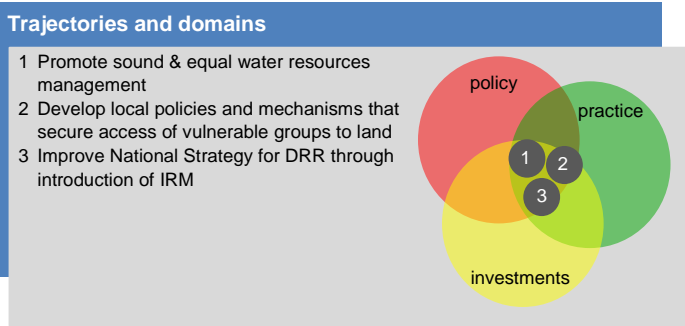
4.8 Mali (Niger River Basin – West Africa)

Context analysis | The Mali government is open to engage in dialogues: CSOs in the past have yielded success in ensuring improvements to certain laws through direct and targeted interventions with law makers. At the same time it is acknowledged that civil society is weak in terms of being able to criticize

the government and that this is a challenge. PfR members will build on initiatives with ministers and Members of Parliament re. the National Strategy for Sustainable Development (SNDD), started already in 2014. Moreover they will liaise with established CSO networks and platforms that are active in the area of integrated risk management (IRM) in Mali, and that have, through their participatory approach and inclusion of CBOs, established credibility and legitimacy towards public authorities.

IRM Dialogues | The proposal is structured along three trajectories, each following to one or more of the below approaches:

a. ensuring a better enforcement water and land policies in the IRM perspective,

b. improved control and 'citizen watch' on IRM and land/water management

c. integration by local authorities of IRM in planning and funding (catering to the needs of local communities for water and land)

Trajectories and domains

1 Promote sound & equal water resources management
2 Develop local policies and mechanisms that secure access of vulnerable groups to land
3 Improve National Strategy for DRR through introduction of IRM

d. integration of IRM principles in risk reduction strategies and climate related disasters

Each trajectory relates to all three domains, with specific sub-objectives. Together they strive to make vulnerable households of fisherman, herders and farmers living in the wetlands of the Niger, Sourou, and Senegal basin, more resilient to crisis in the context of climate change and environmental degradation, allowing sustainable inclusive economic growth and preservation of ecosystems.

trajectory 1	Promote sound & equal water resources management that secures vulnerable groups, including fishermen, against the risk of natural disasters and the effects of irrigation schemes, maintaining ecosystem services of wetlands in river basins Contributing specifically to aims a and b
domain	Policies, investments, practices
level	National; regional: Niger and Sourou river basin (Mopti region) and Senegal river basin (Kayes region)
partners	Lead: Wetlands International; contributors: CARE Mali, Mali Red Cross, RCCC

trajectory 2	Contribute to the development of local policies and mechanisms that secure the access of vulnerable groups (farmers, fishermen, women, youth) to land: the strategic areas during dry times of crisis and flooding (refuge sites, fisheries and pastoralist corridors) Contributing specifically to aims a, b and c
domain	Policies, investments, practices
level	National; regional: Niger and Sourou river basin (Mopti region); extension to Senegal river basin (Kayes region) is foreseen at a later stage
partners	Lead: Wetlands International (a and b), CARE Mali (c); contributors: Mali Red Cross (a, b and c), Wetlands International (c)

trajectory 3	Improve National Strategy for Disaster Risk Reduction (SNRRC) through the introduction of IRM Contributing specifically to aims c and d
domain	Policies, investments, practices
level	National; regional: Niger and Sourou river basin (Mopti region) and Senegal river basin (Kayes region)
partners	Lead: CARE Mali (c), Mali Red Cross (d); contributors: Mali Red Cross (c), Wetlands International (c and d)

Gender | Gender issues have been adequately incorporated in all trajectories. While women in Mali have a key role in the use of natural resources, women involvement in civil society organisations and in managing land and water resources and reducing risks is unfavorable, PfR will promote equal and active participation of women and men in strategic decision making. PfR will also carry out gender audits to nurture the debate about the role of men and women in decision making.

Evidence | PfR Mali can further build on its experiences and learning from PfR1, which will be further documented in the 2nd half of 2016. The evidence base from PfR1 will support effective IRM dialogues that have been selected. In the mean-time areas have been identified in which the Mali team wants to build its knowledge by setting up innovative projects, and by learning from experiences in other areas & countries in the same and/or watershed area. The work in Senegal basin can be set up based on the

experiences and learning from Niger and Sourou basins; earlier work done can be replicated in new geographical areas. Reference is made to annex 3 for more details

Capacity Strengthening | The Mali team has given vulnerable communities centre stage in their Theory of Change. Three trajectories have been formulated around access to water, land and the further development of DRR policies towards integrated risk management. The team has agreed not to agree on leads per trajectory but leads per approach, which in a sense caters for a more integrated approach for each trajectory paying attention to 1) improved DRR practice, 2) better policies, 3) improved planning and budgeting and 4) improved citizen control. Attention will be paid to gender across the spectrum.

The capacity *self-assessment* of the teams shows a specific challenge in joint learning along with challenges in negotiation skills. Given the opposing interests that will surface in this program between various stake-holders, capacity to negotiate a good deal for vulnerable communities will be key to the successful mainstreaming of IRM in particular when it comes to proper basin management and public investment in irrigation schemes and related infra-structure. This will require special attention in capacity streng-thening interventions.

Dialogue Capacity Framework

Mali — Assessment level:	Individual			Organizational							Network	Environment
No. / Category	Point focal National	Assistant Finances	Chargé de Base de données	CRM Mopti	CRM Kayes	Partner #	NRC	RCCC	CARE	WI	(PfR)	
1 Resources	yellow	orange	orange	red	red	grey	red	grey	green	green	orange	yellow
2 Direction Prise de décision	orange	orange	orange	orange	orange	grey	orange	grey	green	green	orange	orange
3 Collaboration	orange	orange	orange	yellow	yellow	grey	green	grey	green	green	light green	orange
4 capacité d'apprentissage	orange	orange	orange	orange	orange	grey	yellow	grey	yellow	red	red	orange
5 Connaissance & Information	light green	orange	orange	orange	orange	grey	orange	grey	yellow	yellow	yellow	orange
6 Communication externe	orange	orange	orange	orange	orange	grey	orange	grey	yellow	yellow	yellow	orange
7 Capacité de se rapporter à l'environnement externe	orange	orange	orange	light green	light green	grey	orange	grey	orange	orange	light green	orange
8 Capacité de négocier	green	yellow	yellow	red	red	grey	orange	grey	yellow	orange	orange	orange

A key approach formulated by the team is increasing citizen control over government policy implementation. Poor levels of organization of key constituencies (like fisherfolk and herders but also sub-groupings like women and children) is identified as an important entry point for capacity strengthening. At the start of the program more emphasis is given to developing the evidence base building on the results of the previous phase, which makes sense. Peer-review of activities by the various partners will help in this regard, also to see how the various approaches may reinforce one another.

Engagement with the Netherlands embassy | The Netherlands has a long history with Mali in programme support. In its programme the embassies prioritises inclusive resilience: "[..] *Resilience of Malians, women, men, girls, boys, farmers, herders, fishers, resilience of institutions, of municipalities, of justice systems, of watershed management schemes, it is about reducing vulnerability and diminishing risks."*[4] A strategic partnership with Partners for Resilience is rather fitting.

It is recognised that there are many Strategic Partnerships programs in Mali, and naturally the embassy has to spread its resources and possibly prioritise its support in line with its own strategies for Mali.

PfR partners have a well-established (long term) engagement and collaboration with Netherlands Embassy on themes such as Integrated Water Resources Management (IWRM), irrigation schemes, resilience, and food security. Building on prior engagement in national debates, PfR Mali is engaged in a dialogue with the embassy on how risk reduction through IRM can have an impact on people's access to water and food. It anticipates that the Netherlands embassy will be an active partner in pursuing dialogues with the Mali government re. consideration and inclusion of IRM in DRR polices and plans.

4.9 Philippines (Coastal Zones and watersheds in Asia)

Context analysis | the proper application of already agreed laws on DRR, CCA in the context of IRM has been the focus of PfR since 2011. The Philippines' decentralised government system provides fertile ground for this, and Community Based Organisations (CBOs) have be able to participate in local decision making, and have been able to support activities to reduce risks and build community resilience. However, the limited capacity, constraining institutional structures and compartmentalised funding remain a challenge, as government agencies, each with its own mandate, operate in silos. This lack of integration and cooperation between them impedes progress re. IRM. The frequent leadership turnover in key government institutions and the tendency to prioritise emergency preparedness over risk reduction pose further challenges.

Trajectories and domains

1 Harmonise rules, regulations, policy instruments on DRR management, climate change and environmental and coastal management
2 National government, LGUs, alliances, platforms mainstream IRM in planning guidelines and plans
3 Increase private sector investment and practice in IRM
4 Increase access of target LGUs and CSOs for different funding opportunities that support IRM
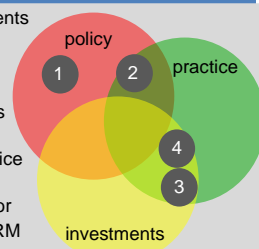
With examples and empirical data from its first five-year programme PfR will continue and intensify its engagement with decision makers for prioritisation of IRM in plans and budgets. At the same time it recognises that issues like mining, logging and agriculture in watershed areas, and human rights have proven to be rather sensitive for local authorities, and even risky for advocates, and it is recognised that this may affect the chances of success in some dialogues.

IRM Dialogues | Based on the above context, four dialogue trajectories have been identified.

trajectory 1	Harmonise the principal implementing rules and regulations and other relevant policy instruments on DRR management, climate change and environmental and coastal management, to promoting an enabling environment for adoption of IRM
domain	Policy
level	National
partners	Lead: Philippine Red Cross; contributors: CARE, Cordaid, RCCC, Wetlands International

trajectory 2	National government agencies. Local government units and multi-stakeholders alliances and platforms mainstream IRM in inclusive planning guidelines, local development plans and landscape-wide, multi-stakeholders alliance plans
domain	Policy (with link to practice)
level	National (with link to local)
partners	Lead: CARE; contributors: Cordaid, Philippine Red Cross, RCCC, Wetlands International

trajectory 3	The private sector increases investment and practice in integrated risk management
domain	(Private) Investments and practice domain
level	National; local: Manila Bay, CARAGA (possibly extending to other areas) and selected LGUs
partners	Lead: Wetlands International (water); contributors: CARE, Cordaid, RCCC

trajectory 4	Increase access of target LGUs and CSOs for different funding opportunities that support IRM initiatives
domain	(Public) Investments and practice domain
level	National; local (selected LGUs)
partners	Lead: Cordaid contributors: CARE, Philippine Red Cross, RCCC, Wetlands International

Dialogue and accompanying capacity strengthening initiatives will be focused on the following specific stakeholders:

- Government departments, agencies and such, from national to *barangay* (village) levels. This category of stakeholders will include individual Local Government Units (LGUs), as well as a cluster of LGUs which have formed multi-stakeholder alliances.
- Civil society including Community-Based Organizations (CBO) and People's Organizations (PO).
- Private sector

According to the interventions planned, geographical locations range from nationwide to Manila (Luzon), Surigao del Norte and the Agusan river mouth (Mindanao), Tacloban (Leyte), Guiuan (Eastern Samar) and Coron (Palawan). The locations in Manila include CAMANAVA sub-region, Quezon City, Manila Bay, the Tullahan River System, La Mesa Watershed and the MANATUTI River Basin. Additionally, as the programme makes headway, Alliance members will be open towards accommodating new and exceptional projects, possibly in new locations, which may materialise as a result of the networking and dialogue conducted by the Alliance.

Private sector investments are targeted for Tacloban-Palo specifically because of the Alliance's aim to build on the previous experiences gained by two members in engaging with the private sector via a non-PfR consortium project, namely the *Coastal Protection Strategy for the City of Tacloban and the Municipality of Palo* project – the two members concerned are the Netherlands Red Cross (and its implementing partner, the Philippine Red Cross) and Wetlands International (the latter is leading the private sector investment and practice Trajectory for PfR 2016-2015). Additionally, the identification of Manila Bay as a focus area to showcase knowledge and evidence, and to serve as a premise for dialogue with the private sector, is based on the fact that the wetlands in this area is at risk. As such, it is the intention of Wetlands International to share and apply its learning gained from the Tacloban-Palo project in Manila Bay. Possible private sector investments are also anticipated in other geographical locations, owing to the fact that the Alliance will be supporting local government units (LGUs) and civil society organizations in accessing funds, including funds from the private sector, to support IRM projects undertaken by such groups (this outcome represents a convergence of Trajectories 3 and 4).

Gender | PfR will focus on ensuring that in the IRM dialogues the different roles, capacities and added value of men and women are used as examples and adopted as models. It will ensure that implementing rules and regulations on DRR, climate change and environmental and coastal management align with commitments of the Philippine government to women's role in development.

In platforms PfR seeks a 30 to 50% representation by women and their participation in assessments and planning structures and development councils at barangay level. Here as well dissemination material will be gender-ised, including by highlighting the existing policies that mandate local governments to address gender issues in development plans. Moreover the mainstreaming of IRM in local planning guidelines (notably the Rationalised Planning System) will also benefit gender mainstreaming. Providing access to funding opportunities of target LGUs and CSOs provides also an opportunity to specifically target women and other vulnerable groups.

PfR intends to initiate a gender assessment of already completed cost/benefit analyses and dividend studies, and to publish an inventory of practices which include stories of women and men groups practicing IRM at the local level.

For their engagement with the private sector, the partners will initiate a series of round table discussions at national and subnational level, seeking a minimum of 30 to 50% female participation. It intends to present business cases for discussion that are made and led by women.

The guide on IRM mainstreaming will be simplified based on local practices, illustrating the results that women have brought in this field.

Finally, it is worth noting that a 2014 report by the USAID-LEAF project, WOCAN and UN-REDD[5] states that the Philippines "[..] *scores relatively highly on global gender equality indices", has a "dynamic women's movement*" and is the first ASEAN nation to ratify the Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW). Additionally, the report notes the Philippines recently signed the *Magna Carta of Women* – comprehensive guidelines on anti-discrimination and gender equality, are provided in this instrument.

Evidence | Achievements of PfR1 are being documented well and the new programme can further build on these achievements. Training on mainstreaming in development local development plans and in school improvement plans have been conducted by alliance members for municipal and village local government units, and in schools, respectively. A project cycle management approach to mainstreaming IRM in development plans and processes has been elaborated, together with the Department of Interior and Local Government (DILG). Local government units working with PfR members have carried out actual mainstreaming. Alliance members have also engaged DILG, Climate Change Commission and Department of Education in dialogue to come up with a coherent approach to mainstreaming, but have been unsuccessful so far in influencing these key stakeholders. Alliance members have successfully demonstrated mainstreaming IRM in its humanitarian response programmes. PfR2016-2020 will build on these mainstreaming experiences.

Through PfR1 key technical contributions are the innovative approaches that are aimed at linking science, policy and practice. These include the following:

- Science – The use of science and forecast across different timescales and along the humanitarian-development continuum were strongly established and applied by partners in the first PfR round. These paradigm shifts in ways of working of partners will be further enhanced through the use/application of Early Warning Early Action through Forecast based Financing. Forecast-based actions have been widely piloted in various countries globally and the experiences here will be brought into the country to help convince key stakeholders to apply the FBF at different levels.
- Policy – National, (Asia) regional and global policy positioning has contributed to learning (documentation) and uptake (scaling-up) of PFR good practices at different levels. This approach will be further enhanced with a stronger position to engage in IRM dialogues, bringing in solid knowledge and experience in DRR and CC policy engagements especially in the Philippines
- Practice – the Minimum Standards for Climate Smart DRR programming which has been introduced and used at the local, national, regional and global levels as a guide to integrate climate information in risk reduction measures. The MS will serve as a guide/baseline in the development of IRM risk screening tools that will be used in PFR SP. Also, the continued push to institutionalize the MS as part of organizational and/or government planning tools is envisioned. The application of Innovative games and climate training kits were developed and used to help build capacities of partners. These approaches will be further applied.

A plan for further knowledge / evidence building has been prepared: it can be found in annex 3.

Capacity Strengthening | The country team managed to put a clear and concise proposal together, with a clear Theory of Change and realistic milestones, though some intermediate steps are not featuring in the write-up, reference is made to more detailed planning. Capacity strengthening is well mainstreamed into the plan of action and therefore a clear part of the theory of change with ample attention to further strengthening the knowledge base.

The dialogue capacity frame-work (DCF) has been well articu-lated, showing a good sense of the aspects that matter with regard to being influential in dialogues. The *self-assessment* of dialogue capacities

The Philippines	Assessment level:	Individual				Organizational							Network	Environment
No.	Category	Name 1	Name 2	Name 3	Name 4	Partner 1	Partner 2	Partner #	PRC	Cordaid	CARE	WI	(PfR)	
1	Resources													
2	Leadership Decision-making													
3	Collaboration													
4	Learning capacity													
5	Knowledge & Information													
6	External Communication													
7	Ability to relate to external environment													
8	Capacity to negotiate													
9	effectively working with bureaucracies													
10	mobilizing capacity towards constituency groups													

Dialogue Capacity Framework

(using the DCF) has only been implemented at the PfR network level. The assessment acknowledges that advocacy is often done on behalf of rather than with local constituencies, pointing to a lack of connectivity in that regard. Another area that requires serious attention as per the team's self-assessment is consistent external communication. The development of the DCF has helped in creating awareness about capacity deficiencies related to the proposed dialogues. As a result, the team developed a capacity strengthening strategy that differentiates between internal and external capacity needs and tailored capacity strengthening approaches accordingly.

Engagement with the Netherlands embassy | Despite its relatively limited size the Netherlands embassy in the Philippines invested much efforts in facilitating and co-operating with the Strategic Partnerships. Together with the UP Institute of Government and Law Reform it organised a summit on the Strategic Partnerships with NGOs. This offered the opportunity for the Dutch Strategic Partners to expand their network and engage with other potential partners. The role of academe to bring innovative ideas to the sector was emphasized.[6]

The embassy has committed to share knowledge, information and experience related to the context and provide recommendations, inputs etc. where appropriate. Focus will mainly be on the investment domain, and opening up space for CSOs in the Philippine society. Trade missions will likely provide opportunities for engagement with Dutch private sector and their Philippine business partners.

4.10 South Sudan (Semi-Arid Ecosystem – East Africa)

Context analysis | PfR has no prior engagement in South Sudan as an alliance. Some of the partners have been active for a number of years already individually, others have agreed to engage in South Sudan because of PfR. The country provides a challenging context: being an independent state for only five years, prolonged armed conflict has weakened the its institutional fabric, with many laws and regulations either recently agreed and not fully operational yet, or being negotiated in parliament, or not yet developed. For the former, implementation, application and enforcement provide challenges as government capacity is limited.

The country is regularly hit by disasters, especially floods and droughts. Climate change and climatic variability affect the environment, affecting its buffer function and its potential to contribute to people's livelihoods. The general correlation between vulnerability and poverty implies that many communities are affected. Human induced hazards include: conflicts related to extractives; cattle raiding; conflict between pastoralists and farmers over natural resources leading to insecurity; conflict over land tenure; Also, inadequate basic services such as clean water, education and health care. Additionally many practices, like waste management and pollution, contribute to vulnerability.

As similarly big challenge is the unstable and volatile situation in the country. Fights between various factions have disrupted pastoralism, agriculture, livelihoods, trade and markets, particularly in the three most conflict-affected states of Upper Nile, Unity and Jonglei. Violence has left farmers unable to sow or harvest their crops: fishermen can hardly access rivers, while many herders have become destitute as their cattle have been stolen, slaughtered, or sold off at less than their usual value. a serious impact on the access to food and basic services, rendering people vulnerable. The dire situation has forced many to leave their habitat. These large number of internally displaced persons (IDPs) have placed a burden on the previously poor but self-sufficient communities under strain as they share what little they have. The situation also fuels conflict between IDPs/returnees and host communities. The impact of the conflict on the population and the breakdown in services has had deep economic and social consequences for a country where human development is already among the worst in the world.

Inception phase: status and next steps | The violence that broke out in July 2016 not only presented new humanitarian challenges to the country but also severely frustrated the inception process. A first meeting in 2015, where partners met, discussed IRM and had a first meeting with the Netherlands embassy, was followed-up by a first planning meeting early July 2016. During that meeting, staff from all partners, plus representatives from various ministries (Health, Humanitarian Affairs, Wildlife Conservation and Tourism) discussed opportunities and challenges and accomplished a first mapping of potential trajectories. It was agreed that in a next meeting these would be narrowed down, and be enriched with more in-depth analyses of context and stakeholders. Also a first capacity mapping was done, arriving at a baseline that was captured in the Dialogue Capacity Framework. Here as well partners were to have additional meeting to further develop the framework, and to come to a prioritisation of initiatives. The violence that broke out shortly after this meeting has stalled the inception process. At the time of drafting this report, most of the expatriate staff has returned, or will do so shortly.

Given the still simmering violence will impact on the focus, and partners will likely concentrate on building organisational and dialogue capacities firstly, and engage in dialogues at a slightly later stage, anticipating a more favourable situation. Also focus will be on documenting in-country experiences of partners in the field of DRR, CCA, EMR and Community Resilience, to be used for evidence in future dialogues.

It is expected that a full proposal will be ready towards the end of 2016. Budget allocations will remain unchanged.

Capacity Strengthening | Despite the good start of the team in South-Sudan in conceptualising the program and starting to articulate change trajectories, violence jeopardized any sensible program planning. The team agreed to focus on capacity strengthening both in terms of developing the evidence base and improving knowledge on IRM (learning from good practice elsewhere) as well as developing dialogue skills. Coordination with other country teams in the region (Uganda, Kenya, Ethiopia) for joint training is being considered, possibly also including strategic participation of key-government staff both at national as well as provincial level.

During the inception workshop the team managed to develop a dialogue capacity framework (DCF) for South-Sudan and has attempted to do the *self-assessment* for the environment level since the Partners for Resilience network has no history of working together in South-Sudan. After the inception workshop the volatile situation did not allow for completion of the assessment at organizational and individual levels, which will be pursued the moment the

Dialogue Capacity Framework

South-Sudan Assessment level:	Individual			Organizational							Network	Environment
No. Category	name1	name 2	name#	Partner 1	Partner 2	Partner #	NRC	RCCC	Cordaid	WI	(PfR)	
1 Resources to implement												red
2 Leadership & Decision-making												orange
3 Collaboration												yellow
4 Learning and adaptive capacity												yellow
5 Conflict resolution capacity												red
6 Knowledge & Information												orange
7 External Communication												yellow
8 Capacity to mobilize												yellow
9 Ability to relate												yellow
10 Capacity to facilitate												yellow
11 Capacity to negotiate												
12 Psycho-social capacities												red

situation improves and opportunities for engagement and joint development programming are opening up again.

Engagement with the Netherlands embassy | Following the peace agreement in 2011 the Netherlands has been investing mainly in security and rule of law, food security and water. The previous strategic multi-annual plan 2012-2015 still had promising language on investments that were to contribute to a
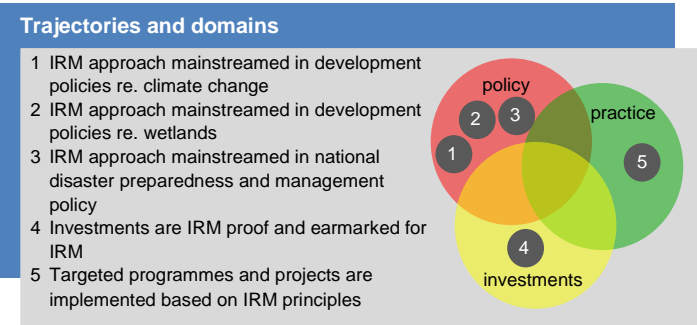
more stable supply of water: "[..] *South Sudan will be financially and technically assisted in having a more stable supply of water, in other words having less floods and droughts and better access to water for livelihoods*."[7] Though trade and investment programmes are open for investment in for instance the agricultural sector in South-Sudan, given the fragile (governance) situation Dutch investors stay away. The Netherlands has not drafted another Strategic Multi-Annual Plan for the period 2014-2017 as the situation remained fragile and multi-annual planning appeared a challenge.

Obviously this also impacts the relationship with PfR. However, embassy staff was present at the inception workshop and the embassy appreciated the linking of relief and development which PfR propagates through its integrated risk management approach. Many agencies around in South-Sudan stay focussed on providing relief services and longer-term perspectives are hardly considered.

4.11 Uganda (Semi-Arid Ecosystem – East Africa)

Context analysis | While a national policy on Disaster Preparedness and Management is in place, operational focus prioritises emergency preparedness over disaster risk reduction. Due also to previous PfR efforts, knowledge and perception of key decision makers is gradually shifting which provide furtile ground for further engagement. At the same time, given the country's decentralised government structure, focus should also be on local government levels who develop and enact local level policies.

CSO capacities however are limited, which hinder a comprehensive and sustainable engagement in policy analysis, implementation and evaluation/ monitoring processes. Moreover their actions are often overlooked. Some noticeable exceptions however prove that CSOs are able to successfully participate in public discussions, particularly in relation to IRM, leading to improvements in acts and regulations and changes in the role and mandate of key government agencies and departments. CSO platforms involved in these and other issues, notably in relation to Environment and Natural Resources, will provide a solid basis for further dialogues

Trajectories and domains

1 IRM approach mainstreamed in development policies re. climate change
2 IRM approach mainstreamed in development policies re. wetlands
3 IRM approach mainstreamed in national disaster preparedness and management policy
4 Investments are IRM proof and earmarked for IRM
5 Targeted programmes and projects are implemented based on IRM principles

IRM Dialogues | At local level the PfR partners in Uganda focus on Karamoja, Teso and Lango regions in the north-eats and east of Uganda. Nationally the main focus are parliament (esp. the Commissions on Climate Change, on Natural Resources, and on Oil and Gas) and Ministerial Offices for Water and Environment, the Climate Change authority, the Dept of Disaster management, and the National Meteorological Office.

trajectory 1	Integrated risk management approach is mainstreamed in development policies re. climate change
domain	Policy
level	Lead: Cordaid, CARE; contributor: RCCC (other: Wetlands International, URCS)
partners	Lead: Cordaid

trajectory 2	Integrated risk management approach is mainstreamed in development policies re. wetlands
domain	Policy
level	Lead: Wetlands International; contributor: CARE (other: Cordaid)
partners	Lead: Wetlands International

trajectory 3	Integrated risk management approach is mainstreamed in national disaster preparedness and management policy
domain	Policy
level	Lead: URCS, RCCC; contributor: Cordaid (other: CARE)
partners	Lead: CARE and Uganda RC

trajectory 4	Investments are IRM proof and earmarked for IRM
	- recognition of natural infrastructure in development priorities;
	- reframing/ developing guidelines / safeguard standards that integrate IRM especially re. investments in wetlands;.
	- Supporting cost benefit analysis of development scenarios for target rivers basins / wetlands
	- Providing technical advice on environmental impacts of oil and gas developments.
	- Supporting dialogues and development of risk screening guidelines for climate smart agriculture.
domain	investment
level	National
partners	Lead: Wetlands International; contributors: CARE (other: Cordaid, RCCC)

trajectory 5	Projects and programs are implemented based on integrated risk management principles
	- Promotion and scaling-up of the IRM practices by mainstreaming these in existing program and projects
	- Community level hazard mapping and contingency planning practices;
	- Promoting resilient livelihoods, notably Climate resilient agriculture;
	- Facilitating access to financial services in the form of VSLA and other financial services; income generating activities like apiary; access to weather forecast information;
	- Promoting sound wetlands management practices, use of flood tolerant shelter
domain	Practice domain
level	National; regional: Karamoja, Teso, Lango
partners	Lead: Cordaid (resilient livelihoods), CARE (financial services), Cordaid, RCCC (weather forecast), Wetlands International (wetlands management); Cordaid (district) and CARE/Uganda RC (community risk analysis, resilience planning, district resilience planning, Uganda RC (flood tolerant shelter) CARE (improved apiary, IGA practices).; contributors:

Gender | To address the gendered, unequal roles of women and men, PfR recognises that women are powerful agents of change for IRM and strengthening resilience, and in its approach it will provide moral space to bring perspectives and priorities of all stakeholders, but notably of women, ensuring a gender-balanced approach to IRM in all the trajectories.

Moreover gender analysis will be carried out that target community structures and district authorities. It will take calendars/activities of women, men, boys and girls into account, put the various concerns on the table, and look at possible consequences of PfR's interventions. The findings will feed in to the IRM dialogues, contributing to gender differentiated needs and considerations. Gender toolkits from partners will be used, as well as good practices framework for gender analysis, gender marker, and others.

Evidence | The Uganda team will build on its experiences and evidence base of PfR1, though it is acknowledged that this still needs to be better documented, and fine-tuned towards selected IRM dialogues and target groups. Some main issues have been identified regarding building a sound evidence base:

- Knowledge on policy analysis, communication and negotiation and documentation will be enhanced to effectively engage on the dialogue.
- Communication strategy/ approach will further developed to coordinate the country team.
- Evidence building (documentation of experience) in order to use for the dialogue based on the relevant PfR phase one experience and others.
- Guideline for IRM Mainstreaming in to policies, projects, programmes- based on the experience of PfR1 and also PfR2 initial period.
- M&E system will be developed and strengthened at partner's level and there will be consolidated M&E system for the country alliance partners to monitor the progress and reporting.

Though the planning process has not been fully completed, an overview of planned evidence / knowledge building can be found in annex XXX

Capacity Strengthening | The Uganda proposal and work plan provides for a myriad of initiatives and related capacity strengthening activities linked to three broad trajectories commonly agreed on. A variety of planning exercises have been done. All partners express a desire to have their staff trained in Integrated Risk Management, which shows that a more integrated approach is required. Peer-2-peer reviews may be considered to ensure cross-fertilization between the various partners. Already a first step in that direction was taken during a self-assessment training following the inception workshop. This

should also help in deepening the formulated theories of change. Peer-review mechanism together with the Kenya team (as already initiated during the first training) will help strengthening the capacity in both countries.

The current *self-assessment* shows a realistic strengths and weaknesses analysis. Dealing with trauma, especially working with formerly displaced populations, will require special attention. External communication has also been pin-pointed to by the

Dialogue Capacity Framework

Uganda	Assessment level:	Individual level							Organizational level								Network	Environment
No.	Category	Shaban	Kabiswa	Lorna	Irene	Charles	David	Monica	ECO	SOCADIDO	FAPAD	URCS	RCCC	Cordaid	CARE	WI	(PfR)	
1	Resources to implement																	
2	Leadership & Decision-making																	
3	Collaboration																	
4	Learning and adaptive capacity																	
5	Conflict resolution capacity																	
6	Knowledge & Information																	
7	External Communication																	
8	Capacity to mobilize																	
9	Ability to relate																	
10	Capacity to facilitate																	
11	Capacity to negotiate																	
12	Capacity to deal with trauma																	

teams as a weak area. This may be linked to limited resources available. Hence, resource mobilization to safeguard implementation of Integrated Risk Management and provide real-time examples will need to be given special attention in capacity strengthening support. Participation in national and regional conferences and processes will offer an opportunity to show-case integrated risk management and may also help in better understanding of the funding environment to improve resource mobilization skills.

Engagement with the Netherlands embassy | Like Kenya and Ethiopia, Uganda has also been identified as a aid-to-trade transition country. However, over the past years a strong focus remained on food security, especially in PfR's operational areas. In this programme a stronger focus has been developed on land rights and issues of land tenure protection. With strong foreign direct investment flows (also from the Netherlands) pressure on the use of land and other natural resources will increase. Also the position of women and youth are receiving special attention in Dutch programming in Uganda.

At the moment of drafting this inception report, discussions are ongoing between the Netherlands embassy and its Strategic Partners, including PfR. In previous meetings some possible embassy roles were already identified are:
- convening high level round tables; increasing access to governments and the private sector can provide opportunities for more open IRM dialogue.
- providing linkages to other stakeholders to whom the dialogue would be beneficial including regional platforms and regional bodies.
- Pursuing continued dialogue with the NGO board in Uganda to address the shrinking space for CSOs in Uganda
- linking of strategic partners to facilitate the sharing of lessons and best practices

5   Capacity Strengthening Plan

Introduction | The PfR alliance will strengthen capacities i.e. by facilitating strategic advocacy planning sessions, through trainings and advocacy capacity assessments, by identifying and connecting centres of expertise, stimulating South-South exchange, and establishing communities of practice, and by practicing advocating together on issues where joint advocacy positions are found. This combined effort should not only contribute to policy change towards integrated risk management, but also to improving civil society capacity to achieve similar results after the PfR-programme has ended and constitutes the most important goal of the "Dialogue and Dissent" policy framework.

To ensure coherence and synergy of PfR's efforts to reach its first strategic objective on capacity strengthening, a global *capacity strengthening coordinator* was hired. The Capacity Strengthening Coordinator has formulated an IRM dialogue capacity strengthening strategy and a Capacity Strengthening Reference Group has been formed across the program hierarchy to facilitate implementation of the strategy and encourage cross-program feedback and learning.

The following principles are guiding the capacity strengthening initiatives and are shared amongst all country teams:

1. PfR *builds on existing capacities and strengths* rather than starting from scratch.
2. Additional capacities required for a successful IRM dialogue are preferably *resourced from within PfR's own network* using inter-organizational learning while being inclusive in introducing relevant partners to our network
3. PfR makes *maximum use of local opportunities for capacity strengthening*
4. PfR *regularly revisits priorities* of capacity strengthening programming in light of changes in the external or internal environment and updates its plan of action accordingly.
5. PfR will *emphasize learning* in capacity strengthening, being *open for peer-review* and individual and collective reflection on past performance and joint experimentation to improve the IRM dialogue.

Dialogue Capacity Framework, and work packages | In line with the above principles work packages are being negotiated to support the country teams in areas where they need it most. One area where countries were demanding support is the area of self-assessment with regard to dialogue capacities for IRM. The term dialogue was preferred above the term

Dialogue Capacity Framework

	Contextualised description of category	Personal capacity	Organisational capacity	Network Capacity (PfR)	Environment
Category 1					
Category 2					
Category 3					
Category 4					
Category 5					

advocacy or policy influencing due to some sensitive contexts. A local Dialogue Capacity Framework (DCF) has been developed with each of the country teams. This DCF provides for a local definition of dialogue capacity based on the current experience of country teams. Using it subsequently for a self-assessment it provides for a snap shot of capacity, both in terms of actual capacity as well as in understanding what advocacy is all about. It also helps in the monitoring and overall reporting on PfR's first strategic objective on capacity strengthening of CSOs. The DCF also facilitates self-assessments by

the country teams for each of the four levels of capacity strengthening (individual, organizational, network, environment). The DCF will evolve into a more comprehensive framework during the timespan of the program and become a contextualised intervention framework for capacity strengthening initiatives.

The colour-coding of the identified categories indicates the status at each level assessed. As an outcome of the inception workshop they serve as a baseline, realising that progressing insight into the exact nature of some aspects may lead to slight adjustments. Subsequently the Capacity Strengthening plans aim to move from one end of the spectrum (red) to the other (green):

🟥	needs serious attention
🟧	needs attention
🟨	some work to do
🟩	good
🟩	well developed

Supporting the planning process | In order to ensure consistency in approach, a session description was drafted to helped the facilitators of the national inception workshops to both 1) establish a local Dialogue Capacity Framework and 2) based on this first draft DCF carry out a Capacity Assessment at network level during the inception workshop. Once the self-assessment is carried out and specific IRM dialogues proposed, a Capacity Strengthening plan was to be drafted that took note of current capacity in the light of the task at hand. Special attention was asked for knowledge base development. Also budgets were reviewed in terms of their attention for capacity strengthening and development and maintainance of the evidence base.

Capacity mapping of PfR partners | Over the coming months an inventory will be made of existing advocacy and policy influencing training materials among PfR partners. PfR advocacy and policy influencing training, workshop and support materials will be developed. Links have been brokered to advocacy and policy influencing training institutes and a specialized consultant (INTRAC[8], MDF[9], Advocacy etc[10]) as well as to relevant universities and study programs (VHL, WUR, UVA). Additional linkages will be made as required and also regional and global consultations and conferences may be utilized for capacity strengthening purposes.

Finally a capacity mapping will be undertaken also at the level of partners in the Netherlands, and effective programming will be supported by organising peer-reviews, comparing notes on how to effectively and collectively support advocacy programs.

Global, regional and national linkages | From the inception phase it is clear that a lot of what we currently call strategic advocacy planning is learning by doing. Awareness levels, skills, competencies, areas of expertise differ greatly amongst the people that have participated in the inception process. The result of the inception phase not only presents the overall objectives and related plans for the coming years, it also presents a snapshot of our current capacity at each level to put a Strategic Advocacy Plan together. In this we have followed a learning by doing approach, also realising that quite a number of our colleagues have been actively involved in lobby and advocacy during PfR1 or at different times in their careers. The self-assessment approach followed during the inception phase builds on this experience and knowledge. At the same time it may be expected that this knowledge and experience will deepen over time and become more mature and specific to the context in which Integrated Risk Management receives meaning.

Plans produced and levels of support required | From the country plan analyses in chapter 4 it is clear that between countries also considerable differences exist in terms of capacity. This means that a uniform approach equally applied to all countries won't be effective. Support to one country may focus

on improving planning processes whereas other countries may need support in improving their self-assessment capacity while they are already successfully drafting plans. A third country will need support in partnering with academia for expanding the knowledge base while another country first needs to get best practice shared amongst the PfR partners. The proposed interventions are therefore tailored to the specific needs of the country teams and will be negotiated with them in terms of timing and phasing of the support. The related work packages are included in Annex 1.

Participation in consultations, conferences and workshops | Also capacities to participate meaning-fully in national, regional and global policy formulation processes will vary. This does not mean that participation is not valuable when capacity is not yet in place. In fact, a great deal of global and regional 'consultations' or conferences also serve to instil the urgency for change and create momentum for personal transformation. Where people initially may not perceive their work as part of a bigger agenda, when confronted with this agenda they may realise their professional missions link very well to it.

Countries will be helped in making strategic use of these gatherings, not for the sake of conference hopping, but to get the right people to the right place at the right time (when they are ready for it, or when their perspective is much needed to further a certain discourse). This will be done by providing training in preparation of key-conferences at regional level, making optimum use of the convening power of these events, thereby minimising on travel costs for specific training purposes. Together with the Humanitarian Diplomacy officer of PfR, responsible for the global advocacy program, relevant gatherings will be regularly reviewed for relevance to capacity strengthening. If hosted by one of the PfR countries, opportunities will be used to especially train the country teams and organize exchanges amongst PfR partners preferably preceding the actual conference.

Communities of Practice | As further elaborated in chapter 6, communities of practice will be important vehicles of capacity strengthening through peer-support. Within countries and between countries CoPs will be organized and face-to-face meetings will be alternated with digital exchanges to further specific dialogues, deepen specific themes or discuss specific challenges.

Capacity Strengthening Reference Group | For the sake of tailoring global capacity strengthening support a reference group of fifteen individuals has been established during the inception phase. This group brings together expertise from across the program and will provide for an important real-time feedback mechanism, more or less functioning like a Community of Practice for capacity strengthening. Also staff from the Ministry and embassy staff members will be invited to take part at crucial moments of reflection and learning.

6 Evidence in PfR

How to harvest, analyse and apply experiences for PME, Knowledge Management and Learning, and communication

6.1 Introduction

In the PfR 2016-2020 programme the central focus is on pursuing dialogues with decision makers, politicians, private sector partners and investors at all levels to raise awareness about Integrated Risk Management (IRM), together with civil society actors, with whom the alliance will work towards strengthened capacities. This chapter sets out the importance of PfR's evidence base for the programme's success, as well as connected areas like PME, Knowledge Management and Learning, and Communication, by indicating their function and key stakeholders, and by presenting ways how PfR will use appropriate tools to make maximum use of information and knowledge gathered.

6.2 The central role of generating and applying evidence

The Integrated Risk Management approach that PfR promotes is unique and is gaining momentum, within the PfR Alliance and beyond. Experiences in the first five-year phase of the programme have shown impressive results, both quantitatively and qualitatively, in protecting and strengthening communities, working with civil society organisations and engaging with governments in policy dialogues. The aim of the next phase of the PfR programme (2016-2020) is to enable the scaling-up of the IRM approach through improved laws, well-designed investments, and enhanced practices that take due account of disaster risks. The emphasis will be on intensive dialogues on IRM: through Humanitarian Diplomacy, combined with efforts to strengthen the necessary dialogue capacities, PfR will target a wide array of stakeholders to improve policies, investments and practices.

The availability and application of relevant and documented evidence is the basis for successful dialogues. The Theory of Change (par. 2.1) indicates how it underlies and complements the organisations' capabilities for engagement with stakeholders to pursue dialogues. Together they form a solid basis to argue for IRM in selected trajectories.

The evidence will be collected through on-going and targeted monitoring and evaluation, and through specific studies. PfR will feed (and produce) knowledge

Creating and using evidence in PfR: three working areas

and learning, and will enable dialogue-related communication and overall dissemination of the programme's results. Thus, the areas of PME, Knowledge management and Learning, and Communication are closely interrelated. At the same time the areas are built on capacities, and are shaped and steered by the programme's dialogues: as trajectories are being pursued, the engagements will contribute insights that will be applied in each of the three working areas.

For the different aims various means and tools are available. Their application depends on the specific nature of the aims, and will be discussed below. Their application also depends on available financial and human resources, and the capabilities to apply them effectively.
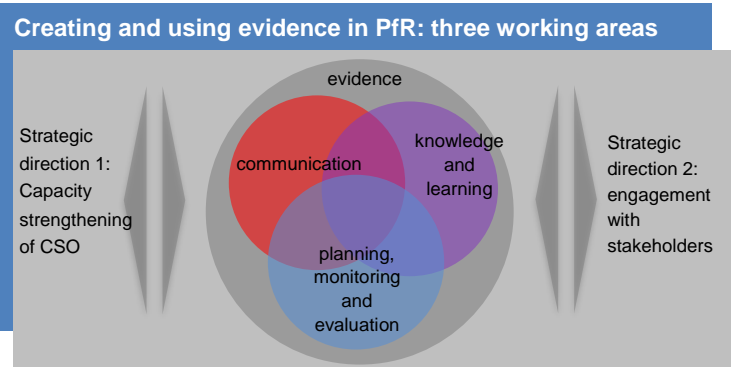
6.3 Planning, Monitoring and Evaluation

6.3.1 Purpose and principles

PfR works in a complex environment, and tracking progress of dialogues is challenging due to the many actors involved and the continuously changing landscapes. Therefore, PfR's traditional PME systems are not suitable to provide a good understanding of the impact of the work: the relation between PfR's activities and results regarding the IRM dialogues is non-linear and difficult to predict and measure. PfR's activities (the outputs) and how well they are implemented are within its *sphere of control* but the effects that are achieved (the outcomes) are not; they are only in the *sphere of influence*. This level of uncertainty, as well as the big number of stakeholders that influence PfR and its work, has a profound impact of what can and cannot be monitored.

Purpose of PME | The planning, monitoring and evaluation serves three goals:
1. *Learning* about the effectiveness of the integrated approach: PME provides evidence for learning within and outside the alliance, though collecting, sharing, analysing and interpreting information on progress. The information should be non-biased, i.e. present both successes and failures. With this information partners can check the programme's assumptions and theories of change, and highlight possible need for adjusting the 'IRM Dialogue trajectories' and thus the programme's interventions.
2. *Accountability*: PME provides information for the accountability towards the Netherlands ministry of Foreign Affairs (the programme's main donor) and other stakeholders. Information relates to the status of achievements, lessons learned and the rationale for decisions that have been made.
3. *Management Information*: PME provides reliable and timely information for the Country Teams and Regional Teams, the Steering Group, Programme Working Group and Thematic Groups regarding the status of the programme at all levels (local to global). The information will feed decision making for the steering of the programme, and for deciding on possible improvements.

Key principles of PME | The PME system is based on four principles that relate to the programme's aims and rationale, and on the fact that it focuses on PfR's contribution to the desired outcomes.

- *Strategic directions*
  With every step taken, partners need to be aware of the programme's two strategic directions:
  1. *Strategic Direction 1*: Capacity strengthening of Civil Society Organisations: skills, capabilities and tools that enable the organisations to effectively pursue dialogues.
  2. *Strategic Direction 2*: Engagement with Stakeholders: Influencing policies, investments and practices for improved IRM.

- *Theory of Change*
  A Theory of change, consisting of a chain of activities and results with explicit assumptions (*if …, then …, because …*) has been developed at different levels and fits the local context and needs. It explains how the alliance works towards the above two strategic directions.

- *Focus on (the contribution to) outcomes*
  Monitoring of outputs will not provide all relevant information to see whether the programme is on track towards achieving the desired results. Therefore, monitoring the PfR programme will need to focus on outcomes. An outcome is a change in the behaviour, relationships, actions, activities, policies or practices of an individual, group, community, organisation or institution. Outcomes can be positive or negative, intended or unintended, and the connection between the initiative and the outcomes should be verifiable.

Thus it should clarify
– Who did what, when and where differently?
– How significant is this change?
– What contribution did PfR make to the change?

Given the complex working environment, PfR will focus on its contribution to outcomes and seek validation of findings from external stakeholders.

▪ Existing systems
Monitoring at country level will be aligned as much as possible to *existing systems* of the (local) alliance partners.

Levels | The programme intends to achieve impact at the local level: Vulnerable people are more resilient to crises in the face of climate change and environmental degradation, enabling sustainable inclusive economic growth.

To achieve this impact, the partnership strives for changes in policy, investments and practices - the intended long term outcomes of the programme. These changes should materialise on different levels:
▪ global (e.g. international resolutions on climate change adaptation);
▪ regional (e.g. regional cooperation to ensure quality and quantity water in river basins);
▪ national (e.g. laws, subsidies);
▪ local (e.g. enforcement of regulations at community level).

For each of these levels, changes can in turn involve actors on other (different) levels. For instance, while CSOs engage in dialogue with local government officials to ensure enforcement of regulations to decrease deforestation, they also ensure that there is budget at district level for enforcement of these regulations, which may also involve national government. PfR members could lobby with private sector corporations for know-how and additional funds to enable local CBOs and municipalities to implement the mitigation measures.

Another example could be that CSOs and CBOs lobby their local government for laws to prevent wetland degradation, while PfR members lobby for national, regional or even global agreements to nudge the government in the same direction. In parallel the engage with leaders and decision makes at community level to halt harmful practices and propose alternative livelihood options if needed.

Outcomes are therefore measured on different geographical levels and the pathways towards those outcomes involve multiple actors across these levels.

6.3.2   Substance of Planning, Monitoring and Evaluation

Planning | During the Inception Phase, country teams and the global team further fine-tuned the planning for the PfR 2016-2020 programme, and prepared detailed plans for the period 2016-2017. Based on context analysis, mapping of issues at stake, relevant stakeholders, and opportunities for IRM dialogue, teams selected IRM trajectories and developed related Theories of Change. More detailed information on the planning process can be found in the earlier chapters

Monitoring | The monitoring of the overall programme is related to:
▪ *Financial monitoring*: financial accountability, including financial flows and adjustments of budgets as necessary. This includes reporting on activities and their expenditures as per agreed annual activity plan. Reporting on activities will be brief, making partners accountable for expenses made.
▪ *Monitoring intended & unintended outcomes, addressing assumptions: C*ollect, share, analyse and interpret information on the outcomes the programme generates and how we have contributed to

that. Periodically a review of these achieved results will (re-)validate the rationale and where possible lead to adjustments in the programme.

- *Progress towards a limited set of pre-defined indicators* that enable aggregation of data at overall PfR level. The indicators have to be in line with the requirements of DGIS regarding PfR's reporting in IATI.

At all levels (country/region/global) partners agree on the most appropriate ways to monitor progress, based on their existing tools, serving the need for specific information while avoiding or minimising the creation of parallel structures. While PfR partners apply their own systems to capture detailed information, this information should feed systems at global level, including IATI, that serve the communication and accountability purposes at global level. The latter systems rely on a small(er) number of indicators. Reinier to add on capacity strengthening on M&E

The table in annex 1 provides a monitoring overview of the overall PfR programme, and indicates what will be monitored with which frequency.

Monitoring frameworks | In order to monitor progress under both strategic directions, two frameworks have been designed. They are structured around a minimum set of indicators / steps that country teams are expected to report on. These are indicated in the table below. Moreover, the indicators are rather general, which will facilitate the translation to specific country plans (notably the selected IRM dialogues, milestones, and outputs).

Strategic direction 1: Capacity strengthening of Civil Society Organisations

		Policies and legal frameworks	Investments	Practices
Ultimate goal	5	Civil society strongly argues for IRM mainstreaming in policies and legal frameworks	Civil society strongly argues for IRM (proofing) of investments	Civil society strongly argues towards key-stakeholders for upscaling of IRM practice
Outcome / milestones	4	Partners are able to mobilize local CSOs to argue for IRM mainstreaming in policies and legal frameworks	Partners are able to mobilize local CSOs to argue for IRM (proofing) of investments	Partners are able to mobilize local CSOs to argue for good IRM practice to key stakeholders
	3	Partners show organizational commitment to argue for IRM mainstreaming in policies and legal frameworks	Partners show organizational commitment to argue for IRM (proofing) of investments	Partners show organizational commitment to argue for good IRM practice to key stakeholders
	2	Partners have both IRM knowledge and capacity to argue for IRM mainstreaming in policies and legal frameworks	Partners have both knowledge of IRM proofing and capacity to argue for IRM (proofing) of investments	Partners have both knowledge of good IRM practice as well as capacity to argue for good IRM practice to key stakeholders
	1	Partners have IRM knowledge but no capacity to argue for IRM mainstreaming in policies and legal frameworks	Partners have knowledge of IRM proofing but limited capacity to argue for IRM (proofing) of investments	Partners have knowledge of good IRM practice but limited capacity to argue for good IRM practice to key stakeholders
	0	Partners have no capacity to argue for IRM mainstreaming in policies and legal frameworks	Partners have no capacity to argue for IRM (proofing) of investments	Partners have no capacity to argue for good IRM practice to key stakeholders
	5	Civil society participates broadly in IRM dialogues	Broad civil society participation in IRM dialogues	Broad civil society participation in IRM dialogues
	4	Other CSOs have the capacity for IRM dialogues	Capacity of other CSOs built for IRM dialogues	Capacity of other CSOs built for IRM dialogues
	3	PfR partners have the capacity for IRM dialogue	Capacity of PfR partners built for IRM dialogue	Capacity of PfR partners built for IRM dialogues
	2	Key PfR staff have the capacity for IRM dialogue	Capacity of key-staff built for IRM dialogue	Capacity of key-staff built for IRM dialogue
	1	Plan for IRM dialogue capacity building in place	Plan for IRM dialogue capacity building in place	Plan for IRM dialogue capacity building in place

Strategic direction 2: Engagement in IRM Dialogues with stakeholders

		Policies and legal frameworks	Investments	Practices
Ultimate goal	5	IRM mainstreamed in identified policies and legal frameworks	Investements are earmarked for IRM and IRM proof are being implemented	Projects and programmes are implemented based on IRM principles
Outcome / milestones	4	Key stakeholders are actively engaged in IRM mainstreaming in policies and legal frameworks	Key stakeholders have concrete (signed) plans for IRM (proof) investments	Key stakeholders have started to implement IRM principles in their projects and practices
	3	Key stakeholders demonstrate limited engagement in IRM mainstreaming in policies and legal frameworks	Key stakeholders are developing IRM (proof) investments	Key stakeholders are planning to implement IRM principles in their projects and practices
	2	Key stakeholders are open to supporting IRM mainstreaming in policies and legal frameworks	Key stakeholders are open to support IRM (proof) investments	Key stakeholders are open to implement IRM principles in their projects and practices
	1	Key stakeholders are aware of the importance of IRM mainstreaming in policies and legal frameworks	Key stakeholders are aware of benifits of IRM (proof) investments	Key stakeholders are aware of benefits of IRM in their projects and practices
	0	Key stakeholders are unaware of importance of IRM mainstreaming in policies and legal frameworks	Key stakeholders are unaware of benifits of IRM (proof) investments	Key stakeholders are unaware of benefits of IRM in their projects and practices
Outputs	5	Stakeholders contacted/engaged	Stakeholders contacted/ engaged	Stakeholders contacted/ engaged
	4	Strategies per stakeholder developed	Strategies per stakeholder developed	Strategies per stakeholder developed
	3	Evidence base gathered and developed	Evidence base gathered and developed	Evidence base gathered and developed
	2	Stakeholder (power) mapping	Stakeholder (power) mapping	Stakeholder (power) mapping
	1	Issues defined	Issues defined	Issues defined

-

Evaluation | A mid-term review and an end evaluation are part of the programme. The main objective of the mid-term review (foreseen in 2018) is to check whether the programme is indeed contributing to the intended change, in line with the underlying Theory of Change and assumptions. Based on the findings, the Theory of Change may be revised. The focus of the end evaluation (foreseen in 2020) will be to indicate is and how lessons learned can be used for up-scaling or replication.

Like in the previous PfR programme, three global conferences are expected to be organised: in the 2nd half 2017, 1st half 2019, and late 2020. The main purpose of these conferences is to exchange experiences and ideas between countries and between Global – Local teams, and to learn from these. Under the previous PfR programme is was observed that these conferences are truly learning events, and are very stimulating for all involved.

The monitoring information gathered is one of the pillars for the programme's evidence base and feeds internal and external learning. While learning is an on-going process, it is necessary to dedicate time to make the learning explicit and shared among the PfR network so that PfR teams at all levels can apply it and, as a consequence, may agree on adaptations. Therefore it is foreseen that country / regional / global teams annually conduct a two-day workshop on learning from experiences (using the monitoring data), leading to an update of the Theories of Change and related assumptions and trajectories. In its simplest form, such a workshop discusses "*what? so what? now what?*": It brings together relevant information (from the monitoring, but not exclusively) which partners analyse in the light of the Theories of Change & IRM trajectories. Consequently they decide if/what changes should be made in the current programme. There are several tools available to conduct such an exercise (like outcome mapping, outcome harvesting) – both tools and workshop will be decided on a country-by-country basis.

6.4 Knowledge Management and Learning

6.4.1 Purpose and principles

A sound knowledge base and the establishment of effective knowledge management and learning for PfR is crucial for the credibility and effectiveness of the IRM Dialogues, and for the Capacity Strengthening efforts. Harvesting, analysing and concluding on information constitutes a learning process, and the application of additional knowledge enriches this. Knowledge Management is directly related to Planning, Monitoring and Evaluation, Communication, as well as to Capacity Strengthening and IRM Dialogues. There are important overlaps between each of these topics, and practical ways are needed for modalities, coordination, systems and the use of technologies.

Knowledge management and learning is important to:
- *Increase quality, impact, harmonization and transfer of learning across the PfR programme* and beyond
- *Promote improved capacities, strengthened links and shared learning of lessons* between PfR partners, and other relevant stakeholders;
- *Inform and improve projects, subsequent programmes, themes, communications and promote up-scaling of best practices* through new programmes, projects and partners.

It is recognized that people, more than systems, hold knowledge and evidence There are different types of knowledge and a diversity of knowledge holders. A large programme like PfR has the advantage that it can leverage these types of knowledge and create synergies, thus better able to deal with complexity and diversity. In a constant cycle such as depicted in the image, people, individually and jointly, are creating, identifying, collecting, adapting, organizing, sharing and applying data, information and knowledge. The sharing and applying of knowledge provides opportunities for new insights, and the creation of new knowledge and innovation, which in turn contributes to broadening the PfR knowledge and evidence base.

Gathering, innovating and distributing knowledge

Andersen
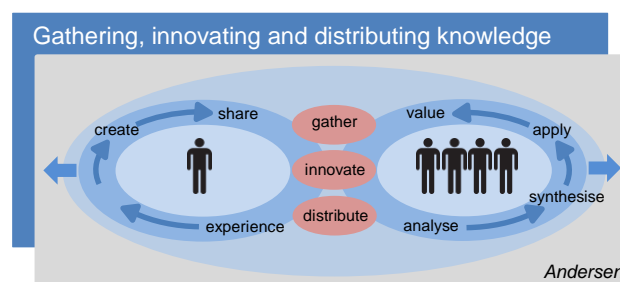
Three main areas of work are distinguished in this document:
- Developing an effective knowledge base on Integrated Risk Management (IRM)
- Getting knowledge and evidence into use by PFR partners and stakeholders
- Reaching beyond PfR's direct spheres of influence

During the first phase of the programme (2011-2015) PfR has already gained ample experience and knowledge on effective Integrated Risk Management. Building on this, and complementing and further developing this knowledge base ('working area 1' for Knowledge Management and Learning, see below) – and the opportunities to share, disseminate, learn and apply this knowledge (working area 2) will strategically support the alliance in achieving its overall objective: strengthening capacities in pursuing dialogues with the ultimate aim to strengthen the resilience of vulnerable people. Knowledge itself is insufficient. it requires drivers and enablers to push agendas and actions.

The knowledge and evidence that is created as part of work area 1 (including the wealth of knowledge and experiences from PfR 2011-2015), will be used for capacity strengthening, communication strategies and the various identified dialogue trajectories on how the IRM approach can most effectively support resilience - informing policies, practice and investment. The following sections present how this knowledge and evidence can be strategically applied.

6.4.2 Working area 1: Developing a comprehensive knowledge base on integrated risk management

Strategy I The knowledge base provides the scientific basis underpinning the IRM Dialogues and Capacity Strengthening initiatives to be undertaken during the project. A solid and broad IRM knowledge base will allow for better identification and prioritisation of interventions and stronger coherence. In addition it will provide credibility and convincing arguments in dialogues on IRM, maximising the programme's impact.

The knowledge base consists of *explicit* knowledge, i.e. research, data analysis, facts & figures, examples, best practices, guidance, visualisations, maps, case studies, trend analyses, GIS data and other key information. It should therefore be supported by processes converting tacit to explicit knowledge (codification) and processes converting explicit to tacit knowledge (learning).

This is a cyclical process, and therefore questions for new knowledge will arise in the course of the programme The knowledge base is to be compiled and will be available online.

Basis and usage of knowledge
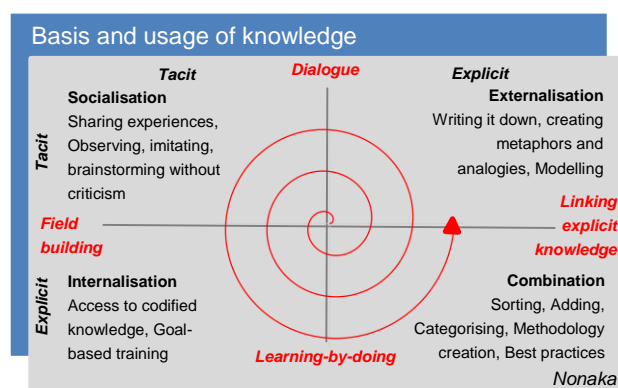
Objectives and way forward | The knowledge base serves several objectives:
- It provides evidence-based input, including local knowledge, for policy dialogue and campaigns
- It provides material for capacity strengthening
- It supports knowledge sharing and learning

Concrete steps that need to be taken, per country/ region/ international level, are
- IRM context analysis (partly done in country ToC)
- Work with country liaisons to generate framework for knowledge development
    - Identify knowledge and evidence needs and gaps:
    - Collect and document knowledge already available within the alliance
    - Collect and document knowledge available outside of the alliance
    - Create, collect and document knowledge and evidence (with the help of knowledge partners) (codified knowledge)

- Identify opportunities for transforming data into information into knowledge
- Identify gaps and prioritise new knowledge to be developed
- Collate and store knowledge (knowledge base "IT system")

At the global / overarching level, the steps are
- Generate framework for country knowledge development, e.g. it should address EMR, DRR, CCA
- Set up a mechanism for contributing and curating the knowledge-base
- Roll-out and inclusion into local context/country work packages
- Develop best practices, guidelines on themes, e.g. mapping flood risk, fire risk
- Research and develop knowledge-base technical infrastructure

What will be visible | If the work area of this strategy is well implemented
- Expect to see:
    - All PfR countries have access to the knowledge base, which is a central repository for relevant information for their work in their country
    - Ownership by country liaisons for their country's contributions to knowledge base
    - Knowledge base includes knowledge generated by local partners

- Like to see:
  - Use of knowledge base beyond PfR alliance partners

- Love to see:
  - Take up of approach by non-project partners and other countries
  - Active knowledge sharing between project partners and others
  - Uptake of the framework for knowledge development on IRM

6.4.3 Working area 2: Getting knowledge and evidence into use

Main objectives of this area of work I To enhance our influence on policy, investments and practice to strengthen resilience, by bringing in a strong effective knowledge base. To tailor our knowledge that will be used in dialogues with policy makers, practitioners and the private sector in a way that the audience is receptive of the message we try to bring across. A strong knowledge base on IRM includes robust evidence on the effectiveness of IRM and the examples, anecdotes and insights from earlier practice and relevant studies. To continuously learn from the work that is being done and the dialogues that are taking place, so we can enhance our capacity and inform our future engagements. This learning will happen internally within the alliance, but we aim to support and facilitate external learning in the same way, which is the main focus of work area III. We also need to create the (safe) space to adapt the program based on learning through the implementation of this strategy.

Concrete ways forward I Based on the above the following key activities can be identified.

Strategic aim	Key activities
Enable internal learning at all levels: global – local. We will seek to link the in-country practical frameworks, which brings together the focal points from the PfR countries and levels that can actively support the knowledge and learning goals.	Establishing a learning agenda featuring key questions to be answered through the programme, and an M&E agenda in order to gear efforts towards identified themes. In addition, uptake strategies devised to ensure that lessons learned about key themes are being used to inform and influence humanitarian dialogues. Data and information from the M&E frameworks and reports can be used as starting points for discussions on internal learning and adjusting of the programs. At certain points in time, feedback rounds will be needed. Feedback rounds should have as their main aim to determine how knowledge and evidence was used, if it was the right knowledge/evidence and what could be improved.
	Countries set their goals on learning and determine and prioritize what we want to learn. Scoping for learning topics, priorities will be done jointly with the dedicated learning group of focal points. Each country will be involved in the global learning agenda and they will separately establish a practical ways enhance learning and to allow knowledge sharing and internal communication.
	A communication platform will be established, to have one place where different people within the PfR Alliance can communicate, find information, data and evidence, share their knowledge and experience and facilitate exchanges. This platform will be closely monitored and stimulated by someone (KM&L lead) at global level.
	Identify dedicated learning focal points in each country with clear Terms of Reference
	Identify topics, target audiences, and organize learning events around these.
	Knowledge gaps and learning topics are to be actively brought to the attention of the KM&L team and the Capacity Strengthening team.
	Design of uptake strategies for the knowledge that is created will differ in each country and is to be evaluated by the people that have implemented the uptake strategy (at any level).
Coherent and aligned IRM policy messages.	An online platform will be actively managed by the KM&L group and the CTNL. The platform will present: ▪ Knowledge base and evidence (working area 1)

	▪ Forum with different learning topics – discussion groups
	▪ News announcements of upcoming webinars and webinar recordings
	▪ Links to in country platforms, partners, other resilience initiatives (Facebook groups, separate websites, etc.).
	(This also links to the communication strategy and to working area 3. Internal information can be protected through an intranet site.
	Identification of effective uptake strategies and tools per country and globally for the knowledge and evidence that is created. It is important that the uptake strategy is relevant to the situation and stakeholders.
	Pending the opportunity for influencing, we will align and strengthen our messaging internally, and provide a knowledge base to take key IRM messaging forward on different levels and among different stakeholders.
	Thematic groups will be brought in touch with each other, across countries and across levels. Joint learning events for the entire alliance will take place 2nd half of 2017, 1st half of 2019, and end 2020.

What will be visible | If the work area of this strategy is well implemented

▪ Expect to see:
  – Clear incentives in place for active contribution to the PFR knowledge and learning strategy/agenda
  – That knowledge gaps are continuously identified and action plans on how to fill them are established.
  – In-country partners have defined the change they expect to see as a result of activities (e.g. workshop) and define how they hope learning from activities is used by relevant stakeholders.
  – Each country has a focal point, who outlined the learning agenda with the country team, discussed a practical learning agenda, the sharing knowledge infrastructure and methods (a so-called Practical framework), with clear roles and responsibilities and if possible, also a budget. This can support overall coordination amongst different levels/ partners, who can effectively access the knowledge base, tools and methods, etc.
  – Partners define the type of communication platform they need
  – Identified priority themes for learning and learning methods in each country for dialogue and learning (e.g. learning events, webinars for enhanced water basin management)

▪ Like to see:
  – Active participation in learning events by a majority of the country team members and CSO partners
  – Knowledge shared by different people with different roles within the alliance.
  – Regular reviewing and amending of uptake strategies, when reflecting on learning from practice
  – Collaboration and active participation of all KM&L focal points in the alliance and to see different learning initiatives in-country and at regional/global level.

▪ Love to see:
  – Effectively shared knowledge, evidence, tools and experiences which leads to more successful policy, practice and investments dialogues which enhance resilience at all levels
  – New initiatives that arise from the collaboration with other knowledge partners and learning initiatives (links to working area 3).
  – Increased capacity to support effective knowledge management in-country
  – Use of PfR-developed tools beyond the programme, in other interventions, by all of the Alliance members.

6.4.4 Working area 3: Reaching beyond PfR

Strategy I Building on the first two areas of work, we will extend our reach and amplify PfR knowledge, evidence and learning beyond the countries where we are working to inform and influence research, policy and practice more widely. This will be done both directly, through strategic partnerships, and indirectly by working with knowledge intermediaries including the media.

There is a large role for our alliance in this area of work, but before we can focus our attention on this it is required that the first two areas of work are up to speed and functional. Therefore focus will be on amplifying our impact and on the strategy that is needed to make that happen, most likely at the end of year 2. This strategy will be reviewed each year, to ensure the right approach is being taken based on the experience we have until that point.

Objectives I Under the third working area two objectives are formulated:
- Our knowledge base products are accessible and appropriately tailored for a wider -- and in some cases more specialized – audience
- Our knowledge and learning is promoted actively, to bring about change in institutions, funding mechanisms and investments through dialogues.

Concrete ways forward I Several key activities to achieve the knowledge and learning aims are presented in the table below.

Strategic aim	Key activities
Support learning initiatives beyond PfR	Working and interacting with other learning initiatives (like BRACED)
	Establishing links with external players and resilience initiatives to continuously be connected to insights on resilience policies and activities in the world around us
	Attending learning events of other resilience alliances. From these meetings we hope that different initiatives will find ground and will be implemented. We do not want to cast this into stone, since learning and knowledge sharing can be very context and cultural specific
Share knowledge	Producing and publishing scientific articles (jointly with other resilience alliances if strategic)
	Working and interacting with other learning initiatives Since we are not the only alliance that has a knowledge and learning agenda and strategy we aim to learn from and with other alliances that work on similar topics. One of the best examples that we have at this point is the BRACED alliance.

What will be visible | If the work area of this strategy is well implemented
- We expect to see:
  – Communication between different learning initiatives are coordinated and even synchronized where possible (other NGOs, alliances, etc.)
  – Insights and knowledge generated within PfR is considered in national policy processes
  – Insights and knowledge generated within PfR is available in a form that is accessible to the intended target audiences
  – Change in investment, policy and practice through effective use of knowledge on IRM

- We would like to see:
  – Active participation in learning events by external stakeholders
  – Knowledge and evidence widely shared by partners and stakeholders outside the alliance

– Increase in strong IRM proof investments, policies and practices through effective use of knowledge on IRM.

- We would love to see:
    – New initiatives that arise from the collaboration with other knowledge partners and learning initiatives.
    – Use of PfR developed tools and approaches world wide

6.4.5 A platform to work from

PfR is in the process of re-evaluating how it stores and maintains its knowledge base, and access to it can be improved to serve review and learning purposes. As it stands, the vast evidence base collected during the previous PfR programme is housed in one place and newer projects are stored other places leading to challenges in proper cataloguing and, though tools such as Dropbox are helpful when used properly, they tend to limit wider access to documents both internally and externally.

For these reasons, PfR is researching alternative setups so as to have the evidence base, project archives and future files all housed in the same place with the capability to grant access to any of its partners both within the Netherlands and abroad. To this end, and to help refine search results, a series of key characteristics required of such a programme have been noted, like accessibility, storage capacity and organisation, and costs. The platform will also serve the wider communication within PfR and to external audiences (see par. 6.5).

6.5   Communication

Communication serves several purposes: its external focus helps PfR to be accountable to donors, the wider audience, and specific groups that are being targeted through IRM dialogues. Additionally, it has an internal focus, aimed at stimulating learning, and contributing to the dialogues. For both purposes the contents needs to be adapted to the different target groups: donors and strategic partners need to be informed in relation to the specific agreements of the programme, demonstrating the results in terms of agreed targets in both dialogues and related civil society capacity strengthening. The general audience needs to be informed with the more general aim to demonstrate the effects of PfR's interventions, also in relation to the wider discussions on the usefulness of investments with public funding. And specific stakeholders need to be informed on the benefits of IRM in the domains where they are active (policies, investments and practices), geared towards their specific interests and needs. Moreover, communication serves the exchange of specific information within the PfR network, feeding targeted internal learning, knowledge development and evidence building processes (see also earlier, in 6.3 and 6.4)

External communication I Communication to external stakeholders serves accountability and feeds the IRM dialogues:

- *Donor*
  The Ministry of Foreign Affairs needs to be informed about the progress and results that PfR achieves with their funding in the context of the strategic partnership with PfR. The information will be provided through a regular update report, as well as orally through dialogues, both regularly agreed and ad-hoc when opportunities arise. The content is derived from updates on progress (through targeted monitoring re. the national, regional and global programmes, including IATI-published information) as well as specific info in case of unique opportunities.

- *General public*

  General information about the work and achievements of PfR serve accountability towards the public that has a general interest in the achievements – of PfR specifically, as well as in the wider humanitarian and development domains. The information will be provided by means of website, newsletters, blogs and vlogs, and opinion articles in media. The way this is organised and applied is laid down in the PfR Communications strategy (forthcoming). The contents is derived from updates on progress (through targeted monitoring and evaluations and specific studies and initiatives (like write shops), and thus overlaps with both PME and Knowledge Management and Learning

- *Specific stakeholders*

  For identified stakeholders who are targeted as part of planned IRM dialogues, information needs to have specific focus and relevance, e.g. to specific legislation, or proposed investments). The information will be collected and structured based on targeted initiatives, like a study or documentation, as part of the specific dialogue trajectory.

Internal communication I Communication within the alliance, between the members and partner organisations, will enable the learning from each other's experiences, with the aim to improve our achievements in being effective in IRM dialogues, as well as finding the most appropriate ways to strengthen related capabilities. For this, the horizontal and vertical flow of information needs to be organised between Country Teams, Regional Teams, Programme Working Group and Steering Group, and thematic expert groups.

More concretely, PfR is working to update and reform its communication methods so as to streamline and standardise dialogue and exchanges both internally and externally. Currently, communication between elements of PfR is achieved through a combination of email, Skype, linkedin, facebook and others; reforming this into one or two norms of communication will aid in cutting back on fragmentation.

Communication strategy I A communication strategy was developed under the previous Partners for Resilience programme, which will serve as the basis for PfR 2016-2020 programme, with updates and adaptations where needed. The strategy will feed communication plans, at the global, regional and country level(s), serving both internal and external audiences. These plans will define i.a. the audiences for the communication, the various messages (general and specific), the way these will be developed and the channels to be used to disseminate them. Activities (including partners' responsibilities) will need to be budgeted for in the annual and multi-year plans at the various levels within PfR. Underlying this plan is a strategy that places PfR communication in the context of the programmes Theory of Change.

IATI I The PfR alliance reports programme data, using the IATI activity standard up to output level from 2016 onwards. The xml files can be found in the IATI registry and on the public websites of the alliance partners. Issues of possible double counting of mutual results need yet to be worked out with the Ministry. Although the IATI reports will certainly give a good overview of the programme, the full extent and detail of progress and results will only be grasped by combining the xml-files with the detailed narrative and financial reports that will be provided. Where PfR indicators relate to progress on achieving one or more of the related SDGs 1, 2, 11, 13 and 15 this will be marked in IATI.

6.6   Evidence in PfR: overview and inter-linkages

The above sub-paragraphs provide the aims of the various areas of PMEL, Knowledge Management and Learning, an Communication. The tools provide evidence for the successful implementation of the programme (in policies, investments and practices domains) and the necessary capacities, and for dissemination and efforts to scale up and replicate the IRM approach. While some of the tools are exclusive to a certain area, many serve multiple aims and can be situated in the overlap of areas.

For each of the areas a strategy will provide more detail, and will form the basis for plans and activities. The strategies are to be translated into plans which are partly included in the global, regional and country plans, and partly organised separately. The programme needs to facilitate this in terms of budget and organisational structures, e.g. for setting up monitoring tools and agreeing on processes to capture relevant developments at country level for the specific dialogues, or (to issue calls) for specific studies.

Tools to create evidence
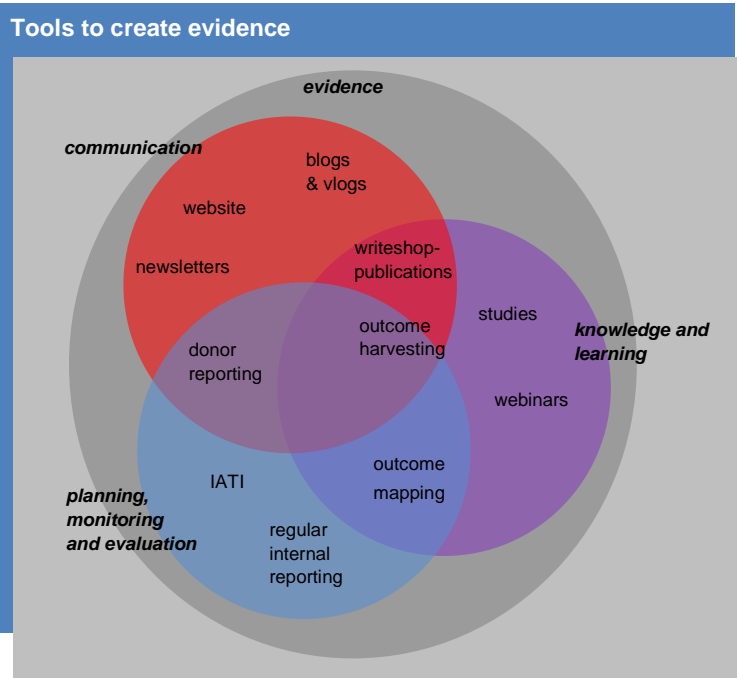
7   Financial structures and budgeting norms

7.1   Introduction

As an integral part of the PfR program management as described in the PfR application, the annual financial management as provided by the lead organisation consists of financial reports on expenditures and budget proposals (including proposals for re-budgeting). The delegates, planning and control officers and external accountants will work on the basis of a ministry-approved control protocol. The Netherlands Red Cross accountant will see to it that the financial reports are properly included in the Netherlands Red Cross' Annual Accounts.

7.2   Budget structure and norms

The total budget for the Strategic Partnership 2016-2020 as provided by the Netherlands Government amounts to € 50,366,250. The PfR alliance members will, in the course of the programme, look for opportunities to secure additional funding, also to enable the continued implementation of community-based activities that strengthen resilience, which constitutes an important part of the IRM-related evidence base. The alliance members agreed on a percentage allocation of the budget:

- CARE Nederland   18%
- Cordaid   26%
- Netherlands Red Cross   21%
- Red Cross Red Crescent Climate Centre   15%
- Wetlands International   20%

An alliance management fee of 2% (€1.007.325 for five years) will be reserved for the NL Red Cross, as lead of the PFR alliance and contractor for the grant agreement.

Furthermore, the PfR members will collectively fund two positions that directly support the initiatives at all levels:

- a Lobby and Advocacy Capacity Development Coordinator will enable the further streamlining of strategies, instruments and tools among the PfR member organisations. This position will be evaluated after two years as to its relevance for the continuation of the program (pertaining to the first strategic direction);
- a Humanitarian Diplomacy Officer will support the alignment of the IRM lobby and advocacy initiatives, ensuring that they adhere to the principles and positions of the respective PfR member organisations, and seeking synergy between PfR and other trajectories (pertaining to the second strategic direction)

For these two positions a reservation has been made of € 80,000 and € 135,000 respectively.

Cost recovery for management and administration is fixed at 10% relative to the available budgets for country, regional and global programmes.

The presented budget (par. 5.3) is based on the programme as developed so far, and is at this stage largely indicative. The inception phase in the first half of 2016 will be used to further define and adjust

the 2016 specifics and the allocations after 2016. Also, after that, the plans and budgets will be revised and adjusted on an annual basis following the conclusions from the program's M&E system as described elsewhere in this document.

Country programme budgets have been allocated to the programmes in the various countries based on the opportunities and challenges in the national context as presented in section 3.4 and combined with the ambitions and priorities of the PfR members. As a consequence, the allocation per country in this preliminary budget varies and the fine-tuning of the plans and available budgets will take place during the inception phase. To cater to the need for flexibility as described in 3.4.1, next to the preliminary budgets for Haiti and South Soudan a reservation has been made for "additional country", to allow phasing into an additional country based on analysis of the context and opportunities to engage with stakeholders. This country will be identified latest in 2018, in close consultation with DSO and IGG, and on the basis of the opportunities that arise in the course of the program.

Regional programme budgets cover activities that relate to the support to CSO networks in the identified regions and landscapes. It equally facilitates the development of joint regional strategies that will feed the global agenda.

The global programme budget covers activities that support the actual strategic participation of civil society organisations, -networks representatives, and NGO in global conferences and fora and the joint (informal) preparation of such meetings.

Both at the country, regional and global level, the PfR will structure its budget along the lines suggested by the Ministry of Foreign Affairs.

- **Budget line Capacity Development for L&A |** The need for investment in capacity development at local and regional level will be higher at the start of the programme, and are likely to slowly decrease towards the end. At the global level the development of L&A capacity is not so much the result of CD interventions, but rather the outcome of continuous M&E and learning from the engagement itself. Capacity Development includes: start-up meetings with all partners to develop and refine the TOC; definition of baseline studies; development of L&A action plans per country and regional team; baseline capacity assessments and development of capacity building strategies; capacity building of partner CSOs – trainings, peer learning, coaching, national events, international events, etc.; training of CSOs and community based groups to collect, analyse and document evidence.

- **Budget line Lobby & Advocacy |** Lobby & advocacy will need some time to start up and take off and needs less budget in the initial stage of the programme but will grow to be the largest component towards the end of the programme (from 20 to 50%). Lobby & advocacy includes the following activities: national and international meetings; events; community level organising; forming national CSO networks; lobby of power holders; building and utilizing multi stakeholder networks; work with media; production of popular education materials, etc.

- **Budget line Monitoring, Evaluation and Administration |** The provisions for Monitoring, Evaluation and Administration are at a constant level throughout the programme period. The budget line shows the costs needed for managing the project, as separate from the content related costs. It includes the monitoring, evaluation and management of progress, contracts management, reporting, and compliance of the programme. It largely consists of staff costs – programme management and financial management – plus possible external consultancies, and small amounts for out-of-pocket expenses. Staff costs also include the function of Country Lead or Regional Lead (see par. 2.5), a function that is funded per country programme or regional programme by one of the alliance members.

- **Budget line Knowledge & Learning |** Next to the "single loop learning" that is catered for under the budget line Monitoring, Evaluation and Administration, this budget line facilitates more generic types of knowledge and learning. Through meta-evaluations, strategic reorientation workshops (double loop learning), development of innovative practices (pilots), (multi-stakeholder) learning trajectories, an evaluation that builds on the 'Learning from PfR' research under the PfR 2011-2015 programme, and collaboration with knowledge institutes, the knowledge and learning activities will lead to a sound knowledge base for lobby and advocacy, guidelines for IRM and inclusive development, community resilience measurement tools, and collated proof-of-concept.

As for the *international experts* that are directly deployed in the programme and that are budgeted under the various budget lines, their fte costs consist of the labour related costs of the staff member (in line with the current Dutch collective labour agreement or CAO Welzijn, between scales 10 and 13), topped up with a percentage for indirect organisational costs (on an individual alliance member basis) that better enable the staff member to carry out the assigned tasks (office facilities, training), as well as travel (economy and NGO-fare where viable) and accommodation (maximum three-star facilities, unless security concerns necessitate otherwise). It should be noted that the costs do not cover elements that are already included in the overall cost recovery.

As for *staff of southern partners*, their overhead (salary costs plus top-up), as well as cost recovery that relates to the organisation as a whole, is to be calculated as a percentage of the total budget that is made available to the respective organisations. Hence their administration of the programme is not included under the PME budget line. Alliance members make individual agreements with their partner organisation(s) on the overhead percentage.

Finally it should be noted that budgets for country programmes are spent in-country, but are also partly allocated at HQ to enable support and targeted inputs. Thus the mentioned amounts in the tables of chapter 4 do not add up completely to the presented figures below.

7.3 Budget 2016-2020

Along the above lines the budget for PfR is as follows:

		total	2016	2017	2018	2019	2020
Total available budget		50.366.250	8.612.251	9.788.665	10.007.680	11.566.044	10.792.994
Support functions	Alliance Management	1.007.325	201.465	201.465	201.465	201.465	201.465
	Humanitarian Diplomacy	675.000	135.000	135.000	135.000	135.000	135.000
	L&A Cap. Strengthening	400.000	80.000	80.000	80.000	80.000	80.000
Cost recovery		4.389.448	745.071	852.018	871.929	1.013.598	943.321
Available for programmes		43.894.477	7.450.714	8.520.181	8.719.287	10.135.981	9.433.208
Country programmes							
Ethiopia (12.4%)	Capacity development	1.753.163	375.629	385.736	387.176	372.473	232.149
	Lobby and Advocacy	1.820.418	196.564	328.980	347.697	445.160	502.017
	Knowledge and Learning	1.132.960	185.871	226.592	232.351	255.997	232.149
	PME, Administration	748.559	121.910	179.476	145.150	156.973	145.049
	Total Ethiopia	**5.455.100**	**879.975**	**1.120.784**	**1.112.374**	**1.230.604**	**1.111.364**
Guatemala (5.3%)	Capacity development	827.736	335.661	236.819	213.116	42.139	0
	Lobby and Advocacy	694.393	149.540	194.733	218.436	131.683	0
	Knowledge and Learning	499.607	154.807	139.479	139.479	65.842	0
	PME, Administration	318.279	94.522	86.858	86.858	50.040	0
	Total Guatemala	**2.340.015**	**734.530**	**657.890**	**657.890**	**289.704**	**0**

Haiti (1.6%)	Capacity development	209.821	48.048	54.385	44.246	39.176	23.966
	Lobby and Advocacy	212.883	21.283	30.156	40.295	60.574	60.574
	Knowledge and Learning	145.181	25.234	29.036	29.036	32.839	29.036
	PME, Administration	136.622	20.987	27.324	27.324	33.662	27.324
	Total Haiti	**704.506**	**115.552**	**140.901**	**140.901**	**166.250**	**140.901**
India (4.5%)	Capacity development	630.369	138.759	140.699	143.465	126.653	80.792
	Lobby and Advocacy	697.229	93.750	140.664	144.351	155.659	162.805
	Knowledge and Learning	462.520	100.334	92.960	94.803	93.434	82.372
	PME, Administration	180.075	33.325	37.934	38.855	38.092	32.561
	Total India	**1.967.032**	**366.168**	**412.257**	**421.475**	**413.837**	**358.530**
Indonesia (9.4%)	Capacity development	1.284.576	312.557	295.594	277.940	250.692	147.793
	Lobby and Advocacy	1.324.555	149.158	237.785	261.216	325.469	350.928
	Knowledge and Learning	874.685	156.295	178.238	179.888	191.929	168.335
	PME, Administration	642.703	114.084	130.191	131.016	142.172	125.240
	Total Indonesia	**4.126.520**	**732.094**	**824.909**	**850.060**	**910.262**	**792.295**
Kenya (6.8%)	Capacity development	919.300	214.170	197.802	194.207	189.953	123.168
	Lobby and Advocacy	970.182	134.427	185.687	200.466	210.228	239.374
	Knowledge and Learning	648.102	120.640	131.218	134.414	136.292	125.538
	PME, Administration	432.317	82.210	87.262	88.860	89.681	84.304
	Total Kenya	**2.969.900**	**551.446**	**601.969**	**617.946**	**626.155**	**572.384**
Mali (8.5%)	Capacity development	1.242.565	266.955	288.716	271.663	259.581	155.650
	Lobby and Advocacy	1.302.613	142.021	232.487	245.853	342.509	339.743
	Knowledge and Learning	798.067	133.329	163.024	164.868	189.032	147.815
	PME, Administration	399.659	65.085	81.315	82.697	94.779	75.784
	Total Mali	**3.742.904**	**607.390**	**765.542**	**765.081**	**885.900**	**718.992**
Philippines (10.1%)	Capacity development	1.465.041	361.477	351.481	322.905	270.491	158.687
	Lobby and Advocacy	1.463.423	145.404	234.212	262.787	394.014	427.005
	Knowledge and Learning	864.875	151.988	172.975	172.975	193.962	172.975
	PME, Administration	641.320	105.269	128.264	128.264	151.259	128.264
	Total Philippines	**4.434.659**	**764.137**	**886.932**	**886.932**	**1.009.727**	**886.932**
South Sudan (4.0%)	Capacity development	578.854	146.704	138.570	129.124	101.278	63.177
	Lobby and Advocacy	573.446	64.902	92.455	104.728	146.340	165.021
	Knowledge and Learning	346.771	64.560	69.516	70.323	73.664	68.708
	PME, Administration	249.597	42.683	50.000	50.404	56.914	49.596
	Total South Sudan	**1.748.668**	318.849	**350.541**	**354.580**	**378.195**	**346.503**
Uganda (9.3%)	Capacity development	1.302.081	303.050	287.017	277.668	268.917	165.430
	Lobby and Advocacy	1.312.519	155.127	241.139	259.214	311.765	345.274
	Knowledge and Learning	844.600	150.422	170.416	172.909	185.423	165.430
	PME, Administration	566.274	104.006	114.003	115.249	121.506	111.510
	Total Uganda	**4.025.475**	**712.605**	**812.575**	**825.041**	**887.612**	**787.643**
Additional country(6.3%)	Capacity development	795.148	0	71.109	86.911	338.317	298.812
	Lobby and Advocacy	747.742	0	11.852	39.505	314.614	381.772
	Knowledge and Learning	652.930	0	23.703	39.505	290.911	298.812
	PME, Administration	573.920	0	11.852	23.703	267.208	271.158
	Total Additional Country	**2.769.742**	**0**	**118.515**	**189.624**	**1.211.049**	**1.250.554**
Total country programmes (78.9%)		**34.625.450**	**5.775.833**	**6.617.755**	**6.746.845**	**8.043.860**	**7.426.331**

Regioanl programmes							
Horn of Africa (2.3%)	Capacity development	277.830	51.115	57.897	57.370	58.884	52.564
	Lobby and Advocacy	389.805	62.857	75.630	78.000	85.441	87.877
	Knowledge and Learning	214.863	37.508	42.973	43.631	45.936	44.816
	PME, Administration	110.834	20.587	23.220	22.035	22.628	22.364
	Total Horn of Africa	**993.332**	**172.066**	**199.720**	**201.037**	**212.888**	**207.621**
Inner Niger (1.2%)	Capacity development	161.088	27.877	34.238	33.922	34.567	30.485
	Lobby and Advocacy	230.011	32.447	43.982	45.404	53.529	54.649
	Knowledge and Learning	117.857	18.778	23.571	23.887	26.205	25.415
	PME, Administration	30.946	4.912	6.189	6.347	6.848	6.650

	Total Inner Niger	**539.902**	**84.014**	**107.980**	**109.561**	**121.149**	**117.198**
Central America (1.3%)	Capacity development	172.844	30.814	42.073	37.490	32.098	30.369
	Lobby and Advocacy	246.106	36.601	53.411	52.147	51.110	52.838
	Knowledge and Learning	124.441	20.543	28.049	26.468	24.691	24.691
	PME, Administration	29.431	4.879	6.834	6.360	5.679	5.679
	Total Central America	**572.823**	**92.837**	**130.367**	**122.466**	**113.577**	**113.577**
South-East Asia (1.6%)	Capacity development	177.048	32.099	38.420	36.050	37.841	32.639
	Lobby and Advocacy	307.257	43.355	56.787	61.001	72.260	73.853
	Knowledge and Learning	138.671	23.326	28.329	28.988	29.831	28.198
	PME, Administration	95.137	15.872	20.086	20.218	19.494	19.467
	Total South Asia	**718.114**	**114.652**	**143.623**	**146.256**	**159.425**	**154.157**
South Asia (1.3%)	Capacity development	160.747	29.027	33.087	33.930	34.147	30.557
	Lobby and Advocacy	238.565	37.660	45.199	47.394	53.643	54.669
	Knowledge and Learning	120.596	20.894	24.063	24.291	26.025	25.323
	PME, Administration	29.212	4.905	5.719	5.965	6.434	6.188
	Total South-East Asia	**549.120**	**92.486**	**108.068**	**111.580**	**120.249**	**116.737**
Total regional programmes (7.7%)		**3.381.192**	**556.055**	**689.758**	**690.899**	**727.288**	**717.192**
Global programme (14.4%)	Capacity development	1.098.192	245.977	272.541	246.402	227.196	165.878
	Lobby and Advocacy	3.469.915	555.226	645.815	699.759	783.407	757.512
	Knowledge and Learning	1.308.434	251.537	259.658	267.173	275.929	254.137
	PME, Administration	359.196	66.086	65.956	68.210	70.399	99.490
	Total Global	**6.235.737**	**1.118.826**	**1.243.969**	**1.281.543**	**1.325.328**	**1.277.017**

Annex 1
Monitoring table

	Financial monitoring	Monitoring & analysing intended & unintended outcomes, addressing assumptions	Monitoring progress towards indicators
Purpose	Financial accountability, including financial flows.	Know and understand the outcomes that we have contributed to. Periodically a review of these achieved results will (re-)validate the rationale and where possible lead to adjustments in the programme. *Knowing and Analysis of the facts at country/regional /global level: what happened, why did certain things happen / not happen?*	Monitoring progress towards a limited set of pre-defined indicators that enable aggregation of data at overall PfR level. *Reporting on the facts: In an aggregated manner, provide an overview of what happened / did not happen.*
What?	Reporting on expenditures and activities as per agreed annual work/activity plan.	• Collect information on the outcomes (*support on shift in focus from output to outcomes may be needed*) : - Who did what, when and where differently? - How significant is this change? - What contribution did PfR make to the change? - What evidence is available? • Monitor relevant changes in context. • Test assumptions and Theory of Change (and when needed adjust the plan/ assumptions/ ToC). • Interpret why the observed changes are apparent	*Outcomes* All countries to report on pre-defined indicators for the two strategic directions (see tables in par 6.3.2 using the information on outcomes achieved collected)
Frequency	Quarterly	At least annually (actually a continuous process, but reporting to CTNL is on an annual basis)	Six-montly
Tools and Methods	• Financial reporting will be the responsibility of Alliance members, using their own financial systems, taken into account the PfR financial manual • IATI needs to be filled on a quarterly basis (not applicable for country teams) • Logbook of activities	• Analyse and interpret the findings, based on information from Logbook, observations and context analysis • Involve key stakeholders for validation of the outcomes • Internal sessions to analyse the meaning of the observed outcomes and the contributions made by PfR to those outcomes.	Logbook of outcomes

Annex 2
Work packages Capacity Strengthening

Based on the Dialogue Capacity Frameworks that have been developed with the Country Teams during the inception workshops, the below working packages are the basis for discussions to agree on country-specific plans.

Area of concern	Intervention proposed	Indicated time frame
Ethiopia		
Diplomatic Skills	Humanitarian Diplomacy training (PfR partners) – forming an Ethiopian Humanitarian Diplomacy Community of Practice	2 days prior and 1 day after an important meeting or event (AMCDRR?)
Civil Society Strengthening	Workshop identifying opportunities to mobilize civil society for IRM dialogues (PfR partners)	3 days
Research skills	Workshop setting a **joint research agenda** linked to IGAD and Climate Finance that supports IRM dialogues (Embassy, PfR partners in Ethiopia and Kenya, academic partners)	2-3 days
M&E	Training on M&E of policy influencing (PfR member agencies in Horn of Africa)	4 days intensive training
Guatemala		
Self-Assessment Research	Expansion of self-assessment to include local partners NGO-Research partnerships and academic agenda setting	1 week 2 days together with concerned universities
Gender	Developing a gender sensitive risk screening tool with women groups	2-3 days knowledge development 2-3 days tool development
Advocacy skills	Exchange visits between partners while engaging with local civil society groups in Guatemala	1 day introduction 4 days field visits 2 days wrapping up
Haiti		
Climate Finance	Orientation on SIDS agenda and its relevance for DRR in Haiti	1 day workshop with SIDS focal point
Planning	Strategic Advocacy Planning training (PfR partners, possibly including others currently not engaged)	4 days intensive training
IRM Knowledge	Study visit to Nicaragua and Guatemala on examples of successful Integrated Risk Management mainstreaming in Education	1 week (facilitated by advocacy consultant/interpreter)
M&E	Training in M&E of policy influencing	4 days intensive training
India		
Self-assessment	Developing the Indian Dialogue Capacity Framework for IRM	2 days preceding the AMCDRR
Private Sector	Assessing the AMCDRR and COP22 programs for learning opportunities around IRM proofing of investments and exploring the role of PPPs as entry points for engagement.	1,5 days preceding the AMCDRR (possibly together with other Asian teams)
Indonesia		
Gender	Gender-sensitive Programming – Making it Count (experience sharing from CARE Vietnam)	4 days (exchange visit?)
Religion and State	Read: Acts of God(s) of the ODI Humanitarian Practice Network and organize a panel discussion on the role of religion in IRM.	1 day
Self-Assessment	Further deepening of the self-assessment linked to Indonesia program priorities.	2 days (around AMCDRR)

Area of concern	Intervention proposed	Indicated time frame
Kenya		
Theory of Change	Establishing a Community of Practice on ToCs for IRM proofing of investments (use of EIAs and SEIAs) Implemented by Wetlands?	2 days (quarterly follow-up meetings) – 8 days a year plus a major learning event involving external stakeholders
Self-Assessment	Training on the use of the DCF for self-assessment (PfR partners in Uganda and Kenya)	4 days intensive training (already implemented)
M&E	Training for PfR partners in M&E of policy influencing (PfR partners in Horn of Africa)	4 days intensive training
Mali		
Research-NGO linkages	Establishing NGO-Research linkages, possibly soliciting support for capacity strengthening for research on Integrated Risk Management practice	Facilitate field visits by academia or umbrella organizations with research capacity
Planning	Explore engagement with 5-year policy and planning cycle of the government	Possibly initiated by the Embassy?
Budget monitoring	Establishing a Community of Practice on Budget Monitoring	2 days (with quarterly follow-up meetings)
Negotiation	Intensive training	4 days
Philippines		
Self-Assessment	Expanding the self-assessment to personal level (in connection with teambuilding) and developing personal development plans as well as a team development plan	2 days (with local team building expert)
External Communication	Workshop supporting the development of a clear communication strategy through development and peer-review of key-messages	3 days (with local communication expert and global advocacy team)
Mobilisation	ToT on IRM mainstreaming towards Philippines civil society organisations (developing activating didactical skills)	4 days intensive training / workshop
South Sudan		
Planning	Strategic Advocacy Planning training (PfR partners in Uganda and South-Sudan)	4 days in 2016 + 2 days follow-up through skype
IRM	Exchange program between PfR partners conceptualizing IRM in South-Sudan	4 x 4 days in 2016/2017
M&E	Training for PfR partners in M&E of policy influencing	4 days intensive training
Uganda		
Planning	Strategic Advocacy Planning training (PfR partners in Uganda and South-Sudan)	4 days in 2016 + 2 days follow-up through skype
Self-Assessment	Training on the use of the DCF for self-assessment (PfR partners of Uganda and Kenya)	4 days intensive training (already implemented)
IRM	Exchange program between PfR partners, including selected local partners (forming an IRM Community of Practice)	5 x 4 days in 2016/2017
M&E	Training for PfR partners in M&E of policy influencing (PfR Partners in Horn of Africa)	4 days intensive training
Global		
Strengthening of civil society	Reflection on strategic direction 1: Strengthening civil society (with MoFA/DSO) and why it is complex and simple	1/2 day (December meeting)
Being a country lead	Peer-support between country leads. Sharing experience and good practice.	1/2 day (December meeting)
PME	1 day conference "The power of choice" the M&E of IRM Dialogue trajectories.	1/2 day gathering for program administrators
Use of DCF for self-assessment	2 hour webinar on the value and limitations of the Dialogue Capacity Framework for the PME of capacity strengthening - establishing a Community of Practice for Capacity Strengthening	4x2 hours with capacity strengthening reference group in October (2 hours for each region).

Annex 3
Building evidence at country level

Introduction | All country plans presented in chapter 4 include proposals on how evidence can be generated and applied in support of the selected IRM Dialogue trajectories. The extent, scope and detail vary between the countries, also due to the fact that, in anticipation of the divergent needs, no specific guidance has been given to the teams.

Ethiopia | The Ethiopia team clearly identified the needs for evidence base / knowledge building in order to be effective in their IRM dialogues

Invest-ment domain	Foreign Investment	Do research to and build the business case for companies and communities to work together	Milestone 1: Study and document the extent to which IRM principles are included in investment plans by the end of 2018. Milestone 2: Share study results and recommendations with stakeholders by the end of 2018. Milestone 3: Develop guidelines to integrate IRM principles in investment plans by the first quarter of 2019.
	Access to climate fund	Development of IRM programmes together with the community, which includes the development of case studies and policy briefs	Milestone 1: Experiences, lessons learned and good practices in applying for and accessing climate fund are collected by 2018. Milestone 2: Guidelines are made available by mid-2018.
Practice Domain	Agriculture, livestock and Rangeland	Documentation of proper agricultural practices – guidelines Documentation of results and process of improved outcome of agricultural practices changes.	Milestone 1: A report of collated good practices and evidences prepared by 12, 2016
	Water use and water manage ment	Organize /establish good practices sharing forums Establish best practice data base Refine IRM good practices Identify specific research areas Establish collaboration and coordination with academia and research institutions Undertake/ support research	Milestone 1: Preparation of ToR for selected knowledge institutes to generate and document evidences and Water and Land Resources Management current practices at the second quarter of 2017. Milestone 2: Conduct research and case studies throughout 2018. Milestone 3: Documentation and dissemination of research findings and case studies by end of 2018
	CBDRM Manual	Bring traditional knowledge and scientific knowledge discussions together. Document and disseminate/promote good practices to explain how DRR & Early action can save lives, reduce damage and is cost effective.	Milestone 1: Preparation of ToR for the ACDRM/CSC/PANOS and other selected knowledge institutes to generate and document evidences and CBDRM good practices at the second quarter of 2017. Milestone 2: Conduct research and case studies throughout 2018. Milestone 3: Documentation and dissemination of research findings and case studies by end of 2018

Guatemala | The following table presents the topics (specific knowledge, proof of concept, guidelines, communication tools, etc.) that need to be developed (more) with respect to the selected IRM dialogues

Trajec tory	Tools to develop/adapt	Deadline	Prepared by PfR	Prepared by others	Milestones
1,3,5	Advocacy manuals	Feb. 2016	√		1. National universities assume the lead in the transmission of the IRM approach through graduate courses,
1	AEI Operating Plan 2016-2018	Dec. 2016	√	AEI	

1	Manual Handling and Resolution of Conflicts	Dec. 2016	√	Humani-tarian platform Guatemala	MOOC's, publications and knowledge fairs among others. 2. Government agencies, municipalities and NGOs apply GIR tools and regulations in projects. 3. Institutionalized learning spaces, innovation, knowledge and exchanges for dissemination of good practices and lessons learned with IRM approach. 4. Promoted through the Interagency Strategic Agenda the dissemination, implementation and continued use of educational modules.
1	Report on systematization of the ISA Model.	Dec. 2017	√		
2	Mapping of networks, NGOs and CBOs in the project areas.	2017	√		
2	Mapping of public-private investment opportunities.	2017	√		
2	Manual on AGRIP	2016		SEGEPLAN	
2	Accountability manual	2017	√		
2	Local Government Budgeting guide	2017		MINFIN	
2	Land use planning guide	2016		SEGEPLAN	
4	GIR concept paper	2016	√		
4	GIR information day program	2016	√	AEI	
5	Methodology and tools for Gender training	June 2017	√		

Haiti I Haiti, being a new country in PfR, has identified clear needs for evidence / knowledge building that need to be gained in the 1st year of the programme. Interesting to see is that the Haiti team can further build on the experiences of the Guatemala team regarding the school programme. By the end of 2017 the evidence based documentation for all trajectories is developed. The Climate Centre will be involved from within PfR particularly in relation with trajectory #1 and #2. Domestic and international academic researchers will be involved for Trajectory #3.

	Knowledge, evidence base development	Organisation in charge	3rd quarter 2016	4th quarter 2016	1st quarter 2017	2nd quarter 2017	3rd quarter 2017	4th quarter 2017
Trajectory 1: The nexus of Disaster Risk, Climate Change and the role of ecosystems integrated in Haitian school curricula	Explore capacity base for the development and delivery of training and education materials	HRC PfR focal person	X	X				
	Explore existing relevant climate related learning methods and resources on climate change and climate risk management;	HRC PfR focal person		X				
	Review Climate assessment for Haiti and environmental assessment (with University and Met office)	RCCC		X				
	Development of the baseline understanding of children about risks for M&E purposes. Measuring impact of the training materials will be crucial	HRC PfR focal person+ MENFP		X	X	X		
	Design evaluation of the impact of the learning resources (M&E)	HRC PfR focal person+ MENFP				X		
Trajectory 2: Harmonization among the instruments,	exploring study to identify SIDIS experiences on EWS (PIRAC)	RCCC			X	X	X	X
	development of the ToR for desk study - gender specific	HRC PfR focal person + RCCC		X	X	X		

			3rd quarter 2016	4th quarter 2016	1st quarter 2017	2nd quarter 2017	3rd quarter 2017	4th quarter 2017
tools and institutions involved in the EWS	indicators will be clearly defined							
	identification & supervision of the intern in charge of developing the study	HRC PfR focal person + RCCC				X	X	
	research and prepare for presentation of baseline study	intern					X	
	Planning /implementation workshop with relevant actors	HRC PfR focal person + RCCC + intern					X	
Trajectory 3: 10% of relief/development funding earmarked for IRM / Resilience	development of intern ToR on scope & output of study - gender specific indicators will be clearly defined	HRC PfR focal person + RCCC		X				
	identification & supervision of the intern in charge of developing the study	HRC PfR focal person + RCCC		X	X	X		
	Development of the baseline understanding of actual IRM investment & existing resources	intern				X	X	

India | The India Country team has identified a number of activities in the field of knoeldge and evidence, linked to specific IRM Dialogue trajectories.

- Trajectory 1: Policy Domain - DRR policy makers at various governance levels take into account integrated risk management principles and approaches.
  - The main knowledge base required for the PfR SP team to successfully engage in this trajectory are:
  - Guidelines and proof of concept of integrating climate information in risk reduction planning
  - Collated proof of evidence and practise on ecosystem based approaches, particularly wetlands and IWRM in DRR
- Trajectory 2: Investment Domain - Public and private investments into disaster risk reduction is increased, with appliance of IRM based safeguards and screening.
  - The main knowledge base required for the PfR SP team to successfully engage in this trajectory are:
  - Guidelines and proof of concept of integrating climate information in community scale risk reduction planning
  - Collated proof of evidence and practise on the interlinkages between landscape degradation, increasing disaster risk, impacts on businesses and engagement opportunities
- Trajectory 3: Practise Domain - Implementation and development of risk reduction programmes at various levels address underlying causes of risk and prevent creation of new risks.
  - The main knowledgebase required for the PfR SP team to successfully engage in this trajectory are:
  - Monitoring and evaluation systems to assess incrementality and cost effectiveness of ecosystem based approaches for DRR planning
  - Risk screening tools to assess impacts of developmental interventions on existing risks

Knowledge, evidence base development	Person/organisation in charge	3rd quarter 2016	4th quarter 2016	1st quarter 2017	2nd quarter 2017	3rd quarter 2017	4th quarter 2017
Development of modules on the basic concepts of gender sensitive and inclusive IRM	WISA, Cordaid, Climate Centre, Indian Red Cross	X					
Development of IRM enriched First Medical Responders (FMR) modules	WISA, Cordaid, Climate Centre, Indian Red Cross		X				

Activity	Organisations	Col1	Col2	Col3	Col4	Col5	Col6
Development of guidelines for integrating climate change adaptation, climate information and eco-system based approaches in risk reduction planning	WISA, Climate Centre	X					
Development of IRM based HVCA tool (Hazard, vulnerability, Capacity Assessment)	WISA, Cordaid, Climate Centre, SEEDS, Unnati, Caritas, Indian Red Cross	X					
Development of landscape specific baselines of disaster, eco-system and climate risk	Unnati, Kalvi Kendra, Caritas, SEEDS, HARC, NetCoast, and Indian Red Cross		X				
Development of tool to list developmental programmes and relevant interlinkages for IRM planning and investment at landscape scale	WISA, Cordaid, Climate Centre, SEEDS, Unnati		X				
Outcome document of mapping PfR activities with the commitments of the Paris Agreement, Sendai Framework and Ramsar Convention	WISA, Cordaid, Climate Centre, Indian Red Cross		X				
Outcome document of mapping PfR activities with national development policies, programmes and schemes	WISA, Cordaid, Climate Centre, SEEDS, Unnati		X				
Development of IRM checklist for DDMP's (District Disaster Management Plans)	WISA, Cordaid, Climate Centre, SEEDS, Unnati, Caritas			X			
Development of model IRM based DDMP Framework	WISA, Cordaid, Climate Centre, SEEDS, Unnati, Caritas			X			
Development of Policy Brief / Paper on the role of wetlands destruction in increasing the frequency of urban floods	WISA				X		
Development of evidence/case studies /proof of concept of applying IRM	WISA, Cordaid, Climate Centre, SEEDS, Unnati, HARC, Kalvi Kendra, Caritas, Netcoast	X	X	X	X	X	X

Indonesia | Indonesia structured all knowledge and evidence activities according to the specific trajectory to which they contribute (most)

	Knowledge, evidence base development	Organisation in charge	3rd quarter 2016	4th quarter 2016	1st quarter 2017	2nd quarter 2017	3rd quarter 2017	4th quarter 2017
Trajectory 1: The national Disaster Management (DM) law and select related DRR policies and regulations comply with IRM standards, are harmonized with each other, and align with relevant sectoral policies	Guidelines on data collection and monitoring developed	IFRC/PMI		X	X			
	Evaluation of first 2 years completed	IFRC/PMI						X
Trajectory 2: Three global processes – the Sendai Framework on Disaster Risk Reduction (SFRDRR), the Sustainable Development Goals (SDGs) and the Paris Climate Agreement, and their respective regional roadmaps - highlight the importance of IRM, include reference to the Indonesian IRM experience, and are taken into consideration in national and local policies.	Collaborate with PfR national partners to collate, analyse and "repackage" local community data on vulnerability and changing risks to feed infra-structure risk screening processes (of dams, roads, and other big infra-structure that may change local risks and conditions) – and serve as basis for dialogue on better integrated risk management, focussing on risks faced by the most vulnerable groups	Climate Centre		X				
	Support the conduct of a learning workshop to identify IRM good practices, models and messages	Climate Centre		X				
	Conduct a comparative analysis of selected national policies and identify alignments with global agreements including IRM	Climate Centre		X	X	X		
	Conduct research in relevant national policies and/or regulations and identify entry points for coherent reflection of IRM	Climate Centre		X	X	X		
	Document processes in various national and regional policy engagements	Climate Centre		X	X	X	X	X

Trajectory 3: Village, district and provincial development plans and budgets in NTT (and potentially other provinces) maximise funds allocated through national development programs (with a focus on Village Law) for IRM, in a manner that is gender sensitive and that can inform mainstreaming of IRM in development plans at the national level	Regarding TTS District Regulation on 3Rs (Water Protection and Management): In close coordination with Care International, establish a joint team to make an academic paper (include village role in 3Rs)	Karina KWI, Care International						
	Regular reports produced and monitoring conducted	Care International	X	X	X	X	X	X
Trajectory 4: Lowland development plans comply with IRM standards and in doing so promotes investment in sustainable economies and livelihoods for lowland communities.	Relevant lowland eco-systems are mapped and profiled	Wetlands International		X	X	X	X	X
Trajectory 5: A Watershed Management Approach and its accompanying regulatory framework is incorporated into village and district development plans in the Sikka District in NTT, in a manner that can inform further mainstreaming on the national level	Village development plan in 6 villages in the Dagesime Magepanda Watershed will include the development priority based on the watershed assessment result	Karina			X			
	Monitor the implementation of the work plan in 6 villages (in 2018-2020)	Karina					X	

Kenya | The knowledge and evidence initiatives contribute in general terms to the trajectories. The Kenya team has assessed and mapped the availbale knowledge/ evidence for each of the three trajectories, and has identified gaps. Consequently it has listed actions it intends to take to fill these gaps and have the appropriate knowledge to be effective in its IRM dialogues.

- Trajectory 1 - Policy
  - To collect evidence based knowledge on the existing legal frameworks on DRM at the National, regional and in the 3 counties and identify the gaps in the incorporation of the IRM issues in these legal frameworks.
  - On the basis of the gaps identified, PFR will gather more evidences from PFR 1 and other innovative IRM projects to influence policies and programs of the various stakeholders.
  - Develop advocacy strategy for PFR II to streamline activities with the ongoing IRM dialogue at the County, National and Regional 3 levels.
  - Develop an IRM manual to be used to facilitate capacity building of CSOs and Government departments.
  - Develop a database for archiving and documentation of the IRM practice and use the data base to influence stakeholders in County, National and Regional level IRM dialogue

Trajectory 2 – Investments
- – Available knowledge: PfR I reports and IEC materials; DRM draft policy - Isiolo County; The Economics of Ecosystem and Biodiversity (TEEB) study- Tana River; PfR I success stories; Institutional memory from strategic partners; KRCS reports on utilization of the received climate funds
- – Knowledge gaps: Map of current investments; IRM guidelines; IRM L&A training modules; The Economics of Ecosystem and Biodiversity (TEEB) - Ewaso Nyiro County; Evidence on promoting climate resilient livelihoods through using IRM; Information on channels of climate finance in Kenya
- – Required action: Conduct baseline studies on current investments; Develop IRM guidelines; Develop IRM L&A training modules; Conduct a TEEB study on Ewaso Nyiro; Assess available PfR case studies and clarify link between IRM and climate resilient livelihood; Conduct desk survey on the channels used in assessing climate finance in Kenya

- Trajectory 3 – Practice
  - – Available knowledge: A PFR1 success stories documented; DRM policy for Isiolo County; PFR I vision document; PfR I review reports; Written information sources; posters, brochures etc; PfR I end of project reports; Wetlands International Eco-criteria; Media clips on PFR I projects; CMDRR Manual; PFR music
  - – Knowledge gaps: Harmonised PFR success stories simplified; IRM success stories of other actors; Policy gaps analysis document; IRM guideline; Good quality PfR music on IRM; Up to date IEC materials
  - – Required action: Repackage PFR 1 good practice documentation for different target audience; Map IRM projects and success stories of other partners to support our message; Conduct research on DRM policy gaps/review of existing policy documents in the 3 counties in regards to IRM; Develop IRM guideline to be used in training workshops; PfR music re-done for quality purposes; produce IEC materials based on the PfR II project objectives

Knowledge, evidence base development	Person/organisation in charge	3rd quarter 2016	4th quarter 2016	1st quarter 2017	2nd quarter 2017	3rd quarter 2017	4th quarter 2017
Desktop survey on best practices IRM knowledge available and the gaps (consultancy)	Cordaid				X		
Repackaging of the available IRM practices	Cordaid				X	X	
Develop National PFR website with links to Regional and International networks	Cordaid			X	X		
Development of 2 sub catchment management plans for 2 WRUA's	Wetlands International			X	X		
Attend COP 22 in Marrakech	All		X				
Attend National platform on DRR meeting	All		X				
Annual reports	Cordaid			X			

Mali | The Mali Team listed activities according to the various trajectories.

Trajectory	Knowledge, evidence base development	Person / organisation in charge	3rd quarter 2016	4th quarter 2016	1st quarter 2017	2nd quarter 2017	3rd quarter 2017	4th quarter 2017
Trajectory 1: Promote sound & equal water resources management that secures vulnerable groups, including fishermen, against the risk of natural disasters and the effects of irrigation schemes, maintaining ecosystem services of wetlands in river basins	Development of innovative projects, f.e. in the field of early warning	Wetlands Mali			X	X	X	X
	Establish cooperation with knowledge institutes	Wetlands Mali		X	X	X	X	X
Trajectory 2: Contribute to the development of local policies and mechanisms that secure the access of vulnerable groups (farmers, fishermen, women, youth) to land: the strategic areas during dry times of crisis and flooding (refuge sites, fisheries and pastoralist corridors)	Development of innovative projects	Care						
	Documentation of best practices and learnings from PfR1	Care		X				
	Establish cooperation with knowledge institutes	Care		X	X	X	X	X
	Building a profound evidence base, for effective IRM dialogues	Care	X	X				
Trajectory 3: Improve National Strategy for Disaster Risk Reduction (SNRRC) through the introduction of IRM	Support the development of contingency plans at national level	Red Cross Mali				X	X	X
	Support the development of contingency plans at local level	Red Cross Mali				X	X	X
	Support the set-up of a resilience platform	Red Cross Mali				X	X	X
	Exploratory missions to Senegal	Red Cross Mali		X	X	X	X	X
	Exploratory missions to Sourou	Red Cross Mali		X	X	X	X	X
	Exploratory missions to DIN	Red Cross Mali		X	X	X	X	X
	Exchange visit to Togo	Red Cross Mali		X	X	X	X	X
	Documentation	Red Cross Mali	X	X	X	X	X	X

Philippines I The Philippines team made a very comprehensive overview for their evidence base – see table below

Project & area	Relevance of data	Deadline collection /updating/ consolidating data into report	Partners responsible for collection, updating & consolidation	Purpose of short report	Deadline for creation advocacy material by extracting report data	Persons responsible
PRC project (2013) in Surigao del Norte (Mindanao); ACCORD project in Cordillera (Luzon)	1. To showcase how 2 rural Barangays have benefited from the successful integration of 3 elements of IRM: DRR, CCA & EMR. 2. Update will also look at sustainability & replication aspects. 3. As far as possible, findings should incorporate relevant aspects of IRM e.g. Minimum Stds for Barangay	Last quarter 2016	NLRC for PRC; CARE for ACCORD; Note: WI has offered technical assistance to collect/review project data by using EMR lense. This is an option for PRC project; not needed for ACCORD project.	1. Basis for preparation of advocacy material. 2. Reference document for any stakeholder who might need more information. Note: NLRC & CARE to each prepare one individual short report.	First quarter 2017	Writing first draft: NLRC & CARE or external writer
						Sourcing for & employing external writer: **(To be determined)**
						Editing first draft: External writer or Country Lead
						Reviewing polished draft: NLRC & CARE & Country Lead; other CT members who are free;
						Proofreading approved draft: External writer & NLRC & CARE & Country Lead
						Working with designer & printer to produce material: External writer & **one Alliance member (to be determined)**

Possible type of advocacy material: Polished publication comprising 2 to 5 pages. (e.g. Brochure) Note: Only 1 publication which will contain both project experiences.
Possible presentation style of content: Case study; magazine/newspaper article

Purpose of advocacy material: To be presented to targeted stakeholders during dialogues for all Trajectories 1 to 4, as per Work Plan

Overall coordination & supervision: Country Lead

Project & area	Relevance of data	Deadline collection /updating/ consolidating data into report	Partners responsible for collection, updating & consolidation	Purpose of short report	Deadline for creation advocacy material by extracting report data	Persons responsible
PRC project in Valenzuela; CARE project in Portrero, Malabon.	To showcase the current state of practice (in ref to the successful integration of 3 elements of IRM: DRR, CCA & EMR) in 2 urban Barangays.Update will also look at sustainability & replication aspects. Both locations are part of the MANATUTI river basin (which is a geographical area targeted for PfR 2016-2020).	Last quarter 2016	NLRC for PRC; CARE for ACCORD	1. Basis for preparation of advocacy material. 2. Reference document for any stakeholder who might need more information. Note: NLRC & CARE to each prepare one individual short report.	First quarter 2017	Writing first draft: NLRC & CARE or external writer. Sourcing for & employing external writer: one Alliance member (to be determined) Editing first draft: External writer or Country Lead Reviewing polished draft: NLRC & CARE & Country Lead; other CT members who are free; Proofreading approved draft: External writer & NLRC & CARE & Country Lead Working with designer & printer to produce material: External writer & one Alliance member (to be determined)

	Portrero project will display higher level of IRM practice.					

Possible type of advocacy material: Polished publication comprising 2 to 5 pages. (Brochure) Note: Only 1 publication which will contain both project experiences.

Possible presentation style of content: Case study; magazine/newspaper article

Purpose of advocacy material: To be presented to targeted stakeholders during dialogues for all Trajectories 1 to 4, as per Work Plan

Overall coordination & supervision: Country Lead

Haiyan relief and recovery project (CARE), completed on 31 Dec 2015	To show: 1. Successful demonstration of IRM in non-PfR projects which Alliance partners are part of. 2. Specifically, a project featuring integration of IRM elements in humanitarian response. 3. To persuade Govt & donors (public & private) of such ops that even in humanitarian response programming, elements of IRM can and should be incorporated. 4. To persuade NL Embassy that IRM standards should be adopted/incorporated by Embassy in humanitarian & development progs. (Senior commercial officer at NL Embassy showed interest in April to CARE).	Last quarter 2016	CARE	1. Basis for preparation of advocacy material. 2. Reference document for any stakeholder who might need more information. Note: CARE to prepare one individual short report.	First quarter 2017	Writing first draft: CARE or external writer Sourcing for & employing external writer: one Alliance member (to be determined) Editing first draft: External writer or Country Lead Reviewing polished draft: CARE & Country Lead; other CT members who are free; Proofreading approved draft: External writer & CARE & Country Lead Working with designer & printer to produce material: External writer & one Alliance member (to be determined)

Possible type of advocacy material: Polished publication comprising 2 to 5 pages.

Possible presentation style of content: Case study; magazine/newspaper article

Tacloban Palo project	WI to document IRM success in Tacloban Palo risk assessment	end Sept 2016	WI	1. Basis for preparation of advocacy material. 2. Reference document for any stakeholder who might need more information. Note: WI to prepare one individual short report.	To be decided	Writing first draft: WI or external writer
						Sourcing for & employing external writer: one Alliance member (to be determined)
						Editing first draft: External writer or Country Lead
						Reviewing polished draft: WI & Country Lead; other CT members who are free;
						Proofreading approved draft: External writer & WI & Country Lead
						Working with designer & printer to produce material: External writer & one Alliance member (to be determined)

Possible type of advocacy material: Polished publication comprising 2 to 5 pages.

Possible presentation style of content: Case study; magazine/newspaper Article

Purpose of advocacy material: To be presented to targeted stakeholders during dialogues for all Trajectories 1 to 4, as per Work Plan

Overall coordination & supervision: Country Lead

Building with nature project in Demak, Indonesia	To feature incorporation of all elements of IRM	end Sept 2016 (first collection); October 2016 (update)	WI	1. Basis for preparation of advocacy material. 2. Reference document for any stakeholder who might need more information. Note: WI to prepare one individual short report.	To be decided	Writing first draft: WI or external writer
						Sourcing for & employing external writer: one Alliance member (to be determined)
						Editing first draft: External writer or Country Lead
						Reviewing polished draft: WI & Country Lead; other CT members who are free;
						Proofreading approved draft: External writer & WI & Country Lead
						Working with designer & printer to produce material: External writer & one Alliance member (to be determined)

Possible type of advocacy material: Polished publication comprising 2 to 5 pages.

Possible presentation style of content: Case study; magazine/newspaper Article

Purpose of advocacy material: To be presented to targeted stakeholders during dialogues for all Trajectories 1 to 4, as per Work Plan

Overall coordination & supervision: Country Lead							
Project/s outside PfR but which Alliance member/s is part of. Alternatively, non PfR projects which Alliance members are not part of.	To showcase successful adoption of IRM through significant engagement with Private Sector	end 2016	WI, Cordaid	1. Basis for preparation of advocacy material. 2. Reference document for any stakeholder who might need more information. Note: WI & Cordaid to prepare individual short reports.	First quarter 2017	Writing first draft: WI & Cordaid or external writer Sourcing for & employing external writer: one Alliance member (to be determined) Editing first draft: External writer or Country Lead	
						Reviewing polished draft: WI; Cordaid & Country Lead; other CT members who are free;	
						Proofreading approved draft: External writer & WI; Cordaid & Country Lead	
						Working with designer & printer to produce material: External writer & one Alliance member (to be determined)	
Possible type of advocacy material: Polished publication comprising 2 to 5 pages.							
Possible presentation style of content: Case study; magazine/newspaper Article							
Purpose of advocacy material: To be presented to targeted stakeholders during dialogues for all Trajectories 1 to 4, as per Work Plan							
Overall coordination & supervision: Country Lead							

Uganda

	Knowledge, evidence base development	Organisation in charge	3rd quarter 2016	4th quarter 2016	1st quarter 2017	2nd quarter 2017	3rd quarter 2017	4th quarter 2017
Policy Domain	Develop TOR and conduct study on Wetlands policy review	Wetlands Uganda			X			
	Develop TOR and conduct study on Wetlands Bill review	Wetlands Uganda			X			
	Conduct policy analyses on national disaster preparedness and management policy in relation to IRM	Uganda Red Cross / Climate Centre			X	X	X	X
Investment Domain	Participate in development of EIA guidelines and regulations which are IRM inclusive	Care			X	X	X	X
	Undertake a TEEB study on Wetlands of National Importance	Wetlands			X	X	X	
	Conduct analysis of impact of the current investments against the IRM principles	Uganda Red Cross			X	X	X	X

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Domain	Activity	Organization	C1	C2	C3	C4	C5
	Develop strategy on how to influence investment decisions	Uganda Red Cross		X	X	X	X
	Develop and disseminate IRM safeguards and climate smart investment guidelines	ECO	X	X	X	X	
	Assess the current investments and investment procedures in Uganda with respect to IRM consideration and application	Wetlands	X	X	X	X	
	Build linkages with research institutions to develop more IRM innovative solutions	Wetlands		X	X	X	X
	Support development of IRM screening guidelines for investments at local level	Wetlands		X	X	X	X
Practice Domain	Disseminate and document IRM smart practices	ECO	X	X	X		
	Package IRM guideline as a module for VSLA methodology	ECO		X	X	X	
	Review of current Catchment Protection Guidelines to identify IRM safeguards	Wetlands		X	X		
	Participate in development of Catchment Protection Guidelines which are IRM inclusive	Wetlands		X	X	X	X
	Desktop survey on Knowledge available and gaps on IRM Best Practice	Cordaid	X	X			

Notes

[1] Ministry of Foreign Affairs, 2014. Multi-Annual Strategic Plan 2014-2017 Ethiopia

[2] http://india.nlembassy.org/organization/the-embassy-in-new-delhi/organisation-structure/politcal-affairs-and-public-diplomacy.html

[33] Ministry of Foreign Affairs, 2014. Multi-Annual Strategic Plan 2014-2017 Kenya

[4] Ministry of Foreign Affairs, 2014. Multi-Annual Strategic Plan 2014-2017 Mali

[5] http://redd.unfccc.int/uploads/2234_1_philippines_gender_and_redd_report_sm.pdf

[66] http://philippines.nlembassy.org/news/2016/06/ngo-summit.html

[7] Multi Annual Strategic Plan South Sudan 2012-2015.

[8] INTRAC http://www.intrac.org/pages/en/monitoring-and-evaluation-impact-assessment-and-theory-of-change.html

[9] MDF https://www.mdf.nl/expertise/high-performing-partnerships/

[10] Advocacy etc. http://www.advocacyetc.org/Training.html