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Disaster Risk Management Taking Lessons from Evaluation

**Proceeding from the Conference on
November 20, 2006 and the Evaluator's
Round Table on November 21, 2006**

***Sponsored by the Council of Europe Development Bank
and the World Bank's Independent Evaluation Group with
the Collaboration of the Office of Evaluation and
Oversight of the Inter-American Development Bank***

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**ENHANCING DEVELOPMENT EFFECTIVENESS THROUGH EXCELLENCE
AND INDEPENDENCE IN EVALUATION**

The Independent Evaluation Group is an independent unit within the World Bank Group; it reports directly to the Bank's Board of Executive Directors. IEG assesses what works, and what does not; how a borrower plans to run and maintain a project; and the lasting contribution of the Bank to a country's overall development. The goals of evaluation are to learn from experience, to provide an objective basis for assessing the results of the Bank's work, and to provide accountability in the achievement of its objectives. It also improves Bank work by identifying and disseminating the lessons learned from experience and by framing recommendations drawn from evaluation findings.

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Contact:

Knowledge Programs and Evaluation

Capacity Development Group (IEGKE)

e-mail: ieg@worldbank.org

Telephone: 202-458-4497

Facsimile: 202-522-3125

<http://www.worldbank.org/ieg>

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Independent Evaluation Group (World Bank)

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Abbreviations and Acronyms

ACP	Africa, Caribbean, and Pacific
ADB	Asian Development Bank
ADRP	Asian Disaster Reduction Center
ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
ARC	American Red Cross
B.Sc.	Bachelor of Science
BMC	Borrower Member Country
BRC	British Red Cross
CAF	Andean Development Corporation / La Corporación Andina de Fomento
CAFOD	Catholic Agency for Overseas Development
CAS	Country Assistance Strategy
CDB	Caribbean Development Bank
CEB	Council of Europe Development Bank
CEGESTI	Center for Technology Management of Costa Rica
CENDEP	Centre for Development and Emergency Practice
CERF	UN Central Emergency Response Fund
CGA	Certified General Accountants
DAC	OECD Development Assistance Committee
DEC	Disasters Emergency Committee (UK)
DFID	Department for International Development
DG	Directorate General
DIPECHO	EU Disaster Preparedness Action Programs
DMFC	Disaster Mitigation Facility for the Caribbean
EAL	Emergency Assistance Loan (ADB)
EC	European Commission
ECHO	European Commission Directorate-General for Humanitarian Aid
EIB	European Investment Bank
ERF	Emergency Reconstruction Facility (IDB)
EU	European Union
GDP	Gross Domestic Product
GFDRR	Global Facility for Disaster Reduction and Recovery
GNP	Gross National Product
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit (international cooperation enterprise for sustainable development)
IDA	World Bank International Development Association
IDB	Inter American Development Bank
IDP	Internally Displaced People
IEG	Independent Evaluation Group
IEGWB	Independent Evaluation Group (World Bank)
IFC	International Finance Corporation
IFI	International Financial Institution
IFRC	International Federation of the Red Cross and Red Crescent Societies
ILO	International Labor Organization
INTRAC	International NGO Training Center
IRP	International Recovery Platform (based in Kobe and Geneva)
ISDR	International Strategy for Disaster Reduction
LRRD	Linking Relief, Rehabilitation and Development
MDG	UN Millennium Development Goals
MFA	(Norwegian) Ministry of Foreign Affairs
MIGA	World Bank Multilateral Investment Guarantee Agency
NGO	Non-governmental Organization
ODA	Official Development Assistance

OECD	Organization for Economic Co-operation and Development
OVE	Office of Evaluation and Oversight (at IDB)
PRDU	Post-War Reconstruction and Development Unit
PREANDINO	Programa Regional Andino para la Prevención y Reducción de Riesgos de Desastres
PRSP	Poverty Reduction Strategy Paper
PSE	Program Specific Evaluations (IFRC)
RHA	Annual Review of Humanitarian Action (ALNAP)
ROM	Results Oriented Monitoring
RTE	Real Time Evaluation (IFRC)
SLF	Swiss Federal Institute for Snow and Avalanche Research
TEC	Tsunami Evaluation Coalition
TOR	Terms of Reference
TRIAMS	Tsunami Recovery Impact Assessment & Monitoring System
UCL	University College London
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Program
UNESCO	United Nations Educational, Scientific and Cultural Organization
USAID	U.S. Agency for International Development
WB	World Bank
WBI	World Bank Institute
WFP	World Food Program
WHO	World Health Organization
WVI	World Vision International

Director-General, Independent Evaluation	:	Mr. Vinod Thomas
Director, Independent Evaluation Group (World Bank)	:	Mr. Ajay Chhibber
Manager, Sector Thematic & Global Evaluation (IEGSG)	:	Mr. Alain A. Barbu
Task Manager	:	Mr. Ronald S. Parker

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Preface

In November 2006 the World Bank, the Council of Europe Development Bank (CEB) and the Inter-American Development Bank (IDB) held a conference in Paris to discuss recent disaster operations of multilateral and bilateral development aid institutions and NGOs, highlighting aspects that would facilitate institutional change and improve practices.

The conference and roundtable discussion was the first time ever that evaluators joined together to discuss the evaluation of natural disaster risk management. In addition, disaster risk managers from different organizations who were on the receiving end of the evaluations were also invited to participate. Their feedback and analysis of how the evaluations had changed their institutions was an important contribution to the conference.

This report provides an overview of the major disaster risk management issues discussed during the conference and highlights the dramatic convergence of evaluation findings of the various participating development agencies. To support these findings, individual presentations and plenary discussions are summarized, with an emphasis on the evaluators' roundtable.

The conference was organized by Ronald S. Parker, Lead Evaluation Officer of the World Bank's Independent Evaluation Group. Anna Amato, Silke Heuser, and Kristin Little assisted with planning and reporting on the event. Sylvie Brebion, supported by Marie Charles coordinated the logistics for the event from Washington. The Council of Europe Development Bank (CEB) hosted the event in Paris with Claudine Voyadzis, Bastiaan De Laat, and Anne Schiffers contributing to its success. The Inter-American Development Bank (IDB) sponsored the event both financially and technically, and was represented by Caroline Clark. Finally, the proceedings were written by Silke Heuser under the supervision of Ronald S. Parker.

IEG gratefully acknowledges all those who contributed to the success of the conference, especially the speakers from the 15 participating organizations and the moderators, Ian Davis and Robert Picciotto, in addition to David Peppiatt, Bastiaan de Laat, and Caroline Clarke.

For more information on the conference and the PowerPoint presentations, please visit IEG's website at: <http://www.worldbank.org/ieg/naturaldisasters/paris/>.

Executive Summary

In November 2006 the World Bank, the Council of Europe Development Bank (CEB) and the Inter-American Development Bank (IDB) held a conference in Paris to discuss recent disaster operations of multilateral and bilateral development aid institutions and NGOs, highlighting aspects that would facilitate institutional change and improve practices.

The conference and roundtable discussion was the first time ever that evaluators joined together to discuss the evaluation of natural disaster risk management. In addition, disaster risk managers from different organizations who were on the receiving end of the evaluations were also invited to participate. Their feedback and analysis of how the evaluations had changed their institutions was an important contribution to the conference.

The organizers asked a distinguished world expert – Ian Davis – to help moderate the conference and roundtable discussions. Ian Davis, who in 1996 became the first UK citizen to be awarded the UN Sasakawa Award for his international contributions to disaster prevention, has worked on disaster research, teaching, consultancy, advocacy and management since 1972 in over 40 disaster situations.

TAKING LESSONS FROM EVALUATION

The conference was divided into four panels. The first panel discussed natural disaster project evaluations carried out by multilateral organizations.

Participants in the first panel revealed that a paradigm shift in terms of the approach to disasters had taken place. One explanation for the shift from a reactive to proactive approach is sector evaluations, which examine organizations' experiences in disaster risk management over an extended time period. In particular, the evaluations brought to the fore how much funding actually went to reconstruction following natural disasters and how much of organizations' previous investments had, in effect, been wiped out.

The audience was struck by the many similarities multilateral organizations faced with respect to natural disaster risk management. Even their means of facilitating changes within institutions (writing new policies, developing strategies, mobilizing new funding, and training, and recruiting new staff) were similar.

There were also similarities in terms of how well evaluations were received within organizations. Operational staff dealing directly with clients generally welcomed the evaluations' findings and perceived them as a tool that could help staff to do a better job of preparing countries to prevent and mitigate damage resulting from natural disasters. Furthermore, the organizations' Boards of Directors generally welcomed evaluation findings as well and encouraged senior management to come up with new policies, strategies, and budgets.

In contrast with the Asian Development Bank (ADB), which seemed to still be in a catch-up position, it was remarkable to see how quickly and fundamentally the IDB's and World Bank's organizational structures changed once the evaluations' findings were presented to their Boards of Directors.

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The Boards of these two institutions supported change because of: (1) the amount of funding dedicated to natural disaster reconstruction (on average US\$1.3 billion per year from the World Bank, US\$0.5 billion per year from the IDB, US\$0.6 billion per year from the EIB, and US\$0.3 billion per year from the ADB), (2) the extent to which IFI-financed infrastructure had been wiped out by disasters, and (3) the predictability of disasters and therefore the imperative for them to be dealt with in a systematic way.

In response to the increasing number of natural disasters and the newly raised profile they have received through evaluations, multilateral organizations are paying increasing attention to disaster prevention and mitigation. This finding is supported by the following:

- Between 1984 and 2005, the World Bank has financed 21 projects wholly dedicated to disaster prevention, five of them in 2005 alone. In addition, the World Bank has also financed an increasing number of risk reduction activities in normal lending projects. This mainstreaming of disaster risk management has proven to be an important strategy, especially for the World Bank.
- Between 1995 and 2002, the IDB dedicated about 40 percent of projects to risk reduction.
- The EIB has dedicated 20 percent of its recent disaster lending to mitigation activities.
- Prior to 1989, the ADB's investment in disaster mitigation was futile. However, between 1989 and 2004, it invested some 45 percent of its assistance in mitigation activities. Following 2004, it dedicated 25 percent of its lending to disaster mitigation. The reduction in investment in mitigation activities as a percent of total lending after 2004 can be explained by the massive reconstruction effort following the Asian tsunami and the Pakistan earthquake in 2005 as well as the relatively lower costs of mitigation measures.

The second panel, comprised of representatives from the Andean Development Corporation (CAF), the Caribbean Development Bank (CDB), and the Council of Europe Development Bank (CEB), concurred on many of their findings. The CEB, for example, also experienced a shift from disaster reconstruction to disaster prevention. The thinking within this group of regional development banks focused on the question of how to increase in-house capacity to promote disaster risk reduction in borrower countries. Other issues addressed by these institutions included how to connect ministers in the economic and financial sectors with ministries involved in the implementation of risk reduction, and how to link central and local levels of governments in order to create demand for disaster risk management. Another challenge mentioned by the Andean Development Corporation (CAF) and the Caribbean Development Bank (CDB), was high staff turnover in local ministries. Consequently, both organizations have developed training modules in order to create an institutional memory of disaster risk reduction tools.

The third panel consisted of two representatives from bilateral agencies. These bilateral agencies focused on specific issues covered to a lesser extent by multilateral organizations, such as gender, environment, and community participation. The speaker from the Norwegian Ministry of Foreign Affairs (MFA) pointed out that beneficiaries need to be consulted before, during, and after natural disasters. The representative from the German International Cooperation Enterprise for Sustainable Development (GTZ) emphasized his organization's use of an ex-post evaluation tool to take into account beneficiaries' and local governments' perceptions in order to improve the design of future projects.

Bilateral agencies were concerned with how their small-scale interventions contributed to a country's overall development, an issue Vinod Thomas from the World Bank also raised in his opening address. Thomas pointed out that while individual World Bank projects were often successful, at the same time there was a disconnect between projects that were rated successful within programs that were not successful, or country performance that was not successful. GTZ

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had a similar finding when completing an impact assessment of community-based early warning systems in Latin America. For GTZ, it proved difficult and costly to assess the impact of disaster risk management projects on the overall development impact. The impact assessment showed that, in order to be effective, small interventions in disaster risk management (e.g., community-based early warning systems) need to be embedded in a comprehensive national program and/or a program with multi-institutional support. However, while GTZ saw donor coordination as a key factor in upscaling its efforts, the representative from the Norwegian MFA stressed that while development organizations support donor coordination to pursue their goals in principle, in practice, no organization wants to be coordinated.

A related issue to donor coordination was funding for need versus visibility. Panel participants agreed that political pressure from donors exists. However, initiatives are underway, particularly in the UK, to base funding on needs assessments and evaluation findings rather than on political objectives and publicity for the organization itself. In addition, representatives spoke about the uneven response to natural disasters and massive fundraising drives every time a disaster occurs. In order to make disaster response more even, participants pointed to better donor coordination as well as to innovative financing mechanisms, such as insurance and private sector involvement.

In the fourth panel, ambassadors from the humanitarian sector presented their evaluation findings. Again there was a convergence of findings, especially among humanitarian representatives and bilaterals, in the areas of beneficiary participation, needs assessment, and local capacity. In this regard, most evaluations found that agencies were more accountable to their donors than to beneficiaries. With respect to local capacity one of the presenters asked the following questions: Who is learning what from evaluations? The local authorities, the local actors, or headquarters? In the context of this discussion, one participant even referred to the style in which evaluations are written in order to reach local officials.

Finally, the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) raised the issue of how best to link relief efforts to development. During the discussion, one specialist emphasized that it would be useful to have humanitarian agencies provide relief and then return home, leaving reconstruction to development agencies such as the World Bank and other multilateral agencies. He suggested that development agencies wait until the relief phase winds down before starting reconstruction work. However, ALNAP, which had reviewed some 700 evaluations by humanitarian agencies, concluded that coordination between the humanitarian sector and International Financial Institutions (IFIs), is not taking place. ALNAP also found that, in recent years, given that more funding has been available for emergencies, there was a tendency in both camps to duplicate efforts. As a result, both humanitarian relief agencies and development institutions provided relief, rehabilitation, and reconstruction. Here again donor coordination seemed important, but was largely missing.

Based on the four panels' discussions, participants felt that the strong convergence of evaluation findings could further supported change in the field of disaster risk management.

EVALUATORS' ROUNDTABLE

The one feature that stood out in most of the presentations was the overwhelming consensus among evaluators regarding findings related to disaster risk management.

The participants recognized that evaluation was essential for reducing vulnerability and that disaster risk was one reason for the group to think further about ways to collaborate. In this regard one of the presenters observed that "disasters happen if there is a structural problem in a society,"

and that evaluators need to stick “close to power,” and analyze the structural problems in countries in order to collectively inform country strategies. It was also emphasized that small and poor countries tend to have a short-term perspective and therefore need help from outside organizations to better prepare for the long term.

The following evaluation tools and methods were proposed in order to enable countries and managers within large development organizations to effectively address the issue of risk management in a more systematic way:

- The development of vulnerability indicators because countries need to be informed of their vulnerability status in order to be able to act;
- The introduction of monitoring and evaluation systems stemming from the lack of evaluability of disaster operations;
- The use of a full census approach: collecting data on every single operation within a country and storing the information in an interactive database. For example, this approach enabled the World Bank to learn, that ten of its borrowing countries face crises every year that require international support;
- The regular review of self-evaluation reports issued at the end of each operation. The analysis showed that the same lessons were drawn up to 50 times by the World Bank, proving that they were not being learned; and
- An approach designed to assess the timing of disaster projects. Past experience showed that disaster operations were largely never implemented as quickly as originally intended. This was the result of evaluations across operations in one organization as well as among different organizations. The lesson to be learned is that the time allotted to disaster operations in policy statements should not be limited.

In a further panel, high-tech evaluation tools were introduced. For example, microzonation studies inform decision-makers of possible earthquake damage and mitigation measures. Another example was the use of drilling into walls in order to verify compliance with earthquake-resistant housing standards.

One presenter suggested non-structural flood mitigation measures, such as reforestation, land use planning policies, cost-benefit analysis, and insurance regulations as alternatives to engineered solutions. In this regard, it was felt that evaluation could bring these non-structural mitigation methods to the attention of decision-makers.

Another panel addressed the issue of joint evaluations. Different methods of joint evaluations were described, such as parallel evaluations, fully joint evaluations, and the approach taken by the Tsunami Evaluation Coalition (TEC). The TEC conducted a distributed joint evaluation, meaning that different agencies commissioned their own evaluations that were later incorporated into one joint evaluation report.

With respect to evaluations, attribution to a single agency was seen as both a blessing and a curse. While it was true that beneficiaries proved more willing to share their experiences when consulted by a multi-donor evaluation team, and that joint evaluations were cost-effective for some of the smaller bilateral agencies, at the same time, no agency took responsibility because successes and failures were not attributed to specific agencies.

STRONG CONSENSUS REGARDING EVALUATION FINDINGS

The last session of the roundtable discussion focused on: 1) key messages for policymakers to ensure that recommendations are adopted, and 2) an action plan laying out future areas of cooperation for conference participants.

A table was distributed to the audience detailing 51 lessons presented during the conference (see Table 1). This table demonstrated a strong convergence of evaluation finding among different institutions. The fact that evaluations undertaken by diverse institutions (IFIs, bilaterals, humanitarian organizations, etc.) bear out the same or similar findings demonstrated a consensus on future steps that policymakers could take and that conference participants could take back to their institutions.

Table 1. Lessons and Recommendations from Natural Disaster Evaluations

Lessons and Recommendations	WORLD													Total #	
	BANK	IDA	IBRD	IFAD	IMR										
The organization's long-term engagement with client countries needs to ensure continued focus on permanent vulnerability reduction	x	x		x	x	x	x	x	x			x	x	x	12
Donor coordination is especially critical to disaster relief and recovery -because of the dynamic nature of the situation and/or -because disasters typically attract the involvement of numerous donors	x		x	x		x	x	x	x	x				x	10
Even in the difficult circumstances of a disaster response, beneficiary participation during the design and implementation stages is essential to success	x				x	x	x	x	x				x	x	9
The high concentration of risk (in hotspot countries) suggests that mechanisms are needed to finance those risks or transfer them	x	x		x		x	x	x	x					x	8
The organization needs the capacity to quickly gather and disseminate international experience to borrowers in an emergency	x	x		x	x	x	x						x	x	8
Customize response (tailor response to a country's specific needs)	x			x				x	x	x	x	x	x		8
Prevention and mitigation deserve a higher priority than in the past	x	x	x		x	x	x							x	7
Increase the organization's capacity to respond to disasters and ensure that it can be mobilized quickly	x	x		x	x	x	x							x	7
Because hazard risk management takes place in a broad sectoral context, institutional development activities need to address the work of line agencies as well as to strengthen disaster-specific units	x	x		x	x	x								x	7
Revise policy on emergency lending	x	x			x	x	x								6
Use disaster-resistant techniques in infrastructure reconstruction	x		x	x		x	x							x	6
The institution has not been sufficiently strategic	x	x		x			x	x		x					6
Too often, local governments were not included in decisions that had major impacts upon them.	x							x	x				x	x	6

1. *Strategic gap:* An effective emergency strategy would include risk management within Country Assistance Strategies (CASs) and Poverty Reduction Strategy Paper (PRSPs). It would also address a chronically neglected dimension of disaster management—preparedness and prevention.
2. *Policy gap:* A responsive development policy would be risk-sensitive and adopt human security goals. It would reconfigure aid allocation protocols to privilege vulnerable countries and it would incorporate humanitarian principles (e.g., the Red Cross and ALNAP guidelines) in its operations.
3. *Financing gap:* The financing challenge would be tackled by addressing moral hazard, insurance, risk sharing, and risk transfer issues.
4. *Coherence gap:* Donors would work together, harmonize their procedures and align their interventions to meet the country priorities as advocated by the policy coherence for development initiative of the Organization for Economic Cooperation and Development (OECD).
5. *Management gap:* Effective management deals with corruption, builds capacities and delegates authority to generate adaptability and responsiveness.

ACTION PLAN FOR NATURAL DISASTER EVALUATORS

The strong convergence of evaluation findings provided a sense of purpose and urgency for participants to continue to work together on disaster risk reduction issues. Emphasizing the importance of a forum as opposed to a website or sourcebook, one participant commented: “What made this particular event live to me was that people were speaking honestly about their evaluations. They were sharing evaluation results.” In order to continue working together, conference participants proposed the following plan of action with the idea that ProVention could serve as a focal point. The action plan follows two themes, (1) fostering dialogue among evaluators, and (2) increasing the impact of evaluations:

Fostering the evaluation dialogue

- 1) *Issue a report on conference proceedings.* The World Bank offered to produce a report based on the proceedings of this disaster risk management conference. Participants suggested that the report be short, concise, and constructive.
- 2) *Create an interactive website.* The CEB suggested creating an interactive website in order to connect participants interested in evaluation and disaster risk reduction. The proposal was welcomed by the audience, although out of concern for duplication, some participants did not want to see a completely separate website initiated. They highlighted that there were already a lot of existing virtual forums related to risk reduction that participants could tap into. Other participants, however, supported the idea of a new virtual framework or internet network linking bilaterals, IFIs, the UN, international NGOs, and local NGOs together for information and knowledge exchanges and potential training. A virtual forum could also serve to create a partnership with local communities, local governments, and national governments, in order to promote well-conceived and appropriate interventions that would cover the full spectrum from preparedness and prevention through response to recovery and reconstruction, as well as learning from evaluations. The following existing networks for knowledge-sharing were also identified:
 - Risk reduction: The International Strategy for Disaster Reduction (ISDR).
 - Recovery work: The International Recovery Platform (IRP) based in Kobe, but also in the ILO and ISDR in Geneva. The mission of the IRP, a group of UN agencies made up of

- the ISDR, United Nations Development Program (UNDP), and the Asian Disaster Reduction Center (ADRP), among others, is to share information about recovery.
- 3) *Create a glossary endorsed by the OECD-Development Assistance Committee (DAC) working group.* The need for an official glossary and translation was deemed important. In this regard, participants were concerned that everyone have a common understanding of terms such as “risk,” “vulnerability,” “impact,” “outcome,” etc. and therefore supported creating a glossary. However, other participants argued that such a glossary already existed. In fact, the IDB had started to develop a glossary that was further developed by ISDR. Finally, it was emphasized that the issue here was not the existence of a glossary, but rather its official endorsement by the parties concerned.
 - 4) *Continue the dialogue on evaluation results and disaster risk management.* The CEB proposed organizing a follow-up forum in two to three years. To organize such a forum, a steering group would be needed, representing the various interests that have been represented in this meeting. In addition, participants felt that the UN should be more involved in future forums. The Swiss Federal Institute for Snow and Avalanche Research (SLF) offered a second proposal, which would entail meeting in parallel with the International Disaster Reduction Conference (IDRC) in Davos. It was perceived that Davos, based in Switzerland, could provide a neutral base for a dialogue on evaluation and risk reduction.

Improving the impact of evaluation

- 5) *Research the long-term impact of evaluations as well as recovery from disasters.* Participants recognized the need for longitudinal impact studies, research on whether interventions were effective at helping communities to return to some state of normalcy, whether they really strengthened livelihoods of disaster victims, and whether they addressed resilience. In addition, one participant suggested that “a mechanism could be put in place to monitor and assess the experience and lessons from evaluations.” The same participant also posed the following questions: “Are we moving ahead? What sort of lessons have we learned from taking on board lessons from evaluation for doing better? What sort of indicators do we have in order to make measurements in that regard?” Another participant proposed conducting more cost-benefit analysis research. In addition, it was felt that research questions such as the following ones should also be answered: How much can we afford to invest to save lives? Should we rather invest in technical measures, or would it be more effective to spend the same amount of money to provide early warning systems?
- 6) *Develop a sourcebook to include good practices on monitoring and evaluation and disaster risk reduction.* ProVention offered to broaden its current initiative of an open web-based sourcebook,¹ to involve all concerned parties, including IFIs, bilaterals and other conference participants, including partner organizations from developing countries. It was thought that such a sourcebook could help bridge the gap between the humanitarian and the development community.

¹ The ProVention Disaster Reduction Monitoring and Evaluation Sourcebook is designed as a resource for methods and tools to evaluate the socio-economic benefits of disaster reduction initiatives. The sourcebook will include detailed guidance on planning and implementing evaluations, the application and value of different assessment approaches and methods, and the selection and validity of different indicators. It will also detail case studies of ‘good practices’ in evaluation and case evidence on the net benefits of risk reduction.

Source: Retrieved on 01/17/07 from:

http://www.proventionconsortium.org/themes/default/pdfs/ProVention_News/ProVentionNews_Dec_06.pdf

- 7) *Link evaluations to training activities.* Besides the idea of creating a new training organization, methods of incorporating feedback from evaluations into existing training systems should be explored. In addition, participants also brought up several training needs. For evaluators, it was suggested that evaluation capacities and terms of references (TORs) be improved in order to enhance the precision and coherence of TORs across different institutions. For disaster risk managers, proposals included offering strategic planning in disaster risk management at a high management level and improving accountability of program delivery to affected populations; as well as building up social and professional networks.
- 8) *Ensure that evaluation guidelines are endorsed by the DAC working group.* It was suggested that it might be useful for one of the donor agencies to have the DAC working group endorse evaluation guidelines for disaster recovery, reconstruction, and prevention to ensure legitimacy, similarly to previously issued guidelines on conflict.

Disaster Risk Management: Taking Lessons from Evaluation

1. Introductory Remarks

1.1 Claudine Voyadzis from the Council of Europe Development Bank (CEB) welcomed the speakers and participants to the conference on “Disaster Risk Management - Taking Lessons from Evaluation.” She especially thanked Vinod Thomas, the Director General of the Independent Evaluation Group of the World Bank, IFC and MIGA, as well as Steve Quick, the Director of the Office of Evaluation and Oversight of the Inter-American Development Bank, for having co-sponsored the event. “The timing of this conference is just right,” said Voyadzis, “because so many organizations represented today have just completed evaluations of their disaster portfolio and are ready to share their findings.” Voyadzis continued by introducing three keynote speakers, Ruiz Ligeró, Vinod Thomas, and Caroline Clarke.

APOLONIO RUIZ LIGERO, VICE-GOVERNOR, COUNCIL OF EUROPE DEVELOPMENT BANK

1.2 Ruiz Ligeró, Vice Governor of the Council of Europe Development Bank, reminded the audience that the purpose of the conference was to learn from recent evaluations about all the efforts that have been made in disaster risk management. “Personally,” he said, “I am particularly eager to learn about the response to these evaluations by management and operational staff.”

1.3 “Natural disasters,” said Ligeró, “make numerous victims each year and losses are running into the hundreds of billions of dollars. Natural disasters are not limited to a specific part of the world. In many parts of Europe, for instance, flooding has become an annual happening. Forest fires are increasing, which are often linked to drought. Southeastern Europe and Turkey are particularly vulnerable to seismic events; landslides and avalanches are frequent. Disasters great and small can be expected to affect many of our advanced member states in the decades to come. Therefore, multi-lateral, and bilateral agencies, and banks, as well as the European Commission, will become increasingly involved in recovery and prevention.

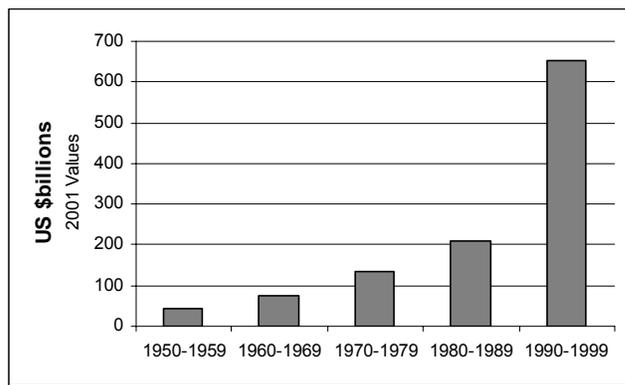
1.4 “CEB has made a clear shift from disaster recovery to disaster prevention. From 2000, we have distributed about two billion euros, around half of which is in the area of flood prevention. Preventive measures cannot, of course, prevent natural phenomena from happening; their aim is to help to protect areas and population against the possible consequences of natural phenomena. Since disaster damage is increasing, we are frequently looking for opportunities of coordination and co-financing with other institutions in order to increase the overall effectiveness of disaster response, preparedness and prevention.”

VINOD THOMAS, DIRECTOR-GENERAL, INDEPENDENT EVALUATION GROUP, THE WORLD BANK

1.5 The second keynote speaker was Vinod Thomas from the World Bank. Thomas was pleased to see so many evaluators gathered in one place to discuss methodologies and share evaluation results.

1.6 According to Thomas, “Natural disasters are not just a development issue, they are a global issue. Therefore, a meeting such as this is long overdue.” “We know,” said Thomas, “in the past sixty years, the toll of natural disasters has significantly increased in each decade. The property value destroyed by natural disasters in the 1990s was nearly 15 times greater in real terms than that destroyed in the 1950s (Figure 1). Approximately 2.6 billion people were affected by natural disasters over the past ten years, compared to 1.6 billion the previous decade.”

Figure 1. Economic Losses from Great Natural Disasters



Note: Data are for “great” disasters, in which the ability of the region to help itself is distinctly overtaxed, making interregional or international assistance necessary.

Source: IMF 2003.

1.7 Thomas argued, “No country is immune to disaster. Remember, Europe was hit by a tsunami in 1755 following the great Lisbon earthquake. Even countries that have avoided a particular kind of disaster in the past years are not immune. Brazil, for example, suffered its first hurricane ever in March 2004. The destruction that we see might strike some as random, but there is a certain degree of predictability, not on the exact location, but on the nature and the broad contours of the phenomenon. Thus, disasters can be prevented to a much greater extent than hitherto. The possibility to mitigate or prevent disasters is what makes the learning from evaluations powerful.

1.8 “In the recently released report, ‘Hazards of Nature, Risks to Development,’ IEG scrutinized more than 500 World Bank disaster assistance projects over the past 20 years. The report calls for new thinking that integrates predictable disaster risks into development programs. It argues that it is possible to anticipate where many natural disasters will strike, yet expresses concerns that World Bank development assistance is underutilizing these vital lifesaving forecasts.

1.9 “Long-term reconstruction requires careful planning and choices. The World Bank is very good at providing much needed assistance, but is often unable to convince countries to accept more permanent solutions which take longer to implement. Realizing that the political pressure to go for quick-fixes rather than more permanent solutions is highly likely once a disaster strikes – the IEG evaluation recommends countries get more pro-active rather than reactive and that the World Bank use its influence toward that end. Disaster risk should be built into development planning from the start – rather than be an after-thought.

1.10 “One general point in this context is when we look at the individual projects, we might find a considerable degree of success, but there is a disconnect that we have and this is not just in the case of natural disaster project, but a broader finding that something like a third of the World Bank’s projects that are rated successful work within programs that are not successful or country performance that is not successful. The question is how one can include these projects with a country’s strategy that assure better success for the country in the next round. A point to keep in mind would be project versus program or country performance and how even well-designed and well-implemented individual projects can work with an overall success that is missing.

1.11 “Improved management of risk also involves better financial options—to help spread the risk and provide more stable financing rather than the mad scramble that now seems to occur whenever disaster strikes. Without contingency financing for disasters, critical infrastructure may not be reconstructed. Studies have shown that unless infrastructure is fully reconstructed, long-term GDP losses are likely to result. Today’s typical response to a disaster is a massive fund-raising drive involving famous politicians and movie stars, which often leads to very uneven responses. Such donation drives are a helpful stopgap, but considering that 2 out of 5 people in the world are affected by disaster and that donor fatigue can set in very quickly, an internationally supported financing mechanism is needed. In its continuing absence, the need for post-disaster liquidity far exceeds the ability to meet that need, forcing countries to fall back on their own limited resources. At the moment, in most developing countries, costs not borne by the disaster-affected households that dip into savings or get help from relatives, are the responsibility of the government, which must divert scarce resources from long-term development into disaster recovery. Much of the disaster assistance is also from person to person or government to government. The market plays a limited role.

1.12 “If we know more disasters are on their way, we need more stable funding mechanisms with built-in rules for engagement. Regional and global funding mechanisms are being proposed and provide another way of reducing individual country costs and scattered responses.

1.13 “New and innovative insurance mechanisms are also being developed. For example, in Turkey and the Caribbean, where a disaster strikes once every two years, such schemes can help diversify risk internationally through re-insurance and need to be encouraged. Insurance schemes will also put market pressure on the building industry to meet minimum construction standards. Turkey was able to sell re-insurance in international markets of up to \$1 billion. At the same time, however, as risks rise, so will the costs of insurance. Unless carefully priced, insurance schemes can create perverse incentives for people to build in harm’s way—as occurred in New Orleans, stimulated in part by the availability of government subsidized flood insurance.

1.14 “The risks associated with disaster will only increase as population pressures rise, unless we change the way disaster risk is brought into development thinking in an integral manner. Climate change will, in all likelihood, bring with it additional changes and new risks. As sea temperatures rise, the risks of cyclones will increase. As sea levels rise, more coastal areas will be affected, and as weather patterns change, droughts and floods will increase in number and will affect new areas. These are not one-off events—they are among the risks that international organizations must help countries to deal within the context of their development plans. If we do not adapt our approaches to ameliorate these growing risks we will only ensure two things: donor fatigue, and that the poorest citizens in the developing world will be subject to the ravages of natural disaster for decades to come.

1.15 “So, the incidence of hazard events is growing, in part due to climate change; and the incidence of disasters is growing because of rising vulnerabilities and increasing environmental degradation. That is why this conference is so important. Evaluation needs to be built into disaster mitigation and response from the outset. I predict that the evaluations discussed today will share many conclusions and recommendations. It is important that we share what we have learned about preventing and responding to disaster. But it is perhaps more important that we talk about how to get the wider development community to learn from the evaluative processes that we will be learning about today. More than many development activities, disaster risk management has a direct and important impact on people’s lives. I am especially gratified that IEG will be producing a short volume based on the proceedings of this conference. We welcome your inputs, and hope you will share in its use and distribution.

1.16 “The World Bank has done a lot to help countries when disaster strikes – but it should now do more to plan ahead of disasters. And to see that the ‘lessons learned’ sections of our evaluations are truly learned by the institutions that we serve. How often do we need to be shaken before we are stirred to take bolder measures to help prevent disasters? It is incumbent on all of us to convince the development community to be more proactive and less reactive to disasters and build risk mitigation into development strategies.”

STEPHEN A. QUICK, DIRECTOR, OFFICE OF EVALUATION AND OVERSIGHT, INTER-AMERICAN DEVELOPMENT BANK (ACTUAL CAROLINE CLARK)

1.17 As third keynote speaker, Caroline Clarke from the Inter-American Development Bank (IDB) welcomed the audience on behalf of Steve Quick, the manager for IDB’s Office of Evaluation. Clarke added: “We are looking forward to the exchange of ideas, experiences, and innovations, and we are interested in being a partner in the follow-up with all of you.” Clarke shared a story about Quick’s keen interest in the topic of disaster risk management from 2003, when IDB began its evaluation of natural disaster projects. During the first meeting of the evaluators, Quick said: “I have a feeling that it is going to be important for IDB to know how a large development bank handles the issue of risk, uncertainty, and probability.” “Indeed,” said Clarke, “since the evaluation came out, I have the sense that at least the language of risk management permeates much more throughout the entire IDB.”

2. Natural Disaster Project Evaluations by Multilateral Organizations

2.1 Following the keynote speakers, the moderator, Ian Davis, introduced the conference's first panel by stating that since 1972 he has worked continually in disaster planning, but that this was the first conference he had ever attended on the evaluation of disaster assistance. "We did a bit of a straw poll while we were having dinner last night," Davis said, "and it seems that nobody else has been to a meeting like this either, so that this meeting seems unique and timely." The aim of the event was to first discuss the analysis of recent disaster operations of multilateral and bilateral development aid organizations; and secondly, to highlight those aspects that would facilitate institutional changes and improve practice. Asked about their interest in attending this conference, 21 participants noted that they were interested in compiling knowledge on disaster risk management, 15 were interested in establishing links for further cooperation, and 15 wanted to find out how evaluation can be used more effectively to change international systems in addressing disaster risk.

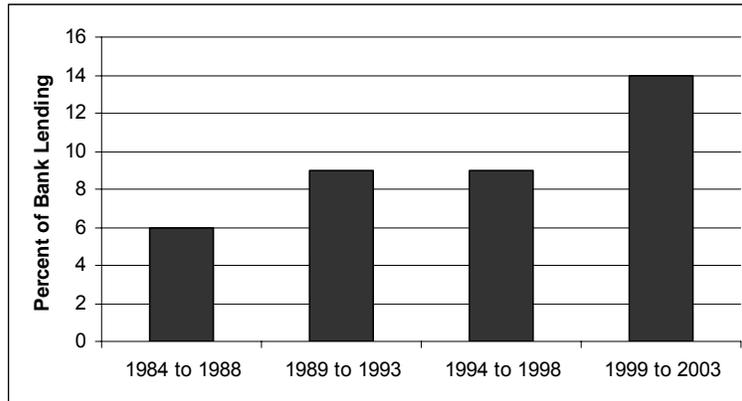
THE WORLD BANK (WB): APPLYING IEG FINDINGS: IMPROVED WORLD BANK ASSISTANCE FOR DISASTER RISK MANAGEMENT

MARGARET ARNOLD

2.2 The first speaker, Margaret Arnold, spoke on "Applying IEG Findings: Improved World Bank Assistance for Disaster Risk Management." Arnold elaborated on the impact of the IEG evaluation within the World Bank and identified why the evaluation had such a strong impact. She reiterated its major findings and recommendations:

- (i) The first finding was that the World Bank has been reactive to disasters rather than proactive and strategic in managing risk. In Arnold's words, "Disaster risk management has never before been looked at as a sector of lending. That means that disaster-related projects are not only being found in the transportation sector, or in the agriculture sector, but in every single sector that the WORLD BANK invests in. Before the IEG evaluation, however, the World Bank did not know that over the past 20 years it invested \$26 billion in disaster risk management. It did not know either that in the last 5 years disaster lending accounted for 14 percent of its entire portfolio" (Figure 2).
- (ii) The second finding of the IEG evaluation was that lending for reconstruction is concentrated because of the recurrent nature of disasters. "There are about ten countries – and they tend to be the World Bank's biggest borrowers as well – that have borrowed most of the funding for disasters."
- (iii) Finally, the evaluation found that the World Bank's capacity for coordinating natural disaster response is limited.

Figure 2. Share of World Bank Portfolio in Natural Disaster Lending (in 5 year increments)



Source: IEG 2006: *Hazards of Nature, Risks to Development*

2.3 The recommendations that came out of the IEG evaluation were 1) to prepare strategies that take into account the vulnerabilities of the World Bank's different borrowers, 2) to revise the World Bank's operational policies and guidelines, and 3) to address longer-term developing needs in relation to disaster risk while ensuring that the World Bank has expertise and capacity to respond more quickly to natural disaster emergencies.

2.4 Arnold walked the audience through these recommendations and how they changed the World Bank's approach to natural disasters assistance.

2.5 According to Arnold, the World Bank flags the highest risk countries based on analysis of the Disaster Risk Hotspot study, published together with ProVention in 2005. This study identifies on a global level where the highest risk countries are. Whenever PRSPs or CASs are negotiated or further developed, Arnold and her team makes sure that disaster risk management is integrated at a strategic level. This is because, within the World Bank, if disaster risk reduction is not in the CAS, it will not be represented in the lending portfolio.

2.6 Arnold also noted that at the project level, the World Bank has been developing a number of tools and training modules with ProVention and ISDR and other partners to integrate disaster risk management. Tools range from building codes, in particular for hospitals and schools, which have to function after disasters, to cost-benefit analyses used to justify investments in prevention and mitigation.

2.7 Most recently, the World Bank has been working to establish a funding facility in multi-donor trust funds to support risk reduction and recovery. The facility is supposed to have three tracks of financing (see Box 1).

Box 1. Global Facility for Disaster Reduction and Recovery (GFDRR).

- (i) To support the ISDR for global and regional deliverables, mainly to be implemented by the ISDR.
- (ii) To provide country-level technical assistance. This would be mainly implemented by the World Bank, but also in partnership with other organizations.
- (iii) To provide grants for the poorest countries (IDA countries). Since the third track is the least elaborated, there has recently been established a Bank-wide working group that is looking at additional financing options for World Bank projects.

Source: *The World Bank*

2.8 Arnold noted that the World Bank's policy on emergency lending has been under revision for at least five years, with the latest review date scheduled for the end of 2006. Arnold highlighted several points regarding the policy revision:

- The World Bank's current lending policy covers both natural and man-made disasters (e.g. conflicts). The new policy, however, will broaden the scope of emergency lending and cover any type of urgent operation, be it a financial crisis, a health crisis, or anything for which task managers would need a quick-disbursing lending instrument.
- Whereas the current policy focused more on reviving the economy, the new policy places additional emphasis on social sector impacts.
- The World Bank task managers can start processing emergency projects prior to the onset of the disaster.
- Another new policy provision is aimed at improving procedures after an emergency. The World Bank is usually effective in damage and needs assessments and in getting emergency projects quickly approved by the World Bank's Board of Directors. Implementation, however, can be slow. In order to address this problem, the World Bank needs guidelines and training that will improve actual implementation.

2.9 Arnold elaborated on the World Bank's need for a more systematic quick-response mechanism following disasters. In the past, she said, "a country unit would typically call me and I knew who worked on what project and where people were, so we just pulled people from other regions and sent them on the ground quickly." Now, however, the World Bank is formalizing this quick-response process. In cooperation with its Human Resource Department, the World Bank is establishing rules on freeing up staff from their ongoing work programs.

2.10 Arnold concluded by highlighting the value of the IEG evaluation for the World Bank: "I have been waiting for this evaluation to come out because it provides us the ammunition to go forward with what we have been working on since 1998, which is improving the response and mainstreaming risk into our development efforts."

2.11 "The evaluation validated all the efforts that we have made, and it also provides a lot of rich material that we will be taking forward to connect the evaluators with what is happening in our operations. Why did the evaluation have such an impact? I would say it is mainly timing. The tsunami, the Pakistan earthquake, and all the other unfortunately very visible events, have raised the profile. In addition, there is a general movement within the international community from a reactive to a proactive approach to disaster risk management. Finally, I think, my team has prepared the World Bank to hear the evaluation findings. As I said, the evaluation has really validated the work that we have done."

INTER-AMERICAN DEVELOPMENT BANK (IDB): FROM EVALUATION TO A RENEWED BUSINESS MODEL: THE IDB EXPERIENCE

CAROLINE CLARKE

2.12 The second presenter, Caroline Clarke from the Inter-American Development Bank (IDB), discussed organizational change under the title "From Evaluation to a Renewed Business Model: The IDB Experience." In her address, Clarke reflected on the impact of the IDB's 2004 "Evaluation of [IDB's] Policy and Operational Practice Related to Natural and Unexpected Disasters." She concentrated on the process within a large organization to shift from a reactive approach to disasters to a proactive approach by systematically preparing countries for disasters

before they hit. According to Clarke, “the key element in our experience has been, first, get everybody’s attention; second, find your key business model, third get visibility and commitment from the Board and have senior management develop a strategy; and, fourth, to engage your workforce going forward.”

2.13 Clarke reminded the audience that after Asia, Latin America and the Caribbean is the most hazard-prone region in the world. The 2004 IDB evaluation looked at IDB’s experience from 1995 to 2002 and found about seven and a half percent of its lending portfolio went to projects related to disasters, be it for prevention, mitigation, or response. About 40 percent of projects were dedicated to risk reduction, approximately 6 percent were for emergency response, and about 50-53 percent were for reconstruction (Table 2).

Table 2. Apparent Functional Distribution of 49 Natural Disaster-Related Loans, 1995-2002

Function	Number of Loans	% of Loans	Natural Disaster % of Project amount	Natural Disaster % of IDB Amount
Prevention/Mitigation	26	53	41	47
ERF/Emergency Response	8	16	6	7
Rehabilitation/Reconstruction	15	31	53	46
Total	49	31	100	100

Source: IDB 2004, p. 26.

2.14 The IDB’s evaluation concluded that disasters have a significant bearing on the development prospects of countries in the region, but that countries themselves are not addressing this risk adequately. The IDB also concluded that its investment portfolio is highly reactive in favoring ex-post response. As Senior Specialist for Disaster Prevention and Risk Management within the IDB, Clarke regarded the evaluation’s conclusions as self-evident for those who work in the field. However, the conclusion that countries are not addressing risk adequately led to important changes within the organization, which Clarke explained in the following words: “A deceptively simple, but in fact very powerful hook for the recommendations was to call for a revision of our own disaster policy as well as the development of an Action Plan for Improving Disaster Risk Management in order to get our development assistance hazard-proofed.”

2.15 Furthermore, Clarke explained how the four-year Action Plan was translated into three corporate commitments that in many respects are very similar to the activities undertaken by the World Bank.

- (i) With respect to country programming, the IDB is committed to analyzing risk, particularly for high-risk countries, in order to incorporate the analysis in a country strategy each time a strategy is negotiated (typically when there is a new government in place). As Clarke noted, “the primary focus of the country dialogue is to make risk evident for the countries, and to evaluate the probable impact of natural disasters on our development assistance.”

- (ii) The second set of activities strengthens the IDB's own internal policies, procedures (including checklists), and financial products.
- (iii) The third set of activities, which was quite innovative for the IDB, concentrated on restructuring the organization so that it is better able to deliver disaster risk management to countries. In order to achieve this goal, focal points for disaster risk management were set up in each of the countries as well as across the operational departments in Washington. In addition, financial and human resources were realigned and cooperation with bilateral and multilateral partners was strengthened in order to attract funds to Latin America and the Caribbean.

2.16 Clarke subsequently explained how the evaluation set in motion organizational change. "In spring of 2004, when the evaluation was completed, it first went to an internal management review. Similar to what Arnold described for the World Bank, the IDB specialists, the technical people in the trenches, were very much on board with the evaluation's conclusions. They felt that finally, the organization's being reactive rather than proactive is getting out there and being made visible. That is why staff recommended to the IDB's senior management that they ought to set up an inter-departmental task force with the Executive Vice President chairing it, to address those recommendations; including an initiative to go forward with budget. At the time, senior management decided against taking any action. There was no appetite for what was clearly a resource realignment process. Then the evaluation went to the Board for its review with the administrations support of the conclusions, but without their making any appreciable proposal to realign resources.

2.17 "The Board, on the other hand, found the evaluation's conclusions compelling, and called for the administration to come up with an action plan and budget. When the Board speaks, senior management listens. Accordingly, the Executive Vice President and the Board's Secretary designated a technical group to take up the lead of the disaster management focal points across the IDB to come up with an action plan to be presented to the Board. In addition, senior management realigned existing priorities and manpower, and had these new priorities reflected in each department's business plan."

2.18 The lesson from this experience is that a technical vision is necessary, but it is not sufficient to get a business model up and running. The IDB's Board and senior management need to focus on problematic areas of responsibility and budget. According to Clarke, "the Board is a wonderful agency to develop a clear vision and areas of work, and to then identify resources to meet those commitments."

2.19 In terms of budget realignment, the action plan was translated into a special budget initiative. That was an injection of additional support for three years, starting with fiscal year 2006. Resources of about \$400,000 a year were used for new manpower (e.g. research fellows, technical people for training and the development of guidelines). Japan was an early supporter, and took the important step of providing an additional \$800,000 of trust funds a year for the implementation of the new action plan.

2.20 Clarke ended her address by pointing out that an ongoing challenge will be to reward technical staff and backline managers for pushing and building an agenda that the countries themselves are not particularly asking for. "The IDB needs to provide resources and the ability to prioritize ex-ante disaster risk reduction and entrust it to the hands of technical staff despite the often low demand in the country."

EUROPEAN INVESTMENT BANK (EIB): QUESTIONS FOR AN EVALUATOR

ALAIN SÈVE

2.21 In his talk entitled “Questions for an Evaluator,” Alain Sève from the European Investment Bank (EIB) regretted that he was not able to speak about the impacts a disaster evaluation had on his organization, since EIB’s ten year-old operations evaluation department (consisting of ten staff) had not yet undertaken any disaster-related review of EIB’s lending portfolio. Therefore, Sève, as EIB’s Head of the Operations Evaluation, developed questions he would want to have answered by any future disaster evaluation.

2.22 Before asking these questions, Sève reminded the audience that EIB is active both inside and outside the European Union. In 2005, EIB’s total lending reached about 47 billion euros; 90 percent of which was geared towards countries in the EU, and only 10 percent to countries outside the EU. Within the EU, EIB has provided more than 5 billion euros for disaster management over the past 10 years (Table 3). Outside the EU, EIB financed disaster reconstruction in Turkey, and Sève recounted EIB’s reconstruction experience in which he himself was involved.

Table 3. EIB’s Assistance for Disaster Management Inside the EU

Project Type	Amount in US\$ billion	Amount in billion euros
Flood reconstruction	3.5	2.7
Earthquake reconstruction	1.6	1.2
Oil spill	0.7	0.5
Prevention	1	0.8
Total:	6.8	5.2

Source: Alain Sève, Power Point Presentation

2.23 Referring to the positive experience in coordinating with the World Bank and the CEB after the 1999 Marmara earthquake in Turkey, Sève concluded that in the future, EIB should select reconstruction projects in coordination with other financial institutions active in the affected region.

2.24 Questions Sève wanted to have answered by a future evaluation of the Turkey project included:

- (i) Relevance: Did the project meet its objectives of providing adequate housing to earthquake victims?
- (ii) Project performance: Four years after housing reconstruction was completed, one should ask: Was the settlement built in the right location? Was it available at the right cost? Was the quality of the new houses of sufficient level in order to be protected from future earthquakes? Do we need high-tech verification methods to make sure that steel has been placed correctly inside the concrete or should we rather rely on controls by the construction firms, as the World Bank did? (In a later session, see page XX, Pitilakis explained the high-tech verification methods used in Greece.)

- (iii) Performance of intermediaries and support units: How can we rate the performance of project implementation units and cash support being made available by intermediary local banks, as was the case after the Marmara earthquake?
- (iv) Coordination and co-financing: What was the value added for EIB in co-financing a project with the World Bank?
- (v) Benchmarks: How do you establish effective benchmarks when rating projects?

2.25 Like Arnold and Clarke before him, Sève highlighted the importance of disaster prevention. Referring to EIB, he said: “EIB is set up for almost one billion euros in loans to implement prevention measures. Financing prevention projects is a recent move by the EIB. Over the past ten years, EIB has spent around 20 percent of its disaster budget for prevention, mainly in the most recent projects. Thus, any future evaluation dealing with reconstruction projects would certainly have to answer this question: Which actions taken by people have increased disaster risk, and which measures have diminished the effects of natural disasters?”

2.26 According to Sève, EIB is now entering a phase of promoting prevention. He noted that “in the EU, we have one big advantage. Institutions are prepared to think about prevention and to prepare guidelines, which can help to better identify the actions to be implemented for prevention.”

2.27 Sève asked whether lessons learned inside the EU could be used in developing countries. While no one from the audience replied immediately, in a later session, Platt from the consulting firm Otesha in the United Kingdom and Poland, provided an example where a city was protected from flooding by massive embankments. In this case, lessons were indeed taken from a developed country and successfully applied to a developing country (see p. XX). However, referring to the IEG evaluation “Hazards of Nature, Risks to Development” Sève added that at times non-structural mitigation and prevention measures may be a preferred solution, since they are available at lower initial costs and without any maintenance strings attached.

ASIAN DEVELOPMENT BANK (ADB): LESSONS LEARNED DURING THE PREPARATION OF THE DISASTER EVALUATION

NEIL R. BRITTON

2.28 The moderator welcomed the fourth speaker, Neil Britton, who has recently been working for the Asian Development Bank (ADB) in Manila, having previously been in Japan and before that in New Zealand.

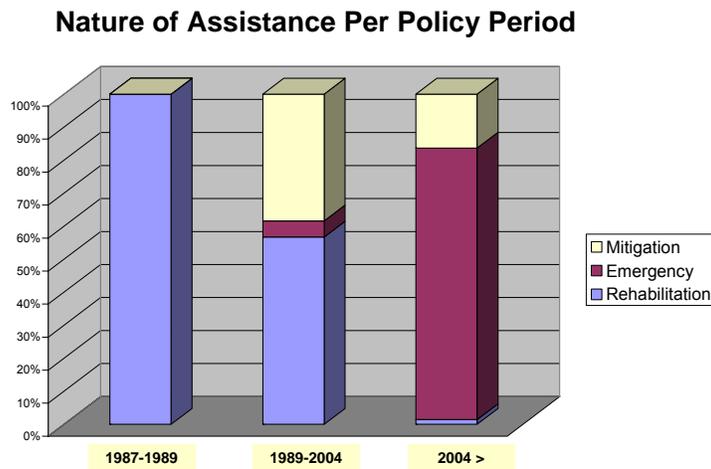
2.29 In his presentation, “Lessons Learned during the Preparation of the Disaster Evaluation,” Britton pointed to the many similarities between the ADB, the World Bank and the IDB. However, according to him “it is fair to say that the ADB is in a catch-up position.”

2.30 Among the similarities Britton pointed out were the following:

- The ADB had three successive policies issued in 1987, 1989, and 2004. Over time, the emphasis shifted from disaster response to supporting anticipatory/mitigation actions. Funds actually spent on rehabilitation versus mitigation reflect this shift (Figure 3).
- Similar to the World Bank and the IDB, the ADB has recently been going through an exercise of figuring out how much money the ADB has been providing for emergencies. According to Britton, the amount has totaled close to \$6 billion since 1987. Grants for

- emergency assistance increased dramatically with the Asian Tsunami Fund and later the Pakistan Earthquake Fund (Box 2).
- The World Bank and the ADB have in common that their policies cover natural disasters and post-conflict situations. Britton pointed out that the figure of \$6 billion presented above does not include health emergencies and environmental threats, which are treated separately.
 - Similar to the World Bank, the ADB has a specific lending instrument for emergency situations, called the Emergency Assistance Loan (EAL). The EAL is designed to provide immediate assistance for a two-year period after disasters (three years for post-conflict situations). Britton noted, “the IEG revealed, and the ADB can confirm, that EALs are not exactly a quick disbursing mechanism. Implementation time for EAL’s ranged from three to 17 years. It is this type of issues which needs to be analyzed systematically in order to change implementation practice within the organization.”
 - The ADB is also supporting its member countries to manage hazards themselves. The focus is more on working with countries so that a better understanding of their specific hazard state can be worked through. This approach is similar to the World Bank’s and the IDB’s efforts to include disaster risk management in country assistance strategies.

Figure 3. The ADB’s Funding of Rehabilitation versus Mitigation



* The emergency assistance under 2004 > includes \$972 million for the Asian Tsunami Fund (ATF) and the Pakistan Earthquake Fund (PEF), of which \$573 million were grants under the ATF.

such as sustainable livelihoods, weak governments, institutional capacity, and transitional safety nets. It also found that there is a need to place greater emphasis on early warning prevention, mitigation and preparedness. It highlighted the fact that there was inadequacy in the financing arrangements under the previous policies, and noted that the dispersed and ad hoc organizational arrangements of the ADB itself could be streamlined. For additional lessons see Box 2.

2.31 The ADB’s Operations Evaluations Department reviewed some of the organization’s experience with natural disaster risk management, though not as extensively as some of the other organizations. Following the Asian tsunami, the Operations Evaluation Department compared some programs that had been active prior to the 2004 policy with what was happening in the tsunami projects.

2.32 The Evaluations Department identified a number of limitations, namely the failure to fully address issues

Box 2. Lessons from 1987 and 1989 Emergency Assistance Policies

- Developing Member Countries (DMCs) need to plan for disaster
- Training for risk management staff and frequent review missions are important
- Include poverty reduction and environmental protection in emergency loans
- Include operational and maintenance financing in emergency loans
- Flexibility is paramount; complexity needs to be avoided
- Mechanisms are required for cost-sharing

Source: Neil R. Britton, Power Point Presentation.

2.33 Britton noted that although the ADB had a policy since 2004 that was strategic and took risk management requirements into account, an accompanying implementation program had still to be developed, but is now being dealt with. According to Britton, “the writers of the disaster policies sharply described the fact that there is a hazard problem. However, the link between policy statement and the programs was missing.” He diagnosed that “at the ADB after all these years that the new policy was in place, there was still a gap between the recognition that hazards create problems on a regular basis and the tools and strategies to systematically tackle this problem.”

2.34 Britton explained, “at the moment ADB is developing an implementation strategy. It is about how to take the 2004 policy from a strategic paper to implementation. The policy as it is written identifies how the ADB can use existing modalities to provide assistance, which largely means it is still looking at the problem from a reactive point of view.

2.35 “In relative terms, however, the policy has made several quantum leaps. It introduced the idea of disaster risk management into the Bank's disaster policies. Now, one of ADB's challenges is to build an implementation framework around the policy, so that our operations people will feel comfortable with it, and adapt it to each of the ADB's 47 diverse borrowing countries through the country-patented strategies.”

* * *

2.36 In the plenary discussion following the four presentations, one expert commented that “from a U.S. Government perspective, the challenge to greater preparedness, better planning and implementing what is locally and socially appropriate mitigation work is what we are really challenged with as well. I am encouraged to hear that we are all moving along a similar track, faced with similar types of challenges, and I am curious to see how we can all work more closely together in fora such as this, but also offline to try and coordinate or get some synergy out of our efforts.”

2.37 A concern from the floor was addressed to the IDB, the World Bank, and the ADB: “One outcome of the various evaluations and learning experiences within the three institutions has been an effort to mainstream disaster risk management across the board as a strategy. Yet some people would argue that mainstreaming can be the death of a subject. What becomes everyone's business eventually becomes no ones business.”

2.38 Margaret Arnold from the World Bank responded, “In an endangered environment, we do not want to have separate disaster management investments and then build hospitals and schools and roads that are being washed away. We have to make sure that everything we finance reduces vulnerability. When you hear the figures of how many schools the World Bank has built and then how many get wiped out or how many kilometers of roads get wiped out, who’s going to rebuild those? It is more business for us, so it is an ethical issue. Therefore, I think we have to make sure that disaster risk management is indeed mainstreamed.”

2.39 Caroline Clarke from the IDB added that she was one of those that do not like to use the word “mainstream.” “However, my institution does talk in house about mainstreaming. So that when we think about risk management, the first thing is to make risk evident for countries. You can call that mainstreaming into our country dialogue, if you would like, but really it is good risk management. In terms of the project cycle, having tools to identify what the potential risk is to a road project or a school project, and then having mitigation measures is good business.”

2.40 According to Britton, “mainstreaming is reminding people of reality. You call it what you want, but disasters are something that needs to be dealt with. If countries are not constantly reminded of disaster risk, they fall back into a reactive mode. You have to remind people that when you are dealing with development and nature, you have to deal with the hazardscape.”

**ANDEAN DEVELOPMENT CORPORATION / LA CORPORACIÓN ANDINA DE FOMENTO (CAF):
RESULTS OF THE NATURAL DISASTER EVALUATION
ROBERTO LOPEZ**

2.41 The moderator for this session, David Peppiatt, invited speakers to be provocative and frank in identifying the policy issues and outcomes of evaluations, as well as thinking about what institutional changes are needed.

2.42 Roberto Lopez from the Andean Development Corporation (CAF) spoke about “Disaster Risk Management: Lessons Learned from CAF.” CAF is a multilateral agency working mainly in the Andean countries. As of 2006, there are 17 member countries, but 85 percent of are concentrated in the five Andean countries of Bolivia, Ecuador, Venezuela, Peru, and Colombia. According to Lopez, CAF started working on the issues of disaster risk management in 1997. Most of its disaster-related work (about US\$2.5-3 million over a ten-year period) concentrated on Technical Assistance (TA) in the form of studies.

Lessons from Phase I (1997-1999)²

2.43 The Andean region is prone to natural disasters, such flooding caused by heavy rains. The region is also prone to landslides, hail storms, hurricanes, high winds, and droughts, in addition to

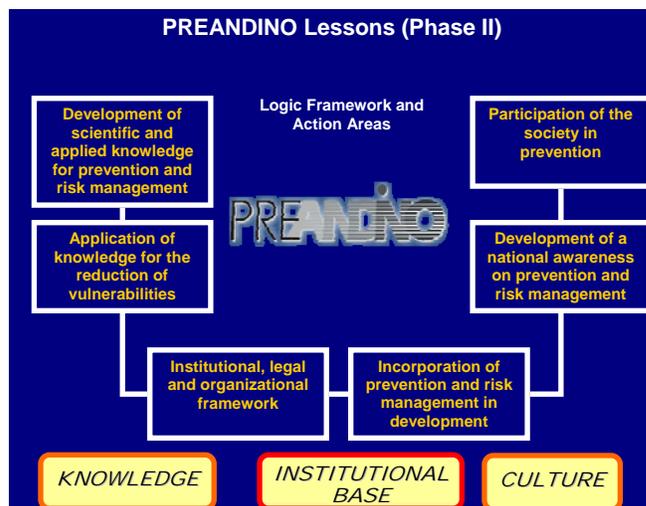
² Corporación Andina de Fomento (CAF) 2003: *Las Lecciones de El Niño. Memorias del Fenómeno El Niño 1997-1998. Retos y Propuestas para la Región Andina (Bolivia, Colombia, Ecuador, Peru, y Venezuela)*. Retrieved on January 22, 2007 from: <http://www.unisdr.org/eng/library/lib-select-literature.htm>.

volcanic eruptions, quakes and mass movements. These disasters can be associated with the region's geography, land use patterns, and developments in vulnerable areas. When CAF first started working on disaster risk management after the 1997/98 El Niño, it noticed a lack of policies, as well as legal/regulatory and institutional frameworks to foster risk prevention and reduction in the region. Ministries within countries focused primarily on post-disaster reconstruction. CAF found that applied scientific information on existing natural hazards was limited. According to Lopez, “One of the things that was most difficult for us to work with was the myth of disasters being consequences of destiny. There was no culture of risk prevention.” Consequently, CAF has worked on shifting this reactive way of thinking to a proactive one.

*Lessons from Phase II (2000-2004)*³

2.44 The second phase of CAF's engagement with disaster risk management lasted from about 2000 to 2004.

Figure 4. PREANDINO, Logic Framework and Action Areas



Source: Roberto Lopez

2.45 CAF created an institutional framework (called Programa Regional Andino para la Prevención y Reducción de Riesgos de Desastres or PREANDINO), integrating disaster risk management at every level of development planning (Figure 4). In addition, CAF developed projects in order to create a cultural base for disaster risk management: a highly informed society able to actively participate. Lastly, CAF supported the creation of scientific and applied knowledge.

2.46 Lopez explained some of the lessons learned from the PREANDINO phase, such as:

- Risk management should be embedded in the framework of development processes and also be included within countries' political agendas. Lopez noticed a complete separation between the Ministry of Finance and Economy negotiating lending programs with multilateral organizations, and other organizations implementing disaster risk management. Therefore, CAF wanted to inform the Ministry of Finance and Economy among others about disaster risk management.
- To move forward, strengthening permanent institutions to support prevention and risk reduction is needed. In addition, a high level of political support is required. Lopes noted that there is a “constant shift in authorities at the local level, so that it is very difficult for CAF to effectively communicate the message of risk prevention.”

³ Corporación Andina de Fomento (CAF) 2006: *Resumen, PREANDINO, Iniciativa orientada a la reducción de riesgos de desastres en los procesos de desarrollo*. Retrieved on January 22, 2007 from: <http://www.caf.com/attach/11/default/PREANDINO-RESUMEN.pdf>

- Ongoing decentralization processes within countries in the region highlight the need for strengthening efforts at the local level. “This decentralization,” said Lopez, “presents an additional challenge for CAF, since we started our initial risk reduction programs with the central authorities, and we are now seeing the authority being shifted toward the local level.”

CAF’s Way Forward in Risk Management

2.47 Since 2004, CAF has entered what Lopez called a third phase. After supporting Andean countries mostly with TA for the past eight years, CAF is now providing financial support for prevention, risk reduction and post-disaster reconstruction. “One of the things CAF is going to do,” said Lopez, “is promoting coordination between development actors and authorities in order to facilitate and improve the quality and effectiveness of disaster risk management within development projects.” Lopez added that within CAF there was no need to create an independent risk management unit. Instead, CAF is focusing on mainstreaming disaster risk management into all their operations by passing an in-house policy. The Social and Environmental Evaluation Department within CAF that overlooks all of the operations in the region is formulating this policy to be applied across all sectors.

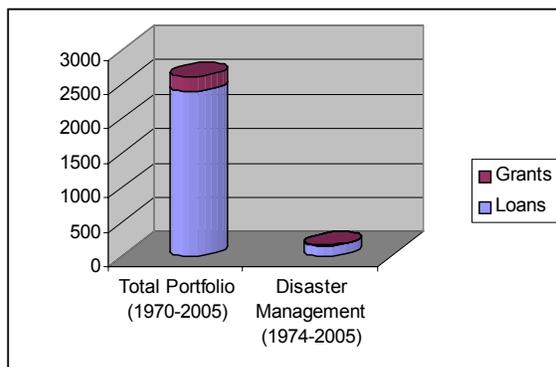
2.48 Lopez also noted that CAF is now consolidating itself within the region with the creation of a risk management portfolio in addition to exerting leadership through different TA programs with colleagues from other multilateral organizations.

CARIBBEAN DEVELOPMENT BANK (CDB): HOW LESSONS OF EXPERIENCE ARE INCORPORATED IN OPERATIONS AND NEW STRATEGIES

ANNE BRAMBLE

2.49 Anne Bramble, Deputy Director of the Evaluation and Oversight Division of the Caribbean Development Bank, discussed experiences that are incorporated into operations and strategies within the CDB.

Figure 5. CDB’s Disaster Management Portfolio Compared to its Overall Portfolio



Source: Anne Bramble

2.50 The CDB is responsible for the English-speaking Caribbean, from Belize in the north to Guyana in the south. CDB has 25 member countries, of which 17 are from the Caribbean, three from Latin America, and five from other regions (the UK, China, Canada, Italy, and Germany). Between 1970 and 2005, the CDB’s loan portfolio consisted of US\$2.4 billion and its grant portfolio consisted of US\$214 million. Funding for natural disasters between 1974 and 2005 was US\$158.4 million in loans (or 6 percent of all CDB loans), and US\$3 million in emergency relief grants (or 1 percent of all CDB grants, Figure 5). Emergency loans and TA was primarily used for disaster response and rehabilitation.

2.51 CDB's Borrower Member Countries (BMCs) are all subject to multiple hazards and suffer loss due to hazard impacts almost annually. In 2004 alone, eight BMCs were affected by three hurricanes and one tropical storm. Direct and indirect losses resulting from the 2004 hurricane season are estimated at more than US\$4.5 billion.

2.52 Vulnerability to natural hazards is especially high because most islands rely on monoculture. Vulnerability tends to remain high, according to Bramble, because "after a disaster, you implement actions in the shortest time possible that put you in a pre-disaster situation, so that you do not really reduce vulnerability." Bramble continued by saying: "A lot of agencies are now addressing that particular aspect and so does CDB, whose core development agenda is to reduce vulnerability." Thus, the idea of mainstreaming disaster risk management in development planning, mentioned in an earlier discussion during this conference, is also important for the Caribbean.

2.53 In order to assist BMCs to manage rehabilitation programs and implement hazard mitigation measures, CDB approved a Natural Disaster Management Strategy in 1998. In addition, operational procedures were amended to enable faster disbursement of funds.

2.54 According to Bramble, "[in CDB], you have the same experiences as the other multilaterals and regional banks, where immediate response loans would still be disbursed in three, four years after approval. One of the points I think I want to put on the agenda is, during the initial period, you have a lot of grant funding coming in, so that when [CDB's] loans come in, they will be used last, and therefore we have to ask ourselves, where is our comparative advantage? Where are the real needs in terms of the funding?"

2.55 Bramble continued by speaking about a program at CDB called the Disaster Mitigation Facility for the Caribbean (DMFC) started in 2000 and funded by U.S. Agency for International Development (USAID). It was on this particular project that CDB's evaluation and oversight division conducted a mid-term evaluation. Having been part of this review, Bramble illustrated how lessons from the CDB's risk management experience are incorporated in CDB's operations and strategies.

2.56 According to Bramble, "The objective [of the DMFC] was to build additional risk management capacity within the [CDB] throughout the whole project cycle, as well as assisting member countries in the adoption and articulation of hazard mitigation policies and practices. To date, the mainstreaming has been conducted at [CDB] at all levels, from senior management down to technical staff."⁴ As Bramble explained later, mainstreaming in BMCs proved more difficult.

2.57 In response to the evaluation's recommendation, CDB established a permanent unit as part of what is called the Central Services Division. This unit will have dedicated staff and will cross cut all of the other operations of [CDB]. In addition, the unit should have the ability to leverage additional resources outside of CDB and establish strategic partnerships with donor organizations.

⁴ NHIA-EIA procedures are being used as the basis for integrating natural hazard risk into checklists and guidelines for integrating EIA into the Basic Needs Trust Fund Fifth Program, and for operationalisation of CDB's Poverty Reduction Strategy.

2.58 One of the lessons that came out of the mid-term review was that CDB needs an effective communication strategy despite its face-to-face culture and its small size. In order to be more effective, CDB's work in disaster risk management needs to be known by people outside of CDB.

2.59 Another lesson was that CDB needs to strengthen institutional capacity of BMCs. Because of high staff turnover in BMCs, CDB faces the challenge of keeping institutional memory in the respective Ministry or organization in BMCs. According to Bramble, CDBs comparative advantage was to strengthen BMCs' capacity in coordinating some of their fiscal and development planning. Being a regional multilateral agency, CDB can harmonize approaches among regional and international disaster risk management partners.

2.60 Bramble closed her presentation by saying that, despite some achievements, it was still important to "strengthen the CDB's role as a leading catalyzer for the promotion of integrated disaster risk management and development in the region."

COUNCIL OF EUROPE DEVELOPMENT BANK (CEB): CHALLENGES AND RESULTS OF THE FIRST EVALUATION EXPERIENCE IN CEB—LESSONS FROM NATURAL DISASTER PROJECTS
CLAUDINE VOYADZIS

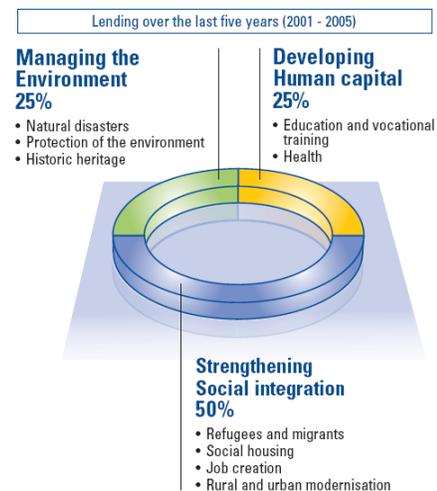
2.61 Claudine Voyadzis, Director of the Ex-Post Evaluation Department at the Council of Europe Development Bank (CEB), spoke on "Challenges and Results of the First Evaluation Experience in CEB." Voyadzis began her presentation by pointing out that CEB has a long history with financing natural disaster projects, while it has a relatively brief history with project evaluation.

2.62 CEB is the oldest European development bank. It has 38 member states, of which 16 are located in Central and Eastern Europe. CEB is also the only multilateral bank with an exclusively social vocation, which makes it a key policy instrument for *solidarity* in Europe. Since its founding in 1956, CEB has lent over 23 billion euros (US\$30 billion). These loans have been aimed at strengthening social cohesion, protecting the environment, and developing human resources.

2.63 Assistance to victims of natural disasters is one of CEB's main priorities. From 2000 onwards, loans in the amount of 2 billion euros (US\$2.6 billion) have been approved at CEB in the natural disaster area. Projects focusing exclusively on prevention have been approved since 2004 for about 1 billion euros (US\$1.3 billion). Thus, CEB is following the trend of other multilateral organizations in shifting its support from post-disaster reconstruction to pre-disaster prevention.

2.64 CEB's Ex-Post Evaluation Department was created at the end of 2002 and became operational in 2003. A recent evaluation synthesis assessed the results of the evaluations of 11

Figure 6. CEB's Lending Over the Last Five Years (2001 - 2005)



Source: CEB 2006, p. 11

disaster response projects totaling over 1 billion euros (US\$1.3 billion). These projects were approved between 1995 and 1999 and were implemented in Eastern and Western Europe.

2.65 The Ex-Post Evaluation Department analyzed a sample of the 11 natural disaster projects and synthesized the findings, conclusions and recommendations. The result was that overall the 11 projects were successful in achieving their basic purposes. Eight more recent projects had an average success rate of 3.2 out of 4. Similar to the World Bank, CEB found that “projects in the natural disaster sector are usually more successful than [projects] in other sectors,” said Voyadzis.

2.66 According to Voyadzis, “Most projects found to be successful fulfilled priority needs, were found relevant, effective and efficient, and produced, although often indirectly, a variety of economic, social and environmental benefits. Success factors relate to in-depth preparation and sound design, clear and well-defined objectives, good project governance, speed, flexibility and timely project management, and elaboration of disaster response, reduction and prevention plans.”

2.67 The evaluation also pointed out some weaknesses. For example:

- Project preparation and monitoring were often weak
- Risk prevention was not always given priority
- There is a difficult balance between emergency intervention and longer term reconstruction
- CEB has low visibility
- Beneficiary participation in projects was often less than desired
- There was insufficient coordination between borrowers, the CEB, and other IFIs
- No evidence was found of significant CEB-specific “value added” over other financing institutions through its disaster loans

2.68 Voyadzis pointed to the many similarities among the different agencies at the conference when presenting CEB’s lessons:

- Strengthen project preparation and implementation
- Privilege longer term reconstruction and prevention above direct emergency relief
- Reinforce risk prevention measures within projects
- More attention to beneficiary participation
- Improve coordination and communication between different lending institutions

2.69 In the past, countries were left to their own devices when it came to project design. Therefore, CEB is advised to develop in-house capacity to promote risk management and prevention programs by creating an internal task force to design future disaster relief, recovery and prevention programs.

2.70 Voyadzis reported that CEB had limited staff compared to other development organizations and with respect to the volume of loans it provided. Therefore, an increase in human resources was desirable in order to improve project design and appraisal as well as CEB’s expertise in monitoring and evaluation.

2.71 On the topic of better donor coordination, Voyadzis admitted that “at the project level, [CEB has] almost no coordination with other donors. Sometimes governments are not ready to make [coordination] possible.” Joining forces among agencies to promote disaster prevention was one of the desired outcomes of this conference for Voyadzis. Therefore, Voyadzis closed by inviting conference participant to a meeting in two to three years, in order to reassess what progress will have been made with respect to disaster risk management.

* * *

2.72 At this point David Peppiatt invited comments from the audience. Questions and comments covered the following four areas: 1) impact evaluations, 2) the grant/loan split, 3) the conflict-natural disaster nexus, and 4) prevention.

Impact Evaluation

2.73 The first question from the audience addressed impact evaluation and socioeconomic beneficiary surveys. The participant was interested in determining which interventions had the highest impact in order to replicate them.

2.74 Ronald Parker from the World Bank’s Independent Evaluation Group responded by saying: “We start out by looking at the achievement of project objectives, we look at the achievement of policy objectives, and we look at the programmatic level to see what has been the impact on countries of World Bank lending taken as a whole for a given theme.

2.75 “When we look at the impact of what [the World Bank has] done, impact evaluation is the word that is used, but not according to a shared definition. For an impact evaluation, you need to have baseline data. Not knowing where we are going to work before the disaster strikes, we find ourselves with a great scarcity of baseline data and a need to work very quickly, which means that the initial conditions that were found in the immediate post-event situation were not well documented either.

2.76 “In the beginning of any development activity, we do not know much about what works and what does not work. [That is why] we use qualitative measures, quasi-statistics. Only gradually we are getting better with accounting of what worked and what did not work.

2.77 “Considering that the World Bank has never evaluated its disaster work and it has done hundreds and hundreds of projects, it was far more instructive to find out what was working and what was not working, just in terms of the activities undertaken, than to try to identify impact, which would have [involved] prohibitive [costs] at that scale.”

2.78 John Cosgrave from the Tsunami Evaluation Coalition (TEC) spoke to the issue of beneficiary participation. According to Cosgrave “it is worthwhile asking beneficiaries about the impact of projects, because it helps to inform the agencies about how good projects were. It also helps because what gets measured gets done. It helps ensure that projects are designed with beneficiary needs in mind from the start.”

2.79 A representative from ISDR underlined the educational aspect of evaluations by stating that evaluation can inform project design. He offered the example of establishing early warning systems after the tsunami. A ISDR and United Nations Educational, Scientific and Cultural Organization (UNESCO), initiative recorded indigenous knowledge about early signs of a coming

tsunami and fed this knowledge into the design of a training program in early warning for affected communities.

2.80 Ian O'Donnell from ProVention explained that “the ISDR is developing a system [of information gathering].” According to O'Donnell it would be useful if the multilateral banks could identify good practices in risk reduction to be fed into the ISDR system.

Grant/Loans Splits

2.81 A participant noticed that the share of grant funding was increasing in the portfolio of IFIs and wondered whether grants were going towards natural disasters.

2.82 Margaret Arnold from the World Bank responded that the World Bank’s grant funding is limited. “It is determined often based on our resource allocation formulas we have created for the country. Our natural disaster management policy states the grant funding is for emergency relief, immediately after a disaster; [later on], it would be loan funding.” Caroline Clarke added that the IDB uses grants as an incentive to inform countries about their risks and prioritize investments in disaster risk reduction. She highlighted that it is through training activities that the IDB creates demand within countries for disaster risk reduction loans.

Conflict

2.83 Another question addressed how evaluations distinguish between conflicts and natural disaster when both are intertwined. The participant said that “about 80 percent of the disasters are either conflict-generated or have conflict as a central element, yet a number of presentations have been dealing with only the natural disaster part. The World Bank has one division that deals with conflict and one division that deals with natural disasters, but in places like Aceh or Sri Lanka it is hard to distinguish what the conflict and what the natural disaster part is.”

2.84 Both the representative from the World Bank and a representative from UNDP replied that there are requests from the operational level on the ground to have joint assessments and programming for conflict and natural disasters and that the organizations are responding to this request.

Prevention and risk reduction

2.85 A discussion followed regarding the financing of prevention measures versus reconstruction. One participant asked why multilateral agencies were providing only between four and 20 percent of their funding for prevention (the rest being spent on reconstruction) when cost-benefit analysis shows that one dollar invested in prevention saves between five and seven dollars on reconstruction.

2.86 Caroline Clarke responded by saying: “First of all, reconstruction and emergency response simply costs more. [IDB] decided to count risk reduction not in terms of dollar amounts, but in terms of numbers of loans or numbers of operations. That is why we have come up with 40 percent of the number of things we do is for risk reduction, 6 percent for immediate response, and about 50 percent for long-term recovery.”

2.87 On the question of whether low investment in prevention was due to a lack of interest from the borrowing countries, Roberto Lopez from CAF replied that “at least in the Andean region, the request for lending would have to come from the Ministry of Finance and Economy.”

Representatives from those ministries are generally not concerned with the tools of disaster risk management. Therefore, CAF held a workshop where it brought together representatives from the Ministry of Economy and Finance with representatives from other agencies that deal with disaster risk management so that eventually there will be more demand for financing risk reduction measures.

3. Natural Disaster Project Evaluations by Bilateral Organizations

DEUTSCHE GESELLSCHAFT FÜR TECHNISCHE ZUSAMMENARBEIT (GTZ): LESSONS LEARNED FROM GTZ EVALUATIONS AND REVIEWS

THOMAS SCHAEF

3.1 The first speaker from a bilateral organization, the GTZ, was Thomas Schaeff. In his address, Schaeff focused on project-level evaluations rather than a comprehensive policy review. He based his presentation on GTZ's risk management experience of three formal evaluations in Latin America, and 10 progress reviews in Asia, Africa, and Latin America.

3.2 GTZ's overall program objective was to increase the resilience of people and institutions against extreme and recurrent shocks. Against this objective, GTZ evaluated and reviewed progress following the DAC criteria of relevance, effectiveness, efficiency, impact, and sustainability.

3.3 GTZ's programs used a community-based approach, strengthening local capacities and linking them to regional/national policies. In order to assess this community-based approach, GTZ's evaluators use an evaluation tool called EVAL, which is a set of interview techniques used in order to capture the perceptions of different actors – beneficiaries, as well as local and national governments. EVAL consists of a return form as a basis for a more informed evaluation mission later on.

3.4 Schaeff noted that in terms of *relevance*, project objectives generally meet the needs of vulnerable groups and are in line with the country's general policies and MDG objectives. However, there is a gap between general policy statements and the real policy priorities of governments and donors. Even GTZ's own donor, the Federal Ministry for Economic Cooperation and Development, is not convinced that disaster risk management can be effective and should be implemented.

3.5 In order to report on the *effectiveness* of projects, Schaeff briefly mentioned GTZ's three types of disaster-related projects:

- (i) Stand-alone disaster risk management projects
- (ii) Built-in risk-sensitive reconstruction programs
- (iii) Cross cutting risk management component in sectoral programs (e.g., agriculture, natural resource management, education, or health)

3.6 GTZ's evaluators came to the conclusion that the focus on *stand-alone* disaster risk management projects (e.g., implementing early warning systems), is too narrow. These projects tend to focus on a small part of the country, and hence disaster risk reduction overall is quite limited. Without the proper coordination between implementing agencies, donors, and within the different departments of a government, these narrowly-focused projects do not have a larger impact. In order to be effective, these projects would have to be expanded to a larger, more comprehensive level of disaster risk management programs.

3.7 Schaeff said that translating disaster risk management into sectoral programs and convincing technical staff within GTZ, as well as specialized staff in the ministries and local governments, of the usefulness of disaster risk management remains a challenge. What helps, according to Schaeff, is mainstreaming disaster risk management in programs. This includes clear indicators, responsibilities, and a budget. Given GTZ's three types of projects, the "cross cutting" or "mainstreaming" approach to disaster risk management proved more effective than the "built-in" or the "stand-alone" approach.

3.8 Regarding *efficiency*, Schaeff noticed a lack of tools that adapt cost-benefit analysis to disaster risk management. "We do hope," said Schaeff, "that with some more work in this field, [cost-benefit analysis] could convince decision-makers, especially in the finance ministries, to prioritize disaster risk management."

3.9 With respect to *impact*, Schaeff said, "We did have a clear positive impact with locally managed adaptive early warning systems that have proven to save lives." Supporting these claims, Schaeff referred to a lessons-learned exercise after Hurricane Stan hit Central America in 2005. "Communities that implemented low-tech early warning systems were far better off and saved more lives than other communities nearby, which did not have early warning systems."

3.10 According to Schaeff, *sustainability* of disaster risk management programs was likely in communities with a homogenous content-orientated local government. It was unlikely in a divided society with violent conflicts. "In Afghanistan, for example," said Schaeff, "priorities of local people and organizations are much more focused on the conflict than on how to build a house earthquake-resistant and how to implement land-use patterns that are more risk preventative."

3.11 According to Schaeff, sustainability of prevention projects is especially difficult to achieve for bilateral organizations. Being preventive means taking a comprehensive approach to the complex area of disaster risk management, from risk analysis to disaster preparedness, to mitigation and prevention. "If you try to do that in one bilateral program," said Schaeff, "it is very difficult for those bilateral implementing agencies to achieve sustainability." Therefore, overall coordination between policymakers, multilateral organizations, and non-governmental organizations is important in order to achieve the sustainability of disaster risk management activities.

3.12 In response to the evaluation findings, GTZ committed itself to the following:

- Making risk analysis obligatory in selected countries using the UNDP and World Bank hotspot analysis
- Focusing on disaster risk management as a quality issue to be monitored and financed in sectoral programs. "There is no disaster risk management without costs," said Schaeff. "If you want to integrate disaster risk management with agricultural programs there is an additional cost and that has to be factored in. This is what we discuss with our donors."
- Further developing cost-benefit tools
- Linking disaster risk management to (decentralized) public investment policies
- Funding "stand-alone projects" only if embedded in a comprehensive national program and/or a program with multi-institutional support.

NORWEGIAN MINISTRY OF FOREIGN AFFAIRS (MFA): NORWEGIAN LESSONS AND REFLECTIONS

BJØRN JOHANNESSEN

3.13 The second speaker from a bilateral agency was Bjørn Johannessen. He summarized lessons from disaster risk management based on his participation in evaluation activities for many years, both in Norway and in African countries on contract with the Norwegian Ministry. “I am glad to inform you,” said Johannessen “that Norway is actively involved in evaluation activities and that we are continuously discussing the scope, modality, and cooperation with other donors.” Johannessen continued, “I am also glad to say that many of those statements we heard so far during the conference are dovetailing with Norwegian policies.”

3.14 In his presentation, Johannessen shared reflections and lessons learned from evaluations by commenting on the following six topics: (i) local capacities, (ii) coordination, (iii) gender issues, (iv) environmental challenges, (v) civil-military cooperation, and (vi) disaster risk reduction.

- (i) *Local capacities:* According to Johannessen, “We pay too little attention to the local resources in areas and regions affected by humanitarian crises and disasters. Too often we forget that the ownership for what is going to happen should stay within the local communities, the national government, and local NGOs. We have seen from experience in Kashmir, in Pakistan, in Afghanistan, and in Bangladesh that there are local resources. Our support has to be designed as supplements to local resources. [However,] recently we have seen donors coming from abroad, undermining local initiatives instead of inspiring them.” In order to avoid this paternalistic approach, the MFA developed an NGO screening mechanism. Before granting funds to Norwegian NGOs and UN organizations, the MFA investigated their value added, knowledge related to the country/region affected, experience, partnership with local NGOs in the region, and attitude to participation in clusters.
- (ii) *Donor coordination:* Johannessen pointed out that “too often, we see that there is a lack of coordination regarding UN, donors, and also local actors and NGOs. Everybody is in favor of coordination, but nobody wants to be coordinated and that is a challenge for all of us.” Working together with other donors sometimes means adapting to written and unwritten rules and bylaws. A commendable approach was taken by the UN intervention in Pakistan, where relief was distributed according to clusters. However, more professional leadership in the clusters is still needed so that agencies are able to transfer funds directly to clusters.
- (iii) *Need for more focus on gender issues:* Although evaluation reports focus on gender issues, there is evidence that these aspects are often neglected in disaster risk management. Women are often negatively affected and marginalized through humanitarian crises and natural disasters. Women are generally disregarded when emergency relief is distributed and when new jobs are created as part of reconstruction and rehabilitation. Chaos and lack of law and order related to natural disasters increase women’s vulnerability, including sexual and physical abuse. There is a great need for protection and awareness-building about women’s situation and needs.

- (iv) *Environmental impact*: Another factor often neglected in reviews after humanitarian crises is environmental issues. Environmental issues increasingly have an impact on the frequency and scope of natural disasters. It is likely that rehabilitation and preservation of natural ecosystems extensively reduce poor communities' vulnerability to natural disasters. "I was a part of a UN evaluation in Kashmir after the earthquake of October 2005," said Johannessen. "It was interesting to see that some of the elder people in the village were talking about environmental issues, and the need for replanting trees. But when it came to Islamabad, there was no interest in hiring of people for those issues."
- (v) *Civil-military cooperation*: More needs to be done in order to clarify the roles and responsibilities of civil and military efforts after natural disasters. When choosing channels for relief efforts, it is important to look at cost efficiency, coordination, local knowledge and sustainability.
- (vi) *Disaster risk reduction*: According to Johannessen, "many evaluations showed the importance of disaster risk reduction. Jan Egeland used to say that, if you spend one dollar for preparatory and risk reduction activities, you save seven dollars for repairing a bit later." There are new initiatives in highly disaster-prone countries, such as Bangladesh, Cuba, Indonesia, and Guatemala. "Yesterday," said Johannessen, "I learned that before the 2005 hurricane hit Guatemala, agencies for risk management were in place in only three of the 22 provinces. Today, you will find that agency operated in all 22 provinces."

* * *

3.15 The discussion after the panel of bilaterals focused on funding to need versus visibility, a challenge faced by bilateral agencies in particular. One participant asked, "Are bilateral agencies funding according to need, or are they pressured to flag projects? Some of our speakers this morning noted the visibility issues that their own organizations may face. My own sense is that bilaterals need to place stars or flags during a disaster, which may lead to sending your military into a disaster even when it may not be the most sensible thing to do, simply because they carry your flag."

3.16 Schaefer from GTZ replied, "I do not think that bilateral donors are funding according to needs, but for political priorities. Governments tend to select countries for development assistance according to political criteria. Visibility and flagging are important because bilaterals, humanitarians, and multilateral organizations, are often forced to mark their contributions for accountability purposes towards their donors." According to Schaefer, there is a debate in the humanitarian sector over whether improvements asked for by donors have led to better funding decisions based on needs assessments and evaluations.

3.17 A representative from the UK Department for International Development (DFID) pointed to initiatives that encourage funding to need. These initiatives were the Good Humanitarian Donorship Initiative to guide the way donors fund humanitarian emergencies, the International Humanitarian Reform Agenda, and the reformed UN Central Emergency Response Fund (CERF).

4. Other Recent Evaluation Initiatives

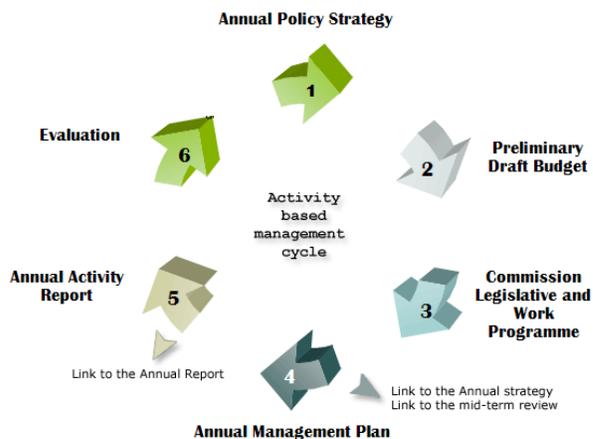
EUROPEAN COMMISSION (EC): EMBEDDING EVALUATION RESULTS IN POLICY MAKING NICOLETTA PERGOLIZZI

4.1 Nicoletta Pergolizzi from the European Commission (Directorate-General for Humanitarian Aid, called DG ECHO) was the first presenter on a panel addressing other recent evaluation initiatives. DG ECHO has maintained an evaluation function since its creation in 1992.⁵ According to Pergolizzi, DG ECHO carries out, on average, 12 evaluations per year. Evaluations cover thematic issues such as security, water and sanitation, and quality assurance for medicines.⁶ DG ECHO partners with UN agencies, the Red Cross family, and NGOs. “As far as disaster risk reduction is concerned,” said Pergolizzi, “we have seen a high increase from one to two evaluations in the past years, to four this year.”

4.2 DG ECHO reports to the Member States of the Humanitarian Aid Committee. According to Pergolizzi, “Every three to four months we inform [the Committee] of all evaluations that have been carried out. Furthermore, [evaluations are] within the public domain. As far as the local governments are concerned, it is part of the strategy of our partners to inform them.” In addition to the Humanitarian Aid Committee, DG ECHO reports to other European Commission (EC) bodies like the European Court of Auditors. The rotation of senior management means that

evaluation is a useful information tool, complementing audits and sound financial management.

Figure 7. Embedding Evaluation Results in DG ECHO's Policy Making



Source: Nicoletta Pergolizzi

4.3 DG ECHO adopted an activity-based management cycle, with evaluation part of the annual policy strategy as a prerequisite for approval (Figure 7). As for the involvement of beneficiaries, something that was mentioned as well throughout the earlier presentations, DG ECHO has a needs-based approach which requires that its implementing partners justify their proposals with needs assessments. Consultation of beneficiaries is also examined as a part of the evaluation's terms of reference.

⁵ Under article 18 of the Humanitarian Aid Regulation 1257/96 it is stated that “the Commission shall regularly assess humanitarian aid operations financed by the Commission in order to establish whether they have achieved their objectives and to produce guidelines for improving the effectiveness of subsequent operations.” Evaluation is an ongoing obligation explicitly imposed on authorizing officers under the Financial Regulation and its Implementing Rules that set out the obligation to provide ex-ante and ex-post evaluations.

⁶ Retrieved on January 30, 2007 from: http://ec.europa.eu/echo/evaluation/index_en.htm.

4.4 In 2006 alone, DG ECHO's evaluation sector has carried out three evaluations on Disaster Preparedness Action Programs (DIPECHO): in Central Asia, Mercosur/Chile, and in South East Asia. A fourth one will look at sudden onset natural disasters in southeastern Africa and the southwestern Indian Ocean.

4.5 The results of the ex-ante evaluation in South America (Mercosur countries and Chile) encourage DG ECHO to envisage a potential enlargement of its DIPECHO Program to other countries of this region. The links with other Commission services will also be strengthened.

4.6 For DIPECHO programs in general, and in line with the various evaluations carried out, DG ECHO will:

- focus its intervention on small-scale projects that respond to specific needs of local communities in disaster preparedness and risk reduction;
- encourage partners to submit projects with links to wider activities relating to risk reduction, in the framework of implementing the Hyogo Framework for Action;
- continue to support local level rapid alert systems, based on people and not on technology in order to better prepare and train local communities members in the most vulnerable areas;
- keep its support to larger rapid alert systems at the regional level in cooperation with other donors and international organizations.

4.7 DG ECHO is seeking to increase evaluation capacity in the humanitarian sector by promoting a standard methodological tool for use in humanitarian aid. "We are currently in the process of developing it," said Pergolizzi. "We also intend to use more joint evaluations in the future, and we will increase the use of workshops in evaluations as a tool to promote learning and dissemination. More regular use of ex-ante evaluation needs assessments is part of our plans for 2007 and 2008."

**INTERNATIONAL FEDERATION OF THE RED CROSS AND RED CRESCENT SOCIETIES (IFRC):
SUMMARY ANALYSIS OF RECENT INTERNATIONAL FEDERATION LEARNING EVENTS
MARGARET STANSBERRY**

4.8 The second speaker was Margaret Stansberry, Senior Officer for Monitoring Evaluations at IFRC. She supports IFRC's tsunami operations within a department called Performance Support. "At any given point in time," said Stansberry, "the Red Cross is carrying out hundreds of evaluations every year by the different partners. I cannot speak to all those efforts, but I can reflect on [those] that I have been personally involved in."

4.9 The IFRC is a membership organization comprised of 185 national societies. It has a Secretariat in Geneva of about 300 staff, several hundred more staff in the field, and more than 40 offices in various countries. Disaster risk reduction and disaster management is a core part of IFRC's mission.

4.10 The IFRC uses four main evaluation tools, among other planning, M&E, and reporting frameworks:

- 1) Real Time Evaluations (RTEs)

- 2) Program Specific Evaluations (PSEs)
- 3) Tsunami Evaluation Coalition (TEC)
- 4) Tsunami Recovery Impact Assessment & Monitoring System (TRIAMS)

4.11 *Real Time Evaluations*: First experiences in real time evaluations have not been positive for staff at IFRC. However, they yielded useful lessons, especially for the future management of evaluations:

- *Evaluations must be managed*. According to Stansberry, “you cannot simply write the terms of reference, hand it to a consultant and say ‘go out and tell us what we should be doing better.’ You have to manage the process.”
- *There is a need for field (multi-level) buy-in*. Regarding the tsunami evaluation, Stansberry said, “Jakarta supporting the real time evaluations did not mean that Banda Aceh or program officers in Similu were going to support them. Therefore you have to stay active in promoting the field level buy-ins.”
- *Evaluations should include what the field wants to know or learn*. In Stansberry’s experience, the real time evaluations that the Federation supported were very much a headquarters-driven process.
- *Results/findings and recommendations should be available in real time*: “Like others this morning,” said Stansberry, “[IFRC] had a similar challenges with the Board not understanding what the real time evaluation was to accomplish. They understood later; they are very supportive now, but it took us until April 2006 before our findings were posted and made public, which means there is a lot of time lost for real time learning.”
- *Evaluations are more useful and easily managed if they are conducted partially or mostly internally*: According to Stansberry, learning is the main purpose of real time evaluations. Evaluators should know the organization. Evaluations undertaken externally may be compromised right from the start.

4.12 *Program Specific Evaluations*: In November 2006, IFRC has just completed a mid-term review of a transitional shelter project in Banda Aceh, Indonesia. The approach taken was different from the real time evaluations exercise. Stansberry said, “The Banda Aceh evaluation was field requested. How often does that happen? [An evaluation team] was jointly planned, funded and managed between both headquarters and the field. One of the main findings was that the Federation and its 30 implementing partners are effective in getting people out of tents and putting them in quality transitional shelter; however, these agencies are not necessarily doing a good job at looking at a person’s holistic needs. Who is managing for their security? Who is managing to ensure sustainable livelihood? Who is managing to ensure water and sanitation needs are met?”

4.13 Coordination requires managing for results, not just managing the administrative procedures. This was another finding from program-specific evaluation. “In the tsunami countries, Sri Lanka and Indonesia,” noted Stansberry, “we had more than 20 partners provide generous resources to address the many needs, but it also raises some serious coordination issues. In fact, we at the Federation need to learn better how to manage the good inputs of all those partners.”

4.14 *Tsunami Evaluation Coalition*: IFRC saw the Tsunami Evaluation Coalition as an efficient and effective way to contribute to learning and to learn themselves. In Stansberry’s opinion, however, “such joint evaluations are probably not going to lessen the need for single agency evaluations. We still need to know how we at Red Cross are doing.”

4.15 *Tsunami Recovery Impact Assessment & Monitoring System (TRIAMS)*: This is an attempt to put in place a monitoring evaluation system to measure the impact of the tsunami response and to monitor recovery efforts across the governments of five countries. This M&E system is led by the governments of five countries (India, Thailand, Indonesia, Sri Lanka, and Maldives). Risk indicators based on the manual of ProVention and requested by the countries still need to be integrated into the system.

4.16 Stansberry closed with a set of questions which reflect on earlier presentations. If findings among organizations are so similar, why is IFRC not cooperating more with development banks? The Red Cross and Red Crescent Societies are represented in every country in the world. Why is there not more cooperation to facilitate risk reduction? In addition, future evaluations may want to assess why findings are not implemented rather than come up with the same findings in every evaluation.

ACTIVE LEARNING NETWORK FOR ACCOUNTABILITY AND PERFORMANCE IN HUMANITARIAN ACTION (ALNAP): DISASTER RISK MANAGEMENT: LESSONS FROM ALNAP
JOHN MITCHELL

4.17 John Mitchell, head of the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP), shared some of the lessons learned from 700 evaluation reports of the 57 ALNAP members. Mitchell highlighted that the humanitarian sector played an important role in relief and rehabilitation, spending an average of US\$6 billion per year since 2000.

4.18 ALNAP began as a result of the joint evaluation of emergency assistance to Rwanda in 1995. At the time, the evaluation painted a bleak picture of an army of humanitarian agencies implementing their own agenda in an uncoordinated fashion. As a result, various initiatives were set up to improve performance; ALNAP was one of these initiatives.

4.19 ALNAP is the only sector-wide organization in the humanitarian community with a membership from bilateral and multi-donor organizations, UN agencies, umbrella organizations, and international NGOs. ALNAP brings stakeholders in the humanitarian sector to share lessons and agree upon methods to improve performance.

4.20 How does learning actually take place within the ALNAP network? ALNAP members submit their evaluations to an evaluation report database at the Secretariat in London. Every year, ALNAP issues an evaluation synthesis report (Annual Review of Humanitarian Action, RHA), as a basis to reflect on performance. In addition, ALNAP carries out a meta-evaluation, assessing the quality of the reports in the database. Learning takes place when ALNAP sends two assessors who undertook the meta-evaluation around to the evaluation departments to talk through the scores that they have given.

4.21 Mitchell referred to the following lessons that come out of the RHA on the topic of Linking Relief, Rehabilitation and Development (LRRD):

4.22 In general, short-term objectives were met when humanitarian aid arrived, but medium to longer term objectives were not attained. According to Mitchell, “we are good at feeding people, at providing basic health care, water, sanitation, and temporary shelter, but we are not successful

at building local capacities, strengthening livelihoods, providing long-term shelter, and building civil society.” More specifically:

- Water pumps save lives, but are not maintained
- Emergency health prevents excess morbidity and mortality, but sustainable health infrastructure is not put in place
- Food aid saves lives, but livelihoods remain impoverished
- Local organizations’ capacity is reduced as staff becomes poached by international agencies
- Temporary shelter is not properly replaced with permanent housing

4.23 According to Mitchell, there is a general expectation that the humanitarian system provides smart relief and launches the path to recovery. However, according to the evaluations’ findings, linking relief to rehabilitation and development is not happening. “The humanitarians are not well placed to implement this link,” said Mitchell, and he provided four reasons why:

- (i) Rehabilitation and development projects, as opposed to relief, inevitably lead to close relationships with local institutions of government. In other words, they are political. This causes unease amongst humanitarians because of the fundamental principles of charity, impartiality and independence.
- (ii) Rehabilitation and development projects require understanding the local context. The RHA demonstrates a lack of contextual awareness. Large amounts of funding are spent worrying about how projects are perceived at home rather than a genuine commitment to building relationships with local institutions.
- (iii) Participation is reflected in all humanitarian standards. It is generally assumed that participation is the best way to undertake relief operations. However, there is scant evidence to show that participation leads to better results in practice.
- (iv) Capacity building should be completed before an emergency and not during it, as is often the case.

4.24 Why are humanitarian organizations trying to link relief to development? The reason may be financial disbursement. Humanitarian organizations need to disburse funds rapidly, while it often takes development agencies a long time to design projects and clear funds. That is why in high-profile disasters, a significant amount of money that is raised for relief efforts is actually spent on recovery and rehabilitation.

4.25 A participant asked why there could not be better cooperation between the humanitarian sector and development agencies so that, after an emergency, humanitarians provide relief and then the development agencies take over providing recovery and rehabilitation. Mitchell replied, “Our evaluation reports point out year in, year out that there are a whole host of institutional and political reasons for why this does not happen in a seamless fashion.”

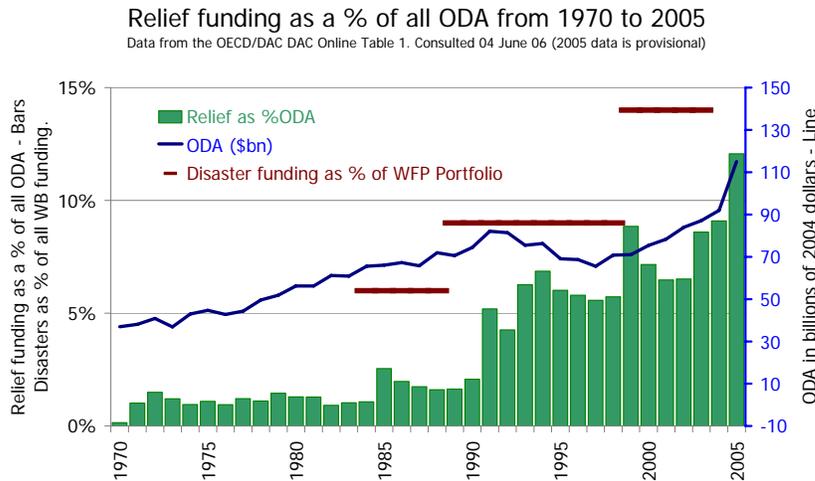
TSUNAMI EVALUATION COALITION (TEC): THE TSUNAMI EVALUATION COALITION
JOHN COSGRAVE

4.26 John Cosgrave, Coordinator for the Tsunami Evaluation Coalition (TEC) and one of the two lead authors on the TEC’s July 2006 Synthesis Report, presented evaluation findings.

4.27 Cosgrave began by talking about the generous response to the Asian tsunami, which killed nearly a quarter million people in 14 countries. The worst affected countries were

Indonesia, Sri Lanka, India, and Thailand. Total funding amounted to over \$13.5 billion (see Figure X). The bars represent the percentage of all official development assistance that went to relief and disaster assistance. Total funding for disaster assistance has increased from one percent in 1971 to 12 percent in 2005. At the same time, overall official development assistance has been increasing from about 45 billion to over 110 billion (in 2004 US dollars).⁷ The World Bank portfolio represents a similar rise from 6 percent of the total portfolio dedicated to disaster projects to 14 percent of the portfolio (See Figure X, p. XX).

Figure 8. Relief Funding as a Percentage of all ODA from 1970 to 2005



Source: John Cosgrave, Power Point Presentation

4.28 The Asia tsunami also saw an extensive military response. “We talked about flag flying,” said Cosgrave. “There were some 21 countries that sent different military missions to assist. The most expensive was the U.S. operations; US\$252 million was the price tag for an aircraft carrier and a Marine.” Civil response was also extensive, with 180 international NGOs. (This number does not include all of the private organizations that collected 100, 200, or 300 thousand dollars and then arrived to assist people.) According to Cosgrave, “this massive response led to a certain amount of chaos, as one might expect.”

4.29 When the dimensions of the tsunami response became clear, a number of the ALNAP members met in Geneva in February 2005 to set up a few overall policies of the TEC. “They decided,” according to Cosgrave “[to take] a joint distributed evaluation approach that would have separate evaluations that would be linked with each other and synthesized.” There was a core management group and 22 members drawn from across the agencies represented, and the ALNAP Secretariat was to host the TEC. The TEC cost US\$3 million dollars, or about 0.06% of the total tsunami funding.

4.30 Five themes were selected for in-depth review, leading to five independent evaluations on the following topics:

- (i) Coordination of the international response to tsunami-affected countries

⁷ Since the world economy has increased by a factor of 14 times more than ODA has over the same period this rise is less impressive than it may seem.

- (ii) The role of needs assessment in the tsunami response
- (iii) Impact of the tsunami response on local and national capacities
- (iv) Links between relief, rehabilitation and development (LRRD) in the tsunami response
- (v) The funding response to the tsunami

4.31 According to Cosgrave, “in the tsunami response, funding was not according to need. Pledges were made even before the needs assessment was paid, even before the appeal document was prepared. The needs assessment was prepared through watching CNN.”

4.32 During the evaluation process, five independent evaluators with teams went to the field from September to November 2005. Each evaluation was managed by its own management group or steering committee. The study teams came to the following overall conclusions:

- The tsunami highlighted the importance of local and national actors in the response. According to Cosgrave, “It is the people that are nearest you that are more likely to save your life in an emergency, and that is why capacity building prior to the disaster is most important.”
- The humanitarian response was not transparent or accountable to the affected population, and thus was not accountable to the donor country citizens.
- The response highlighted a grossly disproportionate, inequitable, short-termist, non-transparent, and uneven nature of funding. On average, the total funding and taxes for the tsunami works out at over US\$7,000 a head for the affected population. In 2004, there was extensive flooding in Bangladesh, which destroyed a million homes and displaced 40 million people. Those people received about US\$3 a head pledged by the international community for their assistance. Thus, the current funding mechanism for disaster assistance is not a fair or proportionate system.
- The evaluations concluded that agencies needed to support local recovery strategies rather than agency agendas. According to Cosgrave “agencies were pursuing their own agenda rather than providing what people really needed.”
- Donors need to fund capacity development at all levels to reduce disaster risks and improve preparedness and response – not just local capacity, but also capacity within the humanitarian response agencies. “When you have a big emergency,” said Cosgrave, “agencies are not able to scale up at any speed.”

4.33 The TEC evaluation provided four recommendations:

- (i) The humanitarian system, as a whole, needs a fundamental reorientation from providing aid to people aiding their own recovery priorities.
- (ii) There is a need to increase disaster response capacity because disasters are increasing, not just because of global warming, but also because there are more people living in vulnerable areas.
- (iii) There is a need for an accreditation and certification system to identify which agencies are professional.
- (iv) It is important to make the funding system impartial, more efficient, flexible, transparent, and aligned with good donor principles.

* * *

4.34 In the discussion that followed, participants discussed the differences between real time evaluations and longitudinal studies that draw conclusions from long-term experience. In particular, participants compared the TEC evaluation with the World Bank study on “Hazards of

Nature, Risk to Development.” Participants were concerned that the TEC, while providing accountability from donors, did not prepare lessons to be taken by local officials. One participant even referred to the style in which evaluations are written in order to reach local officials. However, it was felt that the World Bank’s longitudinal study provided lessons for local officials. In addition, it was pointed out that local officials were also evaluating their interventions, but that these processes were not documented. Therefore, it could be valuable for any future humanitarian evaluation to also receive the evaluations of local officials.

4.35 On the point of longitudinal studies, Ian Davis clarified that the TEC evaluation was just a first step to be followed by a second phase with longitudinal studies. Davis pointed out that “if you just come five years later and do not have a picture of what was happening in terms of the thinking in an early stage, then it is hard to follow that process by which, hopefully, there is some learning going on over that five-year or even ten-year process.” John Mitchell responded by saying: “Your point is a profound and perceptive point actually, because you are pointing out one of the limitations of ex-post evaluation. There are too many single agency evaluations, humanitarian evaluations out there, and they are time-bound and quite often the commissioning agencies just do not give evaluators enough time to actually do them. I would much prefer that in the [humanitarian] evaluation community we are looking at the longer-term, less evaluations but much more thoughtful longer-term, long-achieving evaluations that have some linkage with research.”

4.36 The co-author of the TEC evaluation, Stefan Dahlgren, from the Swedish Evaluation Department added that the TEC had a mandate problem regarding local and national governments. “We were stuck with the international community because that was the mandate, but indirectly we also made some kind of comments that related to the local authorities, how they were effective. In phase two we will involve the local and national authorities.”

4.37 Another participant added that the questions of local governments evaluating themselves is a question about monitoring systems. Are we building the capacity of local governments to monitor their own recovery? “Many of us in the [development] community have our own M&E systems, but are we really supporting government to monitor their own recovery?”

4.38 Concern was voiced about the uptake of the TEC evaluation and the results of the US\$3 million evaluation costs. John Mitchell replied that “there is no doubt that the policy debate in various forms has been influenced by this report. The report has been discussed in the offices of the special envoy, Bill Clinton, and it came up in the different parliamentary inquiries. The ALNAP biannual meeting in Rome will be discussing these [findings]. Nobody knows exactly what is going to happen down the line, but these findings are being fed into the forms that we have in place to discuss these issues, and I suspect they will influence policies.”

PROVENTION CONSORTIUM: EVALUATING IMPACT IN RISK REDUCTION: MAINSTREAMING, INDICATORS, AND LEARNING

IAN O’DONNELL

4.39 Ian O’Donnell began his presentation by highlighting that disaster risk reduction was the core mission of ProVention. The Consortium started at the World Bank and was transferred to the IFRC in Geneva as its current host. ProVention is a consortium of donor government agencies,

international financial institutions, NGOs, and academic institutions. So far, roughly 100 organizations have been involved in ProVention activities.

4.40 In his address, O'Donnell presented some of ProVention's activities in risk reduction, focusing first on five evaluations that ProVention commissioned. These five studies examined recovery activities in Bangladesh, Mozambique, Honduras, India and Turkey.

4.41 ProVention led these studies while it was still hosted by the World Bank. They were country studies undertaken several years after the recovery programs had begun. They examined in a broad way the different actors and communities in the recovery process, including development banks, governments, NGOs, and other international organizations. In the case of Honduras, for example, affected by Hurricane Mitch, the attempt was to cover what the impacts were and what was being undertaken at national and local levels. "The intention was," according O'Donnell, "to overcome the narrow focus on programs, interventions and organizational perspectives towards, more broadly, the communities in recovery."

4.42 The lessons from these five studies were as follows:

- Recovery projects are often too short to address the projected length of recovery. There are two timelines for recovery: 1-3 years for the international system and 5-10 years for real time recovery. With this lesson, ProVention wants to communicate the notion "to extend the time of grants or loans in projects and to be more realistic about the length of time recovery actually takes."
- Disaster risk reduction is a long-term process that requires long-term planning and system-wide support. "Discussions during this conference have focused around the window of opportunity in recovery," noticed O'Donnell. "Disaster risk reduction can either be accomplished in a short time period, with quick and focused attention, or other aspects take up a long-term perspective and require long-term planning and a system-wide approach."
- Comprehensive assessment of damage, needs, vulnerabilities and capacities plays a key part in providing an effective framework for recovery. O'Donnell highlighted that the initial impact assessments start very early on and then continue with monitoring and evaluation later. The Honduras study in particular shows the need for a comprehensive assessment.
- Rehabilitation requires the participation of affected communities and analysis of risks. O'Donnell said, "We also see a lot of benefits from participation in terms of building capacity, improving governance, building social capital, and then ensuring sustainability. But there are questions of who is participating in what? A lot of the learning from the studies does point out a mismatch between the organizations asking communities to participate in their programs versus trying to configure programs and interventions to participate in the communities' recovery process."
- Insufficient attention is often paid to the impact of recovery on addressing social vulnerability and livelihoods. O'Donnell noticed that progress was made with respect to livelihoods, for example. "There has been a lot more attention to coping mechanisms and resilience in the role of indigenous or local knowledge," said O'Donnell.
- Institutional capacity building and governance underpin risk reduction. "We tend to ignore the capacities, or the coping mechanisms that exist, though which are certainly overwhelmed in the recovery context," said O'Donnell. He added that the five studies focused on how to enhance support to local resources and systems.
- National and local institutions are key to promote risk reduction and ensure risk reduction is factored into recovery planning and programmes. ProVention sees risk reduction as

relying on the abilities of local or national institutions, be they local authorities, community actors, or private sector firms.

4.43 In the second part of his presentation, O'Donnell introduced some of the other activities that ProVention is involved in to better mainstream risk reduction.

4.44 ProVention has been creating tools for use by development organizations so that they can adapt their existing project identification, appraisal and evaluation methodologies, take risks emanating from natural hazards into account, and assess related risk reduction opportunities. While the first phase consisted of a review, the second phase is now developing a set of guidance notes that cover hazard assessment, country strategy papers, poverty reduction strategy papers, economic planning budgeting aspects, environmental impact assessments, and social impact assessments.

4.45 In addition, ProVention is developing an M&E source book for disaster risk reduction as well as many other tools that can be found at ProVention's website (www.proventionconsortium.org).

* * *

4.46 In the discussion that followed O'Donnell's presentation several issues were raised, which were not brought up before.

4.47 "One factor that has not come up despite all the graphs showing an increase in funding for disaster assistance is that this funding is declining compared to what the private sector is investing in recovery and risk reduction. How does ProVention or other organizations evaluate or recognize that our projects and even our relationship with institutions is a minor part of the equation?"

4.48 On a question about unforeseen impacts, Ian O'Donnell replied: "Programs are designed with assumptions that some of the impacts will happen, whether they happen in fact or not. For example, if you give out hygiene articles 10 months in a row, what is really happening? Are you having the impact you were anticipating? Or are people monetizing their hygiene articles? I think we can cross the whole range between having an adverse impact and having essentially neutral impacts, but even that is cost-ineffective."

4.49 Ian Davis contributed by saying, "One of the reports mentioned downward accountability, accountability to local beneficiaries. [This made me] reflect on the sense of powerlessness of people who are beneficiaries of transitional housing or temporary housing or of food aid. Why not hand the money to the people? They can decide if they want boats or food or houses or shelters. This would respect the Red Cross code of conduct about respecting the dignity of people. Often I have seen a grievance procedure, but I think the next step is how are we going to enfranchise beneficiaries so that they have real power over what is delivered?"

Evaluators' Roundtable

5. Opening Remarks

5.1 The moderator, Ian Davis, opened the evaluators' roundtable by stating that evaluation is essential. Natural disaster assistance, he noted, is unfortunately part of a massive growth industry. In addition, vulnerability is increasing due to increasing populations. Therefore, explained Davis, "We have also to expand our limited global resources to provide support for risk reduction and for recovery planning. The evaluation is one of the essential tools in the whole process. This conference is building the foundation blocks of a new architecture for the future."

5.2 Robert Picciotto began with a presentation on "Disaster Recovery and Reconstruction – Evaluation and Policy Implications." He argued that hazards are caused by nature, but disasters are man-made. The number of disasters has quadrupled since 1975 and their costs have exploded. Disasters happen if there are structural problems in society, such as a lack of preparedness and sustainable development patterns, regional inequities, chaotic organization, and unregulated carbon emissions. The other side of that coin is that disaster risk reduction is an investment that delivers a very high rate of return. Conflicts and natural disasters are closely related and it is significant that a number of agencies are connecting the two policies together: the first duty of the state is to protect its citizens. State weakness makes countries prone to conflict. It also makes countries vulnerable to natural disasters. Conversely, violent conflict and natural disasters weaken the state.

5.3 Equally, evaluation of conflicts and natural disasters share a lot of similarities. Ex-ante assessments, baselines, are usually lacking, data constraints are common and there is a need for just in time responses to evaluation findings. Evaluability of programs tends to be weak and external engagement often fails to focus on institutional aspects. Finally, in both cases, the traditional DAC evaluation criteria (relevance, effectiveness, efficiency and sustainability) need to be enriched by the evaluation criteria developed for humanitarian interventions:

- Appropriateness: whether or not the intervention is adapted to local conditions and capacities
- Connectedness: adequate linkages between short-term and long-term action requiring harmonization and coordination among domestic and external actors
- Coherence: consistency in policies and practices among development practitioners and disaster managers
- Neutrality: equity and fairness in assistance to different groups.

5.4 Finally, Robert Picciotto summarized the lessons of evaluation experience drawn by Conference participants in terms of ten overarching policy lessons:

- 1) Take account of the distribution of risks
- 2) Fill the strategic deficit
- 3) Extend the planning horizon
- 4) Invest in disaster risk reduction
- 5) Reform funding mechanisms
- 6) Address incentive distortions

- 7) Reconsider development strategies
- 8) Acknowledge the conflict-natural disaster nexus
- 9) Improve the balance between public, private and voluntary action
- 10) Reform country strategy formulation

* * *

5.5 In the discussion that followed, Davis pointed out that one of the difficulties he found in risk assessment was that it looked at risk from a macro level. The World Bank hotspot study was an example of this. According to Davis' experience, however, "the difficulty is that vulnerability as compared with hazards is highly specific. My neighbor might be much more vulnerable than I am because of his family structure, his house and his reserves in his bank. So I always have a problem with risk assessment in terms of vulnerability because of its local focus."

5.6 Picciotto opined that there were common threads running through conflict risk assessments and natural disaster risk assessments. Both helped to guide prevention activities and to direct resources towards capacity building. They cannot help predict disasters or conflict but they do identify what needs to be done to minimize risk. While all disasters are local, weak state responses reflected generic problems, institutional gaps and resource misallocations.

5.7 One of the participants added that risk analysis and vulnerability is an area "where we really need that network of information sharing. I think that within this group, having NGOs and donors intermix and interact together, policy as well as implementation arms, people on the ground as well as at headquarters, is where we can really truth-check the information."

5.8 Robert Picciotto concluded that evaluators carried a heavy responsibility that they did not always meet. It was not enough to record what has gone wrong in a particular case. The real challenge is to induce social learning and to help trigger policy and governance reforms, including adjustment of budget priorities, new relationships between central and the local government, community participation and fruitful involvement of the private sector and the civil society. Evaluators must speak truth to power and look beyond the reality of inadequate readiness and feeble responses to the root causes. If hazards turn into disasters or if reconstruction and recovery are mishandled it says something about the way the country is being governed. It is also a litmus test of the adequacy of country assistance strategies and it suggests a lack of coherence of action among international actors. Consequently, evaluations should be done collectively rather than separately by individual agencies.

6. Comparing and Contrasting the World Bank and the Inter-American Development Bank Evaluations

EVALUATION OF POLICIES AND OPERATIONAL PRACTICE RELATED TO DISASTER RISKS: THE EXPERIENCE OF THE IDB

MARCO FERRONI

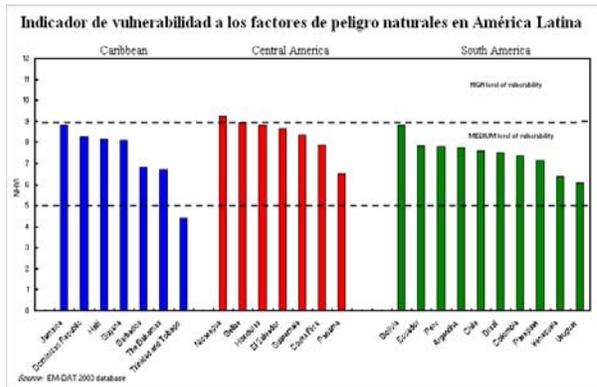
6.1 Marco Ferroni started the session by presenting two major studies he led while working at the Office of Evaluation and Oversight at the IDB. (Ferroni is no longer in that office, having shifted over to management.)

6.2 Ferroni brought three messages to the roundtable discussion:

- (i) There has been a close connection in the IDB in recent years between the contributions by the evaluation and oversight office and the changes, conceptually and operationally, that the Bank's management has introduced with respect to disaster risk management and responding to natural disasters in LAC.
- (ii) The IDB has significantly modified, updated and improved its approach to the challenges posed by natural disasters, which (as is well-known) occur with great frequency in the region. The main defining characteristic of that change is the shift to a risk management framework. Naturally, given the size of the challenge and the analytical, institutional and political complexities involved, there remains much to be done.
- (iii) It is difficult for governments, particularly in the smaller and poorer countries, to overcome what in Latin America is called "corto placismo," i.e., the propensity to think in the short term, to be reactive and not plan ahead. International institutions such as the IDB have a role to play in the sense of supporting the shift to adequate risk management frameworks by means of technical assistance and the provision of financing as the case may be.

6.3 IDB has completed two evaluations, in 2002 and 2004, of two IDB programs: the so-called Emergency Reconstruction Facility and IDB's operational emergency policy.

Figure 9. High vulnerability and losses in LAC

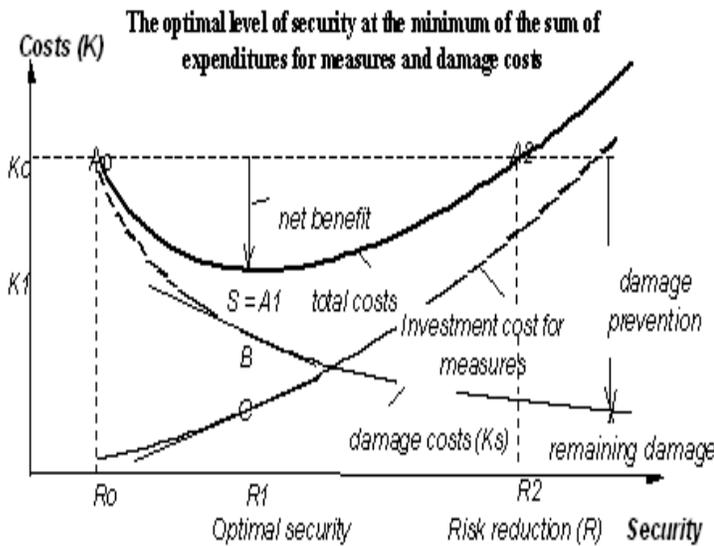


Source:

some countries are somewhat more vulnerable – Jamaica and Nicaragua turn out to be the most vulnerable countries by this method – there is a high level of vulnerability in each of IDB’s 26 borrowing countries, leading to record losses.

6.7 IDB built on the conceptual framework developed by Walter Amman, present at this roundtable discussion.⁹ As shown in Figure 10, “progressively, higher levels of security are associated with increases in investment costs and decreasing costs of

Figure 10. Risk management and financing framework



Source: Ammann, 1998

Source: Ammann, 1998

6.4 IDB used a risk management framework in order to evaluate borrowing countries and projects. How this framework worked was what Ferroni shared with the audience. He also introduced some of the evaluation’s techniques and indicators.

6.5 For example, IDB developed natural hazard vulnerability indicators to evaluate its borrowing countries, quantifying disaster losses (see Figure 9).⁸

6.6 According to Figure 9, all countries in Latin America are highly vulnerable, and variation between countries is small. While

damages from natural disasters. Conceptually, there is such a thing as the optimum security level that a country should strive for. That optimal security level is that level which minimizes the sum of damage losses and investment cost.” Figure 10 shows that countries on the left-hand side of the optimum are spending too much to cover losses and countries to the right side are spending too much on prevention.

⁸ Natural hazard vulnerability indicators or a method of gauging the vulnerability of a country was developed, where vulnerability is the product of the disaster-affected population relative to the total population times the disaster-related economic loss relative to GNP in each country for a given period.

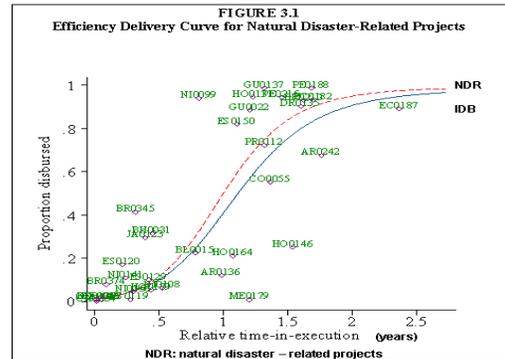
⁹ Walter Ammann of the International Disaster Reduction Center in Davos, Switzerland, and his group have been instrumental in helping IDB to think through some of the models and methods of risk management.

6.8 According to Ferroni, this risk management model is helpful as far as theory goes. However, in order to make it relevant for operational purposes, “countries need to know where they stand on this continuum. Lack of knowledge where they stand is an impediment to action, and that impediment to action needs to be taken into account and addressed..”

6.9 When evaluating IDB’s emergency loans, Ferroni and his team found that while they were generally more rapidly delivered than the overall portfolio, implementation was much slower than the intended two years (see Figure 11).

6.10 IDB also created an index to capture the evaluability of emergency projects. The evaluability index was designed to answer whether an operation is designed in such a way that evaluation is possible (see Table 4).

6.11 While the ex-ante evaluability index looks at the design of an operation, the ex-post evaluability index refers to the monitoring system of a project during implementation. “What we found,” said Ferroni, “is that evaluability of these natural disaster-related projects by this method is very low, with the consequence that developmental effectiveness and results could not be assessed in rigorous terms.



Source: Marco Ferroni, Power Point Presentation

6.12 “I want to conclude”, said Ferroni, “with four meta-comments on the evaluations: First, both evaluations (the Emergency Reconstruction Facility [ERF] and the Bank’s Policy and operational practice related to natural disasters) were done at a time when the development challenges posed by natural disasters grew in visibility. The evaluations, as a result, fell on fertile ground as far as the scope for action on the recommendations was concerned. Second, the evaluation of the ERF set the stage and afforded a learning opportunity for the subsequent larger evaluation project that dealt with the whole natural disaster-related approach and portfolio of the Bank. The fact that we proceeded in two stages contributed to the solidity of the final products and enhanced the scope and ultimately the impact of the discussions with the management of the Bank. Third, we were able to develop a highly productive learning community that involved Bank staff, evaluators, consultants, and others. This, too, was a factor that helped make possible the changes that management subsequently introduced in its approach to natural (and other) disasters. Finally, and to conclude from the above, it is worth noting that the evaluators in this case found ways to remain engaged with the evaluated without losing their independence of judgment in the process.

HAZARDS OF NATURE, RISKS TO DEVELOPMENT: AN EVALUATION OF WORLD BANK ASSISTANCE FOR NATURAL DISASTERS – METHODS AND FINDINGS
RONALD PARKER

6.13 Ronald Parker, Lead Evaluation Officer at IEG, spoke about methods and findings of the IEG evaluation “Hazards of Nature, Risks to Development.” In his address, Parker also highlighted the remarkable convergence of findings among the various evaluations presented during the conference.

6.14 “The World Bank,” said Parker “has been in the disaster business since World War II, since it was first founded. Reconstruction is in its name, but I do not think you will be surprised to find out that the IEG evaluation was the first time a systematic look was ever taken at the effectiveness of that kind of work.

6.15 “Banks have long tended to see disaster and the management of related risk as an interruption of their work. Facing that kind of challenge, much as Ferroni mentioned that they wanted to change thinking, we felt we needed to take a detailed look at what the World Bank was doing in order to be persuasive. The most important strategic decision that we made was to take a full census approach. That means identify every project that had disaster activity at the component and even the sub-component level, and to see to what degree those activities were successful or unsuccessful.”

6.16 Two software programs were essential to the evaluation: first, an interactive database that could respond to queries, and second, text management software called Atlas TI that allowed keyword searches.

6.17 “One of our big successes”, said Parker “was the preparation of issue papers based on the two processes.” The evaluation looked at the following:

- Every project that included “gender”
- Project successes and failures with mitigation
- Reallocation, the issue of reformulating loans every time a disaster occurs
- Projects that transferred financial risk
- Experiences with budget support
- Changes in activities by policy period, which enabled IEG to evaluate the World Bank’s policy on emergency lending and determine to what degree there was compliance with World Bank policy

Table 4. Emergency interventions are largely unevaluable

Region	Ex-Ante Evaluability Index*	Ex-Post Evaluability Index*
1	0.48	0.21
2	0.42	0.18
3	0.46	0.16
Total	0.45	0.18

*Index runs from 0 (not evaluable) to 1 (fully evaluable)

6.18 Other findings, such as those presented in Table 5, proved to be revealing as well. “If we look at the top 10 countries that borrowed from the World Bank,” said Parker, “we find that they have between them over a 20-year period more than 200 loans for disasters. What does that mean? It means that every year these countries are facing a crisis that requires international support, and the institution has not totally taken this on board. When you look at the list, you will

see some big borrowers, which are not surprising, but then you see little countries like Honduras and Vietnam that you would not expect to see up there in the big borrowers list.”

Table 5. Concentration of Lending in the Disaster Portfolio Compared with Overall World Bank Lending

Rank	Country	No. of disaster projects	Lending to projects with disaster activities (US\$ millions)	Rank: all Bank projects, 1984-2005	Rank: all Bank commitments, 1984-2005
1	India	43	8257	2	1
2	China	32	4902	1	2
3	Bangladesh	28	2880	8	12
4	Brazil	27	2349	4	4
5	Honduras	15	712	45	53
6	Turkey	13	3390	11	7
7	Yemen	13	306	14	49
8	Madagascar	13	327	17	39
9	Mexico	12	2145	5	3
10	Vietnam	12	1232	29	17
TOTAL		208			

Source: IEG 2006: *Hazards of Nature, Risk to Development*, p 13.

6.19 In addition, noted Parker, “we found out that projected and actual implementation times show that the World Bank consistently underestimates the time required to complete disaster projects. For completed projects, the average extension time was 1.2 years longer than expected. Why is this important? One, the World Bank had a policy similar to the IDB for an emergency instrument with a three-year window. Important vulnerability-reducing activities were left out of these three-year instruments because they could not be completed in the three years allotted, and then the project ran long anyhow. [This] made it a much greater tragedy that these [activities] were not included. This kind of information is potentially of great use to the development community.”

6.20 Parker continued by providing an example of housing reconstruction. “It was not so long ago that in the newspapers we saw that it has been a year and there are [still] no houses for the people of New Orleans. The winter came and there were no houses for the people in Pakistan. In the tsunami countries in many places there are no houses. Thus, if we look at all the housing projects that the World Bank has financed around the world, we can find that under no circumstances were the houses ever completed in one year. How about some truth in advertising in the development community? If in scores of projects, [houses are not built] in a year, why is it that every time there is a disaster, we go into this enormous agony of how are we going to get the houses up before the rainy season, the winter, or something else, when international experience shows without exception that this has never happened?”

6.21 In the last part of his presentation, Parker added some thoughts as to how the World Bank compares to the IDB:

- The IDB was more proactive than the World Bank. “They took on disaster evaluation in a phased approach,” said Parker. “We waited until the very last possible moment and then took on a Herculean task.”
- The IDB evaluation focused on project objectives, on policy objectives, and the relevance at the country program level. The IEG evaluated the outcome of activities at the sub-component level, which the IDB did not.
- The IDB undertook a preparation process that resulted in the identification of a framework to be applied to the evaluation, and then they consistently applied it throughout, which the World Bank did not.
- Furthermore, the IDB dealt more exclusively with borrower performance.

* * *

6.22 Asked about impact evaluations, Parker added: “When we do not know a lot about a topic, when we are novices at evaluating it, we need to understand that every topic area has an intervention model, and we need to check to see whether what is happening on the ground actually follows our intervention model.” Parker explained that a working intervention model is a prerequisite for any impact evaluation.

6.23 “For example there was a water project in Africa that I almost did an impact evaluation on. We had a baseline survey that was done by physicians. It would have been very easy in the post-project situation to just duplicate that survey. But instead we decided to see whether the water points were working. It turned out that more than half of the water points were not in operation and had not worked for a month. [Our intervention model in this case was]: provide potable water and disease will go down. [However,] we did not take into account that we had not taught the communities how [to maintain the water points]. Consequently they were not able to keep the water points operational. Therefore, when we undertake an in-depth impact study, like IEG did with schools in Ghana, we need to know that the World Bank has been supporting schools in Ghana for 20 years. We need to know that the teachers are showing up. We need to know that they actually have textbooks. Once we know all of this, we then can look at the impact of different interventions. But if you do not know that your intervention model is working, you have to look at the activity level and see where the successes and where the failures lie.”

6.24 Subsequently, participants contributed the following questions and comments to the roundtable discussion:

6.25 Participants wanted to know how the World Bank was being proactive in encouraging countries to put risk reduction analysis into their undertakings.

6.26 In response Parker said: “In the country strategies there is a section where the borrowers state what their high priority is, and the World Bank states what its high priority is. Therefore, while the World Bank can make something a high priority, it cannot force the borrower to make it a high priority as well.”

6.27 Another comment from the audience addressed the issue of recovery impact indicators. “Most of the projects [Parker and Ferroni] indicated had a high level of success rates, but what exists in terms of measuring the impact of these massive projects on recovery of livelihoods and how did you measure that? How do you measure the return to normalcy? In many cases, the situation of normalcy was the very trigger that exposed people to high levels of risk. In the IDB

you have developed risk indicators. Are you using these in your evaluations to assess loss in terms of what you are aiming to achieve in the reduction of losses?"

6.28 Ferroni responded to this question stating, "Risk indicators have been extremely instrumental in informing our thinking, but we did not do the next step of taking that risk management model and trying to attach numbers to it in terms of reasonable indicators that speak to that model for different countries. We have, however, and this is one of the points in Parker's presentation, we looked at borrower performance, but we looked at borrower performance in a qualitative fashion."

6.29 Parker added to the discussion on risk indicators: "In terms of indicators, the short answer here is that the World Bank is as guilty as the IDB of 'corto plazismo,' which means short-term thinking. Emergency projects are [indeed] much more successful than the rest of the portfolio, but mostly because they focused on short-term restorative objectives, which are inordinately easy to obtain. When you look at the relevance of those objectives and at how we have reduced the vulnerability of highly vulnerable countries, that is where you can see that we are falling down."

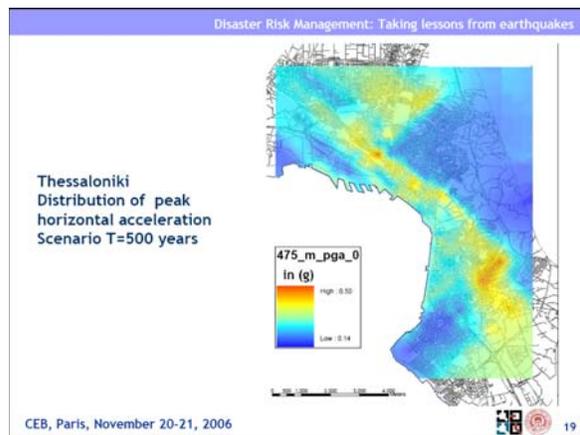
7. Vulnerability Reduction and Disaster Risk Management

DISASTER RISK MANAGEMENT: DISASTER RISK MANAGEMENT: TAKING LESSONS FROM EARTHQUAKES

KYRIAZIS PITILAKIS

7.1 In his presentation, Kyriazis Pitilakis from the Civil Engineering Department at the Aristotele University of Thessaloniki introduced two technical solutions to disaster risk management: 1) microzonation studies to inform decision-makers of possible earthquake damage and mitigation measures, and 2) high-tech methods for verification of earthquake-resistant housing techniques.

Box 3. Thessaloniki: Distribution of Peak Horizontal Acceleration Scenario T=500 Years



Source: Kyriazis Pitilakis, Power Point Presentation

“To assess vulnerability and losses,” said Pitilakis, “we need a typology of elements at risk; we need indicators for human and immaterial elements of risk; and we also need fragility curves. In Europe, we have good fragility curves for buildings, but we do not have any for lifelines and infrastructures. Therefore, we are forced to use hazards and loss estimates.”

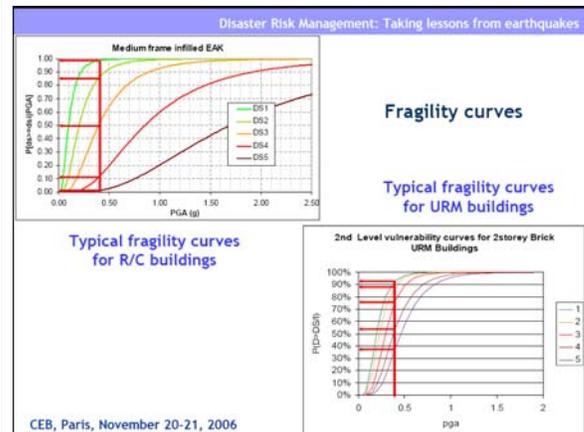
7.2 To illustrate loss estimates, Pitilakis showed two vulnerability maps of parts of Thessaloniki.

7.3 Box 3 shows the peak ground accelerations around the city. Box 4 shows a combination of the fragility curves of all of the buildings and the microzonation studies. The houses that are at risk of being destroyed in an earthquake amounted to about 15 percent. In a scenario of a once-in-a-500 years earthquake, there would be between 6 and 300 deaths, and the total cost would total around 400 million euros.

7.4 After retrofitting 260 old buildings, the scenario shows almost a 30 percent decrease in houses at risk, a 33 percent decrease in human losses, and a 10 percent decrease in repair costs (see Box 5). Thus, these two scenarios support decisions on whether it is wise to retrofit or not.

7.5 On the question of relocating villages to safer sites, Pitilakis presented the case of Duzce in Turkey, where the city has been moved from one place to another. The decision to relocate the village was quick and premature, not based on any

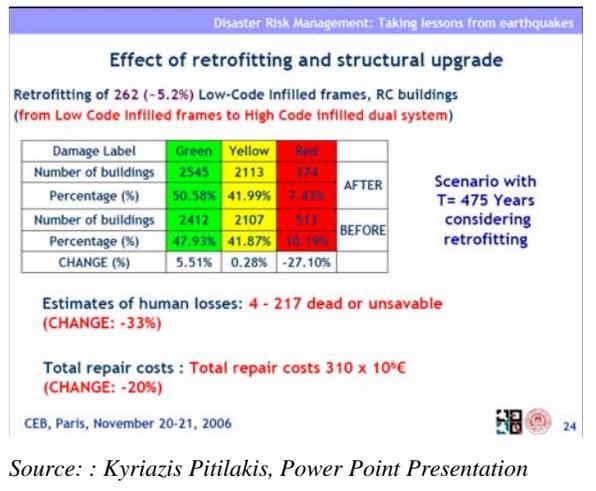
Box 4. Fragility Curves



Source: Kyriazis Pitilakis, Power Point Presentation

microzonation studies performed later. Relocation created a great economical and societal impact on the city. “Today we believe,” said Pitolakis “that CEB and the World Bank spent a lot of money for a new city, which turned out to be a dormitory.”

Box 5. Effect of Retrofitting and Structural Upgrade



7.6 In another case, the government decided to reconstruct old villages, but to relocate some of the houses to safer sites. “We have done a lot of geotechnical and geophysical studies [to determine] where the safe sites [were],” said Pitolakis. According to him, beneficiaries were much happier in the second scenario, because the new sites were close to the village.

7.7 Pitolakis’ last point introduced a new technology for field inspection. In the case of Kozani-Grevena, he applied engineering methods in order to estimate damage after an earthquake and decide whether new construction or retrofitting is the best course of action. He also used this method to

monitor whether construction firms respected the engineering notes regarding the strength of materials in order to make houses earthquake-resistant.

7.8 In conclusion, Pitolakis stated, “seismic risk management regarding mitigation, preparedness, and response needs, in my opinion, detailed and well-focused technology studies and know-how. The good thing is that these are available. Seismic risk management regarding damage assessment, vulnerability reduction, and recovery activities need also high-tech expertise, good tools and know-how. The problem is, however, that some of them are not available and need further development.”

VULNERABILITY REDUCTION AND DISASTER RISK MANAGEMENT

RICHARD PLATT

7.9 Richard Platt, Managing Director of Otesha Group, presented some of the constraints one encounters when financing risk reduction. He presented a CEB-funded intervention in Poland after the 1997-98 floods of the Odra and Wisla rivers. The intervention that the Polish government adopted was based on a worst-case scenario. A deviation channel was constructed for the city of Opole, and engineered embankments were constructed for the city of Krakow.

7.10 Platt presented alternative solutions to infrastructure construction, which were not followed by the government:

- Replant forest in the watershed. Deforestation was a contributing factor in the floods of the Odra catchment area. It was not the only factor, and replanting the forest may not have prevented the flood, but it may have reduced the impact of it.
- Use policy guidelines for land use planning to direct developments away from flood risk areas.

- Apply cost-benefits analysis and if investments prove to be too expensive, encourage people not to settle or not to develop in those particular areas.
- Use insurance companies to create incentives for risk reduction.

7.11 According to Platt, “some of the difficulties come when there is political intervention: ‘we will defend the city at all costs.’ In the case of Poland, there is the city of Krakow, a very beautiful city, and they wanted to defend that completely. The intervention that the CEB supported was the construction of embankments. They were sophisticated, engineered solutions. But engineered solutions are not always the appropriate policy.”

7.12 The UK, for example, proposes an alternative in the Thames Estuary policy for 2100, taking a long-term approach by stating: "The redevelopment of the Thames Gateway provides the opportunity to rethink some of our flood defenses, and deliver sustainable flood management solutions. For example, green spaces such as marshland and meadows can provide wildlife habitat and also accommodate occasional flooding."

7.13 What is an acceptable level of disaster? According to Platt, “We are not always going to be able to engineer a disaster out. When we come forward with a solution, there is always going to be the probability that a flood will come along sometime in the future that will overrun the embankment. What level do we accept and how do we get that message across politically? How do we tell people that their land will occasionally be flooded? So those are some of the issues that one has to face when funding flood risk and flood prevention measures.”

8. The Challenges of Multi-Donor Evaluation

TEC LESSONS LEARNED

JOHN COSGRAVE

8.1 John Cosgrave, Co-lead author of the Tsunami Evaluation Coalition Synthesis Report, described the TEC evaluation as “a distributed joint evaluation, where you have different agencies, each commissioning their own evaluation that fit into the joint evaluation.” Thus, in the TEC evaluation there are interlinked independent evaluations of a single event.

- (i) Cosgrave explained that the TEC evaluation did not have standard terms of reference. “Each steering committee developed its own terms of reference and, of course, when we began to synthesize [the report] we had issues like the evaluations are covering different periods, the needs assessment evaluation covers the first three months alone, [while] other evaluations are covering the first eight to ten months.”
- (ii) “Some evaluations paid a lot of attention on one criteria and other evaluations did not cover it at all. The lesson there was that you can have this distributed evaluation, but you do need to have a central core Terms of Reference (TOR), to start with and have people build on.”
- (iii) The five themes to be evaluated were selected in an ad hoc way at a conference. “People” said Cosgrave, “had about five minutes to think about this before they opted for themes. It would have been better to have had a short test study beforehand, highlighting some of the key issues that have come up in previous emergencies.”
- (iv) Furthermore, Cosgrave pointed out that in the beginning “we asked the teams to cooperate with each other. They pointed out that their terms of reference called for them to do their evaluation. One of the lessons there was that you do need to include the requirement for collaboration between the teams into the terms of reference.”
- (v) Having pointed out some of the weaknesses of the TEC evaluation, Cosgrave highlighted the successes in group management. “We had 22 members on the Core Management Group. Having so many people from different interests and agencies gave the whole process a certain amount of independence because we were not dominated by any particular one group with a particular agenda.”
- (vi) According to Cosgrave, another success was the organization of meetings “where the team leaders could come and present their initial findings and steal ideas from each other. Sometimes when one evaluation team was presenting their work so far, the other team realized that there was an issue that they thought was not very important, so they could see from the work of the other team that it was quite important. Opportunities for cross-fertilization were very useful and much appreciated by the team.”
- (vii) The synthesis report was circulated and received a wide range of comments. According to Cosgrave, “We produced a document with the text plus comments and who commented. This encouraged people to make more considered comments. It also helped people to see that their view was possibly an outlier, and might be related to agency policy or position. It also demonstrated just why the draft was changing.”

THE CHALLENGES OF MULTI-DONOR EVALUATION

BASTIAAN DE LAAT

8.2 Bastiaan de Laat, Evaluator from CEB, raised questions about cooperation in natural disaster evaluations. “Disaster response agencies do not tend to coordinate their actions and even less their evaluations, therefore one arrives at incoherence rather than at synergy,” said de Laat.

8.3 In conclusion, de Laat pointed to some of the challenges of joint evaluations.

- Joint commissioning of evaluations is complex.
- There is uncertainty over whether the initiative to evaluate should come from the bottom up by “ground-level senior management” or from headquarters in a top down approach.
- Is multi-donor evaluation only relevant if aid itself is coordinated?
- What if interventions do not overlap?
- Division of labor and practical organization can be difficult
- Cost sharing

8.4 Picciotto commented that joint evaluations are a logical response to evaluation bombardment. “Unfortunately, this has been the attitude instead of replacing and reducing evaluation. However, the major problem is that evaluations are usually unconnected to decision making.” Picciotto added that “there are different degrees of jointness, from parallel evaluations to joint evaluations, fully joint evaluations. Then we have a very interesting addition to the literature, which is distributed joint evaluation contracts.”

8.5 An expert from the audience contributed to the list of joint evaluations the example of five ProVention case studies presented earlier. “They did not look at any one agency intervention; they looked at the whole process [of reconstruction]. I found that stakeholders that I interviewed were a bit more open about sharing because it was multi-donor. You did not have to attribute it to any one organization but you can just say what really happened and what the impact was and so the people were more open about sharing. There is a value to doing these multi-donor reviews. They were low-key, low-cost reviews. I think for the five cases, maybe it was between \$40,000 and \$50,000 per case.”

8.6 In response to another comment from the audience regarding the fact that joint evaluations are a solution for smaller bilateral organizations, Picciotto responded: “I think this last comment suggests to me the importance of the issue of joint evaluation. [However], as they address attribution and performance of individual agencies it can be a feel-good [strategy]. Collective responsibility means nobody is responsible.”

8.7 “One of the issues of methodology” Picciotto added, “did not come up in this discussion, but clearly when you have a number of different parties, different criteria, and different methods. This can make joint evaluations rather difficult to manage and you end up with kinds of compromises, which perhaps do not have too much value, but are just trying to get a diplomatic solution to a real difference of views.”

8.8 Another concern from the audience was that “evaluations were not engrained in the humanitarian system.” Notwithstanding a multitude of single agency evaluations, there has been disappointment in the humanitarian community that many of the findings and recommendations from the evaluations do not seem to be taken up. “There is a sense of almost failure and the issue

of the utilization of evaluations is becoming terribly important, particularly with the evaluations that we are talking about,” said Mitchell from ALNAP.

8.9 ALNAP has just completed a study on the use of evaluation findings to see what were the constraints and barriers to the system:

- Evaluation findings should have an instrumental effect
- Evaluations should be part of a broader institutional learning process
- The time frame of evaluations should be much longer than it is now
- Evaluations should be integrated and connected with research
- The end users of the evaluations should be involved in designing the terms of reference, which means allotting more time for the planning process

8.10 Davis concurred with what was said on evaluations not being taken up. He wondered whether the problem was that “evaluations often reflected the cultural values of the people evaluating.” After providing examples of community participation and gender equality, which reflect values of the evaluators and their institutions rather than government policies in certain countries, Davis said that “evaluations might actually challenge the very nature of a given society. They then expect some action to be taken, when it would require a major social upheaval for such a change to take place. Not to say that such changes are not desirable or necessary, but I just wonder if sometimes terms of reference should recognize cultural norms that exist.”

9. Maximizing the Impact of Evaluation in the Donor Community

DISASTER RECOVERY AND RECONSTRUCTION EVALUATION LESSONS AND POLICY IMPLICATIONS

ROBERT PICCIOTTO

9.1 *Strong Consensus Regarding Evaluation Findings.* The last session of the roundtable focused on: 1) key messages for policymakers to ensure that recommendations are adopted, and 2) an action plan laying out future areas of cooperation for conference participants.

9.2 A table was distributed to the audience detailing 50 lessons presented during the conference (see Table 1, p. IX). This table demonstrated a strong convergence of evaluation finding among different institutions. The fact that evaluations undertaken by diverse institutions (IFIs, bilaterals, humanitarian organizations, etc.) bear out the same or similar findings demonstrated a consensus on future steps that policymakers could take and that conference participants could take back to their institutions.

9.3 The fifty-one lessons and recommendations from evaluations presented in Table 1 were considered too numerous to effectively influence policy makers. Therefore, based on the panels' discussions, Robert Picciotto recommended that the lessons be clustered according to the major gaps that must be filled to improve disaster recovery, reconstruction, and risk reduction:

1. *Strategic gap:* An effective emergency strategy would include risk management within Country Assistance Strategies (CASs) and Poverty Reduction Strategy Paper (PRSPs). It would address a chronically neglected dimension of disaster management— preparedness and prevention.
2. *Policy gap:* A responsive development policy would be risk-sensitive and adopt human security goals. It would reconfigure aid allocation protocols to privilege vulnerable countries and it would incorporate humanitarian principles (e.g., the Red Cross and ALNAP guidelines) in its operations.
3. *Financing gap:* The financing challenge would be tackled by addressing moral hazard, insurance, risk sharing, and risk transfer issues.
4. *Coherence gap:* Donors would work together, harmonize their procedures and align their interventions to meet country priorities as advocated by the policy coherence for development initiative of the Organization for Economic Cooperation and Development (OECD).
5. *Management gap:* Effective management deals with corruption, builds capacities and delegates authority to generate adaptability and responsiveness. .

ACTION PLAN FOR NATURAL DISASTER EVALUATORS

9.4 The strong convergence of evaluation findings provided a sense of purpose and urgency for participants to continue to work together on disaster risk reduction issues. Emphasizing the importance of a forum as opposed to a website or sourcebook, one participant commented: “What made this particular event live to me was that people were speaking honestly about their evaluations. They were sharing evaluation results.” In order to continue working together, conference participants proposed the following plan of action with the idea that ProVention could

serve as a focal point. The action plan follows two themes, (1) fostering dialogue among evaluators, and (2) increasing the impact of evaluations:

Fostering the evaluation dialogue

1. *Issue a report on conference proceedings.* The World Bank offered to produce a report based on the proceedings of this disaster risk management conference. Participants suggested that the report be short, concise, and constructive.
2. *Create an interactive website.* The CEB suggested to create an interactive website in order to connect participants interested in evaluation and disaster risk reduction. The proposal was welcomed by the audience, although out of concern for duplication, some participants did not want to see a completely separate website initiated. They highlighted that there were already a lot of existing virtual forums related to risk reduction that participants could tap into. Other participants, however, supported the idea of a new virtual framework or internet network linking bilaterals, IFIs, the UN, international NGOs, and local NGOs together for information and knowledge exchanges and potential training. A virtual forum could also serve to create a partnership with local communities, local governments, and national governments, in order to promote well-conceived and appropriate interventions that would cover the full spectrum from preparedness and prevention through response to recovery and reconstruction, as well as learning from evaluations. The following existing networks for knowledge-sharing were also identified:
 - Risk reduction: The International Strategy for Disaster Reduction (ISDR).
 - Recovery work: The International Recovery Platform (IRP) based in Kobe, but also in the ILO and ISDR in Geneva. The mission of the IRP, a group of UN agencies made up of the ISDR, United Nations Development Program (UNDP), and the Asian Disaster Reduction Center (ADRP), among others, is to share information about recovery.
3. *Create a glossary endorsed by the OECD-Development Assistance Committee (DAC) working group.* The need for an official glossary and translation was deemed important. In this regard, participants were concerned that everyone have a common understanding of terms such as “risk,” “vulnerability,” “impact,” “outcome,” etc. and therefore supported creating a glossary. However, other participants argued that such a glossary already existed. In fact, the IDB had started to develop a glossary that was further developed by ISDR. Finally, it was emphasized that the issue here was not the existence of a glossary, but rather its official endorsement by the parties concerned.
4. *Continue the dialogue on evaluation results and disaster risk management.* The CEB proposed organizing a follow-up forum in two to three years. To organize such a forum, a steering group would be needed, representing the various interests that have been represented in this meeting. In addition, participants felt that the UN should be more involved in future forums. The Swiss Federal Institute for Snow and Avalanche Research (SLF) offered a second proposal, which would entail meeting in parallel with the International Disaster Reduction Conference (IDRC) in Davos. It was perceived that Davos, based in Switzerland, could provide a neutral base for a dialogue on evaluation and risk reduction.

Improving the impact of evaluation

5. *Research the long-term impact of evaluations as well as recovery from disasters.* Participants recognized the need for longitudinal impact studies, research on whether interventions were effective at helping communities to return to some state of normalcy, whether they really strengthened livelihoods of disaster victims, and whether they

- addressed resilience. In addition, one participant suggested that “a mechanism could be put in place to monitor and assess the experience and lessons from evaluations.” The same participant also posed the following questions: “Are we moving ahead? What sort of lessons have we learned from taking on board lessons from evaluation for doing better? What sort of indicators do we have in order to make measurements in that regard?” Another participant proposed conducting more cost-benefit analysis research. In addition, it was felt that research questions such as the following ones should also be answered: How much can we afford to invest to save lives? Should we rather invest in technical measures, or would it be more effective to spend the same amount of money to provide early warning systems?
6. *Develop a sourcebook to include good practices on monitoring and evaluation and disaster risk reduction.* ProVention offered to broaden its current initiative of an open web-based sourcebook,¹⁰ to involve all concerned parties, including IFIs, bilaterals and other conference participants, including partner organizations from developing countries. It was thought that such a sourcebook could help bridge the gap between the humanitarian and the development community.
 7. *Link evaluations to training activities.* Besides the idea of creating a new training organization, methods of incorporating feedback from evaluations into existing training systems should be explored. In addition, participants also brought up several training needs. For evaluators, it was suggested that evaluation capacities and terms of references (TORs) be improved in order to enhance the precision and coherence of TORs across different institutions. For disaster risk managers, proposals included offering strategic planning in disaster risk management at a high management level and improving accountability of program delivery to affected populations; as well as building up social and professional networks.
 8. *Ensure that evaluation guidelines are endorsed by the DAC working group.* It was suggested that it might be useful for one of the donor agencies to have the DAC working group endorse evaluation guidelines for disaster recovery, reconstruction, and prevention to ensure legitimacy, similarly to previously issued guidelines on conflict.

* * *

9.5 Davis summarized the meeting as an honest exchange. “We were all pretty humble,” said Davis. “We can see that we are making progress, but at the same time, the problem out there is even bigger, so there is a lot of humility. We have also emphasized accountability, particularly towards beneficiaries.”

9.6 Davis continued his closing remarks by pointing out that “there has been some discussion on attitudes. We talked about utility and utilization of what happens, we talked about networking, we talked about learning, we talked about sharing, we talked about applying. There has been concern here to see that these evaluations do not stay on the shelves that they actually get into positive action on the ground.”

¹⁰ The ProVention Disaster Reduction Monitoring and Evaluation Sourcebook is designed as a resource for methods and tools to evaluate the socio-economic benefits of disaster reduction initiatives. The sourcebook will include detailed guidance on planning and implementing evaluations, the application and value of different assessment approaches and methods, and the selection and validity of different indicators. It will also detail case studies of ‘good practices’ in evaluation and case evidence on the net benefits of risk reduction.

Source: Retrieved on 01/17/07 from:

http://www.proventionconsortium.org/themes/default/pdfs/ProVention_News/ProVentionNews_Dec_06.pdf

Annex A. Conference Program

CONFERENCE PROGRAM

Le Parc-Paris Sofitel Demeure Hotel, 55-57 avenue Raymond Poincaré, 75116 Paris

Monday, November 20, 2006

- 8:30 *Welcome Coffee*
- 9:00 **Opening Addresses**
- Apolonio Ruiz Ligeró, Vice-Governor, Council of Europe Development Bank
 - Vinod Thomas, Director-General, Independent Evaluation Group, The World Bank
 - Stephen A. Quick, Director, Office of Evaluation and Oversight, Inter-American Development Bank
- Panel 1 Natural Disaster Project Evaluations by Multilateral Organizations**
Moderator & Chairperson: Ian Davis, Visiting Professor, Cranfield University
- 9:30 Panel Organization & Objectives by the Chairperson
- 9:45 **World Bank**
The World Bank's Response to the IEG Evaluation: Staffing, Training, and Financing
- Margaret Arnold, Senior Program Officer, Transport and Urban Development Department
- 10:00 **Inter-American Development Bank**
Results of the 2004 Evaluation: The IDB Action Plan for Improving Disaster Risk Management
- Caroline Clarke, Senior Specialist, Disaster Prevention and Risk Management
- 10:15 **European Investment Bank**
- Alain Seve, Associate Director, Head of Operations Evaluation
- 10:30 **Asian Development Bank**
Lessons Learned during the Preparation of the Disaster Evaluation
- Neil R. Britton, Sr. Disaster Risk Management Specialist
- 10:45 *Coffee break*

Chairperson: David Peppiatt, Head, Humanitarian Policy and Partnerships,
British Red Cross

- 11:00 **Andean Development Corporation**
Results of the Natural Disaster Evaluation
- Roberto Lopez, Sustainable Development Specialist
- 11:15 **Caribbean Development Bank**
How Lessons of Experience are Incorporated in Operations and New Strategies
- Anne Bramble, Deputy Director, Evaluation and Oversight Division
- 11:30 **Council of Europe Development Bank**
Challenges and Results of the First Evaluation Experience in CEB—Lessons from Natural Disaster Projects
- Claudine Voyadzis, Director, Ex Post Evaluation Department
- 11:45 **Plenary Discussion**
- 12:15 *Lunch hosted by the Council of Europe Development Bank*
- Panel 2:** **Natural Disaster Project Evaluations by Bilateral Organizations**
Chairperson: Bastiaan de Laat, Evaluator, Ex Post Evaluation Department,
Council of Europe Development Bank
- 13:45 **Deutsche Gesellschaft für Technische Zusammenarbeit**
- Thomas Schaef, Senior Planning Officer, International Cooperation in the Context of Conflicts and Disasters Division
- 14:00 **Norwegian Ministry of Foreign Affairs**
- Bjørn Johannessen, Senior Advisor
- 14:15 Plenary Discussion
- 14:45 *Coffee break*
- Panel 3:** **Other Recent Evaluation Initiatives**
Chairperson: Caroline Clarke, Senior Specialist, Disaster Prevention and Risk Management, The Inter-American Development Bank
- 15:00 **European Commission**
Embedding Evaluation Results in Policy Making
- Nicoletta Pergolizzi, Evaluation Manager, Humanitarian Aid Department
- 15:15 **International Federation of the Red Cross and Red Crescent Societies**
- Margaret Stansberry, Senior Officer, Planning, Monitoring and Evaluation Department

- 15:30 **Active Learning Network for Accountability and Performance in Humanitarian Action**
- John Mitchell, Head
- 15:45 **Tsunami Evaluation Coalition**
- John Cosgrave, Co-lead author of the Tsunami Evaluation Coalition Synthesis Report
- 16:00 **ProVention Consortium**
- Ian O'Donnell, Senior Officer
- 16:15 **Plenary Discussion**
- Concluding Remarks by the Moderator**
- 17:00 ***Cocktail Reception*** Hosted by the Council of Europe Development Bank at 55 avenue Kléber, 75116 Paris

Evaluators' Roundtable

Council of Europe Development Bank, 55 avenue Kléber, 75116 Paris

Tuesday, November 21, 2006

Constructive debate on evaluation approaches to natural disaster related work focusing on innovations and methodological lessons learned. Session starts with short presentations and then the plenary is open to all participants.

Program

- 8:30 *Welcome coffee*
- 9:00 **Welcoming Remarks**
- Chairperson: • Claudine Voyadzis, Director Ex Post Evaluation Department, Council of Europe Development Bank
- 9:05 **Main conclusions of the Conference**
- Ian Davis, Visiting Professor, Cranfield University
- 9:15 **Opening Remarks**
- Robert Picciotto, Visiting Professor, King's College London
- 9:25 **Roundtable Session 1**
- Comparing and Contrasting the World Bank and the Inter-American Development Bank Evaluations**
- Moderator: • Ian Davis, Visiting Professor, Cranfield University
- As shown during the first day of the Conference, many different approaches in design and implementation of disaster projects, programs and policies co-exist. The first roundtable invites participants to compare evaluation methods, approaches and outcomes. Emphasis will be laid on the relationship between the scope of the inquiry, the findings of the evaluation study and their uptake in operations.*
- Marco Ferroni, Deputy Manager, Sustainable Development Department, Inter-American Development Bank
 - Ronald Parker, Lead Evaluation Officer, Independent Evaluation Group, World Bank
- 10:05 **Roundtable Session 2**
- Vulnerability Reduction & Disaster Risk Management**

Moderator: • Ian Davis, Visiting Professor, Cranfield University

Various new scientific and technological tools have been developed to assist in effective mitigation and response to natural disasters. Innovative methods based on modern engineering techniques can also assist in the evaluation of the quality of recovery actions.

The second roundtable invites participants to discuss the relative priority of these techniques in disaster preparedness, and the role of donors in using and disseminating them. Relative to lower tech techniques that deal with evaluating non-engineered structures, and community-based disaster management efforts, when should each be preferred?

- Kyriazis Pitilakis, Professor in Earthquake Geotechnical Engineering at the Aristotle University of Thessaloniki
- Richard Platt, Managing Director, OTESHA Ltd.

10:45

Coffee Break

11:00

Roundtable Session 3

The Challenges of Multi-Donor Evaluation

Moderator: • Robert Picciotto, Visiting Professor, King's College London

After major disasters, a bewildering variety of governmental, international and non-governmental organizations intervene simultaneously. Yet they do not always coordinate their actions and – even less – their evaluations. Instead of multi-donor synergy, incoherence often results.

The third roundtable discussion invites participants to discuss the implications for development effectiveness and for the ways evaluations are currently carried out. What are the pros and cons of multi-donor evaluation? Is multi donor evaluation only relevant if the aid itself is coordinated? Can it address disaster recovery and reconstruction interventions that are not overlapping? Can evaluation criteria be harmonized? If not does it affect the feasibility of multi-donor evaluations? Is a division of labor (e.g. for social impact assessments) feasible? What are the pros and cons of alternative governance arrangements (re: staffing, terms of reference, quality assurance, disclosure, etc.)? Can evaluation costs be shared?

- Bastiaan de Laat, Evaluator, Ex Post Evaluation, Department, Council of Europe Development Bank
- John Cosgrave, Co-lead author of the Tsunami Evaluation Coalition Synthesis Report

11:40

Roundtable Session 4

Maximizing the Impact of Evaluation in the Donor Community

Introductory
Remarks

and Moderator: • Robert Picciotto, Visiting Professor, King's College London

This session focuses on ways of maximizing the impact of disaster-related evaluations on the implementing organization and the broader donor community. What methods of research and/or ways of presenting findings were most helpful in feeding evaluation results back into operations? What maximized their impact on the uptake of evaluation results 'on the ground'? What are evaluation departments doing to reach out to the broader donor community when

they have findings that are of broad potential interest?

12:20

Concluding Remarks

- Robert Picciotto, Visiting Professor, King's College London
- Ian Davis, Visiting Professor, Cranfield University

12:50

Closing Remarks

- Claudine Voyadzis, Director Ex Post Evaluation Department, Council of Europe Development Bank

Annex B. About the Contributors

Margaret Arnold

Senior Program Officer
Hazard Risk Management Team
Urban Unit
World Bank

Margaret Arnold is currently the Senior Program Officer of the World Bank's Hazard Risk Management team, where she focuses on project management, providing technical assistance to disaster-related operations, policy and training development, and generating knowledge to assist the World Bank in integrating disaster risk management into its development efforts. She joined the World Bank in 1995 and she has worked on project evaluation, policy development and operations. She is experienced in both natural disaster risk management and post-conflict reconstruction, and helped to establish the World Bank's Hazard Risk Management team (formerly called the Disaster Management Facility) in 1998. She is the author of several World Bank publications on disaster risk management and post-conflict reconstruction. Her publications include *Natural Disaster Hotspots: A Global Risk Analysis* (2005); *Learning Lessons from Disaster Recovery: the Case of Honduras* (2004); the "World Bank's Role in Reducing the Impacts of Disasters" (*Natural Hazards Review*, February 2000), *Building Safer Cities* (2003, co-editor) and *Managing Disaster Risk in Emerging Economies* (2000, co-editor), *Managing Disaster Risk in Mexico* (1999); and *The World Bank's Experience with Post-Conflict Reconstruction* (2000).

Anne Bramble

Deputy Director
Evaluation and Oversight Division
Caribbean Development Bank

Anne Bramble joined the Caribbean Development Bank (CDB) in 1988 and is currently Deputy Director of the Evaluation and Oversight Division. Her experience at the CDB has been across many sectors financed by CDB ranging from appraisal and project design, to economic analysis, and monitoring and evaluation. Mrs. Bramble holds a B.Sc. in Agriculture in addition to an MBA and CGA. She is a member of the Certified General Accountant's Association as well as the American Evaluation Association.

Neil R. Britton

Senior Disaster Risk Management Specialist
Asian Development Bank

Neil R Britton BA (Canterbury), MA (Hons) (Canterbury, Dip Tchng, PhD, James Cook University), trained as a sociologist and geographer. He joined the Asian Development Bank (ADB) in April 2006 as Senior Disaster Risk Management Specialist, Regional and Sustainable Development Department. Prior to his ADB appointment, Neil spent five years as Team Leader (International Disaster Reduction Strategies) with the Earthquake Disaster Mitigation Research Center (EdM), National Research Institute for Earth Sciences and Disaster Prevention (NIED), in Kobe, Japan. He was also Chief Coordinator (October 2001-April 2004) of a Government of Japan funded project titled “Earthquake and Tsunami Disaster Mitigation Technologies and their Integration for the Asia-Pacific Region” (EqTAP). From 1981 until 1993 Neil held academic appointments in Australia: at the Centre for Disaster Studies, James Cook University; Director, Disaster Management Studies Centre, School of Health Sciences, University of Sydney; and Associate Professor in Disaster Management and Foundation Director, Centre for Disaster Management, University of New England. From 1993–2001 Neil held practitioner roles in emergency management in New Zealand. He restructured Wellington City Council’s Civil Defense Department into the country’s first Emergency Management Office. In January 1997 he was seconded to the New Zealand Government to help develop a replacement Ministry of Civil Defense; and from August 1998 until July 2001 he was inaugural Manager, Sector Development, Ministry for Civil Defense & Emergency Management. He has been involved in a wide range of professional committee and advisory roles including foundation committee member of the NZ Society for Risk Management; and member for the Joint Standards Australia-NZ Standards Technical Committee on Risk Management.

Caroline Clarke

Senior Specialist
Disaster Prevention and Risk Management
Inter-American Development Bank

Caroline Clarke is senior specialist in disaster prevention and risk management with the Inter-American Development Bank (IDB), where she is responsible for projects for Central America, Mexico, and the Isla Hispanola, as well as for developing this technical area throughout the IDB. She has been instrumental in IDB’s shift to a proactive risk management framework, including the design and implementation of IDB’s Action Plan for Improving Disaster Risk Management 2005-2008. Before joining the IDB, Caroline was the director for the Board on Natural Disasters of the National Research Council in Washington, DC, and director for the US National Committee for the International Decade for Natural Disaster Reduction. Caroline has a doctorate from the Massachusetts Institute of Technology in urban planning and conducted her dissertation research on disasters and development in Colombia after the 1985 disaster of Armero.

John Cosgrave

Co-lead author of the Tsunami Evaluation Coalition Synthesis Report
Tsunami Evaluation Coalition

John Cosgrave is an independent Irish consultant with thirty years of work experience in fifty countries on the management and operation of relief and development programs. John has worked as an independent evaluator since 1997, having spent most of his previous professional life managing NGO projects and programs in the aftermath of natural disasters and complex political emergencies.

John has conducted evaluations, usually as team leader, for a range of clients including the European Commission (EC), the European Commission's Humanitarian Office (ECHO), the aid departments of the Danish (Danida), Norwegian (Norad), US (USAID), and Irish Governments, the World Food Program (WFP), as well as for NGOs like Oxfam, CARE, the Danish Refugee Council, and for NGO consortia including the Disasters Emergency Committee (DEC) in the UK. John is currently finalizing an evaluation of WFP's emergency operations in Darfur.

John was the evaluation advisor and coordinator for the Tsunami Evaluation Coalition (TEC) from the recruitment of the evaluation teams to the launch of the Synthesis Report, which he co-authored. The TEC members commissioned a series of five joint thematic evaluations.

John's previous joint evaluation experience includes two monitoring missions and three evaluations (Kosovo, Mozambique Floods, Southern Africa Crisis of 02/03) for the Disasters Emergency Committee (DEC). The DEC is a collaborative fund-raising mechanism for humanitarian emergencies formed by the British Red Cross, Oxfam, and 12 other leading relief NGOs in the UK.

John is an engineer by training, and holds two masters degrees, including one in Business.

Ian Davis

Visiting Professor
Cranfield University

Ian Davis, an architect by profession, is currently Visiting Professor in the Resilience Centre of Cranfield University and Professor of Disaster Management in Coventry University. From July to October 2006 he was appointed as a Visiting Professor in the Graduate School of Global Environmental Studies, Kyoto University. He is also an Honorary Fellow in the Institute of Civil Defense and Disaster Studies (ICDS), Visiting Fellow in the Post-War Reconstruction and Development Unit (PRDU) in York University and in the Centre for Development and Emergency Planning (CENDEP) in Oxford Brookes University.

He has worked in Disaster Management continually since 1972. His PhD in University College London (UCL) (1972-85) was the first research to be undertaken on 'Shelter after Disaster'. This led to the development of the first UN Guidelines on 'Shelter after Disaster' by an international team of consultants led by Ian Davis and published in 1982. A two year revision of these guidelines was completed in February 2006 for UNOCHA with Ian Davis acting as a member of the management team leading this project. In addition he is the lead author in the UN Recovery

Platform's study concerning 'Lessons Learned from Disaster Recovery 1985-2005 to determine 'Best Practice'.

He has direct experience in 40 major disaster situations, working on behalf of Academic Groups, NGOs, governments, and UN organizations. He has worked as a senior advisor to various Governments and the United Nations, and has experience in research, consultancy, advocacy, higher education, and mid-career staff development and training.

From 1973 to the present he has been a senior advisor to a UK NGO Tearfund on Disaster Planning and Management. Ian Davis has been on the Board of Directors of four NGOs working in the aid and development field including being a founder trustee of Tradecraft, one of the UK's leading fair trade organizations. He has also been on the board of Tearfund, The Safe Trust, and INTRAC. In 2006 he was appointed to give advice to World Vision International (WVI) on the capacity building role of the organization as part of their programme of work following a donation from the Bill and Melinda Gates Foundation.

In 2005 he was appointed to the working group established by the UK Chief Government Scientist, Sir David King to advise Tony Blair on ways that the UK Government, and the G8 Countries could promote an effective Global Disaster Warning Network. For this assignment he was supported by DFID.

He has written or edited over ninety papers and sixteen books on disaster related themes. These include the most recent book, the co-authored Second Edition of 'At Risk, Natural Hazards, People's Vulnerability and Disasters', published in 2003. In 1996 he became the first UK citizen to be awarded the United Nations Sasakawa Award with the citation: 'for an outstanding contribution to International Disaster Prevention'.

Bastiann de Laat

Evaluator

Ex Post Evaluation Department

Council of Europe Development Bank

Bastiaan de Laat joined the Council of Europe Development Bank (CEB) as Evaluator in 2006. He was Director of the French subsidiary of the Technopolis Group from 1998 to 2006 and in this position led many evaluations and studies for a great variety of local, national and international public bodies. He trained numerous European Commission and national government officials in evaluation and was involved in the design of monitoring and evaluation systems for different public organizations. Initially specialized in research and innovation policies, at CEB he is responsible for supervising and conducting evaluations in all activity areas of the CEB. B. de Laat worked as associate researcher at the Ecole des Mines de Paris from 1992-98 and has a PhD (1996) from the University of Amsterdam.

Marco Ferroni

Deputy Manager
Sustainable Development Department
Inter-American Development Bank

Marco Ferroni is Deputy Manager of the Sustainable Development Department at the Inter-American Development Bank in Washington DC. Earlier in his career, he was IDB's principal evaluation officer, a senior advisor to the World Bank, a member of the Board of Executive Directors at the IDB, and a senior economist and manager at the Ministries of Public Economy and Foreign Affairs in Switzerland. Mr. Ferroni holds a PhD from Cornell University and has published on foreign aid and development finance, public expenditure reform, international public goods, and other topics. He is the author, with Ashoka Mody, of *International Public Goods: Incentives, Measurement, and Financing* (Kluwer Academic Publishers and The World Bank, 2002).

Bjørn Johannessen

Senior Advisor
Norwegian Ministry of Foreign Affairs

Bjørn Johannessen is currently a Senior Advisor on Humanitarian Affairs at the Norwegian Ministry of Foreign Affairs with a special focus on natural disaster issues.

Mr. Johannessen has lectured extensively on African and Asian development, particularly on issues pertaining to Pakistan and Afghanistan. He has been a member of various national, regional, or international development aid committees; he has participated in and/or led evaluation teams and delegations in Europe, Africa, Asia, and Latin America. In 2005-6, he was appointed member/team-leader of the newly-established crisis management unit at the Ministry of Finance.

Mr. Johannessen has published on development and international issues. He is the main author of the first and only Norwegian Encyclopedia on Development Issues ("BistandsABC" and "Bistandsleksikon").

Mr. Johannessen has a Masters degree in Political Science from the University of Oslo.

Roberto Lopez

Sustainable Development Specialist
Andean Development Corporation

Roberto Lopez holds a BS in Industrial Engineering from the University of Costa Rica, and a M.Sc. in Environmental Management and Policy from Lund University, Sweden. For more than four years, he worked as international consultant for the Center for Technology Management of Costa Rica (CEGESTI) in business promotion and environmental projects. Later Mr. Lopez went

on to work as the Costa Rican coordinator for the Swiss firm, Sustainable Project Management, in its Private Public Partnership projects in Costa Rica. After this, he served for three years as investment officer in charge of the South American and Caribbean portfolios in the Nature Conservancy's EcoEnterprises Fund. Currently he is working as Senior Executive in the Environment Department of the Andean Development Corporation (CAF) in charge of coordinating the environmental portfolio as well as the biodiversity program (BioCAF).

John Mitchell

Head

Active Learning Network for Accountability and Performance

John Mitchell has been Head of ALNAP (Active Learning Network for Accountability and Performance in Humanitarian Action) since 2002. John is a nutritionist by training and began his career in the early 1980s working for Oxfam on the development of a high energy biscuit for use in supplementary feeding programmes. He worked in Ethiopia for the United Nations Emergency Office from 1984-86 as a field monitor in Wollo Region and afterwards undertook many consultancies in the region. In 1990 he set up a consultancy cooperative specializing in participatory evaluations which he carried out in many countries and for a wide variety of clients. John was instrumental in developing a number of community-based food security monitoring systems in several African countries in the mid 1990's in his role as food security advisor to ActionAid. From 1996 to 2002 John worked for the British Red Cross as Senior Humanitarian Advisor and also acted as Disaster Preparedness Advisor to the International Federation Secretariat. During this time he set up the Humanitarian Ombudsman Project and played a key role in the instigation of the Humanitarian Accountability Project. John currently sits on CAFOD's Humanitarian Advisory Group, has been Head of ALNAP (Active Learning Network for Accountability and Performance in Humanitarian Action) since 2002.

Ian O'Donnell

Senior Officer

ProVention Consortium

Ian O'Donnell is Senior Officer at ProVention Consortium Secretariat, Geneva in Switzerland. The ProVention Consortium is a global alliance of international organizations, governments, the private sector, civil society organizations and academic institutions dedicated to increasing the safety of vulnerable communities and to reducing the impacts of disasters in developing countries. ProVention supports a wide variety of partnering initiatives to catalyze improved policy and practice in disaster risk analysis, risk reduction, and risk transfer.

Mr. O'Donnell has worked with the ProVention Consortium secretariat staff for one and a half years. His current work focuses on improving the 'opportunities' for disaster risk reduction in recovery and better understanding incentives and disincentives in risk decision-making. Most recently he has coordinated the development of a set of risk reduction indicators and background papers as a resource for the Tsunami Recovery Impact Assessment and Monitoring System being

coordinated by the IFRC and the World Health Organization (WHO) along with the governments of India, Indonesia, the Maldives, Sri Lanka, and Thailand.

After graduate studies in Urban Planning, Mr. O'Donnell worked earlier in his career primarily with the American Red Cross in disaster response and preparedness planning. He started in San Francisco working on community disaster planning and went to Turkey after the 1999 earthquake to lead a long-term capacity building programme with the Turkish Red Crescent Society on organizational readiness and community disaster preparedness. He has also worked in Washington, D.C. with the headquarters of the American Red Cross on strategic planning for disaster response. In addition Mr. O'Donnell has participated in numerous short-term assignments to help design disaster preparedness programs in Central Asia and North Africa and to initiate response and recovery activities for various disasters in the U.S., in Turkey, and in Indonesia after the Indian Ocean tsunami.

More information about the ProVention Consortium and its various programmes and activities are available online at: www.proventionconsortium.org.

Ronald Parker

Lead Evaluation Officer
Independent Evaluation Group
World Bank

Ronald Parker is currently a Lead Evaluation Officer in the World Bank's Independent Evaluation Group (IEG). Mr. Parker entered the World Bank in 1990 to work on the joint World Bank/Habitat/UNDP Urban Vulnerability Study in the Environment Department. With IEG since 1997, Mr. Parker has conducted numerous project-level assessments, impact evaluations, and major thematic evaluations, including, among others, Natural Disasters and Emergency Reconstruction, Review of Social Development in World Bank Activities, Cultural Properties in Policy and Practice, and Rural Water Projects. Mr. Parker holds an Ed.D. in Planning and Social Policy Research and an Ed.M. in International Development from Harvard University. Disasters and development is a theme which has long been of interest to him. Prior to joining the World Bank, he conducted disaster-related research for Harvard University and the University of Wisconsin. Following a stint in the Peace Corps, he worked as a disaster project manager for over a decade.

David Peppiatt,

Head, Humanitarian Policy and Partnerships
British Red Cross

David Peppiatt is currently Head of Humanitarian Policy at the British Red Cross (BRC) in London and is responsible for policy, planning, monitoring & evaluation of BRC's international work. He recently joined BRC in September 2006 following four years as Head of the ProVention Consortium Secretariat, hosted by the International Federation of Red Cross and Red

Crescent Societies (IFRC) in Geneva. Within ProVention, Mr. Peppiatt was particularly responsible for the work to mainstream natural hazard risk management into development policy, planning, and financing.

Mr. Peppiatt joined ProVention in 2002 with a Red Cross background and was previously Disaster Preparedness Advisor to the IFRC where he supported disaster mitigation and preparedness programs across Africa and Asia. Prior to joining the Red Cross, he worked overseas for a number of international NGOs in the field of humanitarian relief and development assistance, mostly in East & Central Africa, Commonwealth of Independent States, and South East Asia. He holds a postgraduate Masters of Science degree from the Centre for Development and Emergency Practice (CENDEP), Oxford Brookes University, and Bachelor of Arts from the University of Birmingham.

Nicoletta Pergolizzi

Evaluation Manager
Directorate General for Humanitarian Aid
European Commission

Nicoletta Pergolizzi joined the European Commission's Directorate General for Humanitarian Aid in 1999 after a Master's Degree in International Relations and a career in the private sector. Within DG ECHO she dealt inter alia with European Parliament Affairs, DG ECHO's partners (NGOs, UN agencies and the Red Cross family) legal issues and later moved to the Evaluation sector where she has been responsible for over a dozen evaluations of DG ECHO's actions stretching from Central and Southern America, Africa, and South East Asia, including evaluations of DIPECHO Actions in the Caribbean, Latin America, Central Asia, and South East Asia - DIPECHO being DG ECHO's programme dealing with disaster preparedness. She has also participated actively in joint studies and working groups together with other donor agencies (e.g., on IDPs, Protection, Tsunami Evaluation Coalition, etc).

Robert Picciotto

Visiting Professor
King's College London

Robert Picciotto's career in development spans over 40 years. He served as the Director-General, Evaluation of the World Bank Group for two five year terms following his assignment as Vice President for Corporate Planning and Budgeting. His prior operational assignments include development banking specialist, agricultural economist in the New Delhi office, division chief of agricultural industries, assistant director for agriculture and rural development, and Projects Director in three of the World Bank's Regions. He graduated from the Ecole Nationale Supérieure de l'Aéronautique in 1960 and from the Woodrow Wilson School (Princeton University) in 1962. He currently holds the position of Visiting Professor at Kings College, London, acts as trustee of the Oxford Policy Institute and sits on the council of the United Kingdom Evaluation Society.

Kyriazis Pitilakis

Professor in Earthquake Geotechnical Engineering
Aristotle University of Thessaloniki

Professor Kyriazis Pitilakis graduated from Aristotle University of Thessaloniki, Greece and he received his PhD from Ecole Centrale Paris. He has more than twenty-five years of intensive academic, research and professional experience in earthquake and geotechnical engineering. Head of the Civil Engineering Department and Chairman of the Institute of Earthquake Engineering and Engineering Seismology in Greece, he has been involved in many post-earthquake evaluation programs in Greece, Armenia, Turkey, Japan, and Cyprus. He has coordinated many important research and engineering projects in Greece, Italy, Cyprus, Turkey, Japan, France, Spain, and a few Balkan countries. Coordinator and scientist responsible for numerous European research projects, namely “Euroseistest” (<http://euroseis.civil.auth.gr>), he has extensive experience in European research activities. His main fields of interest are microzonation studies, strong ground motion, vulnerability and risk assessment of civil engineering structures and aggregates (cities, historical centers, hospitals, and harbor facilities), lifeline earthquake engineering, soil dynamics, and seismic design of foundations and infrastructures. Professor Pitilakis is chairman of the forthcoming 4th International Conference on Earthquake Geotechnical Engineering (www.4icege.org) and is author of more than 200 scientific papers in journals, books and proceedings of congresses, invited lecturer in numerous congresses and workshops, and reviewer of many important scientific journals. He is a member of the editorial advisory board of Springer Publishing Company, of international societies of earthquake and geotechnical engineering, of national and international committees for seismic standards, and an international expert in prominent European and International projects (ITER-Cadarache).

Richard Platt

Managing Director
Otesha Group

Richard Platt has over 25 years of professional experience within the United Kingdom and over 20 overseas locations. Following a four year contract as construction project manager in Tanzania, he joined a UK national practice of construction consultants where he served at board level for 6 years. Mr. Platt is a member of the Royal Institute of Chartered Surveyors. He gained his MBA with distinction from the University of Bradford in 1997, prior to joining the universities Centre for International Development as a senior specialist in project management, monitoring and evaluation. He was a member of the Danish Management consortium contracted by the European Commission to develop the Results Oriented Monitoring (ROM) system for EuropeAid programmes. He remains an active member of the current Price Waterhouse Coopers consortium involved in monitoring within African, Caribbean, and Pacific (ACP) countries. He regularly undertakes final project evaluations as well as appraisals for proposed projects on behalf of public and private sector organizations. He has been involved in two ex-post evaluations in Flood Damage Reconstruction Works for the Council of Europe Development Bank; notably in

Southern Spain and Poland following the 1997/8 floods. He is currently the managing director of the Otesha Group.

Stephen A. Quick

Director
Office of Evaluation and Oversight
Inter-American Development Bank

Stephen A. Quick was appointed the position of Director of the Office of Evaluation and Oversight (OVE) at the Inter-American Development Bank (IDB) in June of 2000. OVE reports directly to IDB's Board of Executive Directors, and contributes to improving the developmental effectiveness of the institution through conducting independent evaluations of the IDB's projects and programs.

Prior to assuming this position, Dr. Quick had been Manager of the Department of Strategic Planning and Budget at the IDB, and Advisor to the President on Hemispheric Affairs. Before joining the IDB, Dr. Quick was the Executive Director and a Chief Economist for the Joint Economic Committee of the U.S. Congress, a Chief Economist for the Senate Democratic Policy Committee, and a Senior Economist for the House Banking Committee. Before joining the Congress, he taught at the university level and worked as a private consultant.

Dr. Stephen Quick holds a PhD from Stanford University. He has worked primarily in the areas of international macroeconomics, trade, debt, and finance.

Apolonio Ruiz Ligero

Vice-Governor
Council of Europe Development Bank

After studying economics in Madrid University, Mr Apolino Ruiz Ligero entered the Spanish Administration where he worked for thirty years and played a role of highest responsibility during more than twenty years in various functions.

He was Secretary of State for the Spanish Government on two occasions, Secretary of State of Commerce from 1988 to 1991 and Secretary of State for External Trade from 1993 to 1996. During both periods, he was also Chairman of the Spanish Institute of Foreign Trade and Chairman of the Aid Development Fund Commission. He participated in all the Bretton Woods Organizations (World Bank, International Monetary Fund and specialized agencies) as Deputy Spanish Governor. He was Governor for Spain in the African Development Fund and Deputy Governor in the Inter-American Development Bank, the African Development Bank, and the Asian Development Bank. He participated as Minister of Trade in the General Affairs Council of the European Union. He participated in the negotiations between the European Union and the ACP countries signed in Mauritius Island in 1995. In addition, he was General Director of

Exports, General Director of Commercial Policy, Deputy Chairman of the Spanish Institute of Foreign Trade, and for three years Vice-Chairman of Iberia Airlines.

From 1985 to 1996, he has played a relevant role in the development of Spanish commercial and cooperation policy in different fields. He taught International Economics at the Universidad Complutense in Madrid and was professor for the Masters Programme in international trade. From 1996 to 2001, he was General Director of the Economic and Commercial Office of the Spanish Embassy in Paris.

Mr. Ruiz Ligeró was elected Vice-Governor of the Council of Europe Development Bank on 19 June 2001 and re-elected on 15 September 2005.

Alain Seve

Associate Director, Head
Operations Evaluation
European Investment Bank

Alain Seve is currently Associate Director, Head of Operations Evaluation for the EIB Group. Mr. Alain Seve graduated from the École Polytechnique de Paris in 1967. From 1970 to 1985, he held various management positions in the private sector, including chief executive of a building material factory. Since 1985 he has been at the European Investment Bank. From 1985 to 1993 he served as technical advisor in industry, services, and tourism in all countries in which the EIB operates (EU and outside the EU). From 1993 to 2002, he was Head of Division and was responsible for all EIB operations in Morocco, Algeria, Tunisia, and Turkey. From 2003 to 2004, he served as Associate Director, Private Sector, Mediterranean Region, responsible for all EIB private sector operations in the Mediterranean Partnership countries.

Thomas Schaef

Senior Planning Officer
International Cooperation in the Context of Conflicts and Disasters Division
Deutsche Gesellschaft für Technische Zusammenarbeit

Thomas Schaef is Senior Planning Officer and Deputy Head of the Unit International Cooperation in the Context of Crisis and Disaster, Division Governance and Democracy, at GTZ. His main activities and responsibilities are: Planning and supervision of Emergency Aid, Reconstruction and Food Security Programmes; Advisory services on conceptual issues on Emergency and Humanitarian Aid, Needs Assessments and Disaster Risk Management; Advisory services to different GTZ country programmes on mainstreaming disaster prevention; GTZ Consultant to the World Bank /UNDP Project for the development of a Post-Conflict Needs Assessments Methodology. Mr. Schaef was formerly Project Manager for the Reconstruction and Disaster Risk Management Programme in Peru; Advisor for Food Security Programmes, GTZ-HQ and Honduras; and, Seconded Expert for Disaster Risk Management to the Inter-American Development Bank, Washington, D.C.

Margaret Stansberry

Senior Officer

Planning, Monitoring and Evaluation Department

International Federation of the Red Cross and Red Crescent Societies

Margaret Stansberry is the Senior Officer for Monitoring & Evaluation, Tsunami Operations, for the International Federation of Red Cross and Red Crescent Societies.

She joined the IFRC Secretariat based in Geneva, Switzerland in February 2006, but has worked with the Red Cross Movement since 1995. From 1995 to 2003 she worked for the American Red Cross (ARC) International Services where she created ARC's planning, monitoring and evaluation department and provided technical assistance to country delegations around the world. From 2001 to 2003 she was based in the Balkans providing technical assistance in planning and M&E for ARC field offices and other Movement partners throughout the region.

From 2003 until joining the IFRC in 2006, Ms. Stansberry was an independent consultant conducting evaluations, needs assessments, setting up M&E systems and developing planning systems for clients such as Care International, United Methodist Committee on Relief, the Danish Refugee Council, Winrock International, and the World Initiative for Soy in Human Health, among others. She has worked in both conflict and natural disaster settings for more than 10 years covering more than 25 countries. She holds a Masters degree in International Relations from State University of NY at Buffalo and a BA in Political Science from Buffalo State College.

Vinod Thomas

Director-General

Independent Evaluation Group

The World Bank Group

Vinod Thomas reports directly to the Board of Executive Directors and oversees the activities of IEG-World Bank, IEG-IFC, and IEG-MIGA.

He was formerly Country Director for Brazil and Vice President of the World Bank, a position that he held from October 2001 to July 24, 2005. In this capacity, he managed the World Bank's large lending and non-lending portfolio in Brazil, helped shape the dialogue with the government and the World Bank's Brazil Country Assistance Strategy, and participated in key events with the government.

Prior to 2001, he was Vice President of the World Bank Institute (WBI), where he sharpened the Institute's focus and quality and expanded its mandate and impact.

Mr. Thomas' expertise includes knowledge-sharing and training, trade policy, macroeconomic adjustment, macro-sectoral links, environmental policy, agricultural policy, urban economics and poverty measures.

Prior to heading WBI, he held positions as Chief Economist for the World Bank in the East Asia and Pacific Region. He was the staff Director for the 1991 World Development Report, entitled "The Challenge of Development" which assessed the world's development experience. He was also Chief of Trade Policy and Principal Economist for Colombia.

He joined the World Bank in 1976. From 1979 to 1981, He was a Visiting Professor and Advisor of Urban Studies at the University of Sao Paulo in Brazil. Before joining the World Bank, Mr. Thomas lectured at Vassar College. He has a PhD in Economics from the University of Chicago. He is the author of over 12 books and numerous journal articles. He is proficient in English, Portuguese, Spanish, Hindi, and Malayalam.

Claudine Voyadzis

Director

Ex Post Evaluation Department

Council of Europe Development Bank

Claudine Voyadzis was appointed to set up the Ex Post Evaluation Department at the Council of Europe Development Bank (CEB) in 2002, and has initiated programs in ex-post evaluations of projects and programs financed in various sectors such as in natural disaster, job creation, and social housing sectors.

She had started to work at the CEB in 1996 as a technical advisor. She was responsible for project appraisal and monitoring in the health, education, and social housing sectors.

Prior to working in Paris, Claudine Voyadzis earned a Ph.D. in Demography and Sociology at Maryland University in 1991, where she taught for two years as a lecturer in Sociology. Between 1990 and 1996, she worked for the World Bank as a consultant in the Africa region and conducted social assessments in Madagascar, Rwanda, Cameroon, and Burkina Faso. In 1994, she joined the Operations Evaluation Department of the World Bank where she assessed WB projects in India, Tunisia, Morocco, and Kenya.

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