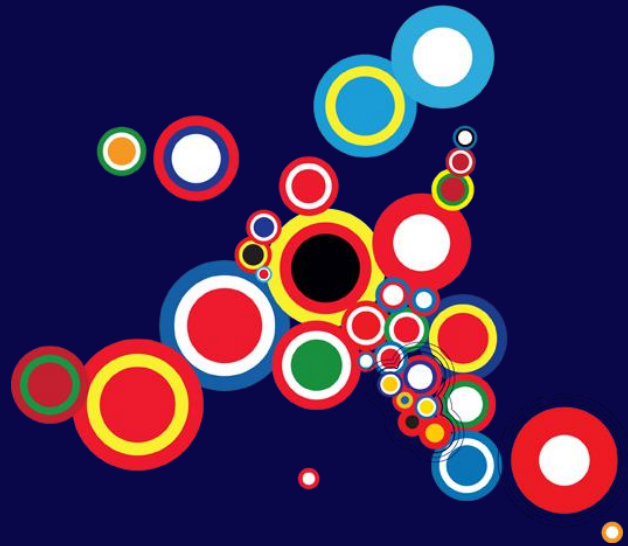




INSTRUMENT FOR PRE-ACCESSION ASSISTANCE (IPA II) 2014-2020

MULTI-COUNTRY EU-World Bank/GFDRR Western Balkans Disaster Risk Management Programme



Action summary

In the Western Balkans, a much-needed regional approach on flood risk management is not sufficiently addressed due to the lack of framework or institution dealing with this specific purpose. The proposed action will address a mix of IPA II policy areas to enhance the capacities of IPA II beneficiaries in the Western Balkans for disaster risk reduction (DRR) and will identify options for a regional framework for understanding and sharing disaster risk information as well as promoting Disaster Risk Management (DRM).

The action is divided into three components: the first component will focus on strengthening the identification and sharing of risk information at regional level; the second component will establish a fast track mechanism supporting beneficiaries in the aftermath of a disaster with rapid technical assistance to build back better, build ex-ante capacity for post-disaster needs assessments and foster DRR mainstreaming in recovery planning; the last component will contribute to building DRM capacities in selected beneficiaries.

By strengthening national capacities, establishing data collection and sharing systems, and institutionalising regional cooperation, the activities will support the development of climate-resilient economies.

Action Identification			
Action Programme Title	IPA II Multi-country Action Programme 2017		
Action Title	EU-World Bank/GFDRR Western Balkans Disaster Risk Management Program		
Action ID	IPA 2017/039-402.14/MC/DRR		
Sector Information			
IPA II Sector	9. Regional and territorial cooperation		
DAC Sector	74010 – Disaster prevention and preparedness		
Budget			
Total cost	EUR 3 million		
EU contribution	EUR 3 million		
Budget line(s)	22.020401		
Management and Implementation			
Management mode	Direct management		
European Commission	DG NEAR/D.5		
Implementation responsibilities	DG NEAR/D.5		
Location			
Zone benefiting from the action	Western Balkans (Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Kosovo*, Montenegro, Serbia)		
Specific implementation area(s)	N/A		
Timeline			
Final date for contracting including the conclusion of delegation agreements	31 December 2018		
Final date for operational implementation	31 December 2021		
Policy objectives / Markers (DAC form)			
General policy objective	Not targeted	Significant objective	Main objective
Participation development/good governance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Aid to environment	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Gender equality (including Women In Development)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trade Development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reproductive, Maternal, New born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RIO Convention markers	Not targeted	Significant objective	Main objective

* This designation is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo Declaration of Independence.

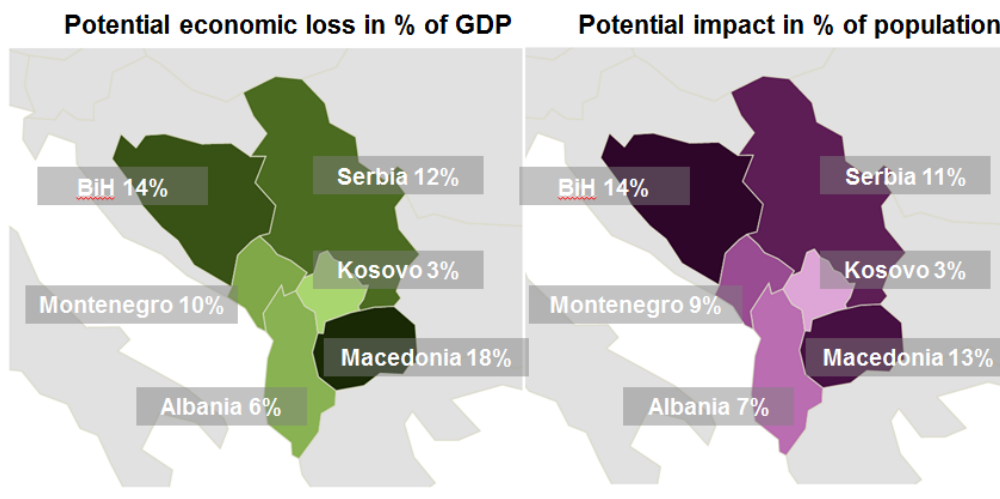
Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Climate change adaptation	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

1. RATIONALE

The Western Balkans (Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Kosovo, Montenegro and Serbia) are prone to multiple hazards such as heat and cold waves, precipitation that causes floods as well as landslides, droughts and forest fires. Seismic risk is also important in the region, particularly for southern lying Beneficiaries that have a greater exposed population and higher potential for economic losses. Climate variability and climate change, are also expected to have an increasingly negative affect on the South Eastern Europe region. Given historical events, the region can benefit from improved and systematic response mechanisms in case of major disasters such as earthquakes, floods, or forest fires.

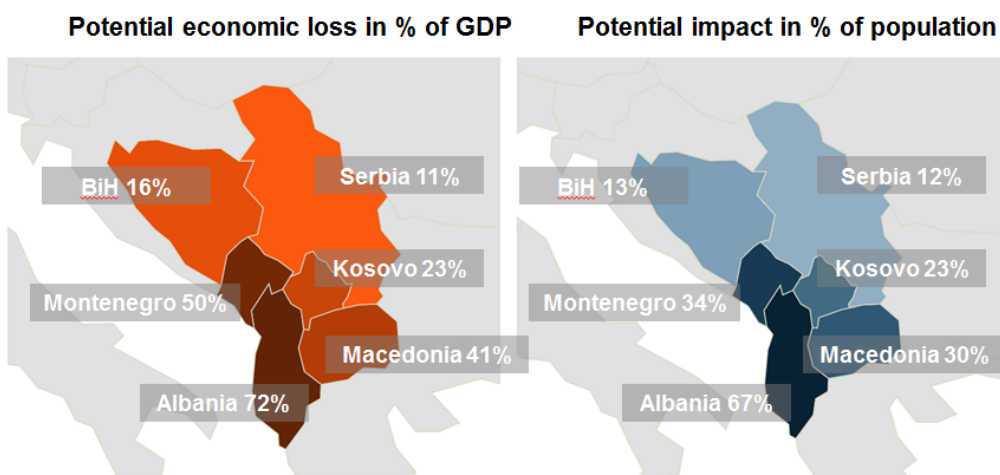
The World Bank recently published "national risk profiles" for the Western Balkans which demonstrate the potential region-wide economic loss and number of people affected by hazards with a return period comparable to the 2014 Serbia and Bosnia and Herzegovina floods episodes, as the Figure 1 below shows. The modelled losses figures become daunting for earthquake risks in particular in the southern part of the Western Balkans, as Figure 2 suggests.

Figure 1: Flood Risk for 100 year return period in the Western Balkans



Source: World Bank

Figure 2: Earthquake Risk for 100 year return period in the Region



Source: World Bank

Disasters like the 2014 floods in Bosnia and Herzegovina and Serbia are drivers for change, but the future location, intensity and impact of hazards are by definition difficult to predict. If brought to scale and embedded within development efforts, Disaster Risk Management (DRM) can influence the social and political will necessary to build resilience before disasters occur, sparing countless lives and better preserving investments.

The Beneficiaries of the action have in common the lack or limited availability of tools, expertise, and mechanisms to consider the potential impact of disaster risk on their investment decisions. They rarely account for disaster losses, do not perform systematic data collection, let alone risk assessments. Mechanisms to systematically analyse and effectively utilise risk information are not in place. The majority of domestic monitoring systems are not sufficiently effective. The state of available early warning systems, measuring stations and data management capacities is poor and not regularly calibrated. Weak enforcement of legislation especially on use of flood ways and flood areas, farming, mining, waste management and property issues constitutes another major problem.

The situation is compounded by the institutional set up for disaster risk management, at both central and regional levels. This set-up is characterized by complexity of the organisation and the mandates of the institutional stakeholders in charge of DRM, at both central and regional level, as well as the fragmentation and overlap of their responsibilities. This was confirmed in the European Commission September 2015 study "Flood management and prevention gap analysis and needs assessment in the context of implementing EU Floods Directive".

As a consequence, the Beneficiaries of the action are not able to direct the necessary resources to protect investments and reduce exposure to future disaster impacts. The lack of reliable data is a substantial problem as it not only hampers the effectiveness of investment decisions; it also creates a distorted knowledge base with sometimes unforeseeable implications. This knowledge base is instrumental to strengthening and expansion of floods control systems, flood forecasting and prevention activities, and physical planning to avoid locating homes and production activities in flood prone areas

Due to the transboundary nature of prevailing natural hazards mentioned above, a regional approach to managing risk information and post-disaster recovery is recommended, in complement to efforts currently undertaken in some of the Beneficiaries at central level. The 2014 floods further highlighted the relevance of a regional approach to flood risk management, as three major rivers extend their basins through several Beneficiaries of the region.

At the moment, such regional approach is not sufficiently addressed due to the lack of framework or institution dealing with this specific purpose. The proposed action will therefore identify options for a regional framework for understanding and sharing risk information as well as promoting DRM in the Western Balkans. It will take into account the successful as well as less successful regional experience and allow for an emphasis on Build Back Better principle in recovery, rehabilitation and reconstruction.

The Beneficiaries of the action are not all at the same level of progress in mainstreaming and tackling DRM in their national development process. Following the major 2014 floods, Serbia and Bosnia and Herzegovina have certainly taken a few steps ahead compared to other Beneficiaries of the region, in particular in setting up a "National Disaster Risk Management plan" (NDRMP), and undertaking a deeper understanding of the disaster risks they are confronted with.

In Bosnia and Herzegovina, as a result of joint effort by the government and civil society organizations working in the sector of DRM, some general progress has been made in risk prevention. This progress is mostly evident on local level, specifically in revision of local documentation such as municipal Plans and Protocols for Safety and Rescue. However, there are still limited institutional and technical capacities of state duty-bearers, combined with low levels of awareness among the broader public on flood risk reduction and prevention measures. Overall, lessons learned from 2014 floods remain negligible and unpopular, with regions within Beneficiaries exhibiting varying level of flood preparedness.

Other beneficiary partners of the region, despite substantial disasters in 2015 and 2016, are still lagging behind. Replicating the successful experience of Serbia and Bosnia and Herzegovina in terms of institutional

building and "national DRM" plan development and implementation, with a view to identifying and preparing investments opportunities, would be beneficial to the other Beneficiaries of the action.

Furthermore, over the past 2 years only, several Beneficiaries of the action, namely, Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia and Serbia, have conducted five Post-disaster Needs Assessments (PDNAs) following major floods. Such assessments take place few weeks after a disaster occur. Experience under an EU-funded World Bank-implemented DRM programme covering Africa, Caribbean and Pacific countries¹ suggests that setting up a post-disaster and recovery framework technical assistance window is an efficient way to ensure predictable financing to respond to such request in a rapid manner following disasters.

OUTLINE OF IPA II ASSISTANCE

Through three-tiered technical assistance the proposed action will address the need to strengthen the institutional capacities of relevant central and regional institutions involved in the DRM agenda and expand their knowledge and expertise in DRM.

Primarily, the action will establish means to facilitate an increased regional dialogue among Western Balkans IPA II beneficiaries for understanding and sharing risk information as well as promoting DRM. By strengthening the system of data collection and exchange and development of communication between relevant institutions, data management across the Western Balkans will be made more effective. Activities will include the organisation of a regional capacity building forum and development support for a regional cooperation framework.

In addition, a post-disaster and resilient recovery facility will contribute to building ex-ante capacity for post-disaster needs assessments, fostering Disaster Risk Reduction (DRR) mainstreaming in recovery planning and building back better after a disaster occurred.

Finally, the action will support the prioritization and information of DRM no-regret measures and investments based on reliable risk information, in view of possible subsequent financing through national budget and/or by international partners. This will include development support for "national DRM plans" in selected Beneficiaries, building on the successful experiences in Serbia and Bosnia and Herzegovina.

Coherence between regional and IPA II beneficiary interventions will be insured through the use of a consolidated DRM framework, which include 5 pillars: risk identification, risk reduction, preparedness, risk financing and resilient recovery. While the regional action will focus on identification and better understanding of the disaster risks (first pillar), the actions at IPA II beneficiary level will support more broadly the set-up of "national DRM" frameworks (all pillars, with a focus on the risk reduction pillar and the preparation of related investments). The post-disaster interventions (second component) will take place on demand basis following a disaster.

RELEVANCE WITH THE IPA II MULTI-COUNTRY STRATEGY PAPER AND OTHER KEY REFERENCES

The proposed action will address a mix of IPA II policy areas including regional and territorial cooperation as well as regional development and capacity-building. The action will especially focus on the Multi-country Indicative Strategy Paper 2014-2020² (hereinafter referred to as the Strategy paper) priority area of environment and climate action and contribute to promoting climate change adaptation including civil protection and disaster risk reduction. By strengthening IPA II beneficiaries' capacities, establishing data collection and sharing systems, and institutionalising regional cooperation, the activities will support the development of climate-resilient economies. Enhanced cross-border data management may furthermore

¹ The ACP-EU Natural Disaster Risk Reduction Programme (EUR 80 million, funded by the EU and implemented by WB/GFDRR, has already supported 18 technical assistances in support of PDNAs and Recovery Framework).

² C(2014) 4293, 30.06.2014

contribute to the Connectivity Agenda of the Enlargement Strategy and lead to increased cooperation among the Beneficiaries of the action.

The action is also directly aligned to Pillar 1 ‘Understanding disaster risk’ and Pillar 4 ‘Enhancing disaster preparedness’ of the [Sendai Framework for Disaster Risk Reduction 2015-2030](#). Furthermore, it is fully coherent to the all three implementation priorities of the [EU Action Plan on Resilience for Crisis-prone Countries](#): highlighting the support to national and regional resilience approaches; innovation, learning and advocacy; and methodologies and tools to support resilience.

The action may also be relevant for the transposition and implementation of the DRM-related *Acquis Communautaire* and in particular the [Floods Directive](#) and the [Water Framework Directive](#), in its river basin management aspects. The Floods directive is particularly relevant as it requires the Beneficiaries of the action who have committed to transpose it in their national legal stock, to assess if all water courses and coast lines are at risk from flooding, to map the flood extent and assets and humans at risk in these areas and to take adequate and coordinated measures to reduce this flood risk.

The proposed action will also coordinate with the Union Civil Protection Mechanism (UCPM)³, which facilitates cooperation in civil protection assistance interventions in the event of major disasters inside and outside the EU. With regard to the support to the "national DRM frameworks", the action will contribute to promote, through the relevant EU services, the use of the UCPM where relevant by beneficiaries that are not taking part in it.

LESSONS LEARNED AND LINK TO PREVIOUS FINANCIAL ASSISTANCE

As a principle, the proposed action will build on the findings and lessons learned on several previously implemented assistance services under the IPA Multi-beneficiary and Multi-country programmes (an exhaustive list and summary of aspects to the action can be found in annex). The actions that are deemed most relevant, and the related lessons learned are the following:

1. Prevention, preparedness and response to floods in the Western Balkans and Turkey (IPA 2013/024093, DG ECHO & JRC; and 2014/037-853.9, DG ECHO.A5)

Here, two actions helped installing a coherent collaboration in dealing with natural disasters at regional and European level (EU Floods Directive). The proposed action will build on the activities of these two regional flood management actions which both focused on increasing Beneficiaries' capacity in flood risk management at central, regional and EU levels. The action will also build on identified lessons learned with regard to developing effective "national DRM systems".

2. Disaster Risk Assessment and Mapping (IPA 2015/038-052.08/MC/disaster risk, DG ECHO.A5)

The findings and lessons learned of this action are of particular value for the implementation of Component 1 of the proposed action. The risk assessment and mapping exercise aims at establishing national systems for disaster loss data collection, risk assessment and mapping. It constitutes the groundwork for identifying and sharing risk information on regional level in the Western Balkans.

3. Building resilience to disasters in the Western Balkans and Turkey (World Meteorological Organization – WMO – & United Nations Office for Disaster Risk Reduction – UNISDR, 2012-2014)

³ The UCPM provides participating countries (EU28 plus Iceland, Liechtenstein, Montenegro, Norway, Serbia and Turkey) with the opportunity to access to emergency communications and monitoring systems, and train their disaster response teams. By exchanging lessons learned and best practices, civil protection specialists increase their ability and effectiveness in responding to disasters.

The action evolved around eight main tasks and included among others knowledge management, capacity building, and risk management activities. Especially WMO's work in establishing a Sava River pilot action to enhance hydrological data management and exchange of procedures at the basin level will be of great importance for scaling up regional coordination throughout the Western Balkans.

4. Bosnia and Herzegovina Emergency Recovery Loan (World Bank– WB)

One of the challenges in flood risk management based on the experience in Bosnia and Herzegovina in particular is the lack of coordinated and up-to-date information on various flood protection activities supported by various donors and their relationship with the flood management plans at Beneficiary level as well as the regional river basin level. This affects the efficiency of DRM projects implementation during identification of proper sub-project sites and designs for flood protection, and international waterway safeguards considerations.

5. Serbia National Disaster Risk Management Program (United Nations, WB mainly)

During the design and implementation of the "National Disaster Risk Management Program", it was noticed that an assessment of the institutional settings relevant to DRM and proposals for institutional restructuring/reform is needed as well as identifying mechanisms for sharing information within the Beneficiaries and cross border exchange of information.

It shall be noted that the above list is non-exhaustive. Complementarity with other completed and ongoing projects in the region will be ensured and overlap avoided.

2. INTERVENTION LOGIC

LOGICAL FRAMEWORK MATRIX

OVERALL OBJECTIVE	OBJECTIVELY VERIFIABLE INDICATORS (*)	SOURCES OF VERIFICATION	
To contribute to reduce existing disaster risks and avoid the creation of future disaster risks in the Western Balkans	Extent to which DRM is integrated in "national development frameworks" Extent to which DRM planning capacities are increased, among Governments	Governments acts, regulations, plans, and communications Progress reports	
SPECIFIC OBJECTIVE	OBJECTIVELY VERIFIABLE INDICATORS (*)	SOURCES OF VERIFICATION	ASSUMPTIONS
1. To enable disaster risk informed decision-making at regional levels 2. To provide beneficiaries the capacities to conduct autonomously Post-Disaster Assessments and formulate resilient recovery frameworks 3. To improve national capacities for planning as well as for prioritization and preparation of investments in DRM, based on available risk information	Extent to which a concept of a regional framework for sharing risk information is developed Number of post disaster needs assessment conducted and recovery frameworks formulated by beneficiaries. Number of proposals developed for WBIF	Action Progress reports Post-disaster and Recovery Frameworks reports Report on proposals for investments in disaster resilience	Local ownership and willingness to sustain the action's outputs Medium/large disaster that triggers a PDNA Political stability and absence of major tensions between beneficiary partners
RESULTS	OBJECTIVELY VERIFIABLE INDICATORS (*)	SOURCES OF VERIFICATION	ASSUMPTIONS
Result 1: Increased regional cooperation for understanding and sharing risk information as well as promoting DRM	At least 1 Understanding Risk Forum Western Balkans, or similar, held Report on concept of a regional framework	Public proceedings of the Understanding Risk Forum Report on regional framework	Local willingness to cooperate at regional level Political stability and absence of major tensions between beneficiary partners
Result 2: Beneficiaries are supported and trained to conduct post-disaster assessments and formulate resilient recovery frameworks.	Number of technical assistances delivered to support Post disaster assessments Number of technical assistances delivered to support the formulation of Recovery Framework assistances Number of Post disaster and Recovery	Post Disaster/Recovery Frameworks public reports Materials and list of Participants of conducted trainings	

	<p>Framework ex ante trainings conducted</p> <p>Stand-by facility for conducting post disaster assessments and resilient recovery frameworks</p>		
<p>Result 3:</p> <p>Enhanced institutional capacity for DRM in selected Beneficiaries including on identification of no-regret measures and prioritised investments based on risk information</p>	<p>Number of DRM no-regret measures and investment opportunities identified and analysed</p> <p>Number of investment applications prepared for WBIF</p> <p>Recommendations on institutional arrangements for DRM</p> <p>"National DRM plan" or strategy developed in selected Beneficiaries</p>	<p>Action Reports</p> <p>Applications prepared for WBIF</p> <p>"National DRM Plans"</p>	<p>DRM is considered as a priority following the recent flood disasters.</p>

DESCRIPTION OF ACTIVITIES

As described above the action is divided into three components. The individual activities are outlined below for each component.

Window 1 – Increased regional cooperation for understanding and sharing risk information as well as promoting DRM

The first component will focus on strengthening the identification and sharing of risk information at regional level. Strengthening the regional cooperation in the Western Balkans will help to generate economies of scale in risk reduction strategies, and create an enabling environment to advance the Beneficiaries' DRM agendas. By promoting a system of risk data collection and exchange, as well as the development of communication between relevant institutions, data management across the Western Balkans will be made more effective and "national DRM institutions will be strengthened.

Activities will include:

- Organisation of a regional capacity building forum, such as those conducted in the framework of the [Understanding Risk community of practice](#)⁴, and following the format of the [Understanding Risk \(UR\) Conferences](#). Such forum will convene technical expertise, Western Balkans local communities and national decision-making agencies, as well as civil society and private sector entities in order to promote the necessary understanding for risk-informed investment decisions.
- Promoting the need for, and supporting the development of a regional cooperation framework to identify, share and use risk information. The most efficient options to set up a regional framework to share and use risk information will be identified and analysed.
- Study on analysis and recommended options for such regional cooperation framework.

Window 2 – Technical Assistance facility for post-disaster and resilient recovery

This component will establish a fast track mechanism supporting the Beneficiaries of the action in the aftermath of a disaster with rapid technical assistance to build back better, build ex-ante capacity for post-disaster needs assessments and foster DRR mainstreaming in recovery planning.

Activities will include:

- Technical assistance services in post-disaster situations, including for post-disaster assessments and resilient recovery
- Technical assistance services for ex ante capacity building to conduct assessment and foster resilient recovery

Window 3 – Enhanced institutional capacity for DRM in selected Beneficiaries including to support the prioritization and information of DRM no-regret measures and investments based on risk information

⁴ UR is a global community of experts and practitioners in the field of disaster risk identification, specifically risk assessment and risk communication. Since 2014 UR frequently convenes international experts, scientists, technologies, governments, and international actors including the European Union (through the European Commission), as well as private sector entities involved in disaster risk management.

Activities will contribute to building DRM capacities in selected Beneficiaries. An indicative list of criteria includes the Beneficiary's demand and ownership, the assessed needs and the existing overall policy dialogue on DRM. Technical assistance under this Window will address specific needs to strengthen the capacities of relevant national institutions involved in DRM and expand their knowledge and expertise in particular in the identification and preparation of DRM no-regret measures and specific investments, in view of possible subsequent financing through national budget and/or by international partners. Where relevant, support in transposing and implementing the DRM-related *Acquis Communautaire* can also be considered.

Activities in this area will include:

- Support to the development of NDRMPs in selected Beneficiaries. The technical assistance for NDRMPs will build on the successful experiences in Serbia and Bosnia and Herzegovina in developing their NDRMP, and consider a possible replication and adaptation to other Beneficiaries of the action. The NDRMP may consider institutional aspects of DRM, and should follow an integral approach covering the broad spectrum of DRM sectors which include risk information, risk reduction, preparedness, risk financing and resilient recovery.
- Identification and analysis of DRM no-regret measures and investments opportunities as well as the related funding options in a specific report.
- For relevant identified DRM investment opportunities, support to applications to funding mechanisms such as the Western Balkans Investment Framework (WBIF).

RISKS

The success of the action will depend in particular on managing potential risks. The below tables lists a variety of risks which potentially may be encountered during the implementation. In addition, it provides an indication on coping strategies to mitigate each identified risks.

Risks	Coping strategies
Lack of political commitment from central governments to cross border cooperation	The design of this action is based on the current nascent dialogue with central governments and regional actors such as the river basin commissions, in the wake of the 2014 floods. The action will promote the idea that disasters such as the 2014 floods require not only national but also regional-level response and risk management. In order to keep political commitment from IPA II beneficiaries' authorities high, it is important to continue involving national and regional stakeholders during the entire implementation and decision-making process. The action should also strive to identify local champions with the mandate and the convening power to bring together the main stakeholders in DRM.
Varying degrees of administrative capacity throughout the Beneficiaries of the action	The implementation of the action requires a substantial amount of flexibility in order to adapt to varying and changing national contexts. Where necessary, an assessment of capabilities and a continuous monitoring of capacities should be considered. The action will focus on Beneficiaries that have not undertaken substantial institutional capacity enhancing programmes.
Low level of communication among action stakeholders (please see section 3 for description of stakeholders)	The Task Team needs to ensure that focal points are identified by all stakeholders and that information is shared among them, through a regular coordination mechanism to be set up at programme inception. The Task Team and where possible the identified local champions need to act as facilitator in this case.

Rise of other development challenges	The action in question focuses on specific DRM challenges identified at the regional and IPA II beneficiary levels. Other development challenges, such as the refugee crisis, may arise during the implementation of this action and might thus delay the process or shift national attention. The Task team will raise awareness to make sure that the activities identified in the action continue despite other potential challenges. Also synergies may exist between DRM and management of other types of risks such as the refugee crisis.
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Past experience showed that, with strong project leadership from all stakeholders, the risks of poor implementation can be minimised. The action monitoring mechanisms will be designed to mitigate such risks.

CONDITIONS FOR IMPLEMENTATION

There are no prior requirements to the action as it will be directly implemented by the World Bank/Global Facility for Disaster Reduction and Recovery (GFDRR). The action aims at working directly with already existing central entities (described in section 3) in order to put in place an efficient framework for DRM at regional level and in selected Beneficiaries. However, ensuring strong commitment from the central authorities on the DRM objectives supported by the action will be of the essence. As such, and as an illustration it will be important to ensure that the recommendations provided in the recent PDNAs (Serbia, Bosnia and Herzegovina, Albania and the former Yugoslav Republic of Macedonia) in particular in the area of early warning and disaster risk management are adhered to and implemented.

3. IMPLEMENTATION ARRANGEMENTS

ROLES AND RESPONSIBILITIES

At national level, DRM actors in particular those in charge of generating and using disaster risk information, as well as those in charge of conducting post-disaster assessments and recovery frameworks will be the main Beneficiaries of the proposed action. Those actors vary according to the beneficiary partners, but are mainly line ministries, ministries of interior, hydromet agencies and geodetic/geographic institute, as well as national agencies in charge of disaster risk management which often report to the Prime Minister or Deputy Prime Minister, or a combination of some, or all of these institutions.

At regional level, the International Commission for the Protection of the Danube River (ICPDR) and the International Sava River Basin Commission (Sava Commission) will also benefit from the identification of a framework for coordinated risk information.

As mentioned in the risk section, the identification of national and regional political or technical champions will be essential to ensure ownership and sustainability of the action.

Eventually, the improved exchange of and understanding for risk information and post-disaster recovery will create opportunities for civil society organisations (CSOs), non-governmental organisations (NGOs) as well as the private sector.

Coordination of the action and between the different DRM actors will be ensured by the implementing agency (World Bank/GFDRR) in close working relationship with the European Commission headquarters, and where relevant with the EU Delegations, UN Agencies, especially in addressing cross cutting issues through regular meetings and exchange. The overall project management and coordination will be led by the World Bank GFDRR office in Brussels.

IMPLEMENTATION METHOD(S) AND TYPE(S) OF FINANCING

The action will be implemented through an Administration Agreement concluded under direct management with the World Bank. The funds will subsequently be channelled through a Bank-executed Trust Fund managed by the World Bank's Global Facility for Disaster Reduction and Recovery (GFDRR).

The World Bank plays a leading role in supporting Western Balkans' governments to address flood risk management at both regional and IPA II beneficiary level. The World Bank portfolio and expertise also extends to other disaster risks, like landslides, and earthquakes. In the wake of the 2014 floods, the cooperation deepened between the World Bank/GFDRR and the EU Delegations in Serbia and Bosnia and Herzegovina, as well as with the European Commission headquarters in Brussels.

The World Bank's GFDRR has an extensive experience of managing several EU-funded DRM Programs since 2011, and has built close working relationship with the European Commission services as well as the European Union Delegations during the implementation of such Programs. GFDRR works through the World Bank to mainstream DRM through policy dialogue, institutional building and financial support focusing on 5 pillars of DRM: risk identification, risk reduction, preparedness, financial protection and sustainable recovery. By operating through the World Bank, GFDRR is able to leverage the Bank's convening power, technical expertise and financing capacity which have yielded major results in scaling up DRM investments and enhancing DRM policy dialogue.

4. PERFORMANCE MEASUREMENT

METHODOLOGY FOR MONITORING (AND EVALUATION)

The monitoring of the action will be carried out by the Project Manager at DG NEAR. The Task Team at the World Bank/GFDRR will support the DG NEAR Project Manager with annual progress reports, and regular updates and specific reports on request.

GFDRR has developed dedicated monitoring and evaluation frameworks for all the EU-funded Programmes it manages, to assess the progress against the expected results of the program, using the baselines and indicators as described in the Results Framework agreed upon with the European Commission/EU Delegation at the Administration Agreement stage. This monitoring and evaluation framework is set up at the onset of the action in consultation with the EU.

The European Commission may carry out a mid-term, a final or an ex-post evaluation for this action or its components via independent consultants, through a joint mission or via an implementing partner. In case a mid-term or final evaluation is not foreseen, the European Commission may, during implementation, decide to undertake such an evaluation for duly justified reasons either on its own decision or on the initiative of the partner. The evaluations will be carried out as prescribed by DG NEAR guidelines on linking planning/programming, monitoring and evaluation. In addition, the action might be subject to external monitoring in line with the European Commission rules and procedures.

INDICATOR MEASUREMENT

Indicator	Baseline (value + year) (2)	Target 2019 (3)	Final Target (2020) (4)	Source of information
Extent to which DRM is integrated in "national development frameworks"	1 beneficiary (Serbia)	1 additional beneficiary	3 additional beneficiaries	Governments Progress reports
Extent to which DRM planning capacities are increased, among Governments	Limited capacity of Western Balkans apart from Serbia	1 beneficiary with increased planning capacities		Governments Progress reports
Extent to which a concept for a regional level framework for sharing and using risk information, developed	0	1	1	Action Progress reports
Number of post disaster needs assessment conducted and recovery frameworks formulated by beneficiaries.	0	3	4	Action Progress reports Post-disaster and Recovery Frameworks reports
Number of proposals developed for WBIF	0	2	4	Action Progress reports Report on proposals for investments in disaster resilience.
Number of trained people in DRM through capacity building events	0	200	300	Action Progress reports
R1.1 At least 1 Understanding Risk Forum Western Balkans, or similar, held	0	1	1	Public proceedings of the Understanding Risk Forum
R1.2 Report on concept for a Regional Framework	0	1	1	Report on options for a Regional Framework

R2.1 Number of technical assistances delivered to support Post disaster assessments and Recovery Framework	0	3	4 ⁵	Post Disaster/Recovery Frameworks public reports Materials and list of Participants of conducted trainings
R2.2 Number of Post disaster and Recovery Framework ex ante trainings conducted	0	3	5	Materials and list of Participants of conducted trainings
R3.1 Number of DRM no-regret measures and investment opportunities identified and analysed	0	4	8	Action Reports Applications prepared for WBIF
R3.2 Number of investment applications prepared	0	0	2	Action Reports Applications prepared for WBIF
R3.3 Number of "National DRM Plans" set up at national level	0	0	2	"National DRM Plans"

(1) This is the related indicator as included in the Indicative Strategy Paper (for reference only)

(2) The agreed baseline year is 2010 (to be inserted in brackets in the top row). If for the chosen indicator, there are no available data for 2010, it is advisable to refer to the following years – 2011, 2012. The year of reference may not be the same either for all indicators selected due to a lack of data availability; in this case, the year should then be inserted in each cell in brackets. The baseline value may be "0" (i.e. no reference values are available as the action represents a novelty for the beneficiary) but cannot be left empty or include references such as "N/A" or "will be determined later".

(3) The target year CANNOT be modified.

(4) This will be a useful reference to continue measuring the outcome of IPA II support beyond the 2014-2020 multi-annual financial period. If the action is completed before 2020 (year for the performance reward), this value and that in the 2020 target column must be the same.

⁵ 6 post-disaster/recovery technical assistances were requested (and delivered jointly by World Bank/UN/EU) by 4 Western Balkans IPA II beneficiaries between 2014-2016. This target assumes a comparable amount of Technical Assistances will be requested over the action period.

5. CROSS-CUTTING ISSUES

GENDER MAINSTREAMING

Throughout the project cycle, a gender sensitive DRM approach will take both women's and men's different needs, constraints and opportunities into account, thereby strengthening community disaster resilience and making DRM interventions more effective. This action will be driven by a people-centred and gender-balanced perspective.

Effective integration of women's and men's different needs, constraints and opportunities into DRM projects requires systematic consideration of gender dimensions at the earliest possible stage of project development and throughout the remaining project cycle (implementation and completion). At activity level, it will be ensured that the fundamental principles of promoting equality and combating discrimination are guaranteed on the basis of equal access regardless of sex. Implementing partners will be encouraged to address the specific needs and priorities of both women and men in planning and consultation processes, and allocation of resources especially because of differential impacts of floods in relation to health, education, food supplies, water and sanitation, energy and other basic supplies, as well as employment and income generating opportunities.

EQUAL OPPORTUNITIES

As the proposed action will be fully implemented by the World Bank, the World Bank's own code of conduct applies to all executed activities which follows the Bank's five core values including equal opportunities.

Equal opportunities will be mainstreamed in all relevant activities of the action. The development of the action will require professional qualifications and competences guaranteeing equal opportunities for its implementation and selection of experts. Specific attention will also be given when determining the attendance and Beneficiaries of trainings, seminars, workshops, conferences, and other activities organised in the framework of the action.

MINORITIES AND VULNERABLE GROUPS

The action will provide benefits to all groups of population without distinction, including people belonging to minorities and vulnerable groups, such as children, elderly, refugees, etc.

In general, when a natural or other hazard strikes, children in particular are among the most vulnerable population group, especially those attending school in times of disaster, those without any adults near, and especially children with disabilities. The most recent disaster of floods in Bosnia and Herzegovina affected over a million people in 46 municipalities among which 63% (500.000) of the affected population were children, while 150.000 children were directly exposed to risk. As indicated by relevant European and global indexes, the culture of safety and prevention in Bosnia and Herzegovina and Western Balkans beneficiaries is extremely low, while schools are the best venue for sowing collective values, and can serve as vehicle for building a culture of prevention. However, schools are often neglected as catalysts for change. Dozens of schools in Bosnia and Herzegovina have been damaged in the past several years in smaller to large-scale disasters (floods and landslides), interrupting education and causing the loss of educational staff as well as development gains. It is not only crucial to ensure disaster-resilient school infrastructure, but also to improve DRR management and education in schools, with the aim to minimize hazardous impact and ensure that schooling continues after hazards strike. Learning about disaster risk in schools may help children to play an important role in saving lives and protecting members of the community in times of disaster. Making disaster risk education an integral part of the school classes helps to build greater awareness of the issues across entire communities. In addition to their essential role in formal education, schools must also protect children in the event of a natural hazard. Investing in strengthening school structures before a disaster occurs protects generations of children, reduces long-

term costs, and ensures educational continuity after the event. Additionally, protection of children with disabilities through inclusive approach to disaster risk reduction topics and eventually creation of inclusive disaster risk management and inclusive DRR plans, should be additionally emphasizes as standard and cross cutting issue. The action will take into account to the extent possible and when the government demonstrates a clear commitment, risk mitigation strategies that include vulnerability reduction of the children through safer schools.

ENGAGEMENT WITH CIVIL SOCIETY (AND IF RELEVANT OTHER NON-STATE STAKEHOLDERS)

The implementation of all activities will be in close consultation with civil society and non-state actors as per the description in previous sections⁶. In order to enable a more inclusive and transparent dialogue, consultation and communication with relevant CSO stakeholders will be undertaken whenever possible. Under component 3 for instance, the action foresees specific consultations with non-state actors, such as academia and CSOs, as part of the possible formulation of "national DRM frameworks".

As an example, the Serbian CSO consultation mechanism – established in 2011 – could potentially be used as model for this action. The mechanism is based on the consultative process with sectorial CSOs and serves as a platform that enables exchange of information and contribution of CSOs to planning development assistance, particularly programming and monitoring of the IPA.

ENVIRONMENT AND CLIMATE CHANGE (AND IF RELEVANT DISASTER RESILIENCE)

Environment is not a cross-cutting issue but is in fact a central topic for most of the interventions of this action, from the Climate Change Adaptation point of view which has important overlaps with the environment agenda.

The action will contribute to promoting climate change adaptation including civil protection and disaster risk reduction in the Western Balkans, taking into account growing climate-related risks. The activities will support the development of climate- and disaster-resilient economies by strengthening IPA II beneficiaries' capacities, establishing data collection and sharing systems, and institutionalising regional cooperation.

The action addresses directly DRR and as such it will have a direct link to the EU's environmental acquis. Where relevant and needed, the action may foresee support to the transposing and implementing of the DRM-related *Acquis Communautaire*, in particular the [Floods Directive](#) and the [Water Framework Directive](#).

Climate action relevant budget allocation: EUR 2.5 million
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6. SUSTAINABILITY

The action calls for follow-up measures, in particular regarding Results 1 and 3.

As part of Result 1, the identified concept for a regional framework will likely be designed as a cost-effectively and informal one, in order to ensure that the identified implementing entities would not be hindered financially and in terms of human resources.

⁶ A substantial amount of immediate aid during the 2014 and 2016 floods (charity, direct assistance to victims, provision of voluntary support, benefits campaigns, collection of goods and medicines, etc.) was mobilised with the participation of private subjects, citizens and CSOs.

Under Result 3, the NDRMPs will be owned by Governments as a policy and planning document to ensure sustainability beyond the duration of the Programme. NDRMPs could be used to gather additional support from potential donors, international partners and Financial Institutions.

In addition, the action will help Beneficiaries develop the applications of the investments opportunities identified through the NDRMPs, in view of specific investment facilities such as WBIF. This activity is designed per se to create follow up financing actions, which will ensure the continuation of the present Programme benefits to the Governments.

Finally, as part of the implementation approach of both Results 1 and 3, the action will contribute to identify national and regional champions, within or outside Governments, which are likely to continue to promote DRM at IPA II beneficiary and regional level.

7. COMMUNICATION AND VISIBILITY

Communication and visibility will be given high importance during the implementation of the action. The implementation of the communication activities shall be funded from the amounts allocated to the action.

All necessary measures will be taken to publicise the fact that the action has received funding from the EU in line with the Communication and Visibility Manual for EU External Actions. Additional Visibility Guidelines developed by the European Commission (DG NEAR) will have to be followed.

Visibility and communication actions shall demonstrate how the intervention contributes to the agreed programme objectives and the accession process as well as the benefits of the action for the general public. Actions shall be aimed at strengthening general public awareness and support of interventions financed and the objectives pursued. The actions shall aim at highlighting to the relevant target audiences the added value and impact of the EU's interventions and will promote transparency and accountability on the use of funds.

GFDRR has experience on EU reporting and visibility needs because of the several EU-funded TFs GFDRR manages. GFDRR has also ensured an effective coordination with European Commission Headquarters and EU Delegations who will be informed on a regular basis about ongoing and planned communication activities under the action. Communication activities will be subject to a regular follow-up to indicate how effective the information and publicity measures are in terms of visibility and awareness of the action.