

**Guide for applicants on the
preparation of concept notes to
apply for grants under the**

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

**Supported under the United Kingdom's
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Building Resilience and Adaptation to Climate Extremes and Disasters (BRACED) Programme

Guidelines for Concept Note applications

Please read these guidelines carefully to determine if you are eligible to apply for a grant and to ensure your application meets all the requirements. The guidelines have three sections:

- **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 details on the grants BRACED will make to NGOs, and what is required of NGOs and their consortia/alliances or partnerships in making grant applications.

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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. It is provided to prospective grantees so that they are aware of why DFID has developed BRACED.

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 from 1981 to 2002 found that when economic and social rights are equal for both sexes, death rates from diastases do not differ significantly for men and women. But when women's rights and socio- economic status are not equal, 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). This is provided to prospective grantees so that they are aware of the overall objectives of BRACED and what it will do, including making grants to scale up activities on disaster risk reduction (DRR) and adaptation.

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.

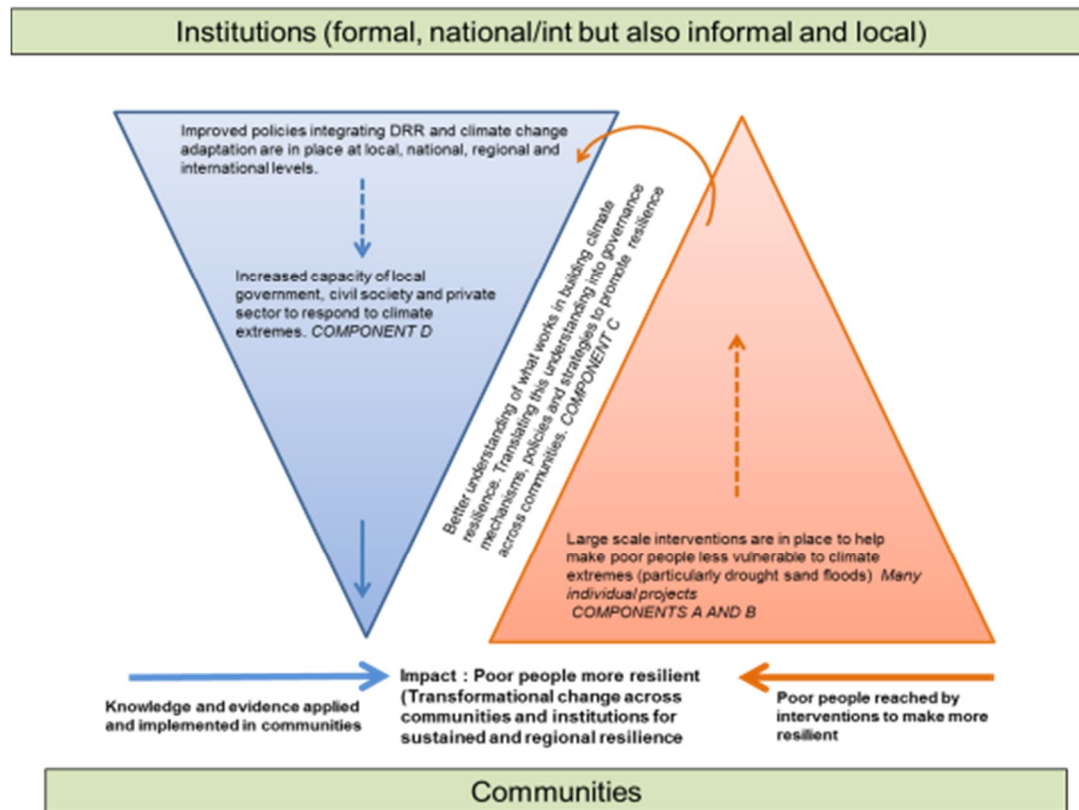
What are BRACED objectives?

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. A methodology for resilience assessment will be developed (based on existing approaches) and projects will be expected to use this methodology to annually report on this outcome. Projects will also be expected where possible to identify 'control' groups to compare these measures to. The Knowledge, Evidence and Evaluation manager, contracted under Component D, will provide technical advice to grantees on this resilience monitoring.

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, Evidence and Evaluation 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.
- 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.

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. In doing this it is expected to work with NGOs who receive grants under BRACED.

51. This component is under design and further details will be provided on this in the guidance for the development of full proposals.

SECTION C: GRANTS TO NGOS

This section provides detailed guidance for prospective grantees on the grants to consortia, alliances or partnerships that the Building Resilience and Adaptation to Climate Extremes and Disasters Programme (BRACED) is planning to make. Grantees are advised to read this section carefully so they are fully aware of eligibility criteria and the activities that grants can cover before completing and submitting the BRACED concept note application form.

What countries can be included in grant applications?

The Sahel (Component A)

52. Component A will support work in Burkina Faso, Chad, Mali, Mauritania, Niger, and Senegal. A proposal can but does not have to include more than one country.

53. This component will provide large-scale support to adaptation and DRR activities at the grassroots level through grants to partnerships/alliances/consortia of NGOs, local government, private sector and research organisations. These will be used to build the resilience of households and communities in the Sahel by improving and diversifying livelihoods, developing shared management systems of resources critical to resilience (water, rangelands, and forests) and embedding disaster risk reduction and adaptation into climate change and development responses.

Selected DFID focal countries (Component B)

54. Component B will scale up DRR and adaptation actions in up to five out of nine DFID focal countries whose populations are at risk of climate extreme events. The list of countries that are eligible are: Burma, Nepal, Ethiopia, Kenya, Pakistan, South Sudan, Sudan, Uganda, and Mozambique^a. A proposal can, but does not have to, include more than one country from this list, but any country included has to be from this list of countries.

Sahel and DFID focal countries

55. A single application can cover countries in both the Sahel and other DFID focal countries. If the applicant does this they should provide justification on why a broader project will deliver results. Plans and budgets should be disaggregated to separate expenditure between the Sahel and DFID focal countries.

^a Uganda is provisionally eligible only. Grantees proposing to work in Uganda should confirm with DFID (BRACED@dfid.gov.uk) that it is fully eligible before starting to develop their applications.

Rural and urban locations

56. BRACED will accept proposals that build resilience to climate extremes in rural and urban areas, or a combination of areas. Links between rural and urban populations may well be important in building overall resilience. For example rapid urbanisation in many countries means towns and cities are becoming important elements in economic diversification. Proposals will be expected to show a clear understanding of impacts of urbanisation on land access and resilience to climate change.

What organisations can apply for BRACED grants?

57. Applications to the BRACED programme that are led by UK, National and International non-government and not-for-profit organisations will be considered. (See paragraph 58 for definition, and paragraph 61 on exclusions).

58. For the purposes of BRACED, DFID defines 'not-for-profit' organisations as those that do not distribute surplus funds to owners or shareholders, but instead use them to help pursue the organisational goals.

59. If your proposed project is selected for support, we will undertake a due diligence review of your organisation before funding is agreed. Following the outcome of this review, our offer of support will either be agreed or withdrawn. Please see the summary of DFID's corporate governance expectations of CSOs and due diligence (on the website).

60. For BRACED grants we will not consider applications that are led by the following types of organisation. Although they can be part of partnerships, alliances and/or consortia applying for grants:

- Think tanks (sometimes known as policy institutes, which conduct or analyse research)
- Academic institutions (including institutions which are eligible for funding from the Higher Education Funding Councils and equivalents in England, Wales, Scotland and Northern Ireland)
- International organisations primarily focused on research
- UN agencies and inter-governmental organisations
- National or local government organisations
- Private sector and for profit organisations.

61. We will not consider applications from any organisation which:

- Is actively involved in proselytising
- Encourages activities which may lead to civil unrest
- Is linked to any terrorist organisations
- Discriminates against any groups on the basis of gender, disability, race, colour, ethnicity, religion and sexuality.

62. An NGO can only lead one consortium/alliance/partnership in any one country or group of countries. It can be part of another consortium/alliance/partnership applying for a BRACED grant that is to be implemented in another country or region. Proposals can be single or multi-country.

63. Given the size of the final grant NGOs deciding whether they want to lead a consortium/alliance/partnership should consider whether they have the capacity to manage a large grant. Any NGO leading a consortium/alliance/partnership will need to demonstrate they have this capacity and to provide evidence of past projects they have managed successfully.

64. BRACED is not a small grants programme, and NGOs or CSOs looking for small grants are advised not to apply. DFID provides other opportunities for this type of grant. For example [the Global Poverty Action Fund](#).

Consortium, alliance or partnership approach

65. DFID is expecting grants to be delivered by new or existing consortia, alliances or partnerships. We expect these to add value to the delivery of the grant by bringing together different organisations that will work closely with each other, learn and innovate together and by doing this deliver more than the sum of their parts. We do not want BRACED grants to simply fund a set of separate interventions in different locations.

66. Informal consortia i.e. 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.

67. Formal consortium applications are defined for 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.

68. 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.

69. During the project development phase additional partners can be identified to be part of the consortia/partnerships/alliances implementing the full project. Informal consortia, alliances or partnerships can if they wish establish themselves as formal consortia during the project development phase.

What organisations can be members of consortia, alliances or partnerships?

70. All consortia/alliances/partnerships should include national organisations wherever feasible. These could be national or local CSOs or NGOs, local government, national research organisations or private sector organisations.

71. National or local NGOs who are members of a consortium/alliance/partnership should be based in one of the BRACED target countries must be locally registered and independent. If the NGO is part of a larger international family it must demonstrate significant autonomy. The NGO should be locally registered and have its own constitution or governance document and an independent board of trustees i.e. the board must be locally appointed and be free and able to make independent decisions on

strategic and operational issues. We may request to see relevant documentation to support this.

72. For the BRACED programme, the type of partner is defined in terms of the nature of the partnership. Implementation partners are defined as those that manage project funds and play a prominent role in project management and delivery. Collaborative partners are those that play a key role in supporting the delivery of the project and in coordination, but do not directly manage project funds.

73. For all proposed consortia, alliances or partnerships, the roles of each partner and their contribution to the delivery of the project must be clearly defined.

What activities will grants under BRACED support?

74. Grants are expected to support activities that will build the resilience of households and communities by improving and diversifying livelihoods, developing shared management systems of resources critical to resilience (water, rangelands, and forests) and embedding DRR and adaptation into climate change and development responses.

75. 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, 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.

76. It will be for consortia, alliances or partnerships to propose what interventions they plan to scale up. In doing so they will need to demonstrate what climate extremes they are building resilience to, and be clear on what results will be achieved. An indication of these benefits and costs of proposed interventions will only be required for concept notes but full proposals will need to provide comprehensive details.

How should grants address gender and empower women?

77. All BRACED initiatives must demonstrate appropriate consideration of gender issues within the project context, including analysis of barriers and opportunities for women girls, men and boys. They should also demonstrate how they will address the challenges of climate related disasters to women and not just simply disaggregate data by gender. Proposals should set out the steps grantees plan to help empower women, including in decision making, and build their resilience to disasters.

78. 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 policy and institutional actions are expected?

79. As discussed on page 10 there is also a need for better connections between local and national approaches, and to bring practice and policy together. An objective of BRACED is to make these links and learn on what types of policy work well at building resilience across communities within a country. We therefore expect all BRACED grants to be able to demonstrate how their work at the grassroots will inform local and national policies.

80. 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 and communication strategies 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.

81. 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 (e.g. position of women).
- Use of local development funds to strengthen financial autonomy.

82. Vulnerability is often 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.

How should beneficiaries be involved in project design?

83. In addition to the requirement for applicants to work with partner organisations in each the project country (see below), there must also be clear mechanisms in place to enable beneficiaries to participate in the design, management and implementation of the project, to help enhance the sustainability of the project after DFID funding has ended.

Monitoring and evaluation of full projects

84. DFID have developed a set of key performance indicators for the International Climate Fund (ICF). All projects should contribute to the ICF indicator to help the number of people helped to cope with climate change. BRACED programmes may also contribute to other indicators. Details of the ICF indicators can be found on the BRACED

programme website. It is also a requirement that projects should contribute to the indicators and targets in the BRACED logframe. A copy of this logframe can be found on the BRACED web site.

85. The International Institute for Environment for Development (IIED), with support from DFID, is working with partners to develop and pilot a framework, called Tracking Adaptation and Measuring Development (TAMD). While this framework is still in its feasibility and testing phase the [TAMD website](#) is a useful resource and has nine 'off the shelf' methodologies to help track adaptation and development.

86. Proponents may also consult the full list of DFID standard indicators. These can be found on our website beside the other BRACED documents. These indicators are not specific to BRACED but are relevant to a range of themes applicable to the broader work that DFID does.

87. All projects supported under BRACED will be expected to have a clear results framework and set out their monitoring and evaluation plans. Project proposals should set out how they will measure progress on a local and national scale and how the programme outputs can be embedded into wider climate resilience strategies and plans^b. They should also state how beneficiary groups will be involved in monitoring and evaluation.

88. All projects supported under BRACED will be expected to conduct an annual assessment of the resilience of the target beneficiaries or community, with support from the Knowledge, Evidence and Evaluation Manager. The methodology for this will be developed by the Knowledge, Evidence and Evaluation Manager based on existing approaches, but concept notes should demonstrate that the organisations have the capability and skills to do this.

89. Responsibility for data collection and project level output monitoring and reporting against the logframe will lie with the grantees under components A and B. 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 from 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.

90. In addition to project monitoring DFID will be commissioning thematic and strategic evaluations through the Knowledge, Evidence and Evaluation Manager. Concepts should state if they expect to contribute to these questions (Box 3), though this list is not exhaustive or finalised and may be updated. Organisations in receipt of grants will be

^b For example National Adaptation Programmes of Action (NAPA) and Nationally Appropriate Mitigation Actions (NAMAs).

expected to engage with the Knowledge Evidence and Evaluation Manager on this. The Knowledge, Evidence and Evaluation manager will also provide some technical support to successful recipients of project development grants in producing their results frameworks and monitoring and evaluation plans.

What can be funded under full BRACED grants?

91. 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.
- Staff costs for NGOs and research organisations
- Training and capacity building
- 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 should be in economy and actual travel costs are allowed. Subsistence allowances and per diems will not be allowed
- Communications to help deliver results and share these more broadly.
- Administration, management and coordination costs.

92. While different types of organisations can be members of consortia/alliances/partnerships there are restrictions on what these grants can be used for in supporting these organisations. For example staff costs are not expected to be covered for private sector, local and national government bodies and UN agencies.

What is the duration of grants to NGOs?

93. DFID recognises that building and sustaining resilience to extreme climate events will take time. This is why BRACED is planned to have two phases. Under the first four year phase BRACED plans to establish grants and activities on DRR and adaptation. Subject to performance and availability of funds DFID may continue support under a second three year phase.

94. In relation to grants to NGOs the first phase is split into two. There will be an initial project development period of six months, and full grants for a further full three years.

Can others provide funding to full BRACED projects?

95. Yes other agencies can support full BRACED projects and, in principle, DFID would welcome this. 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.

What is a project development grant?

96. The best project concept proposals will be selected and proponents will be asked to develop full proposals for a three year period, to build or strengthen existing consortia/alliances/partnerships and to pilot actions they plan (paragraph 97 provides more details). To enable them to do this grant proponents can request a project

development grant. This is not a requirement and proponents can use their own resources to develop full proposals.

What can a project development grant support?

97. The purpose of this project development grant is to allow proponents to deliver the following outputs:

- Build consortia/partnerships/alliances to implement scaled up projects. The establishment and effectiveness of these partnerships/alliances/consortia will be a criteria condition for successful bids for full proposals. Additional partners for consortia/partnerships/alliances 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.

98. Project concepts will need to define the activities the consortia/alliances/partnerships will undertake that will be supported by the project development grant. This should have clear objectives and outputs with a log frame.

99. Project development grants can be used to cover reasonable and justified costs to deliver the outputs under paragraph 96 and can cover:

- Piloting of actions to help demonstrate what the full project will scale up.
- Studies to provide quantitative details on the costs and benefits of the approaches and practices that the full project proposes to scale up.
- Documentation and sharing of the practices and approaches the full project plans to scale up.
- Meetings and workshops to build the consortium/alliance/partnership. These should be kept to a minimum and virtual meetings should also be used to reduce travel and associated costs.
- Travel. Any air travel should be in economy and actual travel costs are allowed. Subsistence allowances, per diems will not be allowed.
- Legal costs of the establishment of a formal consortium.
- Development of results frameworks, data collection and establishment of baselines
- Administration and coordination costs.

100. A detailed budget for the project development grant must be submitted with the concept application with all costs fully justified. Details of co-financing of the project development phase should also be given. A full assessment of value for money will be undertaken during the appraisal of project concepts.

101. Project development grants will be paid on the satisfactory delivery of the agreed outputs. Any unused funds must be returned to DFID at the end of the project development phase. Funds cannot be carried over to the full project phase.

How to apply for funding

102. Applications must be completed, in English, on the concept note form provided on the BRACED web page. We will not consider applications submitted in any other format. The concept note is a document which helps us to easily identify any organisations that do not meet the basic eligibility criteria at an early stage and to identify which concept notes are best suited to the programme criteria.

103. Please ensure that you follow the guidance at the front of the concept note form regarding formatting and number of words per section. You should also complete the eligibility, validity and concept note documentation checklists at the front of the form. When doing so, please refer back to this guidance document where necessary, and ensure that you have complied with all the BRACED programme requirements.

104. Applications must have a sensible, concise project title 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.

105. Some examples of acceptable project titles[°] could be:

- Building the resilience of 200,000 people in Niger to floods and droughts and improving household incomes and food security.
- Supporting 500,000 people living in low lying coastal areas in Bangladesh to better withstand flooding and cyclones to protect their livelihoods and assets.

106. At this concept note stage you must also submit the following documentation:

- Annual reports of lead organisation for the last 3 years
- A completed logframe (in Excel format) for all outputs and activities planned under the project development phase.
- An outline logframe with goal, purpose and outputs expected for the full project. We expect this to be revised and finalised during the project preparation phase.
- Outline evaluation plan
- An electronic copy of lead organisation constitution OR Governance document of consortium (see paragraph **Error! Reference source not found.**) 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 leads from each partner organisation.

[°] NB These are not real projects but simple examples of possible titles.

107. All completed concept notes and required attachments must be submitted electronically to BRACED@dfid.gov.uk by 23:59 BST on 10th November 2013.

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

- Call opens 3rd September 2013
- Open meeting with DFID on BRACED programme and NGO call for prospective proponents 19th September 2013
- Deadline for the submission of Concept Notes is 23:59 BST on 10th November 2013.
- All proponents should be notified of the result of their application for a project development grant by the end of November 2013.
- Agreements on project development grants with all successful proponents is expected to be completed by end of December 2013.
- The deadline for the submission of full proposals is expected in June 2014 with proponents notified if their full proposal has been accepted by August 2014. These dates will be confirmed in further guidance.
- Full projects are expected to commence in August/September 2014.

Appraisal of concept notes

109. Concept notes will be logged and an acknowledgement e-mail will be issued providing a unique reference number for your concept note within two weeks (10 working days) of the closing date. The reference number should be used in all communications with DFID about your concept note. All concept notes will be checked for eligibility and validity. Only those that are considered to be eligible and valid will be fully assessed. To be eligible proposals must:

- Be led by an NGO (see paragraphs 60 and 61).
- Plan to work in one or more of the eligible countries (see paragraphs 52 and 54).
- Propose to scale up actions that build resilience to climate extremes (see Box 1 for definition).
- Benefit at least 250,000 people.

110. If the answer is **no to any of these questions then concepts will not be eligible**. All eligible concept notes 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.

111. The best concept notes will be selected to proceed to the next stage: the preparation of a full proposal, demonstration of the value (costs and benefits) of what they plan to scale up and potential piloting of activities.

112. DFID's assessment will be based only on the information which is explicitly contained within your concept note. You must not assume that DFID has any prior knowledge of your organisation/alliance/consortium/partnership or its work. If your proposal is later considered suitable for a full grant we may take into account the management and performance of previous projects funded by DFID when making final decisions.

113. All responses to questions or requests for clarification on these guidelines will be published as 'Frequently Asked Questions' on the BRACED section of the DFID website.

Box 4 Appraisal Criteria for BRACED Concept Notes

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 concept note:

- a. Include approaches, practices and technologies to scale up to build resilience of communities to climate extremes that are feasible and realistic – 20%
- 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%

Partnership, Capacity and Capability - Does the concept note:

- d. 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%
- e. Show clearly the roles the different partners will play and demonstrate these are appropriate. – 10%
- f. Demonstrate that the members of the consortium, alliance or partnership have the capacity and capability to implement the proposed full project – 10%

Learning, Policy and Sustainability - Does the concept note?

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

Value for Money

114. 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 concepts and full proposals will be subject to a full value for money assessment.

115. 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.

Notification of outcome and next steps

116. All applicants will receive notification of the outcome of the assessment of their concept note. Please note that all decisions are final and there is no appeals process.

117. Those granted project development grants will be invited to submit full proposals. Details of all successful grants will be published on DFID's BRACED web site.

118. The award of a project development grant is not an indication that full proposals will be accepted by DFID. The second stage of application for grants is only open to those invited to submit full proposals and/or awarded development grants.

119. Full proposals will need to provide a more detailed description of the project plans. Full details of what is required will be provided in further specific guidance on the preparation of full proposals and actions expected to be undertaken during the project development phase.

120. Full proposals will be assessed against more detailed criteria. It is expected that the average grant size will be £5 million over three years and will benefit up to 500,000 people. Higher grants of up to £10 million will be considered where more than one country is to be supported. The minimum grant is expected to be £3 million. Grants will be made on the delivery of agreed milestones and results – “payment by results”.

121. Please note that the proposal appraisal process for a full grant BRACED may include an assessment interview.

Duty of care

122. 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.

123. DFID will share available information with grantees on security status and developments in-country where appropriate. 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. All such Personnel must register with their respective Embassies to ensure that they are included in any emergency procedures.

124. 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 the grantee must ensure they (and their Personnel) are up to date with the latest position.

Further information and queries

125. DFID will hold a meeting on Thursday 19th September 2013 open to all those who are interested in submitting a concept note to apply for grants under BRACED. This meeting will be held in our London office (26 Whitehall) from 2 to 4 pm. If you would like to attend this meeting please send an email request email by 12th September 2013 to BRACED@dfid.gov.uk. Due to expected demand only one person from an organisation will be given a place. DFID will not cover the costs of applicants to attend this meeting.

126. At the meeting DFID staff will make a presentation on the programme and take questions on the call for concepts. The presentation, and a record of the meeting, will be made available on the BRACED programme website for those unable to attend.

127. If you have any queries not covered by these guidelines, please e-mail the BRACED Programme Manager at BRACED@dfid.gov.uk. Please note DFID will publish answers to all queries on the BRACED programme website.

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*

List of references

- ¹ 2012 IPCC “Special Report on Managing the Risks of Extreme Events (SREX) and Disasters to Advance Climate Change Adaptation
- ² Natural Hazards, UnNatural Disasters, The Economics of Effective Prevention, (summary booklet) 2010, World Bank
- ³ Ibid
- ⁴ Defined as non-OECD countries. Source: EMDAT 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).
- ⁸ Foresight: Reducing Risks of Future Disasters (2012). Final Project Report. The Government for Science, London
- ⁹ Foresight: Migration and Global Environmental Change (2011). Final Project Report. The Government Office for Science, London
- ¹⁰ Rayco-Solon, P. et al. (2002) Differential effects of seasonality on preterm birth and intrauterine growth restriction in rural Africans. *Am J Clin Nutr.*, 81(1) 134-139.
- ¹¹ Maleta, K. et al. (2003) Seasonality of growth and the relationship between weight and height gain in children under three years of age in rural Malawi. *Acta Paediatr* 92: 491-497.
- ¹² Fuentes, R. and Seck, P. 2007. The Short-Term and Long-Term Human Development Effects of Climate-Related Shocks: some Empirical Evidence. New York, UNDP
- ¹³ Del Ninno, C., Dorosh, P.A. and Smith, L.C. (2003) ‘Public policy, markets and household coping strategies in Bangladesh: Avoiding a food security crisis following the 1998 floods’. *World Development* 31(7): 1221–1238.
- ¹⁴ Silventoinen, K. 2003. Determinants of variation in adult body height. *Journal of Biosocial Sciences*, 35:263–285.
- ¹⁵ UN Standing Committee on Nutrition (2010) Climate Change and Nutrition Security: Message to the UNFCCC negotiators.
- ¹⁶ One example is the Ethiopian Productive Safety Net Programme which now incorporates a risk financing mechanism to provide additional support during bad years.
- ¹⁷ Neumayer, Eric, and Thomas Plümpner (2007). The gendered nature of natural disasters: the impact of catastrophic events on the gender gap in life expectancy, 1981–2002. *Annals of the Association of American Geographers* 97(3): 551–66.
- ¹⁸ World Bank (2011b). *Making Women’s Voices Count: Integrating Gender Issues in Disaster Risk Management*. Operational Guidance Notes. Washington, DC: The World Bank, East Asia and Pacific Region.
- ¹⁹ World Bank. 2011. Gender and Climate Change: Three Things You Should Know.
- ²⁰ Agarwal, Bina (2010). *Gender and Green Governance: The Political Economy of Women’s Presence Within and Beyond Community Forestry*. Oxford: Oxford University Press.
- 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.*
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- ³⁰ Ward level climate resilience assessments will be available on the website of the National Drought Management Authority of the Government of Kenya very soon.
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