



**German
Red
Cross**



Federal Foreign Office

Report of 2nd workshop

**Dialogue Platform of the
Federal Foreign Office Action Plan for
Humanitarian Adaptation to Climate Change**

December 15th – 16th, 2015

Geneva, Switzerland



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1. Workshop Agenda

The two facilitators of the second workshop:

- **Thorsten Klose**, Head of Resilience Unit at German Red Cross
- **Alexandra RÜth**, Coordination Climate Change Adaptation at German Red Cross

Tuesday, 15 December 2015	
9:00-9:15 Plenary	Welcome by the Facilitators – Thorsten Klose und Alexandra RÜth Agenda and rules for working together
9:15-9:45	Game to get to know each other & Summary of the Kick-off workshop (Alexandra RÜth and Thorsten Klose) –
9:45-10:15 Plenary	What happened since July? – GRC, RCCC, IFRC
10:15-11:30	Market Place (Projects and Concepts – Pilot Projects and Governmental authorities) with short presentations – 15 min presentation, 10 min discussion, then participants change the stations
11:30-12:10	Peru – El Niño: Experiences and challenges in the field (Mathieu Destrooper and team)
12:10-12:30	Sharing experience: Togo, Uganda and Mozambique (5 min. each) Development of thresholds - Peru (Liz Stephens) Discussion Presentation Bangladesh – WFP and government
12:30-13:30	Lunch break
13:30-13:45	Insights from ‘Food Secure’ – Baas Brimer
13:45-14:00	The Interagency Standing Committee’s Task Team on Preparedness and Resilience: the Emergency Response Preparedness (ERP) approach – Anthony Craig, IASC
14:00-15:45	Focused discussions in teams:
Break-out Sessions	Team 1: PROBABILITY How do we estimate the risk of acting in vain, and weigh against the risk of failing to act? Team 2: ACTIONS

	<p>What new and innovative actions can we trigger to make the difference with FBF? And what should be minimum standards for SOPs?</p> <p>Team 3: SOP DEVELOPMENT What is the process to develop SOPs, and who should be at the table?</p> <p>Team 4: SOP CRITERIA What information do we need about impacts and forecasts to select appropriate thresholds?</p> <p>Team 5: FORECASTS What information do we need about effects and forecasts to select appropriate thresholds?</p> <p>Team 6: GOVERNMENTS How can FBF be integrated with existing governmental procedures?</p> <p>Team 7: LEAD TIMES What do we need to consider when using forecasts of different lead times for SOPs?</p>
15:45-16:00	Coffee break
16:00-16:10	Energizer
16:10-17:45 Plenary	Presentation of teams 1 to 7 (10 min per group)
17:45-18:00 Plenary	Short Feedback round in the plenary and self-evaluation day 1 (Flipchart)
18:00	Evening Reception

Wednesday, 16 December 2015

9:00-9:15 Plenary	Wrap up Day 1 – highlights (Alexandra RÜth and Pablo Suarez) & small game
9:15-10:00 Plenary	Presentation Climate Risk Analysis - Bangladesh/Mozambique/Peru
10:00-10:15	Coffee Break
10:15 – 10:45	Science slam (FBF) – various interventions (10 minutes each) on thresholds, forecasts, scientific work etc.
10:45-12:30	Working Groups

Break-out Sessions	WG 1: Key steps for SOP development WG 2: Thresholds WG 3: Policy WG 4: Financing mechanism
12:30-13:30	Lunch break
13:30-13:50 Plenary	5-Minutes-Game
13:50-16:30 Break-out sessions	Thematic discussions (Participants choose one of the three topics to focus on in groups) Theme 1: Policy Input <ul style="list-style-type: none"> ▪ Outcome from first Dialogue Platform ▪ Reflection on: Outcome of COP 21, Green Climate Fund Theme 2: Communicating FBF <ul style="list-style-type: none"> ▪ Presentation of policy paper ▪ Q&A Theme 3: Self-organized space for working groups <ul style="list-style-type: none"> ▪ WG 1: Key steps on SOP development ▪ WG 2: Thresholds ▪ WG 4: Financing mechanism
15:30	Included Coffee break
16:30-17:45 Plenary	Reporting by the Working Groups (15 minutes each)
17:45-18:00 Plenary	Closing
18:00	Final evaluation by participants

2. Introduction

We thank all different participants and institutions

- **all partners of the Federal Foreign Office Plan**
 - **The National Red Cross Societies of our pilot countries:** Cruz Roja Peruviana (CRP), Cruz Roja Vermelha (CVM) and the Bangladeshi Red Crescent Society (BDRCS)
 - **The Red Cross/Red Crescent Climate Centre**
 - **World Food Programme with Delegations from their Pilot Countries Bangladesh, Philippines, Nepal and Haiti/Dominican Republic**
 - **UNOCHA**
 - **Welthungerhilfe (Headquarter and field)**
 - **The Nansen Initiative**
 - **partners of the national disaster management platforms**
 - **scientists from different institutions worldwide**
 - **project staff of different pilot countries – be it GRC or WFP**
 - **facilitators and co-facilitators of different working groups**

Different institutions/organisations participating in 2nd workshop:

- Adelphi
- American Red Cross (ARC)
- Red Cross Red Crescent Climate Centre (RCCC)
- European Centre for Medium Range Weather Forecasts (ECMWF)
- Food and Agriculture Organization of the United Nations (FAO)
- Inter-Agency Standing Committee (IASC)
- German Federal Foreign Office (AA)
- Freie Universität Berlin (FU)
- German Meteorological Organisation
- German Red Cross (GRC)
- International Federation of Red Cross and Red Crescent Societies (IFRC)
- IIASA
- INAM -Met Service
- Institute for Technology and Resource Management in the Tropics and Subtropics, University Cologne
- International Research Institute for Climate and Society (IRI) Columbia University
- Climate Service Partnership
- JRC
- IRC Italy
- Ministry of Foreign Affairs of the Netherlands
- Mozambique Red Cross Society (MRCS)
- Oxford University
- Peruvian Red Cross (PRC)
- PREDES – Centro de Estudios y prevención de desastres
- START network
- Tanzania Red Cross Society (TRCS)

- Uganda Red Cross Society (URCS)
- UN French Mission
- UN New York
- UNICEF
- University College London
- University of Reading
- United Nations Office for the Coordination of Humanitarian Affairs (UN-OCHA)
- Welthungerhilfe (WHH)
- WFP
- World Bank

3. Objective of dialogue platform and 2nd workshop

General objective of the Dialogue Platform (4 workshops, 2015-2016):

Development of a forecast-based financing mechanism in a multi-disciplinary and participatory way, factoring in the experience gained from pilot projects. Sharing of lessons learned and dissemination to relevant humanitarian actors and donors.

Objective of the second workshop:

- Update all new participants on forecast-based financing (FBF), including the results of the first kick-off Dialogue Platform
- Share the results from the Pilot Projects (Peru, Mozambique, Bangladesh, Uganda and Togo) regarding identification of actions, development of Standard Operating Procedures (SOPs) and identification of thresholds
- Present the concepts developed by WFP within their pilot projects and allow for exchange of lessons learned
- Develop jointly some general ideas for the methodology on actions/SOPs/thresholds/policy
- Present the first results from climate risk analyses

Main expected outcomes:

- 5-8 key steps for the development of SOPs including criteria (ACTIONS/SOPs)
- Innovative ideas for SOPs/actions
- Common understanding of the challenges faced with the identification of thresholds and proposed approaches for a standard methodology (THRESHOLDS)
- Common understanding of the main challenges with funding forecast-based actions, of the nature of the information needed by donors, and of the possible designs of such a funding mechanism (FINANCE)

Cross-cutting:

- Proposed approaches to promote FBF with donor, governments and other humanitarian actors (POLICY)



4. General presentation of concept

The Red Cross and Red Crescent and its partners have developed a forecast-based financing system, **an innovative mechanism whereby early preparedness action is funded after a forecast is released and before a disaster hits.**

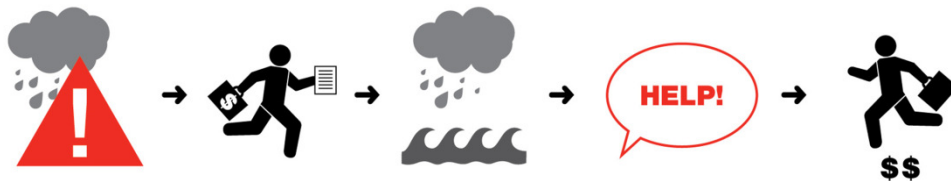
The Federal Foreign Office is a pioneer in this regard, being one of the first donors to support this innovative approach – the idea behind it is to develop an anticipatory humanitarian system with a new mechanism releasing funding before a disaster strikes, to use scarce resources in a more cost-efficient way.

The approach is piloted in over 15 countries (FFO-Action Plan – 3 GRC and 5 WFP), plus Uganda and Togo (GRC), Ethiopia, FoodSecure Countries (WFP).

The Federal Foreign Office Action Plan has the objective to implement the concept in pilot projects in high-risk countries, to develop a joint methodology (dialogue platform) and to develop a funding mechanism guideline.

FBF in general

Humanitarian finance is often available when a disaster strikes and suffering is almost guaranteed. But climate-related risks are rising worldwide, and just waiting for disasters to happen is not an option.



The opportunity is that many humanitarian actions could be implemented in the window between a forecast and a disaster. Many climate-related hazards can be forecast; humanitarians get information about when and where extreme-weather events like storms, floods and droughts are expected.



5. Summary 1st workshop in July

Three main working groups:

1. Linking humanitarian actors with science
2. Strategies – permanent implementation of the concept in the humanitarian system and governments (policy)

3. Forecast-based financing in practice

Top priorities after 1st workshop:

- Peer-Review-Mechanism, with the objective “to create a pool of experts to provide voluntarily critical feedback and suggestions at specific points during the pilot projects through a peer-review mechanism”
- FBF Manual (should be reviewed on a constant basis until the last DP)
- Shared platform online – samepage (only for a smaller group)
- IFRC working space now

6. What happened since July

- **FBF in practice:**
 - peer-review mechanism is existing
 - exchange platform (samepage – now IFRC working space)
 - email groups
- **Science:**
 - Some scientists were working in pilot countries (Peru – El Niño)
- **Policy:** Public relations and advocacy work
 - WHS – Forecast based financing is part of the synthesis report
 - Addis Ababa Conference on Understanding Risk & Finance (November 2015)
 - European Development Days (Panel Discussion on FBF)
 - Humanitarian Congress (GRC, MSF): Side event
 - Side event – COP 21 (11th of December)
 - UN Secretary-General’s Initiative Climate Resilience Initiative – Anticipate, Absorb, Reshape (A2R)
 - Press Releases/Webstories:
 - Uganda thresholds: ‘Humanitarian history’ made as Uganda Red Cross launches forecast-based financing for real
 - Joint Press Release WFP/IFRC and GRC for the COP 21: Releasing Disaster Funds Before Crises Would Transform Humanitarian Response
 - GRC Press Release for the COP21: DRK entwickelt innovatives System zur Anpassung an den Klimawandel

Additional:

- Host donor conference – simple version with some Nordic countries for 1 quarter next year in the Federal Foreign Office in Germany (prepared by GRC)
- Development of FBF – Messages – Currently RCCC/GRC movie project – Mozambique movie – policy paper

7. Market Place

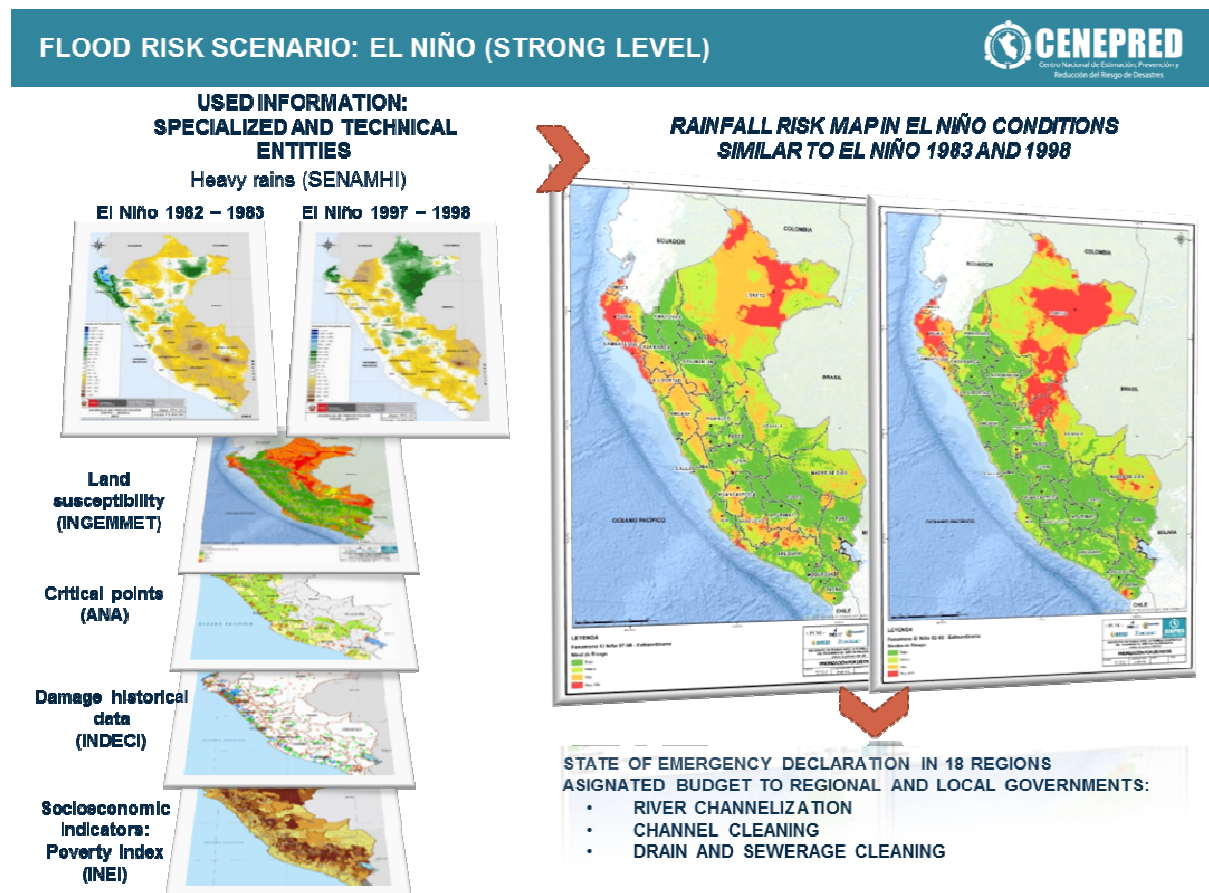


8. Presentations

8.1. Peru – El Niño

Experiences and challenges during El Niño SOP development:

- Peru as a disaster prone country
- FBF Project (Floods, coldwaves, ... el Niño)
- El Niño challenge
- El Niño SOP development



6 key questions:

- What are the variables for the 'SOP matrix'?
- What do we forecast?
- What to use the forecast for?
- What actions fit into a preparedness phase and what is forecast based?
- How to 'name' and 'structure' your SOPs?

Preparing for FBF		Lead time		
	Volunteer training, VCA and risk mapping	Seasonal forecast	Sub seasonal forecast	Medium range forecast
Probability – Magnitude - Impact	Low	SOP 1 Training CBDPU and community awareness raising SOP 2 Community based Early warning		
	Medium	SOP 3 First Aid Safe 4 drinking water and hygiene SOP 5 Clean community and sanitation SOP 6 protection of vulnerable houses		Indicates where to distribute or action
	High	SOP 7 construction of temporal shelter		Indicates where to distribute or take action

8.2. Experiences from the field

a. Mozambique

REALIZED KEY ACTIVITIES:

1) Awareness raising about climate change impacts

- Project Steering Committee
- Climate Games
- Risk Analysis Seminar
- Consultancy: Methodology local climate risk analysis



2) Improvement of access to hydro meteorological forecast

- Forecast scoping
- Data collection and analysis
- Flood threshold identification



RED CROSS/RED CRESCENT
CLIMATE CENTRE

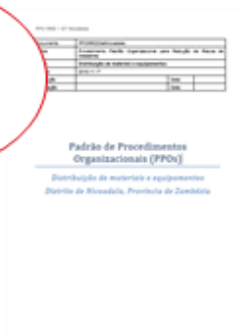
International Federation
of Red Cross and Red Crescent Societies
The Netherlands + Red Cross

Deutsches Rotes Kreuz +

3) Development of SOPs

- Identification of Preparedness Activities
- Training on SOP development
- First working documents

Assess existing
resources,
prepare shelter,
distribute
emergency kits



4) Capacity building for DRR and improvement of information flow

- Capacity building workshops
- Revitalization of Technical Councils for Disaster Management
- Simulation (simulação de gabinete) – exercising the information flow for early warning




RED CROSS/RED CRESCENT
CLIMATE CENTRE

International Federation
of Red Cross and Red Crescent Societies
The Netherlands + Red Cross


Deutsches Rotes Kreuz +

b. Bangladesh (WFP)

**Forecast-Based Emergency Preparedness Project
Bangladesh** 

Key activities

- Identify areas of improvement in preparedness – EWS & Standing Orders on Disaster (SOD) linked to extreme weather forecasts (floods, cyclones)
- Complete and analysis of emergency Supply Chain response for large scale emergencies and identify areas of improvement
- Identify thresholds and resources to trigger actions (SOPs?)
- Improve supply chain response to natural disasters
- Deliver trainings and simulations for enhancing staff skills to better response to disasters
- Activities will concentrate on building the capacity of the central level (MoDMR, DDM) and some Districts prone to disasters.

**Forecast-Based Emergency Preparedness Project
Bangladesh** 

Way forward & Timeline

2015 2016 2017

→

2015-Mars 2016

- Identify priorities scenarios with the Government stakeholders
- Deliver climate risk simulations for identifying areas of improvement

2016

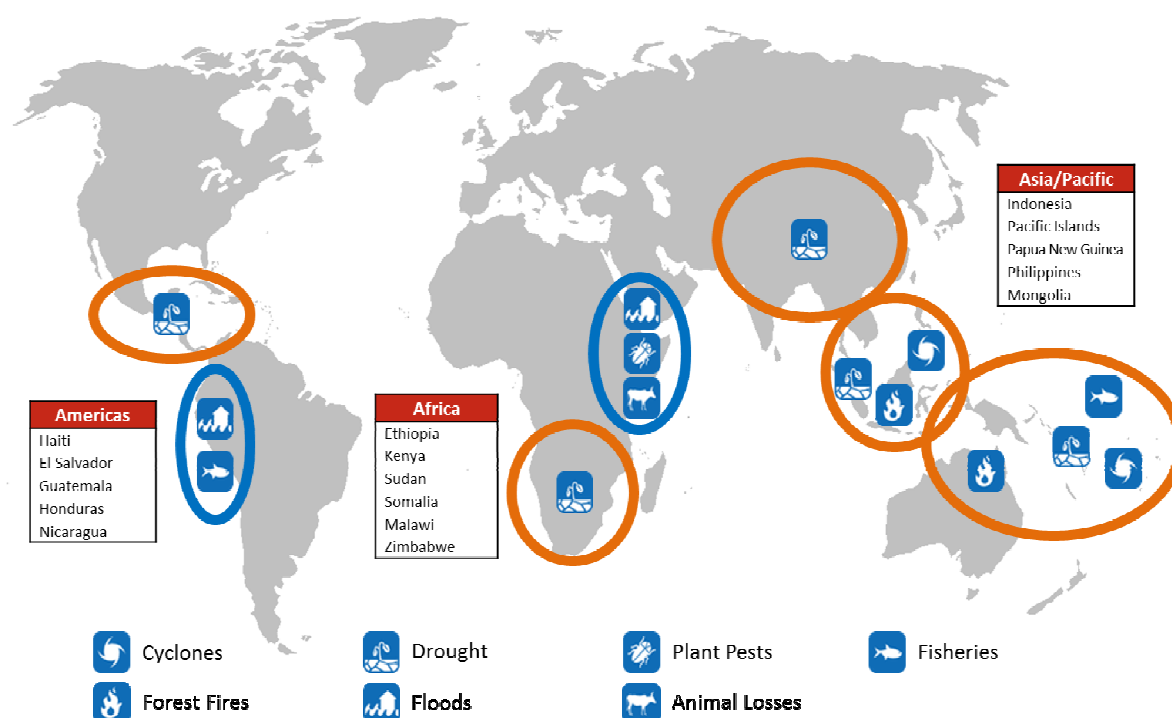
- Conduct a study on EWS and SODs systems and identify thresholds for action
- Improving SODs/SOPs for Climate risks forecasts
- Improving supply chain response to disasters

2017

- Finalizing implementation of activities

8.3. FAO Early Warning Early Action

FAO HIGH-PRIORITY COUNTRIES



SELECTED EL NIÑO EARLY ACTIONS

■ Somalia:

- strengthen riverbanks
- build flood barriers
- pre-position grain and seed protection bags
- support livestock health



■ Ethiopia:

- crop support
- animal vaccination
- fodder production,
- Destocking and emergency feed
- Coordination support

STRATEGIC OBJECTIVE 5

INCREASE THE RESILIENCE
OF LIVELIHOODS
TO THREATS AND CRISES

FAO EARLY ACTION AND RESPONSE AT COUNTRY LEVEL

■ Papua New Guinea:

- Coordination
- dissemination of drought messages to affected farmers
- provision of drought-tolerant crops
- drought monitoring



■ Mongolia:

- Commercial destocking

STRATEGIC OBJECTIVE 5



INCREASE THE RESILIENCE
OF LIVELIHOODS
TO THREATS AND CRISES

8.4. FoodSECuRE (WFP)

Update on the Food Security Climate Resilience Facility FoodSECuRE

Official launch of FoodSECuRE by the Executive Director on 2 December 2015 in Paris at the COP21

Phase-one pilot countries: Guatemala, Niger, Philippines, Sudan, Zimbabwe

Field testing FoodSECuRE window I (FoodSECuRE “light”) in **Zimbabwe and Guatemala (USD 100,000)** in view of the **2015/16 El Nino**

Development of frameworks: Setting up tailored climate forecast and trigger mechanisms with the International Research Institute for Climate and Society (IRI)


Cost Benefit Analysis: desk study delivered preliminary results; detailed country level CBA ongoing

FoodSECuRE will trigger:

- I. **Anticipatory action based on climate forecasts**
Use seasonal climate forecasts to trigger funding and action for community-level resilience building before climatic shocks occur
- II. **Early response**
Build on and be integrated into existing WFP corporate mechanisms (IRA) or sovereign mechanism (ARC), bolstering early response capacities during emergencies
- III. **Post-disaster resilience building**
Provide predictable multi-year funding for resilience interventions following a climate shock.

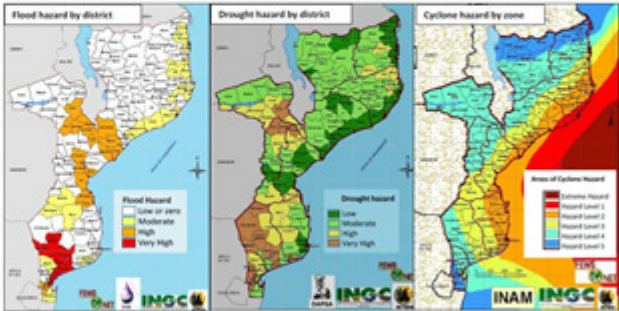
8.5. Climate Risk Analyses

a. Mozambique









 **Climate risk in Mozambique**


Risk mapping and assessment → main institutions: CENOE, DARIDAS, DPM

- At national level:
 - FEWS-Net
 - UNDP: "Disaster Risk Assessment in Mozambique - A Comprehensive Country Situation Analysis" (2010)
 - GDFRR, World Bank
 - Among others





Hazard maps for Mozambique (flood, drought, cyclone). Source: INGC









       

 **Climate risk in Mozambique**

- At community level:
 - Facilitator's Manual (developed by GIZ in cooperation with INGC)
 - UNDP
- Methodology:
 - Hazard mapping with the communities with support from CL-GRC
 - Vulnerability assessment: identification of vulnerable elements (people, houses, schools, etc.)





b. Peru



INVOLVED ACTORS

- Institutions which (1) register, process and analyze climate data, (2) emit predictions and (3) develop climate scenarios (suppliers).
- Institutions which use climate data and link them with vulnerability doing Climate Risk Analysis and climate risk scenarios (users).
- Institutions which use the predicted climate data for the implementation of preparedness and disaster risk reductions activities (users).



Working as a System

Strengthening capacities: Strengthen joint actions between climate services and operative sectors.

Coordinating working plans between institutions: Create synergies and efficient use of financial resources.

Inter-institutional agreements: Systematize experiences and apply lessons learnt.

Pilot development of sub-national risk scenarios (opportunity for FbF).



c. Bangladesh

Bangladesh Climate Risk Assessment Workshop

- 27-28 November 2015, Dhaka
- Co-hosted by BDRCS, WFP and GRC
- 30+ participants from government, UN, RC/RC, NGO and academia

Process:

- Climate change and risk overview
- Working groups on floods and cyclones: future risks and potential mitigation actions
- Complemented by district workshops, Bogra / Noakhali

CRA Outputs and Finding

Output

- Bangladesh Climate Risk Analysis Report *TBF

Key Themes

- Floods and cyclones priority for resilience and preparedness
- Erosion and sea level rise need longer term resilience
- Major investment in infrastructure needed, e.g. embankments and cyclone shelters
- Improved emergency response needs stronger coordination, vertically and horizontally

9. Science Slam



10. Climate Game



11. Results of group sessions

11.1. Standard Operating Procedures (SOP's)

a. Summary of session on SOP development and SOP criteria (Team 3 & 4)

Title:	SOP development: What is the process to develop SOPs, and who should be at the table?
Objective	To define key elements which have to be addressed in an FBF manual and how research on these questions could be organized?
Possible guiding questions:	<ul style="list-style-type: none"> • Brainstorming of necessary steps for SOP development? • How the threshold development has to be coordinated with the SOP development? • What kind of preparation assessment has to be done for the identification of relevant actions? • Defining crucial steps for the SOP development. • Discuss the role of national disaster management authorities! • Who should be at the table when developing SOPs? <p>Result of this working group is important for the threshold and SOP working group!</p>
Title:	SOP criteria: What are the minimum criteria for SOPs?/M&E/Quality standards
Objective	To define key elements which have to be addressed in an FBF manual and how research on these questions could be organized?
Possible guiding questions:	<ul style="list-style-type: none"> • Brainstorming on how the quality of developed SOPs can be ensured? • Is it possible to develop a set of standard criteria for SOP development? • Which kind of data should an assessment before the SOP development collect and analyze? • Which kind of region/are can be covered by one general SOP? • Dilemma between general and specific? • Can we develop standard indicators for SOP development? Should we? • Quality or minimum criteria should be linked with M&E? • Can we ensure good quality with short lead time? <p>Result of this working group is important for the threshold and SOP working group!</p>

Facilitation: Mathieu Destrooper, Montserrat Barroso

Process

Short brainstorming on definition of SOPs for common understanding (clarification):

- Discussion of terminology/Differentiation:
 - What are SOPs? Are Thresholds separate or included?
- Different approaches:
 - Actions triggered by events vs. thresholds (linked to timeline, resources and responsibilities)
 - On risk scenarios: Is it a chronic situation that comes every year or something “unexpected”
 - Forecast levels differ
- Emergency response coordination
- Linked to timeline and resources
- SOP as a guidance to link forecast and depending actions □ but specifies when and who (responsibilities)
- M/E vs. testing SOPs
- Early Action Protocols (can be Preparedness, Prevention, etc.)
- Linked to the response (timeframe of action)
- Preparedness for response protocols (linked to finance and communication □ trigger)
- Contingency planning (also Preparedness for Response)
- Predefined actions triggered by X
- Scientifically based and objective
- Decision-making process prior

It was agreed that for this workshop we would see SOPs as “preparedness and early action protocols based on forecasts”.

Brainstorming subgroups on process (key steps) and criteria

Objective of SOP quality criteria: Measurability/Quality assurance

Input for sessions on 2nd day

Subgroup Key Steps in SOP development:

Everyone writes down key steps, then cluster and prioritize

First step: Coordinate, desk studies, institutional analysis, data gathering

Main points of discussion

- Forecast threshold: Linked to risk scenarios or impact assessment?
- Actor Mapping

Critical points

- Dynamic processes in forecasting
- Prognosis of impact (hazard mapping)
- Implementation of SOPs: Scale? Beneficiary selection targeting?
- Integration of SOP development in governmental programmes/structures
- Level of targeting
- Ownership and sustainability of process

Main outcomes of the working group

A step by step approach for developing thresholds

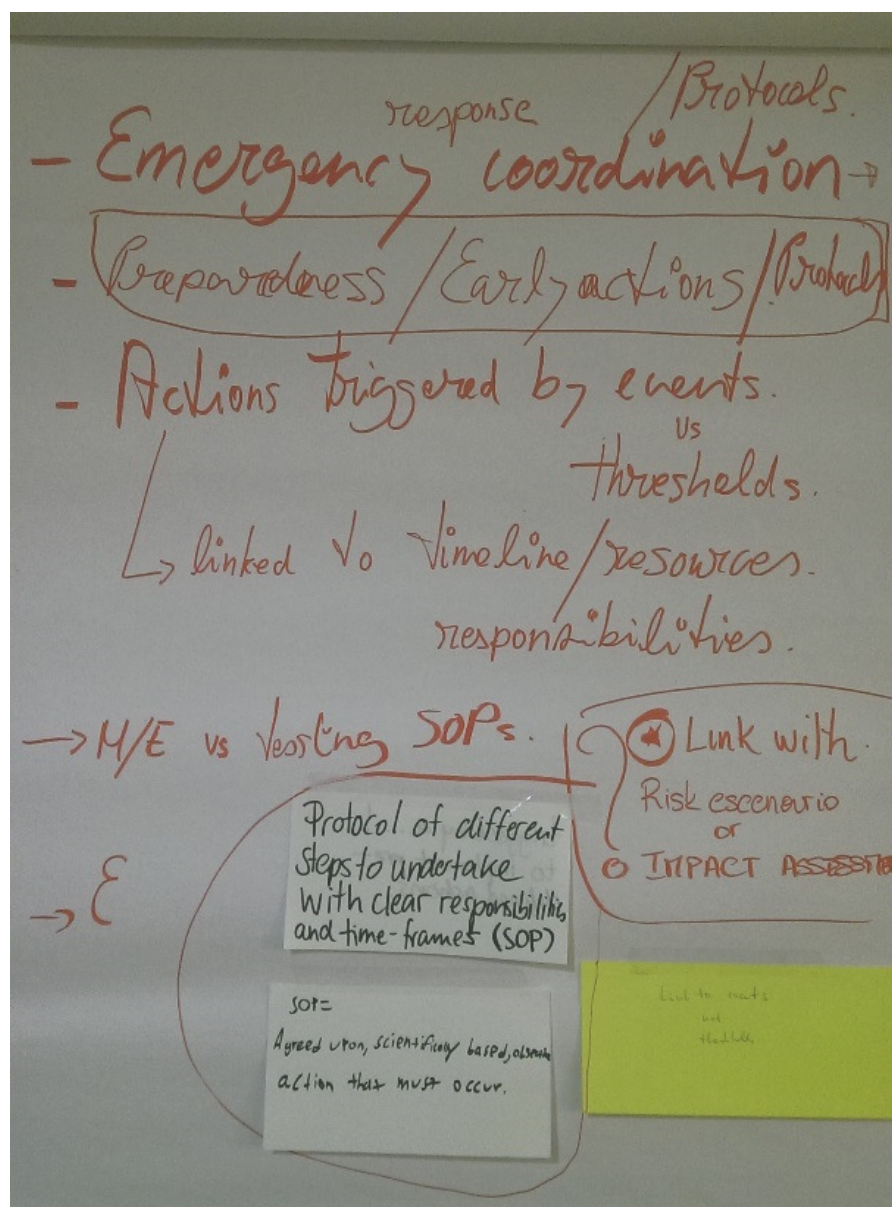
1. Coordination
2. Data gathering and institutional mapping
3. Identify intervention area: Risk mapping / risk knowledge
4. Define the 'critical levels', thresholds
5. Define possible forecasts that can be used for SOPs
6. Formulate the protocol for action
7. Target the location and population
8. Determine the actions
9. Draft a monitoring and testing strategy as part of the SOP

Point where a follow-up is needed?

Further development of identified points in working groups on day 2

Recommendations for future events

The time of this working group was sufficient to achieve results (in comparison with day 2). This thematic should now be further discussed in a small task force that can come up with a first draft proposal.

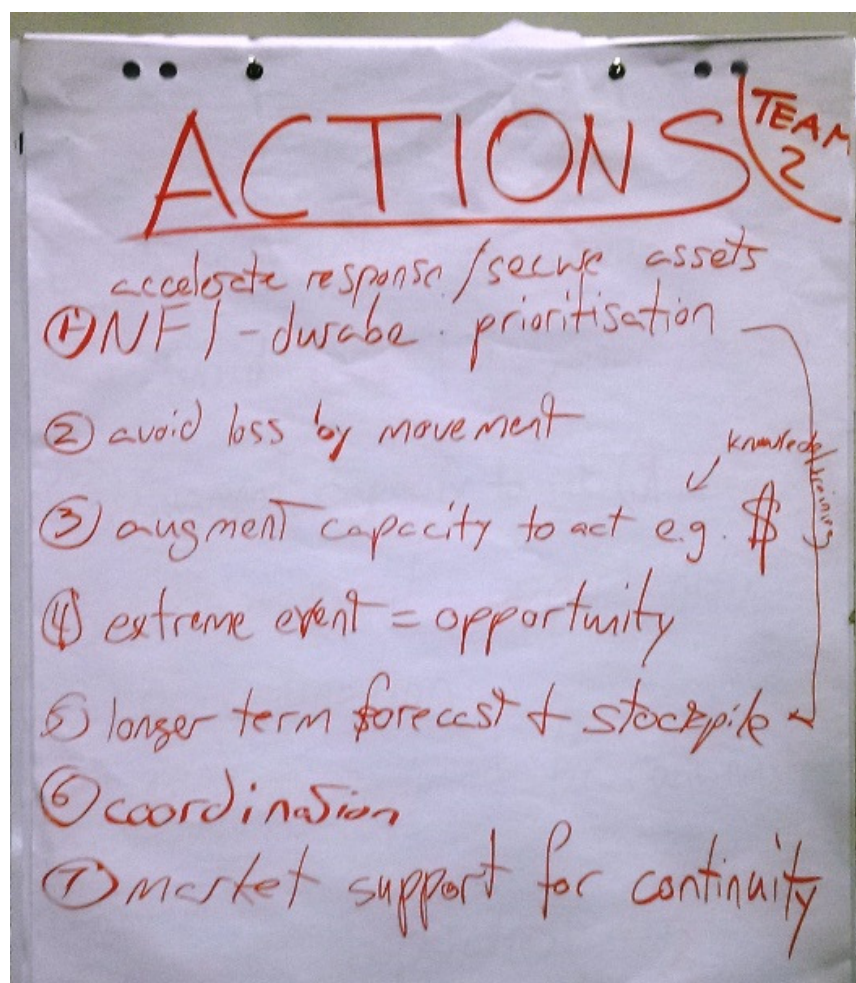


One sub-group tackled the issue of minimum standards for SOPs/actions and how testing of developed SOPs could look like:



b. Summary of session on actions (Team 2)

Title:	ACTIONS: What new and innovative actions can we trigger to make the difference with FBF? And what should be minimum standards for SOPs?
Objective:	To define key elements which have to be addressed in an FBF manual and how research on these questions could be organized?
Possible guiding questions:	<ul style="list-style-type: none"> • Brainstorming of different possible actions? • Analyzing the feasibility of different actions (costs, minimum lead time, estimated impact etc.) • Assessing the costs of different actions and link those to probabilities? • What are possible limitations as to which actions can be triggered by forecasts? • Which opportunities are available when considering a lead time ahead of extreme events? <p>Result of this working group is important for the threshold and SOP working group!</p>
Facilitation	Pablo Suarez, Kevin Wyjad



c. Summary of session on SOP development (WG 1)

Facilitation: Erin Coughlan de Perez, Mariana Davila, Irene Amuron

Process

1. Play "SNAP". Brainstorm why we have SOPs in an FBF project. Why are they so important?
2. Distillation of "key characteristics of SOPs" based on the answers to #1. Read answers from working group Day 1 on SOPs and add ideas.
3. Work in small groups on a list of key characteristics of SOPs. This includes content (e.g. Table of Contents) and another list of process characteristics (e.g. should be jointly owned by x and y).
4. Identify several of the most important items from #3 and break into small groups to tackle each item. Have the small groups discuss the key steps to accomplish that component of the SOPs. For example, if the item is "chart of actions to be taken at each level", then they would outline steps for brainstorming, validating, and costing out the actions before they go into the SOPs.

Main points of discussion

Which stakeholders need to be involved and when, what the triggers are and the process for making them.

Critical points

Funding mechanism

Main outcomes of the working group

A list of items that need to be included and considered carefully when designing the SOP development chapter of the FBF manual.

Point where a follow-up is needed?

WFP participants were not clear on the SOP concept, who would have access to Preparedness Funds, and who would be able to trigger action. Follow-up needed to further discuss the concept with them.

Did certain people take responsibilities for tasks?

Most participants were interested and had good ideas, although two of the groups had a difficult time understanding the concept.

The concrete opportunity for follow up was for people to sign up to work on the manual, which did happen.

Recommendations for future events

For working groups, it would be best to have something prepared in advance, and ask all people who are joining to comment on a draft or a "straw man". This way, people will stay on target and make meaningful suggestions. The working group this time was a bit too heavy on brainstorming, which would be good to include but only in moderation.

It would also be good to work with facilitation experts to lay down "ground rules" to help deal with people who would like to derail the discussion.

Resulting To-Do's from this section on SOPs:

- **Developing a common approach to SOP development;**
What are the basis and first step? Who needs to be involved? What tools can be applied and what information input is needed?
- Develop general criteria for SOPs (minimum standards) and adapt those to the
- Developing **case studies** from experiences in the field, i.e. Uganda and El-Niño in Peru; **share** recommendations and problems.
- **Linkage** between SOP development and the **existing peer-review mechanism**: using the expertise at hand.
- Defining a common **understanding of terminology**: key elements of the FBF concept (with regard to SOPs and in general) should be explained in a **glossary**.
- Including **M&E aspects** in the approach, i.e. a feedback-loop to enable real-time adaptation in the project implementation phase.
- Linkage to **fund disbursement** method.
- Defining **targets** beforehand.

11.2. Thresholds

a. Summary of session on probability (Team 1)

Title:	How do we estimate the risk of action in vain, and weigh against the risk of failing to act?
Objective	To define key elements which have to be addressed in an FBF manual and how research on these questions could be organised?
Possible guiding questions:	<ul style="list-style-type: none"> • What kind of studies do we have to undertake to prove the efficiency of the system (even if we act sometimes in vain)? • How to ensure that we are not acting too often in vain? (probability) • How to take the decision on the thresholds (decision on the probability)? Who has to be involved? • How to translate the information produced by scientists into understandable information for practitioners? • How should this question be tackled in the FBF manual? (ideas) • Which factors determine whether an operation is in vain? • Which kind of data is needed to estimate both risks? • How are both risks weighed against each other? • What is the aim of the output of this estimation and what does the result mean? <p>Result of this working group is important for the threshold and SOP working group!</p>
Facilitation	Konstanze Kampfner and Irene Amuron
Co-facilitation	Mariana Davila
Reporting	Irene Amuron and Mariana Dávila

Process

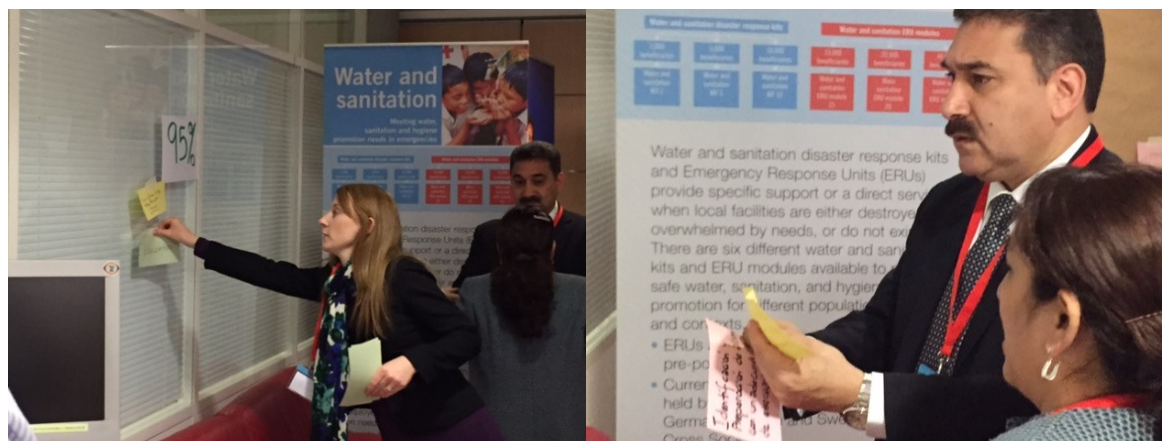
There were 14 participants in the working group, integrating the Spanish speaking participants with the scientific attendants. The session started with a participatory activity where they partnered paired up with a person that they have not worked or known before, five minutes were given to introduce themselves and hereby open the session.

After, the facilitators gave one potential hazard situation that might occur in their “field of representation”; there was in this case a cyclone approaching the areas of implementation and each couple had to come up with two2 preparedness activities to reduce the risk of the hazard impacting the project area and the most vulnerable communities.

After each partner group enlisted their two2 actions, the facilitators presented more information on the situation attributing the fact that there is a possibility probability that this hazard might not make has an impact in our respective project areas. With

this information, the facilitators asked the group to place their two actions in the corners with different percentages enlisted in the wall (30-50-80-90 as shown in the pictures) that they felt more comfortable acting upon. The crucial question raised was: What is the probability or level of certainty that you need in order to trigger that the depicted preparedness percentage action?

After placing the actions in the respective probabilities, the facilitators asked the participants to justify their decisions and were followed up by an open discussion on probabilities.



Main points of discussion

- The highly anticipated impact of the disaster event determines the action taken: The scientific group referred to the correlation between the nature of the hazard and the probability of acting in vain. In this case, cyclones are perceived as hazards in for which its behaviour is predicted can be predicted; therefore there would be only a small chance that the impact would not occur. On the other hand, flooding behaviour is much more unpredictable and thus the risk of acting in vain is higher.
- There are issues/layers that may not be obvious once a probability (trigger) is issued, as the probabilities are integrated in the threshold development, there is no guarantee that we (the implementers and scientific) have looked at all the elements necessary to avoid acting in vain. Mrs. Amuron gave the example of Uganda in which one set of actions were triggered successfully however the other area was not triggered although it was flooding occurred.

Critical point

- The quality of forecasts vs. the reliability of the probabilities: one of the main points of discussion was the linkage between these considerations to the information and structures that are available. Many participants had questions on the reliability of the forecasts (based on how accurate they are) in the sense that they are effective enough to not act in vain. The discussion also turned in this point in the premise of acting in vain vs. fail to act as the discussions around the Uganda example were brought up.
- The cost of people/communities acting in vain: FBF threshold and probability development are very science-related however the participants considered that the repercussions are always attributed to the most affected, this is something that when discussing the “acting in vain” has more linkages to the communities themselves than the operational costs. When discussing the probabilities, the communities should be sitting participate in the dialogue and

validation evaluation workshops and thus, creating more credibility for the selection of thresholds.

- Integration of the preparedness actions into existing structures: Although this point was more related to the SOP development, nonetheless the representatives from the government pointed out a key point on the considerations of acting in vain: when an alert is raised at national level and by official entities there is no acting in vain, thus is it of utmost importance than when developing the thresholds and SOPs that the government accompanies these discussions throughout the process. Especially for the post-RC project areas, FBF needs the support from existing structures and entities for this mechanism to be sustainable and have more credibility. This was also emphasized in later sessions, in which the Foreign Office noted that thresholds need to be developed on national level, as close as possible to the governmental and local institutions

Main outcomes of the working group

- Need for clear definition and implications of the probabilities. As mentions before, the separation between thresholds and probabilities resulted in a small confusion that later determined that the probabilities section in the FBF manual should be a sub-chapter within the threshold development chapter.
- After the discussions and throughout the process, the facilitators created a board with key elements, considerations and specific recommendations that should be taken into account when discussing the risk of acting in vain (as seen in picture)

Points where a follow-up is needed?

- Members needed a clarification on the definitions of the probabilities
- Engage all relevant decision makers to reduce reputational risks in the event of acting in vain

Main drivers of discussion

Most participants were from the donor/consultancy arena and were quite interested with the whole concept of acting in vain and how this can be managed to avoid reputational risks.

Recommendations for future events

The groups should include experts spread across the sessions. As facilitators, we were not scientifically conversant with the details of the forecasts and probabilities. In the future it should be taken into account that the donor (in the case of the Bangladesh, Peru and Mozambique case the Federal Foreign Office) recommends to focus the discussions on alternative use/benefit of preparedness measures if a predicted extreme event does not occur. This recommendation has also implications on the “probability-discussion” as the appropriation of probabilities turns to be part of governmental decision making and can only be influenced if evidence can proof that changes are of benefit.



b. Summary of session on thresholds (Team 5)

Title:	SCENARIOS: What information do we need about effects and forecasts to select appropriate thresholds? (relation to possible IMPACT or EFFECT)
Objective	To define key elements which have to be tested in our pilot projects, addressed in an FBF manual and how research on these questions could be organized?
Possible guiding questions:	Result of this working group is important for the threshold/SOP working group! <ul style="list-style-type: none"> • How are thresholds selected? • How can an appropriate threshold be defined? • Which level of detail is needed in the forecast and impact information? • Which factors are important when selecting a threshold? • How can uncertainties be included in the thresholds? • Aspects to be taken into account: regional, people affected, time, damage....
Facilitation	Ahmadul Hassan
Co-facilitation	Flávio Monjane
Reporting	Flávio Monjane

Process

Brainstorming

Main points of discussion

This working group constituted by RCCC technical advisors, participants from Universities and practitioners, debated the criteria of selecting thresholds which basically consists of assessing the asset vulnerability (who/what/where), hazard (type, magnitude and return period/historical), to determine the critical level to take preparedness actions. "

Critical points

- Selection of different thresholds/ triggers
- Hazard impacts
- Lead time
- Forecast reliability

Main outcomes of the working group

In this session was observed that one event may require more than one threshold/trigger depending on action to be conducted. The critical points mentioned above were identified as key aspects to trigger actions with less probability of "acting in vain.

Point where a follow-up is needed?

Selecting appropriate threshold and right moment to act are extremely important for FbF concept, matching threshold, lead time and actions were identified as core of the process, so broader analyses and collective thoughts and further discussion in this topic are recommended.

Did certain people take responsibilities for tasks?

All actors (scientists and practitioners) have their role in the debate of thresholds identification. However, NO individual took leadership of the process but, was concluded that follow up discussion would enrich this topic. The technical advisors by “default” should carry on this work in their respective countries and share out comes.

Recommendations for future events

The scientific session was very participatory and interactive. For next events would be fruitful to have topics of the session and trigger debate during preparation phase prior to the event. After group discussion was implicitly recommended that more actors should also be involved in this crucial topic.

c. Summary of session on lead times (Team 7)

Title:	What do we need to consider when using forecasts of different lead times for SOPs?
Objective	To define key elements which have to be tested in our pilot projects, addressed in an FBF manual and how research on these questions could be organized?
Possible guiding questions:	Result of this working group is important for the general SOP and threshold working group! <ul style="list-style-type: none"> • How to deal with different lead times? • Consequences for the SOP development? • How to deal with very short lead times? • Probability and lead time – link. • How are lead times categorized? • Which factors are critical when using forecasts to trigger SOPs? • Do these factors depend on the lead-time (i.e. are they dynamic)?
Facilitation	Juan Bazo, Baas Brimer
Co-facilitation	Andreas Wüstenberg
Reporting	Baas Brimer

Process

The working group facilitators applied the facilitation guide provided by the GRC. The session was a brainstorming session and noting key ideas and concepts on a flip chart.

Mapping the general criteria for the use of forecasts and different lead times:

- Brainstorming and collecting ideas;
- Identification of main aspects and criteria to take into consideration when identifying a threshold;
- Challenges in the development of forecasts with different lead times.

Main points of discussion

What do we understand by “lead time”?

What do we need to consider when using forecasts of different lead times for early action?

Main outcomes of the working group

There is a double understanding of “lead time” which needs to be clarified in relation to FBF and SOPs. More specifically, there are: lead time 1, which is the time between the forecast issued and the actual event (shock) happening; lead time 2 is the time between the forecast issued and the early action taking place (lead time required that the action makes sense and can be implemented before the shock).

Lead time 1 is what science can provide with forecast information (probability level?).

Lead time 2 depends on the agency’s chosen modality, operational capacity and established early action procedures/processes (e.g. financing mechanism) to build resilience before a shock.

Point where a follow-up is needed?

Lead time 1 needs scientific input: what are probability/ confidence levels at which a forecast provides acceptable “lead time”?

How long in advance can specific events be forecasted?

Lead time 2 needs operational analysis/experience about the different steps that need to be considered/taken to effectively operationalize an early action in-time (e.g. for animal or human vaccinations, times for production of required vaccines, procurement and logistics need to be calculated).

Recommendations for future events

The working group was very small, too small to have the typical working group dynamics to produce brainstorming outputs. For future events it would be recommended that participants pre-register the day before for specific WG sessions and that groups which are too small (e.g. <5 participants) get re-distributed to other WGs.

d. Summary of session on thresholds (WG 2)

Process

1. Group activity / serious gaming activity: Participants invented a hypothetical FBF pilot project, and then decided upon appropriate Standard Operating Procedures (SOP), forecasts and thresholds. A drawing activity was designed to allow for creative license in outlining the FBF process. As the participant’s backgrounds were diverse, facilitators chose 4 groups with the purpose of integrating participants. The activity was a 5-step process with each simulating a potential decision node within the threshold development process of forecast based financing. The groups first designed a city in a fictional geographically complex (and hazard prone) location. The cities and locations reflected real world situations that are found in the FBF pilots. Next, each team rotated 3 times, each time adding an element to another group’s drawing. During the rotations each group was tasked to develop a set of actions to address a hazard in a specific situation (in one of the drawings). This interactive exercise encouraged the participants to explore the difficulties of linking forecasts to action and exposed them to the sensitivities that geographic and socioeconomic variability may present, challenging the notion of uniform production of thresholds for a specific hazard.

2. Debrief discussion: After the participatory exercise, the facilitators led a discussion encouraging participants to talk about how they arrived at their decisions. Each group was asked to present and defend their decision making process. Initially,

discussions were light hearted and laughter was had at the expense of some of the less artistic groups, but the discussion quickly turned serious when we debated which came first in the threshold development process- the action or the forecast? It is still unclear where to start, or if asking where to start is even the best question to lead within the context of this working group.

3. Discussion on next steps: Next, the conversation shifted towards developing a step-by-step process for threshold development. The initial thoughts captured the notion of formatting. Acknowledging that each situation (as shown in the variety of the pilot projects) is unique, it was useful to discuss the various contexts of the drawings including what each had in common and how some processes may have differed based on variations in certain variables, including location of the potential impact, type of hazard, timescale of impact, forecasts and feasibility of actions. Verification of thresholds was also discussed. Some pointed to the WFP FoodSECuRE method of producing a map room that allowed them to explore how often a threshold would have been triggered over the past 20 years.

Main points of discussion

- How thresholds are chosen? Who chooses them? Should it be the forecaster or the practitioner? What are the implications of responsibility?
- Definitions of FBF components. Should they be incorporated into a glossary? We noticed that some people define key terms differently, for example, “thresholds”, “triggers” and “SOPs”.
- How to account for risk assessment and risk perception for each hazard type?
- In designing FBF for multi-hazard situations (tropical cyclones, for example), what hazard is the threshold addressing? Can/should we develop an algorithm that truncates multiple thresholds into a single threshold? Would the FBF then be for the multi-hazard or the individual hazard? Can risk pooling be useful in this context?

Critical points

- What is the first step- deciding on the forecast to be used or the action that will be taken?
- What is the best format for a ‘how to guide’ for development of thresholds in forecast based action? A checklist? A step-by-step cookbook? A how-to guide with the basic ideas/notions?

Main outcomes of the working group

- Thresholds development
 - Probably not possible to produce a single methodology per hazard type that will be applicable for every FBF project, but perhaps developing hazard-specific guidelines in the form of a manual ‘checklist’ or ‘cookbook’ may be useful.
- Manual
 - It is impossible to develop an outline/content for a manual that will lead increase the probability of implementation without knowing whom the

audience is. Maybe an overarching manual could be produced outlining the basic steps of the components of thresholds development (potentially building off the drawing exercise and subsequent discussion) but the impact on the development of a functional FBF system is unclear.

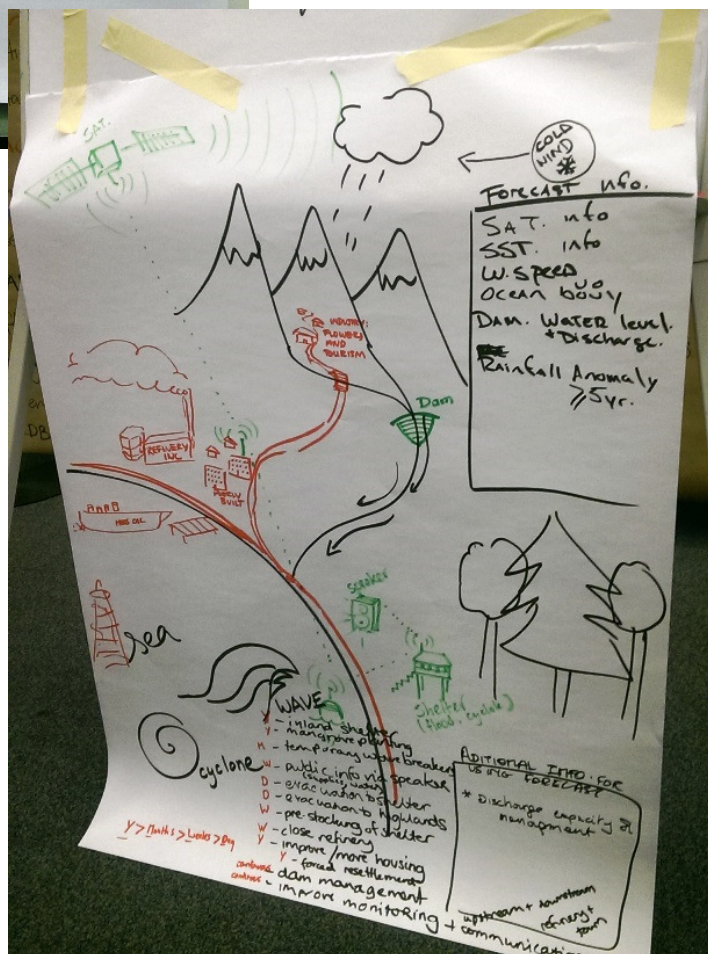
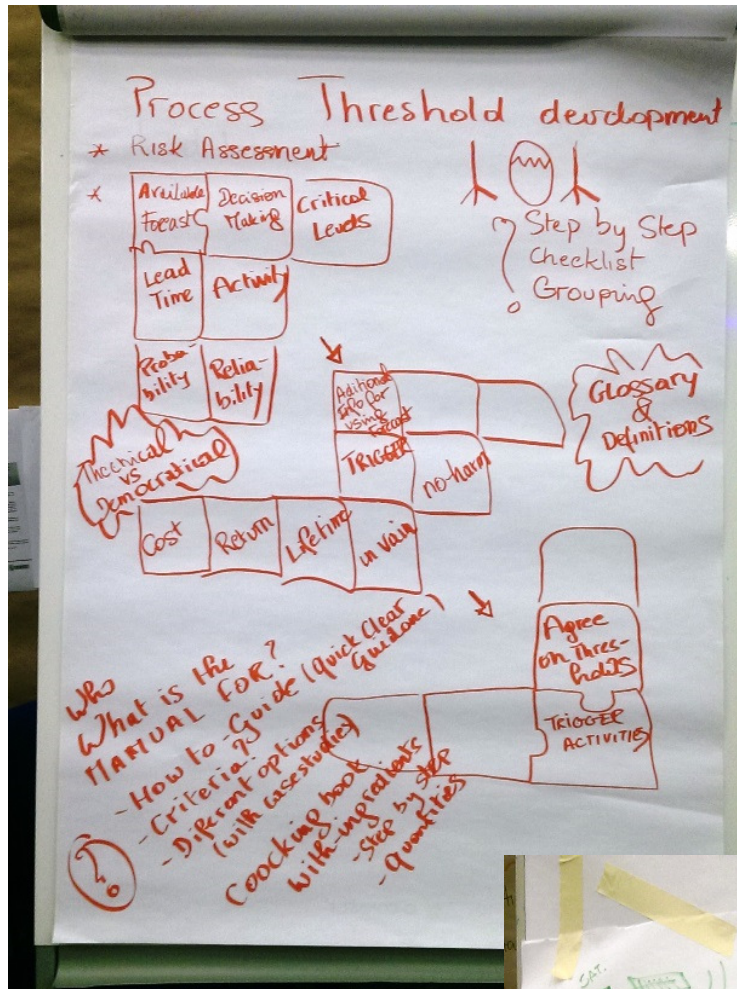
Point where a follow-up is needed?

- Hindcasts to verify frequency of thresholds
 - WFP is working on a Maproom product that affords the opportunity to visualize the temporal distribution of triggering a threshold over the past 20 years. This is using seasonal forecast and hindcasts from the IRI. It may be useful to explore how this method would be useful for other FBF efforts.
- Manual
 - Who are the intended users of the manual? What actions will the manual support?

Recommendations for future events

It will be useful to discuss the following topics in future events:

- How extreme events are factored into statistical verification of forecasts. It would be interesting to explore how to metricize socioeconomic impacts of extreme events into a statistical verification framework for probabilistic forecasts in order to potentially produce a type of 'skill score'.
- Selection of the probability thresholds: Should the burden be placed on forecaster or practitioner? What are the financial, personal and legal implications of this?
- In terms of 'acting in vain' and 'false alarms' and 'reliability', we have scientists who have some precise terminology about forecast verification, and some practitioners who don't. It would be useful to facilitate fun session for all to give a dummies guide to forecast verification.



Resulting To-Do's for this section on thresholds:

- **Glossary** (define terms for a common understanding!)
- **Holistic approach:** i.e. linkage to circumstances; which other effects can have implications on the threshold level? (Accumulation of effects?)
- **Stakeholder mapping:** perception is important (reducing reputational risks)
- **Linking scientific information and humanitarian action:** information needs to be clear and precise; are the implications/consequences of different triggers clear? Who has the final responsibility? (Two-way information system!); how much room should there be for ad-hoc decision?
- **Study** on forecast “skill”, “reliability” and “verification”

11.3. Finance/Policy

a. Summary of session on governments (Team 6)

Title:	How can FBF integrated in existing governmental procedures?
Objective	To define key elements which have to be tested in our pilot projects, addressed in an FBF manual and how research on these questions could be organized?
Possible guiding questions:	<p>Result of this working group is important for the general SOP working group and the finance mechanism!</p> <ul style="list-style-type: none"> • Which governmental procedures are already in place and how can FBF most effectively integrated in those procedures? • Do the procedures need to be changed or modified to integrate FBF? (who has to be part of adapting procedures if necessary) • Examples of pilot countries? • Which challenges or opportunities could arise from integrating FBF into existing mechanisms? • Who needs to be involved to guarantee a successful implementation and integration? • Which measures are necessary to reach relevant stakeholders?
Facilitation	Thorsten Klose (GRC)
Co-facilitation	Stephen McDowell (RCRC Climate Centre) William Vigil (WFP)
Reporting	Thorsten Klose (GRC)

Process

The break-out session started with a short introduction round, followed by the presentation of the session objective by the facilitator.

After this presentation a mapping was carried out by the facilitator and all participants had to write down the major opportunities of the FBF approach from their governmental perspective.

This mapping was followed by two short brainstorming sessions that identified 1) what kind of governmental procedures are already in place that are relevant in the context of FBF and 2) who are the most important stakeholders that should be involved in FBF on country level.

The team session concluded by a SWOT analysis, identifying the FBF criteria for success on country/government level.

Objective of the team session 6:

To define key elements of the integration of FBF into governmental procedures that should be tested in pilot projects and should be addressed in the FBF manual.

It became obvious during the discussion that there are already a lot of governmental procedures in place that are highly relevant for the implementation of the FBF approach on country level, especially in the context of early warning procedures. The

team session therefore underlined that FBF is an extremely important added value to improve and sharpen the existing governmental early warning procedures. Furthermore the importance was pointed out to shift the FBF approach and especially the funding component to the responsible country level in the long-term to ensure the integration of FBF into governmental procedures.

Critical points

The most critical points of the FBF approach from a governmental perspective have been identified in the SWOT analysis (see weaknesses in the SWOT results below).

Main outcomes of the working group

Results of the 1st Brainstorming: Existing governmental procedures relevant for FBF:

- Annual operating plans by sector (e.g. preparedness, agriculture)
- Existing contingency planning processes
- Governmental funds already allocated for early warning on different levels (national, province, local)
- Existing networks between governmental authorities and civil society stakeholders
- DRR as part of educational curriculums
- Regular briefings between different ministries
- Legal provisions for crises and disaster management
- Databases of existing response and DRR resources on country, provincial, local level
- Declaration of state of emergency in disaster times, power of law enforcement by government
- 24/7 coordination office / situation rooms

Results of the 2nd Brainstorming: Most important stakeholders

- All participants agreed that a high level of political commitment from different ministries and governmental agencies is needed for the FBF integration, especially:
- Meteorological services
- Ministry of agriculture
- Ministry of Planning
- Ministry of Finance that need to be convinced to include the FBF approach into the annual budget planning process
- Integration of Private sector
- In some countries (e.g. Peru) there is already a multi-sectorial commission for El Nino in place
- There is a need for strong awareness and about and integration of the FBF approach on regional government level

Results of the SWOT analysis:

Major strengths of the FBF approach:

- Mobilizing strategic allocation of public funding for preparedness
- Adjusting national planning into a more anticipatory planning
- Linking basic preparedness concept with ad hoc preparedness following forecasts
- Networking to learn how to adapt to changing climate
- Making use of complementary expertise in an innovative and coordinated way

Major weaknesses

- Commitment by all relevant governmental levels is missing
- Too strong concentration on financing inside FBF and too less concentration on the respective action / SOP-level
- General lack of funding for preparedness
- Too slow implementation in general and lack of monitoring of contingency plans
- Limits of forecasts

Major opportunities of the FBF approach:

- Saving lives and reducing costs of disaster response
- Enabling governments to push forward DRR initiatives
- Increasing the investments into preparedness
- Testing existing early warning procedures and identifying areas for improvement
- Improving the forecast capacity of different stakeholders
- Making early use of early warning systems and other monitoring systems
- Operationalizing seasonal forecasts into seasonal planning
- Being able to manage seasonal weather pattern and fluctuations in a more systematic way (agricultural sector as well as social sector)

Major threats of the FBF approach:

- Accountability of funds
- Timely access of funding and clear funding procedures
- Flexible budget management
- It is a new concept – so we might get it wrong

Point where a follow-up is needed?

The identified weaknesses in the SWOT (see above) need a follow up by the dialogue platform but also by the individual governments in their respective countries, especially

- a stronger concentration on potential SOPs/actions following a forecast and an exchange of best practices of action/SOPs
- ensuring the timely release and access of funding after thresholds have been reached (funding methodology)

Did certain people take responsibilities for tasks?

All participants showed a high level of commitment during the discussion and fully understood the concept of FBF.

All governmental representatives in that team session underlined their willingness to advocate for FBF inside their governments.

Recommendations for future events

Instead of open ended discussion through structured brainstorming session, the future sessions of the dialogue platform should work more closely along development documents (e.g. SOP overviews, funding mechanism etc.) and use the team and working groups sessions to review those developed documents instead of developing / discussing new ideas.

b. Summary of session on policy (WG 3)

Title:	Policy
Objective:	<p>Objective of Working Group 3 for December platform</p> <ul style="list-style-type: none"> • Stock taking of what has been done so far by respective agencies and collectively – review/update work plan from first Platform • Mapping of policy events up to 4th Dialogue platform – to advocate for FBF • Identify products to be developed to "sell" best FBF • Brainstorm and frame additional event - such as a donor conference/high level policy conference with the Federal Foreign Office <p>Relevant overall platform Cross-cutting objective: How to sell the FBF results to donor, governments and other humanitarian actors?</p>
Background on working group 3 (policy)	<p>Working Group 3 is responsible for the development of a strategy to disseminate the results of our Forecast-based financing experience of the Foreign Office Action Plan.</p> <p><i>Stakeholder mapping and strategy development</i> The working group is aiming to influence donors, governments and humanitarian stakeholders towards the acceptance of this new, innovative funding mechanism. A special focus should be not only on FBF Mechanisms in general but especially the quality of implementation of FBF Mechanisms.</p> <p><i>Development and dissemination of advocacy tools</i> Therefore tools and instruments of advocacy of policy level should be developed. At the end of the initiative a functioning and updated webpage with the general methodology, practical experiences and lessons learnt should be in place. Best practices of functioning governmental structures and well-managed preparedness funds should be documented and shared in view of ensuring future funding.</p>
Facilitation	Laura Fontaine
Co-facilitation	Meinrad Burer
Reporting	Laura Fontaine

Group members

Tony Craig – IASC Task Team Preparedness
Shabbir Ahmad – Government of PRB, Bangladesh
Maarten Van Aalst - RC RC Climate Centre

Pablo Suarez - RC RC Climate Centre
 Silvester Requies – Mozambique
 Manuela Reinfeld– WFP
 Natalie Schmidthäusler – OCHA Geneva
 Zinta Zommers – UN Executive Office of Secretary general, Climate Change Support Team
 Caroline Peyre-Koch - Welthungerhilfe
 Cesar Villarreal Perez, CENEPRED, Peru
 Johara Bellali, Adelphi Research, Berlin
 Mohammad Shahjahan – Bangladesh Red Crescent

Process

The working group was conducted in two sessions:

Session 1.

Policy Input: outcome first Dialogue Platform and stocktaking of follow-up actions

Session 2.

Action planning - Mapping of policy events up to the 4th Dialogue platform – to advocate for FBF, and Identification of products to be developed needed to best "sell" best FBF

The design and facilitation of the working group sessions was based on the following principles:

- Open space activities versus formal presentations
- Facilitating versus influencing
- Individual and group reflections

Main outcomes of the working group

1. Stocktaking of what has been done since the July platform

As a start to the December 2015 platform, a stocktaking exercise was undertaken. The workplan developed in July was reviewed and status updated according to progress being made:

Objectives	Activities	Status
<ul style="list-style-type: none"> ● Contribute to advancing the FBF agenda at the international level 	<ul style="list-style-type: none"> ● Joint messages – with reference to past and future high level frameworks 	<ul style="list-style-type: none"> - Policy paper developed - WFP/IFRC press release ahead of COP21
	<ul style="list-style-type: none"> ● Mapping of key fora (international and regional) ● Joint planning for visibility and activities / side events at relevant for a ● Contribute to establishing 	<ul style="list-style-type: none"> - Completed/Ongoing - European development days (panel discussion) - Humanitarian Congress side event - Addis Ababa Conference in Understanding Risk and Finance (Nov2015) - UN SG A2R – mention of FBF as an innovative mechanism

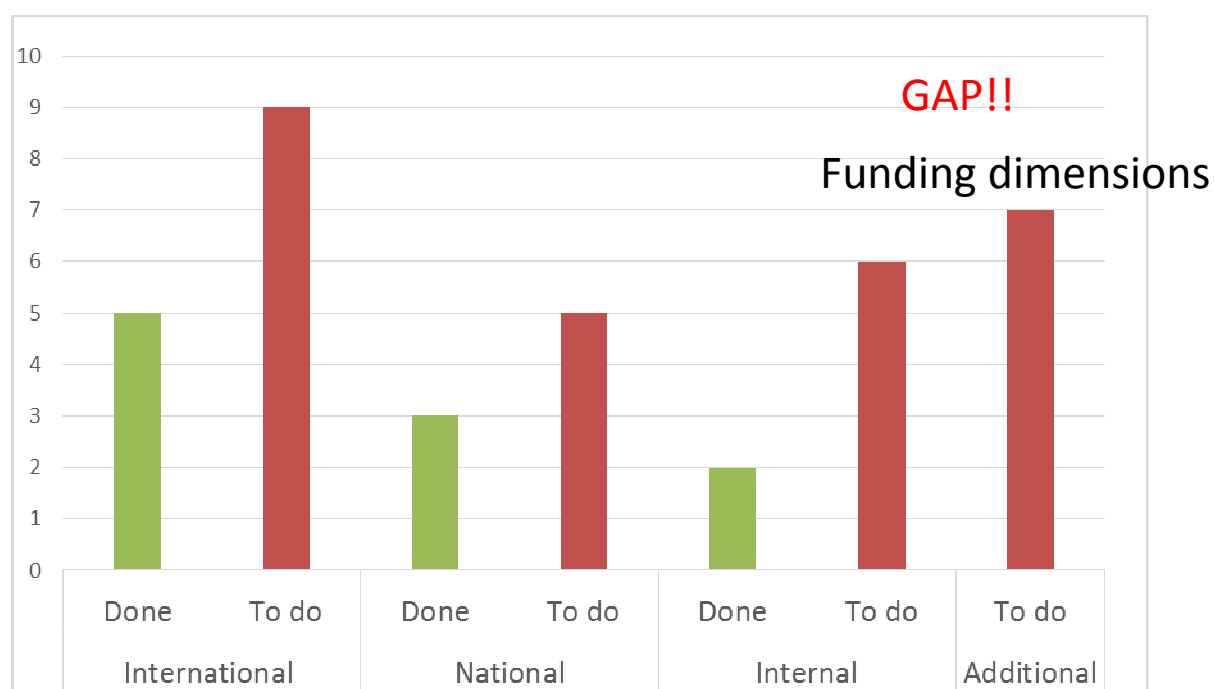
<ul style="list-style-type: none"> ● Support country implementation teams to advance FBF agenda at national level ● Support internal institutional mechanisms for establishing FBF within partner organizations 	stronger linkages / discussions between Climate Change and Humanitarian sectors	<ul style="list-style-type: none"> - IFRC/Climate Centre engagement with the WIM (Loss & Damage) - expression of interest sent to Ex Com - Side-event at COP21 (GRC/Climate Centre)
	● Web platform /email list to share attendance / activities to fora	Completed/Ongoing – must be populated with more information produced through the pilot projects; collaborative workspace is also set-up but people need to register with an account.
	● Regular in-between platforms calls for coordination	Not completed –decision was made to schedule a group call for February 2016
	● Map government / private sector funds applicable to FBF in country cases	
	● Map country level policy framework for FBF entry points	
	● Representation at pre WHS meetings	Completed FBF is part of the synthesis report
	● Get FBF into action agenda from Lima to Paris	Completed; FBF is referred to in the A2R concept note.
	● Support country teams / donors coordination dialogue at country level	
	● ● Identify a pilot country government champion who would support the advocacy process	
	● Guide implementing countries on policy issues	
	● ● ● Identify and invite relevant actors to next platform	Completed.
	● Sharing experience on organizational integration of FBF	
	● Small working paper sharing lessons of successful approaches	

<ul style="list-style-type: none"> ● ● Presentation to IASC of main pilot results 	In Progress – there is a consensus that there is a need to inject FBF mechanism into the IASC
<ul style="list-style-type: none"> ● ● Comparative analysis of the various pilots (FBF procedures) 	

In summary, there was evidence that actions have been pursued since the last platform with each objective being addressed to some extent, within the frame of the platform and beyond. It is clear from the above that for now, the focus has been mostly at international level.

The graph shows the number of actions ‘done’ and ‘to do’ when reviewing the last action plan.

As seen in the graph, the funding dimension was clearly identified as a gap. It was mentioned that this could be a missed opportunity if not being addressed. The funding dimension should be more present and might deserve a specific objective.



2. Way forward and event / initiative mapping for 2016

The following timeline of event and initiative was developed, as a preliminary mapping of policy and advocacy entry points for FBF.



In terms of inputs for the FBF Manual, some suggestions were brought forward:

- Common methodology to assess effective use of funding
- Joint key messages
- Stakeholders engagement tools/guidance
- Guidance for linkages between different policy agendas

3. Brainstorming around the idea of a ‘donor conference’

As per the outline below, the group brainstormed the idea of a donor conference to promote and attract funding for forecast-based actions.

One suggestion for the development of a more detailed concept for the event, was to explore the idea of a ‘private sector speed dating event’ and investigate how the conference could potentially link up with some existing ‘deal making’ platform such as MaxImpact for example. <http://www.maximpact.com/>

Objective	Expected outcomes	Content of event	Target audience	Logistical aspects
Promote / attract funding	Deal making	Donors/ investors meet project developers/ implementers		TBC

Point where a follow-up is needed?

There will be to finalize the review of the work plan and to make sure there is a timeframe and responsibilities allocated to each proposed activity.

As identified in the previous platform, there is still a need for continuous coordination to ensure activities are being conducted, reported, and shared, etc.

Recommendations specifically given to follow-up by:

- Hosting a follow-up call on 2nd February (13:00-14:30), as decided during the sessions.
- Develop a concept note for a ‘Donor conference’

- Agree on core policy group members
- Agreement on drafting team and content for the Policy section of the Manual
- Start drafting the manual

Main drivers of discussion?

Most group participants were active and involved in the discussions. However, as expressed below, one of the challenges and limitations of this second platform was the lack of continuity in relation to participants (only one participant to the policy group during the first workshop – Maarten van Aalst).

Did certain people take responsibilities for tasks?

The group agreed to discuss the work plan in details and allocation of tasks during the next call.

c. Summary of session on communicating FBF

Facilitated by Pablo Suarez

A small group of DP participants explored challenges and options for ways to communicate FBF through original approaches, aiming to engage the target audience in ways that can be more motivating than conventional publications or powerpoint presentations. There was general agreement that FBF systems are complex, and that there would be value in developing communication strategies that build on art and other creative disciplines to reach the emotional fiber of the audience (not just intellect but also 'whetting the appetite' for learning and doing more). Options included short films, drama, visual arts (such as truly high-quality posters), and music. Session participants agreed to further explore these ideas and identify potential partners from pilot countries.

d. Summary of session on financing mechanism (WG 4)

Facilitation: Alexandra R  th, Stefanie Lux

Process

The working group started with an introduction round, followed by a presentation of the session's topic by the facilitator.

Luke Caley representing the Start Fund then introduced the structure of the Start Fund as one example for a financing mechanism.

This was followed by a general discussion on what a finance mechanism could look like, what components it should include and what criteria it should apply. Participants also highlighted different aspects that should be taken into account in the design of a finance mechanism.

At one point it was suggested by a participant to discuss the very specific practical problems that occur in the field in the context of the current pilot projects as regards funds flow and decision making. It was, however decided by the group to make use of the opportunity of having representatives of different donor agencies at the same table to continue to brainstorm on a common vision for a financing mechanism.

The discussion was concluded by a tour de table during which every participant proposed one step that needs to be taken to bring the development of the finance mechanism forward.

Main points of the discussion

- *Decision-making*: Clear guidance is needed on what decision-making should look like. Who will decide on what at what time? And who needs to be involved?
- *Involvement of the government*. The importance of local responsibility was highlighted. The objective to “involve the government” was considered too vague by some participants. The degree of involvement will depend on the context. The government could/should be involved in shaping the rules for funding, it could for example have a person on the board of a potential financing mechanism body. Dialogue with governments is important.
- *FbF as part of a wider picture*: Parallel systems should be avoided, thus prior to establishing a finance mechanism existing structures and processes (for example at government level) have to be taken into account; also existing early warning systems could be used in some cases. Other existing initiatives that show similarities, such as those of OCHA, Green Fund Initiative, CERF and African Emergency Trust Fund should be explored in order to create synergies if possible.
- *Importance of coherence and coordination*
- *Level of preparation necessary*: In order for an Fbf-mechanism to work, a lot of preparatory steps are necessary, especially as regards the elaboration of SOPs and thresholds. How could these preliminary actions be financed? Could pre-positioning be financed? Further: the level of preparation needed for a country to access the Fbf mechanism has to be discussed and defined. (Certification process?)
- *Linked to this question is the need for capacity building*: For the development and implementation of SOPs and thresholds a high level of knowledge is necessary. Stakeholders involved in taking decisions or reviewing them need a certain scientific understanding.
- *Peer Review of SOPs*: To what extent could/should there be an assessment by an independent body of SOPs/early action before they are adopted? Who could carry out this evaluation?
- *FbF is supposed to be more cost efficient than regular emergency response*: Cost-Benefit-Analysis prior to adoption of SOPs?
- *FbF and Resilience*: How could a Fbf-mechanism be linked to longer term resilience projects or address long term needs of the population?
- *Term “acting in vain”* should be abolished. Proposed actions are not in vain (will benefit the population in any case) but how will donor react if we “act in vain” 9 times? Risk of this happening should be reduced by sufficiently specific and high thresholds. Risk needs to be seen over time: If you have 60% forecast, over a period of twenty years it will happen.

Critical points

- *Ensuring the scientific soundness of the thresholds*: Thresholds could be defined too low in order to obtain funds more easily. Idea to have a quality

control/review of thresholds before they are adopted. Also: Should there be an expert body to review decision that a threshold has been reached?

- Resilient and well prepared communities would not need Fbf; how to ensure that government or other stakeholders continue to work on long-term resilience and preparedness and not rely on Fbf instead?
- *Incentives*: If the donor acts too early, what incentive does the government have to act themselves?
- Could there be *retroactive grants or promissory notes* to ensure quick action can be taken once threshold is reached?

Next steps:

Please see the picture

Main outcomes of the working group

The working group identified important aspects to be taken into account when developing the finance mechanism. Important next steps for this process were named.

Points where a follow-up is needed

A permanent working group on the finance mechanism needs to be established. Assessment of existing initiatives of different institutions and donors to identify best practices or lessons learnt that will help in development of Fbf.

Main drivers of discussion

Special interest by donors such as MOFA and ECHO. Important expertise of Start Fund. And interesting point of view on similarities with insurance.

Process has to be clear, Methods on how to deal with difficult/critical points.

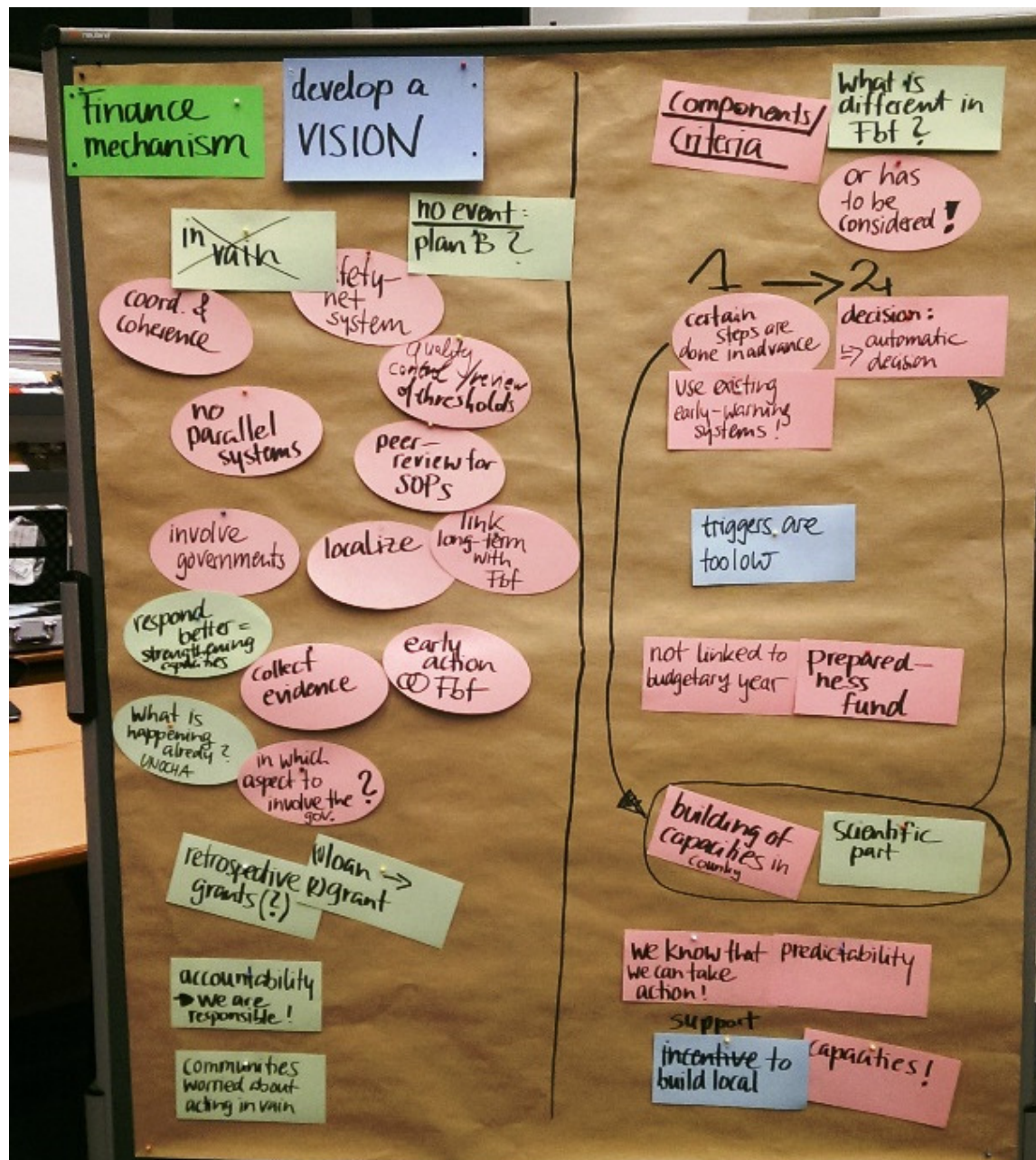
Ensure that there is at least 1 person knowing fbf (internal person) in the group

Recommendations for future events

Best would be to already discuss some more concrete proposals for the design of a financing mechanism on the basis of an options paper, or evaluation of other existing initiatives.

Members of the working group:

- Luke Caley, Start Network
- Dee O`Sullivan-Winks, Start Network
- Anne Marie-Storch, MoFA
- Kevin Wyjad, GRC
- Irina Zodrow, UNISDR
- Ahmmad Shabbir, Ministry of Disaster Management and Relief, Bangladesh
- Natalie Schmidthäusler, UNOCHA
- Roger Bellers, ECHO
- Jerry Skees (GlobalAgRisk)



NEXT STEPS:

- ① decide whether to involve private sector?
- ② options paper → vision
→ case studies
↳ donor engagement early level
- ③ who needs to be part of the proposal review process?
- ④ ~~new~~ dialogue with other existing initiatives!
- ⑤ entry point to governments?
- ⑥ design form of interaction (participatory approach)
- ⑦ funds flow to the field
- ⑧ general funding mechanism
→ ~~customize~~ adapt to country
- ⑨ ~~be careful on the~~ take care to involve the civil society
- ⑩ lessons learned of existing ~~etc~~ initiatives
→ 4
- ⑪ Follow-up group
- ⑫ look at sustainability and replicability

Resulting To-Do's from this section on finance and policy:

- Developing a clear **funding procedure** in collaboration with the donor; what is the preferred disbursement method in the field? How best to access the funds? How to ensure flexibility?
- **Assessing existing mechanisms** (e.g. CERF, DREF etc.) and the possibility to include FBF in those mechanisms
- **Creating a movement** by developing and distributing joint key messages (i.e. the existing policy paper)
- **Linkage** to other policy agendas
- **Creative communication strategies**
- **Overall coordination** of activities

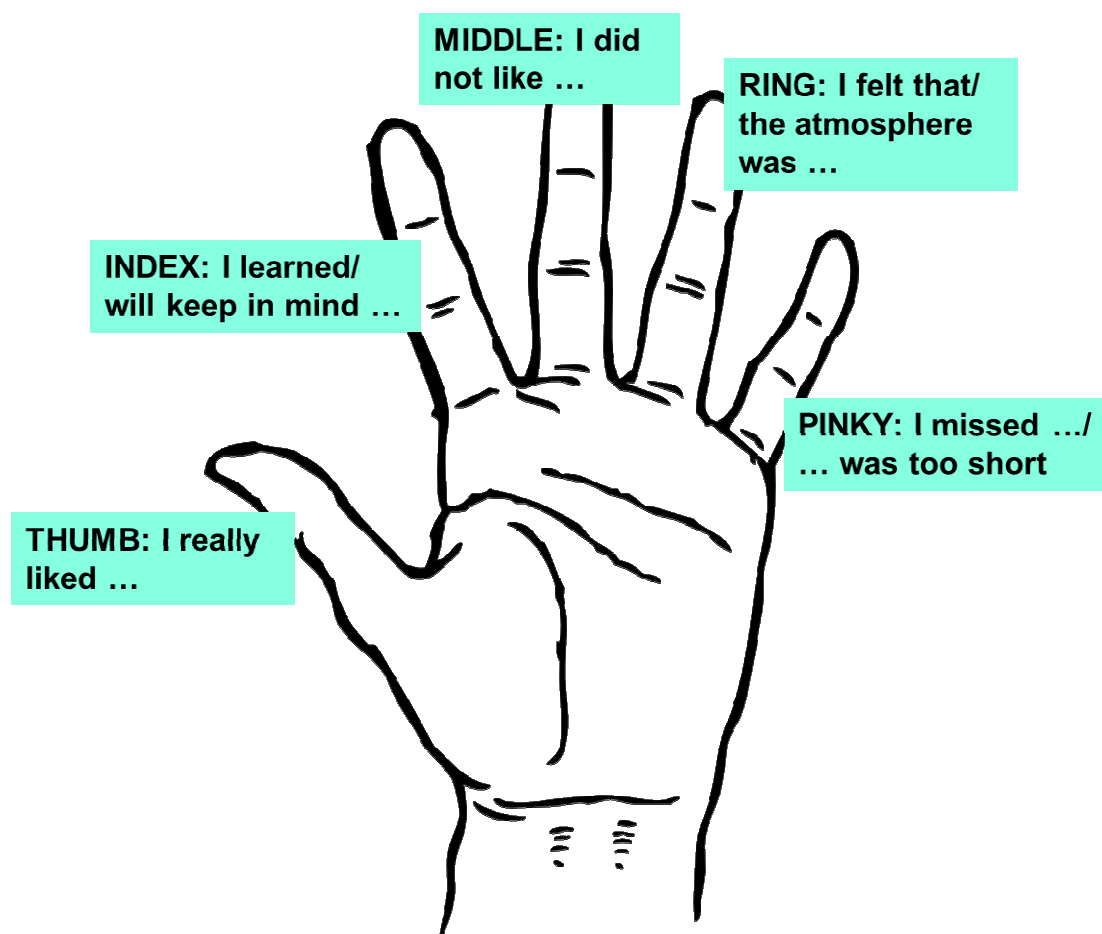
12. FBF Manual: Responsibilities

Section	Sub-Section	Main Responsible	Co-Authors
1. Background		Alexandra R��th (GRC), Thorsten Klose (GRC)	Catalina Jaime
2. Methodology	2.1 SOP development		Stefanie Lux (GRC), Mathieu Destrooper (GRC), Kevin Wyjad (GRC), Flavio Monjane (RCCC), Andreas W��stenberg (FAO), Michael Veale, Konstanze Kampfer (GRC), Daniel Lorenz (FU), Baas Brimer (WFP)
	2.2 Thresholds		
	2.3 Quality standards		
	2.4 Sustainability		
3. Research and M&E	3.1 Extreme weather forecasts	Erin Coughlan (RCCC)	Mariana Davila (RCCC), Michael Veale (UCL), Flavio Monjane (RCCC), Baas Brimer (WFP), Liz Stephens (UR), Florian Pappenberger (ECMWF), Luke Caley (Start Network), Elaine Angeles (WFP), Juan Bazo, Konstanze Kampfer (GRC), Muhamad Mamtaz
	3.2 Cost-Benefit-Analysis		
	3.3 Monitoring		

Section	Sub-Section	Main Responsible	Co-Authors
4. Policy	4.1 Current policy process	Laura Fontaine	Johara Bellali (Adelphi)
	4.2 Vision for future		
5. Funding Mechanism	5.1 Funding criteria	Alexandra R��th (GRC)	Stefanie Lux (GRC), Kevin Wyjad (GRC), Dee O'Sullivan-Wints (Start Network)
	5.2 Funding mechanism		
	5.3 Reporting of FBF		
6. Future		Laura Fontaine, Pablo Suarez (RCCC)	Thorsten Klose (GRC), Kevin Wyjad (GRC), Konstanze Kampfer (GRC), Johara Bellali (Adelphi)
7. Glossary of terms (definitions)		All	

13. Evaluation of 2nd workshop

5-Finger Evaluation of Day 1



What I liked:

- the open atmosphere
 - the input from the great crowd
 - the discussions on complexity of probability and action
 - the openness on challenges about differences between RRD/FBF
 - the organization
 - the dynamic of the day
 - the processes used in the workshop
 - the break-out group format and the overall energy!
 - discussion were really important to make it happen
 - the mix of the different methods
 - the in-depth discussions in the WGs
 - excellent flow, workshop design and moderation
 - the marketplace concept where we were able to learn about different experiences
 - meeting a range of people from different backgrounds to learn from
 - the interdisciplinary discussions
-

- diverse, interactive and inclusive discussions
- the government group discussion
- sharing with colleagues
- discussion on lead times and early action
- honesty in dialogue, growth of dialogue, richness of questions
- I really liked begin in the discussion about the SWOT criteria for successful integration of FBF into national governance procedures

What I think is important:

- how complex the issue is
- SOPs have many dimensions and can be structured to minimize mistakes
- seems to be a lot of work to get clarity on financial solutions (the financing part of FBF)
- there is a need to exchange experiences
- that SOP can have many definitions
- examples from other countries on challenges
- I learned about different priorities for different actors
- questions for financing mechanism
- There is a movement!
- I will keep in mind to include M&E and knowledge management in SOP development
- I learned about the practical applications and challenges of the FBF concept
- FBF is not an exclusively humanitarian domain
- Peru practice examples
- different ideas on no regret actions
- the idea of pre-defining purchasing agreements based on a forecast
- that seasonal forecasts should be used in connection with short-term forecasts
- diversity of priorities
- everything to be considered when developing SOPs
- I learned how the different partners approach FBF

What I did not like:

- limited time
- not being able to read all process steps /notes for each working group
- the affected population was not included
- we did not answer the key questions
- that we are missing the word 'community' in our discussions
- the separation of probability and thresholds into different groups
- 1h is too long
- that we did not get the actual SOP steps
- missing some of the marketplace presentations
- too many working groups
- emphasis on humanitarian financing (should be to reduce the need for normative gov.)
- obsession with input-based responses

- no space for discussion (too fast between sessions)
- powerpoint presentations without time for questions
- too many agenda items
- long periods of passive role for participants

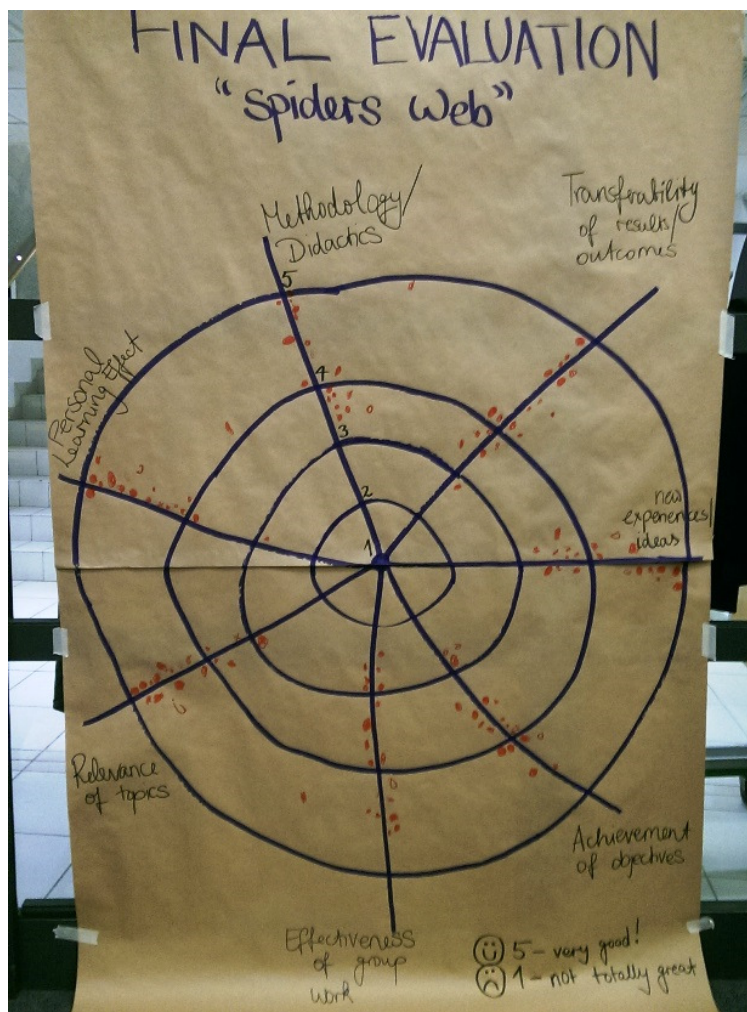
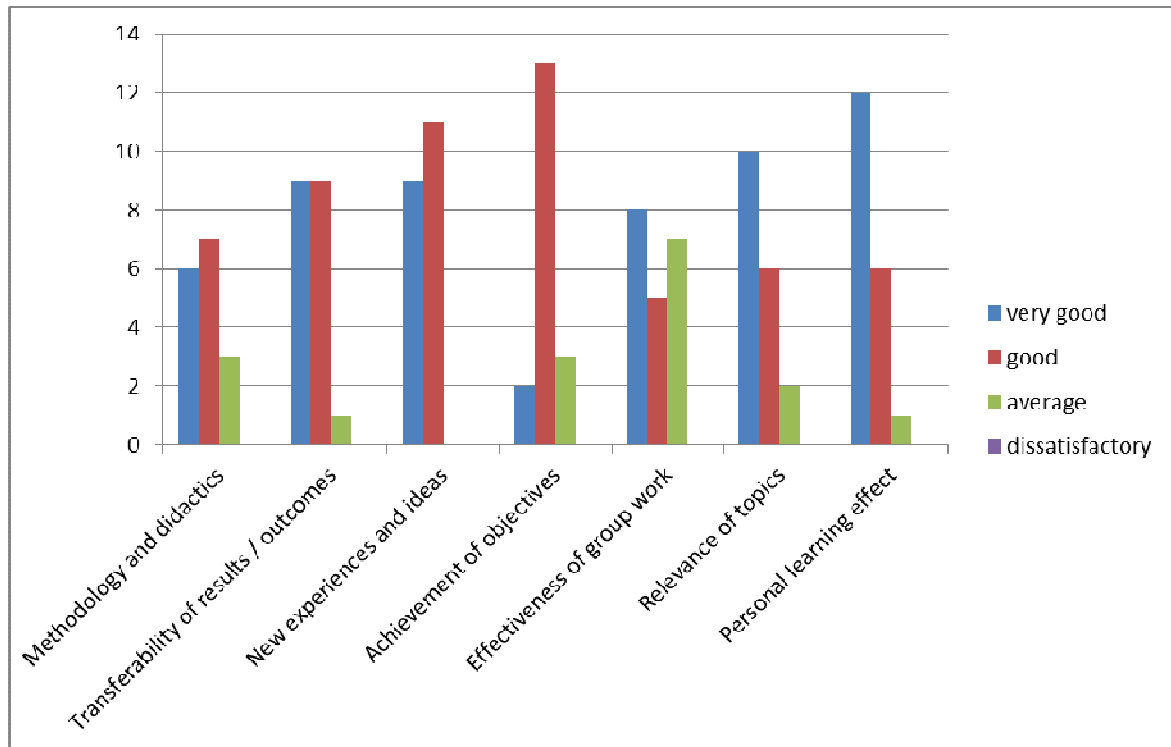
I felt:

- encouraged
- good collaboration & mutual respect
- atmosphere was very open and great brainstorming took place
- good atmosphere and interesting people
- exciting and engaging
- the atmosphere was very open and productive
- motivated
- everyone was open, respectful and constructive
- people were polite, friendly, collaborative and enthusiastic
- extremely productive and concentrated
- that it is necessary to involve more time in this project

This I missed:

- local cultural aspects of FBF
- more information from projects on the ground
- the WMO and more donor representatives
- the financial solutions for what we've been talking about
- risk reduction and rehab thoughts
- games, more energizers and serious gaming
- concrete SOP examples from countries
- the time for brainstorming was too short
- the first challenge of the day was too light, could have addressed sophisticated issues
- FBF for whom?
- SOPs
- specific next steps, commitments
- a clear definition of what we mean by actions and preparedness
- free flow time for bilateral or small group tailored conversation

Final evaluation



14. Important Links

Framework Foreign Office Action Plan for Humanitarian Adaptation to Climate Change:

<http://www.auswaertiges-amt.de/cae/servlet/contentblob/699172/publicationFile/202867/Klimawandel.pdf>

Forecast-based financing project website (hosted by IFRC):

<http://www.ifrc.org/en/what-we-do/disaster-management/preparing-for-disaster/risk-reduction/forecast-based-financing/>

German Red Cross on dialogue platform:

http://www.drk.de/fileadmin/Weltweit/ Dokumente/AW_dialog_platform_v5_web.pdf

RC/RC Climate Centre on forecast-based financing:

<http://www.climatecentre.org/programmes-engagement/forecast-based-financing>

RC/RC Climate Centre FBF in Mozambique Video:

<https://vimeo.com/152150976>

RC/RC ClimateCentre on FBF in Uganda:

<http://www.climatecentre.org/news/657/a-humanitarian-history-made-as-uganda-red-cross-launches-forecast-based-financing-for-real>

WFP FoodSECuRE:

<http://documents.wfp.org/stellent/groups/public/documents/communications/wfp269393.pdf>

epo (in German only):

http://www.epo.de/index.php?option=com_content&view=article&id=11647:klimawandel-drk-testet-neuartiges-fruehwarnsystem-fuer-naturkatastrophen1&catid=13&Itemid=55



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Annex

Annex 1: List of workshop participants

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