

**Guide for applicants during the
project development period and
the preparation of full proposals
under the**

**Building Resilience and
Adaptation to Climate Extremes
and Disasters Programme
(BRACED)**

**Supported under the United Kingdom's
International Climate Fund**

Building Resilience and Adaptation to Climate Extremes and Disasters (BRACED) Programme

Project Development and Full Proposal Guidelines

These guidelines have been prepared for consortia who have been invited to submit full proposals under the BRACED programme following a call for concept proposals. This call is only open to those invited to submit full proposals. Consortia are asked to read these guidelines carefully to determine the requirements for full proposals and the project development period. If grantees have any questions in these guidelines they should send these to braced@dfid.gov.uk.

The guidelines have five sections and three annexes:

- **Section A** provides the background on the challenge of climate extremes and their impacts, and outlines how we can build resilience to these climate extremes to reduce their impact on people in developing countries.
- **Section B** provides details of the BRACED programme, its objectives and what it plans to do.
- **Section C** provides guidance for the project development period.
- **Section D** provides guidance for completing proposals for full grants under the BRACED programme.
- **Section E** provides summary of all the BRACED projects being developed during the project development period.

Annexes:

- I Useful documents and links
- II Duty of care information
- III List of references

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SECTION A: CONTEXT AND BACKGROUND

This section sets out the challenges that the Building Resilience and Adaptation to Climate Extremes and Disasters Programme (BRACED) is addressing and what actions are needed.

Part 1: Climate Change and Disasters

Loss of lives

1. The consequences of climate change can be summarised as higher temperatures, changing rainfall patterns and rising sea levels which in turn result in climate extremes such as droughts, floods, cyclones and landslides. The 2012 IPCC “Special Report on Managing the Risks of Extreme Events (SREX) and Disasters to Advance Climate Change Adaptation”¹ provides evidence that climate change has already affected the magnitude and frequency of some climate extremes including floods, landslides, droughts and saline intrusion from sea level rise.

2. As populations increase more people are living in locations vulnerable to climate extremes (see definition in Box 1) and at risk of disasters. There have been 3.3 million deaths from natural hazards in the 40 years to 2010 (82,500 per annum) with 95% in developing countries². Droughts are the worst with almost 1 million people dying in Africa’s droughts alone³. Since 2000 there have been over 400,000 deaths from climate extremes with 79% of those occurring in developing countries⁴. The UK’s Humanitarian and Emergency Response Review (HERR)⁵ predicted that 375 million people a year will be affected by climate-related disasters by 2015.

Economic losses

3. There is strong evidence of increasing risks to national economies and to the livelihoods of poor people from current climate and weather conditions – both from sudden events and from gradual change. Fatality rates and economic losses as a percentage of GDP are the highest in developing countries⁶; whilst total economic disaster losses are higher in developed countries.

4. The IPCC SREX report provides evidence that economic losses from climate-related disasters is increasing⁷ but with a large year on year variation. Estimates of economic impact in developing countries often only take account of tangible impacts and ignore the wider impact on livelihoods at the household level; an impact which is difficult to measure and aggregate. In fact it is the poorest that are most vulnerable to disasters. Many of the poorest will not recover from the forced selling, and/or loss, of their assets. They may become destitute and their children malnourished, often dropping out of school. Disasters destroy livelihoods and aspirations, as well as lives.

Box 1: Definition of climate and weather extreme events

The term '**Climate extreme**' is used in this note to collectively refer to extreme weather and extreme climate events following the terminology used by the Intergovernmental Panel on Climate Change (IPCC). The distinction between extreme weather events and extreme climate events is not precise and is related to their time scales. The terms are often used interchangeably.

- An **extreme weather event** is typically associated with changing weather patterns, that is, within time frames of less than a day to a few weeks.
- An **extreme climate event** happens on longer time scales. It can be the accumulation of several (extreme or non-extreme) weather events (e.g., the accumulation of below average rainy days over a season leading to substantially below average cumulated rainfall and drought conditions).

What is called an extreme weather or climate event will vary from place to place (e.g., a hot day in the tropics will be a different temperature than a hot day in the mid-latitudes), and in time period.

Some climate extremes (e.g., droughts, floods) may be the result of an accumulation of moderate weather or climate events (this accumulation being itself extreme). Compound events, that is, two or more events occurring simultaneously, can lead to high impacts, even if the two single events are not extreme per se (only their combination). Not all extreme weather and climate events have extreme impacts.

In this note we refer to **climate extremes** based on the above definitions taken from the 2012 IPCC "Special Report on Managing the Risks of Extreme Events (SREX) and Disasters to Advance Climate Change Adaptation.

5. The Human Development Report from 2007/8 and the 2012 Foresight report on Reducing Risks of Future Disasters⁸ both emphasise the long term and indirect impacts of disasters. This is because the strategies used to manage increased risks often reinforce deprivation. The poor may be forced to sell productive assets to protect consumption, with implications for longer term recovery. When asset sales are not enough households resort to cutting meals, taking children out of school and reducing spending on health. If households do not have access to safe assets then an increase in risk may lead to lower levels of saving, in this way adverse shocks can have long-lasting negative effects. In addition the 2011 Foresight Report on Migration and Global Environmental Change⁹ found that when the impacts of disasters are not reversible and land becomes unviable, migration becomes the most viable coping strategy. In these circumstances the poorest communities are at risk of becoming 'trapped populations' unable to obtain a livelihood where they are and too poor to be able to afford to move.

Impacts on nutrition

6. Evidence from regions affected by climate extremes demonstrates the impacts on nutrition and long term resilience. Studies from the Gambia reveal that women who are pregnant during a hunger gap give birth to smaller babies¹⁰. Longitudinal studies from Malawi have shown a seasonal variation, linked to the annual hunger season, in height gain among young children¹¹. In Ethiopia and Niger, children born during a drought are more likely to be chronically malnourished later in childhood than those who are not¹². The prevalence of chronic undernutrition has been found to increase among Bangladeshi children following flooding¹³. It is estimated that more than 20% of adult

height variation in developing countries (the sign of chronic undernutrition in childhood) is determined by environmental factors, in particular drought¹⁴.

7. Ensuring that development and adaptation investments support improvements in the nutritional status of communities will help to build their resilience¹⁵. However, these investments might not go far enough to protect nutrition outcomes when shocks arise. It is already recognised that nutrition-sensitive interventions crucial for ensuring optimal nutrition outcomes are not currently sufficiently disaster proofed to maintain effectiveness in the face of crisis¹⁶.

Women and disasters

8. Women are more vulnerable to the effects of natural disasters than men. For example a study of 141 natural disasters over 1981–2002 found that when economic and social rights are realised equally for both sexes, disaster-related death rates do not differ significantly for men and women. But when women's rights and socio-economic status are not equal to those of men, more women than men die in disasters¹⁷. In Bangladesh, for example, of the 140,000 people who died from the flood-related effects of Cyclone Gorky in 1991, women outnumbered men by 14:1. Contributory factors limiting women's mobility and use of cyclone shelters were social norms and roles for women including primary responsibility for the care of children, the sick and elderly; social norms preventing women from leaving their homes or staying in cyclone shelters without a male relative; traditional dress codes such as the wearing of *sarees* that can easily become entangled; and concerns around privacy and safety in shelters. Women also represented an estimated 61% of fatalities in Myanmar after Cyclone Nargis in 2008, and 70% of those dying during the 2004 Indian Ocean tsunami in Banda Aceh, Indonesia¹⁸.

9. Empowerment of women is an important ingredient in building climate resilience. There are now a wide range of studies on how empowering women in communities contributes to climate resilience¹⁹. There is also strong and mounting evidence at the country level that improving gender equality contributes to policy choices that lead to better environmental governance, whether through increased representation and voice of women within their communities, in society at large, and at the political level, or through increased labour force participation. In Nepal and India women's participation in forest committees beyond a critical minimum threshold (around a third) has been seen to have a positive impact on forest regeneration and a reduction in illegal extraction of forest products²⁰.

10. There is evidence that where women are empowered to expand their own, their families' and their communities' endowments, agency and opportunities, this can also serve as a powerful springboard for building climate resilience. Good examples of how this can be done are seen in programs that seek to build climate resilience through gender sensitive approaches to supporting rural livelihoods. In pastoral communities in Kenya and Ethiopia building resilience to drought, with a particular emphasis on empowering women to become agents of change, helped communities better manage the risks associated with the 2005–08 drought cycle by generating income, preserving assets and enhancing food security.²¹

Impacts on developing countries

11. As well as suffering the overwhelming majority of deaths, developing countries are highly vulnerable to the impact of extreme climate events because:

- They have less resilient economies and depend more on climate sensitive activities;
- They are often poorly prepared to deal with climate variability;
- They are at risk from mal-adaption due to lack of finance, information and techniques in risk management, plus poor governance;
- There has been little consideration of climate proof investment in areas of growing population; and,
- They are already at an 'adaptation deficit' from low levels of economic development.

12. A region that has seen repeated climate related disasters is the Sahel. The root causes of vulnerability in the Sahel are the lack of resilience to shocks and stresses caused by drought, floods and conflict. Building resilience is vital to break the cycle of recurrent humanitarian crises in the region. The 2012 food and nutrition crisis, and its after effects, are still being felt by millions of people across the Sahel. The crisis disproportionately hit the poorest in society. Many reverted to adverse coping mechanisms such as distress sales of livestock and buying food on credit.

13. In the Sahel both climate change and population growth will lead to increased competition for scarce resources with the real risk that this could fuel further conflict in a region that is already deeply affected by conflict and insecurity. With a reliance on rain-fed agriculture, a lack of infrastructure and few diversification options, the region will be hit disproportionately hard by climate variability and is expected to be one of the worst affected regions globally by climate change. These stresses will be exacerbated by population growth. Annual population growth in Niger for example is over 3.5%, and the population of the Sahel is expected to double by 2050.

14. Severe and persistent poverty means that people in the Sahel are extremely vulnerable to shocks and stresses. Sahelian countries are collectively among the poorest and least developed countries in the world. According to UNDP's Human Development Index for 2011, Niger was ranked 186 out of 187 countries; Chad 183, Burkina Faso 181 and Mali 175. Indicators such as infant mortality, maternal mortality, nutritional levels and health coverage are amongst the worst in the world. Gender inequalities are also some of the highest in the world; in the 2011 Gender Inequality Index Chad ranked 145 out of 146, Niger 144 and Mali 143. Women are key actors in agricultural production, marketing food commodities, family food preparation and consumption, dietary habits, family and community health, and educating children. Yet, they often face persistent obstacles and economic and social constraints limiting their inclusion in decision-making in the field of agriculture and business.

15. There is a very high prevalence of malnutrition in the Sahel. An estimated 645,000 children die in the Sahel every year, with an estimated 226,000 of these deaths being directly linked to malnutrition. Sahelian countries suffer from low levels of education, lack of access to basic services, poor governance and weak markets. High food prices and price volatility have been a major contributing factor to recent food crises in the Sahel, meaning that poor people are unable to purchase food even when it is available, affecting both rural and urban households.

16. Conflict, civil war, military coups d'état, corruption, weak governance and poor human rights records have characterised the region for decades. Niger and Chad have experienced major conflicts in recent years and the recent conflict in Mali, resulted in over 430,000 displaced people²². There is a need for significant, long-term efforts to strengthen governance and political leadership, particularly in fragile states.

17. The early years of the 21st century have seen an increase in the commitment of the international community to reducing disaster losses globally. The International Strategy for Disaster Reduction (UNISDR) is a strategic framework adopted by the United Nations Member States in 2000, to guide and coordinate the efforts of a wide range of partners to achieve a substantive reduction in disaster losses.

18. In 2005, the international community approved the Hyogo Framework for Action; a 10-year plan to make the world safer from natural hazards. In response to the Hyogo Framework, in 2006 the Global Facility for Disaster Risk Reduction and Recovery (GFDRR) was established with a Secretariat in the World Bank. The mandate of the GFDRR is to mainstream disaster risk reduction and climate change adaptation into country development strategies, especially those focussed on poverty reduction, and into the operational strategies of the World Bank in order to support them. It works in partnership with UNISDR.

19. Disaster risk reduction (DRR) and climate resilience now have a higher profile and this is leading to increased support from multilateral and bilateral donors. In providing this it is important to recognise and address the institutional challenges. Building climate resilience can involve global, regional, national, and community financiers and stakeholders but the outcomes of specific interventions are geographically, community or sector specific. Building climate resilience requires that the priorities of the climate vulnerable, who are often the poor and politically excluded, are fully understood and taken into account. An understanding of the institutional complexity is crucial and the participation of local councils, civil society, the private sector and communities will be crucial to the success of any interventions.

20. In summary the climate is changing and is likely to continue to change, although there is uncertainty about precisely how it will change. For the next 20 years or more the main impact of these changes is likely to be an increase in the number and intensity of climate extremes. The potentially devastating impacts of the gradual rise in global temperatures and sea levels are not likely to be felt fully until the middle of the 21st century and beyond. Vulnerability to climate change is, therefore, closely linked to climate-related disasters. Climate is only one factor that will affect vulnerability – some studies suggest that the patterns of socio-economic development may also increase the vulnerability of poor people. Failure to correct 'mal-adaptive' patterns of socio-economic development will increase the risks and damage and loss from climate change.

Part 2: Building Resilience to Climate Extremes

What is climate resilience?

21. The response to the challenges discussed above should be to improve the resilience of people and communities to climate extremes. Resilience can be defined as “the long-term capacity of a system or process to deal with change and continue to develop”. Building climate resilience (Box 2) requires strengthening the ability of households, communities and countries to anticipate, absorb, accommodate or recover from climate

extremes. This means where possible preventing a climate event becoming a disaster by avoiding or mitigating the impacts, and enabling countries and communities to recover quickly.

Box 2: What is Climate Resilience?

Resilience is²³ the ability of a system to bounce back from stresses and shocks. Climate resilience can be defined as “the long-term capacity of a system or process to deal with extreme weather events and changes in climate and continue to develop”.

The concept of resilience, including climate resilience, adds an additional dimension to development thinking. It builds on other approaches such as disaster risk reduction and, livelihoods. It emphasises uncertainty and estimating the level of future risks in complex processes²⁴ beset by uncertainty. Hence, by definition, building climate resilience is not an exact science²⁵.

Climate resilience can be viewed as a set of principles; and a developmental outcome. There is no template for building resilience. So it is essential to define who or what needs to be made resilient and against what kind of future change or shock. The indicators of climate resilience are, therefore, specific to the situation, rather than generic.

Responses

22. The response to the risks posed by climate extremes may take the form of moving people out of harm's way (early warning systems and evacuation plans), shelter/physical protection (sea walls community infrastructure, environmental protection, building regulations), ensuring that essential services, food and water remain available during and after a crisis so that the poor don't have to sell their assets (social protection, insurance, food stocks), promoting resilient livelihoods (livelihood diversification, drought resistant crops), ensuring that information knowledge is available to plan for these actions (climate and weather forecasting and the capacity to assess the risks systematically) and helping communities to recover as quickly and effectively as possible. BRACED is responding to both slow onset disasters (mainly droughts in areas suffering from chronic food insecurity) and rapid onset disasters (e.g. cyclones and floods) it will support a wide range of interventions.

23. Strengthening existing production systems that already successfully operate under conditions of environmental variability and unpredictability is important. This will need to build on existing strategies which combine production systems currently being pursued by some households, and addressing the factors that undermine their ability to help build climate resilient development.

Combining DRR and adaptation approaches to build resilience

24. Disaster Risk Reduction (DRR) is an approach that has evolved from humanitarian relief, to go beyond emergency responses to a planning approach to reduce the risk of disasters occurring and the impact when they do occur. DRR provides a framework to build resilience to climate extremes, through measures including; identifying the risk, transferring the risk (for example re-insurance), avoiding the risk (for example early warnings), and reducing the risk (for example preparedness of infrastructure).²⁶ Disaster risk reduction shares some key characteristics with approaches to building resilience: (1) it is a holistic framework for assessing national systems, communities and individuals, (2) it places an emphasis on capacities to manage hazards or disturbances, (3) it incorporates options for dealing with uncertainty, surprises and changes and (4) it is

proactive. A system that is effective in managing risk is likely to become more resilient to shocks and stresses.

25. A study²⁷ on the economics of resilience in Ethiopia and Kenya clearly demonstrated the need to combine DRR and development together. In Kenya the study found that early response to drought could save between \$107m and \$167m for a population of 367,000 in a single event alone. In southern Ethiopia, with a population of 2.8m, household level data suggest that early response could save between \$662m and \$1.3billion in a single event.

26. The HERR identified that more investment is needed to reduce the risks of a climate extreme becoming a disaster and to protect the poorest and least able to cope from the worst impacts. A key recommendation of the HERR is that DFID should ensure that building resilience is a core part of its programmes by integrating the threat from climate change with other hazards into a DRR approach. BRACED is one of the first DFID programmes to take this approach at scale.

27. Climate extremes differ from the traditional hazards that DRR addresses in some important aspects. Unlike some other hazards (e.g. earthquakes) we know the risks posed by climate extremes are going to increase over the longer term, on the other hand there is considerable uncertainty as to exactly how these changes will manifest and managing climate risks requires being prepared for surprises – for example the one in a hundred year flood happening every ten years. Therefore a flexible approach that can incorporate new information as it is generated is important as well as investment in improved forecasting and knowledge of what works, to reduce uncertainty and enable choice and capacity to respond. There is a need for coherence with climate change adaptation interventions, such as resilient agricultural development, that seek to keep development on track in the face of climate change, and for a joined up approach and understanding between communities of practice on DRR and climate change resilience.

28. The most effective DRR and climate adaptation actions are those that deliver development benefits in the short-term and reduce vulnerability in the long-term²⁸. They combine efforts to tackle the causes of poverty and vulnerability, integrate knowledge of changing risks and build adaptive capacity. The BRACED programme will seek to build coherence across this spectrum, from immediate humanitarian response, to traditional DRR, to longer term adaptation to climate change and resilient growth. It will support two main areas of action are need. First actions to prevent a climate extreme becoming a disaster, and second actions to take when disasters occur to minimise their impacts and enable communities and countries to recover.

29. BRACED will address the HERR recommendation to integrate the threat from climate change into DRR by expanding this approach to explicitly accept the levels of uncertainty around climate events and respond accordingly. It will work across the DRR, social protection and climate adaptation disciplines, and across ‘top-down’ institutional and ‘bottom-up’ community approaches, whilst building evidence on what works and why. Only by embedding efforts to build climate resilience within permanent institutional processes will it be possible to achieve the strategic, coordinated and long-term perspective that an effective response to climate change requires.

What policies and institutional changes are needed?

30. Governments can also influence the broad patterns of macroeconomic development that can build resilience to climate extremes and disasters. We know for example, that macroeconomic stability can help countries recover from extreme events²⁹. We have less evidence on what types of policy work well at building resilience across communities within a country. There are strong positive externalities associated with the knowledge of what works well and less well in economy-wide resilience building.

31. There is also a need for better connections between local and national approaches. For example investment in national early warning systems will have limited impact on the lives of millions of poor people without local investment in, say, cyclone shelters and livelihoods support (safety nets and insurance) so that people can act effectively on the warnings. At the national level and in the context of policy formulation, it is necessary to consider the vulnerability to climate extremes from a sector perspective. For example the water, tourism, health, urban, agriculture, and housing and transport infrastructure sectors are all clear priorities.

32. On the other hand, at the community and household level, planning purely from a sector perspective is less helpful. Poor people have complex livelihoods and it is more appropriate to identify the specific risks communities may face (such as drought, floods, saline intrusion) and build resilience from the perspective of their livelihoods. For example recent climate resilience assessments in the drylands of Kenya have shown that it is better, from poor people's perspective, to focus on measures to make local economies and natural resource governance systems resilient.³⁰

33. Securing land rights is also part of building resilience. There is a need for interventions that support the implementation of new, land tenure legislation, including supporting the development of practical tools that local land institutions can use in their work, and for support to efforts that deal with the social issues.

SECTION B: THE BRACED PROGRAMME

This section provides an outline and summary of the Building Resilience and Adaptation to Climate Extremes and Disasters Programme (BRACED).

Overview

34. BRACED is a two phase programme. In its first four year phase from August 2013 DFID will provide up to £140 million from the UK's International Climate Fund (ICF). Of this £110 million will be to deliver interventions in up to 10 countries and to build the evidence on how to do this at scale to influence policy and institutional changes. This is expected to benefit up to 5 million people, especially women and children, by building their resilience to climate extremes.

35. This will be achieved through: grants to NGOs and their partners (local government, research organisations, UN agencies and private sector) to scale up proven technologies and practices in the Sahel and DFID focal countries at most risk; research and evaluation to build the evidence on what works on adaptation and DRR; and, building national and international capacity to respond to climate related disasters.

36. Subject to performance and availability of funds DFID may continue support under a second three year phase.

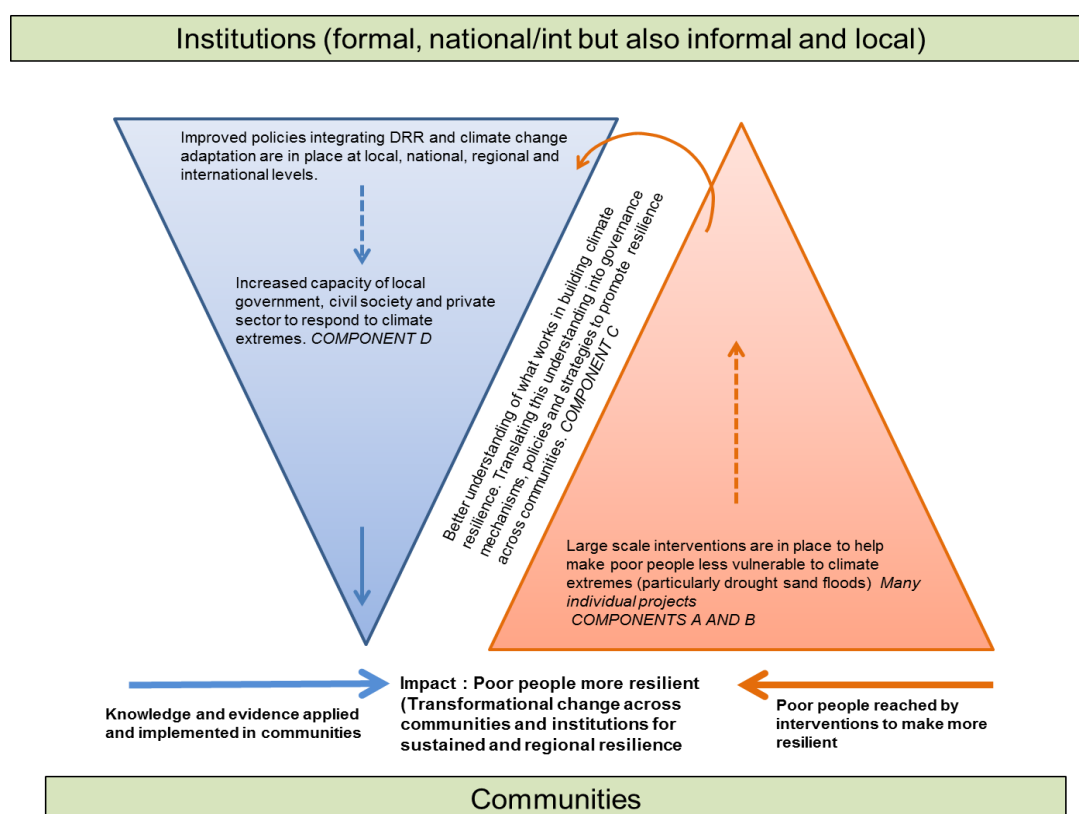
What are BRACED objectives?

37. BRACED is expected to directly benefit up to 5 million vulnerable people, especially women and children, in developing countries by helping them become more resilient to climate extremes. In addition, through improved policies and institutions at the national level and better integration of DRR, climate adaptation and development programmes, the programme is expected to reach and help many millions more.

38. The BRACED Theory of Change is shown in Figure 1. BRACED will seek to achieve its stated impact to make poor people more resilient to climate extremes by two main pathways leading to two outcomes:

- In the short term by the direct impact of funded projects on the improved resilience of men women and children in the communities targeted.
- In the longer term it will aim to achieve a transformational impact on the resilience of poor people in vulnerable communities over time (sustained) and across regions (geographic). It will learn lessons from projects of what approaches work and in what context, and use these to influence policy making and development planning in national and local governments, regional and international initiatives.

Figure 1: BRACED Theory of Change



What are different components of BRACED?

39. To deliver these outcomes BRACED has four Components:

Component A: Grants to consortia, alliances or partnerships of NGOs, local government, private sector and research organisations to scale up actions on the ground to build the resilience of people to cope with climate extremes *in the Sahel*.

Component B: Grants to consortia, alliances or partnerships of NGOs, local government, private sector and research organisations to scale up actions on the ground to build the resilience of people to cope with climate extremes in *DFID focal countries* at high risk of climate extremes.

Component C: Support to build and share evidence on adaptation and DRR and identifying what policy and institutional changes are needed to build the resilience of people in developing countries to climate extremes. A third party will be contracted to act as a Knowledge, Evidence and Research manager to help implement this component.

Component D: Support to build the capability and capacity of developing countries and regional organisations to prepare and plan for the expected increases in the frequency and severity of climate extremes. *This component is currently under design.*

40. Together these four components will directly benefit people at risk from climate extremes, and provide evidence on the importance of, and how to, integrate climate change, disaster risk reduction and development programmes.

How does BRACED plan to sustain its impact?

41. One of the challenges to BRACED is to avoid “just” funding good adaptation projects that build resilience to climate extremes without considering long term sustainability, and policy and institutional change. There are likely to be limits to the extent to which poor communities can develop resilience on their own. Economic diversification may entail better links to markets or seeking jobs elsewhere for parts of the year. Other forms of local support from outside the community may also help break or reduce the efficacy of mechanisms by which communities are indirectly adversely affected by weather and climatic shocks. Most successful interventions for resilience have therefore also aimed to influence policy and help reform local to national governance systems³¹.

42. BRACED will therefore also support a broader set of interventions that improve policies and promote empowerment and accountability. For example, promoting greater transparency in the use of adaptation and resilience funding through participatory monitoring processes.

How will BRACED build evidence and share knowledge?

43. The third component of BRACED will help to build and share knowledge and evidence on adaptation and DRR. It will help BRACED deliver a sustained and transformational impact on people’s resilience to climate extremes, beyond the communities directly supported by funded projects. It will do this by learning lessons and building evidence on what works in different contexts. In doing so it responds to the Foresight report on ‘Reducing the Risks of Future Disasters’³² call for the development of reliable measures of resilience combined with an evidence base on the cost and benefits of different interventions to support decisions on DRR investments.

44. DFID plan to contract a third party to manage the evidence and knowledge component. This organisation will be expected to work closely with all NGOs awarded grants under BRACED. The objectives of the component are:

Dissemination:

- To facilitate peer to peer lesson learning and knowledge sharing for impact across communities.
- To build linkages with research organisations to enable design of well-informed solutions.

Research

- To provide evidence on what interventions work in which contexts to deliver climate resilience, and to support decisions for future investments by institutions.
- To answer strategic evaluation questions on best approaches to resilience building to inform institutional approaches.

Accountability

- To ensure delivery of results of BRACED at portfolio level and provide operational support to ensure monitoring at project level is of a high standard.

45. Knowledge from the grants awarded under BRACED will be a crucial source of evidence for this component. In addition the component will work with the BRACED funded consortia, alliances or partnerships to help develop and implement common indicator methodologies and establish baselines, and provide technical assistance to on-

going monitoring and evaluation for both the project preparation grant phase and full bids phase. It will also undertake strategic evaluations and will work with selected projects to do this.

How will BRACED Monitor and Evaluate impact?

46. The programme as a whole will be monitored against its logframe (see website for BRACED logframe). Reporting will be on a six monthly basis. Programmes will aim to collect monitoring data against the key objectives of this work and relevant indicators from both the ICF and DFID results frameworks.

47. A key part of monitoring and evaluation for BRACED will be the measurement of the impact of projects under BRACED on the resilience of the beneficiaries and communities targeted. The BRACED Knowledge Manager, contracted under Component C, will work with BRACED grantees on development of a set of common indicators for grantees to use. A method for resilience assessment will also be developed by the Knowledge Manager (based on existing approaches). The Knowledge Manager will work with projects to test this methodology. The Knowledge Manager, will provide technical advice to grantees on monitoring. Further details on this are provided in paragraphs 52 to 58 and 105 to 118

Box 3 Potential BRACED Strategic Evaluation Questions

How does combining climate change adaptation and DRR help build resilience to climate change?

What types of interventions are most successful and able to have a sustained impact on the resilience of climate vulnerable people?

Who are the best agents to work through to deliver climate change adaptation and risk reduction and what policy and institutional frameworks are needed to sustain this?

What are the best DRR and adaptations that build women's resilience to climate extreme events?

Are interventions able to reach those who need it most?

What policy and institutional changes are needed to transform how we build resilience of people to climate extremes, including in Fragile States?

48. The BRACED evaluation approach has two main strands:

- First to support a number of experimental technical evaluations through a sub-set of the projects – estimated at around 6. These will use experimental methods and aim to assess the impact of the project on resilience in comparison to control sites, complemented with participatory survey methods. The Knowledge Manager will carry these out in partnership with selected project grantees to increase the evidence base on the systematic cost-benefit analyses of DRR and adaptation interventions. Those projects will be identified within the first year of operations and additional resources will be made available to the chosen projects via the Knowledge Manager.
- The second strand of work will be to conduct up to five strategic evaluations to answer specific questions (Box 3). These questions will be finalised after the assessment of the full project proposals, and BRACED grantees will also be consulted as part of this process.

Development of national and international capability and capacity

49. Component D (still under design) will provide support to build the capability and capacity of local, national and regional organisations to prepare and plan for the expected increases in the frequency and severity of climate extremes. The results of this will be to help build the resilience of communities and reduce the impact of climate extremes on people's lives and property at three levels:

- *National and local level:* integration of climate risk management and adaptation in national strategies and national plans, investment programmes and post-disaster recovery efforts. Improved evacuation planning, better regulations (e.g. codes for disaster-proof buildings) and planning on the provision of critical infrastructure (e.g. flood shelters and defence systems). Building national risk financing and insurance programmes, early warning systems and the capacity of national met offices on weather and climate information.
- *Regional/sub regional level:* building regional capacity to integrate climate risk analysis in planning and investments, to help regional institutions to provide better weather and climate forecasting and early warning, and promoting trans-boundary water/ecosystems management and adaptation.
- *International level:* building the capacity of international agencies to integrate DRR and adaptation into their operations so that they support national and regional partners to address climate resilience in national strategies and policies. This will include policy and analytical work, sharing of knowledge, and, establishment of a community of practice on DRR and adaptation.

50. Component D is also expected to work to link community and local level action with national policies in DRR and climate adaptation, and to learn the lessons on how to scale up actions and the policies and institutions needed for this. This component is under design and details will be provided to BRACED grantees when these are finalised.

SECTION C: GUIDANCE FOR PROJECT DEVELOPMENT PERIOD

This section sets out the processes and actions for BRACED grantees during the project development period. This includes working with the Knowledge Manager, the Fund Manager, and helping develop the BRACED network and portfolio.

Working with the Fund Manager

51. DFID are contracting a Fund Manager to manage all BRACED grants. Prior to this DFID have contracted support from an interim fund manager. This is being provided by Ricardo-AEA through DFID's framework agreement - Professional Evidence and Applied Knowledge Services (PEAKS). During the Project Development Phase you will be expected to work with the interim BRACED Fund Manager, and when appointed with the permanent BRACED Fund Manager.

Working with the Knowledge Manager

52. DFID is also contracting a Knowledge Manager to support the implementation of the BRACED programme. Prior to this DFID are planning to contract the support from an interim knowledge manager through DFID's framework agreement - Professional Evidence and Applied Knowledge Services (PEAKS).

53. Given the short tenure of the interim Knowledge Manager role, the work of the interim Knowledge Manager will not cover all of the terms of reference for the permanent Knowledge Manager. What the interim Knowledge Manager will do, and what BRACED grantees can expect is summarised in this section. There will be a handover period between the BRACED interim Knowledge Manager and the BRACED permanent Knowledge Manager roles to ensure the transition is as seamless as possible and there is consistency of guidance to BRACED grantees as far as possible.

54. During the Project Development Phase you will be expected to work with the interim BRACED Knowledge Manager, and when appointed with the permanent BRACED Knowledge Manager. This will involve a number of webinars/workshops and advice for BRACED grantees. We expect all BRACED grantees to fully engage in these sessions during the project development period, and to ensure your inputs to the Knowledge Manager's work are delivered in a timely manner.

55. The Knowledge Manager will be responsible for developing the overall M&E framework for BRACED, and to develop guidelines for identifying and measuring baselines and indicators for BRACED grantees. This is to help ensure that there is a

consistent and common approach to monitoring and evaluation and measurement of resilience to climate extremes across the BRACED portfolio.

56. The interim Knowledge Manager is expected to be in place as soon as possible after the tender for the Knowledge Manager has closed (approx. 21stth Feb) and will be available to support all grantees^a. The interim Knowledge Manager will communicate with all BRACED grantees on their role and what support BRACED grantees can expect. This support from the interim Knowledge Manager (and permanent Knowledge Manager) during the project development period is expected to include:

- Written guidance on M&E, results frameworks and evaluation plans for BRACED projects.
- Virtual and physical meetings with BRACED grantee staff working on the development of their BRACED project M&E plans.
- Technical comments on BRACED project M&E plans.
- Helping identify synergies between different BRACED projects and facilitating the sharing of best practice.

57. BRACED grantees will be responsible for finalising their project M&E plans, results frameworks and theories of change. Any input from the Knowledge Manager is advisory, and they will not formally approve M&E plans before submission of full proposals. The Knowledge Manager is not responsible for the delivery of any of the BRACED grantees outputs during the project development period.

58. The BRACED interim Knowledge Manager should be in contact with BRACED grantees in March to provide further details on the support they will provide. This information will also be placed on the BRACED web page. As will information on the permanent Knowledge Manager after contracts have been finalised.

What is a BRACED Consortium?

59. As described in the guidance for concept proposals DFID is expecting full grants to be delivered by consortia, alliances or partnerships. Grantees can decide to develop formal consortium or apply as an informal consortium (with a designated lead) and can, if they wish, establish themselves as formal consortia during the project development phase.

60. Informal consortia, where two or more organisations work together on a specific project or initiative only, will be considered as partnerships or alliances where the partnership or alliance is not a legal entity. Informal consortia, alliances and partnerships can apply but in this instance one organisation will be required to lead an application and enter into agreement with DFID and be accountable for the use of all funds.

^a The term 'Grantee' is hereafter used to refer to all consortia selected to implement BRACED projects (whether or not in receipt of an actual grant).

61. Formal consortium applications are defined for the purposes of BRACED as those submitted where two or more organisations have come together to create a legally constituted organisation. All formal consortium members must meet the BRACED organisation and partner eligibility criteria.

62. If a formal consortium does not have its own management structure, one member of the consortium will need to be elected as the “lead organisation”, i.e. the organisation through which all funding would be channelled and who would operate as the main point of contact with DFID for the duration of the project.

Project development grant payments

63. An Accountable Grant will have been agreed by DFID to grantees who are in receipt of a project development grant. The Accountable Grant agreement sets out all terms of the funding partnership and expectations of both parties. DFID will only realise funds after signing of Accountable Grant agreements. Grantees must follow the conditions in their agreements on release and use of funds.

64. DFID recognises the importance of remaining flexible and pragmatic throughout project implementation and will consider changes to ensure the most effective use of funds. DFID should approve changes to the overall impact and outcome of projects and any significant changes in outputs. Requesting a significant change may necessitate a re-examination of project purpose or implementation. DFID must approve any changes that require the movement of more than 10% of the total budget between budget line sub-headings. An updated logframe, Gantt chart and budget may also be needed when requesting changes. Any requests for changes in the first instance should be address to your Monitoring Officer (para 66).

65. No extension to the project timescale are expected given grants are for a six month project development period. However, if circumstances outside the control of grantees occur that impact on delivering the expected outputs in the project development period grantees must inform their Monitoring Office as soon as possible. The Monitoring Officer will consult with DFID to determine the best course of action.

Reporting during the project development period

66. Each grantee will be allocated a BRACED Monitoring Officer who is a member of the interim Fund Manager’s team. When the contract for the permanent Fund Manager is finalised a member of the permanent’s Fund Manager team will take over this role.

67. BRACED grantees will undertake their own project monitoring. There will be expected to provide reports on their project’s progress to their appointed Monitoring Officer. The narrative reporting will be as follows:

- A brief monthly narrative (due by the 15th of the following month).
- A final financial and narrative report within 30 days of the end of the project.

68. The Monitoring Officer, as DFID’s agent, will review all reports and will address any issues in these and contact grantees accordingly. They will be the first point of contact between BRACED grantees for any project reporting.

69. Recommended Formats for all reports will be found on the DFID website at: <https://www.gov.uk/building-resilience-and-adaptation-to-climate-extremes-and-disasters-programme-braced>.

ICF resilience study and relevance to BRACED

70. DFID has commissioned a study to review approaches to measuring and evaluating the impact of ICF adaptation programmes on the resilience of beneficiary households and communities. Using this analysis it will design a bespoke methodology for DFID, and assess the extent to which this can be applied to the ICF portfolio, including the BRACED programme. The objectives of this study are to:

- Review the literature on existing resilience and livelihoods evaluation methodologies and (using a set of criteria) assess their applicability to BRACED and other programmes and projects in the ICF portfolio.
- Using the analysis of existing approaches, design a methodology to assess the impact of ICF adaptation programmes on community and household resilience.
- Conduct an evaluability assessment of the ICF programmes to identify which programmes in the ICF portfolio will be able to implement the methodology.
- Produce a technical report on resilience evaluation that draws together the key findings and challenges identified during the literature review and methodology development.

71. The results of this study (expected by the end of March 2014) will be available to BRACED grantees as a resource to help them in the design of their M&E systems. It will not be a blueprint of what grantees have to do but will help them in finalising indicators and methodologies for how best to measure resilience.

Expected outputs from the project development period

72. The project development phase is expected to generate defined outputs, and act as a standalone project, as well as supporting the development of the full BRACED project. This should include all the outputs that BRACED grantees have stated they will deliver in their concept proposals and logframes for the project development period. These covered a number of areas including:

- To strengthen consortia to implement scaled up projects. The establishment and effectiveness of these consortia will be a criteria condition for successful bids for full proposals. Additional partners for consortia can be identified during the development phase.
- Undertake pilot work and studies, where necessary, to provide more evidence on the costs and benefits of the proposed approaches – including details on the unit costs of proposed actions. This will be essential evidence for the assessment of full proposals.
- Develop a results framework with baselines and milestones, and clear theory of change and an evaluation framework in partnership with wider BRACED programme.
- Document lessons learnt and best practices that can be shared under the knowledge management component. These should be made available/published in the public domain by the end of the project development period.

In addition grantees are expected to:

- Engage with other BRACED grantees in-country, regionally or globally to explore synergies and opportunities across projects, develop joint activities where possible and strengthen the BRACED knowledge sharing community.
- Strengthen any areas in the project as identified during the appraisal of project concepts by the BRACED board and communicated to grantees. Some generic issues were:
 - To strengthen how projects would empower women and girls;
 - To build stronger partnerships with research and private sector organisations;
 - The need for greater involvement of local and national organisations; and,
 - To strengthen engagements with local, sub-national and/or national governments to inform policy and institutional change through practice.

Generating knowledge from the project development period

73. An essential output during the project development period will be on: sharing and disseminating lessons and evidence; and, building knowledge on best practices to build resilience to climate extremes.

74. The Knowledge Manager is expected to assist in wider dissemination and provide a platform to share knowledge. Grantees are expected to have a leading role in this, and can propose and implement their own actions. Grantees PDG reports and full proposals should clearly state what has been achieved. Full proposals should also demonstrate how this will be taken forward under full projects, and grantees should develop project specific communications strategies that contribute to overall BRACED programme objectives.

Working with other BRACED grantees

75. DFID has already shared all concept notes for each BRACED project with grantees to help to build the BRACED knowledge sharing community. DFID will also share full project proposals with BRACED grantees. There are also likely to be considerable synergies in the field of monitoring and evaluation, and grantees are encouraged to share knowledge and best practices in this field with each other and beyond.

76. BRACED grantees will be expected to participate in a number of BRACED webinars/workshops/forums during the project development phase. DFID and the Knowledge Manager may suggest logical groupings of BRACED PDG projects (such as by location or action type) and projects are encouraged to engage with other BRACED consortia in sharing approaches and lessons learned.

77. During the project development phase, projects can take the initiative and work together where there are clear synergies and opportunities to do so. DFID would welcome this. Later in the project development phase, the Knowledge Manager may suggest other opportunities for projects to work together. This is expected to build upon any collaboration already developed. DFID expect these activities to be undertaken within existing project budgets, and that these could lead to reduction in costs.

78. DFID expect BRACED to be more than the sum of its parts, and for development of a network amongst BRACED grantees. Therefore DFID is looking for BRACED grantees to work together to achieve this.

Working at a country level

79. In some countries there will be a number of BRACED projects operating. This will present opportunities for synergies between different projects (e.g. common approaches, sharing of expertise and analysis, joint training and joint workshops on sharing knowledge – these could lead to significant savings in projects) and also potentially the need to coordinate activities if projects are working in the same geographic locations and/or with same partners. BRACED grantees should make contact with the leads of projects which are working in the same country to determine how best to maximise synergies and what coordination is needed between projects (and between organisations within consortia) under full grants.

80. Joint activities can be developed during the project development period and designed for the full grant period. PDG activities will need to be part of what grantees have proposed and agreed with DFID under their project development grants. If these are different then DFID's agreement to any changes must be secured before these are undertaken. For the full projects there will be opportunity to adjust budgets that are based on any joint activities during the grant negotiation phase should one of the projects not be awarded a full grant.

Working across countries and regions

81. There will also be potential synergies and opportunities for BRACED grantees to work together across countries and/or regionally. DFID would welcome grantees exploring these opportunities and proposing on what they plan during under full grants. In doing so it will be important that this is within the planned budgets of the projects, and grantees should be looking for savings from any collaboration. DFID also expects the Knowledge Manager to support regional actions.

Working with other initiatives

82. DFID would welcome BRACED grantees delivering links with other initiatives that are helping build the resilience of people to climate extremes during the project development period. This can include determining how they will work with these during the full project. It can also include the development of co-financing of BRACED project activities.

Working with local and national governments

83. Local government needs to be strengthened to support climate resilient livelihoods and economies and projects should consider how they can best help build public support for decentralisation. Decentralisation reforms also offer an institutional framework that lends itself to building climate resilient livelihoods. Issues to be considered include:

- How to build citizenship and the capacity of local people to hold government and other institutions that govern them to account.
- Targeting under-privileged and marginal groups to redress entrenched inequality (especially the position of women).

- Use of local development funds to strengthen financial autonomy.

84. The increased vulnerability of people to climate extremes can be a function of poor governance. Ordinary people have often preferred to keep at a distance from the state rather than expecting its support. This lack of trust and failure of the state to deliver on basic service provision represent major challenges. To address this the following actions can help:

- Develop accountability mechanisms
- Increase the capacity of the individual to engage with the State, especially amongst particularly vulnerable or isolated groups (e.g. pastoralists).
- Build understanding of the issues at stake, and how they can participate in and influence the local decision-making processes that affect their lives and livelihoods.

85. It is therefore important for BRACED grantees to demonstrate how they will work with local and national governments, and the level of support they have with government. In situations this will be more challenging especially in post conflict and fragile states, and especially in those where there is on-going conflict.

Working with private sector

86. The majority of BRACED grantees indicated they would be working with the private sector. However, this is an area that grantees should look at strengthening in how they work with the sector, and whether to explore including private sector organisations as part of their consortium.

Working with research organisations

87. Similarly the many BRACED grantees include research organisations as part of their consortia and/or have strong links with research organisations. However, for BRACED projects this is an area that could be usefully developed. Both in terms of consortia having access to the latest research on practices and approaches, and also in terms of informing research gaps and future research programmes. It is also expected that the Knowledge Manager will also help grantees in developing links with relevant research programmes supported by DFID and other organisations.

How should beneficiaries be involved?

88. In addition to the requirement for grantees to work with partner organisations in each the project country there must also be clear mechanisms in place to enable beneficiaries to participate in the design, management and implementation of the project. This is expected to help enhance the sustainability of the project after DFID funding has ended. It is expected that beneficiaries will be involved during the project development period. This needs to be handled sensitively to avoid any raised expectations as there is no guarantee that full grants will be awarded to all PDG grantees.

Working with DFID country offices

89. The engagement with DFID country offices within the BRACED programme will happen at different levels. DFID will inform all country offices of BRACED projects. DFID country offices will determine how they would like to engage with the BRACED grantee projects. This could take the form of meetings with in-country project coordinators, or

visits to project sites to understand the experience from BRACED projects on resilience, or to be simply aware of BRACED projects but with little contact with them.

90. All BRACED grantees should consult, through the Fund Manager, with the DFID BRACED team prior to any contact with DFID country offices. In addition, the BRACED Knowledge Manager will also be expected to maintain regular contact with the DFID country offices to share knowledge on building resilience to climate extremes and potential synergies between BRACED projects and other DFID country or regional programmes.

Working with Component D

91. Component D is under design and when it is finalised BRACED grantees will be informed of its work and scope. It is likely that Component D will focus activities on only two or three countries to help build national capacity on building resilience to extreme events. This is likely to be independent to any work BRACED grantees are undertaking on capacity building an informing policy, and there are unlikely to be any direct links. There are likely to be links in sharing knowledge on what works, and this is expected to primarily link to the work of the Knowledge Manager. Further guidance on this will be provided for the full project implementation period.

SECTION D: GUIDANCE FOR FULL PROPOSALS

This section provides guidance for completing full proposals under the Building Resilience and Adaptation to Climate Extremes and Disasters Programme (BRACED).

What can be changed from the Concept Note submission?

92. DFID expect the main elements, objectives, outputs and activities of the full proposal to follow what was proposed in the original concept note application. Clearly the project development period should be used to strengthen and elaborate the concept proposal into a full proposal and this may mean changes are necessary and desirable. Where any changes are made these will need to be explained and justified in the application form. Further information on acceptable changes is given in the following sections.

Can project titles change?

93. Your project title is not expected to change significantly from the Concept Note application submitted in November 2013. If changes are made, titles must be clear and concise and written in plain English which is no more than 200 characters including spaces. The title should be one sentence which includes 3 pieces of information:

- What change the project will make;
- the number of direct beneficiaries;
- The country(ies)/region in which the project will take place.

Can countries and locations change?

94. No changes in the countries where projects are working are allowed but changes to regions/localities within a country are permitted. Any changes need to be detailed in the full proposal form.

Can changes in consortium members be made?

95. During the project development phase changes to partners can be made to strengthen the consortium – for example greater involvement and engagement of local and national organisations. Any changes must be detailed on the full proposal form.

What project activities can be supported and/or changed?

96. Grants are expected to support activities that will build the resilience of individuals, households and communities. There are a wide range of interventions that BRACED will support to build resilience to both slow onset disasters (e.g. droughts) and sudden onset events like cyclones and floods. Interventions range from community based adaptation and planning, technologies and improved land management, water harvesting and water storage, flood protection and early warning schemes, access to weather/climate information, better nutrition, and provision of reliable and affordable energy. They will also include activities that particularly target and empower women, and wider aspects of empowerment and accountability.

97. Consortia have set out what interventions they plan to scale up and how these will build resilience to climate extremes. The project development period can be used to develop these further. Interventions can be changed from the concept proposal if the project development period has identified the need to change from the initial plans. Full proposals should provide evidence of the expected benefits and costs of proposed interventions.

How should projects empower women and girls?

98. All BRACED initiatives must demonstrate appropriate consideration of gender issues within the project, including analysis of barriers and opportunities for women, girls, men and boys. They should also demonstrate how they will address the specific challenges that climate related disasters present to women and not just simply disaggregate data by gender.

99. Full proposals must set out the steps grantees plan to take to maximise opportunities to help empower women, including in decision making, and build their resilience to disasters. Projects can undertake gender analysis and other activities that can help empower women and girls.

100. For more on DFID's approach to improving the lives of girls and women see <https://www.gov.uk/government/policies/improving-the-lives-of-girls-and-women-in-the-worlds-poorest-countries>. The IDS Bridge programme has useful information on gender and climate change. An example is the paper [Gender-Responsive Strategies on Climate Change: Recent Progress and Ways Forward for Donors](#). A review commissioned by DFID on *Women, girls and disasters* can be found on the BRACED web site.

What will be the environmental impacts of the project?

101. BRACED grantees should identify the positive and negative environmental impacts of their projects, and set out how they will enhance positive impacts, and mitigate or avoid these impacts in the full proposal form. The application form also includes, as an annex, a template for a summary of BRACED grantee's climate and environment appraisals.

What will the project do to sustain its impact?

102. Full proposals must discuss and identify how the impacts of the projects are sustained after the end of DFID funding. This will need to include explanation of any systematic and transformational change the project intends to contribute to. This can include how will businesses and markets will help to sustain the benefits of the projects after their end (e.g. continued access to markets, provision of services and technologies by local private sector enterprises), and how governments will be building on the evidence created by BRACED projects to enable robust institutional governance mechanisms and inform more effective policies.

What policy and institutional actions are expected?

103. An objective of BRACED is to help learn about-- what policy and institutional changes work best at building resilience across communities within a country. We

therefore expect all full proposals to be able to demonstrate how their work at the grassroots will inform local and national policies.

104. It is therefore important that projects should not be “standalone NGO projects” but demonstrate how they are connected to national institutions and organisations. To do this they will need to have strong engagement with local and national government bodies (including Parliaments and relevant ministries and parliamentary committees), and strengthen connections between representative bodies and CSOs to help build accountability.

How should projects develop Monitoring and Evaluation Systems

105. BRACED grantees will be responsible for finalising the M&E systems for their own project that are proportionate and effective, and allows for comparison across the BRACED portfolio.

106. DFID have developed a set of key performance indicators for the International Climate Fund (ICF) to which ICF funded programmes including BRACED contribute. Details of the ICF indicators can be found on the BRACED programme website.

107. All BRACED projects should contribute to some of the indicators and targets in the BRACED logframe. A copy of this logframe can be found on the BRACED web site. In particular projects are expected to contribute to one or more of the following indicators:

- Number of people helped to cope with climate change. Disaggregated by direct and indirect beneficiaries^b, programme type, gender, age and poverty levels of beneficiaries.
- Number of people whose resilience to climate extremes and disasters has been improved. Disaggregated by programme type, gender, age and poverty levels of beneficiaries.
- Number and type of assets protected or improved per household.
- Number of countries where climate information is used to inform responses to climate extremes has improved.
- The number of countries where the extent to which planned interventions are likely to have a transformational impact.

108. The International Institute for Environment for Development (IIED), with support from DFID, is working with partners to develop and pilot a framework for the monitoring

^b See BRACED methodology note:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/251942/guidance-definition-direct-beneficiaries.pdf

and evaluation of climate change adaptation called 'Tracking Adaptation and Measuring Development' (TAMD). While this framework is still being tested the [TAMD website](#) is a useful resource and has nine 'off the shelf' methodologies to help track adaptation and development.

109. The report of the resilience study discussed in paragraph 70 will also be a source for methods and indicators for BRACED grantees to use.

110. Projects are advised to review these and other relevant studies to help determine which indicators will be applicable to their BRACED project.

111. In addition the Knowledge Manager will provide advice to grantees on indicators and results frameworks. You will be expected to integrate these indicators (as appropriate) into your project M&E plans. The Knowledge Manager will develop a framework and process for grantees to contribute to BRACED logframe indicators and will provide guidance on how to do this. Further guidance on the role of the Knowledge Manager during the implementation projects will be provided when full grants are awarded.

112. Projects will be expected to contribute to Knowledge Manager activities regarding development of the M&E framework (including participation in webinars/workshops) during the implementation of full projects. Additional budget will not be provided for this. Current expectations are for this to take place via webinars/workshops initially, but the final approach will be proposed by the permanent Knowledge Manager.

113. Responsibility for data collection and project level output monitoring and reporting against the logframe will lie with the grantees. Baseline, milestone and target data should be obtained at project level by the grantee responsible for each project's delivery. Data must be disaggregated by gender, age and vulnerability to allow effective tracking of who is benefitting from BRACED interventions. Data sources are expected to include project level management systems and national statistics in relevant countries. Where the required data is not available from these sources then independent data collection may be commissioned. Baselines for all indicators should be completed within 6 months of the commencement of the full phase, but ideally these would be done during the project development period. Establishing a baseline during the project development period should contribute to the development of project logframes and Theories of Change in BRACED full proposals

114. DFID expects grantees during the implementation of full projects to keep their monitoring and evaluation systems under review, and propose changes to these. This can include changes to projects' log frame. Any changes will need to be agreed with the Fund Manager particularly on milestones. The Knowledge Manager will also be available to advise on changes to M&E systems.

Strategic and thematic evaluations

115. In addition to project monitoring DFID will be commissioning thematic and strategic evaluations through the Knowledge Manager. Organisations in receipt of grants will be expected to engage with the Knowledge Manager on this. During the project development period the Knowledge Manager will commence work on finalising the questions for strategic and thematic evaluations. Participation by BRACED grantees in helping develop these questions will be welcomed by DFID.

116. The Knowledge Manager is expected to conduct experimental evaluations through a sub-set of the projects (up to 6). The Knowledge Manager will carry these out in partnership with selected project grantees to increase the evidence base on the systematic cost-benefit analyses of DRR and adaptation interventions. Those projects will be identified within the first year of operations and additional resources will be made available to the chosen projects via the Knowledge Manager.

Measuring resilience

117. All projects supported under BRACED will be expected to work with the Knowledge Manager on developing and testing a methodology to assess the resilience of the target beneficiaries or communities. The methodology for this will be developed by the Knowledge Manager based on existing approaches and to be adapted by projects. The Knowledge Manager will work with projects to test this methodology. Full project proposals should demonstrate that the organisations have the capability and skills to do this.

118. While the BRACED resilience methodology will be linked to the project M&E system, it is not intended to be an exclusive measure of project impact or a substitute for overall project M&E. Projects can and should measure other benefits including other dimensions of resilience.

What can be funded under full BRACED grants?

119. Full grants can be used to cover reasonable and justified costs of the following activities:

- Costs of materials, goods and services that are required to scale up actions on the ground to build resilience to extreme events.
- Staff costs.
- Training and capacity building activities.
- Monitoring and evaluation of the project.
- Meetings and workshops. These should be kept to a minimum and virtual meetings should also be used to reduce travel and associated costs.
- Travel. Any air travel must be in economy. DFID's strong preference is to pay actual expenses (see paragraph 120).
- Lesson learning and knowledge sharing actions.
- Communications to help deliver results and share these more broadly.
- Administration, management and coordination costs.

120. DFID's preference is the payment of actual costs of expenses and not to pay per diems, subsistence and other allowances (e.g. to attend meetings). However, if per diems and field allowances (and rates) have been agreed by development partners and national governments then we will consider paying per diems. DFID will not pay sitting or meeting allowances. The project budget should clearly set out what is proposed and costs justified. Grantees must justify any request for staff subsistence and per diems, and provide full details of these.

121. Training costs are allowed as are small grants for equipment or other costs that are essential to implement the project.

Can budgets change?

122. We do not expect total budget to increase above the total given in the concept proposals. In fact DFID expects grantees will review and develop their budgets during the project development period to ensure costs savings are made that deliver better value for money.

How should budgets be presented?

123. Grantees are asked to present project budgets under the headings in Table 1 adding individual budget lines to suit your project. This should be completed in Microsoft Excel. The budget should be accompanied by a budget narrative. Please note:

- All budgets should be in British Sterling (GBP). DFID will not make any changes due to changes in rates of exchange after budgets for full projects have been agreed.
- Indicate any exchange rate assumptions or inflators used for multi-year budgets.
- Breakdown budgets in to UK financial year (1st April to 31st March).
- For projects divided into clear phases, please indicate what proportion of the total DFID contribution will be required at each phase.
- State the forecasted cost of actual goods and services delivered, as a proportion of total project costs.
- Indicate if the support requested from DFID is for the whole project or for specific line items, and report expenditure accordingly, explaining lump-sum purchases.
- Include any co-financing/cost-sharing arrangements with other donors so that DFID contribution can be seen by line.
- Outline and disaggregate any intermediary transaction costs where your organisation is sub-contracting to partners. Please also provide a separate budget breakdown for each individual implementing partner.

124. The inclusion of a budget narrative after the main table makes the decision-making process quicker, as the Fund Manager is less likely to revert to your organisation with additional questions. Include a breakdown of individual budget lines where required (e.g. 'tool & seed package' narrative should detail the contents).

125. Describe how value for money, cost-effectiveness and ethics will be ensured in procurement and contracting (have you considered for example: fair and open competition, local and regional purchase, maximising use of local staff, hire of vehicles instead of purchase, use of existing assets and contingency stocks).

126. In delivery of the work, projects may transfer money between budget lines within any budget sub-heading. Where changes to any line are less than 10% of their previous value you do not need to seek approval. However, if you want to make a transfer which changes the previous value of a line by 10% or more, you must request prior approval from DFID.

Table 1. Template for BRACED Budgets

Budget line		Item	<i>Add columns to reflect, unit cost, costs per consortia, contributions from other donors as necessary</i>
A. Supplies and materials	A1 A1.1 A2 ...	<i>Organise this section by sector of intervention and by clear specific budget line</i>	
B. Logistics	B1 B2 B3 B4 B5	Procurement: Transport: Storage/security: Office Other (specify):	
C. Personnel	C1 C2 C3 C4	<i>Personnel costs including salaries, allowances, fees, insurance and other employment costs (give approx. breakdown in budget narrative)</i> In-country national staff: Expatriate staff: Off-shore staff: Management and support costs Other (specify):	
D. Personnel support	D1 D2 D3 D4 D5	Staff subsistence/housing (justify if required): Staff travel: Communications: Security: Others (specify):	
E. Monitoring and Evaluation	E1	<i>Breakdown costs of the M&E of the project</i>	
F. Knowledge and lesson learning/sharing	F1	<i>Breakdown costs of actions on lesson learning and sharing of knowledge. This can include communications</i>	
G. Capacity building	G1	<i>Breakdown costs of capacity building and training activities of the project.</i>	
H. Capital items	H1	<i>List all items of capital expenditure</i>	
I. Contingency	I1	<i>Indicate areas this would cover e.g. force majeure</i>	
J. Administration (Indirect Cost Rate)	J1	<i>This should not normally exceed 7% of the total of A to H; higher proportions should be justified in the budget narrative on the basis of itemised actual costs.</i>	
Total proposal costs			
Funding source	K1 k2 K3 K4	Your organisation: Other donors (specify) requested: Other donors (specify) confirmed: DFID:	

Balance of budgets

127. As well as full justification of budgets it will be important these are balanced budgets across the different members of the consortium, and that budgets are targeted at delivering results with the majority of expenditure in-country.

What are allowable administrative costs?

128. Costs for administration should not normally exceed 7% of the total of A to E in the table above; higher proportions should be justified in the budget narrative on the basis of itemised actual costs.

129. Administration costs can cover internal project translation costs if they are necessary for producing the project deliverables. The Fund Manager and Knowledge Manager will be aware of language requirements, especially in the Sahel, so translation costs should primarily be focussed on the written deliverables.

How will BRACED payments be made?

130. Due to the nature of the BRACED programme, DFID has decided not to use a formal payment by results mechanism.

131. Payments will be only made by the Fund Manager after an agreement has been signed between the BRACED grantee and permanent Fund Manager. Further details on payments and financial requirements will be provided by the Fund Manager. It is expected these will include the requirement for detailed statements of expenditure, projected expenditure statement and request for funds in the format that will be specified by the Fund Manager.

132. Payments will be made quarterly in arrears upon receipt of a detailed statement of expenditure. They will be made on satisfactory progress against the projects work plan. Annually the Fund Manager will review progress against delivery of milestones in the BRACED grantees results framework, and evidence on the delivery of value for money. Continued funding will depend on this review determining satisfactory progress.

What information is needed about consortium management and teams?

133. The quality and experience of the consortium staff will be important in helping BRACED projects deliver their objectives. Details of the consortium team should be given in the full proposal and demonstrate that they have the expertise and experience to deliver the full programme. The CVs of leads and key staff for the consortium should be provided in the format provided in the application form.

134. The successful delivery of the BRACED projects objectives and results will also depend on how well the consortium is managed. Details on the management, governance structure and differing roles of consortium members should be set out in the full proposal application form.

How should projects demonstrate Value for Money?

135. Value for Money in the context of the BRACED programme is about maximising the impact of each pound spent to improve poor people's lives. Put simply, value for money is about obtaining the maximum benefit with the available resources. All project proposals will be subject to a full value for money assessment, and should clearly demonstrate how they will deliver value for money during their implementation.

136. There is a lot of information available on different aspects of assessing value for money in grant programmes. The BOND paper: [Integration of value for money into the programme life cycle \(Jan 2012\)](#) presents key value for money questions relevant to project identification, planning, implementation and monitoring and evaluation and

learning for NGOs. Further [DFID guidance](#) on value for money is provided on DFID's website.

137. BRACED grantees must ensure that any procurement using DFID funding meets international good practice. It should be untied and free of narrow national self-interest, using transparent processes, fair and open competition, and good contract management, including prevention of malpractice. BRACED funding can be used to improve the quality of procurement systems so that these help deliver value for money.

138. BRACED grantees should source goods and services from suppliers that offer value for money, and whose work place practices meet corporate social responsibility standards. Grantees should maintain an Inventory to detail all items of equipment purchased above £1000.

139. Please present your project's approach to Value for Money under the relevant sections in the Full Application Form.

140. It will be important for BRACED grantees to submit evidence in their full proposals on how they will deliver value for money. While evidence will depend to some extent on each project the following table provides the types of evidence that can be used. Table 2 give examples of evidence and also indicates what is essential and what is desirable. DFID expects that all grantees will provide what is essential in their full proposals.

Table 2. Evidence of Value for Money

Type of Evidence		Examples of evidence (Key: ^E - essential, ^D - desirable)
1.Economy: Purchasing inputs at the right quality and price		
a.	Evidence of achieving cost-efficiencies through improved quality of procurement systems and services	<ul style="list-style-type: none"> No. of direct recipients in each programme year (households and individuals) ^E Total programme administrative costs, by year and overall (using categories given in budget template). ^E % of total costs attributed to different partners implementing the programme. ^D Evidence of scrutiny of procurement procedures to ensure that inputs (personnel, materials, equipment and services) of the requisite quality are being obtained at the best possible prices. ^D
b.	Evidence of reduced or optimised administrative costs (<i>Inputs are things such as staff, consultants, raw materials and capital that are used to produce outputs</i>)	<ul style="list-style-type: none"> Description of the main components of administrative costs (using categories given in budget template). All costs should be covered to the extent possible, including both direct costs (attributable entirely to the programme) and indirect costs (costs of resources not uniquely accountable to the programme). ^E Total other costs per year (including non-quantifiable costs) (examples include: costs to beneficiaries and other costs such as adverse labour market effects as appropriate). ^E Cost per unit of output and ratio of administrative costs to total costs. ^D
c.	Evidence of commitment to reduce costs over time	<ul style="list-style-type: none"> Forecasts of how the main components of administrative costs (using categories given in budget template) are expected to move over time. ^D Grantees should set out what their approach to monitoring cost-efficiency will be at all stages (design, implementation and evaluation), to ensure that the different programme input costs in the different programme areas are being minimised. ^E Evidence of checking cost-efficiency against national and international benchmarks, commenting on context, programme scale/maturity and other determinants. ^D
2. Efficiency: How well we convert inputs into outputs		

	Type of Evidence	Examples of evidence (Key: ^E - essential, ^D - desirable)
a.	Evidence of the kind of outputs grantees will generate based on their inputs (staff, office materials, vehicles, etc.);	<ul style="list-style-type: none"> • A well-articulated result chain demonstrating expected programme outputs. ^E • Clearly laid out outputs (as in logframe) such as number of beneficiaries in each year of the programme; other outputs such as community assets created, staff trained etc. ^E • Specific, measurable and time bound targets at output levels in the logframe. ^E • Where relevant, grantees should set out how they will collect unit cost data for planned outputs set out in the logical framework (for example the costs of building a storm shelter, an early warning system or the costs of delivering a community planning workshop). ^D
b.	Evidence of good processes in place to convert inputs to outputs – e.g. financial management systems;	<ul style="list-style-type: none"> • Evidence of scrutiny of management organization, implementation approaches and technical design to ensure that inputs ^E are being used to achieve envisaged outputs as efficiently as possible. ^E
c.	Evidence of monitoring systems to track progress?	<ul style="list-style-type: none"> • A robust M&E framework being built into the programme design based on the logframe. ^E • Integration of both ex ante (appraisal) and ex post (evaluation) analyses of VfM, and monitoring during implementation. ^D
3. Effectiveness: How well we convert outputs into outcomes and have impact		
a.	Evidence of theories of change in place on how outputs will lead to improved resilience? From both the programme lifetime and into the future	<ul style="list-style-type: none"> • Demonstrated use of high quality, relevant and reliable in-country evidence (e.g. programme evaluations, national surveys, published research) and/or international comparisons to develop the theory of change for the project. ^D • A clear and well-articulated results chain based on the theory of change, demonstrating expected resilience benefits of the programme. ^E • Evidence of specific, measurable and time bound targets at output and outcome levels in the logframe. ^E • Grantees should set out their approach to measuring cost-effectiveness of their project. This could be done through measuring costs against outcomes and impacts as opposed to simply outputs; and comparing costs of alternative ways of achieving desired outcomes and impacts. The approach could include consideration of critical cost-effectiveness drivers (e.g. whether and who to target, systems for programme implementation). ^D • Evidence of the approach to conducting an economic appraisal of the project (for example cost-benefit analysis, cost-effectiveness analysis or multi-criteria analysis) at design and evaluation stages. ^D • Illustration how the M&E system will be flexible ^D to incorporate changes in programme design ^D
b.	Evidence of the transformative potential of projects (see ICF definition)	<ul style="list-style-type: none"> • Analysis of how the project will report against the ICF 'transformational change'; KPI scorecard methodology. ^E • Description on how impact indicators will be measured and captured – particularly those that are difficult to measure (e.g. reduced likelihood of conflict or need for humanitarian assistance, establishment of sustainable social protection mechanisms or long-term environmental benefits). ^D • Evidence that the programme can be sustained after donor support ends (e.g. through government commitment to funding programme extension/scale up in the long run). ^D
c.	Evidence of commitment to learning? Including in continual improvement to the TOC	<ul style="list-style-type: none"> • Evidence of all partners receiving regular information to retain an overview of key information on costs and benefits (outputs, outcomes and impacts) throughout design, monitoring and evaluation, and be in a position to identify trends and anomalies and benchmark costs, outcomes and impacts against other programmes. ^E • Evidence of commitment to continually assess and challenge the project theory of change. Methodologies may include participatory methods and

	Type of Evidence	Examples of evidence (Key: ^E - essential, ^D - desirable)
		expert interviews to complement routine data collection. ^E <ul style="list-style-type: none"> Evidence of adequate political and institutional leadership and support behind the proposed implementation strategy and systems at central and local levels, and a capacity to learn and adapt. ^D
4. Application of 'Early VFM adaptation framework': How well have we applied early Value for Money Adaptation Framework		
a.	Evidence of application of early VFM Adaptation Framework	<ul style="list-style-type: none"> Evidence to show how interventions have taken uncertainty about climate impacts into account for example through the design of no-and low regret adaptation options. ^D Evidence of capacity building (through enhanced information, awareness raising, strengthening institutions) to enable scale-up of adaptation actions over time in response to climate change; ^D Early mainstreaming of resilience, with risk screening to reduce risks (appropriately) for near-term infrastructure investment or programmes; ^D Developing iterative plans and early action (information, monitoring, research, capacity building for future risks, pilot schemes, etc.) to prepare for long- term risks, to enable better information for addressing future risks, make better decisions in the future and avoid the risks of lock-in. ^D

What is needed on duty of care?

141. Grantees will be responsible for the safety and well-being of their Personnel and Third Parties affected by their activities under any grants awarded under BRACED, including appropriate security arrangements. They will also be responsible for the provision of suitable security arrangements for their domestic and business property. Grantees should address the duty of care questions given below, and provide more details in the full proposal application form.

1	Have you completed an initial assessment of potential risks that demonstrates your knowledge and understanding, and are you satisfied that you understand the risk management implications (not solely relying on information provided by DFID)?
2.	Have you prepared an outline plan that you consider appropriate to manage these risks (or will you do so if you are awarded the contract) and are you confident/comfortable that you can implement this effectively?
3.	Have you ensured or will you ensure that your staff are appropriately trained (including specialist training where required) before they are deployed and will you ensure that on-going training is provided where necessary?
4.	Do you have an appropriate mechanism in place to monitor risk on a live / on-going basis (or will you put one in place if you are awarded the grant)?
5.	Have you ensured or will you ensure that your staff are provided with and have access to suitable equipment and will you ensure that this is reviewed and provided on an on-going basis?
6.	Have you appropriate systems in place to manage an emergency / incident if one arises?

142. DFID will share available information with grantees on security status and developments in-country where appropriate. The latest information is provided in Annex I. DFID will provide the following: All grantee personnel will be offered a security briefing by the British Embassy/DFID on arrival where there is a British Embassy. Advance notice of requests for security briefings should be sent to DFID via the Fund Manager. All such Personnel must register with their respective Embassies to ensure that they are included in any emergency procedures.

143. Grantees will be responsible for ensuring appropriate safety and security briefings for all of their Personnel working under any BRACED grant contract and ensuring that their Personnel register and receive briefing as outlined above. Travel advice is also available on the FCO website and grantees must ensure they (and their Personnel) are up to date with the latest position.

What happens if circumstances on the ground change?

144. Given that a number of BRACED grantee projects will be implemented in conflict-sensitive and climate vulnerable contexts, it is possible that BRACED grantees confront events of “force majeure” where the context changes beyond their control. In a situation where the performance of a BRACED grantee has been hindered or prevented by such an event, the costs incurred in good faith by the grantee prior to the change of circumstance (which they could not reasonably have pre-empted) would be considered eligible.

145. BRACED grantees should contact the BRACED Fund Manager as soon as possible and then maintain regular communication with the Fund Manager in relation to such an event. This includes specifying the nature of the force majeure event and notifying in writing the anticipated implications of the event on the performance of the BRACED project.

146. BRACED grantees can earmark a contingency funding for such an unanticipated crisis or emergency event in the budget lines of the projects where this is possible. This ‘crisis modifier funding’ could be applied for when some triggers have been reached as clearly demonstrated by evidence and pre-defined indicators. The use and justification of this funding would need to be agreed with the Fund Manager.

How should evidence and results be communicated?

147. Projects are expected to give appropriate recognition to the provision of the grant by DFID in any press release or other contact with the media. You will also be expected to provide DFID’s Press Office with any necessary assistance required to formulate its own approach to the media in relation to the project. DFID encourages projects to promote the BRACED programme and DFID’s work through multiple communication routes (such as social media) throughout the lifetime of the project.

148. Projects are expected to acknowledge DFID’s support and use of DFID’s UKaid logo in all communications with the public or third parties about this project, unless otherwise agreed in advance. Guidance on use of DFID’s UKaid logo can be found at <https://www.gov.uk/government/publications/uk-aid-standards-for-using-the-logo>.

149. Throughout the lifetime of the project, the Knowledge Manager will support internal communications between BRACED projects through various means as part of their role to support networking and communications. This may include joint publications, online forums and programme-wide press releases.

150. DFID is considering a launch event for BRACED once the full BRACED funds have been awarded. There may also be launch events in selected countries depending on the final portfolio of projects. Launch events would be ideal opportunities for projects

to network and build key communication routes, DFID expects representatives from all BRACED projects to attend relevant launch events.

Can projects use social media?

151. DFID are not planning to set up a specific social media presence for BRACED in the immediate future (although this may form part of the permanent Knowledge Manager function). For the interim period DFID would be happy for projects that are promoting their actions via social media to link back to the DFID BRACED webpages.

Intellectual property rights

152. All intellectual property rights in all material produced by BRACED grantees or its personnel, members or representatives in the course of undertaking a BRACED project funded by DFID will be the property of the grantees. On receiving and agreeing a grant, the BRACED grantee will be expected to grant to DFID a worldwide, non-exclusive, irrevocable and royalty-free licence to use all the intellectual property produced under the project. The purpose of this is to ensure:

- Organisations will take measures to protect any new technologies, products, approaches, systems, and models created during or as a result of the BRACED programme to avoid any loss of ownership to a third party.
- That any intellectual property created under the BRACED programme is freely available as a public good.

What is the duration of grants to NGOs?

153. Full proposals can be for a period up to three years.

Can others provide funding to full BRACED projects?

154. Yes other agencies can support full BRACED projects and DFID would welcome this and additional support from that stated in concept proposals can be included. Full proposals should clearly set out what the other agencies will fund and what is requested from DFID. Proposals should indicate the level of in-kind support that project partners will support.

Who can apply for a full grant?

155. This second stage of application for full grants is **only open** to those invited to submit full proposals and/or awarded project development grants. The lead for consortium should not change.

What documentation is required for a full proposal?

156. Applications must be completed, in English, on the application form supplied by DFID. We **will not consider** applications submitted in any other format.

157. Please ensure that you follow the guidance at the front of the application form regarding formatting and number of words per section. When doing so, please refer

back to this guidance document where necessary, and ensure that you have complied with all the BRACED programme requirements.

158. You must also submit the following documentation:

- A completed logframe (in Excel format) for all outputs and activities planned under the project.
- Detailed evaluation plan
- Summary of overall work plan and annual work plan for first year of project
- Climate and environment appraisal
- An electronic copy of lead organisation constitution OR Governance document of consortium in English;
- Letters from all proposed partners that they have agreed to be part of the consortia/alliance/partnership that will implement this project.
- CV of person who will lead the consortium/alliance/ partnership, and CVs of all project team members from each partner organisation, and any other key staff.

159. All completed application forms and required attachments must be submitted electronically to BRACED@dfid.gov.uk by 23:59 BST on 31st July 2014.

160. The full timetable for calls under the BRACED programme is:

- Project Development Phase begins February 2014
- Workshop with DFID on BRACED programme 30th January 2014
- Deadline for the submission of full proposals is 23:59 BST on 31st July 2014.
- All proponents should be notified of the result of their application for a grant by the end of August 2014.
- Agreements on grants with all successful proponents are expected to be signed by end of September 2014.

How will full proposals be appraised?

161. The invitation to submit a full proposal after the PDG phase is not a sufficient condition for receiving a full grant. All applications for funding for the full phase are subject to appraisal and there is no guarantee that all full proposals will be selected.

162. Applications will be logged and an acknowledgement e-mail will be issued providing a unique reference number for your application within two weeks (10 working days) of the closing date. The reference number should be used in all communications with the Fund Manager about your application. All applications will be checked for validity. Only those that are considered to be valid will be fully assessed.

163. All valid full proposals will be appraised in relation to the BRACED Programme objectives and specifically against the criteria in Box 4. These are grouped under three headings, and the figures in percentages give the weighting for each criteria.

164. The assessment of proposals will be based only on the information which is explicitly contained within your application. You must not assume that the Fund Manager and DFID have any prior knowledge of your organisation/alliance/consortium/partnership or its work.

165. Please note that the proposal appraisal process may include an assessment interview and due diligence activities.

166. If a due diligence review is required, we will take into account the management and performance of previous projects funded by DFID when making final decisions. Due diligence reviews will primarily focus on the lead organisation, but the scope will review the lead organisation's due diligence of their partners' previous performance in managing DFID funded projects. For recent evidence of good practice on due diligence of NGOs please see <https://www.gov.uk/government/publications/due-diligence-examples-of-good-practice>.

167. All responses to questions or requests for clarification on these guidelines will be published on the BRACED section of the DFID website.

Box 4 Appraisal Criteria for BRACED Applications

Projects will be appraised as to how far they meet the following criteria. Figures in percentages are the weighting that will be used for each criteria.

Practices, Approaches and Results - Does the application:

- a. Include approaches, practices and technologies to scale up to build resilience of communities to climate extremes that are feasible and realistic – 15%
- b. Demonstrate how the full project will help and empower women to build resilience to climate extremes – 10%
- c. Have an effective results framework that contributes to the overall BRACED logframe – 10%
- d. Demonstrate an understanding of, and commitment to, the DFID Value for Money approach – 10%

Partnership, Capacity and Capability - Does the application:

- e. Demonstrate how project will use and/or build of effective partnerships between NGOs (national and International), local government, private sector, UN agencies and research organisations-10%
- f. Show clearly the roles the different partners will play and demonstrate these are appropriate. – 5%
- g. Demonstrate that the members of the consortium, alliance or partnership have the expertise, capacity and capability to implement the proposed full project – 5%
- h. Show how the intended outputs and outcomes for the PDG grant phase been achieved in the six month time frame - 5%

Learning, Policy and Sustainability - Does the application?

- i. Demonstrate effective and appropriate plans for monitoring and evaluation, and capacity and capability of the organisation to conduct resilience assessments - 10%
- j. Demonstrate how lessons on policy and institutional changes to sustain impact of the project will be determined – 10%
- k. Provide an effective strategy and plans to share and disseminate lessons on best practices and approaches – 10%

When will decision on the award of full grants be known?

168. All applicants will receive notification of the outcome of the assessment of their full proposals. This is expected to be by 31st August. Please note that all decisions are final and there is no appeals process.

169. Details of all successful grants will be published on DFID's BRACED web site.

Further information and queries

170. DFID held a meeting on Thursday 30th January 2014 open to all those who are eligible to apply for grants under BRACED. Presentations and a record of the meeting will be available on the BRACED programme website.

171. Additional reference material, guidance and information will be provided on the BRACED website during project development period.

172. If you have any queries not covered by these guidelines or questions of clarification, please e-mail the interim Fund Manager at BRACED@ricardo-aea.com and copied to BRACED@dfid.gov.uk. All answers will be published on the DFID BRACED programme web page.

SECTION E: SUMMARY OF BRACED PROJECTS

Project name	Lead Organisation	Consortium Partners
Component A – Sahel Countries		
To develop transformational solutions to climate variability & disasters for 1million people in Burkina by improving climate forecasting, behavioural change & sharing resilience expertise & technology.	Christian Aid	OXFAM Intermon; Action Contre la Faim (ACF); Alliance Technique d'Assistance au Développement (ATAD); Office des Eglises (ODE); Internews Europe; Kings College London (KCL); UK Met Office; Direction Générale de la Météorologie (Burkina Met); Radio Rurale
Improving resilience of 280,000 settled and nomadic marginalised communities to climate and conflict-related shocks and stresses in Eastern Chad and Western Sudan. (Component B as well)	Concern Worldwide (UK)	Tufts University - Feinstein Centre, World Agroforestry Centre (International Centre for Research in Agroforestry, ICRAF)
Strengthening resilience of 700,000 pastoralists and agropastoralists, by securing, servicing and promoting transborder livestock mobility across Mauritania, Senegal, Mali, Burkina Faso and Niger.	Acting for Life	CISV (Comunità Impegno Servizio Volontariato), L.V.I.A. – Lay Volunteers International Association, Veterinarians Without Borders Belgium (VSF-B), CIRAD – Center for International Cooperation on Agronomy Research for Development, Associates in Research and Education for Development (ARED), Réseau Billital Maroobé (RBM-Billital Maroobé Network, West Africa), Réseau Billital Maroobé – Mauritania (RBM-Billital Maroobé Network), ACIDEF – Citizens' Association for the Defense of Children's and Women's Rights, ADISSAH-Association for the Integrated Development of the Savanna and the Sahel), AMAED (Malian Association for Environmental Activities and Development), RECOPA – Network for Communicating on Pastoralism, Réseau Billital Maroobe – Senegal (ASE/RBM) Billital Maroobé Network (RBM-Senegal), Réseau Billital Maroobe - Mali (RBM -Mali), Initiatives – Conseils – Développement (Initiatives – Advisory Services - Development), Conseil Régional des Unions du Sahel (CRUS - Regional Council of the Unions of the Sahel)
Building resilience without borders in the Sahel: Supporting 900,000 vulnerable women, children and men in Burkina Faso, Mali and Niger to adapt to climate extremes (BRWB)	CARE International UK	TREE AID; SNV
Strengthening the capacity of at least 335,000 people living along river banks in the Chadian Sahelian Belt to better withstand flooding and drought.	ACTED	Save the Children, University of N'Djamena, CHORA, Impact, Directorate for Water Resources and Meteorology, Ministry of Hydraulics,
Partnership to build climate	Centre de Suivi	Ministry of Restructuring and Development of

resilience and improve the livelihoods of 660'000 poor and vulnerable people in urban settlements in Senegal through integrated flood prevention and water harvesting.	Ecologique (CSE)	Flood Zones (MRAZI), mandu architecture, urbanizm & consulting, Eau-Vie-Environnement (EVE), globalContact consulting, BG Consulting Engineers, Eawag Sandec: Water and Sanitation in Developing Countries, Enda Graf Sahel, Group Senghor,
Building resilience of 700,000 vulnerable people by ensuring readiness of Mali and Senegal's devolved governments to invest global and national climate finance in public goods to meet local priorities.	Near East Foundation	Innovation, Environnement et Développement en Afrique (IED Afrique), International Institute for Environment and Development (IIED)
Building resilience of 250,000 vulnerable people in Mauritania through the diversification of sustainable livelihoods and the development of production systems adapted to climate change	Action contre la Faim Spain	OXFAM Intermon Foundation, AMAD - Association Mauritanienne pour l'Auto Développement – Mauritanian Association for the Auto Development, ATICA 21 – Assistance Technique Internationale a Cooperation en Agriculture – Mauritanie – International Technical Assistance for Cooperation in Agriculture - Mauritania, MDR – Ministère de Développement Rural – Ministry of Rural Development, CNRADA - Centre National de Recherche Agronomique et de Développement – National Centre of Agronomic Research and Development
SUR1M: Scaling-Up Resilience to Climate Extremes for 1 Million People in the Niger River Basin of Niger, Burkina Faso, and Mali	Catholic Relief Services)	CAFOD (Catholic Agency for Overseas Development); Caritas Développement (CADEV) Niger; Catholic Organisation for Development and Solidarity (Organisation Catholique pour le Développement et la Solidarité) OCADES Burkina Faso; Caritas Mali, Mopti Diocese; Farm Radio International (FRI); United Nations Development Programme (UNDP) – Niger; United Nations Development Programme (UNDP) – Burkina Faso; Research Programme on Climate Change, Agriculture and Food Security (CCAFS); Disaster Resilience Leadership Academy (DRLA) at Tulane University
Increasing resilience to climatic stresses and shocks of 260,690 people in Mali, including those who are most at risk economically and physically.	International Relief & Development (IRD)	AMASSA Afrique Verte, Groupe de Formation Consultation et Étude, (G-FORCE)
Building the resilience of 620,000 women, children and men in Burkina Faso to climate extremes and improving household food security and income.	Welthungerhilfe	Self Help Africa; CAB International (CABI); Direction Générale des Productions Végétales du Ministère d'Agriculture et de la Sécurité Alimentaire (General Directorate of Plant Production of the Ministry of Agriculture and Food Security); Fédération des Groupements Wend Yam; Association Project Écologie et Reboisement (PER); Association Zood Nooma pour le Développement (AZND); Association de Développement Sougri Nooma (ASDN)
Component B: Selected DFID focal countries		
Building the resilience of 1.7 million people across Burma to	Plan UK	Plan International Myanmar, United Nations Human Settlements Programme (UN-Habitat)

climate extremes: saving lives, protecting livelihoods, improving institutional coordination, and influencing national policy		Myanmar, BBC Media Action Myanmar, Action Aid Myanmar, World Vision Myanmar, Myanmar Environment Institute
Building resilience of 500,000 people through agricultural and economic development and Disaster Risk Management in the Central Zambezi Valley of Mozambique	Associação Moçambicana para Ajuda de Desenvolvimento de Povo para Povo (ADPP)	Institut für Projektplanung GmbH (IP Consult), part of the Niras Group; KULIMA; Institute of Disaster Management (INGC); Eduardo Mondlane University; Movitel
Upscaling WUMP+3R: catchment perspective water harvesting at community level to enable long term resilient livelihood systems for 300.000 people in the mid-hills in Nepal and Pakistan.	RAIN Foundation	Helvetas, Biogas Sector Partnership Nepal, Asasah Pakistan, MetaMeta Research
Stimulation of market based mechanisms to build the resilience of 348,000 climate vulnerable people in Ethiopia	Farm Africa	Mercy Corps; Lion's Head Global Partners
Programme for Resilient Systems (PROGRESS) to build absorptive, adaptive and transformative capacity for 550,000 vulnerable individuals in Kenya and Uganda	Mercy Corps Scotland	Green Belt Movement, Uganda Land Alliance, Institute of Development Studies, TANGO International, Dryland Learning and Capacity Building Initiative, University of Nairobi, Makerere University
Improving resilience of 280,000 settled and nomadic marginalised communities to climate and conflict-related shocks and stresses in Eastern Chad and Western Sudan.	Concern Worldwide (UK)	Tufts University - Feinstein Centre, World Agroforestry Centre (International Centre for Research in Agroforestry, ICRAF),
Building the resilience of 1,525,795 women, men and children in dry zone and coastal regions of Myanmar to floods, droughts and cyclones by protecting and strengthening their livelihoods and power	Oxfam	ECODEV; Network Activities Group (NAG); Paung Ku; Spectrum
Pastoralist Livelihoods, Rights and Resources: Creating Resilience to Drought for 640,000 Cross Border Populations in Kenya and Uganda's Karamoja Cluster	Action Against Hunger – USA (ACF-USA)	Action for Women and Awakening in Rural Environment (AWARE-UG), University of Copenhagen, Department of Food and Resource Economics Institute of Food and Resource Economics , Danish Refugee Council – Danish Demining Group (DRC – DDG), International Union for Conservation of Nature (IUCN), Karamoja Agro-Pastoral Development Programme (KADP), National Environment Trust Fund (NETFUND), Turkana Pastoralist Development Organization (TUPADO)
Developing Climate Resilient Livelihoods for local communities through public-private partnership for 500,000 poor people in western Nepal that suffer from climate extremes and environmental disasters.	iDE UK	ADRA Nepal, Rupantaran, Support Activities for Poor Producers of Nepal (SAPPROS), Resource Identification and Management Society, Nepal (RIMS Nepal), International Water Management Institute, Renewable World, Flood Hazard Research Centre, Middlesex University, NETAFIM Ltd., International Maize and Wheat Improvement Centre (CIMMYT),
Building capacity of 791,318	Christian Aid	BBC Media Action, Action Aid Ethiopia, Kings

people in Ethiopia to find transformational solutions to climate variability and disasters by climate forecasting, behavioural change & sharing skills & technology.

College London, UK Met Office

ANNEXES

Annex I Useful documents and links

[ICAI's approach to effectiveness and value for money](#)

[DFID's corporate governance expectations of CSOs and due diligence](#). Summarised DFID's expectations on due diligence required from CSOs. This is based on experience from DFID's Global Poverty Action Fund.

[KPMG Pre-grant due diligence guidance](#). This has been prepared for due diligence for CSOs applying for grants under DFID's Global Poverty Action Fund. However, the principles and practices outlined in the guide are relevant to the due diligence that will be required under the BRACED programme.

[BOND](#) - the UK membership body for non-governmental organisations (NGOs) working in international development.

[BOND's guidance on Value for Money \(VfM\):](#)

[DFID's approach to improving the lives of girls and women.](#)

[DFID How To Note on scoring projects.](#)

[DFID Pilots on Payment by Results](#)

[DFID's Global Poverty Action Fund](#)

[DFID's how to note on logframes](#)

On the BRACED DFID web page you will also find the following:

- International Climate Fund Key Performance Indicators (KPIs)
- The DFID logframe template
- HTN for logframes
- Logframe checklist
- Review on *Women, girls and disasters*

Annex II Duty of Care: Security status and developments BRACED countries.

One page summaries of the security status of the countries where BRACED projects are operating are given in this annex. Risks are rated from 1 to 5:

1 Very Low Risk	2 Low Risk	3 Medium Risk	4 High Risk	5 Very High Risk
Low		Medium	High Risk	

Pakistan

Theme	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score	DFID Risk Score
	Kyber-Pakhtunkwa including areas of Peshawar, Charsadda, Kohat, Tank, Bannu, Lakki and Dera Ismail Khan, the city of Peshawar and districts south of the city Swat, Buner and Lower Dir	Kalesh Valley, Bamoboret Valley, Arandu District to the south and west of Chitral	Federally Administered Tribal Areas,	North and West Balichostan	Quetta	Sindh – Karachi Sindh Province; Nawabash and parts of Interior Sindh to the north of Nawabash	Punjab – Lahore – Islamabad
Overall Rating	4	4	4	4	4	4	3
FCO Travel Advice	4	3	4	4	3	3	3
Host Nation Travel Advice	Not available	Not available	Not available	Not available	Not available	Not available	Not available
Transportation	3	3	4	4	3	2	2
Security	4	4	4	4	4	4	3
Civil Unrest	3	3	3	4	3	4	3
Violence/crime	4	4	4	4	4	4	4
Terrorism	5	5	5	5	5	5	5
War	2	2	2	2	2	2	2
Hurricane	1	1	1	1	1	1	1
Earthquake	3	3	3	3	3	3	2
Flood	2	2	2	2	2	3	3
Medical Services	3	3	4	3	3	2	2

Nepal

Theme	DFID Nepal Risk score	
	Kathmandu and Pokhara	All other parts of Nepal
OVERALL RATING	2 – Low Risk	2 – Low Risk
FCO travel advice	1	1
Host nation travel advice	n/a	n/a
Transportation	3	4
Security	2	2-3
Civil Unrest	2	2
Espionage	2	2
Violence/crime	2	2
Terrorism	3	3
War	1	1
Hurricane	1	1
Earthquake	4	4
Flood	2	2
Medical Services	2	3

Burma

Theme	DFID Risk score	DFID Risk score
	Burma (excluding Meiktila, Mahlaing, Tharzi and Wundwin in Meiktila town, Mandalay region, Rakhine State except for the tourist resort of Ngapali, Kachin State (except the towns of Myitkyina, Bhamo and Putao), the border areas with Thailand, Laos or China.	Meiktila, Mahlaing, Tharzi and Wundwin in Meiktila town, Mandalay region, Rakhine State except for the tourist resort of Ngapali, Kachin State (except the towns of Myitkyina, Bhamo and Putao), the border areas with Thailand, Laos or China
OVERALL RATING	1	3
FCO travel advice	1	3
Host nation travel advice	1	3
Transportation	2	3
Security	1	2
Civil unrest	2	3
Violence/crime	2	3
Terrorism	3	3
War	1	3
Hurricane	1	1
Earthquake	2	2
Flood	1	1
Medical Services	2	3

Kenya

Theme	Risk Score	Risk Score
	Kenya (excluding areas listed separately)	Mandera, Wajir, Tana River, Daadab and Garissa plus anywhere else within 60km of the Somali border (including areas North of Pate Island on the coast) ^c
OVERALL RATING	3	4
FCO travel advice	3	4
Host nation travel advice	Not available	Not available
Transportation	3	4
Security	3	4
Civil unrest	3	4
Violence/crime	5	4
Terrorism	4	5
Espionage	4	2
War	1	3
Hurricane	1	1
Earthquake	1	1
Flood	1	1
Medical Services	1	3

^c For these areas specific travel advice should be sought. Wajir is currently less problematic than other areas listed here

Uganda

Theme	DFID Risk Score Kampala	DFID Risk Score North-east Uganda Karamoja Region	DFID Risk Score Northern Uganda	DFID Risk Score South West Uganda	DFID Risk Score Western Uganda	DFID Risk Score Eastern Uganda
Overall Rating	2	4	3	3	2	2
FCO Travel Advice	2	4	2	2	2	2
Host Nation Travel Advice	Not available	Not available	Not available	Not available	Not available	Not available
Transportation	3	4	3	3	3	3
Security	3	3	3	3	3	3
Civil Unrest	2	2	2	2	2	2
Violence/crime	3	4	3	3	3	3
Terrorism	3	3	3	3	3	3
War	1	2	1	1	1	1
Hurricane	1	1	1	1	1	1
Earthquake	1	1	1	2	2	1
Flood	2	1	2	2	1	2
Medical Services	2	3	3	3	3	3

Ethiopia

Theme	DFID Risk score	DFID Risk score	DFID Risk score	DFID Risk score	DFID Risk score
	Addis Ababa	Amhara Region	Jijiga	SNNPR	Somali Region
OVERALL RATING	2	2	3	2	4
FCO travel advice	1	2	3	2	4
Host nation travel advice	2	Not available	1	Not available	Not available
Transportation	2	3	4	3	4
Security	2	2	4	2	4
Civil unrest	2	2	3	2	3
Violence/crime	2	2	3	3	3
Espionage	2	2	3	3	2
Terrorism	2	2	4	3	4
War	1	1	4	4	4
Hurricane	1	1	1	1	1
Earthquake	2	1	1	2	1
Flood	1	2	1	2	2
Medical Services	2	4	5	4	5

Sudan

SUMMARY RISK ASSESSMENT MATRIX	
Theme	DFID Risk score
	Sudan
OVERALL RATING	3 (medium)
FCO travel advice	3
Host nation travel advice	Not available
Transportation	2
Security	4
Civil unrest	4
Violence/crime	2
Espionage	4
Terrorism	4
War	3
Hurricane	1
Earthquake	1
Flood	3
Medical Services	3

Mozambique

Theme	Risk Rating	Comments
FCO travel advice	2 (low)	http://www.fco.gov.uk/en/travel-and-living-abroad/travel-advice-by-country/sub-saharan-africa/mozambique#travelSummary
Host nation travel advice		
Transportation	3 (Medium)	Road and transport poor with frequent road traffic accidents, poor vehicle maintenance and poor driving. Public transport not recommended, always very crowded and taxis are not much recommended during night.
Security	2 (low)	Faulty security within the country, opening room for robbery and burglary, especially in areas with abundance of expatriates and foreign travellers.
Civil unrest	2 (low)	May happen from time to time with violent acts both by the Police & demonstrators and include people taking the opportunity to vandalise and rob.
Violence/crime	3 (Medium)	Police patrolling not enough. Cases may go unreported. Rated as moderate. Most cases go unreported, and hence it is difficult to quantify the scale of the problem. Street crime is a risk in parts of Maputo and other cities. Car-jackings and house robberies are infrequent, but do occur.
Espionage	2 (low)	http://www.fco.gov.uk/en/travel-and-living-abroad/travel-advice-by-country/sub-saharan-africa/mozambique#travelSummary
Terrorism –	2 (Low)	http://www.fco.gov.uk/en/travel-and-living-abroad/travel-advice-by-country/sub-saharan-africa/mozambique#travelSummary
War	2 (low)	The political situation is currently tense due to recent attack by the Government Armed Forces against the RENAMO base in the central province of Sofala. Conflict has so far been brief and very geographically limited.
Hurricane	1(very low)	The country is exposed to heavy cyclones, though rarely.
Earthquake	1 (very low)	Medium along the rift valley and low in the surrounding areas. Very low in the rest of the country.
Flood	2 (Low)	But it is an experience in some of the Provinces or low areas. Serious flooding happens approximately every two to three years in four main areas: Maputo, Limpopo, Pungue and Zambezi. Flooding is normally restricted to river basins, and mostly affects rural areas.
Medical services	4 (High)	3 (Medium) in major cities (Maputo/Matola/Beira/Nampula) and 4 (High) in others cities, outside villages and provinces (Inhambane/Gaza/Manica/Tete/Lichinga e Pemba). Healthcare is very basic outside major cities (Maputo/Matola/Beira/Nampula). There are excellent services in neighbouring South Africa. Private insurance is necessary to access South African healthcare and air ambulance services.

Sahel Overall

Country	Security Categories		
	Security category	Violent Crime and Civil Disorder	Terrorism
Burkina Faso	3	4	3
Chad	4	3	4
Mali	3	2	4
Mauritania	3	2	4
Niger	4	4	4
Senegal	2	2	3

Annex III List of references

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- ² Natural Hazards, UnNatural Disasters, The Economics of Effective Prevention, (summary booklet) 2010, World Bank
- ³ Ibid
- ⁴ Defined as non-OECD countries. Source: EM-DAT EM-DAT: The OFDA/CRED International Disaster Database
- ⁵ Humanitarian Emergency Response Review; DFID website; March 2011
- ⁶ IPCC SREX Extreme Events Report (2011) Summary for Policymakers page 6
- ⁷ See UN-ISDR (2009) and Peduzzi et al (2011).
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- ²¹ D. Layne Coppock, Solomon Desta, Seyoum Tezera, Getachew Gebru 2011. Capacity Building Helps Pastoral Women Transform Impoverished Communities in Ethiopia. *Science*. DOI: 10.1126/science.1211232
- ²² *IOM Survey quoted in IDMC: 20/02/13: Mali: A Cautious Return: Malian IDPs Prepare to Go Home.*
- ²³ Jamais Cascio; *Foreign Policy Magazine; The Next Big Thing; Resilience; April 15, 2009*
- ²⁴ Mechler, R. and The Risk to Resilience Study Team, (2008): *The Cost-Benefit Analysis Methodology, From Risk to Resilience Working Paper No. 1*, eds. Moench, M., Caspari, E. & A. Pokhrel, ISET, ISET-Nepal and ProVenton, Kathmandu, Nepal
- ²⁵ Protecting Gains, Minimising Losses: Putting Resilience at the Heart of DFID’s Development Work. Policy Division Draft Discussion Paper. (2012)
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- ²⁷ DFID. 2012. *The Economics of Early Response and Disaster Resilience: Lessons from Kenya and Ethiopia*.
- ²⁸ IPCC SREX Report; Summary for Policy makers (2011) p15
- ²⁹ DFID (2010) *Promoting Economic Growth When the Economy is Changing VIVID Economics*. DFID
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- ³¹ See the paper by James Pattison et al “Local to national: putting local voices and priorities at the heart of national policy making.” Presented at the “Hunger, Nutrition, Climate Justice” Dublin Castle, April 2013. Available at: http://eu2013.ie/media/eupresidency/content/documents/HNCJ-conference-papers_final_small.pdf
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