Country Programming

Guidance Note 4

Tools for Mainstreaming Disaster Risk Reduction *is a series of 14 guidance notes for use by development organisations in adapting programming, project appraisal and evaluation tools to mainstream disaster risk reduction into their development work in hazard-prone countries. The series is also of relevance to stakeholders involved in climate change adaptation.*

This guidance note addresses the issue of country programming, providing guidance on how to assess disaster risk and identify related risk reduction opportunities both to protect the effectiveness of development assistance programmes and to support countries in strengthening their own disaster risk management strategies. It is intended as a basic, generic guide for use by all types of international development organisation, complementing existing country programming guidelines.

1. Introduction

All international development organisations apply some form of programming framework through which problems, needs and interests are analysed, sectoral and thematic areas of focus identified and the broad level and composition of assistance outlined. Except in the case of the smallest non-governmental organisations (NGOs), this framework is typically applied at a country level. Institutions apply many different names to the resulting plans, including Country Strategy Papers (CSPs), Country Assistance Programmes (CAPs), Country Assistance Strategies (CASs) and, in the case of the United Nations (UN), Common Country Assessments (CCAs) from which UN Development Assistance Frameworks (UNDAFs) are developed. Time frames for country plans are typically three to five years, giving them strategic significance. In the case of international financial institutions (IFIs), if a particular area of focus is not identified in a country plan then no related projects can be undertaken (with the notable exception of post-disaster response).

Consideration of natural hazards and related risks in country programming may be critical in securing sustainable long-term development and ensuring the effectiveness of an organisation's individual country strategies. Achievement of objectives can be hindered in both the short and, potentially, the medium term by the occurrence of a disaster, whether in terms of, for example, broad country goals, such as reductions in the level of poverty, or more specific targets, such as the proportion of roads in good condition or levels of access to electricity and clean water. Indeed, the process of country programming provides an important opportunity to address disaster risk in a strategic and coordinated fashion, exploring the complex, cross-cutting and multi-faceted nature of vulnerability from human, social, environmental and economic perspectives and identifying appropriate, proactive risk management solutions.

Current state of the art

Historically, only very recently-occurring disasters have typically received any attention in country strategies, often implicitly regarded as one-off aberrant events hindering achievement of short-term goals. Both in these and in other country strategies for hazard-prone countries, potential future hazard events, related challenges to longer-term sustainable development and important interplays and trade-offs between forms and patterns of development and vulnerability to natural hazards have all too often been ignored (see Box 1).

Box 1 Ignoring disaster risk

A recent review of the extent of attention given to disaster-related issues in the World Bank's Country Assistance Strategies revealed that 44 per cent of current CASs for countries that have received Bank disaster-related support do not mention natural hazards. Even in those 40 countries in which the Bank has supported four or more disaster-related projects, one-third of the CASs contain no mention of natural hazards. The report concluded that "when formulating country lending programs, the Bank needs to elevate the importance of disasters, especially for highly vulnerable countries" (p. 26).

Source: World Bank (2006).

Since the late 1990s, however, the importance of disaster risk reduction has been increasingly recognised in development organisation (and government) policies. This shift has been driven by an increasing understanding of disasters as unresolved problems of development and by a gradual upward rise in reported disaster losses, in turn primarily reflecting growing economic and social vulnerability (**see Guidance Note 1**). Attention is now turning to the integration of disaster risk concerns into country programming and mainstreaming disaster risk management within development initiatives. The Hyogo Framework for Action 2005–2015, adopted by the World Conference on Disaster Reduction in January 2005 and signed by 168 nations and multilateral institutions, specifically calls upon international organisations to "integrate disaster risk reduction considerations into development assistance frameworks, such as the Common Country Assessments, the United Nations Development Assistance Framework and poverty reduction strategies".[1] To facilitate this mainstreaming process, some development organisations have begun to develop quantitative measures of risk (see Box 2). A few, including both multilateral and non-governmental organisations, are also beginning to adapt country programming procedures to require specific consideration of disaster risk management in high-risk countries (see, for instance, Box 3).

The extent of their success will depend on a number of factors (see last section), including the interrelationship between the degree of freedom and scale of assistance that particular development organisations have and a government's own priorities. For instance, IFIs have large lending portfolios but these may need to be negotiated with governments who, in turn, can be unwilling to borrow for disaster risk management (see below). Bilateral organisations may have a largely technical assistance and grant focus, concentrating assistance on self-determined priority sectors. NGOs often have particular areas of specialism, focusing their relatively few resources on these.

Box 2 Disaster risk indices

Increasing recognition of the importance of mainstreaming disaster risk reduction within broader development has spawned a number of initiatives to develop indicators of national and sub-national risk. Such indicators are intended to allow development practitioners to judge the relative importance of disaster risk in decisions on country programming and to provide an initial basis for identifying requirements for strengthening disaster risk management, although their use and relevance are still to be tested. They also provide a quantification of risk that, in some cases, is appropriate in monitoring and evaluating programme performance (**see Guidance Note 13**).

These initiatives include:

- UNDP's Disaster Risk Index[2] – a global assessment of national disaster risk developed by the United Nations Development Programme (UNDP) to demonstrate how development can contribute to risk. The index calculates the average risk of deaths per country in large- and medium-scale disasters associated with earthquakes, tropical cyclones and floods.
- World Bank/ProVention's Hotspots project[3] – a global, sub-national assessment of risk calculated for grid cells rather than for countries as a whole, intended to provide a rational basis for prioritising risk reduction

1 UN/ISDR. *Hyogo Framework for Action 2005–2015: Building the Resilience of Nations and Communities to Disasters.* World Conference on Disaster Reduction, 18–22 January 2005, Kobe, Hyogo, Japan. Geneva: United Nations International Strategy for Disaster Reduction, 2005, p. 16, para. 32(e). Available at: http://www.unisdr.org/eng/hfa/hfa.htm

2 UNDP (2004).

3 World Bank. *Natural Disaster Hotspots: A Global Risk Analysis.* Disaster Risk Management Series No. 5. Washington, DC: World Bank, 2005. Available at: http://www.proventionconsortium.org/themes/default/pdfs/Hotspots.pdf. See also http://geohotspots.worldbank.org/hotspot/hotspots/disaster.jsp for an online interactive map.

efforts and highlighting areas where risk management is most needed. Risks of both mortality and economic losses are calculated as a function of the expected hazard frequency and expected losses per hazard event.

- Inter-American Development Bank (IDB)/Instituto de Estudios Ambientales (Environmental studies institute) Americas Program[4] – a series of national and sub-national indices of disaster risk for Latin America and the Caribbean for use in country programming. Four indicators have been developed, measuring a country's performance in disaster risk management, its financial capacity to meet recovery costs, localised levels of risk and prevailing conditions of national-level human vulnerability.
- ECHO's Disaster Risk Index[5] – a measure of national risk developed for use in determining the priority country focus for the disaster reduction activities of the European Community Humanitarian Office (ECHO). ECHO's index combines information on natural hazards, vulnerability and, where available, national coping capacity.

Resulting scores and rankings of countries vary depending on how risk is defined. For instance, small island economies tend to dominate tables based on physical damage relative to economic size. In contrast, medium-sized countries that have experienced devastating catastrophes top UNDP's index based on fatalities.

Nevertheless, with careful interpretation, these indicators provide policy-makers with a potentially very useful data set for use in decision-making and evaluation. For instance, ECHO's Disaster Risk Index, developed in 2003, has already been used to inform internal decisions about allocation of resources between disaster-prone countries and has begun to stimulate debate about priorities. IDB is beginning to make use of recently available indicators under the Americas Program as performance indicators in relevant country strategies. The World Bank is using Hotspots to target CASs under preparation in highly vulnerable countries and encourage them to prioritise disaster risk management. And at least one development NGO is beginning to use UNDP's disaster risk indicators to help determine in which countries it operates.

Box 3

Formalising the integration of disaster risk management into country programming – IDB's initiative

In March 2005 the board of the Inter-American Development Bank endorsed an action plan for improving disaster risk management. Under the plan, a series of actions will be undertaken over the next three years relating to country programming and portfolio management, policy and organisational strengthening. The action plan is intended to position IDB to carry out its commitment to a more proactive stance to disaster risk management, helping countries to reduce preventable losses due to disasters and safeguarding the effectiveness of IDB's development assistance, and to consolidate disaster risk management in operations. A new disaster risk management policy explicitly incorporating commitments in the action plan is expected to be presented for approval before the IDB Board of Directors by the end of 2006.

In high-risk countries, IDB will evaluate the disaster risk in cooperation with the country and adjust country strategies and programming accordingly. Assessments will include country-specific risk evaluations to evaluate probable losses, economic impact and capacity to finance recovery/reconstruction; geographical areas and sectors at high risk that warrant priority intervention; and institutional capacity to manage risk. New country strategies and programming memoranda will discuss disaster risk, including how IDB proposes to manage it. Programme performance monitoring reports for high-risk countries will also explicitly consider the impact of disaster events.

Source: IDB (2005).

4 IDEA/IDB. *Indicators of Disaster Risk and Risk Management: Main Technical Report.* Manizales and Washington, DC: Instituto de Estudios Ambientales, Universidad Nacional de Colombia and Inter-American Development Bank, Sustainable Development Department, 2005. Available at: http://idea.manizales.unal.edu.co/ProyectosEspeciales/adminIDEA/CentroDocumentacion/DocDigitales/documentos/Main%20technical%20report%20IDEA.pdf

5 De Haulleville, A., Jegillos, S. and Obsomer, V. *Overall Evaluation of ECHO's Strategic Orientation to Disaster Reduction: Main Report.* Brussels: European Community Humanitarian Office, 2003.

Advocated good practice

Three essential actions are required as part of country programming to ensure that disaster risks are adequately assessed and managed:

- Disaster risks should be explicitly examined as part of the preliminary country analysis undertaken at the start of the process.
- Rational, informed and explicit decisions, linked to transparent assignments of accountability and responsibility, should be taken on whether and how to address significant risks.
- The contribution of disasters and related risks to other development challenges and their potential implications for the achievement of country programme strategic objectives should be carefully explored.

This guidance note outlines detailed measures for ensuring that these actions are accomplished.

2. Basic steps in merging disaster risk concerns into country programming

The scope, level of detail and emphasis of a country strategy varies between development organisations depending on their areas of specialism, their developmental approach and the scale of assistance provided. However, a broadly similar preparation process is followed and approximately the same steps taken, if in varying order. Measures required to ensure that disaster risks are adequately examined and addressed in each of these steps are outlined below and summarised in Figure 1. The UN CCA and UNDAF are not explicitly discussed but much of the below is relevant to these, too (see also Box 4).

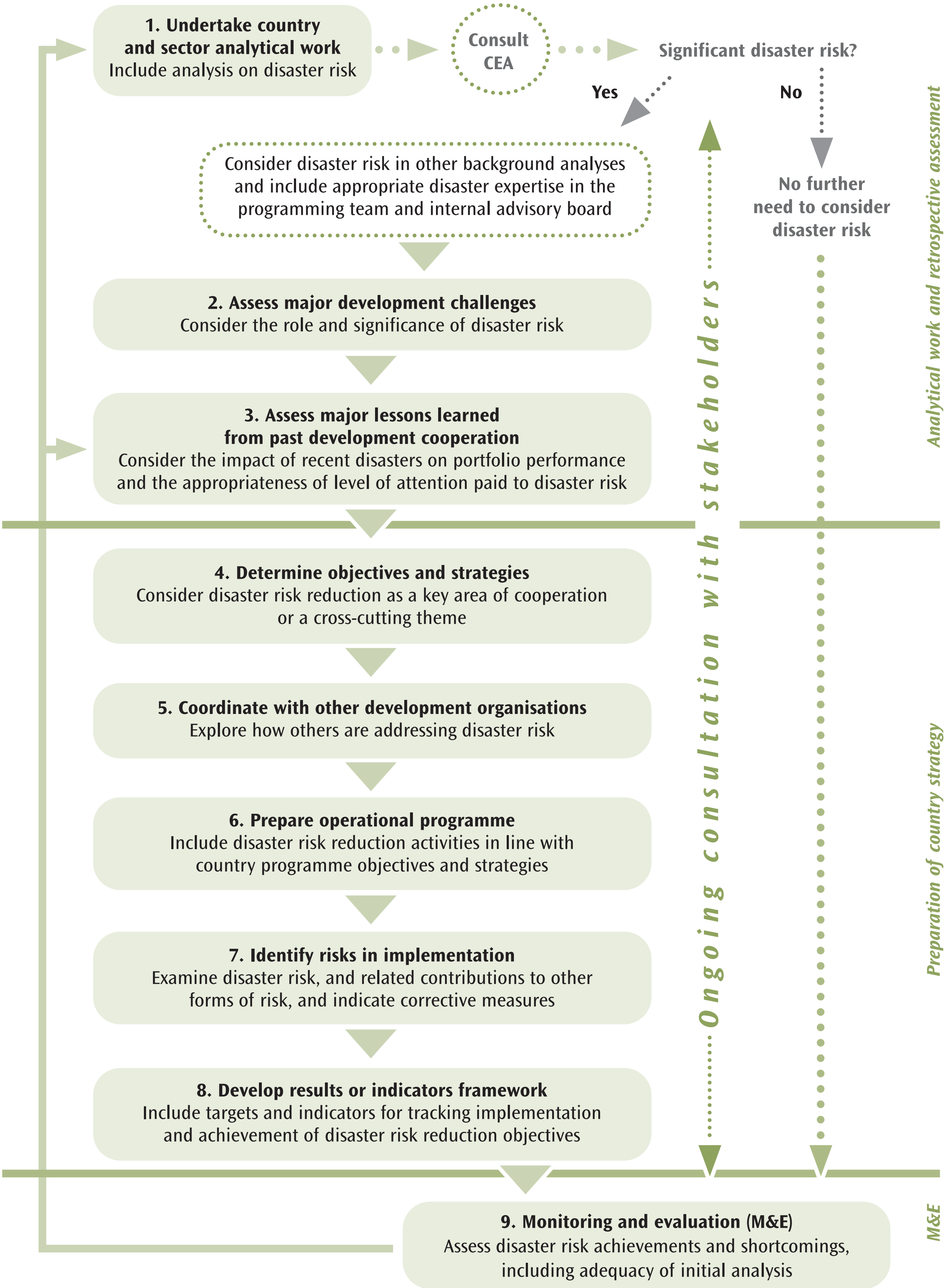
Box 4 **Integrating disaster risk reduction concerns into UN country programming**

In undertaking country programming, United Nations agencies begin by jointly preparing a Common Country Assessment, in which they assess the key causes of poverty in a country and analyse the country's progress towards achievement of the Millennium Development Goals (MDGs). From this, a UN Development Assistance Framework is developed, providing a common strategic framework for the operational activities of the UN system, setting out collective priorities and linking these to outputs and outcomes of individual UN agency country programmes. The UNDAF is centred on achievement of the MDGs together with commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments of the UN system. Each UN agency then draws up its own Country Programme Document.

UNDP and the United Nations International Strategy for Disaster Reduction (UN/ISDR) are currently developing guidelines illustrating how, when and where disaster risk reduction can be integrated into this CCA/UNDAF process. These guidelines outline step-by-step procedures for incorporating disaster risk reduction into the process, including into the analytical work and problem tree analysis, and indicate who within the UN Country Team should play a key role in relevant areas. They also include annexes providing guidance on the incorporation of disaster risk reduction dimensions into the UNDAF results matrix, within sector-specific actions; guidance on the incorporation of disaster risk reduction concerns into the MDGs (**see Guidance Note 3**); a checklist for evaluating the incorporation of disaster risk reduction concerns into the CCA/UNDAF process; and good practice examples.

Source: UNDP and UN/ISDR (2006).

Figure 1 **Integration of disaster risk concerns into country programming**



Analytical work and retrospective assessment

Step 1. Undertake country and sector analytical work

Include analysis of disaster risk as a fundamental component in establishing a country's economic, social, environmental, institutional, legislative, political, civil and cultural context and major trends.

Stand-alone analysis of disaster risks does not have to be very lengthy (see Box 5) and, in the case of specialised development organisations, should be tailored to concentrate on their particular areas of focus. Indeed, given the multi-dimensional, cross-cutting nature of vulnerability and the potentially important implications of disaster risk for other development challenges, much can be gained by considering disaster risk within the context of other background analyses. However, many development organisations rely in part on secondary studies undertaken by others. Such documents should be assessed to determine whether they pay adequate attention to disaster risk and collectively provide an informed assessment. The following provides an indicative list of assessments that may be consulted or undertaken in developing a country strategy and how each of these, in turn, should ideally address disaster risk concerns where significant:

- *Poverty reduction strategies (PRSs)*. PRSs, the primary government tool in many low-income countries for articulating poverty reduction and growth strategies and thus a key starting point for determining development organisation country programming, should pay due regard to disaster-related issues, in both analysing forms of vulnerability underlying poverty and selecting poverty reduction actions. **See Guidance Note 3** for a detailed discussion.
- *Country environmental analysis (CEA)*. CEAs should include collation of basic natural hazard data and provide an overview on forms and levels of vulnerability. This, together with available disaster risk indices (see Box 2), should provide sufficient information to determine the potential importance of considering disaster risk in undertaking other forms of background analysis and preparing the country strategy. **See Guidance Note 7** for a fuller discussion.
- *Economic assessments.* Assessments should explore the nature and extent of economic vulnerability to disasters, in particular considering whether the macroeconomic framework is capable of sustaining major disaster shocks and ways of enhancing economic resilience. In high-risk countries, any economic forecasting exercises should be extended to consider major disaster scenarios. **See Guidance Notes 3, 8 and 14** for a more comprehensive discussion.
- *Public expenditure reviews*. See Box 6.
- *Social assessments.* **See Guidance Note 11**.

Box 5 Disaster risk profiling

A disaster risk profile should cover the following topics, providing at least a brief, factual summary under each heading and drawing on existing secondary studies, rather than primary research, to the extent possible to minimise costs:

- Type of hazards faced, magnitudes and probabilities of occurrence (**see Guidance Note 2**).
- Disaster risk indicator scores (see Box 2).
- Summary historical disaster losses, in terms of human and economic costs, and any trends over time.
- Risk scenarios, exploring probable losses and related socio-economic impacts of future events.
- Key vulnerable groups and regions.
- Government's broad approach to disaster risk management, including particular areas of emphasis and key activities.
- Government policies, commitments and practice with regard to social protection.
- Relevance of disaster risk to the country's broad development agenda.
- Relevant legislation, including that relating to land use and building codes.
- Institutional capacity to mitigate against, prepare for and respond to disasters.
- Financial capacity to meet recovery and reconstruction costs and use of risk sharing/transfer mechanisms, such as insurance.
- Civil society disaster-related concerns and activities.
- Development organisation-specific information on past and ongoing risk reduction activities, post-disaster assistance and impact of disasters on other projects.
- Disaster risk management activities of other development organisations.

Box 6 Disasters and public expenditure reviews

The World Bank's public expenditure reviews (PERs) are intended to inform decisions on public expenditure, exploring the rationale of past public spending decisions, including their implications for the poor, and providing recommendations to governments on the composition and, to some extent, size of future public expenditure. IFIs draw on PERs in preparing country strategies because they place donor lending within this broader context.

In disaster-prone countries, preparation of PERs should include analysis of the broad budgetary impacts of disasters and related financial responsibilities. Disasters can create significant budgetary pressures, reducing projected revenues and placing additional demands on remaining resources, with potential wider long-term implications for development as well as short-term resource constraints. Fiscal impacts of disasters can be particularly severe in low-income countries with existing problems of governance and poor fiscal and monetary management.[6] PERs should explicitly consider:

- How past post-disaster relief and reconstruction operations have been funded and ensuing consequences for broad expenditure and revenue targets, public borrowing and, since disasters typically result in widespread reallocation of resources, previously planned expenditure.
- Whether existing levels of public expenditure on risk reduction are appropriate relative to the levels of risk faced, economic and social returns to risk reduction and the reasonable responsibilities and obligations of government.
- Whether disaster risk financial management strategies are adequate and efficient. If post-disaster expenditure occurs on a regular, annual basis, predesignated calamity funds should be established. Greater use of financial risk transfer instruments may be required to help meet the cost of potential large-scale reconstruction programmes.

Sectoral studies. Various sectoral studies may be undertaken or consulted (for instance, on agriculture, transport, education, health or small and medium-sized enterprises). Again, these should include assessments of disaster risk, including analysis of the impact of past disasters, the vulnerability of physical and social infrastructure and disaster risk-related implications of ongoing reforms and structural changes. They should also outline required measures to reduce risk, including any adjustments to other planned objectives and activities – for instance, to ensure that higher mean agricultural productivity gains are not accompanied by greater inter-annual fluctuations in yields, reflecting an accompanied rise in vulnerability to climatic variability.[7]

Some development organisations also apply checklists to ensure that background studies have covered particular issues. These checklists should cover disaster-related concerns.

Following completion of Step 1, if a country is found to face significant disaster risk, the composition of the programming team and related internal advisory groups should be reviewed to ensure that they contain adequate disaster expertise. Remaining steps in country programming should also take disaster risk into account, as indicated below.

Step 2. Assess major development challenges

Consider the disaster risk context of a country in describing and analysing its current situation and medium- and long-term development outlook. The assessment should consider whether hazards and related vulnerability are themselves a major development challenge and whether they are a contributory factor underlying other major challenges (for instance, high incidence of poverty, macroeconomic or financial instability, weak governance, poor competitiveness or weak environmental management). The assessment should also examine the implications of disaster risk for achievement of the development organisation's own overarching priorities (e.g., poverty reduction and sustainable development).

Step 3. Assess major lessons learned from past development cooperation

Assess the impact of any past disaster events on portfolio performance, how these impacts might have been reduced, whether the level of attention paid to disaster risk in the existing country strategy was appropriate and

6 For a fuller discussion of these issues, see Benson, C. and Clay, E.J., *Understanding the Economic and Financial Impacts of Natural Disasters.* Disaster Risk Management Series No. 4. Washington, DC: World Bank, 2004. Available at: http://www-wds.worldbank.org/servlet/WDS_IBank_Servlet?pcont=details&eid=000012009_20040420135752

7 See UNDP and UN/ISDR (2006) for further discussion.

whether post-disaster opportunities to reduce future risk were fully exploited, within the room for manoeuvre permitted by the strategy. The assessment should also consider whether the sustainability of the organisation's development achievements are potentially threatened by future hazard events (for instance, through damage to infrastructure or the collapse of livelihoods). The assessment should draw on relevant experience from other development organisations and governments as well as its own.

Preparation of country strategy

Step 4. Determine country programme objectives and strategies

Consider disaster risk reduction as a potential key area of cooperation or cross-cutting theme based on analysis of priority development challenges and objectives, lessons from past cooperation, the comparative advantage of the development organisation (including technical expertise and the nature of in-country experience) and the government's own plans in relation to disaster risk reduction.

Given the large range of problems facing many developing countries, disaster risk reduction is unlikely to feature often as a priority area except in small economies recovering from recent catastrophic events (see Box 7) and under programmes of more specialised NGOs, such as those focusing on food and livelihoods security. For larger development organisations, even where disaster risk reduction does feature as an element in its country plan, the approach taken may be defined by other priorities and emphases (see Box 8). In other cases, disaster risk reduction may be an appropriate cross-cutting theme addressed in all sectors and projects to support the achievement of other key objectives such as sustained economic growth and improved lives and protection of vulnerable groups.

Box 7 **Post-disaster challenges and opportunities**

A new World Bank CAS was under preparation for Honduras when Hurricane Mitch struck in October 1998, forcing a substantial reformulation of the World Bank's assistance strategy. Poverty reduction remained the overwhelming challenge. However, it was determined that a much larger involvement in infrastructure was now required to support massive reconstruction efforts while also helping to lay the basis for a stronger economy and a more equitable distribution of the benefits from growth.

The resulting CAS, completed in 2000, acknowledged that Mitch had made the development agenda more complex. However, it had also induced some positive changes that the CAS needed to reflect, including greater awareness of the need for decentralisation, a new dynamic in relations between the government and civil society, a sharper focus on the transparency and governance agenda and greater recognition of the need to reduce the country's vulnerability in all its dimensions.

The CAS listed five critical factors for the sustainability of its achievements, in part reflecting good awareness of the importance of disaster risk reduction. These included environmental sustainability to protect the country's valuable natural resources and reduce the effects of natural hazards, and disaster preparedness through capacity building and protection measures.

Source: World Bank. *Memorandum of the President of the International Development Association and the International Finance Corporation to the Executive Directors on a Country Assistance Strategy of the World Bank Group for the Republic of Honduras.* Report No. 20072 HO. Washington, DC: World Bank, Central America Country Management Unit, Latin America and the Caribbean Region, 2000. Available at: http://www-wds.worldbank.org/external/default/main?pagePK=64193027&piPK=64187937&theSitePK=523679&menuPK=64187510&searchMenuPK=64187283&theSitePK=523679&entityID=000094946_00021805433066&searchMenuPK=64187283&theSitePK=523679

Box 8 Addressing disaster risk reduction through other priorities

The European Commission's regional strategy paper for the Caribbean includes support to disaster management among its non-focal (i.e., lower-priority) sectors. However, the selected approach centres on strengthening a comprehensive regional disaster strategy, in line with the focus of the Commission's support for the region which emphasises intensification of regional integration.

Source: European Commission. *European Community/Caribbean Regional Forum of ACP States Regional Strategy Paper and Regional Indicative Programme for the Period 2003–2007*. Brussels: European Commission, DG Development, 2003. Available at: http://europa.eu.int/comm/development/body/csp_rsp/print/r9_rsp_en.pdf

Step 5. Coordinate with other development organisations

Consider how other development organisations are addressing disaster risk. Based on such analysis, it may be decided not to prioritise disaster risk reduction even in high-risk countries. However, the development organisation should still ensure that its own portfolio and related objectives are adequately protected against disaster and that it does not exacerbate any form of vulnerability (Box 9).

Box 9 Rationalising response to disaster risk

In Bangladesh there are well-established emergency preparedness mechanisms. The United Kingdom's Department for International Development (DFID) has therefore chosen to focus more attention on longer-term development issues that impact on livelihoods including tuberculosis, malnutrition and under-five mortality, while still finding room for some disaster reduction work on the basis of explicit consideration of risks.

Source: NAO. *Department for International Development: Responding to Humanitarian Emergencies. Report by the Comptroller and Auditor General*. HC 1227 Session 2002–2003: 5. London: National Audit Office, 2003. Available at: http://www.nao.org.uk/publications/nao_reports/02-03/02031227.pdf

Step 6. Prepare operational programme

Include disaster risk reduction activities in line with country programme objectives and strategies in preparing the indicative list of assistance and programming resources. If the programme of assistance is tied to conditionalities and disaster risk reduction is a central objective, it may also be appropriate to identify disaster reduction-related conditionalities – for instance, relating to approval of disaster risk management legislation or policies – determining the level of assistance to be provided.

Step 7. Identify risks in implementation

As part of the broader assessment of risk, include an explicit discussion of disaster risk and its potential implications for both a country's overall development and the development organisation's own programme objectives and effectiveness (Box 10). The analysis should also consider how disaster risk could contribute to other forms of risk, such as institutional, environmental, financial, economic, institutional and political risk; and indicate measures to mitigate significant disaster risks.

Box 10 Recognising disaster risk: Country programming in the Dominican Republic

An IDB country programme evaluation for the Dominican Republic, covering the period from 1991 to 2003, concluded that past country strategy papers had included insufficient analysis of growing vulnerability to natural hazards, which has increased due to the swift degradation of natural resources, persistent poverty and rapid, haphazard urbanisation. The 2001–2003 CSP did support reform stressing a preventive and anticipatory approach to disaster risk and a participatory, decentralised and multi-sector concept of institutions, but the loan for a related disaster prevention programme was cancelled before disbursements began.

Building on these lessons learned and concerns about the fact that the Dominican Republic had yet to put in place the institutional and inter-territorial coordination mechanisms needed to prevent, mitigate and respond to natural hazards, the 2005–2008 CSP identified disasters as a risk to IDB's programme, potentially jeopardising achievement of the strategy's objectives. The proposed operations programme included a sector facility for disaster prevention and risk mitigation to develop and strengthen related institutional capacities. However, the CSP also stated that: "While the operations program addresses this issue as a development challenge and calls for specific actions, the fact remains that large-scale disasters could have the effect of shifting the operations program and the portfolio towards emergency relief operations. While the operations program does propose actions to reduce vulnerability to disasters, the Bank's ability to mitigate this risk is limited" (pp 29–30).

Sources: IDB. *Country program evaluation: Dominican Republic, 1991–2003*. Washington, DC: Inter-American Development Bank, Office of Evaluation and Oversight, 2005; IDB. *Dominican Republic: IDB Strategy with the Dominican Republic*. Washington, DC: Inter-American Development Bank, 2005. Available at: http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=566406

Step 8. Develop results and indicators framework

If disaster risk reduction is a key objective, include relevant targets and indicators in the results or indicators framework for monitoring implementation and assessing impact. (**See also Guidance Note 6**.)

Ideally, outcome indicators should be quantitative (with related baseline data from which to measure progress), precise, readily and affordably attainable, relevant and sufficient to assess performance. Indicators based on reduced vulnerability (i.e., reduced probable losses) rather than reduced actual losses should be used to measure achievement of overall programme and longer-term strategic outcomes as a disaster may not occur over the life of the programme. Efforts are under way to develop potentially relevant quantitative indicators at both national and sub-national levels (see Box 2), although those based in part on actual losses should be handled carefully. It should also be determined if preferred indicators will be updated sufficiently frequently to be useful for monitoring and evaluation purposes. Potential opportunities for measuring disaster risk reduction through other outcome indicators should also be explored: for instance, via a decline in the correlation between fluctuations in the percentage of the population with income below US$ 1 per day and the incidence of hazard events; or the correlation between the prevalence of underweight children and the incidence of hazard events. (**See Guidance Note 13** and UNDP and UN/ISDR (2006) for further information.) It may be important to distinguish between geographic and/or thematic areas of higher and lower risk in selecting indicators.

Progress in implementation of disaster risk reduction activities can be measured using more specific output indicators as relevant (e.g., disaster management legislation enacted; small-scale disaster risk reduction investments piloted; disaster social safety nets fully integrated into the poverty reduction strategy; or public awareness of disaster risks strengthened).

Monitoring and evaluation

Step 9. Monitoring and evaluation

Exploit the opportunity provided by ongoing evaluations of performance to determine whether country strategies need to be adjusted following a disaster; and assess their disaster risk achievements and shortcomings as part of the final, end-of-programme evaluation.

The final evaluation should consider: whether the original analysis of disaster risk was sufficient; whether disaster risk was addressed appropriately and cost-efficiently within the confines of the programme; how any disasters occurring over the course of the programme affected its outcome and effectiveness; and whether the sustainability of the programme's outcomes are potentially threatened by future disaster events. These issues should be explored in evaluating country programmes in all disaster-prone countries, whether or not they explicitly addressed disaster risk.

Repeated step: Ongoing consultation with stakeholders

Include people who have sufficient knowledge and expertise to raise any critical hazard-related issues, such as essential measures required to address particular aspects of risk and vulnerability; inadequacies in existing disaster response systems and mechanisms, including social protection instruments; how disasters and related risks may contribute to other development challenges; and how hazard events could potentially hinder the achievement of long-term goals and objectives. Such knowledge and expertise may be found in relevant line ministries (e.g., social welfare, agriculture, transport, health) and specialist disaster-related agencies in national and local government, civil society organizations, the private sector and academic and research institutions. The stakeholder consultation process should take particular care to ensure that known highly vulnerable groups are represented and that their concerns and needs relating to disaster risk reduction are explicitly discussed.

External consultation may be repeated several times at different stages in the preparation of a country strategy.

3. Critical factors for success

- *Appropriate internal policies and strategies*. Overarching development organisation policies and strategies supply the framework within which country programmes are formulated. These policies and strategies need to pay due attention to disaster risk reduction, regarding it as a development issue rather than the responsibility of humanitarian departments.
- *Government prioritisation of disaster risk reduction.* As development organisation country programmes are increasingly aligned with national development and poverty reduction strategies and set out how they intend to contribute to the achievement of national goals, it is essential that governments themselves prioritise risk reduction as a critical development challenge in high-risk countries. This is particularly important where, as is the case for a number of development organisations, country programmes are negotiated with national governments. Development organisations need to explore incentives for encouraging greater government attention to disaster risk reduction. They should also undertake related advocacy work to promote its merits and underline the fact that post-disaster external assistance is often not additional to, but instead erodes away, development funding.
- *Establishment of internationally recognised targets for disaster reduction.* Related to the above, there is a growing tendency towards greater coherence of key development targets, such as the Millennium Development Goals, providing a common focus for both donors and governments. Establishment of similar targets for disaster reduction or explicit incorporation of disaster risk reduction concerns within the MDGs would play an important role in securing greater consideration of disaster risks (**see Guidance Note 3**).
- *Transparent, inclusive and accountable consultation.* The consultative process must give a voice to poor and marginalised groups, who are often among the most vulnerable to natural hazards, and ensure that their interests are adequately addressed and their rights protected.
- *Individual motivation*. Geographical desk officers or task team leaders in charge of the development of individual country strategies must be sensitised to the potential importance of disaster risk.
- *Technical support*. Development organisations need to provide appropriate internal technical support to assist integration of disaster risk concerns into country programming.
- *Cost minimisation*. Disaster risk concerns should be integrated into country programming at minimum cost. Pooling of information and analysis and accurate initial assessments of the importance and relevance of disaster risk would help achieve this. Development organisations should seek to coordinate with others, particularly where their respective country programmes follow the same cycles (e.g., follow PRS or electoral cycles).

Box 11 Hazard and disaster terminology

It is widely acknowledged within the disaster community that hazard and disaster terminology are used inconsistently across the sector, reflecting the involvement of practitioners and researchers from a wide range of disciplines. Key terms are used as follows for the purpose of this guidance note series:

A *natural hazard* is a geophysical, atmospheric or hydrological event (e.g., earthquake, landslide, tsunami, windstorm, wave or surge, flood or drought) that has the potential to cause harm or loss.

Vulnerability is the potential to suffer harm or loss, related to the capacity to anticipate a hazard, cope with it, resist it and recover from its impact. Both vulnerability and its antithesis, *resilience*, are determined by physical, environmental, social, economic, political, cultural and institutional factors.

A *disaster* is the occurrence of an extreme hazard event that impacts on vulnerable communities causing substantial damage, disruption and possible casualties, and leaving the affected communities unable to function normally without outside assistance.

Disaster risk is a function of the characteristics and frequency of hazards experienced in a specified location, the nature of the elements at risk and their inherent degree of vulnerability or resilience.[8]

Mitigation is any structural (physical) or non-structural (e.g., land use planning, public education) measure undertaken to minimise the adverse impact of potential natural hazard events.

Preparedness is activities and measures taken before hazard events occur to forecast and warn against them, evacuate people and property when they threaten and ensure effective response (e.g., stockpiling food supplies).

Relief, rehabilitation and *reconstruction* are any measures undertaken in the aftermath of a disaster to, respectively, save lives and address immediate humanitarian needs, restore normal activities and restore physical infrastructure and services.

Climate change is a statistically significant change in measurements of either the mean state or variability of the climate for a place or region over an extended period of time, either directly or indirectly due to the impact of human activity on the composition of the global atmosphere or due to natural variability.

Further reading

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World Bank. *Hazards of Nature, Risks to Development: An IEG Evaluation of World Bank: Assistance for Natural Disasters.* Washington, DC: World Bank, Independent Evaluation Group, 2006. Available at: http://www.worldbank.org/ieg/naturaldisasters/report.html

8 The term ‘disaster risk’ is used in place of the more accurate term ‘hazard risk’ in this series of guidance notes because ‘disaster risk’ is the term favoured by the disaster reduction community.

This guidance note was written by Charlotte Benson. The author would like to thank Paola Albrito (UN/ISDR), Caroline Clarke (IDB), members of the project Advisory Group and the ProVention Consortium Secretariat for their invaluable advice and comments. Financial support from the Canadian International Development Agency (CIDA), the United Kingdom's Department for International Development (DFID), the Royal Ministry of Foreign Affairs, Norway and the Swedish International Development Cooperation Agency (Sida) is gratefully acknowledged. The opinions expressed are those of the author and do not necessarily represent the views of the reviewers or funding bodies.

Tools for Mainstreaming Disaster Risk Reduction is a series of 14 guidance notes produced by the ProVention Consortium for use by development organisations in adapting project appraisal and evaluation tools to mainstream disaster risk reduction into their development work in hazard-prone countries. The series covers the following subjects: (1) Introduction; (2) Collecting and using information on natural hazards; (3) Poverty reduction strategies; (4) Country programming; (5) Project cycle management; (6) Logical and results-based frameworks; (7) Environmental assessment; (8) Economic analysis; (9) Vulnerability and capacity analysis; (10) Sustainable livelihoods approaches; (11) Social impact assessment; (12) Construction design, building standards and site selection; (13) Evaluating disaster risk reduction initiatives; and (14) Budget support. The full series, together with a background scoping study by Charlotte Benson and John Twigg on *Measuring Mitigation: Methodologies for assessing natural hazard risks and the net benefits of mitigation*, is available at http://www.proventionconsortium.org/mainstreaming_tools

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