



**German
Red
Cross**



Federal Foreign Office

Report of 3rd workshop

Part 1

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

July 5th – 7th, 2016

Geneva, Switzerland



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1. Introduction

Natural disasters are part of everyday life in more and more parts of our world. With global climate change aggravating the occurrence and intensity of extreme weather phenomena there is an increasing need to manage these risks differently. While climate change poses a distinct challenge in situations of ever-growing complexity, the majority of today's natural hazards are predictable. It is therefore possible to prevent their devastating impacts, if risk information is utilized to act early and act effectively. Using forecasts as a tool to improve disaster preparedness needs an integrated approach to close the gap between disaster relief interventions and longer-term disaster risk reduction measures.

In light of this challenge the Federal Foreign Office announced the **Action Plan for Humanitarian Adaptation to Climate Change** in 2014. To improve preparedness for response in the reality of a changing climate an innovative mechanism based on extreme weather forecasts will be developed and tested in eight pilot projects.

2. Strategic Objectives of the Foreign Office Action Plan

In the first phase, from 2014 to 2016, the main targets are to:

- Advocate a paradigm shift towards an anticipatory humanitarian system (HFA2 2015 and WHS 2016);
- Establish a multi-stakeholder dialogue platform;
- Connect and improve existing extreme weather forecast systems;
- Develop a Forecast-based Financing (FbF) methodology;
- Conduct national climate risk analyses.

The second phase of the Action Plan, from 2017 to 2019, will focus on:

- Developing a Fbf financing mechanism;
- Establishing a priority list of countries most at risk and viable for Fbf mechanisms;
- Implement Fbf in other locations and with new partners;
- Introducing Fbf in the main policy processes;
- Advancing the methodology and conceptual editing of instruments.

3. Objective of dialogue platform (4 workshops, 2015-2016)

In four workshops hosted in Geneva over the next two years the Dialogue Platform works on establishing a space for solutions on climate change adaptation by drawing together the ideas of experts from a range of disciplines. The first and second workshop in 2015 brought together over 80 humanitarian practitioners, climate scientists, donor agencies and government representatives. Experience from current pilots by the World Food Programme and the Red Cross Red Crescent Movement (National Societies and the Climate Centre) was blended with scientific expertise to fine-tune the [Forecast-based financing \(Fbf\)](#) concept and share lessons and expertise.

In the third workshop expertise on the practice of developing and implementing standard operating procedures (SOP's) based on probabilities was needed. The pilot projects hosted in Mozambique, Peru and Bangladesh (implemented by the German Red Cross) and in Haiti/Dominican Republic, Nepal, Bangladesh and Philippines (implemented by the World Food Programme) are working on implementing the innovative Forecast-based funding mechanism simultaneously. Their experience and lessons learned are essential to shape a methodology with which to apply the FbF mechanism in a broader context.

Objective of the third workshop:

The focus of this third workshop was on [“The present and future of disaster preparedness – building a joint vision for Forecast-based financing”](#). For this third workshop, pilots shared experiences and lessons learned in the implementation of Forecast-based Financing.

4. Workshop Agenda

The two facilitators of the third workshop:

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

Tuesday, 5 July 2016	
9:00-9:15	Welcome Speech – Garry Conille, Under Secretary General, Programmes and Operations, International Federation of Red Cross and Red Crescent Societies
9:15-9:30	Introduction by Facilitators – Alexandra R�uth and Dr. Thorsten Klose, German Red Cross
9:30-11:00	High-level panel “Forecast-based financing: Investing in humanitarian action before disasters strike “ Federal Foreign Office, World Food Programme, Food and Agricultural Organization, Red Cross Red Crescent Climate Centre, International Federation of Red Cross and Red Crescent Societies, Inter-Agency Standing Committee, Munich Re
11:00-11:30	Coffee Break
11:30-12:30	Forecast-based financing – opportunities and potentials identified in pilot countries (Lessons learned in Peru; Special Case Fbf in Togo; Evaluation Results Uganda Project; FoodSECuRE Update Pilot Countries)
12:30-13:30	Lunch
13:30-14:00	Innovation Game
14:00-16:00	Market Place (Projects and concepts – pilot projects and governmental authorities) with short presentations
16:00-16:15	Coffee Break
16:15-17:50	‘ World Caf� ’ on “Advocating innovation – how can Forecast-based financing be integrated in your organization?” (ideas-challenges-framework-requirements)
17:50-18:00	Evaluation of day 1
18:00	Evening reception

Wednesday, 6 July 2016

9:00-9:15 Plenary	Welcome by the Facilitators – Thorsten Klose und Alexandra RÜth Agenda and rules for working together; Wrap Up Day 1
9:15-9:40 Plenary	Introduction of participants
9:40-10:30 Plenary	Presentations Second phase of the Federal Foreign Office Action Plan and FbF manual including a small game
10:30-11:00	Coffee Break
11:00-13:00 Break-out Sessions	Working group sessions (contributions to the manual): <u>WG 1:</u> Menu of triggers <u>WG 2:</u> SOP Design Government Level <u>WG 3:</u> Prioritization of Forecast-based Actions and SOP Design <u>WG 4:</u> MEAL (M&E, Accountability and Learning)
13:00-14:00	Lunch break
14:00-14:15 Plenary	Energizer
14:15-16:30 Break-out sessions	<u>WG 5:</u> CBA of FbF Actions <u>WG 6:</u> Selection Criteria for FbF projects <u>WG 7:</u> Glossary of terms <u>WG 8:</u> Risk Assessment and link to Fbf
15:30	Included Coffee break
16:30-17:45 Plenary	Reporting by the Working Groups (5-10 minutes each)
17:45-18:00 Plenary	Feedback and evaluation

Thursday, 7 July 2016

9:00-9:15 Plenary	Wrap up Day 2 – highlights
9:15-10:00 Plenary	Presentations – early warning tools and Fbf (GRC, WFP, UNDP)
10:00-10:15	Coffee Break
10:15 – 12:30 Break-out sessions	<p>Working group sessions</p> <p><u>WG 1:</u> How do we see Fbf in 5-10 years?</p> <p><u>WG 2:</u> Financing mechanism</p> <p><u>WG 3:</u> Policy – advocating for Fbf</p> <p><u>WG 4:</u> How to include Fbf in national strategies and ensure that Fbf builds on existing concepts and strategies?</p> <p><u>WG 5:</u> How to integrate new partners for Fbf?</p>
12:30-13:30	Lunch break
13:30-13:50 Plenary	Small game
13:50-15:00 Plenary	Reporting by the Working Groups (15 minutes each)
15:00-15:30	Coffee break
15:30-16:00 Plenary	Continuation of Reporting by the Working Groups (15 minutes each)
16:00-16:45 Plenary	Plenary discussion of key questions
16:45-17:00 Plenary	Final evaluation and closing

5. Day 1

5.1. High-level Panel

This high-level panel on “**Forecast-based financing: Investing in humanitarian action before disasters strike**” brought together experts and partners in the field of Forecast-based financing to discuss how their approaches reduce the humanitarian finance gap while increasing resilience of the poor and vulnerable. They will also discuss what needs to be done to take these innovative ideas and translate them into a multilateral methodology so that preparedness, response, and resilience building is funded and supported.

Objectives:

- Inform on the initiatives aiming to create an **anticipatory humanitarian system** using extreme-weather-forecasts to release humanitarian funding
- Discuss the different methodologies in terms of a solution for **potential donors or implementing humanitarian organizations** who would like to invest in Forecast-based Action; discuss with a high-level public on **opportunities to include Forecast-based Action** in existing humanitarian initiatives and funding mechanisms
- Discuss the **funding possibilities based on scientific forecast information**. What are the chances and challenges?

Discussion points on the panel:

- What did past disaster scenarios (see introduction – disaster pitches) show us? How can we use forecasts to take action before disasters strike?
- What does an anticipatory humanitarian system look like, considering the increasing risks due to climate change?
- What are opportunities and challenges to making a necessary paradigm shift?
- How to influence policy processes towards making funding available based on accepted forecast thresholds?
- Forecast-based financing after the World Humanitarian Summit?
- Financing mechanism: challenges and options.

Keynote speeches: Federal Foreign Office presents the humanitarian set-up and the need for an anticipatory humanitarian system. German Red Cross presents the progress of phase I of the Federal Foreign Office Action Plan and gives an outlook regarding the second phase.

Pitch presentations: Views of the different partners and their participation regarding the development of Forecast-based financing. Practical case studies, results, challenges and visions are presented.

- **WFP:** Focus on WFP Fbf pilot projects – first experiences; how to include Fbf in governmental structures?
- **IASC:** Early warning and readiness report of IASC (including La Nina)
- **FAO:** FAOs early warning approach and the link to Fbf
- **MunichRe:** Risks, insurance models and possible use in the humanitarian system
- **RCCC:** Use of climate information and extreme weather forecasts? What is possible? Limitations?
- **IFRC:** What does Fbf for a network like the movement mean? National Societies and their advantage for implementing Fbf?

Chair: Alexandra RÜth, German Red Cross

Moderator: Erin Coughlan de Perez, Red Cross Red Crescent Climate Centre



Picture of panellists © GRC 2016

From left to right: Praveen Agrawal, Country Director Philippines, World Food Programme (WFP); Anke Reiffenstuel, Deputy Head of Humanitarian Assistance, Federal Foreign Office (FFO); Christof Johnen, Head of International, German Red Cross (GRC); Garry Conille, Undersecretary General Programmes and Operations, International Federation of Red Cross/Red Crescent Societies (IFRC); Maarten van Aalst, Director, Red Cross/Red Crescent Climate Centre (RCCC), Andreas Wüstenberg, Programme Officer Early Warning – Early Action, Food and Agriculture Organization of the United Nations (FAO), Alexa Mayer-Bosse, Business Development Manager, MunichRe; Anthony Craig, Leader of Task Team on Preparedness and Resilience, Interagency Standing Committee (IASC); Erin Coughlan de Perez, Senior Climate Specialist, Red Cross Red Crescent Climate Centre (RCCC)

6. Day 2

6.1. Working Group Session I

a. WG1: Menu of Triggers

Facilitators: Erin, Flavio, Hassan, Bazo

Process

Presentation PPT, Prepared by Team Technical Advisor "Step by Step Approach to Develop Menu of Trigger", focus Bangladesh Case and some examples for Mozambique and Peru (Tropical cyclones and Cold waves)

Working Groups (3 groups)

Main points of discussion

1. Review and Analyze the available early warning system
2. Define the Danger Level
3. Assess the accuracy of the forecast crossing DL
4. Develop the Trigger options

Critical points

- Hindcast forecast
- How to validate danger level
- Lead time is enough?
- Deterministic forecast
- How to choose the Trigger from the menu of option

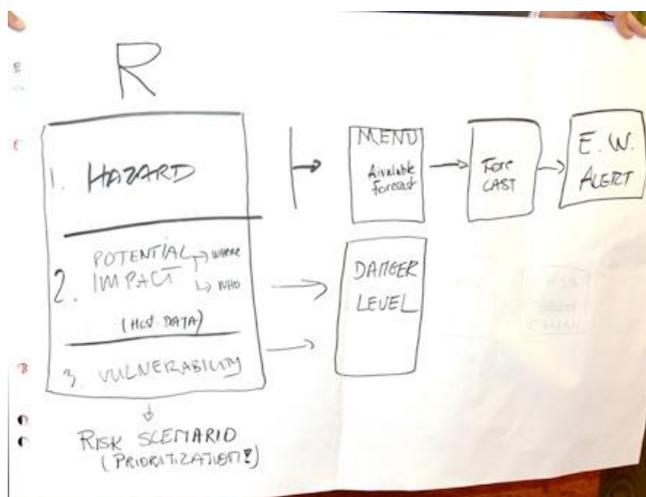
Main outcomes of the working group

Step 1.

Firstly, identify available forecast for the hazard for a vulnerable geographic area. Analyze the forecast availability, accessibility and capacity to use trigger to activate the SOP.

Step 2

- Do we have **forecast/hindcast data** to define/calculate danger levels
- Is DL already defined?
- What if the danger level is reached every year?
- Minimal data and forecasts availability in particular country or region
- How to define the danger level, who to talk/involve the community and how. etc?



Step 3 & Step 4

Different lead time (short, medium range and seasonal)?

Lead time defines the type of activities can be taken in between trigger and event.

What is accuracy against the lead time to choose feasible activity choice of probability?

Point where a follow-up is needed?

Focus danger level, analysis hindcast forecast, included other hazard as well

Main drivers of discussion (Who is most involved and interested?)

Scientists were more interested in forecast/hindcast for danger levels, for example if the danger level reaches every year? Or whether lead time forecast is enough for practitioners.

- All forecasts used in pilot countries deterministic forecasts?
- What difficult to implementing in pilot countries.
- Reliability forecast?
- Accesses data available in the pilot countries.
- Minimum data available enables fbf
- Hydro and Met service in the pilot countries offer climate and weather a climate products → **reliability?**
- International Forecast and National forecast?
- Different dangers levels different actions?
- Is the DL dependent on the socio political condition of the area and not fixed?
- Activity in the SOP and choose of trigger must be done in an integrated way.

All Technical Advisors

Recommendations for future events

Guideline for facilitators

Participants

Youcef Ait Chellouc (PO), Robert Grassmann (PO) Dunja Dujanovic (P) Sanna Salmela (P) Ahmadul Hassan (P, S) Flavio Monjane (S) Jevin Zsoter (S) Juan Bazo (S) Feyera Hirpa (S) Jesse Mason (S,P) Josuane Flore Tene (P) Carlos Centeno (PO) Rémi Cousin (S)



b. WG2: SOP Design Governmental Level

Facilitators: Manuela Reinfeld, Montserrat Barroso

Process

The working group process consisted of plenary discussions around 5 questions:

1. What is the final aim of the SOPs for government?

Expected output: Participants and facilitators better understand the different views of working group participants to then agree and define the kind of SOPs we are aiming at.

2. Based on your experience, what are the main gaps between the national / subnational policies/ internal processes on disaster risk management and the FBF methodology? How can these gaps better identified?

Expected output: Understand the different context of participants we are working with and main areas where we should be focusing on (gaps). The list of methodologies that can be used to identify areas of improvement / gaps.

3. What are the main aspects that we should be considering when building the SOPs for / with the national government?

Expected output: Establishment of criteria to consider when developing / improving SOPs – common to all contexts (could be included as part of the manual).

4. What would be the ideal steps to build / improve /design the SOPs?

Expected output: Standard set of steps that should be followed / taken into account.

5. Which actors should be involved in the SOPs development process?

Expected output: Awareness of the multi-sectorial approach of SOPs development.

Main points of discussion

The initial discussion was centered on what group members understood by SOPs as part of the FBF project and what would be the objective. Agreement was reached on the below points:

- SOPs or activation procedures could already be in place as part of the government policies. The work to be developed should be focused on how to integrate the activation of preparedness actions based on the information / triggers provided by the early warning systems.
- When talking about SOPs we refer to clear and agreed procedures for all stakeholders (government and partners) linking early warning, emergency preparedness and response.

Steps to take in consideration when developing/strengthening SOPs:

1. Understanding the context: Review existing SOPs / protocols, define the baseline (what it is existing) and approach government. Map the interlinkages of government agencies / ministries and other actors, review actors and processes/policies in place. Ensure that EW systems are appropriate to be used to trigger programme emergency response.
2. Identify the gaps and the areas of improvement in the processes at national and subnational level.
3. Define the areas of work – which risk, geographic area and specific actions to be taken.
4. Develop the plan and implement.

Test the revised or newly created SOPs / procedures through a simulation exercise, extracting the best practices, gaps and challenges and developing an action plan to strengthen the process (if needed).

Critical points

- Funding: a question mark was raised when discussing how to fund the activation of defined preparedness actions following EW triggers. This point should be developed in further discussions including options as insurances, emergency funds, or other existing funding mechanisms.
- The development of SOPs for the government is a long term process, one year is not enough.
- Strong advocacy supporting FBF is needed from donors and the humanitarian community. It will be good to develop case studies with the countries that have adopted the model.

Recommendations for future events

- Develop the concept for the manual based on specific examples already developed, and lessons learnt from the pilot countries.
- Present experiences of how the SOPs have been developed in specific contexts in the pilot countries.
- Share experiences on funding mechanism: insurances, emergency funds in the governments, etc.

Participants

Manuela Reinfeld – WFP HQ

Andreas Wuestenberg – FAO HQ

William Vigil – WFP Regional Bureau Panama

Elaine Angeles – WFP Philippines

Rebecca Achan – MunichRe

Andrew Kruczkiewicz – IRI / Climate Centre

Montserrat Barroso – WFP HQ

Alexandra Rueth – GRC

Raduka Cupac – UNDP

Stefan Scholz GRC

Olaf Neussner - GRC

c. WG3: Prioritization of FbF Actions

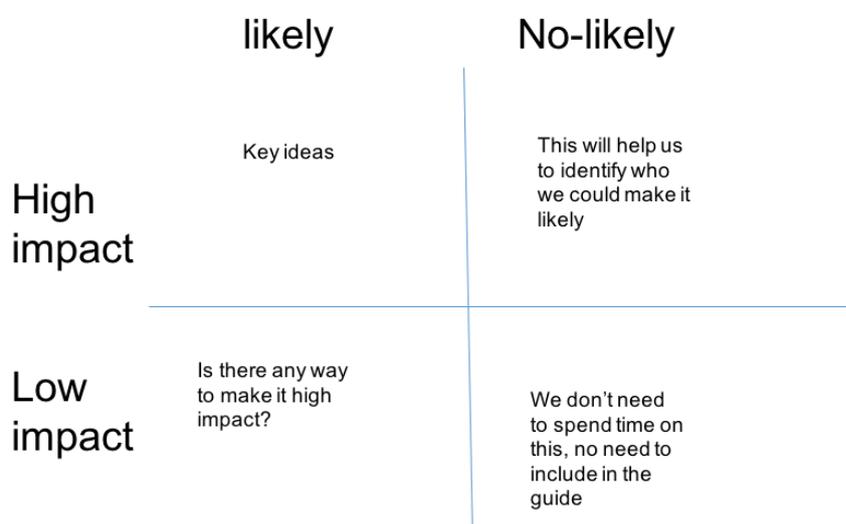
Facilitators: Catalina Jaime and Irene Amuron

Process

- To gather ideas about the ideal way/process to select and prioritize early actions that will be triggered with the forecast in order to prevent/reduce the risk of disaster.
- To gather ideas about the process to design a standard operational procedure for FbF.

Methodology:

- **Doctor Patient: How to improve Fb actions in Uganda**
- **Generating Ideas:** key activities to identify, select and prioritize actions
- Individually, each person will write on post-it all kind of ideas that will help them to identify, select and prioritize actions. They can take ideas from the FbF guide but also we want contribution of new ideas.
- **Likelihood of the ideas (20 mins)**
 - If the group is bigger than 10 people, we divide the group in 2.
 - In a pre-designed flipchart, each participant will share their ideas and will put the post-it in the place that indicate the likelihood and impact.
 - Diagram:



- This will help us to prioritize the key activities that we should include in the guide

Key questions:

- Which specific activities are crucial to be able to determine Early Actions?
- What is the timeline for implementation of those activities to be able to prioritize the forecast-based Actions?
- Which actors should be consulted and involved in the process?

Main points of discussion

Uganda Case:

How to improve the FbF actions selected by URCS?

Questions from Doctors:

- What was the process to identify the actions?
 - Vulnerability assessment, focus groups, timeframes were not very clear, community consultations.
- What the community members mentioned to need to be improved after the activation?
 - They were happy with what they received, everybody used the items that were distributed.
- Did you consider cash as a modality?
 - No. however, it is one of the considered alternatives.

- Which tools did you use to identify community priorities?
 - Community action planning process, games.
- How long was the lead time?
 - 30 days
- Were the actions sectored?
 - Yes, by food security, shelter, WASH and health.



Solutions:

- Need to innovate, from the traditional actions, need to research about innovative actions that other organizations have done in the context of floods
- Selection of actions could be more flexible – is a standardization effective?
- Revise the SoPs – make them flexible and specific to context
- Scoring system, value to identify feasibility. High impact, low impact, identify relevance.
- Identify historical information of impacts and disseminate better early warning information on time.
- Develop a specific VCA FbF tool, information has to be more specific, more data has to be collected to identify the risk/problems that could be tackled by a FbF intervention.
- Quality is a priority. Quality controls systems should be implemented.
- Use PASSA tool for shelter and matrix scoring to identify other early actions.
- Sound knowledge of main livelihoods at risk
- Engage a Focus Group Discussion to identify what worked and didn't work in the previous action of trigger (previous EWS implementation)
- Meeting with disaster managers to help prioritize actions. Need to conduct an analysis about relevance of and Cost benefit analysis the FbF actions and engage M&E consultants to support the National Society or organization implementing FbF.
- Design a predetermined menu of actions that provides information about feasibility.
- Consider cash transfer an opportunity: do we have a problem? It is a new concept? Cash could be used for several kinds of early actions and preparedness for response actions.
- Assess the losses from the previous floods and focus on solutions to avoid the losses

Critical points

Key question:

FbF objective is to minimize risks or improve response? Consider the review of FbF objective to enhance response capacity of organizations. Eg. Preposition stocks for NS/NGO level actions.

- Improve communication among actors to be able to identify actions.
- Identify specific historical impacts
- Involve experts in the field of EWS and Disaster Management in the definition of the actions. Also people specialized in the different sectors that could be engaged.
- Selection of actions could contribute/improve government policy, public policies.
- Sound review of existing early warning system (which actions already exist and their performance)
- Identify risk, review contingency plans, understand all existing EWS
- FbF link top-down with bottom-up approaches, strength is the involvement of the community and other stakeholders.
- People don't view themselves as victims of circumstances / people can take their own actions, therefore cash could be a good alternative for FbF.
- VCA tool is useful to identify actions (the last stage of VCA includes identification of Mitigation, prevention and preparedness actions, which could also include early/preparedness actions based on forecast)- need to design FbF specific VCA
- IFRC DMIS could serve as trigger. The trend of information shared on DMIS could supplement triggering of action

- Continue doing advocacy for FbF within the National Society and other organizations.
- Capacity building at community level in DRR in order to promote a better selection of preparedness actions.
- Engage insurance companies for slow onsets disasters.
- Engage networks such as Start network: uses INFORM, to identify gaps in data.
- Use of 3W to find gaps in potential response (engaging cluster system to identify preparedness for response actions)
- Take into account already existing contingency plans that could be match with menu of triggers.
- Develop diagrams that link risk factors (hazards, exposure, vulnerability) with impact. (this is part of the risk assessment process)
- Liaison with DM department to align with disaster preparedness and response plan.
- Involve key stakeholders to build in already existing actions.
- Clarify concepts (for example in Togo RC people was confused with the concept of SOPs)
- Define who does what, roles and responsibilities is key for SOP implementation.
- Use IFRC Tool Framework for community resilience to identify actions.
- Pick some lessons from Start Network: uses scenario building - score matrix (groups of experts that look in possible scenarios to be to identify possible impacts and actions related to those impacts.
- Search for information at regional level, not necessarily at country level.
- Promote Peer to peer exchange to promote adoption of new ideas/best practices.

Main outcomes of the working group

Unfortunately most of the participants have not read the guide provided so some of the ideas mentioned were already part of the manual, however those ideas were reinforced and new ideas were provided.

Point where a follow-up is needed?

All the participants of the working group will receive the updated guide for Prioritization of Forecast-based Action for peer review. A working group will be set up in order to define the final version of the guide. A repository of actions will be developed as a guide of innovative ideas.

Main drivers of discussion (Who is most involved and interested?)

Given that the methodology was participatory, all the participants had to write down their ideas before sharing them, all of them had a chance to express their opinions. The discussion was very much Red Cross oriented given the number of participants, however WFP and start Network offered a different point of view that balanced the discussions.

Recommendations for future events

Create a strategy to make sure people read documents in advance.
Adjust the time to be able to cover all the planned activities to promote discussion.

Participants

Stephanie Lux, Joachim German Red Cross, Luke Caley – SN, Thomas IFRC, Sanne IFRC, Pedro WFP, VAM WFP, Frankfurt Schools of Finance and Economics

d. WG4: MEAL

Facilitators: Meghan, Steve

Process

Introduction: Why did you choose this WG?

- Different values and approaches and priorities of people, how is this integrated in the project/process
- Touches every aspect of a project
- Adjustment and correction of mistakes, identify failures
- Indicators, how do we monitor? Methods: Project implementation level, organizational change level
- Do we have the right procedures? Staff?
- Evidence gathering
- Learn from other experiences, contributions by other projects
- Governance and decision making □ what can we learn from M&E?
- Pilot Mozambique: Include M&E in SOP development and implementation □ how can we make it efficient, keep it simple to practically include it without using too many resources?
- Supporting country officers
- Designing a M&E framework
- Reflecting on target fulfillment instead of benefit of the doubt: quantitative evaluation (although qualitative is equally important)
- Clarity of purpose, prove what we did and how, in a simple form
- Sustained change □ Learning: Not everything works, exchange with others, for them to take forward ideas

Objective:

Use lessons learned from M&E done so far □ to adapt framework to suit the pilots

- Extent of monitoring and data collection differs
- What is the minimum standard for M&E?
- What is the ideal?
- How does Accountability and Learning fit in?



Concerns:

- Donor perspective: Financial efficiency, tangible results
- RC NS perspective: More important to develop FbF M&E steps that fit into the larger programme of society (?) learn how to design it, select indicators, to track what for which reasons, which questions need answered □ to help build the capacity of the NS instead of externally imposing the standards on the project (Bottom-up approach) □ enhance larger M&E embedded in processes of NS/partner
- Not only impact monitoring, but also project, process and organizational monitoring □ need for different sets of criteria (also FbF specific)
- How does this change when we are no longer at the pilot stage □ right now evidence-based focus □ are MEAL requirements less after the pilot stage? Or do we continue to monitor at the same level?

Experience from Saju (Impact evaluation Cash Programme Bangladesh):

- Consultations with communities and at government level
- Ownership issues
- Beneficiary (criteria) communication system, feedback
- Monitoring from the top level less effective than from bottom level (?)
- Committees (?)
- Indicators/Criteria: through consultation

- Dissemination of results to the communities
- Know now why some people were not included as beneficiaries
- BenComm approach: guideline how to implement it (at community level CDMC?) □ complaints which can't be solved are sent to a higher level (dissemination)
- Community radio

M&E Framework:

Main components of what has been done in RCCC pilots explained briefly; then group work: Which are minimum standard and which are ideal, new parts needed to be included

- Collect data on impact (results)
- Collect data on process (implementation, disruptions, divergence from plan)
- Facilitated process on reflection and analysis □ what do we attribute to our intervention, what is no direct consequence? (surveys, workshops, collaborative process with stakeholders)
- Produce a logframe
- Interviewing beneficiaries through randomization
- Use representative samples (with a strategy, not convenient sampling) □ should be unbiased!
- Use a comparison group (can be uncomfortable, requires talking to people who haven't provided support to, to have attributable results, statistical issue □ baseline)
- **Theory of change****: logic of impact of steps, cause and effect; what is the expected impact, what are we trying to collect data on (last point of theory of change, inbetween is only process)
- Focus groups with beneficiaries
- CBA ratios
- Endline data
- Baseline data
- Reporting divergence of SOP implementation

****Theory of change:** Water purification tables (Impact eval.)

- Problem: waterborne diseases
- Impact: Less diarrhea
- Critical: Where the tablets distributed? Attribution gap, distribution is a requirement for the impact
- Knowledge basis needed to understand linkage, more thought on why we select specific indicators and if we can actually measure them
- Short-term or long-term perspective
- Participatory impact evaluation, community-level consultations to see impact

Main points of discussion

Difference between learning about the

A. FbF pilot (using climate science to trigger pro-active actions that are financed through innovative mechanisms)

vs

B. learning about what changes add value (what works) (i.e. how to manage or reduce the prevalence or incidence of diarrhea, or what are appropriate poverty reduction actions for very poor populations) (operational monitoring vs. mechanics of method, approach, learning about this new idea, conceptual learning)

- Purpose of M&E should be clear: What is the question? What is the point of your evaluation? i.e are we learning about the finance mechanisms, efficacy of the climatic trigger or how/when to what utility was the action?
- Need for a systematic way of capturing things

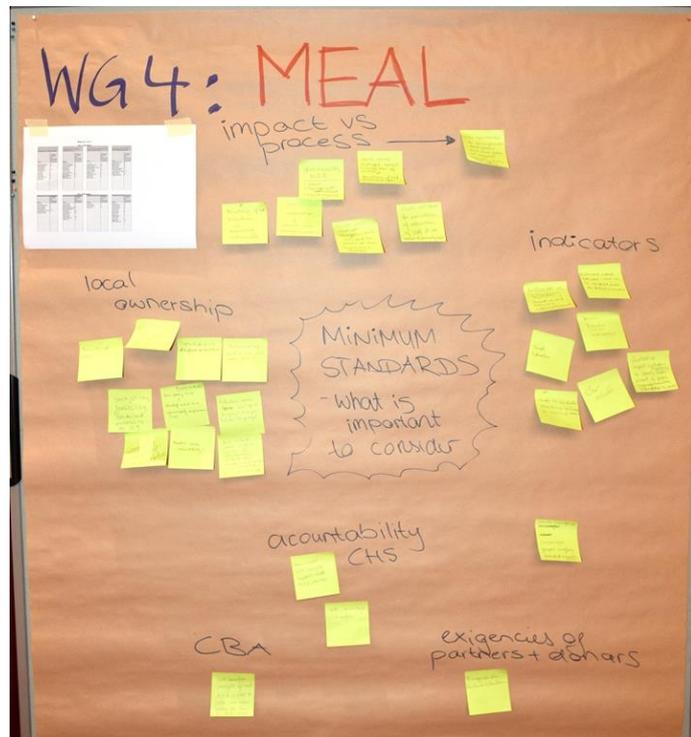
Critical points

- Internalizing the M&E process (training staff) or bringing in an expert □ will depend on benefit seen from this (Togo gov. rep.)

- Costs and local capacity: Needs to be part of the SOP to be funded and need the experience to carry it out (Moz. Pilot view)
- Feasibility
- Truth-telling: Does a survey/workshop reflect the truth or are we told what we want to hear? (Moz. Pilot view)
- Comparison group selection: Why were they excluded from benefits (if they have the same vulnerabilities), just to have comparable data? Justification issue, maybe best to forego beneficiaries and talk directly to experts with the data (Togo input: radio spots to reach people with a questionnaire in the whole region, gathering information, get help from people as a comparison group) □ Ethical issue | Reality is that we are focusing on a small number of communities right now anyway, no deliberate exclusion
- Is impact evaluation more a question of cause and effect, larger issue of have we selected the right actions (Action research)
- Use of past data

Main outcomes of the working group

- Impact: It needs to be evidence-based and demonstrable – avoid using rhetoric or terms that can not be easily measured
- FbF is hard to evaluate □ right now evaluation of intervention instead of process, focus more on project level; but the selection of triggers and methodology more important for other organization
- Innovation of FbF is methodology and process (approach), not so much the actions □ has more power if we can compare different approaches
- Are we asking the right questions? We have to measure the outcome but also the process, the pathways of how we get people to act □ how did we make change happen instead of technical



Questions by reporter and response by interviewee:

- 1) What do we monitor and evaluate?
Explaining the difference of impact and process monitoring
- 2) Who is involved in the FbF M&E?
Ensure engagement of different actors, ownership (beneficiaries, donors, governments, etc.)
- 3) How do we systematically capture and learn from results?
Indicators, ability to capture information /access, use of theory of change

Main points from facilitators perspective:

The main concerns individuals have with the system as it is currently set up are:

- A. The time and resources it takes to monitor and evaluate are more than many practitioners are used to devoting to non-implementing activities. There is also a perception that time and money devoted to M&E is at the expense of time and money devoted to implementing project activities. We need to build the sense that **evaluating can make all other aspects of project implementing better and more cost effective** in the long run. We also need to make rigorous evaluation part of the work package of staff so it is not seen as taking time away from their 'real work'. The

- many steps of the ideal and minimum criteria may also feel overwhelming to practitioners who are used to using only logframes.
- B. Some practitioners are uncomfortable with comparison groups as it is perceived as exclusionary (unethical to withhold support) although coverage within the pilots is not universal. We need to provide information on these and other common **ethical concerns** within the guidelines. We may also want to provide counter ethical concerns, such as spending humanitarian funds
 - C. Some practitioners are skeptical about how much we can trust **information** that comes from the community level as respondents may be giving **responses based on a desire to please or a desire to solicit more support**. This is a valid concern and we can never completely eradicate these risks. There are however many methods that researchers and evaluators use to try and reduce these biases. We should have a section in the M&E guide about reducing these risks through question formulation, providing the right framing in the introduction of the survey, proper training of interviewers, etc.
 - D. Some practitioners felt the **role of qualitative data** was under appreciated within the MEAL framework, especially direct observation and open ended interviews. These methods require a more skilled data collector on the ground than the collection of survey data. These methods have been minimized within the existing MEAL as a result of capacity constraints and the need to keep the evaluation 'right sized' (extensive enough to fulfil the objective, and no more). However, the new 'Choose your own Adventure' format of the MEAL guideline provides an opportunity to add more qualitative and participatory components if national societies are inclined to try them.
 - E. Some practitioners feel **evaluation data is exposing** and that they could be blamed for results that suggest the expected impacts were not realized. We need to create a safe space for negative results and find a productive way to deal with them and learn from them. This will be a long process centering on moral support from donors, GRC and RCCC, and making expectations clear. We may want to introduce alternative indicators of staff success, such as mainstreaming the ability for critical analysis of programming into whatever processes are used within national societies for assessing staff achievement.
 - F. **Clarity of Purpose** – is learning limited to understanding how this new approach works – to allow for replication? Is it trying to prove impact in a population for a donor?
 - G. Where is the learning vested? i.e. who owns the "pilot" – the government you are working with? The NS? PNS who want to replicate this approach in other NS? **Learning must be structured** to address the right audience.
 - H. Need for a simple, **comprehensive explanation** of FbF that captures the range of applications and interests – so that learning can then be situated within a larger framework – that in turn can help move the initiative forward.

Main lessons learned:

- A. The steps of evaluation are more complicated and take more time to understand and develop a working knowledge of than originally perceived. We need to spend time **demystifying several of the steps of the MEAL framework**, especially the development of a theory of change. The training to understand the basic components of an evaluation may need to be more extensive than the day-long sessions I have been doing. We should follow up on any capacity development training that is happening within PNS and NS, as well as IFRC to see how we can collaborate to bring up the MEAL capacity of the movement.
- B. The impetus to rigorously evaluate is still not universally shared. Many practitioners are comfortable with monitoring and using logframes but evaluations which require more time and resources seem overwhelming and possibly redundant. **Advocacy work is required** to get people on board and excited about using evidence to professionalize our work.

- C. The **exact responsibility for evaluating needs clarification**. Who is responsible to do what and where the funds for MEAL are coming from needs to be clear to all parties.
- D. We need to clarify what the evaluation **expectations** are **for pilots vs normal programming**. The impetus to evaluate is greater for pilots than for ongoing programming. Monitoring with ad hoc evaluation may be sufficient for ongoing programs where strong evidence of impact was previously established.
- E. The **accountability and learning components of MEAL** are still under-developed. We were not able to address these components sufficiently within the DP session. We should monitor Uganda's treatment of their results carefully to guide learning components. We may need to try out the accountability and learning components a few different ways, as we have done with the M&E components before we can come to an agreed upon way forward. As few pilots have triggered and then completed the M&E, there is still a lot for us to learn about the best way to learn from these results and be accountable upwards (to donors) and downwards (to beneficiaries).

Point where a follow-up is needed?

→ **Categorization of minimum and gold standard**

→ **Accountability & Learning:**

To evaluate approach, control group makes sense to develop evidence

Main drivers of discussion (Who is most involved and interested?)

Did certain people take responsibilities for tasks? There was broad participation by the group, with a lot of contributions by Janot (Togo pilot) and Konstantze (Mozambique pilot) both sharing their experience and concerns from their work with the pilots.

Recommendations for future events

We did not get to focus sufficiently on the accountability and learning aspects of the MEAL framework as we struggled to get through the M&E sections. It would be good to have another discussion on accountability and learning at a later date.

6.2. Working Group Session II

a. WG5: Cost-Benefit Analysis

Facilitators: Erin

Process

1. Shared experiences and examples of CBAs
2. Used “answer with your feet” to discuss whether and how CBA should be used for FbF
3. Did a SWOT analysis of the use of CBA for FbF

Main points of discussion

Examples of CBAs:

- WFP example showed 50% reduction possible through early action for food distribution rather than emergency response
- Bangladesh Red Crescent FbF study showed returns would likely be 3-fold for investing in cash before rather than after a flood

Major discussion points CBAs:

- There are many indirect impacts or unanticipated impacts
- Difficult to monetize non-monetary impacts
- One option is to do a Social Return on Investment
- Is the CBA for convincing the donor?
- Is the CBA for picking the optimal project interventions?
- Is the CBA for reporting impact?
- If there is such a clear business case (positive CBA) then why waste donor money; this should be implemented already from normal financing mechanisms and save money to the organization.

CBA in the FbF Manual?

- Include in the screening chapter: does this project have a return on investment?
- Include in the trigger chapter: pick a probability trigger based on CBA results
- Include in the evaluation chapter: what were the outcomes?

Critical points

- CBA should be in the FbF manual, but not as its own section.
- The manual should reference existing CBA methodologies that are recommended for people to use at certain moments.
- We should generate a repository of CBA evidence that can be used by other organizations, so they do not need to repeat the same analysis

Main outcomes of the working group

SWOT Analysis for CBA in FbF

Strengths:

- Guides programming and priorities
- Allows to screen FbF actions, ex-post and ex-ante, for effectiveness
- Guides the preparation and concept phase
- Relates the trigger probability to the action selection

Weaknesses:

- New approach – will need investment and capacity building
- Expensive and time consuming to do every single time
- We may not cover all aspects of costs and benefits
- Over technical and over complicated
- Difficult for some actions to calculate returns (social return on investment)

Opportunities

- Make the case for FbF interventions – an advocacy tool
- Attract funding
- Serve as the basis of learning – are early actions valuable?

- Identify which actions are most cost-effective
- Support the design of FbF interventions
- Promotes the efficient use of funds and leverage
- Has the potential to increase access by private sector

Threats:

- Local actors don't understand it
- Demonstrate the cost of actions via non-governmental organizations
- May be difficult to maintain quality standards
- Risk of undervaluing some critical response actions
- CBA concludes that you should always act
- Misses quantitative data
- Poorly done CBAs overstate results

Point where a follow-up is needed?

1. Integrate CBA into the relevant chapters of the FbF manual, referencing guidance from other organizations.
2. Convene a CBA working group to meet more regularly and share experiences, discuss the possibility of a CBA repository where organizations can put their CBA results and other organizations can use them. Also discuss the possibility of having the working group comment on these CBAs as they are being designed, executed, and reported on.

Main drivers of discussion (Who is most involved and interested?)

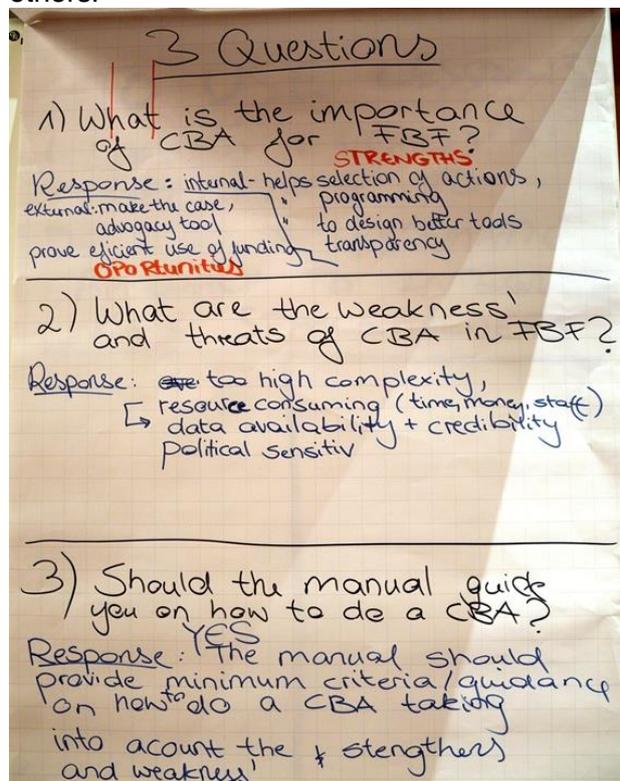
Nice discussion; good participation. Luke Caley of the START Network offered to take over a CBA working group in the future.

Recommendations for future events

Good to have a working group meet in the interim and work on these concepts; only follow up on critical questions from that group during the DP.

Participants

WFP, RCCC, Frankfurt School of Finance, START Network, IRI, German Red Cross, many others!



b. WG6: Selection Criteria for FbF projects

Facilitators: Olivia, Catalina

Process

1. Warm up: participants paired up. One argued for and one argued against selection of a possible FbF project scenario they were given on a slip of paper.
2. Two sub-groups discussed and recorded their 'vision' of a perfect FbF project from the perspectives of donors, implementing agencies and communities.
3. With the key features of the vision in mind, participants divided into 4 sub-groups and analysed the 4 categories of selection criteria contained in the 'Criteria for identification and design of Forecast-based Financing interventions' document. Participants provided: comments and suggestions for improvement on the existing selection criteria, and; suggestions for additional criteria.
4. Sub-groups placed red stickers next to criteria they deem 'minimum standard' – i/e without these factors in place, FbF would not be viable. They placed gold stickers next to criteria they deem 'gold standard' – good to have, but not mandatory to FbF success.

Main points of discussion

'Vision' of the perfect FbF project:

- Impacts of disasters on communities are measurably reduced
- Actions are sustainable and reliable – communities can rely on the ongoing support of implementing agencies and/or
- Implementing agencies have an exit strategy for the FbF intervention
- Strong community ownership – especially of SOPs
- Stakeholders/agencies working in the EWEA space in a country/region collaborate on FbF
- FbF system is eventually embedded in or supported by the national government
- Communities may like multi-hazard FbF
- FbF is integrated into DRR/CBDRR programming, but also functions well as stand-alone.
- FbF is financed through existing financing mechanisms such as DREF
- Ideally, FbF is targeted to events that exceed the capacity of governments and communities to cope.

Factors that could constrain success of an FbF intervention include:

- When the hazard is very rare and the FbF system would not trigger very often
- Where the main risks fall outside the core mandate of the implementing organization
- Short lead times (less than 72 hours, but especially less than 24 hours) could constrain meaningful preparedness actions.
- Where implementing agencies are not already experienced in preparedness, setting up the capacity and infrastructure required for an FbF system would come at a high cost that would possibly not be worth it for the return
- Where there's low met agency capacity to forecast hazards, would need to consider ability to build sufficient capacity in the timeframe of an FbF project.
- Areas with high turn-over of people (such as informal settlements) may be difficult for SOP development/community ownership
- Individual community scale interventions can make it difficult to forecast some hazards with required degree of accuracy – particularly floods

Factors that can increase success of an FbF intervention:

- Targeting actions and scale of intervention to forecasting capability – e.g pre-positioning stock for distribution in a wide region if fine scale forecasting is impossible.
- FbF can often have the biggest impact where baseline capacity for preparedness is lacking as it builds capacity to do this – the most difficult situations are often the highest impact!

- Where implementing agency capacity is low, targeting interventions at a small scale with appropriate actions (low regret if forecasting capability at a small scale is low) can be highly effective

Critical points

Forecasting capability is perhaps the most crucial set of criteria. The ability to forecast the target hazard/s for FbF at lead times that would enable meaningful actions should perhaps be one of the first things examined.

Many suggestions were made to improve selection criteria and these are provided in separate document.

Main outcomes of the working group

Suggested improvements to the selection criteria – see separate document

Point where a follow-up is needed?

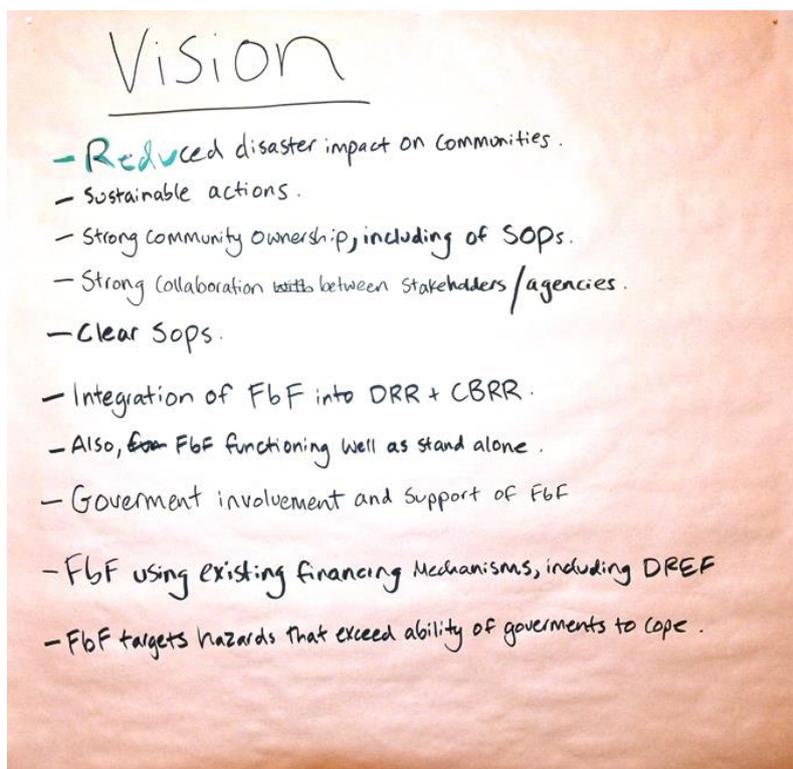
Will need to follow up with Liz Stephens on the technical aspects of the forecasting capability criteria

Main drivers of discussion (Who is most involved and interested?)

All were equally involved and interested. IFRC seemed particularly interested in the vision discussion.

Recommendations for future events

Next time I would dedicate almost the whole session to working through the selection criteria. The session on 'vision' was interesting and sparked a lot of pithy discussion but it did not really help the group to critically analyse the selection criteria as I thought it would.



c. WG7: Glossary of terms

Facilitators: Laura Fontaine

Process

A selection of key terms was made for the purpose of the working group:

Two subgroups discussed key questions on terminology, reported back to the larger group for discussion and seeking consensus.

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 points of discussion

- Simplification / ease of access of definition (including meaning when translated)
- Merging of some terms / definitions in the glossary

Critical points

- Action, Action in Vain, Action lifetime – should we merge? Should we detail more?
- Danger level – Do we agree on proposed definition?
- Financing mechanism, forecast based financing – Should we merge? Should we simplify?
- Return period or probability of occurrence?

Main outcomes of the working group

Recommendations for improvements:

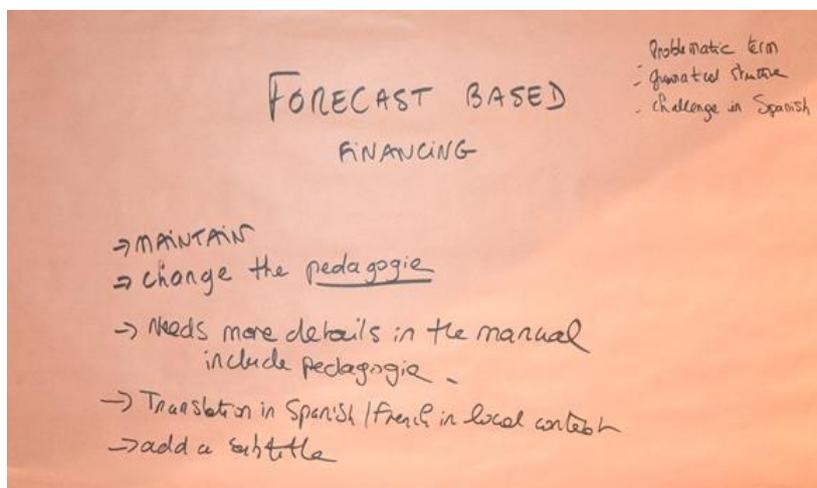
- Action in Vain: use a better example, define within the body of the manual, not in the glossary
- Danger level: change the example, need something simpler
- FBF: need to simplify the definition, proposed definition: A mechanism that enable access to funding for early action based on credible forecast.
- Use the term 'average probability of occurrence' rather than the term 'return period'
- SOP can also be called 'Early Action Protocol' specifically when translating into other languages

Point where a follow-up is needed?

Revise glossary of terms according to the above criteria.

Main drivers of discussion (Who is most involved and interested?)

All were equally involved, good momentum given the nature of the subject.



d. WG8. Risk Assessment

Facilitators: Andrew Kruczkiewicz, Catalina Jaime

Process

Section 1: Introduction and interactive exercise

Interactive Game: The working group (WG) began with a short, yet effective 'serious game'. SNAP was facilitated to accomplish 2 goals. First, as an ice breaker and second, to encourage participants to brainstorm common themes. The question asked in the last round of SNAP was, "When you think of risk assessments, what are some terms that pop into your head?". It should be noted that right away participants were excited to play, but a few asked if this exercise included vulnerability assessments (as some participants claimed their respective departments/organizations only carry out vulnerability assessments- such as WFP).



Section 2: Presentations of use cases of Risk (and Vulnerability) assessments.

IFRC

Kare presented the methods used by IFRC in order to utilize risk assessments in planning their activities.

Kare described the Red Cross movement VCA approach

It is a participatory approach, involving community member mapping of at risk areas

RCRC Climate Centre Forecast Based Financing

Hassan presented the Bangladesh FbF pilot approach to risk assessment.

- Try to link hazards with value of assets to assess impact
- Capture the perception and expectations of the community
- Identification of where hazards may differ, where perceptions of hazards may be different. This may inform the project design.



WFP

Carlos presented on the methods of WFP

Do not have risk assessment, instead conduct VAM, Vulnerability Assessment and Mapping.

For larger scale analyses, a Comprehensive Food Security and Vulnerability Analysis

CFSVA is conducted, answering the following questions:

- Who are the food-insecure and vulnerable people?
 - How many are there?
 - Where do they live?
 - Why are they food-insecure?
 - What is the appropriate assistance to reduce vulnerability and food insecurity?
- ➔ One of the key differences, is that they are not looking at community level. Looking at large geographic range.
- ➔ Tools include household surveys, mobile phone based assessments, increasingly greater use of remote sensing.

- ➔ WFP thoughts on FbF- *“in any FbF project, need to prioritize distribution. Vulnerability cannot only be about exposure to risk and food security. These indicators can be used for other things as well”*

Main points of discussion

- The difference between Risk assessment and Vulnerability assessments
- What is the difference between community consultation and risk assessments?
- How do we integrate social risks and natural hazards?
- how do you start? do you start with the risk? or do you start with some hazard identification?
- Why is risk assessment important/useful in FbF. Why shouldn't we just take a forecast and assist random people.

Critical points

- Risk & Vulnerability Assessments (RVAS) are highly useful, but the group spent time on which ways it is useful to develop an action plan. We discussed different types, EOS, Risk assessment plans, vulnerability plans..... but can we create a time line, for example like something that will trigger the utilization of an assessments?
- RVAS can provide target groups, present actions for those target groups.
- RVAS can support prioritization of hazards, especially in a multi-hazard situation

Main outcomes of the working group

- Try to link the risk assessment to triggers. how does it or does it not inform triggers- it can be a political question, depending on the risk to the vulnerability, it is also exposure, but it is difficult to get around the politics, but joint assessments are needed so that all parties are in agreement. Share the risk across
- Risk and vulnerability assessments (RVA) can and should be used in various stages of FbF development. Although there were differences in opinion on in which step would be best.
- Note that it still wasn't made clear how to link specific outputs of RVAs with steps in FbF. (One of the goals was to link a specific output, for example an assessment of where heightened risk of cholera is likely to occur may be directly linked to the step of developing SOPs, in the sense of defining how to prioritize action.
- ➔ RVAs could potentially be useful in the context of various steps of developing FbF, but also in the sense of rethinking the manual as more of a guidance document or a checklist. Like a minimum standards of developing FbF, for example.

Point where a follow-up is needed?

WFP: It would be great to follow up with Carlos regarding the risk assessment methods they use.

Main drivers of discussion (Who is most involved and interested?)

The Presenters. World Vision, Joint Research Centre and ECMWF. FAO.

Recommendations for future events

While this WG afforded the space for a nice discussion, I am not sure the discussion of risk assessments in general are of prime importance for the next DP. Perhaps we can migrate the ideas here into a new WG maybe focusing on how RVAs can be use to support individual steps of FbF.

Participants

Kurt Burja – WFP Nepal
 Carlos Genteno – WFP Bangkok
 Dunia Dujanovic – FAO Rome
 Catalina Jaime - RCRCCC
 Nelson Akibode - Togo Ministry of Environment

Karemeri Ndungu – IFRC
Sophie Haines – Oxford University
Olaf Neussner – German Red Cross - Bangladesh
Marla Dava – German Red Cross Mozambique
William Vigil - WFP Latin America
Raduska Cupac – UNDP
Sanna Salmela – IFRC
Greg Grimisch – OCHA
Maggie Ibrahim – World Vision
Ervin Asoter - ECMWF
Feyera Hirpa –EC Joint Research Centre
Hassan Ahmadul - RCRCCC

7. Day 3

7.1. Working Group Session III

a. WG1: FbF in 10 years

Facilitators: Pablo, Catalina

Process

Dynamic methodology using games and art to explore the possible future of FbF:

- Answer with your feet: most of the people had a clear idea of their current and future role in FbF in 5 years.
- Art and FbF: each participant drew a representation of FbF in the future, then the team interpreted all the drawings from different points of views.
- Step by Step process

1. First, each of the ~8 participants got a blank paper & color markers, and was invited to make a drawing representing two or more possible futures of FbF. I showed two examples (big circle vs small circle, representing options in terms of scale of growth, and the attached representing options between central control, distributed autonomy, or organized collaboration)
2. After a deadline (~4 minutes), formed groups of 3-4 people. Each person held her drawing on her chest (for others to see), while examining the other persons' drawing.
3. In each group, one player becomes 'the artist' and other players become 'the art critics'. First, each art critic says one FbF thought inspired by the artist's painting (ideally what visions of the future are evoked by the drawing) - it doesn't have to aim to be 'the correct interpretation: the critic just needs to share thoughts about the future of FbF inspired by the drawing, even if disconnected from the artist's intention. After all art critics share their thoughts, the artist thanks the creative interpretations, and shares her own intention. When one artwork is completed, another participant's drawing becomes the center of attention, repeating the 'art critic, then artist' cycle of comments until all players have become the artists. In this way, many ideas emerge about visions of possible FbF futures
4. If time allows, mix into new groups of ~4 people, and repeat, but faster
5. Place all drawings on the floor, spread apart. Invite all participants to walk about the space and examine each drawing, aiming to select the one that captures the most important issue about the future for FbF (or the issue they most want to explore further). After a minute, give a short 3-2-1-Stop! countdown (by end of the countdown, each person needs to be standing next to one artwork)
6. The newly formed groups discuss the vision for FbF triggered by their chosen drawing, and create a new drawing (inspired by all the drawings they saw plus all the discussions etc), and present to plenary.



Main points of discussion

Possible futures:

1. *FbF implementation is independent in every context/country.*
2. *Some contexts/countries implement better interventions than others, there is no more complementarity between different approaches.*
3. *FbF implementation is all interconnected in all the context, although they remind unique, there are part of the same learning process.*

Key points from drawings interpretation:

- Geographical scale of FbF. Projects will be scaled up geographically from community level to national/regional wide level.
- Funds will be more available, more donors are engaged.
- FbF is part of national DRR strategies
- Systems will be integrated, FbF is part of local /national government plans
- Science will be available at community level, it will be quick and effective.
- Leadership positions drive the success for FbF, engagement of senior leaders at institutional and government level ensures the inclusion of FbF as a strategic priority in the DRR agenda.
- FbF is accepted as part of an existing DRR system, linked to a system of social protection.

Critical points

- It will take time to **harmonize science with vulnerability reduction**, science is faster than poverty reduction, therefore we will face a time when forecast is very advanced but community development work remains a major challenge.
- **Funding gaps in the DRR agenda** could be a threat to access anticipatory funding. The DRR funding gaps has been highlighted as a critical issue for the implementation of the SFDRR.

Main outcomes of the working group

- There are still many **challenges at institutional level** to design and implement FbF interventions
- FbF is still a small scale intervention
- Lack of clarity between the connection between EWS and FbF.
- Good opportunities of having different FbF approaches.
- **Vision:** FbF should be implemented as part of a system, for this RC is open and flexible to work with others. Working with several stakeholders is an advantage for continues learning. Alliances and bringing people onboard is necessary to continue building and FbF community. .
- DRR financial mechanism (SFDRR) are not set up yet, this could be a risk for FbF
- Changing government mindset is a main challenge in order to promote anticipatory approached for early warning.

Point where a follow-up is needed?

- Tackling DRR funding GAP
- Engaging more partners to identify a common vision.
- At this point there are different possible future scenarios, there is not consensus yet about where we are heading to.

Main drivers of discussion (Who is most involved and interested?)

All the participants (8 people) were fully engaged in the discussion. The different points of view of each participant enriched the discussion that was finalized with the design of a common drawing.

Recommendations for future events

None mentioned by the group or facilitator. Rapporteur: More time at the DP for debriefing and more analysis. Based on the different reflections, define together possible future scenarios, including potential challenges and mitigation actions to overcome those challenges.

Participants

Youcef Ait Chellouche, Uddin, Muhammad Mamtaz, WHH from Bangladesh, Stefanie Lux, Cecilia Costella, Juan Bazo, Joachim Schröder, Irene Amuron, Catalina Jaime

b. WG2: Financing mechanism

Facilitators: Andrew

Process

Section 1: Introduction and interactive exercise

1015-1045 Interactive Game: The working group (WG) began with a short, yet effective 'serious game'. [SNAP](#) was facilitated to accomplish 2 goals. First, as an ice breaker and second, to encourage participants to focus on the financing part of fbF. The specific question asked was, "When you think of the financing part of FbF, what terms come to mind?" It is interesting to visualize these terms, with many terms stated only once, and 3 much more frequent. The frequent terms include, "Insurance, Fund and Flexible".



Section 2: Presentations of Existing Financing Mechanisms

1045-1100 START Network

- Luke presented the START network [Anticipatory fund mechanism](#) as a pre agreed coordinated plan linking to an evidence based decision making.
- Driving the mechanism is a contingency pot of 10,000,000GBP. The implementing partners are NGOs (those involved with the START network).
- In short, the multi-donor pot is managed exclusively by NGOs. NGOs submit an alert. Survey members review. Within 24 hours, funding is released.
- Working with [African Risk Capacity](#), START is exploring using remote sensing for a non-political approach and to foster a holistic society approach.
- Sri Lanka is an example of use. For El Nino rainfall, dams were full, monsoon imminent. 100,000 GBP were used.
- Manuela (WFP) asked about type of proposal (joint?). Luke answered that most are joint, but anyone within START can apply.

1100-1115 IFRC DREF

Carla presented the DREF. Explained that it is 30 years old and is used for small to medium scale disasters, as a loan for emergency appeals and for imminent crises.

- Three mechanisms at IFRC: annual planning, emergency response and DREF
- DREF can be used for small to medium scale disasters, loan EA (emergency appeal) and imminent crises

- DREF mechanism: pot of money for the NS, NS sends a request, set of criteria and guidelines for decision → is it eligible for DREF funding or not?
- For relief operations (3 to max. 6 months- most 3 months), small amounts (av. 200,000 CHF)
- No use of forecasts, cannot use it for 3 months in advance, just for rapid use
- Not just meteorological (i.e. an election), most recently used for epidemics
- Donors: Governments (i.e. NE, BE), PNS, UNECHO
- Contribution to DREF: FIRST by giving annually, no special reporting requirements but contributions are reported according to funded operations, SECOND by replenishment to the pot by a certain amount
- Most donors prefer the first
- 20 million CHF for in average 100 operations per year
- DREF advisory group: consists of 6 donors, meets twice a year, revision of procedure and guidelines, participatory
- Use of seasonal forecast: is it an option? Right now NS waits till something happens, then they ask for funds, forecasts not used as part of the mechanism yet
- Put close collaboration with other regions and NS, trickle-down mechanism
- Country offices: monitor what is happening, they are looking into forecasts
- 24 h for request to be processed and approved

Luke (START) asked about which, if any, risk reduction activities are considered

Answer (Carla) - on a regional level, primary function of DREF is to monitor

1115-1130 WFP

- [IRA, WCF and CERF](#)
- **IRA** (Immediate response account) has been around since 1990. It takes 72 hours. 80 countries with WFP director can approve up to 500,000 USD. 6 regional WFP directors can approve 1,000,000. Rome can approve 1.5 mil.
- WCF Another source: Working capital fund (**WCF**), when there is a formal financial commitment by a donor (based on an internal prognosis), available for internal use.
- **IR-PREP** for imminent events but ahead of them, for preparedness (20,000 – 300,000 \$), all for non-food items, more a technical system
- **IRA inspired CERF account**
- CERF: one immediate and one underfunded emergency account, complicated process, months of bureaucratic procedure → should be relatively easy for life-threatening situations, but strong competition for humanitarian funds globally; AIM life-saving

1130-1145 Frankfurt School UNEP Collaborating Centre for Climate & Sustainable Energy Finance – [Silvia Kreibiehl](#)

- Climate finance: make sure funds are used on the more effective way
- Specialize in structuring of interventions, adaptation finance
- Focus from a bankers point of view: Cash flow
- **Two fundamental questions: (1) Which kind of money do you need? More or only shift in time of availability? (2) Technical aspects: Where, governance framework, How?**
- First question: lack of clarity; but it has a good business case, high “return” – need to increase pot of money? New financing sources, higher efficiency? Also the problem for climate finance, public funds not enough for mitigation and adaptation → use of private sector, make a business case
- Ecosystem-Adaptation programm: using micro-finance, etc., no need for donor funds
- CAT bond: crowd in private sector investments, diversify risks by selling them of → investor takes a risk with potential high return → sells a bond on the risk → why do investors do that ? high return for uncorrelated risk (?)
- Risk is taken by donors: appropriate compensation? (CAT bond fund as insurance)

- Pre-financing by governments or other options (might be costs attached to it) as an issue
- Non-gov. donations for preparedness (economic aspect of making funds available)
- Private sector: not really an economic opportunity, but high return for gov. in the form of avoided damages

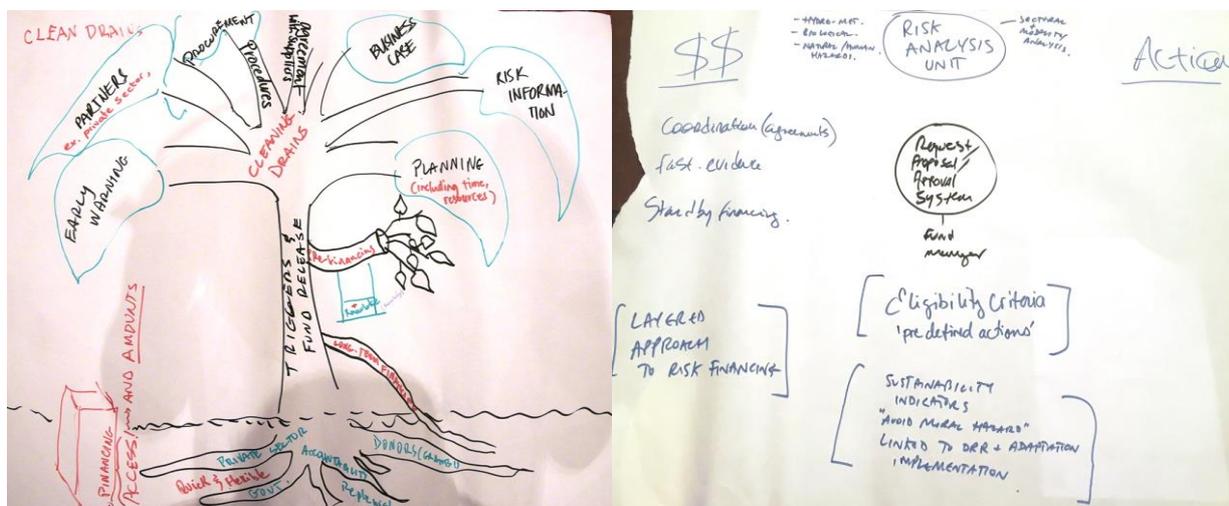
1145-1200 Munich Re – Alex (from Social Responsibility Department)

- Cooperation with Global Fund since 2013
- How to bring private sector into development space?
- MunichRe has capacity to understand risk
- Important to simplify → one system to save lives and one system managing shareholder value, bridge them
- Need for a rating (?), humanitarian organizations don't have one → build up a NGO rating
- Requirements for cooperation with financial institutions → there is enough money available, it is a problem of bringing people together
- Managing risk portfolio only possible if one understands the risk
- Which role can MunichRe play in FbF?

Section 3 – Draw your mechanism

1200-1300

In this section participants were asked to Present the pathway of how FbF works. The goal will be for the teams to draw on a large sheet of paper how FbF could work up until that action. The system will have to be at least 3 steps. Pictures of diagrams can be found in the attached document. Groups were presented with a particular action (Cleaning drains and raising community awareness) and asked to incorporate the end action within their drawing.



left: Action cleaning drains; right: Action raising community awareness

Main points of discussion

- Use of INFORM risk index? (i.e. to scale-up CERF)
- how to make governments understand that preparedness has a good return: evidence? (CBA for preparedness measures → BCG CBA report done for WFP)
- DREF: what is needed? Difficulty for long-term funding; when response teams see need to talk to preparedness teams: link through FbF
- donors don't understand proposals: underlying barrier;
- also donor processes to slow
- advocacy problem for FbF: need for evidence to make a case and relationships need to be established (trust), to get money beforehand; but we need to set it up now to get the evidence (hen and egg problem)

- link of climate finance and humanitarian operations: FbF as a link since it is science-based using climate forecasts (FbF is basically adaptation finance) → example of DFID
- business case possible for private goods (data for airlines, communication services), they in return generate benefits for you → adaptation action generates private good advantage (also in agricultural sector, irrigation system bought through micro-finance loan for instance)

Critical points

- Private sector has interest in FbF. However it is important to note that the push (from at least Munich Re) is coming from their Corporate Sustainability arm.
- The notion of development of a business case is interesting and was widely discussed. Can we work towards outlining the link between FBF (and subsequent lack of lost resources in a potential disaster and resultant increase in livelihoods) to the advantages realized by private companies? Does the case need to be made to investors so they value the importance of corporate responsibility investing in FBF? Or perhaps the notion of private organization sustained involvement in FBF could be defined by a shift in perception from the modality of 'corporate responsibility' to 'shareholder demand'?
- DREF is not using forecasts and has no concrete plans to incorporate prognostic climate information into their protocol. Although, they stated they are not against the idea.
- There seems to be some confusion still about the difference between adaptation finance and forecast based financing. This is something that can be delved deeper into at the next DP.
- There is never enough money for humanitarian response (system stretched), so we don't want to take away money from response (no either or question)
- Who pays the premium? (incentives for private sector investments?)

Main outcomes of the working group

- Presenting existing finance mechanisms
- Discussing the difference between monitoring based mechanisms and forecast based mechanisms
- Establishing interest from the private sector
- Clarifying some confusion on the difference between adaptation finance and forecast based financing.
- Identified linkages to index insurance. Call for further discussions with how they use forecasts to bolster their potentially majority monitored-driven methods.

Point where a follow-up is needed?

- MunichRe: A follow up meeting was had at Munich Re. What are the outcomes of that meeting and next steps?
- Can we link to other financial systems? Cat Bonds? Climate Bonds?
- What is the business case? This would be a good dialogue to have at the next DP, with private sector organizations.
- Academic linkages? Do we explore other options? Or is Frankfurt School of Finance locked in to partner moving forward?
- Are there any additional NGOs that have mechanisms worth evaluating?
- What are the perceptions of FBF? Do they match the reality of the system? Are these perceptions a risk to the longevity of the system and its uptake?

Main drivers of discussion (Who is most involved and interested?)

The Presenters. Also World Vision had many comments.

Recommendations for future events

Having the next DP focus on Financial Mechanisms

Participants

Rebecca Miller – GRC
Silvia Kreibhiel – Frankfurt School-UNEP
Mohammad Shahjahan GRC-BDRCS
Sanna Salmela – IFRC
Alexander Martin-Boes – Munich Re
Mbalo Thioune –IFRC
Baas Brimer – WFP
Carlos Centena – WFP
Andreas Wuestenberg – FAO
Manuela Reinfeld – WFP
Karla Marizzo – IFRC
Elaine Angeles – WFP
William Vigil – WFP
Konstanze Kampfer – GRC Mozambique
Maggie Ibrahim – WV UK
Alexandra Ruth – GRC HQ

c. WG3: Policy

Facilitators: Janot Mendler de Suarez
Process

1st OUTCOME:

Upcoming & further opportunities & targets for FbF advocacy identified

Introduction by Facilitator

Our Challenge: Advocacy & policy formulation are reliant on pilot success stories for marketing and influencing decisionmakers.

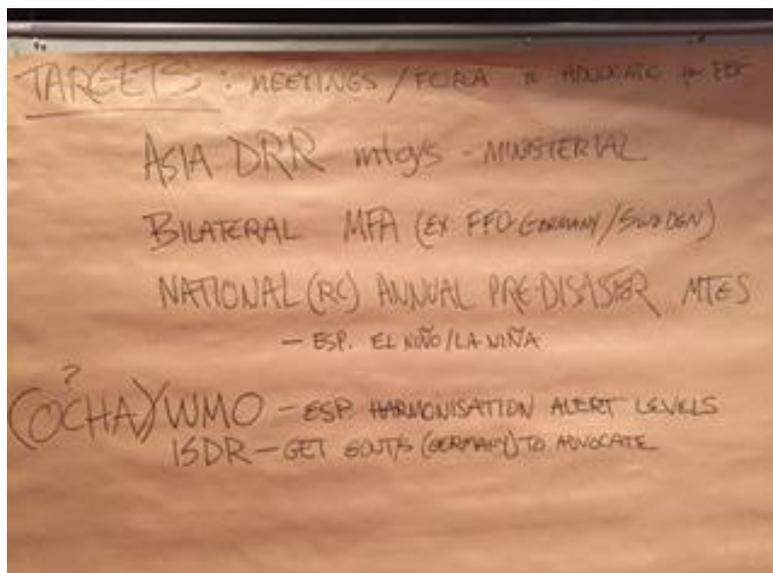
REPORT ON PROGRESS:

- ✓ Reviewed highlights from the workplan produced by the last policy WG (handout)
- ✓ Recent achievements in FbF advocacy within major global climate, development and disaster risk management policy processes, including sessions, presentations & high-level mentions at:
 COP21: Paris; SDGs: A2R (Anticipate, Absorb, Reshape); World Conference on Disaster Risk Reduction: Sendai; Understanding Risk: Venice; World Humanitarian Summit: Istanbul; European Development Days

What upcoming & other policy/dialogue meetings and fora could we target for FbF advocacy? Are there also institutional targets that we should engage with on FbF? We came up with this list (see flipchart photo):

Upcoming Opportunities:

- In Asia ASEAN DRR meetings: opportunity to influence ministerial level.
- FbF-supporting Ministries of Foreign Affairs (donor countries) can be proactive in opening bilateral advocacy for FbF (invite to 'donor conference'); e.g. Germany's Federal Foreign office meeting with SIDA is an example of quite successful bilateral advocacy. More could be done.
- Red Cross / Red Crescent National Societies have annual pre-disaster planning/preparedness meetings in which FbF could be introduced & further developed (esp. those countries where RC is already involved in FbF pilots).
- Given the level of El Niño / La Niña forecasting skill in certain regions, this should be a leading prong for FbF advocacy.



Institutional Targets:

- Initial advocacy with WMO should seek to establish buy-in on FbF at the highest level; then we can advocate for WMO to provide appropriate support to national Met services in developing capacity to produce actionable (i.e. hydro-met and/or agro-hydro-met) forecasts that can be used to develop SOPs for early warning / early action triggered by a forecast.
- With OCHA, similarly to WMO we should first aim to get endorsement for FbF at the highest level, so that we can then ask for relevant support to countries developing & implementing use of FbF for strengthening EW/EA.
- With ISDR, the most effective advocacy strategy is likely to be for member governments already endorsing FbF to advocate from within. (Germany would be the logical leader/convenor for this approach).

The DP opens space to reflect & capture learning from practical experience in these areas:

- ✓ Articulate lessons – not just success – it is often more practical to share how we have worked around obstacles!
- ✓ Where do we see challenges in FbF policy & advocacy?
- ✓ Can we identify what tools were useful implementing the workplan from the last policy WG? For advancing policy within the in-country pilots? What has not been useful, what is needed? For Ex: do we need a graphic, a poster, a 1-pager, a website, etc.?

Our Working Group objectives:

- ✓ Collaboratively vet ideas from last WG to generate a logical architecture for the structure (sections / sub-headings) of the policy & advocacy section of the FbF manual
- ✓ Outline a roadmap for co-writing: how will we continue the work, optimize a methodology to put ideas we generate into writing & co-produce a document?
- ✓ Flag next steps & issues for further dialog: e.g. branding, practical ways to package and make effective use of results, Donor conference and private sector engagement?

Guiding questions to open discussion (posted on flipchart):

- ➔ What are the current policy processes?
- ➔ What has been done so far?
- ➔ What changes have taken place with regard to FbF advocacy since the last Dialogue Platform?
- ➔ How was the work plan of the last DP implemented? What did not work? What tools were useful, what not, what needed? Ex: do we need a poster, a 1-pager, website, etc.?
- ➔ How to advocate on FbF? Consider Marketing & Branding (keep “FbF” or change it?)
- ➔ We need Success Stories: what can we learn our experiences in pilot countries (since the last dialogue)?
- ➔ Vision: what shall FbF look like in future policy processes?
- ➔ How can we ensure future funding (phase II)? Business plan for mainstreaming FbF: last WG talked about planning a donor conference, how could we engage also the Private Sector?

Parking space (on wall): to make sure all ideas get recorded yet allow the group to stay focussed, we agreed that should anything come up not relevant to the discussion at hand we 'park' it on a post-it so we can come back to it later.

2nd OUTCOME:

peer-to-peer exchange of insights and identification of priority issues

Self-introduction of participants and co-generation of priority issues:

1. Who are you and who do you work for ?

2. Reason/s you chose this working group
3. What you think we should address together

Introducing ourselves through informal discussion identified the following insights & priority issues for advancing FbF advocacy:

- ➔ Building on prior WG report on Objectives->Activities->Status, FbF advocacy continues to be needed and entry points need to be identified at 3 major levels of governance: international, implementing partners, and national level country teams, but a more nuanced breakdown going forward could be: Institutional/NGO implementing partners, current or potential donors & financing organisations (Munich RE, Swiss RE, etc.) who could help to develop concerted financing strategies (e.g. spectrum of invitees for the proposed donor conference), and national governments (pilot countries and countries where FbF is being considered).
- ➔ International organisations that lead the major climate, development & DRR policy processes need to know where entry points for FbF can and should be identified (e.g. the COP21 Paris Agreement, Sendai on DRR, A2R & SDGs).
- ➔ At the institutional or NGO “implementing partner” level, FbF piloting organisations (such as the Red Cross movement, WFP and the START network) need to establish efficient means to effectively share knowledge and practical experience within and among their global portfolios.
- ➔ Case studies and lessons learned from working around problems that arise in the pilots are crucial to informing and enabling the development of robust internal institutional mechanisms for mainstreaming FbF as appropriate.
- ➔ National governments in pilot countries & implementing teams involved in pilots could benefit from more S/S as well as N/S knowledge-sharing & learning exchanges.
- ➔ What works and what has not worked learning is still largely undocumented, need effective peer learning mechanisms.
- ➔ Analytical advocacy material is needed to influence all levels; WHH is considering a brief/paper that could support FbF policy & advocacy.

3rd OUTCOME:

Opening a window into FbF Success Stories & open-space clustering into emergent categories

Capture some key lessons from last 12 mos

Generative exercise: Think-Pair, Share-Compare

1. We posed the question: over the last year (or since the last dialogue), what has in your experience worked well & why? Remembering that this includes what required troubleshooting, WG members took a few minutes to think & write their responses ‘in brief’ on post-its (limit 1 idea per post-it).
2. We then formed small groups (2-3 people) to discuss the successes with FbF that came to mind.
3. Roundtable / open space: then each WG member in turn shared & posted their ideas on the wall, sorting them into clusters by consensus with the whole group. Reciprocal sharing of responses from the full group to each idea posted was invited. Discussion around the categories that emerged enabled us to logically organise all the ideas into the 3 clusters which also emerged from the introductory discussion.

RESULTS “things that have gone well” were as follows:

Institutional / NGO

- ✓ Advocacy for harmonisation of alert levels (as Olaf presented during the plenary). This should include FbF but as yet no idea if this will be picked up!
- ✓ Red Cross FbF country pilots are progressing; we have learned from the Bangladesh RC pres. this morning and we have case studies from Peru and Uganda.

- ✓ Pre Disaster Meeting includes Met's info e.g. El Niño / La Niña. This PDM led to Port and coordinated support.
- ✓ FbF is gaining interest in Asia Pacific among IFRC senior management & RC National Societies. Why: through advocacy work and by dedicated talk within IFRC APRC & RCCC.

Bridging Institutional & Donor

- ✓ RCRC is exploring and will pilot if / how DREF can be used as \$ tool.
- ✓ World Bank GFDRR recognised potential for FbF and funded development of flood forecasting tool.

Donor

- ✓ External awareness raising – DR (DIPECHO) other fund on similar activity in preparedness.

Bridging Donor & Government

- ✓ Swedish MoFA, SIDA, SRC met with German MoFA/RC in April for peer to peer exchange of lessons learned and ideas.

Government

- ✓ Valeur ajoutée à la connaissance des volontaires de la CRT. / Value added to the knowledge of the Red Cross volunteers (noting that in Togo this represents potential for significant impact, given that membership nationwide is about 1/200 across the population.)
- ✓ Bonne collaboration entre les acteurs impliqués (Météo, volontaires CR, autorités civiles) / Good collaboration among the actors involved (Met service, 1000+ RC volunteers trained by Met & Hydro services, civil authorities)
- ✓ Link to South-South cooperation (Cuba/ Central America case presented in plenary); interest of neighboring countries for both technical assistance and in FbF projects.
- ✓ Building national capacity in EWS – Dominican Republic
- ✓ Successful introduction of FbF at level of Civil Protection (Dominican Republic & Haiti)
- ✓ National DRR platform requesting training for all members (govt agencies) in FbF. How? We started informing govt structures at project inception, coordinated joint hazard risk assessment mtg, made point of joining their convenings to give progress repts.

4th OUTCOME:

Co-constructed architecture of main sections & outlined some of the work needed to flesh them out before the next DP

Policy & Advocacy section of FbF Manual

Group work: to build from or completely revamp this mini-matrix from last Policy WG:

- Introduction / Background / Current Policy processes
(Thorsten previously volunteered to draft this)
- Change required / Joint key messages
- Common methodology to assess effective use of funding
- Stakeholders engagement tools/guidance
- Guidance for linkages between different policy agendas
- Case studies from the various pilots, looking at efficiency and cost effectiveness through quantitative/qualitative approach.

We revised the outline structure using this process:

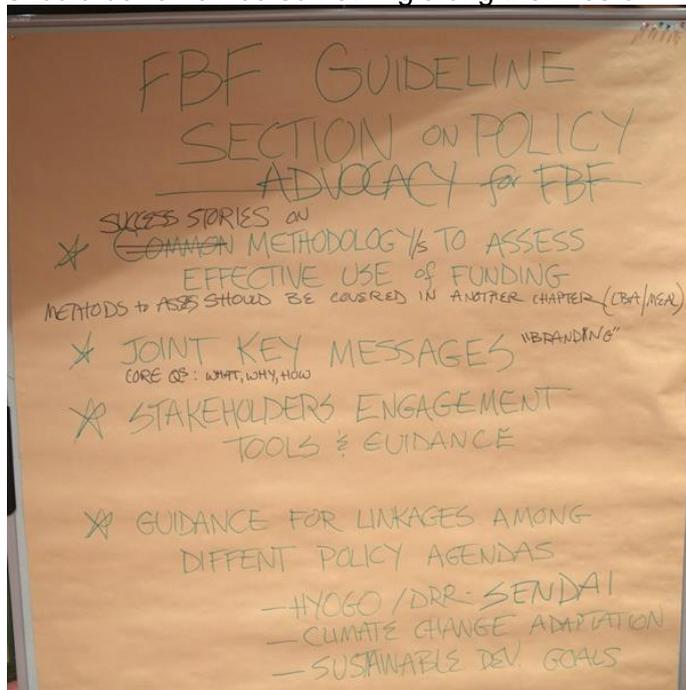
- ✓ Fact-check – assess the categories of information and knowledge we have captured (architecture of manual): does the logic of sections and sub-sections make sense? Do we adequately capture qualitative and quantitative info we can learn from? Can it be used for tracking trends? What is missing - can you plug the gap?
- ✓ Intuitive insight – find what is missing in the big picture. Are there any other fora, opportunities or target groups we can identify for taking FbF advocacy forward? Does this

outline structure enable us to fully capture all the potential value? What would be required to better provide for further or future benefits?

✓ Due-diligence - look critically for flaws in our roadmap for co-developing the policy & advocacy section of the manual from now til the next dialog. Are there likely bottlenecks? Check Parking space: Did anything get lost on the way? Is our workplan realistic? Can you suggest ways to address this constructively?

Revised section outline (see flipchart photo):

There was a strong consensus that the key word is Advocacy, not Policy, so the section should be re-named something along the lines of:



Provisional Section title: Policy Linkages & Advocacy for FbF

1. Introduction / Background / Current Policy processes
2. Success stories: FbF methodologies

We talked about getting right into the peer knowledge-sharing with lots of illustrative mini-case studies about what aspects of FbF pilot experience have worked well - including what didn't work, and how it was dealt with so that others can avoid similar mis-steps, or adapt similar work-arounds. Our Outcome 3 can inform the methodology sub-section, using the cluster structure to organize into further sub-sections.

Note: the WG felt that methods to "assess effective use of FbF funding" as a suggested sub-section identified by the previous WG, should be covered instead by other chapters; e.g. in sections on CBA (cost-benefit analysis) and M&E (or "MEAL", for monitoring, assessment & learning).

We see the success stories leading into joint messages, which will be more powerful if grounded in examples of success from the pilots. We agreed that all of the successes identified and clustered above can be elaborated a bit more by each WG member (in most instances just a few sentences will be fine). This will inform the initial structure and content of this sub-section.

3. Key (shared) messages: What, Why & How?

The key messages should inform our "branding", be crisp and memorable, addressing these 3 framing questions:

What is FbF? How do we define our "brand"? This group felt the name has already got so much traction that it could be confusing to change it now, but we need to develop a

joint definition that better conveys what FbF means to us that we want others to understand (and readily remember) to establish our “brand”.

Why do we need FbF? We need to define a concise joint value proposition; it may have multiple elements, such as the gap FbF fills, and benefits in terms of better humanitarian outcomes as well as results-based spending efficiency.

How to do FbF? For the “how” we need to speak to our advocacy targets, by making its entry points clear to different constituencies; e.g. Institutional/NGO implementing partners, donors, and national governments.

4. Guidance for FbF linkages across climate, development and disaster risk reduction policy agendas.

This last section would spell out the policy linkages that bring it all together, with clear identification of how FbF maps across and can contribute to some coherence among major policy agendas. We agreed that we need to figure out who can take responsibility for carefully going through the Sendai Framework, Paris Agreement, and SDGs to identify initial entry points to inform this sub-section.

5th OUTCOME:

Roadmap to co-develop the Policy & Advocacy section for FbF manual

We agreed on a ‘roadmap’ of next steps based on a shared concept and commitment to how this collaborative process will work: First the WG report will be shared and all members can review and contribute corrections. Then by breaking down the manual into definable tasks (subsections), we will co-write and review initial draft content, to be further reviewed/improved/approved by the December 2016 DP/WG.

6th OUTCOME

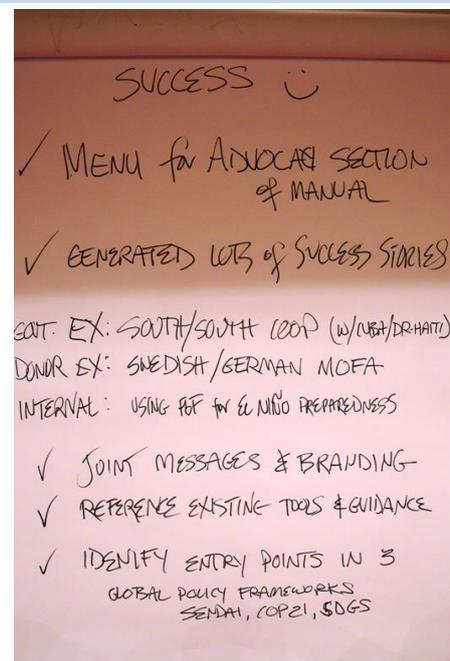
WG identified key points to be presented (15 min.) to the plenary

WG identified key points to be presented (15 min.) to the plenary

Using these prompts :

- ✓ Critical discussion points & how to further address these aspects
- ✓ Where we see challenges
- ✓ What tools are useful, what not, what’s needed
- ✓ Areas for continued work: FbF “branding”, uptake of results by different types of stakeholders
- ✓ Collaborative development of the manual

We synthesized the main results of our analysis and WG process into these bullets for our WG presenters: Presenters volunteered: group work reporting team prepared to share fruits of our discussion wearing **positive & negative hats!**



Participants

Olaf Neussner, German Red Cross
 Thomaz Carlzon, Swedish Red Cross
 Pedro Zuccarini, German Red Cross
 Norbert Paniah, Togo Red Cross
 Katharina Hamed, Welt Hunger Hilfe
 Jennie van Haren, WFP
 Janot Mendler de Suarez, Red Cross Red Crescent Climate Centre

d. WG4: How to include Fbf in national strategies?

Facilitators: Julie, Steve

Process

Small Group – Structured Discussion & Introduction

1. Discussion: Why is it Important
2. Case Study: Dar es Salaam, Tanzania
3. Principles of Engagement
4. Case Study: Seasonal Planner, Somalia Regional Government
5. Reporting Back on Principles

Main points of discussion

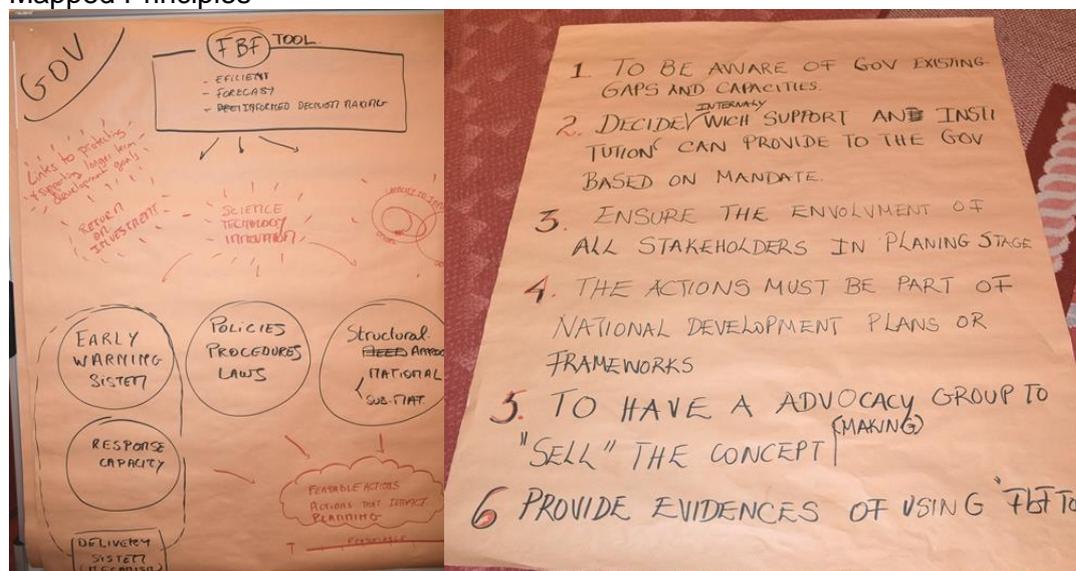
- There is nothing new – governments already are intended to work in this way
- There is money – so it is not the “absence of resources” but ensuring resources are reallocated to the right places at the right time
- Forecasts and early actions – they already exist in government but they are not connected
- It's a business proposition to take people out of poverty and food security – part of planning, finance etc. Its coordinated effort – FbF is a part of those processes
- External Actors (i.e. WFP, FAO, Red Cross) can play a complementary role
- The sub-national level is a practical and effective level at which to work
- Non-government actors can catalyze these processes must come with a common approach, pursue change based on evidence, and see their role as subsidiary and complementary to government objectives and priorities.

Critical points

- It is more about the preparedness than the response
- It is framed around Ministries/sectors - national development plans/frameworks
- Cross sectoral issues are difficult to address
- Understanding planning processes/resource allocation processes and timelines
- Incorporating Met Office into these discussions
- Insure all stakeholders can input into the planning processes
- Have an advocacy group to sell the concept (not selling something new, but complementary)
- Influence political will....very difficult - Influence legislative body and the executive body – relationships, champions,

Main outcomes of the working group

Mapped Principles



Point where a follow-up is needed?

The point in this platform – is to get this approach to FbF “on the table” – it now must be more fully developed. No one emerged to lead it – but that work is essential and there should be a reporting back in December.

Main drivers of discussion (Who is most involved and interested?)

WFP; Peru FbF Team; Bangladesh; FAO

Recommendations for future events

A hot topic – and takes the notion of FbF to an entirely different level. It situates grass roots action within large policy / resource allocation frameworks

Part of the next platform should be a commitment to better understand those processes (use government officials from WFP or Peru work to tell us from their perspective) – and then have follow up discussion on how non-government partners can support those processes.

e. WG5: How to integrate new partners

Facilitators: Robert Kaufmann, Laura Fontaine

Process

Participative methods in two sub groups and larger group, using brainstorming, analysis methods and prioritization of key points.

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 points of discussion

- Agree on key stakeholders to prioritize
- Agree on action to support integration
- How to sell? Communicate FBF?

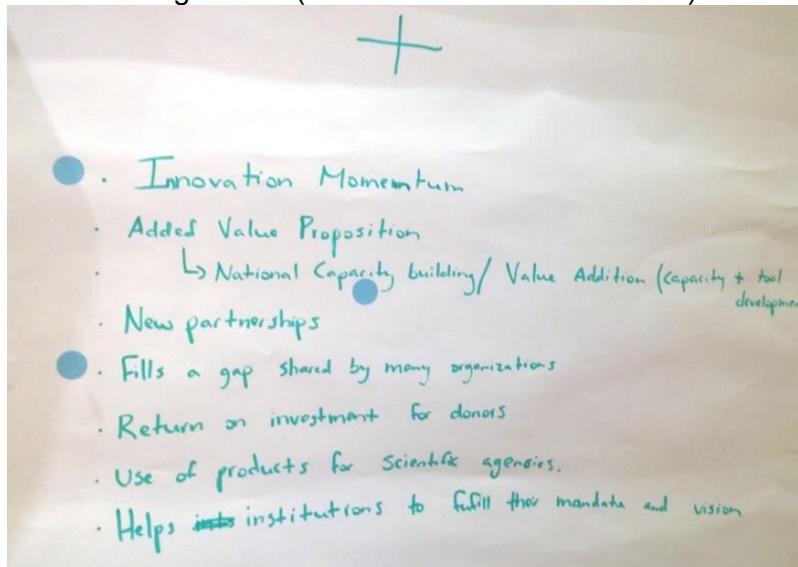
Main outcomes of the working group

Stakeholders mapping and prioritization - The brainstorming session highlighted the need to prioritize engagement with the following stakeholders:

- Hydro met / National met services
- DMO
- NS
- Local authorities
- Science agencies
- Financial institutions

Context analysis – Main enablers and main barriers to support integration.

Main enabling factors (with a focus on ‘blue stickers’):



Main barriers to support integration (with a focus on ‘blue stickers’):



Point where a follow-up is needed?

Action planning on key contextual factors:

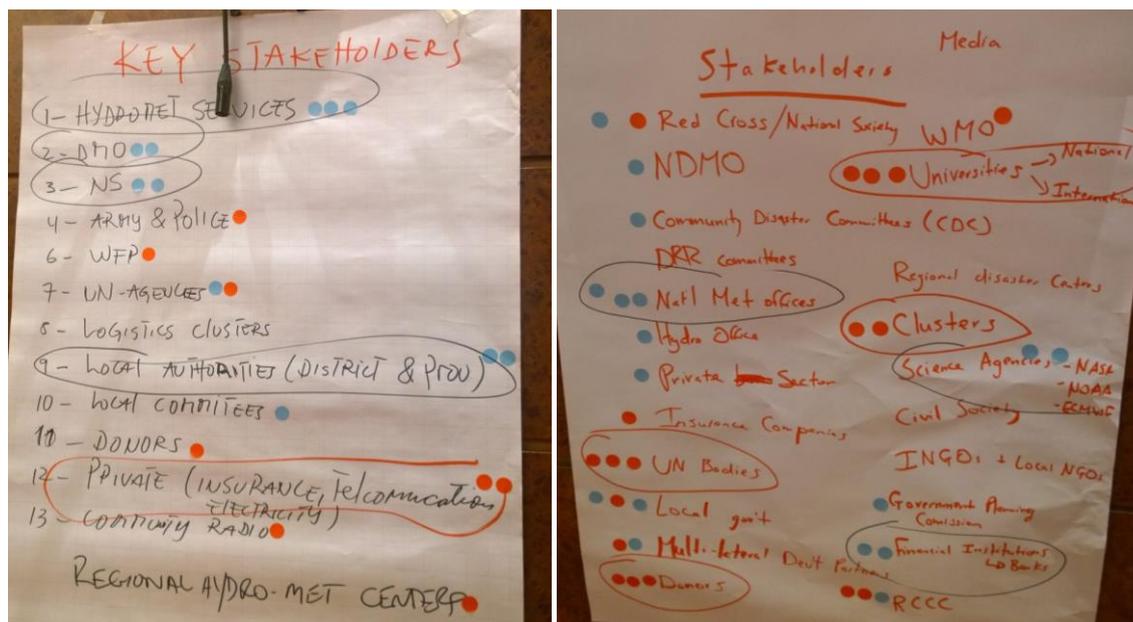
- Innovation momentum: engage with innovation partners so that they can become sponsor, develop a multi-level learning platform (webinar, website, blogs, etc.)
- National capacity building: develop guiding tools for engaging at national government level (do's and don't's), ensure plans include long term capacity building especially for meteorological offices.
- Closing the gap: undertake stakeholder mapping, scoping visits/studies.
- Traditional silos: develop national dialogue platforms (convened by neutral body), capitalize on momentum.
- Reputational territorialism: stand-by agreements established and activated by forecasts, joint action plan allowing each organization to be visible for what they do best and to ensure complementarity.
- Managing expectations: communication plans for NS, simplification of terminology.

Main drivers of discussion (Who is most involved and interested?)

All were equally involved, good momentum given the nature of the subject.

Participants

Hassan Ahmadul, Kurt, Meghan Bailey, Olivia Warrick, Flavio Monjane



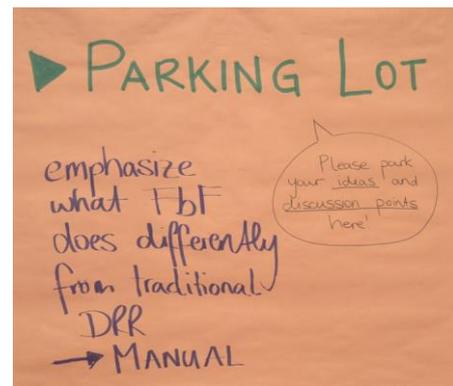
Photos of stakeholders prioritization exercise conducted into two subgroups. Blue stickers indicate highest priority of engagement needed. Red stickers indicate lowest priority of engagement needed.

7.2. Plenary discussion

Julie's interactive activity

Objective: identify the best ideas generated during the 3 days workshop

Methodology: Every participant writes in an index card the most significant idea that she/he captured from the dialogue platform, then the papers are rotated from hand to hand in several turns. In every turn a couple of people decided which is the best idea of the two they have in their hands and give a score to each of the cards. At the end of the exercise everyone count the points assigned to each card in their hands and the facilitator guides the selection of the best ideas.



List of best ideas from the exercise:

1. Find a champion in the local government to fight for FbF idea “ensuring political will”
2. Imagine we have an auxiliary organization that has relationships and can influence government to finance early warning early action bridging top-down-bottom up support.
3. Capitalize on opportunities that global el Nino lessons learnt presents to advocate for FbF.
4. Make sure that FbF implementations are relevant and appropriate to local government and community level context.
5. We need to include the private sector to help us to develop a new social investment business model for financing FbF
6. Munich RE will solve our challenge to bridge two systems for financing: to safe live and act immediately and shareholders value looking at results.

Other ideas

7. Including Social Indicators when assessing the “danger level”
8. Find great ways to plan diplomacy to get government buy-in for FbF. (Use already existing tools)
9. We can make a business case from FbF project to sustainable profits.
10. Adapt FbF approach to the activities/ plans on the ground
11. Pre-positioning relationships.
12. FbF is for acting earlier before the disaster strikes.
13. FbF mechanism included in national strategies.
14. Evaluate the process of FbF pilots and not only the actions
15. Insurance mechanism for FbF
16. FbF is a mechanism that should help government improving already exiting capabilities
17. Use the concept of CHS and see what it can do for the MEAL process of FbF.
18. Change the concept of FbF to Forecast based Early Action.
19. Private sector CSR as a financing mechanism
20. Finance mechanism which will have a speed like light speed
21. We need to stop measuring delivery, change the narrative of humanitarian action.
22. FbF as a component of adaptive national social protection mechanism (especially for cash programming and safety nets)
23. Art creation for FbF communication
24. Make more efforts to overcome institutional constrains to achieve sustainable results
25. FbF can save lives!



8. 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 ClimateCentre interviews of participants of dialogue platform (video):

<https://www.youtube.com/watch?v=Ca9lfUoBvH4>

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>

WFP FoodSECuRE:

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



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Annex

Annex 1: List of workshop participants

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