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A GUIDANCE NOTE

National Post-Disaster Recovery Planning and Coordination



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The document builds on the experiences of selected countries, which include Bangladesh, Bolivia, Chile, Dominican Republic, Haiti, Indonesia, Maldives, Pakistan, Philippines and Tajikistan. Creation of the document followed a thorough and extensive review process with Country Offices, practitioners and colleagues.

For more information or to participate in further discussions, Country Offices can consult the Guidance Notes section of the UNDP Crisis Response website.

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Overview of the Guidance Note



Overview of the Guidance Note

INTRODUCTION

Nearly half of the countries where UNDP works are prone to conflict, disasters, political instability and economic shocks. UNDP assists countries that are addressing sudden and slow-onset events that destabilize economies and communities by supporting their governments as they move out of the crisis response phase and into the planning and implementation of longer-term recovery activities. As one of the few partners with a mandate and a permanent presence on the ground before, during and after a crisis, UNDP is well positioned to take action at the onset of crises to establish a clear link between humanitarian activities, recovery planning and the transition to sustainable development pathways. Due to its experience in development policy and practice, UNDP can play a strategic role in efforts to integrate development principles into recovery processes, looking beyond the idea of restoring the status quo to a vision of building communities back better, reducing poverty and vulnerability, protecting and quickly restoring development gains and reducing the risk of future events by adopting strategies that transform risk into resilience.

The importance of UNDP's work on recovery is increasing as the number of people affected by disasters around the world continue to rise. Changing temperatures, extreme weather patterns, variations in precipitation and rising sea levels are modifying hazard levels and exacerbating disaster risks. The frequency and intensity of weather-related events are expected to increase, with heat waves, drought, flooding, cyclones and wildfires exacting a heavier toll on human and natural environments. Across the globe, these threats, when combined with poverty, exposure, continued urban migration and the destruction of natural ecosystems, drive risk to dangerous and unpredictable levels.

From 2012 to 2014, 994 disasters impacted more than 326 million people across the globe.¹ The cost of physical damage caused by these events is also rising - from an estimated US\$20 billion on average per year in the 1990s to about \$100 billion per year in the first decade of this century². As climate change and migration accelerate, the cost of recovery will continue on an upward trajectory. Recovery strategies that champion inclusive, safe, resilient and sustainable rebuilding and more equitable societies are in short supply and high demand.

Recovering from disasters is a challenging process. Disasters undermine hard won development gains and create greater pressures than are found in 'normal' development settings: heightened urgency; the need for rapid reaction and speedy results; media scrutiny; lack of experience, capacity and expertise; a multiplicity of national, local and international actors whose efforts all require coordination; and resource scarcity and few dedicated funding sources to meet recovery needs. Responding to these demands requires a clear road map, an efficient, well-organized process, knowledge gained from past failures and successes, rapid decision-making and implementation capabilities and skilled coordination.

The main objective of this Guidance Note on National Post-Disaster Recovery Planning and Coordination is to provide practical advice to UNDP Country Offices on how to design and implement recovery initiatives that will strengthen government capacity to lead and manage national recovery efforts in the early, medium and long-term.

¹ Centre for Research on the Epidemiology of Disasters (CRED). 2014. Annual Disaster Statistical Review 2013: The numbers and trends. Institute of Health and Society (IRSS) Université Catholique de Louvain – Brussels, Belgium.

² IMF. 2012. Natural Disasters: Mitigating Impact, Managing Risks.



This document emphasizes all three phases of disaster recovery and the need to understand that much like in development work, there are no quick fixes in recovery and concerted efforts to rebuild sustainable societies require long-term investments.

This Guidance Note will help Country Offices as they position UNDP's support to host governments in the wake of a major disaster and through the entire recovery process so that sustainable disaster recovery strategies can be delivered effectively at the country level.

The UNDP Mandate in Recovery

UNDP's mandate to conduct operational activities in disaster mitigation, prevention and preparedness was laid out by the United Nations General Assembly in 1997 (A/RES/52/12B, paragraph 16, December 1997) and an additional mandate to ensure inter-agency recovery preparedness was added by the United Nations Emergency Relief Coordinator in 2006. Within the scope of these mandates, UNDP has provided sound leadership in the field of disaster recovery for many years, which includes leadership in assessment, planning, programming, coordination and capacity building. UNDP champions the need to credibly address Early Recovery in humanitarian contexts and chairs the Cluster Working Group on Early Recovery.

Overview of the Guidance Note

SUMMARY AND STRUCTURE OF THE GUIDANCE NOTE

This Guidance Note draws on UNDP's extensive experience in supporting governments during post-disaster recovery processes and it capitalizes on particular areas of expertise that have been developed, such as post-disaster needs assessments (PDNAs), design of national recovery strategies and institutional arrangements for recovery, coordination of recovery processes, government capacity development and the restoration of local governance functions. Lessons learned and best practices that inform UNDP's approach to recovery are drawn from countries' experiences in recovery, including those listed below.

Bangladesh – In 2007, Cyclone Sidr took nearly 4,000 lives and left millions homeless. **Bolivia** – Flooding in 2006 caused \$260 million in damage and affected more than 38,800 families.

Chile – An 8.8 magnitude earthquake and tsunami in South Central Chile in 2010 caused damage estimated at more than \$30 billion.³

Dominican Republic – Tropical storms Noel and Olga in 2008 caused more than \$439 million in damage and had both direct and indirect effects on more than 70 percent of the country's population.

Haiti – The 2010 earthquake in Haiti had a devastating impact on the country and particularly on Port au Prince.

Indonesia – The South Asian Tsunami that struck Aceh and the island of Sumatra in December 2004 was followed by an earthquake in March 2005. In May 2006, another earthquake struck Central Java and the Special Region of Yogyakarta Province.⁴

Maldives – The 2004 Asian Tsunami caused this country's gross domestic product to drop by more than 60 percent and affected one-third of the population.

Pakistan – Monsoon floods in July through September 2010 affected the lives of over 18 million people and forced millions to flee their homes.⁵

Philippines – In 2013, Typhoon Yolanda – one of the strongest typhoons on record – caused extensive loss of life and damage to housing, livelihoods and infrastructure across nine of the Philippine's poorest provinces, affecting 16.1 million people and displacing 4.1 million.

Tajikistan – 2007-2008 brought a series of economic, environmental and social shocks which became a compound disaster,⁶ affecting two million people and creating massive food insecurity and damage to water and electrical supplies.

This *Guidance Note* draws upon the experience of these UNDP Country Offices as they sought to design and implement recovery programmes in a wide range of areas that span across UNDP's areas of expertise. Their recovery initiatives were reviewed to extract practical insights and critical lessons capable of informing future recovery processes. These experiences differ in terms of context, scale of destruction, national and local capacities and characteristics in each setting, but together they highlight a range of good practice examples, potential interventions, challenges and pitfalls.

³ UNDP. Chile Country Case Study: Support to Early Recovery in the aftermath of the Earthquake in Chile in February 2010.

⁴ UNDP. Indonesia Country Case Study: Early Recovery Assistance Programme for Yogyakarta and Central Java.

⁵ UNDP. Pakistan Case Study: Early Recovery Programme for the flood affected communities in Pakistan.

⁶ UNDP. Tajikistan Country Case Study: Early Recovery Roll Out.



The *Guidance Note on National Post-Disaster Recovery Planning and Coordination* functions as a manual for UNDP Country Offices and staff. **Part A** outlines the principal areas of expertise and types of support UNDP can provide to governments: institutional arrangements and coordination mechanisms for recovery; conducting needs assessments; recovery planning; the concept of Disaster Risk Reduction and ‘building back better’; resource Mobilization; managing recovery processes; and residual risk (such as preparedness measures and pre-disaster recovery planning). **Part B** focuses on UNDP’s internal processes and operational procedures and describes the essential considerations and steps that UNDP Country Offices must take in order to comply with programming requirements, procurement regulations, proposal writing formats, etc. that are used in UNDP’s post-disaster recovery planning process.

The Guidance Note on National Post-Disaster Recovery Planning and Coordination is one of a series of UNDP Guidance Notes, that include:

- ‘Emergency Employment and Enterprise Recovery’,
- ‘Community Infrastructure Rehabilitation’,
- ‘Debris Management’,
- ‘Municipal Solid Waste Management’,
- ‘Restoration of Local Governance Functions’, and
- ‘Aid Management’.

In particular, this Guidance Note complements the ‘Restoration of Local Governance Functions’ and ‘Aid Management’ guidance notes. While this Guidance Note does not discuss every area of UNDP’s work on recovery, all the other Guidance Note also have some bearing on this document.

As UNDP continues to engage in national post-disaster recovery planning and coordination, this *Guidance Note* will be continually updated so that it remains a ‘living’ document and constitutes a vital knowledge management resource in a learning organization. To make a contribution to the Guidance Note, or submit questions, e-mail signature.products@undp.org.





PART A:

Support to Governments

PART A: Support to Governments

1

THE CONCEPTUAL FRAMEWORK

1.1. What is Post-Disaster Recovery?

Disaster Management consists of five main phases: prevention, preparedness, response, mitigation and recovery. While significant knowledge exists on the first four phases, the recovery phase remains less developed and is the least well understood. UNDP sees recovery as an opportunity for change and for connecting countries to the knowledge, experience and resources needed to transform places where extreme events occur, enabling resilient and sustainable outcomes for the affected populations.

1.2. Some Useful Definitions of Disaster Recovery

Recovery is the restoration, and improvement where appropriate, of facilities, livelihoods and living conditions of disaster-affected communities, including efforts to reduce disaster risk factors.

- UNISDR, 2007, www.unisdr.org/we/inform/terminology

Recovery is not just a physical outcome but a social process that encompasses decision-making about restoration and reconstruction activities...The post-disaster period is an opportunity to upgrade the quality of construction to better resist subsequent events and begin to think through ways to mitigate future damage...Disasters should be viewed as providing unique opportunities for change—not only to building local capability for recovery—but for long-term sustainable development as well.

- Mileti, 1999, pp. 229, 236, 238

Early Recovery addresses recovery needs during the humanitarian phase. It is an integrated, inclusive and coordinated approach to gradually turn the dividends of humanitarian action into sustainable crisis recovery, resilience building and development opportunities. Using an early recovery approach is crucial to the first efforts of the community to recover and build their resilience. Such

an approach could include restoring local government capacities, reviving livelihoods, strengthening basic social services, addressing social cohesion and community security concerns. (from the internal document Implementing Early Recovery: Background note for IASC Principals, Recommendations on Strengthening Early Recovery.

- Global Cluster on Early Recovery, 5 September 2014

1.3. From Theory to Practice: UNDP and Sustainable Disaster Recovery

For UNDP, recovery efforts begin in the immediate aftermath of a crisis - during the relief phase itself - and continue until full recovery is achieved. UNDP's approach involves planning for recovery in stages - which are referred to as early, medium and long-term recovery. Early recovery takes place during a transition period that represents a vital bridge between emergency relief and longer-term development. Early recovery begins with quick interventions, such as Cash for Work or Food for Work; in the medium-term, interventions aim at rebuilding shelter, infrastructure and livelihoods; and in the long-term interventions work toward building government capacities and reducing the risk of future disasters. However, activities to support national government efforts to coordinate and plan recovery could already take place in the early days after the disaster - even in the humanitarian phase - and continue until the end of the recovery period.

Recovery aims to restore basic services and facilities, economic stability, physical assets, infrastructure, important socio-cultural and environmental features of communities and living conditions. Fundamental to UNDP's conceptual framework for recovery is the application of principles that reduce the risk of future events, decrease the vulnerability of impacted populations, promote 'building back better'⁷ and ensure the sustainability of recovery efforts.

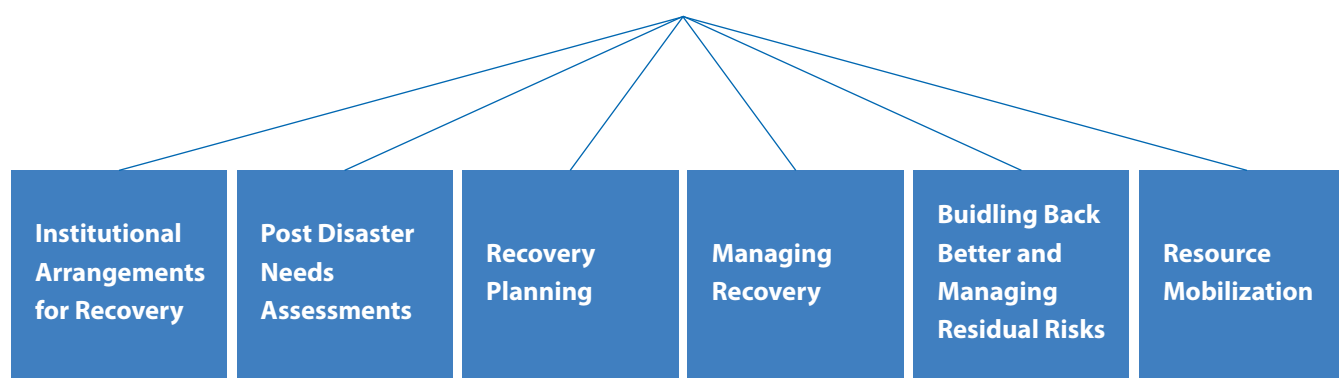


Recovery encompasses a huge range of activities, and successful recovery efforts require excellent coordination across an array of sectors and partners in the process. Recovery processes should be led by national and local governments and their sector ministries and agencies with support from international humanitarian and development organizations, United Nations agencies, civil society organizations and non-governmental organizations. In the midst of this wide variety of actors and interests supporting recovery, it is particularly important that affected communities are provided the space to participate in local rebuilding processes and are able to represent their preferences and vision for their lives, future safety and well-being. Inclusive processes, which give affected populations a voice in the planning, design and implementation of

recovery efforts, have been shown to produce greater success, higher satisfaction and sustainable outcomes and are championed as part of the UNDP approach.

Part I of this *Guidance Note* provides guidance on the main elements of the post-disaster recovery process, as reflected in the diagram below. Past experience shows that these elements present challenges to governments and to the international community when implementing recovery processes and therefore require careful attention and strong support. UNDP has developed particular expertise in these principal areas and can effectively build the capacity of governments to lead efforts to assess the impact of a disaster, identify needs, prioritize interventions and coordinate the implementation of recovery processes.

Principal Areas of Support to Governments in Recovery Planning and Coordination



⁷ ISDR. 2009. Terminology on Disaster Risk Reduction; EU, UN, WB. 2013. Post-Disaster Needs Assessment Guide: Volume A.

PART A: Support to Governments

1

THE CONCEPTUAL FRAMEWORK

Post-disaster recovery should be governed by guiding principles, examples of which are listed below.⁸

- Ground recovery interventions in a thorough understanding of the context in which they take place.
- Identify needs and priorities of affected populations by creating participatory processes that involve communities themselves in decision-making, service delivery and recovery.
- Promote gender equality and ensure recovery needs of women, children and men are met across all sectors.
- Assess vulnerability to non-recovery, based on factors such as race, gender, ethnicity, age, language, religion, political or other affiliation, national or social origin, disability, geography, poverty, etc.
- Integrate principles of development and secure human development gains.
- Support spontaneous recovery processes, local networks, volunteerism and self-sufficiency.
- Ensure national ownership and leadership of the recovery process through the fullest possible engagement of national and local authorities in the planning, execution and monitoring of recovery actions.
- Rebuild people's livelihoods to ensure their capacity to recover and promote the acquisition of new livelihoods, taking the specific needs of women into account.
- Support decentralized decision-making and management of recovery; build local-national coordination.
- Strengthen monitoring systems and increase transparency so that affected populations can hold governments and local authorities accountable for recovery outcomes.
- Integrate measures that reduce risk and vulnerability, prevent conflict and build back better.
- Safeguard *primum non nocere* – 'first, do no harm' - in recovery interventions.
- Promote human rights and other rights-based approaches in recovery.

⁸ CWGER. 2008. *Guidance Note on Early Recovery*; EU, UN, WB. 2013. *Post-Disaster Needs Assessment Guide: Volume A*.



2 AREAS OF SUPPORT TO GOVERNMENTS

With experience of working both in crisis and development contexts, UNDP is particularly well positioned to play a main role in post-disaster recovery, minimizing the possible divide between relief and development. Additionally, decades of experience in the implementation of programmes in disaster risk reduction and post-disaster recovery in over 177 countries, has afforded UNDP considerable expertise in this area.

Experience shows that post-disaster recovery is a challenging process characterized by urgency, a multiplicity of national and international actors, and limited amounts of capacity, expertise and funding. Additionally, the transition between the humanitarian and recovery phase is particularly challenging as it often results in gaps in service delivery, programming and decision-making as humanitarian actors phase out and recovery activities run by development actors phase in. It is therefore essential to manage this transition well and plan for it early in order to avoid interruptions in assistance and support to the impacted populations.

Meeting the demands of this situation requires strong leadership, coordination and planning - all areas in which UNDP can provide critical advice to government partners and can offer expertise to help strengthen their capacity to lead effectively in this context. UNDP makes its main contribution to recovery through the capacity and expertise found in its Country Offices, which are augmented through support from regional centres and headquarters, when required. Therefore, UNDP Country Offices must be actively engaged in the post-disaster environment and prepared to shoulder organizational recovery mandates.

This section of the Guidance Note outlines the ways in which UNDP can provide practical support to host governments in the following areas:

- 2.1. Institutional Arrangements for Recovery
- 2.2. Needs Assessments
- 2.3. Recovery Planning
- 2.4. Managing Recovery

- 2.5. Building Back Better and Managing Residual Risks
- 2.6. Resource Mobilization

2.1. Institutional Arrangements for Recovery

One of the most critical elements of post-disaster recovery planning is to define the institutional arrangements for recovery. Given the numerous national and international actors involved in a multi-sectoral recovery process, coordination, strong leadership and the capacity to act become central to effective recovery management processes.

Institutional arrangements in recovery refers to the designation of roles and responsibilities within the government to lead recovery and reconstruction. The principal elements of institutional arrangements are the nomination of national and sub-national structures to govern recovery; establishing legal mandates for implementing agencies; identifying technical skills and capacities; securing finances and allocating resources; defining coordination mechanisms; and appointing oversight functions. Another part of strong institutional arrangements is a system for monitoring activities, tracking funds and evaluating projects and programmes. Furthermore, the manner in which funds for recovery are mobilized, how they flow and assurances of both transparency and accountability, will be paramount to the success of any set of institutional arrangements.

While a variety of options for setting up institutional arrangements for recovery exist, three important considerations for this process are:

1. Can line ministries be strengthened to lead recovery in each sector?
2. Does a lead agency or institution need to be created?
3. Is a new but temporary lead agency best for governance arrangements in the host country?

PART A: Support to Governments

2 AREAS OF SUPPORT TO GOVERNMENTS

Early establishment of the best mechanisms to manage recovery will allow effective implementation and clear lines of authority so that recovery objectives can be met. Strong leadership capacities can overcome institutional barriers, organizational divisions between stakeholders, align all players behind a single set of recovery objectives and ensure that best practices are incorporated into recovery thinking and practice.

The role of the recovery agency should include the items listed below.

1. Provide leadership and direction to all rebuilding efforts of national and international assistance agencies.
2. Formulate national needs assessments, priorities, a national recovery plan, policies and legal or regulatory changes required to support disaster relief, recovery and risk reduction measures.
3. Facilitate formulation of sectoral recovery strategies, financing, and project approval processes.
4. Review and select projects and programmes and identify appropriate agencies and partners to execute and facilitate project implementation in disaster relief, recovery and risk reduction.
5. Facilitate coordination of recovery efforts at local government level and empower local leadership in their interactions with national ministries and with international and national non-governmental partners.
6. Mobilize, define the use of, and manage national government and international donor funding support and resources behind national relief, recovery, reconstruction and risk reduction goals.

7. Conduct oversight (monitor and evaluate) of recovery and reconstruction efforts of various government and other implementation agencies in terms of project success and timelines, speed of reconstruction, processes, fund deployment, transparency, accountability and benefits accruing to affected communities.

While national governments need to define, lead, plan and coordinate overall recovery, local governments must contribute to detailed project planning based on the requirements of local communities. The international community and development actors must work to strengthen local governance mechanisms - including civil society organizations, NGOs, women's organizations and community-based organizations - to allow broad participation in the recovery process, provide essential technical advice and encourage transparency and accountability of governance processes.

While these national institutional arrangements are being set up, the UNDP Country Office can support the recovery institutions with technical experts and corresponding support services, such as offices, equipment, human resources, go kits, etc., to strengthen the institution's capacities to plan and implement recovery.

For more information on institutional arrangements for post-disaster recovery, see the Guide to Developing Disaster Recovery Frameworks, which has been developed as part of the PDNA process and contains a chapter called "Institutional Framework for Recovery" (pp. 25-39).⁹ This guide, jointly developed by UNDP, the World Bank's Global Facility for Disaster Reduction and Recovery (GFDRR)¹⁰ and the European Union, is an excellent resource that details the many issues that must be contemplated and resolved when designing functional institutional arrangements capable of supporting successful recovery operations in a country.

⁹ Full guide (dated March 2015): www.undp.org/content/undp/en/home/librarypage/crisis-prevention-and-recovery/pdna.html.

¹⁰ The Global Facility for Disaster Risk Reduction (GFDRR) is a global partnership, managed by the World Bank and funded by 25 donor partners, to help high-risk, low-capacity developing countries better understand and reduce their vulnerabilities to natural hazards and adapt to climate change.



Institutional Arrangements for Recovery

UNDP Pakistan's Support to Earthquake Reconstruction and Rehabilitation Authority (ERRA)

Following the 7.6 magnitude earthquake in Kashmir in 2005, the Government of Pakistan set up a dedicated agency, the Earthquake Reconstruction and Rehabilitation Authority (ERRA), to manage and coordinate the country's earthquake recovery processes. Over a three year period, UNDP with funds from the Government of Germany and DFID, supported this agency. UNDP initially worked with the ERRA to identify and recruit national and international experts to lead sectoral recovery work, provided technical assistance for projects and gave equipment to set up the institution. UNDP also funded positions within the agency at the national and district level to support government coordinate and oversee implementation of recovery programmes in housing, livelihoods, legal aid, education, etc. UNDP' contributed to the functioning of ERRA as a strong technical entity with clear operating procedures.

Indonesia's Institutional Coordination Mechanism Established in 2005

Following the 2004 Asian Tsunami, the Government of Indonesia took leadership

of recovery and established a special agency with ministerial level authority to coordinate reconstruction efforts and implement a Master Plan for Rehabilitation and Reconstruction - the Agency for the Rehabilitation and Reconstruction of Aceh and Nias (known as BRR). Established with a four year sunset clause, the agency was based in Banda Aceh, had a regional office in Nias and a representative office in Jakarta.

Put in place to manage one of the largest humanitarian programmes in history, the agency's mission was to restore livelihoods and strengthen communities in Aceh and Nias by designing and overseeing a coordinated, community-driven reconstruction and development programme implemented according to the highest professional standards. For BRR, this meant ensuring the reconstruction programme was effective, duplication was minimized, that donor funds were used optimally and that local community input and participation in reconstruction was prioritized. For oversight and monitoring purposes, the BRR Knowledge Centre (referred to as KNOW) was established to manage information and data on recovery, support by a multi-donor fund and in partnership with UNDP.

PART A: Support to Governments

2 AREAS OF SUPPORT TO GOVERNMENTS

UNDP Support for Institutional Arrangements for Recovery

UNDP plays a key role in supporting governments needing to coordinate and manage major recovery processes.

This form of UNDP assistance may include the following:

- provide advice on effective types of coordination structures and mechanisms for recovery and the roles and responsibilities of recovery actors at national, subnational and local levels;
- exchange experiences in recovery, such as south-south cooperation or the dissemination of other lessons learned;
- offer expertise and human resources needed to augment government capacities, such as recovery advisors and coordinators;
- support the development of recovery policies and principles to guide the planning process;
- train national and local government officials in post-disaster recovery operations and their management;
- assist with the organization of national and sub-national surveys of recovery needs and priorities;
- devise communication and information-sharing mechanisms to facilitate coordination among stakeholders and with affected communities;
- ensure the inclusion and participation of various stakeholders from government, non-government, private sector and affected communities, including vulnerable groups such as the disabled, children, women, the elderly, the poor, the marginalized, etc.;
- mainstream gender throughout the process, including in stakeholder engagement and in generating sex-disaggregated data and analysis and reflecting it in recovery planning efforts; and
- deploy a Recovery Advisor to the Humanitarian Coordinator/ Resident Coordinator to strengthen inter-agency coordination.

UNDP's Support for Recovery Coordination in Pakistan¹¹

To ensure coordination and accountability in the 2010 post-flood recovery effort in Pakistan, the National Disaster Management Authority and the United Nations Humanitarian Coordinator formed an Early Recovery Working Group at federal and provincial levels to foster information sharing, adopt measures to minimize duplication and gaps and to prevent discrimination towards the affected population. The Early Recovery Working Group comprised eight Sectoral Working Groups organized around the eight prioritized sectors in Early Recovery and four Thematic Groups, convened around four cross-cutting Early Recovery themes (disaster risk reduction, environment, gender and social protection). The Early Recovery Working Group, Sectoral Working Groups and Thematic Groups conducted a Mapping and Gap Analysis exercise to identify Early Recovery needs, challenges, response to date, available funding and funding gaps, which were used to develop Early Recovery strategies for each sector and thematic area.



2.2. Needs Assessments

Needs assessments following a disaster are fundamental to determine the extent of damage and losses and identify the needs and priorities of affected populations, and as such, constitute the first step in disaster response. In addition, they form the basis for needs-based planning and as a tool for mobilizing donor funds for recovery. Assessments can take different forms depending on the scope, scale and context of an event and UNDP might participate in a variety of assessment processes, if requested or mandated to do so. Types of assessments that are commonly undertaken in post-disaster scenarios are described below.

Humanitarian and Early Recovery

Assessments: Governments and international actors conduct rapid assessments in the immediate aftermath of disasters to identify a wide range of humanitarian needs. Rapid assessments are often organized around clusters or sector teams and make use of sector-specific assessment methodologies and tools. One of the most common of these joint assessments is the Multi-Cluster/ Sector Initial Rapid Assessment (MIRA)¹². While in some cases, humanitarian assessments might also identify early recovery needs, in most instances they focus on immediate, life-saving relief measures and recovery needs assessments are undertaken separately.

Sector Assessments: Governments conduct assessments of damage and losses in specific sectors through relevant line ministries. Often a sector assessment might be undertaken if a certain sectoral issue has become central to recovery but was not part of a multi-sectoral assessment process. Some examples are governance, disaster risk reduction, non-agricultural livelihoods or community infrastructure. In such cases, UNDP may be called on to provide support or technical assistance, to

partake in the establishment of an assessment team with representatives from relevant government ministries and United Nations agencies, or to support the design of appropriate assessment methods and tools.

Post-Disaster Needs Assessment (PDNA):

The PDNA is a standardized methodology developed by the United Nations, World Bank and European Union to support governments to assess disaster damages and losses across all sectors and social groups and, on such basis, identify recovery needs and design an actionable and sustainable recovery strategy that can mobilize financial and technical resources. The PDNA comprises a government-led assessment and recovery planning process that is participatory and includes both national and international partners. PDNAs often build upon earlier assessments but provide a more comprehensive and stronger empirical basis for estimating recovery costs which can then be presented at an international donor conference. UNDP supports the planning, coordination and implementation of PDNAs and sector-specific assessment teams. PDNA Guides should be used when undertaking these assessments. UNDP together with other United Nations agencies, World Bank and the European Union have developed two sets of guidelines for the PDNA. The first, referred to as Volume A, elaborates on the protocols for cooperation and provides an overview of the PDNA methodology. The second, referred to as Volume B, explains the methodology to conduct sector assessments and consists of guidelines for 18 sectors. The PDNA guidelines can be viewed at: www.undp.org/content/undp/en/home/librarypage/crisis-prevention-and-recovery/pdna.html#.

In an increasing number of countries, particularly for larger scale emergencies, governments conduct PDNAs with the support of the international community. At the country level, the decision to commence a PDNA is discussed by the national government, the European Union Head of

¹¹ UNDP. *Pakistan Case Study: Early Recovery Programme for the Flood Affected Communities in Pakistan*.

¹² https://docs.unocha.org/sites/dms/Documents/mira_final_version2012.pdf.

PART A: Support to Governments

2 AREAS OF SUPPORT TO GOVERNMENTS

Delegation, the World Bank Country Director or Manager and the United Nations Resident Coordinator and/or Humanitarian Coordinator but is not triggered until an official request from the government to the Tripartite (EU/WB/UN) is made.

No matter which type of assessment is undertaken, the timeliness and quality of assessments are critical to achieving effective recovery outcomes. Yet, experience and lessons learned have shown that most needs assessments are carried out with insufficient coordination, communication and information sharing, leading to a duplication of efforts and assessment fatigue. UNDP is well placed to help manage this process and to build government capacity for the recovery operations it recommends.

UNDP Support for Needs Assessments

UNDP Country Offices can support governments to coordinate and manage multi-sectoral assessments, such as the PDNA, by the below actions.

- Establish a High-Level Needs Assessment Secretariat to oversee and coordinate the process (include Tripartite members and staff from highest level government office involved).
- Facilitate communication, trust and information sharing among the various participating actors, such as among clusters, sector teams, United Nations agencies and government line ministries.
- Manage the logistics of organizing individual sector assessment teams, including involving the best expertise available in the country, calling meetings, monitoring deadlines and deliverables, providing transport, communications, office space, personnel and equipment to the effort and managing external expertise brought in to support the Country Office.

- Provide technical assistance and human resources, such as support staff, enumerators and translators.
- Organize capacity-building efforts and training on post-disaster needs assessments methodology for government officials, members of civil society and the international community.
- Support information management (databases, websites, etc.).
- Assist with the consolidation and analysis of assessment results, report-writing, etc.
- Support Country Office staff to participate in assessments on the UNDP areas of expertise (governance, environment, disaster risk reduction, housing, infrastructure, human development, non-agricultural livelihoods, etc.).

The organization and implementation of needs assessments, particularly PDNAs, is a major undertaking and requires significant financial resources to cover assessment costs. UNDP is typically a key partner in assessments and the Country Office must ensure the capacity to participate and support national governments. When planning and organizing UNDP's participation and support, due consideration should be given to:

- the type of expertise and human resources needed and whether these are available within the UNDP Country Office, through partners, or need to be mobilized with support from Headquarters (such as via the SURGE mechanism, explained in Part II of this guide);
- using the PDNA guides and practical tools that have been designed to facilitate the process; and
- determining how and if the Country Office can provide office space, logistics or other support services to the process.

UNDP Support for Needs Assessments

The Post-Disaster Needs Assessment in Nepal ¹³

In response to a 7.6 magnitude earthquake on 25 April 2015, the Government of Nepal undertook a post-disaster needs assessment. The assessment was carried out under the leadership of the National Planning Commission with support from UNDP, the World Bank, the European Union, the Asian Development Bank, the Japan International Cooperation Agency and a large number of donors. Over two hundred and fifty national and international experts worked in 23 thematic teams to assess the impacts of the earthquake in 31 affected districts.

UNDP was a member of the core team which coordinated, provided technical guidance and drafted the final PDNA report with contributions channelled from distinct sectors. UNDP also led the assessment of governance, environment and forestry, disaster risk reduction, human development impact sectors and contributed to sector assessments for housing, employment and livelihoods, agriculture and livestock, community infrastructure, social protection, gender equality and social inclusion. The PDNA in Nepal was completed in record time for such a large-scale disaster - one month - and was presented in a donor conference which helped raised \$4.4 billion of the estimated \$6.7 billion for recovery and reconstruction.

Nepal Earthquake - Kathmandu Valley after quake, 3 May 2015.
© Laxmi Prasad Ngakhusi / UNDP Nepal

¹³ www.npc.gov.np/web/ui/index.php/home/pdna.



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2.3 Recovery Planning: National and Sectoral Recovery Frameworks

Recovery Planning at the National Level

Planning is a critical step in the national recovery process and provides the basis for defining a shared vision for recovery, clear objectives and intended results, a way forward, implementation timeframe and estimated cost of recovery. Recovery planning in a post-disaster context is based on the results of assessments and the recovery needs they identify and it is typically a complex process involving a large number of national and international institutions as well as the affected communities. Planning must take place at both national and local levels across multiple sectors and multiple organizational boundaries. For planning efforts to succeed, it is critical to ensure coordination and facilitate trust among all the actors involved in the recovery process, working across an array of sectors.

Planning will be led by the members of the institutional mechanisms put in place by the government, under the leadership of the designated government authority for recovery. The first recovery planning document is often done as a part of the post-disaster needs assessment. This work is led by the PDNA Secretariat, which is comprised of representatives from UNDP, the World Bank and the European Union, and led by a high-level government functionary. This document defines the main areas of the recovery strategy, including implementing actors and resources required.

In addition to this, the actual detailed planning efforts will be generally undertaken in collaboration with the affected communities, United Nations agencies, international financial institutions, civil society and non-governmental organizations, the private sector and select donors. The result is a national Recovery Framework that will guide the overall recovery process. The Recovery Framework lays out an integrated, programme-level action plan to

facilitate multi-sector recovery planning and prioritization and activity sequencing. It is intended to guide funding decisions and functions as a living baseline document to monitor progress and evaluate impacts.

The formulation of the Recovery Framework (sometimes referred to as a recovery strategy) often involves a participatory workshop or set of sectoral workshops following the completion of assessments, such as the PDNA. A core analytical team, often including technical experts and government partners, will consolidate recommendations from these workshops and will then define the necessary institutional arrangements that would ensure successful recovery efforts – such as national and local level leadership, participation of impacted communities, implementation capacity, resource mobilization and tracking of funds, information management and the assurance of transparency and accountability through monitoring efforts.

While the content of a National Recovery Strategy and Framework will always be shaped by the national context, the following elements should generally be addressed:

- recovery objectives;
- the recovery vision;
- a definition of recovery and a conceptual framework – what recovery means in this context;
- a set of guiding principles for recovery;
- a description of disaster recovery phases and the implementation timeframe;
- institutional and implementation arrangements, such as the government recovery management structure, gaps in disaster management, recommended structural changes and role of local government;

- information management and decision support systems (a description of the tools necessary to properly manage the data needed to maintain accountability and track progress);
- resource mobilization strategies and financial mechanisms;
- monitoring and evaluation of recovery progress; and
- an inter-sectoral recovery framework (a table with a brief summary of sectoral recovery needs identified in the PDNA, including key recovery interventions, priorities, timeframes, costs and implementing partners).

Increasingly, the development of a Recovery Framework within each of the sector reports that make up a PDNA is becoming a standard planning tool for governments and the international community in post-disaster scenarios. The sectoral Recovery Framework is a roadmap for recovery actions within each sector. Sectoral Recovery Frameworks take the form of tables and are devised after sectoral recovery needs have been identified. They include:

1. recommended recovery interventions;
2. the timeframe in which each intervention should be implemented (early, medium or long-term recovery);
3. a prioritization or ranking of interventions so it is clear which ones are most urgent;
4. a government lead and a set of partner organizations for implementation purposes; and
5. the estimated cost of each intervention and the entire sectoral recovery effort.

With all of these planning elements in place, the Recovery Framework serves as a tool for promoting and guiding private, local, national, bi-lateral and multi-lateral investment in recovery implementation and for securing donor interest in critical priorities.

The development of sectoral Recovery Frameworks and the overarching national Recovery Framework should be led by the government and include the collaboration of different stakeholders, including the World Bank, the United Nations system, the European Union, relevant international and national NGOs, the private sectors and others. However, there are times when catastrophic events can overwhelm governments and their functioning capacity. In these types of situations, it can be necessary to lead from behind to help government partners with insufficient capacity produce these recovery tools. This brings to the fore UNDP's classic capacity-building role and attempts to use the planning process as a capacity-building exercise itself.

In order to provide detailed guidance to national governments on developing Recovery Frameworks, as mentioned earlier, UNDP has partnered with the World Bank's Global Facility for Disaster Risk Reduction (GFDRR) and the European Union to jointly prepare the *Guide to Developing Disaster Recovery Frameworks* (DRF Guide)¹⁴. The main objective of this document is to guide governments and other implementing stakeholders in the drafting of these documents, so that they become full-fledged recovery planning, implementation and monitoring tools. The DRF Guide is based on good practices compiled from disaster recovery experiences in nine selected countries, as well as experiences of international advisory and technical working groups constituted to develop the guide.

See [Annex 5](#) for the template for developing a National Recovery Strategy.

¹⁴ www.gfdr.org/sites/gfdr/files/publication/DRF-Guide.pdf.

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Recovery Planning and Coordination Examples

Tajikistan¹⁵

In response to the compound disaster in Tajikistan brought on by winter-related hardships, UNDP worked with partners to develop an Early Recovery Plan. Within the plan, a set of guiding principles was adopted, which included cross-border conflict prevention in the Fergana Valley where an escalation of tensions had been reported. Project activities included capacity development with local governments and civil society institutions to enhance their ability to conduct negotiations and conflict prevention and mitigation measures.

Chile

The two guiding principles in Chile's earthquake Reconstruction Plan in 2010 are below.

1. Rebuilding societies is not only about infrastructure, i.e. just the replacement of assets lost in the disaster, it aims to restore livelihoods, communities, natural features and the surrounding environment, social bonds, governance and sustainability.
2. Rebuilding is an opportunity to plan for the future while preserving the past: reconstruction must address risks and vulnerability, maintain cultural heritage and strengthen development planning.

Workers at a gravel plant in Kulyab City, Tajikistan, January 2014.
© UNDP Tajikistan

¹⁵ UNDP. 2012. *Tajikistan Review: Early Recovery Roll Out*.





UNDP's Support for National Recovery Planning and Sectoral Recovery Frameworks

UNDP's support for the development of a National Recovery Framework (or Recovery Strategy) may include the actions listed below.

- Provide technical expertise in the form of National Recovery Planning Experts to support the drafting of the PDNAs.
- Develop templates and guidance for a National Recovery Framework and Inter-Sectoral Recovery Framework.
- Support the planning process by helping organize and facilitate workshops, using participatory and bottom-up approaches.
- Assist the development of recovery policies and principles.
- Support training and capacity building for government officials on recovery planning and management.
- Support government in facilitating inclusive recovery planning processes involving relevant government agencies, development partners, civil society organizations, women's organizations, local governments, impacted communities and the private sector.
- Provide additional human resources (e.g., support staff, workshop facilitators, translators).
- Provide practical support and resources such as office space or workshop venue, equipment, workshop materials, logistics, etc.
- Assist with the write-up and distribution of the final National Recovery Strategy or Framework.
- Support the formulation of an advocacy and communication strategy for recovery.

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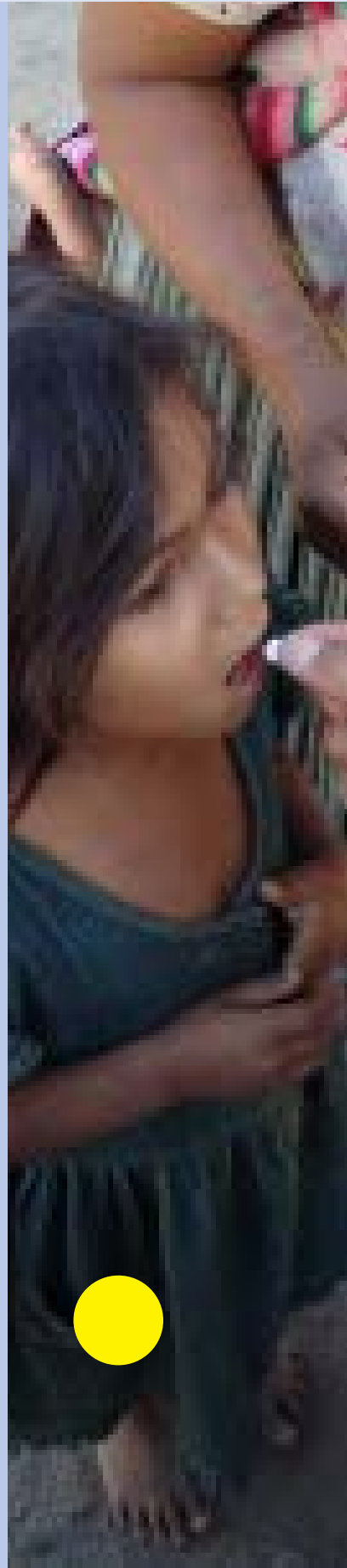
Supporting the Development of a Recovery Framework in Bolivia .¹⁶

Following the 2006 floods in Bolivia, and in response to the government's request for assistance, UNDP facilitated the recovery planning process and the development of a Strategic Framework for Recovery and Transition to Development. UNDP organized the planning team, which included nine sector working groups, nine vice-ministers, six international agencies, a group of NGOs and three UNDP advisors. The planning process took place over the course of one month and was built on Lessons Learned from previous recovery processes in Bolivia and in Latin America.

UNDP assisted in drafting the Recovery Framework, which was formulated based on principles of sustainable development. After this process was complete, a Coordination Committee was formed to oversee implementation of the Recovery Framework, with representation from the President's Office, Ministry of Development Planning and Ministry of National Defence. A Technical Committee was formed to coordinate the implementation of recovery activities in affected areas. The Recovery Framework was endorsed by sectoral ministries, the National Commission for Risk Reduction and Emergency Response (CONRADE) and the President of Bolivia.

A girl from Riberalta receives antimalarial treatment.
© UNDP/Bolivia

¹⁶ Gobierno de la República de Bolivia y Naciones Unidas. 2006. *Marco Estratégico para la Planificación de la Recuperación y Transición al Desarrollo: Inundaciones y Granizada en Bolivia 2006*.





Recovery Planning at the Local Level

Once a national recovery framework or strategy is developed, its implementation will often require local-level planning in specific geographic locations where projects will be implemented. Local Recovery Action Plans outline in greater detail the priority needs and strategies of specific geographic areas that have been affected. Since impacts vary in different geographic areas, needs, priorities and recovery strategies must be location-specific. While the Recovery Framework is national in scope and necessarily broad, Recovery Action Plans focus on specific geographic areas and include greater detail about proposed sectoral responses. The Recovery Action Plan should enable planning and implementation efforts to move forward in each affected community and the planning efforts should guarantee the direct involvement of affected populations, thus strengthening local participation in recovery processes. Care should be taken to make sure women, youth and other vulnerable groups are included in the process. Further guidance can be found in UNDP's Signature Product on the 'Restoration of Local Governance Functions'. UNDP helps to support the development of local Recovery Action Plans by:

- facilitating and organizing the planning process at local levels via such mechanisms as recovery planning workshops;
- providing capacity-building training to local authorities and communities on multiple aspects of the recovery planning process and the integration of cross-cutting issues such as disaster risk reduction and gender;
- supporting participatory planning processes that include community-based organizations, NGOs, community leaders, women, academic or vocational institutions, the private sector and other key local stakeholders; and
- providing support services (office, equipment, etc.).

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Participatory Recovery Planning

The Dominican Republic¹⁷

Following tropical storms Noel and Olga, which affected the Dominican Republic in 2007, UNDP supported national and sub-national recovery planning processes. In order to begin implementation in the most affected provinces, particularly Barahona and Duarte, UNDP facilitated a broad participatory planning process to identify the specific recovery needs and priorities of affected communities and to support local authorities and communities with the design of provincial recovery plans.

Workshops were organized in affected provinces with the participation of municipal authorities, senators, NGOs, church representatives, universities, community and professional organizations, United Nations agencies and other international partners. The workshops led to the formulation of provincial Strategic Frameworks for Recovery and the Transition to Development (*Marcos Estratégicos para la Recuperación y Transición al Desarrollo*). Maps were developed for each of the affected provinces to support the implementation of recovery projects, indicating specific storm-affected geographic areas, land use, watersheds and other relevant data.

The provincial Recovery Frameworks were officially shared with the President of the Dominican Republic, the senate, provincial legislators, relevant government ministries, bilateral and multilateral agencies and NGOs, which helped to build local-national linkages in the recovery process and gain support for implementation from higher levels of government.

Indonesia: Community Participation in planning housing reconstruction¹⁸

Community participation was a key element of Early Recovery in Indonesia following the 2006 earthquake. One of the initiatives was the incorporation of 'Gotong Royong' into reconstruction programming. Translated as "collective labour for mutual support", *gotong royong* is a well-established tradition of collective decision-making and voluntary action among rural and semi-rural Indonesian communities. UNDP, its cluster partners and BAPPENAS, the national planning development agency, hosted community coalitions in each province and encouraged attendance by providing interpreters. Rather than imposing external norms to prioritize shelter reconstruction, collective decisions were made by citizens to determine which groups faced the greatest

need for shelter. Based on community decisions, shelter construction was then carried out by members of the family and community and instilled a sense of ownership and inclusiveness for those involved.



It is estimated that 70 percent of the buildings in the city of Puerto Plata, Dominican Republic, are precarious in nature. A UNDP project delivered training on disaster prevention in Puerto Plata to protect the people and infrastructure of municipalities in this province that has a high seismic risk.

© Benjamín Pérez Espinal/UNDP Dominican Republic

Indonesia
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¹⁷ UNDP and AECID. 2009. *Marcos Estratégicos para la Recuperación y Transición al Desarrollo en la Provincia Duarte por los Efectos de las Tormentas Noel y Olga*.

¹⁸ UNDP. *Indonesia Country Case Study: Early Recovery Assistance Programme for Yogyakarta and Central Java*.



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2.4 Managing Recovery

Once a national recovery strategy or framework is developed, national and local authorities face the challenge of implementing and managing recovery operations over the course of several years. At the same time, the event has overstretched their technical and managerial capacities and they face major financial constraints. Support to governments is therefore essential to ensure that national and local authorities have the capacity to manage, implement and monitor the recovery process. To this end, it is necessary to identify capacity needs together with government counterparts during the assessment phase, possibly with the governmental agency designated to oversee recovery efforts.

However, governments must maintain their leadership and ownership of all aspects of government-led recovery interventions and non-governmental efforts and the ability to assess and influence whether or not they are aligned with government recovery objectives. This is vitally important for success and sustainability of a recovery process. Therefore, it is crucial that external technical assistance from UNDP complements and develops national capacities rather than replacing them.

UNDP's Support for Managing Recovery

To strengthen the government's capacity to manage and implement recovery operations, UNDP can provide the following types of support:

Governance and the Resumption of National Public Service Delivery

Disasters often destroy critical government facilities and assets and limit the ability to provide basic public services, particularly in larger-scale emergencies when the national government's capacity is severely impacted. Such situations require immediate support to ensure that

basic public service functions can be re-established to at least a minimum level and that government capacities are enhanced to such a degree that they will be able to manage and implement future recovery interventions. This is often a critical first step that will help ensure the effective roll out and delivery of recovery operations later on.

UNDP actions may include support to governments to:

- establish temporary offices for the provision of core administrative, relief and recovery functions;
- repair and retrofit government buildings and assist with procurement of basic office equipment;
- adequately staff government offices that have critical public administration responsibilities, or support salaries so critical employees are not laid off if a disaster erodes the local tax base and budget shortfalls threaten public goods and services at the same time as demand is increasing;
- train government employees in select technical areas as needed, such as management, finance and good governance;
- establish information management systems, mechanisms for information exchange (websites, databases, Intranet sites) and set up monitoring and evaluation systems;
- develop systems that complement existing management systems and include new procedures for recovery;
- build constructive and collaborative partnerships and innovative implementation modalities between government, civil society, the private sector and affected communities;
- provide expertise and technical assistance;

- establish an interagency coordination centre or similar facility and provide material and equipment support (e.g., office equipment);
- organize national and local workshops, forums and conferences for knowledge exchange and sharing of experiences on recovery; and
- organize demonstrations of good practice recovery initiatives.

Managing Recovery

UNDP's Support for the Management of Recovery in Pakistan¹⁹

The 2010 Pakistan floods had a huge impact on government infrastructure and capacities. Government authorities were overwhelmed, particularly at the local level. Therefore, rebuilding state infrastructure and institutional capacity, as well as that of community-based organizations was identified as a priority by UNDP. One of the three approaches of UNDP's strategy was to develop a UNDP Early Recovery programme based on the results of UNDP assessments.

To augment the capacity of national and local authorities, UNDP provided the following support:

- rapid development of a National Early Recovery Strategic Plan, which focused government budget allocations on early recovery needs during implementation at the provincial level;
- strengthening of national coordination and management, particularly for the National Disaster Management Authority and other departments as per their needs;
- skilled staff needed by local authorities to build capacity;
- repair and reconstruction of public buildings;
- restoration of office facilities and thus the resumption of government functions; and
- re-creation and replacement of documents and records.

¹⁹ UNDP. *Pakistan Lessons Learned: Early Recovery Programme for the Flood Affected Communities in Pakistan (2010-2013)*.

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Local Governance in Affected Areas

Disasters directly impact local governance structures and institutions, resulting in the disruption of essential community services. Local public administrative facilities may suffer heavy damage, including a serious shortage of manpower due to the displacement or loss of life of civil servants, damage to public buildings and equipment and the destruction of public records. As a result, local infrastructure can become dysfunctional and service delivery can be disrupted, including the public goods and services provided by local authorities. Local authorities are on the operational front line and should be provided with resources and technical assistance to enable them to carry out their functions.

Some examples of support provided by UNDP are listed below.

- Provide temporary office facilities and/or repair damaged facilities to enable local authorities to maintain critical public functions.
- Provide technical assistance to support multi-sector recovery plans done at the local level.
- Strengthen coordination and management competencies and public administration skills in recovery and reconstruction at the local level.
- Strengthen the enabling environment at the village level in terms of participatory recovery planning, management and monitoring through the empowerment of communities, community-based organizations, local NGOs and other local actors.
- Provide technical assistance to support local planning, financial management, Disaster Risk Reduction and other areas identified as gaps.

Support to Local Governments

Recovery Support to Local Government Units in Philippines²⁰

In the Philippines, Typhoon Yolanda in 2013 severely affected the operational capacity of local government units (LGUs) in affected areas. The operational infrastructure of the LGUs – facilities, infrastructure and operational assets such as computers, communication systems, equipment and records – were lost or damaged. In some LGUs, operational capacity in terms of personnel was severely compromised because LGU staff themselves were affected by the disaster and unable to report to work. Given the critical role LGUs play in post-disaster recovery, it was pivotal to ensure that LGUs had the capacity, operational assets and personnel to lead the recovery process.

To achieve this, UNDP designed a recovery programme that:

- restored minimum assets through purchase of movable (temporary) assets as well as undertook basic repairs to damaged LGU buildings;
- facilitated the secondment of personnel from LGUs in other parts of the country to LGUs in the affected area;

- established Recovery Resource Centres to provide a coordination platform and act as a channel of communication between LGUs and affected communities, providing information on available support, how aid was being used and to act as a forum where affected communities could air their concerns and grievances with regards to the recovery process; and
- developed skills and systems necessary to institutionalize recovery processes in LGU functions.

Philippines - Six Months After Typhoon Haiyan.
© Lesley Wright/UNDP Philippines

²⁰ UNDP, 2014, *Support to Typhoon Recovery and Resilience in the Visayas: Programme Document*.



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Financial Management, Transparency and Accountability

Arrangements for financial management, transparency and accountability are a significant requirement for aid coordination and management. Monitoring mechanisms are needed to track progress and results and these should be available to key stakeholders and affected communities to ensure transparency. Effectiveness requires that resources are aligned to meet urgent needs. The principle of accountability also demands that mechanisms are put in place to allow impacted populations to redress their grievances.

UNDP can assist in ensuring transparency, accountability and financial management by the below actions.

- Establish aid and beneficiary tracking systems and tools to update information on assistance delivered to affected populations and to monitor the progress of ongoing recovery programmes at a central level.
- Support national information management systems, geographic information systems and facilities for government data storage, processing, hosting and back-up.
- Support training for national and local authorities on social and technical auditing and monitoring systems.
- Set up community information kiosks to facilitate communication between government ministries and impacted communities.
- Support procurement services and help government set-up financial tracking systems.
- Facilitate the re-establishment of full government treasury functions for disbursement of salaries, social assistance and recovery expenditures.
- Create appropriate mechanisms for aid coordination, such as a multi-donor trust fund to manage international assistance;
- Implement measures to ensure affected communities can give feedback on recovery programmes and redress their grievances.

Advocacy and Communication Strategy

UNDP can support national governments in preparing advocacy and communication strategies to raise awareness about recovery priorities and programmes among policy makers, potential donors, the media, key population groups and other important stakeholders. This requires strategies that communicate clear, strong and consistent messages on recovery interventions.

A communication strategy will include global and nationally-oriented messages that help mobilize resources, making it clear that funds are accounted for, and that explain the recovery programme in plain language. The strategy should identify its target audiences and tailor the messaging and the methodology for reaching these audiences accordingly. Target audiences are normally:

- traditional donors and new potential donors;
- mainstream international and national media and their general audiences;
- social media; and
- affected populations and vulnerable groups.

A range of tools such as websites, social media platforms, SMS technology, brochures and flyers, radio broadcasts, television advertisements, targeted public education television or radio programmes and billboards with information on recovery and reconstruction can be used to communicate information.



Monitoring and Evaluation Mechanisms in Indonesia

Following the Merapi volcanic eruption in November and December 2010, the Government of Indonesia conducted a Post-Disaster Needs Assessment and developed a Recovery and Rehabilitation Action Plan. Resources were made available to restore livelihoods and reconstruct all damaged infrastructure in the villages affected by the eruption.

UNDP supported the National Agency for Disaster Management (BNPB), the Disaster Risk Reduction Forum of Yogyakarta and Central Java and an organization called Survey METER that conducted periodic surveys covering 1,290 households in four districts to measure the progress of recovery in the affected communities. Indicators on income, expenditure, asset ownership, access to basic services, nutrition, health, education and

disaster preparedness were used to track the progress of recovery.

The annual household survey uses long-term data to compare the situation in a community before a disaster to after the disaster, and then to following the implementation of rehabilitation and reconstruction programmes. By gathering data over a period of time, the survey measures the extent to which affected community members have recovered. The government used the survey results to revise and adjust the recovery programmes so that the benefits were distributed evenly. Based on this experience, with support from UNDP, the Government of Indonesia has developed an official Disaster Recovery Index. The index uses 22 variables to measure progress in key sectors of recovery.

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2.5 Building Back Better and Managing Residual Risks

Post-disaster recovery aims to change systems and policies so that communities and countries can build back even better than prior to the disaster and contribute to lasting recovery and sustainable development. Risk reduction strategies are integrated into recovery planning to ensure that recovery investments are protected from and are resilient in the face of future risk. As noted in the global report, *Reducing Disaster Risk: a Challenge to Development*, it is important to use “disaster response and recovery periods as opportunities for reflecting on the root causes of a disaster and recasting development priorities to reduce human vulnerability to natural hazards. Simply reinventing pre-disaster conditions is a wasted opportunity. This is as true for the institutions of governance as it is for physical infrastructure”²¹.

Disaster risks and vulnerability to disasters increase with unsustainable development practices, such as unplanned and ill-planned urbanization, environmental mismanagement, poor land management, increased population concentrations in areas exposed to hazards, substandard construction and a lack of regulations, such as building codes. Thus, it is imperative that the recovery process does not rebuild risks, but rather strengthens the resilience of affected communities to future hazards. The Post-Disaster Needs Assessment provides opportunities to document past and real-time lessons on disaster risk reduction, and recovery planning provides the space to advocate for and integrate these lessons into the recovery plans.

Working for the adoption of disaster risk reduction measures and building resilience is a core area of work in UNDP. UNDP defines **Building Resilience** as

“a transformative process of strengthening the capacity of men, women communities, institutions and countries to anticipate, prevent, recover from, and transform in the aftermath of shocks, stresses and change”²². UNDP’s past work on disaster risk reduction within the context of post-disaster recovery was aligned with the Hyogo Framework for Action 2005-2015 and in particular the framework’s strategic goal (c) *The systematic incorporation of risk reduction approaches into the implementation of emergency preparedness, response and recovery programmes*²³. In accordance with the new Sendai Framework which was released in 2015, UNDP adjusted its priorities to include activities aimed at “*enhancing disaster preparedness for effective response and ‘Building Back Better’ in recovery, rehabilitation and reconstruction*”.

UNDP’s Support for Building Back Better and Managing Residual Risks

UNDP supports governments engaged in recovery efforts by providing disaster risk reduction specialists to plan and implement risk reduction measures across all impacted sectors and by helping to develop a recovery plan on disaster risk reduction. UNDP support to governments reflects needs on the ground and may include work in the three areas discussed below.

Identifying Residual Risks and Mitigation Measures

UNDP can conduct risk assessment exercises to determine residual risks that have the potential to further degrade post-disaster conditions or endanger the ability to achieve successful recovery outcomes. Given that it is not possible to completely eliminate disaster risk, UNDP works with

²¹ UNDP. 2004. *Reducing Disaster Risk: a Challenge for Development*.

²² UNDP Position Paper. 2013. *Building Resilience for Sustainable Human Development*.

²³ UNDP. 2006. *Building Blocks for Sustainable Recovery*.

countries to manage and mitigate remaining risk through preparedness measures, pre-disaster recovery planning, recovery programming and the implementation of post-disaster needs assessments. Particular focus is placed on ensuring that the recovery phase is a catalyst for deepening and widening risk-reduction efforts in the long-term as well as for identifying measures needed to address these risks. These risks may include:

- additional hazards, such as further landslides, an upcoming rainy season, hurricane season, further tremors or quakes and environmental and climate change-induced risks;
- new vulnerabilities created or revealed by the disaster that may present additional threats, such as a potential conflict between displaced and host population groups;
- displaced population groups that are especially vulnerable or exposed in new high risk environments; and
- the further deterioration of current conditions, such as a collapse of the local economy and markets, disease outbreaks, malnutrition or hunger, homelessness, erosion of rule of law, rising crime and exploitation, trafficking, rebuilding to prior poor standards, lack of land use regulations and building codes, lack of improved rebuilding techniques to reduce future disaster risks, etc.

Resilient Recovery

UNDP can assist in identifying non-sector specific disaster risk reduction needs to ensure that risks is not recreated and that the recovery process incorporates build back better approaches (known as BBB). This means that identified needs should inform planning and implementation and therefore must be taken into account in the recovery framework and a sustainable disaster recovery approach should be implemented. Consideration should be given to the following:

- identifying the main hazards and vulnerabilities of the geographic areas affected, using existing hazard and risk maps and vulnerability studies;
- designing vulnerability, risk and livelihood assessments as part of the PDNA process to ensure that the human impact of an event is understood – elements to include are gender, age, ethnicity, poverty, geography, environment, governance, economic and social factors, income, employment, livelihood assets and strategies and demographics.
- evaluating the need for further assessments, such as risk or environmental assessments or hazard mapping;
- evaluating the land conditions and land use measures to determine if these are suitable for re-settlement or if re-location is needed;
- identifying priority measures to protect communities and their lifeline infrastructure and services, such as safe construction measures or building codes; and
- helping build the capacity of the government to build back better, reduce risks and social vulnerability.

Of particular significance is UNDP's support in identifying capacity-building measures needed to strengthen government institutional arrangements, human and material resources, technical assistance and policy frameworks that will enable sustainable recovery measures and attempts to build back better. UNDP may also provide support to establish mechanisms to track progress and monitor disaster risk reduction efforts during the recovery process.

In some cases, UNDP may be called to provide guidance to PDNA sector teams in identifying needs and proposing practical solutions to integrate the principles of build back better in sectoral recovery strategies. UNDP can play a key role in assisting sectors that need to mainstream build back better approaches into sector recovery programmes.

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Risk Reduction

The recovery process should address the risks and vulnerabilities revealed by the disaster itself and help strengthen national and local risk management capacity. Post-disaster situations expose weaknesses in a country's disaster risk management system and risk reduction planning processes try to take advantage of the window of opportunity a disaster opens to affect political and social change. In the immediate aftermath of disasters, there is typically a political momentum, international support and resources needed to transform and improve the country's management of risk.

UNDP can assist in identifying how this may be achieved, for example by assessing the performance of disaster risk reduction systems in disaster affected areas, their strengths and limitations, as well as by evaluating overall capacities and gaps in the broader national disaster risk reduction system, highlighting areas that can be strengthened through capacity development efforts during the recovery process, such as risk governance (disaster risk reduction strategies and institutional mechanisms), early warning systems, public awareness and education, underlying risk and vulnerability factors and preparedness. In all of these efforts, UNDP's specific strengths in assessing human vulnerability and exposure to risk allow for a comprehensive analysis of how these risks can be reduced.

It is important to note that strengthening national disaster risk management systems may require long-term interventions, such as introducing or updating legislation and national disaster management policies. Risk reduction strategies included in recovery planning efforts should strive to provide strategic, short-medium- and long-term options that are viable within the timeframe of the proposed recovery process, financially realistic, but which also have a forward looking dimension.

In addition to the areas of support for managing recovery, UNDP provides significant support to governments and local communities in livelihoods recovery. The programmes to support livelihoods and economic recovery include Debris Management, Emergency Employment and Enterprise Recovery and Community Infrastructure Rehabilitation. UNDP provides support to government authorities and implementing partners to plan, design and implement projects for Municipal Solid Waste Management in crisis or post-crisis settings as part of UNDP's early recovery response. More information on this can be found in the *Signature Products* at www.undp.org/content/undp/en/home/librarypage/crisis-prevention.

2.6 Resource Mobilization

Financial resources are needed to implement national recovery and UNDP assists governments in mobilizing necessary funding in several ways, including:

- assisting with the reorientation of a government's development budget and programmes to help meet priority recovery needs;
- helping mobilize financial resources from the international community based on priorities laid out for donors in the National Recovery Strategy or Framework; and
- assisting governments to organize donor conferences for resource mobilization purposes.

International Resource Mobilization for Recovery

UNDP can play a key role in helping mobilize within the donor community the financial resources needed to support national recovery and finance the recovery strategy and framework, as well as to fund specific activities or meet funding gaps.

This may include support to:

- secure resources through Flash Appeals for urgent recovery projects;
- organize donor conferences to mobilize resources;
- prepare proposals for funding from specific donors;
- formulate a recovery advocacy and communication strategy and produce materials; and
- set up a multi-donor trust fund.

alignment by directing funds towards a focused set of agreed upon priorities. UNDP's Multi-Donor Trust Fund Office in New York can assist national governments to set up such funds.

Donor Conference and Multi-Donor Trust Funds

Developing a resource mobilization strategy is instrumental for securing funds for national recovery. International donor conferences have become the major mechanism for mobilizing and coordinating international recovery assistance in post-disaster countries. They are typically built around the PDNA and the Recovery Framework, against which individual donors make their pledges. This contributes to enhancing the coherence of donor assistance. UNDP can support in organizing a donor round table or conference, based on agreed objectives with government authorities and the international community.

Another common financing mechanism used to pool together recovery funding from various donors are multi-donor trust funds, with disbursements managed by an administrative agent under tailor-made rules and regulations. This funding mechanism is flexible and facilitates aid coordination. Multi-donor trust funds can be important instruments for resource mobilization, donor coordination and policy dialogue, and can enhance the transparency of donor contributions. When resources are channelled through these funds they can contribute significantly to predictability and coherence and facilitate

PART A: Support to Governments

2 AREAS OF SUPPORT TO GOVERNMENTS

Disaster Risk Reduction

Disaster Risk Reduction in Indonesia²⁴

UNDP's Emergency Response and Transitional Recovery programme provided support for disaster risk reduction measures following the 2004 tsunami, which devastated Aceh and Indonesia's island of Sumatra, followed by a subsequent earthquake in 2005 that caused additional damage. UNDP support included the activities described below.

- Community-based disaster risk reduction activities to introduce best practices, educate stakeholders and establish pilot models for managing community risk. Further support was given to integrate Disaster Risk Reduction into district policies and programmes, strengthening local response systems and facilitating community-based disaster risk reduction plans.
- Support to UNESCO in establishing the national Meteorological and Geophysical Agency and other government institutions whose mandates were to create a nationally integrated system to provide early warning on potential tsunamis to local governments.
- In order to mitigate the potentially serious negative impact of the reconstruction process on the environment and natural

resources, UNDP supported the local Environmental Control Agency and other agencies in the conduct of environmental impact assessments. It collaborated with the National Planning Board in identifying Critical Environmental Pressure Points, which were environmental parameters and indicators that were or potentially were being degraded by the reconstruction process. This project helped to increase public awareness and mobilize resources to minimize negative impacts of the reconstruction process.

Building a Resilient Habitat in Bangladesh²⁵

In the aftermath of Cyclone Sidr in 2007, UNDP teamed up with architects from the international development organization BRAC in Bangladesh to design and build a disaster-resilient habitat that would protect property against cyclones striking the Bay of Bengal with increasing frequency. The habitat in Shymnagar consists of 43 houses built on two-metre (six feet) concrete stilts that are designed to withstand a tidal surge of up to two-metres and winds of up to 235 kilometres per hour (150mph). Trees close to the village help keep topsoil from washing away, while taller trees in the distance act as windbreaks. Primary and secondary



embankments protect livestock and other assets against high sea levels. The village protects 43 families and cost \$65,000, one-third of the cost of a cyclone shelter to protect a similar number of people. Over the course of 2 years, UNDP constructed 15,000²⁶ such core family shelters in five districts affected by Cyclone Sidr.

As part of this project, UNDP organized residents to identify disaster threats, map escape routes and help build each other's homes. This inclusive process not only improved social cohesion within the community, but also left residents better equipped to launch a quick and coordinated response in the face of a natural disaster while waiting for emergency aid to arrive.

Bangladesh women work together to improve community infrastructure, including roads. © UNDP Bangladesh

²⁴ UNDP. 2006. *Building Blocks for Sustainable Recovery*.

²⁵ UNDP. 2012. *Empowered Lives, Resilient Bangladesh*.

²⁶ UNDP 2010. Disaster Response Facility, Fact Sheet, UNDP Bangladesh

PART A: Support to Governments

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AREAS OF SUPPORT TO GOVERNMENTS

International Resource Mobilization

The Successful Multi-Donor Fund for Aceh and Nias in Indonesia²⁷

The recovery of Aceh and Nias in northern Indonesia following the Indian Ocean tsunami in 2004 and an earthquake in 2005 was one of the largest humanitarian operations in history. Over 600 funding agencies and 500 implementing agencies were involved. The total funding requirement was around \$7 billion.

One of the successful contributors to this historic effort was the Multi Donor Fund for Aceh and Nias, established in April 2005 to support the post-disaster reconstruction of Aceh and Nias. This fund, initiated following government requests for coordinated donor support, is widely considered to be one of the most successful of its kind. The core factors for success were the leadership of the Government of Indonesia and the close partnership of the World Bank, UNDP and other stakeholders that supported the government's agenda. The 23 projects carried out in every district of Aceh and Nias under the fund addressed priority reconstruction needs identified by the government.

The government had framed a Master Plan for Rehabilitation and Reconstruction

that relied on the country's institutions, systems and procedures, ensuring that the government had a clear say in the choice of investments and instruments used that would respond to local needs. The Multi-Donor Trust Fund – which represented 10 percent of the total funds for reconstruction – supported this government master plan, based on assurances of accountability for funds, visibility for their contributions and effective results. Over 70 percent of the Multi Donor Trust Fund was channeled through the national budget, utilizing the country's public financial management system.

The mix of collaborating partner agencies and implementing agencies under the Multi Donor Trust Fund provided the opportunity to use individual organizations' comparative advantages during the recovery effort. Major multilateral organizations, such as the International Labour Organization, UNDP, the World Bank and the World Food Programme, served as partner agencies. Implementing agencies included government line ministries and international NGOs.

The success of this effort was also due to an inclusive governance structure, with a Steering Committee comprised of representatives from the special national agency responsible for reconstruction of Aceh and Nias, the Ministry of National

Development Planning, the Ministry of Finance, the governments of Aceh and North Sumatra, all 15 donors to the fund, and civil society representatives, and included a United Nations and an NGO representative as observers.



Following the 2004 Indian Ocean tsunami, UNDP recovery projects in Banda Aceh, Indonesia, included clearing rice paddy fields of debris and helping farmers to improve productivity by branching out into new crops, like shallots, pictured here. © UNDP

²⁷ Multi-Donor Fund and Java Reconstruction Fund. *The Multi Donor Fund for Aceh and Nias: A Framework for Reconstruction through Effective Partnerships*. MDF - JRF Knowledge Notes: Lessons Learned from Post-Disaster Reconstruction in Indonesia.



PART B:
UNDP
Management



PART B: UNDP Management

Part A of this *Guidance Note* defined the expertise that UNDP has to offer governments in sustainable disaster recovery. The organization's presence in most developing countries means that UNDP understands the national context, already has experience working with the government, with partners and with communities at national and local levels and comprehends the governance capacity issues at hand. These factors often position UNDP side by side with governments on the front lines of post-disaster recovery operations. Local knowledge, established networks and contextual experience are paramount to providing well-grounded recovery support that is appropriate to the needs of communities and for the capacities of counterpart institutions in each host country.

That said, UNDP Country Offices and other United Nations agencies can just as easily be overwhelmed by the impact of a catastrophic disaster as a government can, and the demands that emerge to support governments can sometimes exceed the capacity of a Country Office. In many cases, Country Office staff themselves have been affected by the disaster, therefore it is important that a Country Office first attends to its own staff before embarking on external support.

Part B of this *Guidance Note* provides practical guidance on how Country Offices can address the main challenges that arise in post-disaster situations. It outlines the resources and services available within UNDP headquarters for supporting Country Offices. Accordingly, this section includes guidance on the following:

1. COUNTRY OFFICE MANAGEMENT

- 1.1. Coordination and Management within Country Offices
- 1.2 Management Arrangements with Partners
- 1.3 Re-orientation of the Programme Portfolio
- 1.4 Communications Strategy

2. SUPPORT SERVICES FROM HEADQUARTERS

- 2.1 SURGE Support Services
- 2.2 The Fast-track Mechanism
- 2.3 UNDP Financial Resources

3. THE FORMULATION OF PROJECTS

- 3.1 Project Design
- 3.2 Joint Programmes



1.1 Internal Country Office Management and External Coordination

Clear coordination and management arrangements are needed to implement and manage recovery projects that UNDP proposes as part of its support to a host government. In most cases, the Disaster Risk Reduction/Environment Team is responsible for anchoring UNDP Country Offices and their response during and after a disaster. Significant coordination with government partners and within the UNDP country team is required to plan and implement UNDP support to the national government.

As part of this task, UNDP must be able to assess the management needs and project implementation requirements for each project or programme. This begins with identifying the following prerequisites:

- human resources - technical, administrative, financial, managerial, etc.
- specific areas of expertise, such as governance, Disaster Risk Reduction or recovery.
- office space and equipment, logistics, transport, etc.

In preparation for an extreme event occurring, many Country Offices have already identified a Crisis Response Focal Point from their team that is part of the Disaster Risk Reduction/Environment Team. This person has a wide range of duties throughout the disaster management cycle, including pre-recovery preparedness tasks, responsibilities as soon as a disaster event occurs and during the relief phase, and a host of activities related to post-disaster recovery.

See [Annex 6](#) the Crisis Response Focal Point Checklist.

In addition to the Crisis Response Focal Point, to coordinate and manage operational responses to a large-scale disaster, it is often necessary to establish a recovery project management team or unit that oversees all the recovery projects. A recovery unit is usually headed by a Project Manager or Coordinator. The necessary organizational structure, the recovery team's divisions of labour and the associated costs should be considered during project design.

Once these needs have been determined, it is advisable to review the existing capacity of the UNDP Country Office to determine how in-house expertise may be able to support the management and implementation of recovery projects. Additional expertise needed for the Country Office to embark on recovery operations may be identified jointly with UNDP headquarters (see section below on support services from headquarters).

1.2 Management and Implementation Arrangements with Partners

Direct Implementation Modality (known as DIM) or National Implementation (NIM)

Once a Country Office has deliberated on and designed recovery projects, a decision about which implementation modality a recovery project will follow needs to be made: Direct Implementation (known as DIM, or Direct Implementation Modality) or National Implementation (NIM). This decision should carefully consider the capacity of government counterparts to manage recovery projects. For UNDP, it is always a priority to support national ownership and leadership, which means first considering a national implementation modality. However, this then requires investing real effort in strengthening government capacities and ensuring project success. In the case of large-scale disasters, it may happen that the government's capacity is severely degraded or the external environment presents severe limitations, such as continuing conflict, which may make it necessary to implement directly.

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COUNTRY OFFICE MANAGEMENT

For both direct and national implementation modalities, due consideration should be given to management arrangements with government authorities. Arrangements must be made with authorities to manage the recovery project, including a clear understanding of which government agencies will be responsible for managing the project's various components. The roles and responsibilities of the parties responsible for managing the project should be clarified, including accountability for resources, carrying out the activities and project oversight. Consensus should be reached on how resources will be transferred (e.g., direct cash transfer, direct payment, reimbursement) and about the required level of assurance activities and support services that will be necessary to support the project.

Similarly, management arrangements with other partners also need to be addressed, such as contracting with NGOs. Inter-agency management arrangements, if any, should be considered, for example between the Humanitarian Coordinator and recovery clusters and the coordination unit or a similar facility and corresponding support services the contract might require, such as offices, human resources, etc. Other management and implementation considerations include:

- collaborative arrangements with related projects (if any);
- prior obligations and prerequisites;
- the inputs to be provided by all partners;
- agreements on intellectual property rights and use of the UNDP logo on project deliverables;
- audit arrangements; and
- UNDP support services (if any).

Contracting Partners

Strong partnerships usually ensure the successful implementation of recovery projects. Clear coordination arrangements are needed among all partners, including government, NGOs, civil society and the private sector. Whenever possible, government and NGO partners should be given sufficient time to present a relatively detailed project implementation plan founded on official baseline data or on the best sources of information available at the time.

Criteria should be established for the selection of implementing partner and contracts, such as the capacity to implement and sound financial management. The contract should clearly identify milestones, upon which tranche payments can be made after careful monitoring is conducted by UNDP or a trusted independent party. Experience from case studies on contracting and procurement indicates many contracts are not sufficiently flexible, not detailed enough, and contain too many ambiguities. Hence, contracts must contain clear, quantifiable and measurable milestones that must be reached prior to the release of funds, while at the same time having a certain level of flexibility for changing conditions (such as occur post-disaster). A monitoring mechanism should be put in place to verify the performance of partners. Establishing a roster of pre-vetted NGOs in a country, along with having streamlined partnership procedures in place, can greatly facilitate UNDP's position as a rapid responder and help to quickly deliver on its mandate, especially in the case of early recovery activities.

Annex 7 provides more information on the pre-vetted NGO contracting process adopted in Bangladesh that allows for immediate contracting in times of disasters.

The Contract Processing Unit in Pakistan²⁸

In Pakistan after the floods of 2010, the UNDP Country Office anticipated that the majority of new funding would flow directly to implementing partners, such as NGOs and private contractors. In order to manage the large volume of recovery projects that needed to be processed, a strong contract processing unit was set up to carry out sorting, filtering and first-level technical evaluation of proposals submitted for funding. The contract processing unit was tasked with managing issued contracts and ensuring proper performance measurement and recordkeeping. UNDP used an open Call for Proposals modality, allowing a window for NGOs to submit proposals on an ongoing basis according to specific criteria and requirements defined in the Call for Proposals, which placed importance on the capacity of contractors. Contracts were issued for proposals that met the requisite technical evaluation score and which were financially sound.

²⁸ UNDP, 2010. *Pakistan Case Study: Early Recovery Programme for the Flood Affected Communities in Pakistan*.

1.3 Re-Orientation of the Programme Portfolio

One of UNDP's main assets in the immediate aftermath of a disaster is its ongoing portfolio of development projects. These should be reviewed and re-oriented to meet the recovery needs of affected populations. Redirecting development projects towards recovery requires cooperation from the host government and the development community. It also requires approval from government partners if a project is being implemented under national implementation modality arrangements. A project steering committee meeting should be organized and decisions on reprogramming project funds for disaster recovery should be discussed and approved by the project steering committee. An important element of this process is to inform donors about the decision to repurpose funds for recovery. This is a necessary step when disasters affect geographic areas where UNDP has ongoing development projects that become less viable or realistic given the new disaster context, or where the disaster itself disrupts projects or affects UNDP partners. In many cases, these decisions are quite obvious, as the context and reality have been radically altered and the reorientation process should be seamless.

Depending on the situation, it may also be necessary to redirect the bulk of Country Office resources to the recovery process, by taking the following actions:

- re-allocating funds that are still available from long-term development projects, such as poverty reduction, climate adaptation, or environment projects;
- re-directing development projects in areas affected by the disaster towards recovery;
- assigning Country Office staff to support recovery efforts, such as participating in needs assessments or in the formulation of projects;
- re-assigning Country Office personnel to new functions

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COUNTRY OFFICE MANAGEMENT

as demanded by the situation;

- enhancing the Country Office's capacity through the recruitment of previous UNDP staff or consultants or having support remanded from UNDP headquarters; and
- assigning office materials and resources to support recovery, such as office space, vehicles, administrative support, logistics, etc.

Reorienting Programme Portfolios in Response to Disasters

Mexico's Small Grants Programme Reorients toward Disaster Risk Management²⁹

In 2002, the UNDP Country Office in Mexico ran a Small Grants Programme with a portfolio of over 300 projects in the country's southeastern states. Hurricane Isidore destroyed or severely affected 70 of these projects. A survey showed that this situation was similar to what was occurring among major NGOs and with sources of financing used by the Mexican government for development infrastructure, productive projects and housing. Confronting this situation, UNDP Mexico – under the auspices of the Small Grants Programme and UNDP's Bureau for Crisis Prevention and Recovery, began a project to build local capacities for disaster prevention and designed methodologies for organizing and training rural communities. The objective was to reduce conditions of vulnerability to this event and to future disasters. This project was the beginning of UNDP's Disaster Risk Management Programme in Mexico.

The Small Grants Programme and the Disaster Risk Management Programme link their thematic areas by supporting local level

capacity building to reduce risks and adapt to climate change in the region. The outcome of this project and portfolio reorientation bore fruit and by 2006 best practices from the programmes were being implemented in seven Mexican states. Between 2005–2008, additional disasters occurred and the two programmes again came together to create a \$5.8 million Fund for the Recovery of Micro-Projects, which was focused on re-establishing jobs, rural livelihoods and alternative livelihood opportunities.

Re-directing Projects in Pakistan³⁰

Soon after the 2010 flood crisis in Pakistan, the UNDP Country Office undertook the redirection of project funds towards recovery needs. One of the primary approaches was to reprogramme eight ongoing projects, totalling \$7.9 million. The programmes were redirected to support public institutions delivering recovery goods and services, coordination and data management, a number of provincial and district needs assessments, skills development and the formation of community organizations, in addition to a range of rural livelihood activities.

In Pakistan, support from the international community after the flooding focused on relief rather than on recovery activities. Few resources were allocated to fund the various proposed 252 early recovery projects. When the focus did gradually shift to recovery, agencies found themselves with few resources to provide assistance and meet recovery needs that had been identified. As a result, the Country Office realigned its programming towards early recovery flood response efforts and subsequently used UNDP seed money to launch pilot initiatives. UNDP boosted its support to early recovery activities by using its own financial resources, deploying the SURGE Team and a Senior Disaster Risk Management Advisor, and by leading a needs assessment. This demonstrated UNDP capacities to engage in recovery work to the government and donors and generated an additional \$85 million for UNDP recovery programmes.

²⁹ UNDP. 2009. *Transforming Local Risk Management: Disaster Risk Management Programme in Southeast Mexico*.

³⁰ UNDP. *Pakistan Case Study: Early Recovery Programme for the Flood Affected Communities in Pakistan*.

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1.4 Communications Strategy

A communications strategy is critical to guide UNDP in its efforts to inform donors, government, the media and the public about UNDP's engagement in the recovery process and to give visibility to UNDP's work in recovery. When designing a communications strategy, the Country Office should clearly articulate the objective of communication activities and identify which audiences will be targeted, and based on this, design key messages. All Country Offices engaged in substantial recovery operations should include costs for a communications and media specialist and for the related tools to conduct the job, such as videos, photographs, flyers, a website, etc. UNDP's Bureau of External Relations and Advocacy (BERA) can support the Country Office in designing a communications strategy.

Print, electronic and social media are important players in setting agendas for post-disaster development assistance. Therefore, communication about the recovery needs of affected populations and the efforts of UNDP, government and international agencies in recovery is extremely important to advocate for sufficient resource allocation that will support Early Recovery measures undertaken by UNDP and other aid agencies.

UNDP, being the lead agency on recovery, should actively engage in communicating about recovery needs and the work being done to facilitate recovery. Experience from past disasters show that unlike other United Nations and humanitarian agencies, UNDP does not pay sufficient attention to communicating early recovery needs and results with the media. As a result, many times the recovery needs of impacted communities are left unattended and donors do not allocate resources for Early Recovery projects in the Flash Appeal and the Central Emergency Response Fund. This, in turn, affects UNDP's ability to support communities and help them recover quickly.

Going forward in a highly competitive financing environment, it is imperative that UNDP considers

engagement with the media as a critical post-disaster, post-crisis activity. The time to engage with the media starts immediately after the disaster (on day one).

Some measures necessary for UNDP to effectively communicate with the media and others about recovery are described below.

- Dedicate a full-time communication officer to engage with print, electronic and social media.
- Should a dedicated communication officer not be readily available or recruited quickly, request deployment of a communications expert from the regional centre or the Bureau of External Relations and Advocacy (BERA) at Headquarters as part of the SURGE Plan. And in the immediate aftermath of a disaster, feed comprehensive information to these two regional and Headquarters resources so that they can disseminate media briefs and other communications materials.
- The United Nations Resident Coordinator, Country Director and programme staff must allocate a percentage of their time for engaging with the media and working on communications related to recovery.

Keeping the interests of the media, public and donors in mind, communications actions should aim to inform people about the disaster and explain what is being planned or has been done related to recovery.

UNDP communication on recovery generally revolves around the following discussions:

- understanding and quantifying the overall impact of the disaster, including the affected regions and the populations hit the hardest (highlighting the most vulnerable social groups);
- explaining Early Recovery needs, especially those which if not urgently met could hinder response and recovery (e.g.,

- rubble removal, repair of communications infrastructures, restoration of local government capacities, the risks of further hazards that could hit the affected communities);
- describing UNDP's role in recovery coordination, and how the organization works hand in hand with government, humanitarian agencies and donors (including plans for recovery needs assessments);
 - referring to UNDP's current work in the country, such as existing plans and programmes in Early Recovery for affected communities;
 - describing UNDP's planned work in Early Recovery, including requests submitted as part of the Flash Appeal; and
 - sharing information about other stakeholders and their early and long-term recovery plans.
- Be pro-active in providing content for social media outlets, such as writing blogs, tweeting, posting on Instagram and Facebook. Human interest stories should be part of the content generated.
 - Be pro-active with traditional media outlets, such as writing newspaper op-eds, arranging radio interviews, television spots, talk shows, writing articles for agency web pages, etc.
 - Consider linking social media posts to fundraising mechanisms.

Communication about recovery needs can be undertaken in many ways. A few are mentioned below.

- Share pictures, videos, data, plans and assessment reports with print, electronic and social media. Keeping in mind that one of the most powerful tools with modern availability of the internet are video images.
- Arrange and support guided field visits of media professionals to affected areas. Communications officers may want to investigate if any popular social media commentators are in the country or region, and include them on trips. Independent watchdog and rights agencies, such as those that monitor trafficking or children's rights, might also be invited on field trips.
- Secure interviews with the United Nations Resident Coordinator, Country Director and programme staff on recovery needs and UNDP plans. Be sure that all staff with access to media are briefed on key messages and agreed facts and figures.

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2 SUPPORT SERVICES FROM HEADQUARTERS

2.1 Surge Support and Expres Roster Services

When a crisis occurs, additional resources are often required to augment the capacity of UNDP Country Offices. Short-term support can be readily deployed to Country Offices through UNDP's SURGE or Experts Roster for Rapid Response (ExpRes) mechanisms, both housed within the Crisis Response Unit. The SURGE mechanism deploys experienced, vetted and trained in-house capacity (i.e., UNDP global staff) to support Country Offices and to respond to the immediate programmatic and operational requirements generated by a crisis. The ExpRes mechanism deploys experienced crisis prevention and recovery consultants to support Country Offices with recovery initiatives. Both enhance UNDP's ability to respond quickly and effectively to recovery needs as they arise. They also ensure that specially trained UNDP staff and consultants with extensive experience in their technical fields and in crisis situations are deployed quickly and efficiently to help UNDP Country Offices meet the expectations of host governments. *(For more information on the UNDP SURGE mechanism and how it can be activated, see: <https://intranet.undp.org/unit/bcpr/rrsg/SitePages/surge.aspx>)*

Below are examples of the types of expertise that can be deployed through UNDP's SURGE and ExpRes rosters for recovery planning, coordination and needs assessments.

- Senior recovery advisors to support the UNDP Country Office in planning their engagement in the post-disaster recovery process by planning the Country Office's role in assessments, support to the national government and developing UNDP's programmatic response.
- Early recovery advisors (to the Office of the Resident Coordinator) to support the work of the Resident Coordinator/Humanitarian Coordinator in overseeing inter-cluster and inter-agency recovery linkages.
- Recovery managers to support UNDP's recovery programmes.
- Post-disaster needs assessment (PDNA) coordinators to coordinate the United Nations system's role in conducting a comprehensive needs assessment and recovery planning process.
- Report writers for the PDNA process;
- Information management specialists to design and implement an effective information management strategy to support coordination and data gathering and analysis efforts.
- Sector assessment specialists for Disaster Risk Reduction, Shelter, Governance, Housing, Livelihoods and Employment, Environment, Community Infrastructure and Human Impact Assessments.
- Planning specialists to help design a recovery strategy or to develop project proposals.

Generic Terms of Reference for these functions are available in the UNDP SURGE toolkit and can be adapted as required to the specific country context, such as to include gender specialists or other areas of UNDP expertise.

In addition to the expertise from the SURGE and ExpRes rosters, UNDP can also draw upon the Cluster Working Group for Early Recovery (CWGER) Deployment Mechanism to deploy experts to support UNDP's role in the Early Response Cluster coordination.

SURGE and ExpRes Roster Service Support to Country Offices

The Use of SURGE in Pakistan³¹

After the 2010 flood disaster in Pakistan, the SURGE process worked well and served to improve serious weaknesses that had existed in responses to previous disasters in terms of deploying necessary expertise to the field quickly. UNDP was able to quickly and efficiently deploy a total of 33 experts from three pools - SURGE staff from the Bureau for Crisis Prevention and Recovery, international consultants from the ExpRes Roster and advisors from the Global Early Recovery Cluster - to augment in-country technical expertise.

The SURGE Planning Team effectively provided Country Office managers with practical, strategic and relevant support for Country Office needs. The team produced a recovery plan that garnered praise for its high quality from the Country Office and UNDP headquarters alike. In addition, seed money from UNDP's TRAC fund was instrumental in kick starting project implementation.

³¹ UNDP, *Pakistan Case Study: Early Recovery Programme for the Flood Affected Communities in Pakistan*.

2.2 The Fast-Track Mechanism

A Country Office expecting to implement a major project under emergency conditions using UNDP's standard operating policies and procedures (known as the POPP) will rapidly face bottlenecks due to time constraints and urgent needs that demand a quick response. Fast procurement is one of the chief operational challenges in post-disaster settings. To overcome this problem, UNDP can activate its Fast Track Mechanism. Using Fast Track Procedures, the Country Office can accelerate the process of buying goods and services, recruiting staff and consultants and making payments. A Country Office can activate the Fast Track Mechanism by filling out an online form approved by the Resident Representative. Once activation is approved by the Resident Representative, the Regional Bureau, Bureau for Management Services, the Bureau for Policy and Programme Support and other relevant parties are automatically informed by the online system. The Regional Bureau retains accountability for approving the use of the Fast Track Procedure, while other units may raise concerns directly with the Regional Bureau. If no objections have been raised after 48 hours, the Fast Track Procedure is approved.

While the Fast Track Procedure has been designed to enable Country Offices to react quickly and cut through normal red tape and bureaucratic procedures, there are still accountability mechanisms attached to its use. For example, Fast Track Procedures do not eradicate requirements to demonstrate proper use, oversight, monitoring and reporting. (For more details on the Fast Track Mechanism, refer to: <https://intranet.undp.org/decision/fast-track/SitePages/Home.aspx>)

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2 SUPPORT SERVICES FROM HEADQUARTERS



The Use of the Fast-Track Mechanism in Pakistan³²

UNDP Pakistan activated the corporate Fast Track Mechanism following the floods of 2010. This simplified procedures and allowed for considerable acceleration of service delivery in the areas of human resources, procurement, finance and programming, while maintaining full transparency and accountability.

The Fast Track Mechanism proved essential due to the urgent requirements of the public sector. After the floods, local government authorities were overwhelmed. Their facilities and staff had been impacted, yet they still were expected to deliver relief and recovery assistance, coordinate a large number of

NGOs and international agencies working in the area, assess damages to public buildings and find resources for repairing them and address the loss of basic records and documentation.

UNDP developed a specific recovery programme to immediately augment the capacity of local authorities and earmarked resources for this purpose using the fast track mechanism. UNDP's capacity-building support included providing skilled human resources, assisting with the repair and restoration of facilities, implementing recovery programmes and aiding efforts to recreate public documents and records.

UNDP Solar LED Flood Lights, Badin Feb20, 201. ©

³² UNDP. Pakistan Case Study: Early Recovery Programme for the Flood Affected Communities in Pakistan.

2.3 UNDP Financial Resources

UNDP Financial Resources to Support Recovery

In addition to the financial resources that can be mobilized to support formulation of a National Recovery Strategy or Framework, as described in Part I, Country Offices can mobilize resources from UNDP earmarked funds, such as through the TRAC Category I, II, III and IV funding mechanisms. These resources can be instrumental in supporting governments with urgent needs early in the recovery process, as well as for augmenting the capacity of Country Offices. Below is an outline of UNDP's funding resources available to support national and local recovery, with a brief description of the specific types of recovery activities for which they may be used and an example of a project that is a suitable proposal in each case.

TRAC 1.1.3, Category II Resources

These funds are earmarked annually in UNDP's Regular Resources specifically for crisis response purposes. They can be accessed quickly using a simplified process in emergency situations. The Crisis Response Unit of UNDP allocates funds in response to requests from Country Offices and/or the Regional Bureaus after consultations with the relevant Bureau for Policy and Programme Support thematic cluster. Funds are allocated in amounts up to \$100,000. These resources can be used by the Resident Coordinator to create a quick response to a sudden crisis, conduct needs assessments and initiate recovery planning efforts.

Below are examples of recovery activities that can be funded with TRAC II resources.

- The cost of conducting a needs assessment; this includes the cost of local and international consultants, field visits and logistics support.
- Coordination support for the Resident Coordinator and their office to respond to a disaster.
- Support for national governments to plan and coordinate recovery.
- Support for government capacity-building measures to strengthen government management and coordination efforts.

TRAC 1.1.3, Category I, III and IV Resources

These funds are earmarked annually in UNDP's Regular Resources to use to rapidly and effectively address specific development needs of countries in special development situations or countries vulnerable to crises. They are used as described below.

- Category I resources are used for disaster risk reduction activities or for conflict prevention and peacebuilding in the case of countries affected by conflict.
- Category III resources support recovery activities in the aftermath of a disaster or violent conflict and are used to help restore government and community capacity to rebuild and recover from crisis and prevent relapses.
- Category IV resources support UNDP's policy and programme advisory services.

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2 SUPPORT SERVICES FROM HEADQUARTERS

UNDP Financial Resources

UNDP Seed Funding to Kick Start Recovery in Indonesia³³

On 26 October 2010, the Merapi volcano erupted, causing 440 casualties and the need to evacuate approximately 220,000 people from areas surrounding Central Java Province and Yogyakarta Special Region Province, Indonesia. During the design phase of UNDP's early recovery project, UNDP staff estimated a need for \$25 million, yet only about \$5 million was ultimately made available by donors. UNDP therefore had to rely on internal funding sources, from which a total of \$3.4 million was mobilized.

Facing a massive recovery task, the Country Office team decided they would approach project implementation in stages relying on existing relationships with local and national actors. A three-month project initiation plan was developed. TRAC-3 Cat 2 funds were used for this initial

response, and after receiving an initial sum of \$400,000 from TRAC resources for recovery, the team entered into a "more comprehensive PRODOC phase". Because UNDP's Bureau for Crisis Prevention and Recovery made the TRAC resources available to the Country Office they were able to undertake immediate recovery activities while facilitating the formulation of a full programme of support to the government's recovery process.

UNDP Recovery Project in Peru Funded with TRAC 1.1.3 Funds, Category II

Following the floods that affected Arequipa, Caraveli and La Union Provinces in Peru in 2013, UNDP quickly formulated a recovery project that was to be co-funded by UNDP through TRAC 1.1.3 funds and was to receive support from the regional government of Arequipa. Below is a summary of the project's outputs and activities.

³³ UNDP, Indonesia Country Case Study: Early Recovery Assistance Programme for Yogyakarta and Central Java.

OUTPUTS	ACTIVITIES	BUDGET
1: The process of recovery is strengthened in Arequipa, Caraveli and La Union.	<ol style="list-style-type: none"> 1. Support coordination with government authorities at central, regional and local levels. 2. Establish a Technical Advisory Group on Recovery. 3. Field visits to monitor affected areas. 4. Establish coordination platforms for the needs assessment and formulation of a recovery framework at regional and local levels. 5. Set up coordination meetings with government and United Nations agencies. 	\$55,960
Goal for the first 6 months: a recovery framework is finalized.	<ol style="list-style-type: none"> 1. Conduct a needs assessment. 2. Design a needs assessment approach based on PDNA methods. 3. Conduct the needs assessment. 4. Conduct studies on drainage systems. 5. Prepare an analysis of needs, responses and gaps. 6. Design procedures for monitoring the recovery process and a public information strategy. 	\$53,684
Goal for 12 months: project proposals finalized for all sectors and geographic areas.	<ol style="list-style-type: none"> 1. Develop Recovery Framework. 2. Facilitate a participatory planning process. 3. Formulate recovery projects for national funding. 4. Provide technical advice and support to regional and local authorities. 5. Develop a project document to strengthen the capacity of regional and local authorities in disaster risk reduction. 	\$80,356

PART B: UNDP Management

2 SUPPORT SERVICES FROM HEADQUARTERS

The Thematic Trust Fund for Crisis Prevention and Recovery

The Thematic Trust Fund for Crisis Prevention and Recovery (CPR TTF) comprises non-core resources that provide UNDP with funds that can be used for immediate crisis response, early and long-term recovery, as well as for strategic investment in Crisis Prevention and Recovery programmes. This fund is flexible in that donors can make contributions toward specific thematic areas. The Bureau for Policy and Programme Support has overall responsibility for managing this trust fund, as well as for oversight and policy design, reporting, technical and implementation support and implementation support. These contributions enable UNDP to address the needs of a crisis- or disaster-affected country that falls under the aegis of UNDP's Crisis Prevention and Recovery theme. In order to make funding available through this mechanism, a donor can develop a project or programme with UNDP – either in consultation with the Bureau for Policy and Programme Support or with a Country Office directly – or alternately can provide funding to support an existing project.

In addition to offering the rapid allocation and receipt of funds to UNDP Country Offices, the CPR TTF provides the flexibility to redirect funding in response to evolving crisis prevention and recovery needs. The fund is structured to accept un-earmarked contributions, earmarked contributions benefiting individual country programmes and earmarked contributions for work in the areas of conflict, disaster, early recovery and gender equality.

Contributions to this fund support a wide variety of UNDP interventions in the area of Crisis Prevention and Recovery, including conflict prevention, disaster risk reduction, strengthening rule of law in post-crisis countries, post-crisis governance, armed violence prevention, economic recovery and livelihoods, disarmament, demobilization

and reintegration and mine action. Gender equality and women's empowerment is central to all work done in these areas.

In 2016, UNDP will phase out the current CPR TTF and will replace it with four new windows for thematic trust funds which are more aligned with the objectives of the UNDP Strategic Plan. The proposed windows are: Governance and Peace building; Poverty Eradication and Sustainable development; Climate Change and Disaster Risk Reduction; and Crisis Response and Recovery. The funds from the Crisis Response and Recovery window will address the needs for recovery assessment, planning and coordination, restoration of vital governance functions, livelihoods recovery and support UNDP functions to rapidly scale up UNDP's capacity to lead the early recovery cluster.

The Flash Appeal and the Strategic Response Plan

Flash Appeal

Flash Appeals are used to respond to the most urgent humanitarian needs and to coordinate humanitarian response efforts during the first three to six months of an emergency. The United Nations Humanitarian Coordinator triggers a flash appeal in consultation with all relevant stakeholders, typically within one week of an emergency. The Flash Appeal provides a concise overview of urgent life-saving needs and may also include early recovery projects that can be implemented within the appeal's time frame, especially well-prioritized early recovery actions that address time-critical needs and contribute to saving lives and livelihoods.³⁴

On the basis of reliable and relevant needs assessment processes and analysis by the Humanitarian Coordination

³⁴ IASC. 2011. Consolidated Appeals Guidelines.

Team, UNDP can participate in Flash Appeals by ensuring that they include early recovery measures not already addressed by specific sectors and clusters (such as governance and livelihoods), particularly if they meet the following criteria:

- address time-critical, evidence-based needs;
- have a strong rationale for beginning sooner rather than later and can have a substantial and rapid impact on affected populations; and
- are built on and strengthen positive coping mechanisms, as well as seize recovery opportunities through targeted actions and can be effectively implemented within the Consolidated Appeal Process (CAP) timeframe.

The revision of the Flash Appeal, which is normally done about four weeks after issuing the first version, represents another opportunity to integrate early recovery actions, using improved information and assessments. The revision is an opportunity to introduce a greater range of early recovery projects, which often cannot be assessed quickly enough to be included in the first edition. UNDP can use the Flash Appeal to mobilize resources for recovery projects, particularly urgent early recovery measures that fall within the priorities of Flash Appeals.

The Strategic Response Plan

A Strategic Response Plan is prepared in response to a humanitarian crisis that requires international support from more than one agency. The Strategic Response Plan specifies the shared vision or strategy established to respond to assessed needs and serves as a basis for implementing and monitoring the collective response.

The Strategic Response Plan consists of two components:

1. the country strategy, with a narrative, strategic objectives and indicators; and
2. cluster plans, with objectives, activities and accompanying projects, which detail how the strategy will be implemented and how much it will cost.

The Strategic Response Plan is primarily a strategy and priority-setting document for response and resource mobilization purposes and is developed to cover a full calendar year. After the Strategic Response Plan comes out, organizations can approach donors directly citing the parts of the plan on which they are working and for which they are seeking support. At the end of every year OCHA Geneva produces an annual Consolidated Appeal which contains funding requests from all these Strategic Response Plans and this document can also be used for fundraising purposes.

As in the case of the Flash Appeal, UNDP may use the Strategic Response Plan to include urgent early recovery measures that fall within the priorities of the plan, particularly items not addressed by other agencies and crosscutting areas.

PART B: UNDP Management

3 THE FORMULATION OF PROJECTS

3.1 Project Design

UNDP formulates recovery projects in response to disasters based on the results of needs assessments. This section provides guidance on the main elements to consider when formulating such projects and includes an example from different UNDP recovery programmes to illustrate each point. Many of these elements are of equal importance when formulating proposals for internal or external financing purposes.

A project document has three main elements, outlined below.

Refer to [Annex 1 Project Document Template](#).

Situation Analysis: The situation analysis explains the recovery problem to be addressed by the project, usually in terms of needed capacity development efforts to strengthen national coordination and planning. Often the situation analysis is based on existing assessment reports, such as the Early Response Assessment and the PDNA, and describes the context, impact of the disaster and recovery needs.

The Programme Strategy: The strategy for the recovery project must be defined and explained, in particular how UNDP will support national recovery planning and coordination efforts and how project outcomes will strengthen national capacities and partnerships and ensure lasting results. The strategy should describe the overall vision and goal of the recovery project. It should explain how it will meet priority needs and be strategic in strengthening national coordination and planning capacities. This may include specifying the core areas, specific strategic objectives or cross-cutting issues (disaster risk reduction, gender, governance) that require special attention.

The Results and Resources Framework:

The purpose of the Results and Resources Framework is to help define project results that will support the planning, coordination, management and monitoring of recovery activities. The Results and Resources Framework places the recovery project in the larger framework of the country recovery programme and its development objectives and serves as a useful tool to ensure consistent inputs, outputs, activities and outcomes. The table below provides an example of outputs, indicators and indicative activities for a project that aims to strengthen recovery planning and coordination efforts. When formulating a project, the standard template for project documents should be used.

See [Annex 2](#) for an example of a Results and Resources Framework.

For more on formulating project documents refer to the [UNDP POPP³⁵](#), which offers detailed guidance on the required formats and content, in particular the Deliverable Description and the Project Document Template.

³⁵ <https://intranet.undp.org/global/popp/Pages/default.aspx>

Example of Outputs, Indicators and Indicative Activities in a UNDP Recovery Project

OUTPUTS	INDICATORS	ACTIVITIES
Rapidly strengthen the capacity of local authorities to manage local early recovery.	<ul style="list-style-type: none"> Number of people (sex-disaggregated) trained in construction. Number of offices repaired in X locations. Number of offices equipped with hardware and software tools to manage recovery. 	<ul style="list-style-type: none"> Organize rapid training programme on construction. Repair office infrastructure of local government authorities in X affected locations. Provide office supplies. Help local governments to re-build records of lost properties/ownerships/assets of individuals and information management capacity for recovery.
Ensure a coherent and well-coordinated national recovery process.	<ul style="list-style-type: none"> Completed PDNA Formulation of a National Recovery Framework Establishment of an inter-institutional implementation mechanism 	<ul style="list-style-type: none"> Mobilize technical experts to support the Ministry of Planning. Organize capacity-building training in recovery planning for government authorities and United Nations partners. Facilitate a recovery planning workshop. Organize a donor conference.
Support the planning and implementation of recovery action plans at local level in X of the most affected areas.	<ul style="list-style-type: none"> The completion of X local-level Recovery Action Plans. Number of consultations organized on the plan and the categories of stakeholders involved; The establishment of X coordination mechanisms established in affected areas. 	<ul style="list-style-type: none"> Organize local level consultative processes with local government officials, civil society, community organizations and affected residents. Ensure bottom-up, community-level, fully participatory planning process. Organize planning workshops to develop joint Recovery Action Plans.
Strengthen recovery coordination among clusters.	<ul style="list-style-type: none"> The establishment of an inter-cluster management unit to facilitate national recovery coordination and to support national capacities. An established and functioning interagency coordination mechanism and regular meetings. 	<ul style="list-style-type: none"> Recruit staff for management unit. Establish office and facilities for the unit. Organize regular coordination meetings among clusters
Address the underlying causes of disaster risk and vulnerability so that they can be addressed in the recovery process.	<ul style="list-style-type: none"> Disaster risk reduction is mainstreamed into the national recovery framework across all clusters/sectors. Government authorities are trained on DRR, gender and other cross-cutting issues. Number of recovery projects that are based on risk assessment and aim to strengthen resilience. Number of sectors in which disaster resilience is integrated during the recovery and reconstruction process 	<ul style="list-style-type: none"> Recruit DRR experts to support government authorities and to facilitate workshop on DRR in recovery planning. Train government officials and partners on DRR in recovery. Conduct risk assessments in affected areas.
Pursue integrated approaches to include conflict prevention and resolution and social cohesion.	<ul style="list-style-type: none"> Number of new initiatives benefiting from conflict prevention and UXO/mine action. 	<ul style="list-style-type: none"> Integrate conflict prevention, resolution and mine action measures into all recovery planning and project activities.

PART B: UNDP Management

3 THE FORMULATION OF PROJECTS



Exit Strategy, Monitoring and Evaluation:

Country Offices should ensure a planned exit and winding down period for the recovery programme, building linkages to development projects as much as possible to facilitate a sustainable, longer-term transition. UNDP's recovery programmes should also include a plan for Monitoring and Evaluation to measure progress and achievements, safeguard legitimacy and accountability, as well as to identify changes that need to be made to promote success. This can be done through SMART³⁶ indicators at the sector level and more broadly by using indicators that will capture the degree to which the recovery vision and objectives of a recovery plan have been achieved. An essential good practice is to support or co-host a final evaluation exercise, stakeholder workshop and report on project outcomes. This will help the Country Office take stock of the recovery intervention, learn from successes and failures and document lessons learned so that they can be disseminated throughout UNDP to learn from efforts being conducted across the globe.

3.2 Joint Programmes

One of the options for implementing recovery is to develop a joint programme with other United Nations agencies with each agency responsible for implementing a component of the recovery programme based on its mandate, technical strengths and comparative advantages. Joint programmes present a coherent United Nations approach and increase the scope and coverage of recovery interventions. They provide greater visibility and have bigger impacts compared to a single agency intervention. Joint United Nations programmes also receive more interest of support from donors. UNDP has considerable experience in implementing joint programmes with other United Nations agencies. This option can also be considered for planning post-disaster recovery programmes.



No matter what the modality for recovery programmes, it is absolutely critical that UNDP gives highest priority to programmes and projects that support the recovery of affected populations. This should be done as soon as possible to take advantage of a short window of funding while the disaster impact is still fresh and resources are available for recovery.

Nepal Earthquake - Kathmandu Valley after quake, 1 May 2015.
© Laxmi Prasad Ngakhusi / UNDP Nepal

³⁶ SMART: Specific; Measurable; Attainable; Relevant; Time-bound.



Annexes



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ANNEX 1: PROJECT DOCUMENT TEMPLATE

United Nations Development Programme

Country: _____

Project Document: _____

Project Title: _____

UNDAF Outcome(s): _____

Expected CP Outcome(s): (Those linked to the project and extracted from the CP) _____

Expected Output(s): (Those that will result from the project) _____

Executing Entity: _____

Implementing Agencies: _____

Brief Description: _____

Programme Period: _____

Key Result Area (Strategic Plan): _____

Atlas Award ID: _____

Start date: _____

End date: _____

PAC Meeting Date: _____

Management Arrangements: _____

Total resources required: _____

Total allocated resources: _____

☐ Regular

☐ Other:

• Donor: _____

• Donor: _____

• Donor: _____

• Government: _____

Unfunded budget: _____

In-kind Contributions: _____

Agreed by (Government): _____

Agreed by (Executing Entity): _____

Agreed by (UNDP): _____

Background and Situation Analysis

(suggested maximum two or three pages)

The background and situation analysis section provides the information listed below:

- Overview of the disaster
- Socio-economic and political characteristics of the affected area prior and post to the disaster
- Impact of the disaster (including assessment of damages, losses and needs)
- gender analysis and sex and age disaggregated data as well as specific information on the vulnerable groups before and after the disaster
- Immediate response: by the Government, International agencies, NGOs, communities and other stakeholders
- Introduce the recovery needs as identified in the needs assessments reports or other relevant reports

Provide a reference to the relevant outcome Country Programme Document (CPD), CCA and UNDAF. State the problem to be addressed usually in terms of recovery needs. References to the impact of disaster on HDR, MDGs and the economy may also be included if available. Explain the institutional and legal framework for DRR and Recovery. Provide a reference (and hypertext links) to the findings of relevant assessments including PDNA and reviews if available.

Recovery Strategy

This section will describe UNDP's proposed recovery strategy and its alignment with UN/UNDP's ongoing programme (including reference to UNDAF and CPAP), and National recovery framework/plan.

This section also includes the UNDP's recovery guiding principles such as: **focus on the most vulnerable; building back better and resilience; gender and human rights based approach; do no harm/conflict sensitive recovery; transparency and accountability; partnerships; and sustainability.**

The programme document should clearly spell out how this proposal is incorporating the UNDP's

8 point agenda for women's empowerment and gender equality in crisis preventions and recovery.

The section should have an analysis of risks and proposed risk mitigation measures.

This section should also define UNDP's approach to recovery programming i.e. sector or area-based. For each of the programmatic elements/thematic areas, this section should clearly state how it will be implemented and who the partners are.

For example, if the thematic area is community infrastructure, the section should answer the questions Who, What, Where, How:

Who: Who will be the Government counterpart; who will implement at the community level?

What: What infrastructure will be repaired; what is community participation; what is the process for selection of infrastructure to be repaired or rebuilt

How: How will it be implemented and modalities for payments for labor and technical expertise for community infrastructure.

Where: Location of the districts /geographical locations for the identified for repairs.

Recovery Programme Components

This section will describe the key interventions and the recovery project deliverables.

Typical UNDP recovery interventions are provided below under different thematic area as follows:

A. Local governance

- Restoration of local Government functions (assets, human resources etc.)
- Restoring and improving service delivery (access to social services such as health, education, water and sanitation, social protection for at-risk communities etc.)
- Strengthening local government capacity to prepare areas of return and reintegration
- Support for local level recovery planning and coordination.
- Strengthen information management capacity of the government for recovery planning, implementation, and monitoring.
- Community participation and inclusive process of recovery planning, implementation and monitoring.
- Information management and aid coordination.
- Restoration of legal documents such as ID cards, marriage and death certificates, land deeds etc. to affected communities.

B. Livelihoods and enterprise recovery

- Emergency employment creation (undertaken through cash for work)
- Micro, Small, Medium enterprises recovery particularly focusing women and other vulnerable groups (through cash grant, skill building, credit lines, improving value chain etc.)
- Inclusive financing

C. Community physical Infrastructure rehabilitation

- Restoration of critical basic infrastructure
- Repair and rehabilitation of roads, bridges, water supply and sanitation facilities
- Repair and rehabilitation of health and education facilities
- Repair and rehabilitation of community assets and places of historical/cultural importance
- Community Organizations strengthening through training and capacity building

D. Recovery planning and Disaster Risk Reduction

- Technical assistance to National Government on setting up institutions for managing recovery and reconstruction.
- Strengthening National Government capacity for recovery planning and coordination.

- Supporting National Government to set up systems to monitor recovery.
- Technical assistance for land use planning and risk assessment for reconstruction.
- Strengthening of early warning system, emergency preparedness and response capacities at national and local level.
- Support for integrating DRR in recovery and reconstruction in all sectors.
- Linking DRR with ongoing Climate Risk Management initiatives.
- Land use planning for development projects.
- Review of building codes and by-laws.
- Multi-hazard risk assessment.
- Community preparedness programmes

E. Environmental restoration

- Restoration of critical ecosystem services and ecological assets
- Landslide stabilization
- Afforestation
- Debris management
- Solid waste management
- Industrial and chemical waste management
- Facilitate environmentally sensitive recovery

F. Peace preservation and social cohesion in the aftermath of disasters

- Rule of law and security institutions strengthening
- Access to justice and informal dispute resolution
- Social cohesion and dialogue
- Community participation and inclusive recovery planning, implementation and monitoring

G. Energy access

- Solar lighting
- Micro hydel for energy
- Micro grids for electricity

H. Housing (technical assistance)

- Developing housing reconstruction strategy
- Developing low cost house designs in partnership with academic institutions
- Training of engineers and masons in safe housing construction techniques
- Technical demonstration units for low cost housing
- Establishing building materials center
- Monitoring and evaluation of housing reconstruction programme

Annexes

ANNEX 1: PROJECT DOCUMENT TEMPLATE

Results and Resources Framework

Below is an illustrative list of outputs and indicators

Intended Outcome as stated in the Country Programme Results and Resource Framework: Assign a number to each outcome in the country programme (1, 2..).
Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:
Applicable Key Result Area (from 2014-17 Strategic Plan):
Early recovery and rapid return to sustainable development pathways are achieved in post-conflict and post-disaster situations:
Partnership Strategy:
Project title and ID (ATLAS Award ID):

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p><i>Specify each output that is planned to help achieve the outcome.</i></p> <p><i>For each output, include a baseline with associated indicators and targets to facilitate monitoring of change over time.</i></p> <p>Local Governance</p> <p>Output 1</p> <p>Restore local government capacity to deliver services and lead and implement recovery.</p> <ul style="list-style-type: none"> • Baseline: • Indicators: <p><i>No. of local Government offices repaired and functioning with staff.</i></p> <p><i>No. of core Government functions restored (need to qualify functions)</i></p> <p><i>No. of population that have access to services and recovery assistance</i></p> <p><i>No. of households that have received ID cards and relevant documentation to access all services and recovery assistance.</i></p>	<p><i>Use this column for more complex projects where an output takes more than one year to produce.</i></p> <ul style="list-style-type: none"> • Targets (year 1) • Targets (year 2) 	<p><i>List activity results and associated actions needed to produce each output or annual output targets.</i></p> <p><i>Each activity result shall ultimately become an Activity ID in Atlas.</i></p> <p>1. Activity Result</p> <ul style="list-style-type: none"> • Action • Action <p>2. Activity Result</p> <ul style="list-style-type: none"> • Action • Action 	<p><i>Specify parties that have been engaged by the executing entity to carry out these activities</i></p>	<p><i>Specify the nature and total costs of the UNDP inputs needed to produce each output.</i></p>

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p>Output 2</p> <p>Stabilize and restore livelihoods of affected communities through cash for work, cash grants, and promotion of small and medium businesses.</p> <ul style="list-style-type: none"> • Baseline: • Indicators: <p><i>No. of men and women given livelihoods opportunities through cash for work, cash grants.</i></p> <p><i>No. of men and women have resumed livelihoods with replaced assets.</i></p> <p><i>No. of men and women livelihoods restored through small and medium business enterprises.</i></p>	<ul style="list-style-type: none"> • Targets (year 1) • Targets (year 2) • Targets (year 3) 	<p>1. Activity Result</p> <ul style="list-style-type: none"> • Action • Action <p>2. Activity Result</p> <ul style="list-style-type: none"> • Action • Action 		
<p>Output 3:</p> <p>Restore social and economic activities of communities through repair and reconstruction of community infrastructure.</p> <ul style="list-style-type: none"> • Baseline: • Indicators: <p><i>No. of community facilities repaired with hazard resistant technologies.</i></p> <p><i>No. of communities with social and economic services restored due to repair of roads, bridges, culverts, community centres market places etc.</i></p>	<ul style="list-style-type: none"> • Targets (year 1) • Targets (year 2) • Targets (year 3) 	<p>1. Activity Result</p> <ul style="list-style-type: none"> • Action • Action <p>2. Activity Result</p> <ul style="list-style-type: none"> • Action • Action 		
<p>Output 4:</p> <p>Strengthen National Government capacities to lead and implement recovery through technical assistance.</p> <ul style="list-style-type: none"> • Baseline: • Indicators: <p><i>Institutional arrangements for planning and implementing recovery established.</i></p> <p><i>Mechanisms for Information management, disbursement of funds, coordination, monitoring, and grievance redress for recovery set up and functional.</i></p> <p><i>No. of Recovery and reconstruction projects planned and informed by land</i></p>	<ul style="list-style-type: none"> • Targets (year 1) • Targets (year 2) • Targets (year 3) 	<p>1. Activity Result</p> <ul style="list-style-type: none"> • Action • Action <p>2. Activity Result</p> <ul style="list-style-type: none"> • Action • Action <p>3. Activity Result</p> <ul style="list-style-type: none"> • Action • Action <p>4. Activity Result</p> <ul style="list-style-type: none"> • Action • Action 		

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ANNEX 1: PROJECT DOCUMENT TEMPLATE

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p><i>Use plans, risk assessments and disaster resilient construction technologies.</i></p> <p><i>No. of trained national and local government officials with capacities for conducting post disaster needs assessments and developing recovery plans.</i></p>				
<p>Output 5:</p> <p>Strengthen national government, local government and community's capacities to manage disasters.</p> <ul style="list-style-type: none"> • Baseline: • Indicators: <p><i>Early warning systems and response capacities of national and local governments improved through nationwide coverage of emergency operation centres.</i></p> <p><i>Community resilience is enhanced through improved preparedness plans, access to early warning messages, social protection measures and safety from hazards.</i></p>				



Refer to UNDP POPP (<https://info.undp.org/global/popp/pages/default.aspx>) for information for the following:

Annual Work Plan

Management Arrangements

Monitoring Framework And Evaluation

Legal Context

Click here for the standard text

Annexes: Risk analysis. Use the Standard [Risk Log Template](#)

Agreements: Any additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the “executing entity”) should be attached.

Terms of Reference: TOR for key project personnel should be developed and attached.

Capacity Assessment: Results of capacity assessments of Implementing Partner (including HACT Micro Assessment).

Nepal Earthquake - Kathmandu Valley after quake, 2015.
© Laxmi Prasad Ngakhushi / UNDP Nepal



ANNEX 2: EXAMPLE OF A RESULTS AND RESOURCES FRAMEWORK

Example from UNDP Programme Document: Support to Typhoon Recovery and Resilience in the Visayas, Philippines.³⁸

Outcomes:

Early recovery and rapid return to sustainable development pathways are achieved in post conflict and post-disasters, including from climate change

Indicators:

- Percentage of affected population meeting critical benchmarks for social and economic recovery within 6-18 months after a crisis (disaggregated by sex and age)
- Extent to which national and sub-national institutions are able to lead and coordinate the early recovery process 6-18 months after crises.

OUTPUTS, BASELINES, TARGETS AND INDICATORS	ACTIVITIES	0-6 Mo	6-12 Mo	12-36 Mo	PARTNERS	INPUT	TOTAL AMOUNT IN USD
Output 1: Local Government Institutions restored with physical and human resources in place to lead the design and implementation of early recovery effort Baseline (preliminary, pending, PDNA results): Most municipalities in eastern Leyte are working at less than 50% of staff strength and in western Leyte and other provinces up to 80%; More than 30% of municipalities have lost operational equipment and facilities Target: 6mo: Full functionality of least 43 municipalities resorted; 12mo: Core staff of 43 municipalities trained in recovery related function Indicators: 1. Number of municipality staff reporting to work in the 43 selected municipalities 2. Number of municipality with fully functioning equipment (tbd)	1.1: Restoration of minimum operational asset of affected LGUS	X			LGU, Department of Interior and local Govt. (DILG) municipalities in the other parts of the country, UNVs, other Un Agency as relevant	Hard ware (Computer communication equipment, restored office space etc.	2,300,000
	1.2: Augmenting the Capacity of the LGUs	X				7,00,000	
	1.3: Pot-Yolanda Recovery Resource Centres	X				2,000,000	
	1.4: Regional Workshop on Role of Local Governments in Recovery		X			100,000	
	1.5: Strengthening Recovery Related Core Function of LGU's			X		250,000	
	1.6: strengthening the capacity of LGUs in Disaster Risk Reduction and Recovery			X			
SUBTOTAL OUTPUT 1							5,350,000

³⁸ <https://intranet.undp.org/global/popp/Pages/default.aspx>

OUTPUTS, BASELINES, TARGETS AND INDICATORS	ACTIVITIES	0-6 Mo	6-12 Mo	12-36 Mo	PARTNERS	INPUT	TOTAL AMOUNT IN USD	
Output 2: The Population's access to service identified by the affected cite/ municipalities and communities restored through the development and implementation of recovery plans Baseline (preliminary, pending, PDNA results): Coastal communities in areas affected by storm surge (mostly in eastern Leyte and Samar) have lost documentation, the Comprehensive Land use Plans (CLUP) and Comprehensive Development Plans(CDP) exist in urban area but have been not been fully implemented. Much of the community infrastructure, such as public market, health centres and schools, have been damaged. Target: 12mo: All communities in 43 selected municipalities will have their relevant documentation restored enabling them to access basic services and recovery assistance; 24mo: CLUPS and/or CDP in 43 municipalities revised through a consultant process 36mo: Indicators: 1. Number of household that have been supported with restoration of documentation 2. Number CLUPS and/or CDP revised in consultation with the communities; 3. Numbers of partnership for material on infrastructure rehabilitant 4. Numbers of Material resource facilities	2.1: Support to communities with lost documentation	X			LGU, Department of Social Welfare and Development (DSWD) UNHabitat, Department of Public Works and Housing (DPWH)	Mobile unit staffed with relevant officials to help restore basic documentation (IDS, certificates etc.) in the affected area	150,000	
	2.2: Facilitating community participant in recovery planning	X					200,000	
	2.3: Developing the capacity for implementation of recovery plans		X				Training LGU Sstaff in recovery planning	250,000
	2.4: Supporting grievance mechanism related to land issues		X				Staff time (Area Coordinators, Governance expert, DRR expert)	100,000
	2.5: Supporting the revision of comprehensive Land Use Pans and/ Comprehensive Development Plans		X				Land use planning expert Travel costs for LGU staff as well as expert	250,000
	2.6: Social protection system for at-risk communities			X				1,500,000
SUBTOTAL OUTPUT 1							2,550,000	

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ANNEX 2: EXAMPLE OF A RESULTS AND RESOURCES FRAMEWORK

OUTPUTS, BASELINES, TARGETS AND INDICATORS	ACTIVITIES	0-6 Mo	6-12 Mo	12-36 Mo	PARTNERS	INPUT	TOTAL AMOUNT IN USD
Output 2: Effective coordination, accountability and transparency mechanism for post-disaster recovery established Baseline : LGUs have only ad hoc coordination mechanism focused largely on humanitarian efforts, at the national level, Foreign Aid Transparency Hub,(FAiTH) tracks inflow of support but is not geared towards providing disaggregated information on recovery expenditures. There are no Localised Customer Service Codes set up for service delivery priorities in the affected area Target: 12mo: an aid tracking database (Ray database) established and functional; 24mo: Fiver Recovery Resource Centres (RRCs) are established in the affected area; 36mo: At leaste two services per municipality have Customer Service Codes set up Indicators: 1. Aid Coordination Reports disseminated every month 2. Extent to which technical support is provided to affected communities through RRCs 3. Number of Localised Customer Service Codes set up	3.1: Support to national level coordination mechanism for post-Yolanda recovery	X			Office of the Presidential Assistant of Rehabilitation and Recovery; LGUs, other government departments	Office space , Equipment, staffing for Recovery Resource Centres in Five hubs	7,00,000
	3.2: Support to recovery aid tracking at the local level	X				Staff time (area coordinators, Governance expert, DRR expert)	200,000
	3.3: Communication an aid flow to communities		X			Technical Support to transfer/adapt Aid Tracking system form Indonesia to the Philippines Travel Cost	
	3.4: Support to citizen monitoring system			X			100,000
SUBTOTAL OUTPUT 1							1,000,0000



While the eyes still reflect the sorrow and anguish of the devastation from floods, a smile touches the face of this young woman in Sindh as she has now shifted in a new house built with UNDP support. April 2011. © UNDP Pakistan

ANNEX 3: EXAMPLES OF DISASTER RISK REDUCTION IN RECOVERY

Building Back Better

- Capacity-building support to government authorities responsible for DRR to enable them to mainstream DRR into recovery planning. This may include technical advice and assistance, human resources, equipment and infrastructure.
- Integrate DRR indicators into the Recovery Framework, including sectoral monitoring indicators
- Issue a policy on integration of DRR into all sectoral recovery projects, with agreed upon principles and guidance
- Establish financial instruments to ensure that funding for reconstruction is based upon integration of safer construction principles
- Provide technical support to integrate DRR into sectoral recovery plans
- Promote planning and management of risk-free human settlements
- Support development of environmental impact assessments, risk and vulnerability assessments, hazard mapping.
- Develop land-use plans to guide recovery, especially the rebuilding of critical infrastructure, based on environmental and risk assessments.
- Promote the use of standard criteria for the design, approval and implementation of infrastructure projects
- Encourage the revision or development of new zoning and land use regulations, building codes, rehabilitation and reconstruction practices at national and local levels
- Promote use of multi-hazard construction technologies
- When reconstructing critical infrastructure, such as housing, schools etc., support the development of minimum standards for construction, specific standards for retrofitting, use of technologies and designs for disaster-resistant units, provision of roving retrofitting services
- Identifying Safe Areas for reconstruction
- Develop manuals and guidance material on DRR

Strengthening Risk Reduction

Disaster Risks and Early Warning

- Support development of hazard-specific or multi-hazard risk mapping
- Support development of vulnerability assessments
- Develop physical risk mitigation projects, such as reforestation of watersheds or sea-walls as part of flood defence mechanisms.
- Strengthen early warning systems at national and local levels. This may include technology or information systems for hazard prediction, weather, climate forecasting and communication tools, etc.
- Install simple community-based early warning systems and communication mechanisms.

Disaster Preparedness

- Support the development of disaster management information systems
- Promote the development of contingency and emergency plans at national and local levels

- Help establish an institutional framework for disaster management in the country
- Develop multi-hazard preparedness and response plans, or evacuation plans
- Enhance a country's emergency response capacity with equipment, training, prepositioning of stocks, etc.
- Develop emergency shelters at the community level
- Develop revolving funds managed by the community to better cope in disaster situations

Awareness-Raising, Education and Training

- Support awareness-raising campaigns at local level on DRR and disaster management, safe building practices, etc.
- Introduce courses, curricula and training programmes on DRR in schools
- Provide training and capacity-building for government authorities
- Train local labour, contractors and community members on safe building practices, technologies and designs.

ANNEX 4: LESSONS LEARNED

The following lessons are major findings gleaned from UNDP engagement in recovery projects after disasters and crises.

Coordination – is fundamental to the success of recovery programmes. It is also often a thankless task that is fraught with difficulties. The adaptation of coordination structures and systems, while seemingly technical in nature, may often expose significant political fault lines and competing interests including on issues of national ownership and legitimacy. This can happen among national actors, between government and the international community and at times within the international community itself. Thus, significant time and effort is required to form and manage the coordination architecture of national recovery efforts following a major catastrophe. It also requires astute, political skills, emotional intelligence and an awareness of inter-institutional sensitivities when dealing with host governments, United Nations agencies and other interested parties. Bearing these characteristics in mind, it also requires determination to do what is right in order to get the job done, as well as a sound sense of judgment and decision-making. From each of the case studies examined, it is clear that UNDP senior management has had to excel in the art of political and programmatic collaboration and coordination in order to deliver in this particularly sensitive area of recovery management.

Communication and Information

Management – Communication and information management is a ‘must do well’ activity in post-disaster scenarios. It requires skilled human resources and time to communicate information quickly, accurately and regularly to those who depend on it. Often UNDP management teams underperform in this area. Communications are a two-way process that requires dedicated Country Office personnel that are in tune with circulating news items or percolating up on the front lines of affected communities. It is imperative to develop a communication plan to

ensure access to information for all stakeholders in order to meet their information needs. A multi-channel strategy is necessary and social media needs to be fully embraced by UNDP Communications Officers to ensure maximum penetration of key messages.

SURGE – Early Recovery Package of Support from Headquarters - One of the overwhelming lessons generated from the case studies examined is the requirement to assemble the Recovery Project Team as quickly as possible after the disaster to reinforce UNDP’s capacity to deliver on its core mandate. Incoming expertise doubles the capability of the Humanitarian Coordinator/Resident Coordinator and equips the Country Office with the additional skills to succeed. The quickest means of securing specialists and other personnel needed is via UNDP’s Crisis Response Unit SURGE team and the Express Roster. There are also rosters and emergency stand-by partners with whom UNDP has Memorandums of Understanding, e.g. the Danish Refugee Council Stand-by Roster with its pool of pre-approved early recovery specialists ready for rapid deployment with UNDP, the Swedish Civil Contingencies Agency (MSB) and the Norwegian Refugee Council. Additional financing can be sought from the Crisis Response Unit to initiate a National Recovery and Coordination Project under emergency conditions.

Build and Maintain Successful

Partnerships – Partnerships are critical to the successful management of post-disaster recovery programmes. Partnerships usually go beyond temporary contractual arrangements agreed on between organizations. Partnerships are longer-term commitments between organizations that share a common vision and direction and which normally entail a division of labour based on the mandates and comparative advantages of their respective mutual interests. What is clear from the case studies is that higher performing partnerships evolve over time and are less dependent on the allocation of funds. Indeed, the Indonesia case pointed out clearly

that whilst funds are important, often when funding targets fail to get met, goals and outputs can still be achieved. So, money is a much less critical input than is often understood. Building a partnership incrementally and testing it in real or simulated disasters can serve to strengthen an appreciation for what these partners can accomplish when their efforts are combined in an orchestrated manner. The greater the investment of time and effort in building the partnership prior to a disaster, the more valuable and prepared the partnership will be when disaster strikes. Tajikistan, Indonesia and Pakistan all attest to these facts and have all systematically invested in capacity-building and institutional strengthening of key partnerships. This must be undertaken at national, provincial and district levels and should involve NGOs, United Nations agencies, local authorities and affected communities.

Learn from Prior Experience – As major and minor disasters strike, it is vitally important to learn from experience and gauge the performance agencies involved in response and recovery work. Facilitating participatory evaluation exercises is particularly helpful as a form of After Action Review. It is equally important to document failure and learn from mistakes - Indonesia candidly points out that misjudgments made in the Aceh response helped to improve recovery organization in the later Yogyakarta and Central Java interventions. Accumulated experience and lessons further enhanced the response to the eruption of Mt. Merapi. There are numerous good practice reviews and documented evaluations of previous recovery programmes that can be used as a reference, such as on integrating appropriate DRR/DRM strategies and development principles at all levels. Learning from past experience builds skills and expertise moving forward.

Money is Not the Most Important Asset in a Successful Recovery Programme – It has often been noted that financial resources are not the most important element in a recovery programme. High quality

technical expertise and investment in capacity building of national government is sometimes more important and has a higher impact in the post-disaster context. UNDP's mandate in recovery is fundamentally about leadership, coordination, institutional development and policy support. Direct implementation of infrastructure rehabilitation initiatives should really only be undertaken when domestic, public, private and NGO capacities are lacking. When UNDP is asked to play a major role in the project implementation, these might readily be undertaken as a pilot and be implemented through ongoing projects. The most successful recovery projects appear to emerge from instances in which a Country Office has provided continued technical expertise to the government at national and local levels. This allows UNDP to deliver on its mandated role and at the same time produce demonstrable results with a more modest budget.

Skills for DRR and Integrated Risk Management – In the case studies, Country Office staff reported a lack of skills in the area of disaster risk reduction. This was true for UNDP and host governments alike and many governments are just beginning to appreciate the value of DRR. Systematic training of UNDP staff across thematic areas (democratic governance, crisis prevention and recovery, poverty reduction and sustainable development) can upgrade skills in DRR. These efforts should be targeted toward Country Office staff in countries considered at great risk of disaster. For example, during recovery work undertaken by UNDP Indonesia, ongoing decentralization efforts revealed an incomplete regulatory framework had unintentionally created contested areas of authority and a lack of responsibility to act. In order to 'build back better', UNDP needed to apply a governance remedy as part of the recovery programme. A 'whole systems approach' is required to design, plan and implement DRR programming and UNDP programme teams need training in order to enhance skills in this area.

ANNEX 4: LESSONS LEARNED

Collaboration between UNDP and OCHA –

Strengthening the level of understanding and collaboration between UNDP and OCHA is needed. The professional arrangements and organizational capacities that exist with UNDP and OCHA need continual strengthening to ensure that host governments and United Nations Country Teams are well served by the institutional arrangements that define and bind these two organizations together in their separate but linked spheres of strategic coordination and operationalization of humanitarian and recovery activities. OCHA's technical and operational capacity for crisis response coordination; and UNDP's on the ground presence and close partnership with the governments and national institutions in support of nationally-led recovery assessments and planning efforts provide an opportunity to create a smooth transition from relief to recovery; and to enhance the overall effectiveness of disaster response and recovery efforts.



Kosi Flood Recovery and Reconstruction Project, 2010

A young boy climbs a ladder to his attic in Orlaha village. The attic made out of bamboo represents an innovation in these houses. Not only does it provide additional storage and living space for families, but it also provides succor against the threat of rising river water in the future.

© Jay Mandal/UNDP India

Template for National Recovery Strategy

(Also called National Recovery Framework / Plan and part of PDNA effort)

Points of reference for more information on each section detailed in this template are the Disaster Recovery Framework Guide, PDNA Guides – Volumes A and B and the Country Case Studies designed to share Lessons Learned. All of them can be found at: <https://www.gfdr.org/recoveryframework>

1. Introduction

1.1 Include the overarching purpose of the PDNA and Recovery Strategy.

1.2 List main partners, sectors covered in PDNA that have fed into the Recovery Strategy.

1.3 Challenges to Recovery – list major issues facing recovery process that will be addressed in this Recovery Strategy.

Guidelines: Present a set of context-specific challenges to the recovery process and propose some way forward to address these challenges Potential examples of challenges presented below

- Current institutional capacity inadequate to plan and manage recovery process;
- Lack of coordination arrangements for engaging stakeholders both government and non-government agencies in recovery
- Absence of policies, procedures for implementation recovery;
- Lack of resources to fully finance recovery activities;

2. Vision Statement

2.1 Vision Statement

Guidelines: The Recovery Vision involves the development of an overall strategic vision for reconstruction while stipulating a timeframe for completion. It should be harmonized with broader development goals and growth and poverty reduction strategies that are part of the policy framework within the disaster-affected government. When applicable and to the degree possible, the Recovery Vision should be based on the country's existing sector development plans with recovery objectives aligned with existing national development plans and strategies when possible/practical.

The ideal approach to conceptualizing the Recovery Vision is to do this with very high level support from government partners who convene consultative, participatory forums that bring together a wide array of stakeholders including those working at local and national levels. In cases in which support for such consultative forums is not provided (which also happens due to urgency to complete this process quickly), an inclusive recovery vision must be formulated by the writing team working on this chapter and presented to stakeholders in this document.

3. Recovery Objectives

3.1 The Recovery Objectives section states the primary objectives of the Recovery Strategy concisely and simply (potential examples are provided here):

- To support the social and economic recovery of all affected communities through programmes to restore livelihoods and employment, repair of community infrastructure, repair of housing, restoration of service delivery etc.
- To enhance national and local government capacities to

plan, implement and monitor recovery programmes in a manner that reduces risks to future disasters.

- To design effective policies, strategies, programmes and monitoring support needed for the full recovery;

4. Guiding Principles for Recovery

Guidelines: The following examples of potential guiding principles can be adapted to different scenarios, but in all cases, context-specific principles must be developed. These guiding principles should govern the implementation of a Recovery Strategy to ensure the effectiveness of recovery and reconstruction efforts, that recovery efforts are equitable and inclusive. The principles seek to guide reconstruction programmes that will build back better and produce more resilient communities in the future and they should make use of lessons Learned from prior recovery programmes that have been implemented in the country in question or in other contexts. A set of ten principles can be agreed

Examples of guiding principles are:

- Recovery should be led by the government with contributions from the affected community, civil society, private sector and development partners.
- Recovery should be inclusive and participatory and taking the needs of women and other vulnerable groups into account.
- Recovery should build on local capacity and utilize local resources. It should ensure that external technical assistance complements existing capacities.
- Recovery programmes should be implemented in open and transparent manner.

5. Disaster Recovery Phases and Implementation Timeframe

5.1 Short-, Medium- and Long-Term Interventions.

5.2 Implementation Timeframe

Guidelines: This section presents the recovery interventions by sector and the timeframe within which it will be implemented. The Recovery interventions are categorized as short, medium and long term interventions. This section also lays out an implementation timeframe (projected number of years for programmatic efforts) in which the main deliverables that government wants to achieve are to be met. The individual sector Recovery Frameworks that follow each sector chapter in the PDNA will be essential to delineating major timeframe milestones for different recovery initiatives. These Recovery Frameworks present reconstruction and recovery needs in each sector that are prioritized and sequenced into short, medium and long term needs. The Recovery Frameworks identify key interventions, outputs and outcomes. The sample text on implementation timeframes provided here can be used as the basis for this section, although context-specific changes will have to be made.

Short-, Medium- and Long-Term Interventions. Within the PDNA process, each sector analysis and findings (each chapter) ends with a set of proposed Recovery Frameworks (infrastructure, economy, health, education, social protection, livelihoods, governance, etc.). The Recovery Frameworks suggest a phasing for the projects in each sector according to their level of urgency and prioritizes them as such.

Short-Term projects should be started as quickly as possible and are likely to be in the following areas: vital government support (such as debris removal, critical energy and infrastructure repairs), basic human needs and livelihood support (including food assistance and vouchers and cash grants, temporary housing and repairs to slightly

damaged residential structures), restarting education (refurbishing schools and getting children back in the classroom), health care recovery (repairing and restocking health care facilities), etc. These first tier priorities represent the most urgent needs, as well as low-hanging fruit (for instance, repairs to slightly damaged structures, school books, materials and uniforms for children) that can serve as an entrée into communities and quickly build trust.

Medium-Term initiatives focus on projects that require greater time to plan and execute. These include planning, hiring for and initiating major reconstruction and rebuilding projects; programmes that need a significant investment of time and effort before outcomes are visible, livelihood support, training for government officials and NGOs, psychosocial outreach services, the integration of DRR concepts into rebuilding efforts, medium scale repairs, efforts to stabilize markets, etc.

Long-Term recovery efforts are those that are projected to take years to achieve. This may mean for example training masons and builders in DRR techniques and initiating the reconstruction of structures that were totally destroyed – to include whole neighbourhoods and communities, government facilities, relocation projects, infrastructure projects that enhance sustainability, disaster preparedness efforts, new hazard reduction measures, major capacity development efforts, etc.

Implementation Timeframe

Based on the Recovery Frameworks developed in response to the findings in each sector, a projected timeframe in which different tier projects are to be completed needs to be set as well as a projection of how long the full recovery of the impacted region is expected to take. The timeframe for implementation for sectors is context-specific and there is no cookie cutter approach to follow.

6. Institutional and Implementation Arrangements

6.1 Describe the Disaster management / recovery structure in place currently put in place by the government to respond to the crisis

6.2 Gaps in disaster management / recovery structure of country (describe what areas critical to the management, coordination and implementation of recovery initiatives that are not dealt with through the current disaster management / recovery structure).

6.3 Recommended structural changes (propose in detail the leadership structure, policy framework, legal mandates, coordination and monitoring system that would create the capacity and enabling environment to achieve a successful recovery).

6.4 Role of local government (describe the role and level of autonomy that local governments and impacted communities will have in shaping local recovery processes).

Guidelines: As potentially the most important section in the Recovery Strategy, the focus here is on proposing an inter-institutional (or governmental) mechanism for implementing, coordinating and managing recovery at national and local levels, including government ministries and departments, local governments, community institutions, NGOs and civil society. This requires a rigorous analysis of structures that are currently in place, gaps and challenges and a set of recommended structural changes. This will include developing policy frameworks for the recovery programme, ensuring legal mandates are in place for entities meant to lead recovery and facilitating macro-level planning, sectoral strategies, financing, project approval processes and oversight.

References for this section include the country case studies

that were designed to supplement the Disaster Recovery Guide (especially Pakistan Earthquake and Philippines post-Yolanda Reconstruction cases) www.gfdrr.org/sites/gfdrr/files/New%20Folder/Philippines%20August%202014.pdf www.gfdrr.org/sites/gfdrr/files/documents/docs/Pakistan_April%202014.pdf).

7. Resource Mobilization Strategies and Financial Mechanisms

Guidelines: This section of the Recovery Strategy should recommend strategy for financing (both domestic and donor-driven) recovery.

The resource mobilization strategy should be developed in conjunction with government partners. As recovery should not be achieved at the cost of current development processes, it requires the mobilization of new domestic and international resources. When nationally available funding sources are insufficient to meet identified needs, this section might suggest the organization of a donor conference as a key element of the resource mobilization strategy.

The Recovery Strategy, as a document that includes an accurate and realistic assessment of recovery needs in conjunction with a clear set of recovery objectives, institutional arrangements, funding mechanisms provides a credible framework capable of generating external investment and encouraging internal budget reallocation efforts.

This section should also delineate the flow of funds and all possible funding mechanisms for recovery operations – to include both the government’s preferred method for receiving and appropriating funds (most often through the Treasury) and specific vehicles bilateral development partners and multilateral or regional development banks have established for purposes of ensuring transparency and accountability. Depending on the size and scale of the event, financing recovery can include recommendations

to accept loan packages, issue reconstruction bonds, use catastrophic drawdown options, provide debt relief, make use of insurance, or other possibilities.

More information on financing mechanisms including the government’s budget, development portfolio restructuring exercises, humanitarian (Flash Appeal) and revised appeals (such as the Strategic Response Plan-SRP), the creation of a multi-donor trust fund and others can be found in the Disaster Recovery Framework Guide.

8. Information Management and Decision Support Systems

8.1 Information Management and Decision Support Systems

8.2 Recovery Databases

Guidelines: The government entity responsible for the planning, implementation and monitoring of progress during recovery operations will have to depend on a system capable of the collection, analysis and dissemination of information coming from a large number of stakeholders to inform evidence-based decision-making. An ICT capacity or Project Management Office located in the government entity responsible for recovery can develop a system track progress of recovery interventions for each geographical location. This system of tracking the beneficiaries will ensure that quick and right decisions are taken to address the gaps in reconstruction. It also guarantees transparency, accountability and good financial management throughout the recovery effort. The systems needed will be dependent on the size of the disaster and the context and will need to be designed together with knowledgeable partners in a range of ministries and different International partners and civil service organizations. A good reference for further direction is the Disaster Recovery Framework Guide and the Case Studies developed in support of it.

9. Oversight, Monitoring and Evaluation of the Recovery Programmes

9.1 Governmental Oversight of All Recovery Efforts

9.2 Independent Audits

9.3 Independent Monitoring and Evaluation Efforts

Guidelines: This Section proposes governmental oversight mechanisms to track the work being done by a large number of ministries, local government agencies, NGOs, CSOs, IC actors and United Nations agencies. Recommendations could include a) reports on recovery projects and programming, funding and periodic progress updates from all actors involved in recovery efforts; b) compilation of all recovery reports into a central database and dissemination; c) Independent audits of recovery spending; d). Third party monitoring and evaluation efforts track implementation progress and ensure reconstruction is effective, equitable and sustainable.

This section could propose M&E methods (both qualitative and quantitative research– measuring inputs and outputs which are often easily quantifiable, but also producing a qualitative understanding of outcomes – or real changes in people's lives).

This section can also propose indicators for monitoring recovery. For more guidance on this section, refer to the sample Recovery Monitoring Indicators in the Supplementary Note below. These indicators are recommended as the basis for measuring recovery performance.

10. Inter-Sectoral Recovery Framework

Guidelines: Example provided below can be used as a starting point to create the Inter-Sectoral Recovery Framework.

Annexes

ANNEX 5: SAMPLE TEMPLATE AND GUIDANCE FOR OVERARCHING RECOVERY STRATEGY

Template For Completing Inter-Sectoral Recovery Framework

FOR IMMEDIATE ACTION							
SECTOR	OBJECTIVES	ACTIVITIES	BUDGET US\$	GOVT. LEAD AGENCY	IMPLEMENTING AGENCY	INTERNATIONAL PARTNERS	TIME FRAME PER ACTIVITY
Agriculture, Fisheries and Livestock	Kick start agriculture production in all affected districts	<ul style="list-style-type: none"> Inputs to farmers for seeds, fertilizers , pesticides Repair of drainage and irrigation systems Technical assistance to farmers for crop production Cash grants for replacement of lost agriculture implements 	(Costs per Unit) X (Total Needs)	Ministry of Agriculture	District Agriculture Office	FAO, UNDP	<ul style="list-style-type: none"> • 3 months starting XXX • 6 months starting • 6 months starting XXX • 3 months starting XXX
Total / Agriculture US\$	XXXX.xx						
Fisheries	Revive Fisheries in the affected districts	<ul style="list-style-type: none"> Provision of materials for boat repair (timber, plywood , glue , paint and tools) Repairs to jetty's and other infrastructure Provision of materials of nets and materials for fishing Replacement of lost Fish aggregating device (FAD) 	(Costs per Unit) X (Total Needs)	Department of Fisheries	District Fisheries Office	FAO	<ul style="list-style-type: none"> • 3 months starting XXX • 6 months starting • 6 months starting XXX • 6 months starting XXX
Total / Fisheries US\$	XXXX.xx						

FOR IMMEDIATE ACTION							
SECTOR	OBJECTIVES	ACTIVITIES	BUDGET US\$	GOVT. LEAD AGENCY	IMPLEMENTING AGENCY	INTERNATIONAL PARTNERS	TIME FRAME PER ACTIVITY
Agriculture, Fisheries and Livestock	Reestablish Household food production through home gardens	<ul style="list-style-type: none"> • Support to HHs to prepare land for vegetable gardens • Provision of seedlings and plants for vegetables • Technical assistance to farmers for crop production • Setting up village nurseries to support kitchen garden 	(Costs per Unit) X (Total Needs)	Ministry of Agriculture	District Agriculture Office	FAO, UNDP	<ul style="list-style-type: none"> • 3 months starting XXX • 6 months starting • 6 months starting XXX • 12 months starting XXX
Total / Agriculture US\$	XXXX.xx						
Fisheries	Increase Fish production by establishing fisheries service's centres	<ul style="list-style-type: none"> • Repair and setting up of Fisheries extension services around villages • Training of village fishermen in fishery techniques • Insurance coverage for all boats and assets 	(Costs per Unit) X (Total Needs)	Department of Fisheries	District Fisheries Office	FAO	<ul style="list-style-type: none"> • 3 months starting XXX • 6 months starting • 6 months starting XXX
Total / Fisheries US\$	XXXX.xx						

Annexes

ANNEX 5: TEMPLATE FOR NATIONAL RECOVERY STRATEGY

FOR THE LONG TERM							
SECTOR	OBJECTIVES	ACTIVITIES	BUDGET US\$	GOVT. LEAD AGENCY	IMPLEMENTING AGENCY	INTERNATIONAL PARTNERS	TIME FRAME PER ACTIVITY
Agriculture, Fisheries and Livestock	Protection of agricultural land from coastal erosion and promotion of climate resistant crops	<ul style="list-style-type: none"> Assessment to determine impact of coastal erosion, salt intrusion on agricultural land. Rehabilitate and protect land from coastal erosion. Treatment of land from salt intrusion. Training of farmers in salt resistant crops and other climate resistant varieties. Demonstration units on salt resistant varieties of crops. Planting trees around agricultural land as a measure of protection against coastal erosion. 	Assessment Costs (Costs per Unit) X (Total Needs)	Ministry of Agriculture	District Agriculture Office	FAO, UNDP	<ul style="list-style-type: none"> 3 months starting XXX 6 months starting 6 months starting XXX 12 months starting XXX
Total / Agriculture US\$	XXXX.xx						
Fisheries	Establish best practices in Fishing and promote safety	<ul style="list-style-type: none"> Establish and support fisheries cooperatives to store and market fish and fish products. Dissemination of Early Warning through Fish cooperatives. Registration of all fishermen and their boats on cooperatives. Establish boat and net repair centres. 	(Costs per Unit) X (Total Needs)	Department of Fisheries	District Fisheries Office	FAO	<ul style="list-style-type: none"> 3 months starting XXX 6 months starting 6 months starting XXX
Total / Fisheries US\$	XXXX.xx						

(Also called the National Recovery Framework or Plan and part of a PDNA.)

Note on Recommended Recovery Monitoring Indicators

HOUSING SECTOR	INFRASTRUCTURE SECTOR	ECONOMY SECTOR	LIVELIHOODS AND EMERGENCY EMPLOYMENT	SOCIAL SECTOR (HEALTH, EDUCATION, CULTURE)	GOVERNANCE SECTOR	CROSSCUTTING INDICATORS FOR EACH SECTOR: DRR AND CCA
Degree of damage to residential dwelling (e.g. minor/partial/ total)	Public infrastructure (roads, bridges, railways, ports)	Micro- and macro- economic trends	Change in employment status and household income (ex-ante vs. ex-post)?	Access to education, school materials for children	Satisfaction with PDNA and Recovery Framework process and IC partners?	Improvements in type or quality of construction; (changes in walls, floors, roofs, sanitation, clean water access = BBB)
Degree of completion of rebuilding or repairs (20%, 40%, 60%, 80%, 100%), speed of process	Access to public transportation	Private sector resilience (time to recover for businesses)	Do asset building interventions cause beneficiaries to incur hidden costs? (due diligence, M&E)	Access to health care, availability of medical supplies and health care personnel for all	Sense of ownership of recovery strategy and interventions chosen?	Hazard / risk profile: does the housing construction method fit the hazard profile (elevation, location, risk reduction = BBB, CCA)
Does housing grant per beneficiary / degree of damage fulfil household housing repair / rebuilding needs?	Energy, Water and Sanitation, Telecommunications	Ability of local/national government to collect taxes – revenue loss and replacement of vital public goods and services?	Sustainability of employment status and income change (short-term vs. long-term = does programme do no harm?	Change in state of physical and mental health for affected population	Improvements in Disaster Management / Disaster Risk Reduction policies, institutions, regulatory frameworks?	Type of construction ex ante (building material prior to disaster)
Do housing assistance packages include renters, provide adaptations for disabled, etc.?	Debris Management	Worker retention or shrinking workforce?	Access to Markets	Progress (time, quality) of rebuilding and repair of Education, Health and Cultural Facilities	Effectiveness of external support and capacity-building measures? Fit to needs?	Rebuilding method (self-help, construction kits and training and contractor-built)
Beneficiary satisfaction / grievance process?	Community Infrastructure Rehabilitation		Gender-sensitive approach?		Transparency, accountability, and effectiveness of implementation and spending on recovery?	Comprehensive social vulnerability / asset profile for each household / all IDPs (who needs assistance and why?)

BBB = build back better

CCA = common country assessment

IDP = internally displaced person

ANNEX 6: CRISIS RESPONSE FOCAL POINT CHECKLIST

Checklist for Country Office/Disaster Risk Management Focal Point

PRE-DISASTER PREPAREDNESS

- ☐ Keep in touch with government disaster management focal point about possible impacts of potential disaster. Attend coordination meetings for preparedness and response.
- ☐ Alert Resident Coordinator and Country Director of the impending disaster and brief on government and UNDP's actions required.
- ☐ Alert Regional Bureau/BPPS/CRU and share situation reports if already prepared by government or OCHA. If none available, UNDP Disaster focal point to draft a situation report and share with senior management. Senior management may share with HQ.
- ☐ Reach out to all national and international UNDP project staff out posted in districts and request them to share information on local level preparedness measures.
- ☐ In countries where an Early Recovery Cluster exists, convene Early Recovery Cluster to coordinate and prepare for the oncoming disaster. In countries where an Early Recovery Cluster does not exist senior management/disaster management focal point may convene meeting with relevant stakeholders for information exchange and coordination.
- ☐ Support the relevant government agencies in reviewing their preparedness including Contingency Plan (if it exists) at national and subnational levels.
- ☐ Assist Senior Management in ensuring adequate resources (personnel, tools, equipment, etc) are available and maintained at the CO level as preparedness measures to provide Early Recovery support.
- ☐ Advocate and facilitate Disaster Management agency and stakeholders developing a pre-disaster recovery plan.

DURING DISASTER ACTIONS

- ☐ Set up a communication and media relations focal point.
- ☐ Prepare regular situation reports and share with relevant units.
- ☐ Draft TRAC 1.1.3 Category 2 request (use the link below to download a request template); and Senior Management submits the request online (use the link to submit request); attach latest situation report to the request.
<https://intranet.undp.org/global/popp/mc/frcr/Pages/TRAC-1-1-3-Category-II-resources.aspx>
- ☐ Liaise with OCHA/RC Office for UNDP submission to the Flash Appeal. Refer to the Flash appeal template and the attached guide on UNDP's typical activities to be included in the Flash appeal.
Support and participate in the UNDAC process as relevant.
- ☐ Develop and submit CERF proposal through the RC Office. Refer to the link below for guidance on developing a CERF proposal.
<http://www.unocha.org/cerf/resources/how-apply/rapid-response-0>
- ☐ Discuss with government if an Early Recovery Cluster is required and activate the cluster with support from CRU colleagues based in Geneva.
- ☐ Review together with senior management the CO Business Continuity Plan and identify SURGE support needed.

Expect Authorized Spending Limit (ASL) to be established within 48 hours of the request

Expect questions back, but ASL could take up to 72 hours from submission of a revised draft. You can start spending before money is in.

ANNEX 6: CRISIS RESPONSE FOCAL POINT CHECKLIST

POST-DISASTER ACTIONS

A) UNDP'S Support to the Government (PDNA and Recovery Planning and Resource Mobilization)

- ☐ Contribute actively in the MIRA or other humanitarian assessments, as relevant. Refer to the attached checklist of Early Recovery questions to be included in the MIRA or other assessments.
- ☐ Encourage the Senior Management to assess jointly with the World Bank and the EU the need and likelihood of a request for a PDNA.
- ☐ Liaise with relevant government agency to find out if they are interested in undertaking a PDNA. If government shows interest, update SM. Share PDNA guidance documents with the relevant government agency. *PDNAs will not be required unless it's a high impact disaster (level 2 and level 3)*
- ☐ Assist government in drafting a request letter for the PDNA addressed to all partners. The letter when issued should be shared with HQ Disaster Recovery Team. *Standard letters available in the PDNA toolkit*
- ☐ Assist SM in organizing coordination meeting with The World Bank and EU and UN agencies to discuss joint support to government on PDNA *Template for HR and Finances needs available in toolkit*
- ☐ Assist SM to organize meeting between partners and the relevant government agency for the PDNA.
- ☐ Discuss with SM UNDP's role of coordination, sector assessments, report drafting and for the PDNA. Prepare a list of human and financial resources required for supporting UNDP's role in the PDNA. *Template for HR / Finance needs and TORs for various PDNA profiles available in toolkit*
- ☐ Assist in drafting the TOR for the PDNA on behalf of the partners, circulate draft to partners locally and send to HQ for inputs. TOR to be shared and endorsed by the relevant government agency *Draft TORs for PDNA available in the Toolkit*
- ☐ Discuss with senior management the source of funds for PDNA (from TRAC 1.1.3 funds/SURGE budget/DRM project funds etc.)

- Assist government in preparing and conducting PDNA training to government, UN and other stakeholders participating in the PDNA. Refer to the link for guidance on PDNA process.
- Assist in establishing the High Level Management Team led by a senior representative of the government entity responsible for PDNA and including the RC/HC, The WB Country Representative and the EU Representative to provide oversight to the PDNA process.
- Assist RC Office in identifying the sectors (to identify priority sectors refer to the MIRA, UNDAC or any other humanitarian assessment undertaken before the PDNA) to be included in the PDNA and relevant government ministries/agencies, United Nations agencies and other stakeholders. Each sector should have a sector lead for the sector assessment, which ideally should be a government representative
- Establish a PDNA secretariat for the team coordination, with an information management specialist.
- Establish a PDNA drafting committee responsible for putting together the final PDNA report with representatives from government, the UN, WB and EU. No single agency shall have exclusive editorial control over the content of a draft PDNA, while government shall retain final say over all content in the final PDNA. However, the government together with the UN, WB, EU should agree on a focal person that would consolidate and finalize the PDNA report.
- Support the government and RC in organizing donor conference to the present PDNA and mobilize resources to finance recovery. Agree and implement communications priorities and products for the conference together with CO communications team.
- Discuss recovery institutional arrangements and funding architecture for recovery with national counterparts. Provide information on Recovery institutional arrangement and funding architecture for recovery.
- Assist government with drafting a strategy for detailing out implementation arrangements for recovery with national capacities.

Training agenda available in PDNA toolkit; Standard presentation on role of UN agencies in PDNA available.

Sample TOR available in PDNA toolkit

Sample TOR available in PDNA toolkit

ANNEX 6: CRISIS RESPONSE FOCAL POINT CHECKLIST

- ☐ Assist government in drafting a detailed monitoring plan for recovery.
- ☐ Organize a technical workshop on recovery to facilitate discussion and decision-making on issues related to recovery.
- ☐ If required, second a Recovery Advisor to work with the government on these issues.

B) UNDP'S Recovery Programming

If PDNA or other needs assessments do not take place, UNDP to assess the needs using its partners and field based staff.

- ☐ Based on the needs assessment or the PDNA or UNDP conducted rapid assessment support drafting of a Recovery Road map with strategic areas that UNDP would engage in Recovery including human and financial resources required.
- ☐ Draft 2-3 page concept note for early and long term recovery with areas of interventions, costs and timeline.
- ☐ Draft full-fledged Recovery programme document for UNDP with inputs from programme and operations teams; DRR should be integral part of the programme document.
- ☐ Initiate discussions with potential donors and share project concept notes and programme documents based on their interest.
- ☐ Share project concept note with BPPS for possible seed funds from CPR TTF
- ☐ Coordinate with CO Communications team to develop communication plan for resource mobilization

ANNEX 7: BANGLADESH NGO CONTRACTING PROCESS

Best Practice: Bangladesh's Early Recovery Facility and NGO Roster

Background

In response to a need for a flexible mechanism for financing and executing early recovery efforts in the aftermath of disasters, UNDP established an Early Recovery Facility (ERF) in conjunction with the Government of Bangladesh. The ERF mobilizes early recovery resources quickly and effectively to ensure that people affected by disasters do not experience delays when critical and time-sensitive recovery interventions are needed. Through the ERF, UNDP expertise in Early Recovery is combined with the implementation capacity of pre-qualified NGOs who have experience in areas such as livelihoods, shelter, local governance, community infrastructure, disaster risk reduction, environment and capacity development – resulting in a rapid reaction capacity able to formalize contracts with pre-qualified NGOs within 48 hours.

Establishment of the NGO Roster

Normal procurement processes can be time-consuming; however, they are in place to ensure quality standards and control costs. Balancing sound procurement policy and the urgency that occurs post-disaster, UNDP's ERF in Bangladesh worked together with the Bureau for Crisis Prevention and Recovery (BCPR) and the Bureau for Management Services to set up an on-line NGO Roster and pre-qualify a set of vital early recovery partners. As a first step, a Request for Information questionnaire sought an overview of NGO (or CSO) qualifications and technical expertise in early recovery activities and other thematic areas. Using this information, a comprehensive capacity assessment covering the following topics (funding sources, audit, leadership and governance, personnel capacities, infrastructure and equipment and quality assurance) was undertaken for each NGO. NGOs were pre-qualified based their ability to meet agreed-upon criteria in all relevant areas.

CSO/NGO Selection

Once the NGO roster was in place, tools to determine which NGO is the best-suited for implementation of different projects were designed. A four member Capacity Assessment Team (CAT) was established and tasked with conducting a Comparative Advantage Analysis (geographical access to beneficiaries, delivery capacity, etc.) and an NGO Risk Analysis based on the Terms of Reference for each early recovery project. The CAT uses the results of both assessments to select the appropriate NGO for each project. Immediately after the Comparative Advantage Analysis, selection of the most suitable pre-qualified NGO and UNDP Country Director approval of the CAT recommendation, a Responsible Party Agreement is signed between UNDP and the selected NGO. In cases in which more than one NGO on the roster has the ability to implement the project as described in the TOR, the CAT recommends using regular UNDP procurement procedures.

Operation, Management and Use of the NGO Roster

A Roster Manager maintains the NGO Roster, liaises with NGOs, other partners and clusters and periodically reviews and updates the roster under the guidance of the CAT. Using this process, UNDP Bangladesh has pre-qualified 23 International and 56 National NGO partners with geographical presence in all districts of Bangladesh. Since the establishment of the NGO Roster in April 2014, three early recovery projects have been implemented using the NGO Roster. A recent study, "Bangladesh Disaster Management Lessons Learned (2005-2015)" commissioned by the Ministry of Disaster Management and Relief (June 2015) has highlighted the timeliness of UNDP's response following disaster events, which is a direct effect of this unique process.

Annexes

ANNEX 8: COMMONLY USED ACRONYMS

ASL	Authorized spending limit
BBB	Build Back Better
BCPR	UNDP's Bureau for Crisis Prevention and Recovery
BMS	UNDP's Bureau for Management Services
BPPS	UNDP's Bureau for Policy and Programme Support
CAP	Consolidated Appeals Process
CBO	Community-based organization
CCA	Common Country Assessment
CERF	Central Emergency Response Fund
CFP	Call for Proposals
CO	Country Office
CPR	Crisis Prevention and Recovery
CRU	Crisis Response Unit
CSO	Civil society organization
CWGER	Cluster Working Group for Early Recovery
DIM	Direct Implementation Modality
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
ER	Emergency Recovery
ERF	Early Recovery Facility
ERWG	Early Recovery Working Group
EU	European Union
GFDRR	World Bank's Global Facility for Disaster Reduction and Recovery
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HQ	Headquarters
IDP	Internally-displaced person

LGU	Local government unit
MDG	Millennium Development Goal
MDTF	Multi-donor Trust Fund
MSWM	Municipal Solid Waste Management
NDMA	National Disaster Management Authority
NGO	Non-government organization
NIM	National Implementation Modality
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
PDNA	Post-Disaster Needs Assessment
ProDoc	Project Document
RAP	Recovery Action Plan
RC	Resident Coordinator
RF	Results Framework
RRF	Results and Resources Framework
SitRep	Situation report
SWG	Sectoral Working Groups
TG	Thematic Groups
Trac	Target for resource assignment from the core
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
WB	World Bank

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Inter-Agency Standing Committee (IASC)

<https://interagencystandingcommittee.org>

International Recovery Platform

www.recoveryplatform.org



Breaking traditional gender barriers, after the 2010 Pakistan floods, the women of Sindh learned masonry through UNDP's Cash-for-Work project—part of the wider Livelihoods & Economic Recovery Programme needed after the floods to rebuild Pakistan's local economy, infrastructure & create jobs. After completing the cash-for-work programme, female masons of Sindh have continued to work as masons, a skilled trade which is traditionally very male dominated, © Satomi Kato / UNDP

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Bangladesh is well on its way in attaining a number of its key MDG targets.

© UNDP Bangladesh

Nepal Earthquake - Kathmandu Valley after quake, April 2015.

© Laxmi Prasad Ngakhusi / UNDP Nepal

Juba, South Sudan: UNDP Launches Pilot Projects for Recovery and Reconciliation in South Sudan, October 2014.

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UNDP Worker Directing Traffic In Anibong, Six Months After Typhoon Haiyan In The Philippines.

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Ebola response in West Africa | UNDP
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Workers at a gravel plant in Kulyab City, Tajikistan, January 2014.

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Grateful parents have named their son Raha, the initials of a United Nations-supported programme called: Refugee Affected and Hosting Areas programme or RAHA

that provided the ambulance and medical care to safely deliver baby Raha Khan on 8 September, amid the country's worst floods in recorded history. Nowshera: Pakistan, October-2010

© Muzammil Pasha/UNDP Pakistan

Women construction workers (CARMEN beneficiaries), Port-au-Prince

© UNDP/Andres Martinez Casares

In the aftermath of the East Africa drought in 2011, HelpAge started a recovery and resilience-building project in Turkana county with funding from the UK-based Disasters Emergency Committee (DEC). The project gave unconditional cash transfers to 3,000 older people and their families affected by the drought for a period of five consecutive months, with a one-off conditional livelihoods cash transfer after the five months.

Because the cash transfer was unconditional, people were able to make their own decisions about what to spend it on. Some used it to meet immediate needs, while others were able to build up their asset base. For example, one older woman decided to use part of the cash transfer to buy three goats. Nine months later, they produced offspring and she now had eight goats. This project is interesting because it was an emergency cash transfer, yet beneficiaries were still able to use part of it to invest in livelihood activities. This was aided by continuously reminding the beneficiaries that the project was temporary. To help people make an informed decision about how to spend the one-off livelihoods cash transfer in the sixth and final month, beneficiaries received training in business skills and disaster risk reduction. This innovative exit strategy enhanced

beneficiary households' capacity to invest in resilience-building.

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Nepal Earthquake - Kathmandu Valley after quake, May 2015.

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Men and women clean the rubble and the streets of the Carrefour Feuille area of Port-au-Prince, in a UNDP "Cash for Work" program, January 2010.

© MINUSTAH

UNDP in Mozambique celebrates International Mine Awareness Day, 2015

© Kate Brady/UNDP

New marine base in Cayes... batiment parasismique et para-cyclonique de la base maritime des Cayes, August 2013.

© UNDP Haiti

UNDP Assistant Secretary General and Director of the UNDP Crisis Response Unit Visits Malawi. ASG planting a tree in Balaka, Malawi.
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