IFRC Recovery programming guidance 2012

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International Federation
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How we work

Strategy 2020 voices the collective determination of the IFRC to move forward in tackling the major challenges that confront humanity in the next decade. Informed by the needs and vulnerabilities of the diverse communities with whom we work, as well as the basic rights and freedoms to which all are entitled, this strategy seeks to benefit all who look to Red Cross Red Crescent to help to build a more humane, dignified, and peaceful world.

Over the next ten years, the collective focus of the IFRC will be on achieving the following strategic aims:

1. Save lives, protect livelihoods, and strengthen recovery from disasters and crises
2. Enable healthy and safe living
3. Promote social inclusion and a culture of non-violence and peace.

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Foreword

The International Federation of Red Cross Red Crescent Societies (IFRC) and its member National Societies represent the largest humanitarian network in the world delivering humanitarian assistance to vulnerable people to save lives, protect livelihoods and strengthen recovery from disaster and crisis as outlined in Strategy 2020. These guidelines have been developed in line with our commitment to strengthen and continually improve recovery programming based on the disasters and crises of today and learning from our experiences and efforts up to this point.

Disasters affect people's lives by destroying life, property and the ways in which people support themselves. Recovery is what individuals, communities and institutions start to do straight after the disaster, relying on their own skills, experience and resources to rebuild their lives. Recovery in the context of disaster response is a process that results in people's lives returning to normal in such a way that they will have more resilience to future disasters. The extent to which people can recover after a disaster depends on their situation beforehand and how resilient their resources are to withstand the effects of a disaster. For some recovery will be relatively quick, while for others it may take years.

Recovery programming for the IFRC refers to an approach of how people are supported following a disaster, and starts early, alongside relief. It borrows ways of working from longer-term sustainable development and adapts them to a humanitarian context. As individual and community needs are diverse, a recovery programme should cover a range of different responses and sectoral areas. A well-integrated recovery programming approach works in a participative, inclusive, accountable way that does no harm.

These guidelines help to describe the main elements of a recovery programming approach required to deliver high-quality, timely and accountable humanitarian assistance. They were developed under the guidance of a steering group comprised of IFRC management and technical staff and key National Societies, as well as with substantial consultation from the Red Cross and Red Crescent Movement and the wider humanitarian

sector. An accompanying training package can be found on the recovery page of the Federation's Disaster Management Information System (DMIS). The comprehensive training package has been designed with the goal of providing disaster management practitioners with skills and confidence to facilitate a better common understanding of what a recovery programming approach means for the IFRC.

The intention is to update the guidelines every two to four years or as necessary on the basis of user feedback. Therefore we would request that IFRC staff and volunteers who use these guidelines note what was helpful, what was not, and any additional material that should be included in future editions. Your feedback is welcome via the recovery page of the DMIS or directly to the Senior Officer Recovery, Disaster and Crisis Management department. We look forward to hearing from you and trust that you will find these guidelines relevant to improving our work with vulnerable and disaster-affected populations.

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Additional thanks to the British Red Cross for allowing the IFRC to adapt the British Red Cross Recovery Resource Toolkit and to the valuable contributions made by individuals from the American Red Cross, British Red Cross, Canadian Red Cross, Danish Red Cross, ICRC, Norwegian Red Cross and the Swedish Red Cross. Thanks also to Ben Mountfield for a number of contributions to the guidance.

Acronyms

ACAPS	Assessment Capacities Project
BPI	Better Programming Initiative
CALP	Cash Learning Partnership
CGWER	Cluster Working Group on Early Recovery
CRM	Community Risk Management
DM	disaster management
EMMA	Emergency Market Mapping and Analysis Toolkit
ERU	Emergency Response Unit
FACT	Field Assessment and Coordination Team
FERST	Federation Early Recovery Surge Team
FEWSNET	Famine Early Warning Systems Network
HNS	Host National Society
IASC	Inter-Agency Standing Committee
IFRC	International Federation of the Red Cross and Red Crescent Societies
INGOs	International Non-Governmental Organizations
MSM	Mass Sanitation Module (ERU)
M&E	monitoring and evaluation
NGOs	Non-Governmental Organizations
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
OD	organizational development
PLWHA	people living with HIV and AIDS
RDRT	Regional Disaster Response Team
UNDP	United Nations Development Programme
VCA	vulnerability and capacity assessment
WFNS	well-functioning National Society
WPNS	well-prepared National Society

Key recovery programming principles

1. Recovery includes many different terms and is used in different ways. The **IFRC recovery programming approach focuses on how things are done rather than on when they are done.** It works in a participative, inclusive and accountable way that does no harm and is timely.

2. Early recovery and recovery programming **borrow ways of working from long-term development** and adapt them to working in a humanitarian context. IFRC policy on integrating relief, rehabilitation and development anticipates that relief activities will 'lay the foundation to rehabilitate livelihoods in such a way that they emerge more resistant to shocks in the future' (2006). Early recovery therefore takes place alongside relief, by applying recovery principles and working methods to ensure the affected communities can participate actively in the recovery process.

3. Recovery programming is founded on **working through the community.** This involves understanding, mapping out and seeking to strengthen community structures prior to, during and at different stages after the disaster. It also requires working in a participative, inclusive and accountable way with the community as it sets the direction for the nature of the relationship between the National Society, and the broader Red Cross Red Crescent Movement.

4. Recovery programming requires a **detailed assessment** at the community level to ensure a good understanding of who is vulnerable and what capacities exist to implement a recovery programme, both in the community and in the IFRC and its member National Societies.

5. The **seven Fundamental Principles** lie at the heart of all the Red Cross Red Crescent Movement does. These are complemented by a number of other strategic issues linked to recovery that guide recovery programming and should be documented in an operational strategy. Choices around these issues will often have to be made early on, making use of situation analysis, even when there may still be limited in-depth understanding of vulnerability in the particular disaster context.

6. There are **nine key strategic issues** that guide recovery programming. These nine approaches are distinct and their consideration must be documented in the operational strategy. They are:
   i. framing programming within the Fundamental Principles of the Red Cross Red Crescent Movement
   ii. ensuring the programme strengthens resilience
   iii. building on systematic and ongoing assessment and analysis
   iv. ensuring integrated or multi-sectoral programming
   v. considering cross-cutting issues
   vi. making use of innovative approaches such as cash transfers and market support programming
   vii. building strong coordination both within and outside the Red Cross Red Crescent Movement
   viii. securing sufficient and realistic resources
   ix. building on or contributing to the National Societies' own development.

7. **Strengthening resilience** is a key outcome of recovery programming. This involves building on the community's own recovery efforts. The disaster management cycle calls for an overall longer-term view of disasters so that programming contributes to reducing a community's risk to future disasters and strengthening individual and collective resilience.

8. **Integrated planning** combines different sectors into a common response to help people restore and recover assets and access to services they need to live. The scope of integration can vary depending on the needs, the capacities of the IFRC and its member National Societies and what other assistance is being provided in the community. This is important because it has been shown that disaster-affected populations benefit most from a response that meets the full range of needs that they have.

9. Consideration of **cross-cutting issues** is a key principle of recovery programming because it ensures that all population groups are involved in planning and implementation, that the programme itself does no harm, and that it is accountable and strengthens resilience.

10. Recovery programming lends itself to an increased **use of innovative approaches** to disaster response, so that disaster-affected populations do not become dependent on support from outside the community and that recovery programming is as effective and efficient as possible. There is an increased need for the IFRC and its member National Societies to understand local market dynamics and opt for cash transfers to support market and household level recovery whenever appropriate.

11. Recovery programming offers the opportunity for a **National Society to respond to unmet needs outside its core programme areas as well as needs within their expertise**. There is a range of ways that the National Society can achieve this with support from the Red Cross Red Crescent Movement and non-Red Cross Red Crescent Movement partners.

12. Recovery programme **targeting refines the geographical areas and specific population groups** that have been identified for relief and early recovery activities. For example, targeting a smaller geographic area and providing a greater range of sector responses to identified needs will often begin a process of household-level targeting. Targeting must be based on detailed assessment results following situation, vulnerability, capacity and needs analysis.

13. There are **three key stages of analysis** involved in recovery assessment and planning:
    i. situation analysis to guide initial thinking on the response, support decisions on geographical areas to target, the scale and scope of the sectors for the response and potential issues tied to scaling up and scaling down the operation
    ii. vulnerability, capacity and needs analysis to identify early recovery and recovery needs and the priorities, capacities and wishes of the affected population
    iii. response options analysis to support necessary decisions about the scale and scope of the recovery programme and to help make realistic strategic choices on where the IFRC adds appropriate and feasible value.

14. Recovery programming has **three main options for transition and exit that must be planned for in the initial programme design stage:**
    i. retaining a presence in the community (phasing down)
    ii. passing on relationships and work within the community to another partner either from within or outside the Red Cross Red Crescent Movement (phasing over)
    iii. exiting without sustaining a presence in the community (phasing out).

Glossary

Accountability is the obligation to demonstrate to stakeholders to what extent results have been achieved according to established plans. This definition guides our accountability principles set out in Strategy 2020: explicit standard setting, monitoring and reporting, transparent information sharing, meaningful beneficiary participation, effective and efficient use of resources, systems for learning and responding to concerns and complaints.
Source: IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

Assets are the building blocks for people's livelihoods. Increasing the type and the access to assets is a main component of poverty reduction strategies. These assets can include physical things one owns, financial assets, and natural resources one has access to, as well as less tangible assets such as health status and social networks. Disasters can destroy assets and access to services, which is why recovery programming often focuses on asset recovery.
Source: Adapted from DFID Sustainable Livelihoods Guidance Sheets (1999)

Baseline is a point of reference prior to an intervention against which progress can later be measured and compared. A baseline study is an analysis or study describing the initial conditions (appropriate indicators) before the start of a project/programme for comparison at a later date.
Source: IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

Cash Transfers are a mechanism for providing resources to disaster-affected populations when goods are available in the local market but affected populations do not have enough money to purchase them. The provision of cash transfers allows people to cover their short and/or longer-term essential food and non-food needs and improves their dignity and choice.
Source: Red Cross Red Crescent Movement Guidelines for Cash Transfer programming (2007)

The Community is not necessarily easy to define. In usual situations it is a complex mix of allegiances, relationships and social structures. Members of the community may be very different from one another and may have very different life experiences. Communities can be described as differing groups that are united by a common factor such as their geographical location, religion, livelihood, a certain vulnerability or capacity etc. After a disaster the community may change – people may move, groups may form and reform, tensions may increase or decrease.

Community members will experience the impact of the disaster in various ways because their vulnerabilities as a result of the disaster are different just as their vulnerabilities before the disaster were different.
Source: Adapted from the British Red Cross Recovery Resource

Community Risk Management (CRM) is a systematic process of implementing policies, strategies and measures at a community level to reduce the impacts of natural hazards and related environmental and technological disasters. This includes, among other things, health and disaster risk reduction, preparedness, response, recovery and rehabilitation.
Source: Partnership Paper, How can the Federation Regional Office play a more strategic role in strengthening work with National Societies to maximize collective impact for beneficiaries, (July 2010)

Coordination is a process through which actors involved in humanitarian response work together in a logical and concerted effort towards an agreed common end (namely to protect those affected, save lives and help resume normal activities), and in order to ensure maximum efficiency with the resources available.
Source: Interagency Standing Committee quoted in, Handbook for coordination: Working together in international disaster response (updated March 2010)

Coping strategies are mechanisms that people choose as a way to live through difficult times. Some coping strategies are reversible, for example short-term changes to the diet, migration of individuals to find work, use of savings or solidarity networks. Other strategies may be damaging and tend to be harder to reverse, for example the sale of land or other productive assets, the intensive use of firewood leading to deforestation, taking children out of school to make them work (child labour) or prostitution.
Source: IFRC Guidelines for Livelihoods Programming (2011)

Cross-cutting issues are themes that are considered important for relief, recovery and development because they require action in multiple fields and will influence the success of programmes. The most important cross-cutting themes for recovery programming reflect community diversity, gender, age and the social and environmental protection which often contributes to the vulnerability and limited resilience of communities vulnerable to disasters. Gender considerations include the roles, responsibilities, needs, interests and capacities of both men and women, while diversity concerns the different characteristics of people such as age, ability and ethnicity.
Source: Adapted from Gender Policy, IFRC (1999)

Disaster relief provides assistance to protect life and health and meet the life-saving and immediate needs of people affected by disaster.

Disaster response covers relief, early recovery and recovery activities. Such activities cover all sectors but aim to achieve different outcomes for affected communities.

The Disaster Relief Emergency Fund (DREF) is a fund of unearmarked money that can be used to guarantee immediate financial support for the IFRC in response to emergencies. The target for DREF capacity is 25 million Swiss francs: it receives support from donors through an annual appeal. Requests for DREF allocations are reviewed on a case-by-case basis and are limited up to 1 million Swiss francs per allocation. Allocations to start-up operations in major disasters are considered to be loans and are reimbursed when sufficient funding is received through the emergency appeal. Minor emergencies, referred to as DREF operations, for which no appeal is launched, are considered to be grants and often fully cover the operation budget. Allocations can also be requested to allow preparedness for imminent crises, when the emergency response has not been planned for in an annual appeal.

Early recovery is the process of people's lives returning to normal in the immediate aftermath of a disaster. It involves providing assistance to people in the earliest stages of disaster response in conjunction with the provision of relief, improving the effects of the relief and providing the basis for longer-term recovery. Early recovery enables people to participate more readily in longer-term recovery activities.

IFRC Emergency Appeal and Plan of Action (PoA) is simply a plan that articulates how the IFRC intends to respond to an emergency situation where there are significant needs for which international assistance is required. An Emergency Appeal is always based on a request from a member National Society, and is usually issued on the basis of ongoing needs assessment and an operational PoA.

Emergency Response Unit (ERU) is a standardized package of trained personnel and modules of equipment, ready to be deployed at short notice. It is designed to provide an essential, basic and standardized service platform for use in any part of the world. Units are deployed within 48-72 hours and are fully self-sufficient for one month and can be deployed for up to four months.

Evaluation is an assessment that identifies, reflects upon, and judges the worth of what has been done. "The aim is to determine the relevance and fulfilment of

objectives, developmental efficiency, effectiveness, impact and sustainability, An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learnt into the decision-making process of both the recipients and donors" (OECD/DAC 2002).
Source: IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

The Field Assessment and Coordination Team (FACT) is a team of experienced Red Cross Red Crescent disaster managers from within the IFRC and from the National Societies (over 500 in 2008) from 100 countries and with different expertise in relief, logistics, health, livelihoods and food security, cash based programming, public health and epidemiology, water and sanitation, finance, administration, psychological support, shelter and early recovery as well as language capabilities. FACT teams are ready to deploy with 12 – 24 hours notice for 2 – 4 weeks anywhere in the world.

Indicator is a unit of measure that helps determine progress made towards the achievement of an intended result (objective). For example, the number of people provided with transitional shelter is an indicator. Indicators can be formulated for goals, outcomes, outputs and activities.
Source: IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

IFRC Information Bulletin is a short document (usually no more than two pages long) intended to be flexible in nature articulating the action the Red Cross Red Crescent (local, national, or international) takes in response to an emergency. An Information Bulletin is issued within hours of an emerging/breaking disaster, and complements DMIS reports (providing formal as well as informal sources of information). An Information Bulletin can simply articulate a National Society response that requires no international assistance, or announce DREF support or the imminent launch of an emergency appeal. Information bulletins do not require a budget.

Integrated programming approach refers to designing disaster response programmes using a people-centred approach so that planning combines different sectors in such a way that their combination better addresses people's needs. This includes disaster preparedness efforts that can contribute towards building safer, more resilient and better-prepared households and communities, thus reducing existing and future risk and vulnerabilities.

Livelihoods is the means of making a living. Sustainable Livelihoods refers to people's capacity to generate and maintain their means of living, and enhance their

own well-being as well as that of future generations.
Source: IFRC Guidelines for Livelihoods Programming (2011)

A Market System is a network of producers, suppliers, processors, traders, buyers and consumers that are all involved in producing, exchanging or consuming a particular item or service. The system includes various forms of infrastructure, input providers, and services. It operates within the context of rules and norms that shape its particular business environment.
Source: Emergency Market Mapping Analysis Toolkit (2010)

Monitoring is the routine collection and analysis of information in order to track progress against set plans and check compliance to established standards. It helps identify trends and patterns, adapt strategies, and make decisions to keep the project on track and ensure effectiveness.
Source: IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

Poverty is a human condition characterized by the sustained or chronic deprivation of the resources, capabilities, choices, security and power necessary for the enjoyment of an adequate standard of living and other civil, cultural, economic, political and social rights.
Source: United Nations Committee on Social, Economic, and Cultural Rights, 2001

Recovery, in the context of disaster response, is a process that results in people's lives returning to normal in such a way that they will be more resilient to future disasters. The extent to which people can recover after a disaster depends on the situation beforehand and how robust or resilient their resources are to withstand the effects of the disaster. For some, recovery will be relatively quick, while for others it may take years.

Recovery programming builds on the affected people's immediate efforts to cope, recover and rebuild. It starts early, alongside relief, seeking to assist people at the peak of the crisis and continues into the mid-term to build greater resilience. Recovery programming includes well-linked actions to protect and restore livelihoods, enhance food security and a wide range of other actions such as community and public health, temporary and longer-term shelter provision, protection and psychosocial support. These activities are undertaken in a way that reduces dependency, mitigates conflict and works towards meeting longer-term risk reduction objectives.
Source: The Red Cross Red Crescent Approach to Disaster Management, Position Paper (2011)

Regional Disaster Response Teams (RDRTs) were first introduced as a disaster response tool of the IFRC in 1998 with the aim of optimizing human resources and expertise effectively within each region. RDRTs normally consist of experienced National Society staff and volunteers who can be deployed at short notice to respond to a disaster.

Rehabilitation and reconstruction are activities involving the repair and rebuilding of assets. Assets include physical infrastructure such as roads, transport services, utility supplies, public buildings, markets, and housing. These activities may involve minor repairs, infrastructure restoration or major rebuilding and may be undertaken by individuals (repairing their own properties) or by others such as contractors or locally trained artisans.

Resilience is the ability of individuals, communities, organizations, or countries exposed to disasters and crises and underlying vulnerabilities to anticipate, reduce the impact of, cope with and recover from the effects of adversity without compromising their long-term prospects.
Source: The Road to Resilience, Discussion Paper, IFRC (2012)

Response options analysis is analysis based on available information and strategic thinking that leads to decisions on the types of programmes that are most appropriate and feasible in response to a disaster. It is based on an analysis of need and Red Cross Red Crescent added value, and includes a consideration of the timing and targeting criteria for the programme. Response analysis can begin immediately following a disaster and can then be refined using detailed assessment data to inform the programme design phase of the programme cycle.

Risk is any event, action or decision that could prevent an organization from achieving its objectives and/or successfully implementing its strategies.

Risk analysis is an analysis or assessment of factors (called assumptions in a log frame) that affect the successful achievement of an intervention's objectives. It is a detailed examination of the potential unwanted and negative consequences to human life, health, property or the environment posed by development interventions (OECD/DAC 2002).
Source: IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

Risk Management is a structured, consistent and continuous process across the whole organization to enhance and preserve its value. This involves identifying, assessing, responding to and reporting on opportunities and threats that affect the achievement of its strategic objectives. Risk management is an additional step in the project planning and management process and requires consistent attention.

Sector is a technical area of humanitarian and development response. In the IFRC this includes food security and livelihoods, health, shelter and water and sanitation.

Situation analysis is analysis based on available information and strategic thinking that leads to decisions on the need to respond. It includes a consideration of the scale of the response, geographical areas to target, the potential scope of the sectors to be included and any potential issues for the scaling up and down of programmes. Situation analysis begins immediately following a disaster and is key in determining where primary data will be collected through detailed assessment.

Sustainability is the degree to which the benefit of an intervention is likely to continue once donor input has been withdrawn. It includes environmental, institutional and financial sustainability. There are many interpretations of what sustainability means. In a recovery context it may mean allowing people to move on from disaster recovery to longer-term development programmes that can address their vulnerable pre-disaster conditions more effectively.
Source: Adapted from IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

SWOT analysis is conducted to assess the strengths, weaknesses, opportunities and threats of an organization, group of people (community) or an intervention (project or programme).
Source: IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

Targeting is the process of selecting members of the affected community based on an analysis of vulnerability and greatest unmet need. Targeting mechanisms vary according to the context, type of programme and programme's objectives. They also depend on cultural considerations such as how the community views targeting and equity and on community relationships and whether these will be strengthened or damaged by the targeting.
Source: adapted from Red Cross Red Crescent Movement, Guidelines for Cash Transfer Programming (2007)

Target, in indicator tracking, is the intended measure (quantity) set to achieve an indicator.
Source: IFRC Project/programme Monitoring and Evaluation (M&E) Guide (2011)

Target population refers to specific individuals or organizations for whose benefit an intervention (project/programme) is undertaken.
Source: IFRC Project/programme Monitoring and Evaluation (M&E) Guide (2011)

Transition and exit is used in this context to refer to the closure of a programme, part of a programme or organizational structure as a result of the scaling-down of the recovery programme. There are a number of ways of doing this. The three main ones are:

1. *retaining a presence in the community (phasing down)*
2. *passing the relationships and work within the community to another partner either within or outside the Red Cross Red Crescent Movement (phasing over)*
3. *exiting without sustaining a presence in the community (phasing out).*

Vulnerabilities and capacities assessment (VCA) is the process of collecting, analysing and systematizing information on a given community's vulnerability to hazards. This information is then used to diagnose the key risks and existing capacities of the community, ultimately leading to activities aimed at reducing people's vulnerability to potential disasters and increasing their capacity to survive and resume their lives.
Source: IFRC What is VCA? An introduction to vulnerability and capacity assessment (2006)

Vulnerability refers to a household's or community's level of risk of threats to their lives and livelihoods. A community's vulnerability is determined by its ability to cope with risks and shocks, such as drought, flooding, adverse government policies, conflict and the HIV/AIDs crisis. Vulnerability is not the same as poverty, although underlying poverty contributes to increased vulnerability in most contexts.
Source: IFRC Vulnerability and Capacity Assessment (2008)

1 Introduction

1.1 Who is this guide for?
1.2 When should this guide be used?
1.3 How should this guide be used?
1.4 References

Marko Kokic/IFRC

This guide has been written to assist with the implementation of recovery programmes in disaster response. It aims to further strengthen the results of disaster response by **promoting a common approach to recovery amongst National Societies and the International Federation of Red Cross and Red Crescent Societies (IFRC)**. It is hoped that this will strengthen programme quality. The desired result is that communities will be enabled to build more resilient lives as quickly as possible after disaster and crisis.

IFRC *Strategy 2020* sets the organizational basis for this increased effort in recovery. Aim 1 states the intent to 'save lives, protect livelihoods, and strengthen recovery from disasters and crises[1] .' The desired impact is 'improved restoration of community functioning after disaster and crisis.'

There are many policies within IFRC that relate to disaster response, however, there is currently no adopted policy covering recovery. A draft policy was developed in 2007 and is referenced at the end of this introduction section along with the most important IFRC policies. Recovery-related activities are referred to in many of them, including *Strategy 2020*, and provide the policy framework within which recovery can be implemented.

1.1 Who is this guide for?

This guide is for all those who wish to understand recovery as it is currently understood within IFRC. It has been designed for use primarily by managers, decision makers and senior practitioners, including National Society and IFRC personnel who may have had limited experience of recovery but who wish to consider this more actively in disaster response. This may include managers, generalists and technical specialists who need to make decisions about programmes that will influence the ways communities recover after a disaster.

The guide will not repeat technical advice detailed in technical manuals that exist elsewhere, but will refer readers to these manuals when appropriate. The guide aims to help technical specialists understand how their

1 *Strategy 2020 refers to the IFRC role in disasters and crisis. For simplicity this document uses disaster/s generically to cover all situations where people have significant humanitarian needs arising from natural or human hazards that leaves them vulnerable and in need of assistance for survival and recovery.*

technical area of expertise fits with other recovery activities affecting the same communities.

1.2 When should this guide be used?

There are various situations in which thinking about recovery is important. They fall into the following three categories:

i. early recovery planning alongside the initial relief response
ii. recovery at the point when communities begin to get back on their feet following disaster and crisis
iii. recovery as part of contingency planning and disaster preparedness activities.

Early recovery planning as part of an initial relief response covers initial planning alongside the earliest stages of a relief response to ensure that actions to improve people's recovery can take place as quickly as possible. This may involve identifying ways to strengthen the relief response as well as putting in place the plans for recovery activities both immediately and thereafter. This is often referred to as "early recovery".

Recovery at the point when communities begin to get back on their feet following an emergency covers implementation of the recovery approach in different scenarios including seasonal disasters and cyclical crises, sudden-onset large scale disasters and crises and slow-onset chronic disasters. In each of these situations transition from the effects of the disaster or crisis is critical for the communities concerned and should start with their own efforts. This guidance will provide a basis for exploring how to support communities in their spontaneous recovery to maximize efforts during this critical process of transition.

Recovery as part of contingency planning and disaster preparedness activities falls in line with the IFRC Disaster Preparedness policy which highlights the importance of preparedness for disaster and crisis. There are various guides that suggest how this can be done in reference to disaster response.

IFRC recovery programming experience to date has mainly focused on the first two categories and this guidance therefore provides more details

on how implementation works in these scenarios. However, there is an increasing need to link recovery to contingency planning and disaster preparedness approaches in many of the countries in which the Red Cross Red Crescent works. The importance of this cannot be underestimated.

1.3 How should this guide be used?

The guide can be used in conjunction with IFRC guidelines and policies listed below to build an understanding of the IFRC's recovery programming approach. This guidance is divided into separate parts and has a set of accompanying practical annexes.

Section 1: Introduction

This provides the rationale for the guidance and the main references.

Section 2: Understanding the approach to recovery programming

This provides the theoretical background and definitions linked to recovery and IFRC ways of working. It describes the recovery programming approach and explains how recovery is linked to disaster management, including relief and longer-term programming. It also explains Red Cross Red Crescent Movement added value in recovery programming.

Section 3: Key strategic issues to make for recovery programming

This provides a summary of nine key strategic issues that need to be considered when developing or updating an operational strategy considering recovery. These are:

1. framing programming within the Fundamental Principles of the Red Cross Red Crescent Movement
2. ensuring the programme strengthens resilience
3. building on systematic and ongoing assessment and analysis
4. ensuring integrated or multi-sectoral programming
5. considering cross-cutting issues

6. making use of innovative approaches such as cash transfers and market support programming
7. building strong coordination both within and outside the Red Cross Red Crescent Movement
8. securing sufficient and realistic resources
9. building on or contributing to the National Societies' own development.

Section 4: Practical application of the recovery approach to the programme cycle

This provides guidance on how to include recovery-related components into the programme cycle when designing a recovery programme that can be included in a disaster response PoA. This includes:

- assessing and analysing recovery needs through a detailed assessment
- situation analysis and response options analysis
- planning and designing the recovery programme
- planning monitoring and evaluation of the recovery programme
- implementation-specific issues to be aware of, including transition and exit.

Annexes: IFRC Recovery guidance annexes

This provides useful reference tools and further details of topics covered in the main text such as integrated programing, considering cross-cutting issues and deciding on cash transfer options. It includes both a comprehensive checklist for ensuring the recovery approach is being applied throughout the planning stages and an in-depth assessment checklist.

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2 Understanding the approach to recovery programming

2.1 Definitions

2.2 The recovery programming approach and ways of working

2.3 Recovery and disaster management

2.4 Disaster relief and early recovery (sudden onset and slow onset disasters)

2.5 Recovery and the longer term

2.6 Red Cross Red Crescent Movement added value

Summary conclusions

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2.1 Definitions

Recovery includes many different terms and is used in different ways. This section focuses on providing an understanding of the IFRC's recovery programming approach.

Definition

Recovery, in the context of disaster response, is a process that results in people's lives returning to normal in such a way that they will be more resilient to future disasters. The extent to which people can recover after a disaster depends on the situation beforehand and how robust or resilient their resources are to withstand the effects of the disaster. For some, recovery will be relatively quick, while for others it may take years.

Early recovery is the process of people's lives returning to normal in the immediate aftermath of a disaster. It involves providing assistance to people in the earliest stages of disaster response in conjunction with the provision of relief, improving the effects of the relief and providing the basis for longer-term recovery. Early recovery enables people to participate more readily in longer-term recovery activities.

For the purposes of these guidelines, the term recovery is used to mean both early recovery and recovery. This is because timeframes for different phases of recovery programming are context specific. When activities and approaches are specifically linked to early recovery during the relief phase of a response, this will be made explicit in the text.

Disasters affect people's lives by destroying lives, property and the way people support themselves. Recovery is what individuals, communities and institutions start to do immediately following the disaster, relying on their own skills, experience and resources.

In contrast, recovery programming is what external agencies do to support people's recovery from disasters. As with all programming, this requires clear identification of recovery aims and ways of achieving them within a set timeframe. At its best, early recovery and recovery are based on good community-based programming principles and practices that may link to longer-term development.

Definition

Recovery programming builds on the affected people's immediate efforts to cope, recover and rebuild. It starts early, alongside relief, seeking to assist people at the peak of the crisis and continues into the mid-term to build greater resilience. Recovery programming includes well-linked actions to protect and restore livelihoods, enhance food security and a wide range of other actions such as community and public health, temporary and longer-term shelter provision, protection and psycho-social support. These activities are undertaken in a way that reduces dependency, mitigates conflict and works towards meeting longer-term risk reduction objectives.

Source: The Red Cross Red Crescent Approach to Disaster Management, Position Paper (2011)

Examples of early recovery and recovery programming

Examples of recovery actions taken by individuals and communities on their own in their process of recovery include:

- removing rubble
- repairing latrines
- salvaging crops
- moving animals to higher ground
- providing support to one another in the immediate aftermath of the disaster.

Early recovery includes:

- providing cash for work or tools to support the removal of rubble
- providing tools for crop salvage and basic shelter repairs
- helping to move assets such as animals to safer areas
- providing psychological first aid to community members.

Such assistance supports recovery actions, and builds on what the affected population is already doing. This type of support may prevent actions that put real recovery at risk, such as the selling of assets to create income for basic survival needs.

Examples of relief and early recovery activities that work alongside each other include:

- the provision of an emergency water supply alongside the urgent rehabilitation of ponds for rainwater collection before the next rainy season
- the provision of emergency health services alongside community-based hygiene promotion to prevent an epidemic
- the provision of food alongside the provision of immediate income through cash for work activities, unconditional cash grants, replacement tools or the provision of animal fodder to people who have lost their income

- the combining of needs such as cash for work activities that employ affected community members temporarily to rebuild urgently needed community infrastructure
- the provision of transitional shelter or of conditional cash grants to pay rent or purchase construction materials, which are interim solutions that lead the way to more durable ones.

Examples of early and mid-term recovery support include:

- unconditional cash grants or cash value vouchers to support affected households meet their own diverse essential needs immediately following a rapid-onset disaster
- short-term livelihoods support such as conditional cash grants to enable individuals to get back on their feet economically
- owner-driven housing repair support to those with skills and minor damage
- support accessing health services
- support accessing adequate water and sanitation systems
- psychological support to those ready to move on to the next stage of their recovery.

Examples of longer-term recovery support include:

- livelihoods support that involves training, livelihood services or alternative occupations
- support for rebuilding houses
- preventive community-based health activities
- water and sanitation systems at the community level
- psychological support to those not ready for the next stage of recovery.

The viability and success of each of these examples depends on the capacity of the community to manage and maintain its resources during the recovery process.

For people whose pre-disaster situation was critical, recovery seeks to assist them at the peak of the crisis starting with early recovery support and including a menu of longer-term recovery programme activities that will strengthen resilience and build lives that are better than they were before the disaster. Recovery is very closely tied to the concept of resilience. All programming should contribute to strengthening resilience, recovery programming is especially well placed to do so.

Definition

Resilience is the ability of individuals, communities, organizations, or countries exposed to disasters and crises and underlying vulnerabilities to anticipate, reduce the impact of, cope with and recover from the effects of adversity without compromising their long-term prospects.

Source: The Road to Resilience, Discussion Paper, IFRC (2012)

As with all aspects of IFRC and National Societies' work, the Fundamental Principles of the Red Cross and Red Crescent Movement are the foundation for all recovery activity. Recovery programming can take many shapes, but always involves having a clear idea of what can be achieved based on consultation and on the available resources.

2.2 The recovery programming approach and ways of working

The IFRC recovery programming approach focuses on how things are done rather than on when they are done. It borrows ways of working from longer-term development and adapts them to working in a humanitarian context. This is why the way things are done is important, so that recovery builds on the spontaneous efforts of people affected by disasters and enables them to determine their own future. This requires participation in planning and the making of decisions.

There are no set rules for how long recovery programmes should last. The most important consideration in setting a time frame for recovery programmes is how long it is likely to take for the project or programme objective to be reached. Creating realistic time frames requires in-depth knowledge of the affected community's vulnerabilities and capacities. When recovery activities will strengthen relief efforts, they build on existing capacities. When recovery activities take more time, they go further in strengthening resilience and approach long-term programming. The recovery programming approach involves being very clear of what the programme intends to achieve.

Recovery programming specific ways of working include:

- the participation of disaster-affected women, men, girls and boys who have a right to determine their own future

- inclusive participation with equal involvement of members of the community regardless of age, sex, ethnicity, wealth, etc
- being accountable to the affected communities and ensuring that affected populations can influence and participate in decision making concerning the operation
- doing no harm either socially, economically or environmentally and ensuring that the operation does not make the situation worse for some or all of those affected by the disaster, either directly or indirectly
- being timely and starting early to support and complement relief activities whenever possible.

The seven Fundamental Principles lie at the heart of all the Movement does as explained in Section 3 of this guidance.

Tips for incorporating recovery ways of working	Do	Do not
Participatory	Do plan for a continuous process of participation by the affected population in early recovery and recovery and assess potential community structures through which to do this.	Do not confuse active participation in decision-making with simple consultation processes.
Inclusive	Do use guidance checklists (**annex 2**) to consider the specific needs of different members of the population.	Do not limit your work to current structures if they are not representative of all members of the community.
Is accountable	Do identify what being accountable means in your working environment and develop a communication and feedback plan with the affected community.	Do not assume that methods used elsewhere will work in a different context. Accountability is contextual.
Does no harm	Do gain a good understanding of how the operation can have positive or negative intended or unintended impacts.	Do not become indecisive because of challenges – emergency situations are never perfect and therefore neither are responses.
Timely	Do use available information to identify recovery needs during the relief phase.	Do not wait until the relief phase is underway to start thinking about recovery.

Source: Adapted from British Recovery Resource and IFRC Guidelines for livelihoods programming.

There are many entry points for supporting the recovery process of disaster-affected communities. Recovery programming provides a transition from relief to development based on assessed needs and capacities. Success depends on well-targeted integrated programming approaches that enable communities to cope with the disaster while becoming better prepared for future disasters.

2.3 Recovery and disaster management

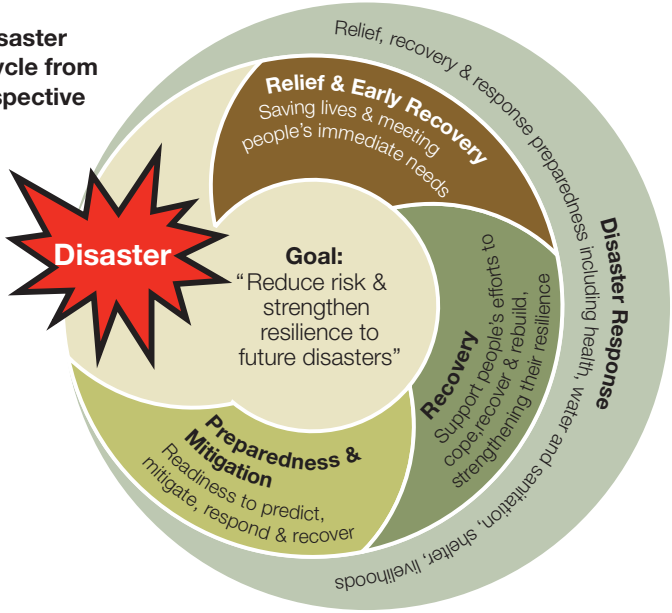
IFRC policy on integrating relief, rehabilitation and development anticipates that relief activities will: "lay the foundation to rehabilitate livelihoods in such a way that they emerge more resistant to shocks in the future". (2006)

Definition

Livelihoods is the means of making a living. Sustainable Livelihoods refers to people's capacity to generate and maintain their means of living, and enhance their own well-being as well as that of future generations.
Source: IFRC Guidelines for Livelihoods Programming (2011)

Disaster management work often starts long before the onset of a disaster. National Society volunteers and staff support their communities in identifying prevalent hazards and vulnerabilities as well as local capacities and coping mechanisms. As community-based responders, the volunteers and staff work with vulnerable communities to provide early warning, to help them prepare for disasters and crises, to deliver life-saving assistance, and to remain with the affected people throughout the post-disaster recovery process to build resilience. The integrated approach to the disaster management cycle from a recovery perspective is illustrated in Figure 1. At the centre is the overarching goal to reduce risk and strengthen resilience to future disasters, which recovery programming is well placed to do.

Figure 1. The Disaster Management Cycle from a Recovery perspective



National Society preparedness activities at community, branch and national levels play a crucial role in disaster response because National Societies understand local needs, capacities and vulnerabilities. They are often able to provide timely assistance and help find locally-driven, sustainable solutions. It is precisely because of this knowledge that National Societies are well placed to start considering early recovery activities that can be implemented alongside relief and incorporate essential recovery approaches that involve working with the affected communities and building resilience. Vulnerability and capacity assessments (VCAs) and community-based disaster risk reduction (CBDRR) are key aspects of IFRC preparedness activities that can be used for launching relief and early recovery activities.

National Society volunteers and staff are often part of the local disaster-affected community and therefore are well placed to provide continuous support immediately following a disaster and throughout the recovery process to those affected. Building on the spontaneous efforts of those affected to cope, recover and rebuild is the best way a National Society can support recovery.

The disaster management cycle also calls for an overall longer-term view of disasters so that disaster responses include reducing a community's risk to future disasters and strengthening individual and collective resilience. Recovery programming approaches can contribute to this and need to be considered when making strategic choices (see Section 3).

Vulnerability context and disaster risk reduction

The IFRC and its member National Societies often work with the most vulnerable communities in the world and with the most vulnerable members of those communities, which requires the designing of responses that build on their capacities. The impact a disaster has on a given community greatly depends on their level of vulnerability and the type of hazard. Understanding vulnerability is therefore essential to recovery.

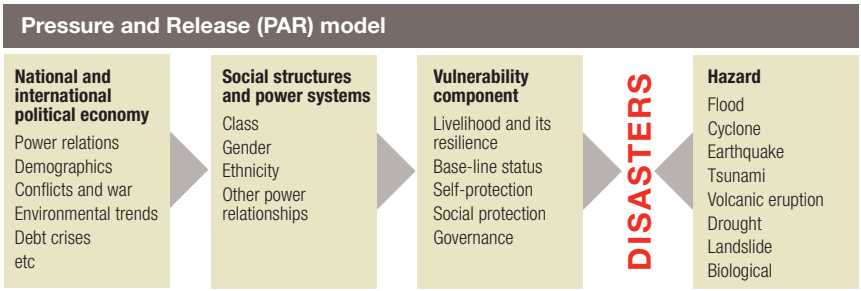
Definition

Vulnerability refers to a household's or community's level of risk of threats to their lives and livelihoods. A community's vulnerability is determined by its ability to cope with risks and shocks, such as drought, flooding, adverse government policies, conflict and the HIV/AIDS crisis. Vulnerability is not the same as poverty, although underlying poverty contributes to increased vulnerability in most contexts.
Source: IFRC Vulnerability and Capacity Assessment (2008)

Poverty is a human condition characterized by the sustained or chronic deprivation of the resources, capabilities, choices, security and power necessary for the enjoyment of an adequate standard of living and other civil, cultural, economic, political and social rights.
Source: United Nations Committee on Social, Economic, and Cultural Rights, 2001

Vulnerability is a complex issue to address. For example, access to education will be more limited when an individual has a lower income. This in turn has an impact on access to employment and may result in migratory activity to look for work in urban areas. The result is the capacity of the individual, household or community to withstand the impact of disaster is reduced. Figure 2 below explains the dynamic relationship between vulnerability and disasters.

Figure 2. The relationship between vulnerability and disasters



Source: Vulnerabilities and Capacities Assessment Training Guide, IFRC

Note: Gender inequality is not explicitly stated in this diagram but is one of the most persistent causes of vulnerability.

Recovery programming seeks to address the capacity of individuals and communities to withstand disasters rather than to fully address the underlying structural causes of the lack of key resources. Therefore, recovery programming is limited in the extent to which it can reduce all levels of vulnerability of disaster-affected populations. Some aspects of vulnerability such as having limited resources (land), limited access to services (education) or existing power structures, will mean that when a disaster strikes, poorer people may be more vulnerable to its impact. Having resources increases the ability of individuals, households and communities to cope with and withstand the impact of disasters.

Recovery programming, which aims to reduce vulnerability, is linked to community-based disaster risk reduction activities that prepare communities and National Societies for a disaster before it happens. The IFRC has developed expertise in this area and many of its programmes focus on community-level participation and approaches to disaster risk reduction. These involve building and nurturing longer-term relationships with communities to strengthen their preparedness and increase awareness of vulnerability. They also include VCA and disaster response contingency planning. Recovery that builds on a community's preparedness activities is likely to contribute towards better-prepared and more resilient communities.

2.4 Disaster relief and early recovery (sudden onset and slow onset disasters)

Early recovery takes place alongside relief and applies the recovery ways of working to ensure the affected communities participate more actively in their recovery process and recover and preserve their assets.

Definition

Assets are the building blocks for people's livelihoods. Increasing the type and the access to assets is a main component of poverty reduction strategies. These assets can include physical things one owns, financial assets, and natural resources one has access to, as well as less tangible assets such as health status and social networks. Disasters can destroy some assets and access to assets and services, which is why recovery programming often focuses on asset recovery.

Source: Adapted from DFID Sustainable Livelihoods Guidance Sheets (1999)

Disaster relief is characterized by the timely delivery of assistance to save and protect lives. It often begins in the days immediately following a disaster and can continue for several months until a transition to permanent services and institutions is possible.

Definitions

Disaster relief provides assistance to protect life and health and meet the life-saving and immediate needs of people affected by disaster.

Disaster response covers relief, early recovery and recovery activities. Such activities cover all sectors but aim to achieve different outcomes for affected communities.

Examples of relief and health and early recovery activities that work alongside each other include:

- the provision of an emergency water supply alongside the urgent rehabilitation of ponds for rainwater collection before the next rainy season
- the provision of emergency health services alongside community-based hygiene promotion to prevent an epidemic
- the provision of food alongside the provision of immediate income through cash for work activities, unconditional cash grants, replacement tools or the provision of animal fodder to people who have lost their income

- the combining of assistance such as providing cash for work activities that employ affected community members temporarily to rebuild urgently needed community infrastructure
- the provision of transitional shelter or of conditional cash grants to pay rent or purchase construction materials which are interim solutions that lead the way to more durable ones.

Early recovery activities aim to:

- strengthen the quality and impact of relief while recognizing that decisions made at the relief stage can have a significant impact on early recovery and vice versa
- pave the way for longer-term recovery
- improve people's capacity to cope early on by responding to their wishes and priorities
- support programmes that have been determined by people's priorities to be more closely linked to their lifestyle and the surrounding economy.

This requires incorporating early recovery thinking into relief assessment related activities, such as initial National Society assessments, or IFRC supported assessments through Field Assessment and Coordination Team (FACT) activities and Regional Disaster Response Team assessments (RDRT). These assessments identify immediate needs and geographic areas to be targeted for disaster response, and can increase the possibility of providing a timely early recovery and recovery response.

Early recovery questions to ask during assessments:

- Who is least able to cope with the impact of the disaster, i.e. who is least resilient?
- How can the risk of additional human or physical losses (through an epidemic) or economic and productivity losses (further livestock losses) be reduced?
- How can remaining assets that enable recovery be protected?
- How can the provision of initial assistance protect and restore access to services that enable recovery?

Slow onset disaster contexts

In situations of slow onset disasters such as drought, recovery programming is likely to be part of a menu of longer-term programme activities that seek to help affected communities build resilience. This means recovery programming can help individuals and communities overcome periods of increased vulnerability by identifying where investments need to be made to help people through these peaks in vulnerability. Recovery programming in these cases should aim to help people go beyond pre-disaster levels of quality of life, strengthening their vulnerability context in one or more clearly identified ways.

This requires a more comprehensive and longer-term approach to recovery, using activities that help communities adapt their livelihoods for future periods of increased vulnerability. For example, in drought-prone areas where people resort to selling off livestock as a way of dealing with difficult times, recovery programming can focus on helping them purchase replacement livestock quickly so that they are not depleted of one of their key assets and therefore at an increased risk of having to migrate to urban centres in search of a new livelihood. This type of recovery programming requires an understanding of coping strategies used in slow onset disaster contexts.

Definition

Coping strategies are mechanisms that people choose as a way to live through difficult times. Some coping strategies are reversible, for example short-term changes to the diet, migration of individuals to find work, use of savings or solidarity networks. Other strategies may be damaging and tend to be harder to reverse, for example the sale of land or other productive assets, the intensive use of firewood leading to deforestation, taking children out of school to make them work (child labour) or prostitution.

Source: IFRC Guidelines for Livelihoods Programming (2011)

This approach to recovery is entrenched in preparedness and resilience activities and has been developed in the East Africa region as an approach called Community Risk Management (CRM).

Community Risk Management (CRM) is a systematic process of implementing policies, strategies and measures at a community level to reduce the impacts of natural hazards and related environmental and technological disasters. This includes, among other things, health and disaster risk reduction, preparedness, response, recovery and rehabilitation.

Source: Partnership Paper, How can the Federation Regional Office play a more strategic role in strengthening work with National Societies to maximize collective impact for beneficiaries, (July 2010)

2.5 Recovery and the longer term

While early recovery programming is often focused on supporting people and their activities as quickly as possible after a disaster, the rehabilitation and reconstruction of community and national assets requires a different approach. Recovery programming that is linked to national government recovery plans for rebuilding roads, hospitals, schools and the services they provide requires different time spans. Recovery programming should seek to enable communities and individuals to cope while basic infrastructure and services are being restored. When recovery programming is linked to longer-term development objectives that do much to strengthen the resilience of the affected community and nation, programming needs to be time bound and clear about what can be realistically and appropriately achieved.

Definition

Rehabilitation and reconstruction are activities involving the repair and rebuilding of assets. Assets include physical infrastructure such as roads, transport services, utility supplies, public buildings, markets, and housing. These activities may involve minor repairs, infrastructure restoration or major rebuilding and may be undertaken by individuals (repairing their own properties) or by others such as contractors or locally trained artisans.

It is the responsibility of the national government to respond to the needs of the disaster-affected population immediately following a disaster and into the recovery period. However, in its auxiliary role to the government, the National Society will often assist in the provision of relief and early recovery alongside other national and international organizations. Those involved in recovery may wait for official national government recovery strategies and plans. The United Nations Development Programme (UNDP) has lead responsibility for the coordination of early recovery within

the IASC cluster system. It is common for the World Bank to support a national-level damage and loss assessment to understand the national cost of the recovery process in the long term while non-government organizations provide their own institutional expertise. They often (though not exclusively) focus on the restoration of state functioning and the macro economy, and may have five-year plans for this.

If it is not clear when recovery programming becomes long-term development it is useful to remember that recovery programming is unlikely to address long-term behaviour or social change. Recovery programming helps people along their recovery path.

Longer-term recovery questions to ask during assessments:

- Who is taking longer to cope with the impact of the disaster? Which groups are least resilient and why?
- Has access to water and sanitation services been re-established for everyone? Which groups still do not have access and why not?
- Which households are not yet self-sufficient and able to make ends meet?
- Are communities able to pool their resources and work together to continue in their recovery process? Which communities are not doing this and why not?
- Has access to health services been re-established for everyone? Which groups do not have access and why not?

2.6 Red Cross Red Crescent added value

National Societies are rooted in communities and by extension use a community-based approach. This is through the widespread community volunteer network of National Societies and the commitment to build local capacity in disaster response. This shapes the type of recovery programming for which IFRC is best suited.

IFRC is well placed to focus on relief and early recovery together because of its extensive capacity and experience in relief and its ability to identify

which spontaneous recovery activities people are undertaking early on following a disaster. Most IFRC recovery support has so far been in early recovery, however, in large-scale sudden-onset disasters, IFRC and in particular its National Societies, may implement recovery programmes that span several years.

The scale and nature of the disaster may require the assistance of many organizations, such as the United Nations, national and international non-government organizations (NGOs and INGOs), and the Red Cross Red Crescent Movement as well as government and national institutions, to assist affected communities. Each of these organizations will have a different approach to how they implement recovery programmes.

This requires excellent coordination between the different organizations and with the affected communities (see Section 3.8).

Summary conclusions:

- ✓ Recovery programming builds on people's spontaneous efforts to cope, recover and rebuild after a disaster.
- ✓ Recovery includes many different terms and is used in many different ways. For IFRC, recovery focuses on how things are done rather than on when they are done. Recovery ways of working include the right of the disaster-affected populations to have equal participation in the determination of their own future and to programming that is accountable to them and does no social, economic or environmental harm.
- ✓ The IFRC disaster management cycle clearly illustrates how recovery starts alongside relief and spans into development that includes preparedness and mitigation. All of these share the common goal of reducing risk and strengthening resilience to future disasters. Recovery programming is well placed to contribute to this goal.
- ✓ National Societies are rooted in communities and by extension in community-based approaches, which makes them well placed for recovery programming.

Recovery approach checklist:

- ✓ Early recovery is based on people's own spontaneous efforts.
- ✓ Early recovery starts immediately and is closely linked to relief as outcomes of disaster response.
- ✓ Communities get involved from the beginning and remain involved all the way through the operation. Communication mechanisms are established between the organization and the affected population.
- ✓ All parts of the community, including those who do not usually have a voice, are represented.
- ✓ A comprehensive assessment identifies a community's priorities and what will be most helpful to them. This assessment is regularly updated and takes into account the vulnerabilities and capacities of the community before and after the hazard as well as how people are coping now and how they will cope in the future.
- ✓ Based on this VCA, the assessment also incorporates an understanding of the impact the assistance will have with the intention of reducing direct and indirect negative impacts.
- ✓ An operational strategy or plan provides direction and agreement to all sectors on how to work with the same communities.
- ✓ Resilience building is an intended outcome of all programmes.
- ✓ The programme complements the National Society's auxiliary role and does not replace government action or act on behalf of it.
- ✓ The Fundamental Principles of the Red Cross and Red Crescent Movement underpin the choices being made.
- ✓ The Fundamental Principles of the Red Cross and Red Crescent Movement are disseminated to staff, volunteers and others to ensure a good understanding of the Red Cross Red Crescent.
- ✓ The programme adheres to the recovery programming approach and ways of working.

3 Key strategic issues to guide recovery programming

3.1 The operational strategy

3.2 Building the Fundamental Principles and recovery ways of working into the programme

3.3 Building systematic analysis into the programme

3.4 Building the strengthening of resilience into the programme

3.5 Building sector integration into the programme

3.6 Building an analysis of cross-cutting issues into the programme

3.7 Building innovative approaches to disaster management into the programme

3.8 Building stronger coordination into the programme

3.9 Building sufficient resources into the programme

3.10 Increasing the organizational development of the National Society

Summary conclusions

Cathy Lengyel/IFRC

Section 3 explores nine key strategic issues that need to be considered when building recovery into a disaster response programme. These will often begin to be made early on, even when there is still no in-depth understanding of how people are coping with the disaster.

See Annex 1 for a summary of essential actions and outcomes for each of these nine strategic issues.

3.1 The operational strategy

An operational strategy provides the rationale for programming based on the key strategic issues. While it is a generic planning tool for all programming, it is an essential one for recovery programming. This means that an operational strategy can be written during the early days of the relief operation in order to start documenting the strategic thinking that guides the response and can be updated as more information becomes available. Alternately, it can be written during the recovery thinking stages. The operational strategy will document the strategic issues and choices made that guide recovery programming, and shape the approach to the implementation of the recovery programme across different sectors. It helps make decisions on:

- possible sector interventions based on need and National Society priorities and capacities to respond
- possible scope of the response for strengthening resilience and responsible exit and transition.
- the geographic areas in which to work and who to target
- the possible scale of the response and desired levels of community participation
- opportunities for integrated programming and programming partnerships.

The operational strategy is particularly useful when the response operation involves many Red Cross Red Crescent Movement partners as it ensures that even if the disaster is complex, there is a coordinated and common approach to meeting the affected population's needs.

Examples of recovery operational strategies (previously called recovery frameworks):

In Bangladesh following Cyclone Sidr, an operational strategy was developed that detailed results in the areas of community participation, communications, integrated approaches, living conditions (health, water and sanitation, livelihoods and shelter), sustainability and resilience, capacity building, monitoring and evaluation and humanitarian values and principles.

The operational strategy for Cyclone Nargis in Myanmar consisted of a two-page document summarizing the approach, objectives and principles underlining the recovery operation. It was developed independently by the Recovery Coordinator, with further development of activities in each area by sectoral colleagues. The operational strategy was accompanied by a strategic plan for scaling-up that, during the relief stage, began to look at how the transition to recovery would take place.

The basic contents of an operational strategy are summarized below in Table 1. A more complete sample template is found in Annex 16.

Table 1. Components of an operational strategy for recovery

Sections	Narrative content	Information requirements
1. Introduction	purpose of operational strategy	Red Cross Red Crescent coordination
2. The disaster	• type of disaster and impact • relief response so far and existing gaps • constraints to providing assistance	secondary information situation analysis
3. Recovery strategy	• National Society priorities and capacities to respond, and organizational development opportunities • possible sector interventions and areas for integration • possible scope of the programme for strengthening resilience and exit/transition • geographic areas in which to work and possible groups to target • the possible scale of the programme and level of community participation	recovery approach applied to the disaster context requiring initial situation analysis, response option analysis and then updating with the results of the detailed assessment analysis

Table 1. Components of an operational strategy for recovery (continued)

Sections	Narrative content	Information requirements
	• strategic issues (Fundamental Principles, recovery ways of working, cross-cutting issues considered, use of innovative approaches)	
4. Coordination	• Red Cross Red Crescent Movement coordination needs and processes • external coordination needs and processes	stakeholder consultation and coordination
5. Resources	human and financial resource needs	stakeholder consultation and IFRC wide planning

Checklist of issues to consider when preparing the operational strategy:

✓ Issues concerning the application of the Fundamental Principles and operating principles have been considered and are informing ways of working.

✓ A simple analytical framework has been produced that is used in making strategic choices such as where to work and in which sectors to work. The analytical framework has also been used to assess which groups in the affected community are the most vulnerable and what the priorities are for assistance.

✓ A stakeholder analysis has been done and all key stakeholders in the early recovery operation have been identified.

✓ Technical leads and key stakeholders have been brought together to develop overall objectives for the operation and all sectors will contribute to achieving integrated programming to better meet the different needs of different communities and to consolidate Red Cross Red Crescent efforts and resources. When Red Cross Red Crescent Movement partners are unable to meet all aspects of the affected population's needs in a particular area or sector, creative partnerships with others have been initiated led by the Host National Society.

✓ An understanding of community dynamics (using the Better Programming Initiative tool) has informed strategic choices so that proposed programmes will not increase tensions or highlight differences between different groups.

✓ Coordination structures, both internal and external, have been reviewed and there is clarity on roles and responsibilities in relation to this. The Recovery Coordinator or equivalent function plays a key role in linking the technical groups or committees together and in ensuring that the Red Cross Red Crescent benefits from and participates in external early recovery initiatives where it can add value.

✓ Organizational development issues arising from the scaling-up and future scaling-down of the recovery programming have been identified and a brief outline plan has been created indicating how those issues will be resolved in the immediate and midterm period of the operation.

3.2 Building Fundamental principles and recovery ways of working into the programme

The seven Fundamental Principles lie at the heart of all the Red Cross Red Crescent Movement does. Tips on how to consider these when developing an operational strategy and when monitoring programme implementation are summarized below.

Tips for incorporating Movement Fundamental Principles	Do	Do not
Humanity	Do use scoping and detailed assessments to identify the early recovery and recovery needs and remember to triangulate findings with others.	Do not consider how to allocate assistance without establishing criteria based on need.
Impartiality	Do identify those areas with the highest levels of vulnerability and that are least able to recover using their own resources.	Do not make decisions concerning vulnerability before discussing them with the affected population.
Neutrality	Do identify potential conflict issues using the Better Programming Initiative tool.	Do not assume staff and volunteers will understand what breaking the principle of neutrality could involve practically.

Independence	Do consider all requests to work in a particular area carefully but make the final decision based on information regarding need and vulnerability.	Do not enter into partnerships with a non-Red Cross Red Crescent Movement partners without a formal agreement that details expectations to uphold the Fundamental Principles.
Voluntary Service	Do acknowledge the significant contributions volunteers make while ensuring remuneration for volunteers is in line with the Host National Society's policy. Always plan and budget for volunteer insurance.	Do not plan a programme based on volunteers working fulltime.
Unity	Do use the opportunity to strengthen the Host National Society's presence in all parts of the country and remember to ensure that resources are allocated according to the greatest need.	Do not recruit a team of staff members or volunteers that only reflects a portion of the population being served (all men, all women, all one ethnic group etc.).
Universality	Do coordinate with Red Cross Red Crescent Movement partners to come to a mutual understanding of the operation from the outset of recovery planning.	Do not design programmes without the involvement of the Host National Society.

Key recovery ways of working are described in Section 2.2 and should guide the development and updating of your operational strategy.

3.3 Building systematic analysis into the programme

Analysis is needed to guide key strategic decision-making. The process of analysis is continuous in disaster response, which is why it is useful to understand what type of analysis is guiding strategic decision-making around recovery programming. There are three types of analysis which are all described in more detail in Section 4.2.

1. situation analysis
2. detailed assessment (vulnerability, capacity and recovery needs analysis)
3. response option analysis

3.4 Building the strengthening of resilience into the programme

Resilience is linked to vulnerability, and strengthening resilience includes being aware of a community's ability to adapt, withstand and recover from external shocks. Building on the community's own efforts for recovery is critical to the success of a disaster response programme.

Table 2. Characteristics of resilient communities

Resilient communities:
• can adapt to, withstand and recover from external and internal shocks
• can initiate, plan for and implement activities relevant to them
• are secure, free from conflict, and free from fear (crime, violence)
• have equal access to required services
• have safe and diverse sources of livelihood
• are able to communicate with others outside of their community and are not socially isolated
• have a safety net for the most vulnerable members of the community
• are aware of their own risks, vulnerabilities and capacities and are able to act on this knowledge
• are able to uphold positive social values important to the community
• can sustain a health and education status that meets the standards agreed upon by that community and is on track to meet national and international standards
• have access to information that helps them improve their own health and well-being
• have a voice and are able to influence decisions that affect them
• participate in the decision making that affects all aspects of their lives
• have what they need to be first responders in an emergency
• have leaders who accept and welcome diversity, and who encourage positive change.

How to consider the strengthening of resilience:

- Listen to the community regarding the different dimensions of vulnerability that they experience and look for opportunities to reinforce positive coping strategies.
- Ensure knowledge of pre-disaster conditions through community-based disaster risk reduction work and disaster contingency planning.
- Have a good overall understanding of social relationships in the community (Section 4.1).
- Identify who is most vulnerable within the community and therefore where to target the programme most effectively (Section 4.2).
- Identify any negative community processes in place before the disaster that reduced resilience by carrying out a detailed assessment including an analysis of vulnerabilities and capacities (Section 4.2).
- Be aware of what aspects are likely to undermine a community's resilience, so as to ensure recovery programming does not exacerbate them.
- Only embark on longer-term work, such as disaster risk reduction programmes, when it is clear that there are enough resources and capacities to continue this work once the recovery programmes have come to an end.

Promoting resilience may include a range of time-limited activities that strengthen recovery programmes, such as the protection of assets in programme design, incorporating better shelter techniques into transitional shelter, or strengthening already well-established social support networks.

3.5 Building sector integration into the programme

Integrated programming combines different sectors into a common response in such a way that their combination better addresses people's needs. Integration is better for the community because it makes fewer demands on the community's time since it involves looking at communities as a whole. This is important because it has been shown that disaster-affected populations benefit best from a response that meets a range of needs. This means that recovery programming may not fit neatly into

IFRC technical sector responses, such as health, shelter, food security etc. Instead it needs to link them at household and community levels.

Integrated programming in recovery includes disaster preparedness efforts that can contribute towards building safer, more resilient and better-prepared households and communities, thus reducing existing and future risk and vulnerabilities. This does not mean that the Red Cross Red Crescent recovery programme needs to cover every need identified in disaster-affected populations. A careful consideration of National Society priorities and capacity as well as expertise of the IFRC and partner National Societies is needed. Partnering with other organizations that have additional expertise can be an effective way of meeting additional needs and can be achieved through coordination and joint planning in terms of sector and geographical coverage.

How to consider sector integrated programming:

- Bring technical specialists together to develop a joint analytical framework (see Section 4.2).
- Set programming objectives together.
- Enable each technical sector to identify questions for exploration in assessment.
- Undertake the gathering and analysis of information together.
- Agree on operational ways of working.
- Decide on geographical areas and targeting criteria and methods.
- Agree on a common community communication approach to ensure that community feedback is fed directly into ongoing programme reviews and adaptations.
- Identify exit and transition strategies and plan with the host National Society and any potential external partners for possible hand over support to communities if this is still required.
- Share coordination responsibilities internally within the IFRC structure and externally with other agencies (Section 3.8).
- Recognize that it is a continuous process and is more about the way the team works than it is about periodic planning meetings.

When integrated programming is initiated alongside relief, there needs to be a concerted effort to ensure the different relief sector interventions are integrated into an overarching and developing operational strategy.

For examples on how sectors can be integrated and combined see Annex 4.

3.6 Building an analysis of cross-cutting issues into the programme

Cross-cutting issues include gender, age, disability, protection and people living with HIV and Aids (PLWHA). These must be considered from the start of the operation as they ensure that all members of the affected community are provided with recovery support. Being inclusive recognizes that different sorts of assistance will be required by some to achieve this.

Definition

Cross-cutting issues are themes that are considered important for relief, recovery and development because they require action in multiple fields and will influence the success of programmes. The most important cross-cutting themes for recovery reflect community diversity, gender, age and the environment which often contributes to the vulnerability and limited resilience of communities vulnerable to disasters. Gender considerations include the roles, responsibilities, needs, interests and capacities of both men and women while diversity concerns the different characteristics of people such as age, ability and ethnicity.

Source: Adapted from Gender Policy, IFRC (1999)

Cross-cutting issues will need to be brought into the operational strategy quite early on and then refined using ongoing assessment and vulnerability analysis. Strategic objectives should also reflect how these cross-cutting issues have been incorporated into a plan of action for the response (see Section 4.3). This plan should reflect how different groups within the population are involved in the planning process and will be supported. See the reference section and Annexes 1 and 6 for more guidance on how to incorporate cross-cutting issues into recovery planning.

How to ensure cross-cutting issues are considered in your analysis:

1. Understand the extent to which people have become more vulnerable as a result of the disaster. This includes:
   - understanding cultural and social customs, status and opportunities
   - undertaking a gender analysis.
   - exploring perceptions of vulnerability and other stereotypes.
   - carrying out a rapid conflict analysis and utilize the IFRC's Better Programming Initiative (BPI) tool.
   - cross checking information to minimize bias.

2. Understand the extent to which the planned recovery programme will increase or decrease vulnerability. This includes:
   - communicating with the affected community in such a way that different perspectives are allowed to emerge about what will help or hinder their situation
   - being prepared to mediate when perspectives differ or contradict one another because of people's status, the roles they play, positions they hold and ways they regard and value each other within the community
   - designing programmes that reduce the negative impact on the most vulnerable members of the population without making their situation worse.

Questions to ask when considering cross-cutting issues:

- How have male and female roles changed as a result of the disaster? For example, a household may now be headed by one person instead of two as a result of fatalities or separation.
- How were assets owned and distributed before the disaster compared to afterwards and what are the implications of this in restoring such assets in early recovery?
- How does access to available services before the disaster compare to afterwards and what are the implications of this for disabled people, older people and those who are unwell or require treatment?
- How has the psychosocial well-being of vulnerable groups changed as a result of the disaster and what measures will indicate when psychosocial well-being has been restored?
- How is the affected population using the environment to aid in recovery and what does this means for the protection and sustainability of local natural resources?
- What is the attitude of the population to people who are disabled, living with HIV and AIDS and older people?
- What potential contributions could different groups make to the recovery effort because of new opportunities that open up as a result of the disaster?

Tips for considering cross cutting issues	Do	Do not
Identifying target groups	Do ensure you see disaster-affected people as active participants in their own recovery.	Do not oversimplify the target groups for recovery support by using vulnerable categories such as women, older people, disabled people, and children without further analysis of the vulnerabilities of these groups.
Identifying cross-cutting concerns	Do incorporate analysis of cross-cutting issues early on by asking specific analysis questions.	Do not assume you need a cross-cutting issues expert to identify the key cross-cutting concerns in recovery.

3.7 Building innovative approaches to disaster management into the programme

Recovery programming lends itself to an increased use of innovative approaches to disaster response when the affected community is active in the recovery process. This includes contexts where local market systems can be part of the recovery response so that disaster-affected populations are not dependent on support that comes only from outside the community. There is an increased need for the IFRC and its member National Societies to understand local market dynamics and opt for cash transfers when appropriate to increase individual's purchasing power and support local economic market recovery whenever possible. This applies to both rural and urban settings, but may require additional expertise and focus in urban settings where the dynamics are more complex.

This will lead to:

- more efficient use of humanitarian resources
- less risk of prolonged dependency on outside assistance
- encouragement for the transition to economic recovery.

Market-based support

The recovery approach requires insight into how targeted populations relate to the market systems around them on a daily basis. The market system determines how a product or service is accessed, produced, exchanged, and made available to different people.

Definition

A Market System is a network of producers, suppliers, processors, traders, buyers and consumers that are all involved in producing, exchanging or consuming a particular item or service. The system includes various forms of infrastructure, input providers, and services. It operates within the context of rules and norms that shape its particular business environment.

Source: Emergency Market Mapping Analysis Toolkit (2010)

Market systems may be able to provide affected target groups with:

- food, essential household items such as cooking equipments, clothing, shelter materials, fuel, water and other forms of relief or services to meet basic needs in health and education
- urgently needed tools, agricultural inputs, fodder and fuel, or lost livelihood assets
- jobs and opportunities for wage labour, or connections to buyers for their produce.

Markets are complex and dynamic and require constant assessment and re-assessment of their changing states in the aftermath of a disaster. Rapid market assessments in large scale, sudden onset disaster situations can be conducted by non-market specialists in order to assess the feasibility and appropriateness of distributing non-food items or low value blanket cash transfers. In contrast, detailed market assessment and analysis often requires specialist skills. Market assessments can determine what impacts the market has on the affected populations' livelihoods and help determine whether cash transfers are appropriate during the relief and recovery phases of a disaster response.

The benefits of market assessments include:

- helping to make early decisions on the most appropriate responses involving goods, services or cash transfers
- reducing the risk of doing harm, e.g. flooding a local economy with internationally procured non-food items and putting small enterprises out of business
- monitoring the performance and accessibility of markets so as to decide to what extent the market is serving the disaster-affected community and identifying if there are vulnerable groups who don't have physical or economic access to the market because it is too far away or too expensive for them
- understanding labour opportunities for various livelihoods groups including market actors such as traders, employers and buyers.

The key resources for undertaking a market assessment include:

- Red Cross Red Crescent Movement Guidelines for Cash Transfer Programming
- Emergency Market Mapping and Analysis toolkit (EMMA)

In sudden onset emergencies, market assessments help determine whether or not the market is functioning and identify ways of restoring the market so that people can recover their lives and livelihoods.

In slow onset emergencies, market assessments help identify changes in the prices of particular commodities, increases in livestock sales as a coping strategy, and critical points where additional assistance may be necessary.

Recovery programming increasingly involves in-depth analysis of market dynamics in order to guide strategic thinking around target groups and the most appropriate, effective and feasible programme response options.

Cash transfers

Cash transfers are a tool for delivering assistance and can be applied across multiple sectors. They are particularly well suited to situations where employment, income, livelihood or economic production opportunities have been lost or disrupted. Unlike in-kind assistance, cash transfers allow people to obtain goods and services of their choice directly from markets and service providers. Cash transfers have become a standard programming option for the IFRC and have generally been used for meeting basic needs and asset replacement rather than service provision.

It is possible for cash to be used as a tool for meeting livelihoods, shelter, water and sanitation and health needs and providing community services. For example, it may be used for cash for work activities that rebuild community infrastructure such as water supplies, sanitation, health centres, schools, roads, bridges, irrigation systems, canal clearance and natural resource replacement (for disaster risk reduction purposes such as tree planting along coastlines). See the Red Cross Red Crescent Movement Cash Transfer Programming Guidelines and the Cash Learning Partnership[2] (CaLP) resources for more information.

The decision to use cash transfers should be determined based on as detailed a needs assessment as possible and a consideration of which cash modality and delivery mechanism will be most effective for achieving the

2 *www.cashlearning.org*

desired results. Cash interventions are often insufficient on their own and can be combined with other forms of assistance.

Cash can be delivered to individuals, households, groups and whole communities through:

- unconditional transfers with no stipulations as to how the money is to be used
- conditional transfers with requirements for the money to be spent in a certain way
- commodity or cash vouchers detailing the items and services that the recipient can buy with the voucher
- cash for work (payment for work involving community services or infrastructure)
- social assistance or social welfare (unconditional cash grants given one time or repeatedly to people who are extremely vulnerable over the longer term).

Annex 7 provides key considerations for deciding when the conditions for cash transfers may be appropriate. It is important to know whether or not the local market is functioning and whether or not the affected population has access to the markets.

Urban contexts

More than half of the world's population lives in urban centres, which means there is an increasing need to respond to disasters affecting people in urban settings. This requires refining our targeting approaches and learning to work with large numbers of people with very different livelihoods and standards of living. Cash transfer programming can be particularly relevant in urban settings.

There are a number of differences between rural and urban situations that need to be considered when implementing a recovery approach after a disaster that affects urban and per-urban populations. These are summarized in Table 3.

Table 3. Urban issues to consider in recovery

Urban specific issues	Explanations
Population density	More people living more closely together means the impact of the disaster may be greater. It also means that access to the population is more immediate.
Population movement	People move in and out of urban settings, so the targeted population can change.
Social structures	It may be difficult to identify the links between community members, or to locate the representatives in the community as social structures may be less visible in an urban setting than a rural one.
Population registration	It may be difficult to gather information on the population through formal structures as people may live more informally in urban settings.
Targeting	It can be difficult to identify who is most vulnerable as the population may be mixed and difficult to classify in clear groups.
Land and property	People may be living on land without permission, or may not have formalized their ownership of land or property, making it difficult to know who to help. People may be living in multi-tenancy buildings across different wealth groups making targeting shelter solutions a challenge.
Cost of living	It may cost more to live in urban areas making it difficult to assess wealth and vulnerability.
Provision of services, e.g. water and sanitation	If there was no pre-disaster system or if it requires reconstruction, there may be limited space for latrines and access to water sources may be difficult.
Reconstruction	A comprehensive approach to rebuilding communities will be required, rather than just the rebuilding of structures.
Urban economy	It may be more difficult to restore the economy in situations where people do not have connections to one another. The urban economy has close links with peri-urban and rural settings. The impact of the disaster may therefore spread beyond the urban setting into rural areas. People may also be involved in industrial activities that may be owned by a small number of business people, making a fair restitution of these industries difficult. Many people may be involved in an informal economy that may be illegal. Urban areas are vulnerable to global trends like food price increases.

Source: Adapted from Responding to Urban Disasters, lessons from previous relief and recovery operations, ALNAP and ProVention Consortium.

3.8 Building stronger coordination into the programme

Definition

Coordination is a process through which actors involved in humanitarian response work together in a logical and concerted effort towards an agreed common end (namely to protect those affected, save lives and help resume normal activities), and in order to ensure maximum efficiency with the resources available.

Source: Interagency Standing Committee quoted in, Handbook for Coordination: Working together in international disaster response (updated March 2010)

Coordination applies to both internal Red Cross Red Crescent Movement coordination and external coordination with other organizations. These include the national government and local authorities, the IASC, the United Nations, INGOs and NGOs. Within the Red Cross Red Crescent this should involve planning to keep the National Society at the centre and be IFRC-wide in policy and approach. Externally this should lead to joint planning, joint assessments and the sharing of data in order to avoid duplication and maximize use of resources.

Weak coordination will have a negative impact on the affected population, as resources meant to assist them will be wasted. The numbers and complexity of organizations involved in humanitarian response means that coordination is a necessity not an option.

Strong coordination will ensure:

- focusing on a common goal for greater impact
- avoiding duplication through the sharing of information and the coming to agreement on who is doing what where
- ensuring savings in time and money through more efficient ways of using resources
- ensuring consistency between organizations working with the same communities.

Coordination with government

Government has the leading role in coordinating an overall disaster response and is assisted by the National Society in its auxiliary role to the

public authorities. When a government's capacity is over-whelmed the United Nations also has a mandated role to provide support. The National Society's role is likely to vary from country to country. This may include providing a specific service or taking the lead role in humanitarian coordination. National Societies are expected to have contingency and disaster response plans in place to fulfill their auxiliary roles. Such plans are likely to be aligned with the government's own disaster response plans.

Red Cross Red Crescent Movement coordination

A coordination structure will be required in cases where the National Society is being supported by Red Cross Red Crescent Movement members. When there has been an international relief response, a coordination structure will have been established and will need to be adapted to suit recovery programming. This is done through discussion with key stakeholders. Consultation during the development of a recovery-focused operational strategy provides an opportunity to reinforce integrated programming approaches under one common goal, even if the different members operate independently.

Questions to ask when exploring what coordination structure is needed:

- How has the coordination structure functioned through the relief phase and what were its strengths and weaknesses?
- What new factors are present for recovery including new partners, new areas, new sectors, new methodologies, new staff or volunteers?
- What do these new factors need in the way of coordination and can this be achieved with the current structure?
- What new issues are raised by the recovery operational strategy, for example sustainability and exit or accountability to beneficiaries, and how do they fit in the coordination structure?
- How can coordination be both thorough and efficient?

These questions should be asked during the situation analysis process (see Section 4.2) and feed into the operational strategy. They should be updated once recovery objectives and geographical areas in which to work have been identified following the detailed assessment at the community level.

The Handbook for coordination: Working together in international disaster response provides a detailed explanation of coordination in disaster response according to the Seville Agreement and Supplementary Measures.

External coordination

The humanitarian response to disasters includes many organizations with varying roles and responsibilities. Ultimate responsibility for IASC humanitarian coordination lies with the United Nations Resident Representative/ Humanitarian Coordinator. Red Cross Red Crescent Movement partners, INGOs and NGOs participate in the coordination mechanisms established by the government in association with the United Nations. Information sharing and coordination with different agencies within the cluster system and throughout government is not the same thing as collaboration; at all times the Fundamental Principles should be upheld. See Annex 8 for more details of external coordination mechanisms linked to recovery and Annex 9 for an example of a Red Cross Red Crescent Movement coordination structure for recovery programmes.

Information should be shared within and between sectors as transparently, quickly and accurately as possible, even when it seems that information is constantly changing. This will directly inform the operational strategy with decisions about geographical areas in which to work and sectors to prioritize for recovery.

Tips on Coordination	Do	Do not
Working with IFRC partners	Do provide an inclusive umbrella framework for recovery that all partners can work within.	Do not wait for a formal coordination structure to be in place before you coordinate with others.
Working with other partners	Do participate in external coordination meetings and processes regularly and exchange information in a timely and transparent manner.	Do not create parallel coordination structures that undermine government efforts in recovery, reconstruction and rehabilitation.

3.9 Building sufficient resources into the programme

Another key strategic issue to consider in recovery programming is the level of resourcing that may be available and how to identify the human, financial and procurement needs of a recovery programme. Planning from the National Society perspective for medium and large-scale emergencies is likely to involve an expanded programme. How to include an appropriate exit and transition strategy and possible retraction of the National Society role is covered in Section 3.10.

Questions to ask when considering National Society expansion:

- What does the National Society's core programme and long-term strategy consist of?
- How much overlap (either by technical sector or geographically) is there between the National Society's core programme and longer-term strategy and the intended recovery operation?
- Does it fit with pre-disaster contingency and response plans or does it create new areas of activity?
- If it creates new areas of activity, does the level of unmet need identified in the affected population warrant a Red Cross and Red Crescent response in these new areas?
- What ratio of expansion is being planned and is there a dedicated post (organizational development role) to support this within the National Society or IFRC delegation?
- Is there agreement on what the National Society structures and growth should look like at the closure of the recovery programme?
- Is it possible to put in place a plan to support expanded branch capacity after the closure of the recovery programme?
- Is there a mitigation plan to reduce the risks to the National Society's reputation as a result of uncoordinated actions outside the National Society?

These questions concerning the capacity of the various Red Cross Red Crescent Movement members, the National Society, Partner National Societies and IFRC delegation to deliver the operation can be discussed

during the situation analysis process. Some key documents to assist this analysis include:

- the National Society's five year strategic plan
- the National Society's annual plan,
- guidelines/standard operating procedures, such as articles of association, implementing rules and the volunteer management policy
- National Society contingency planning and programme evaluations and learning documents
- well-prepared National Society (WPNS) and well-functioning National Society checklists (WFNS)

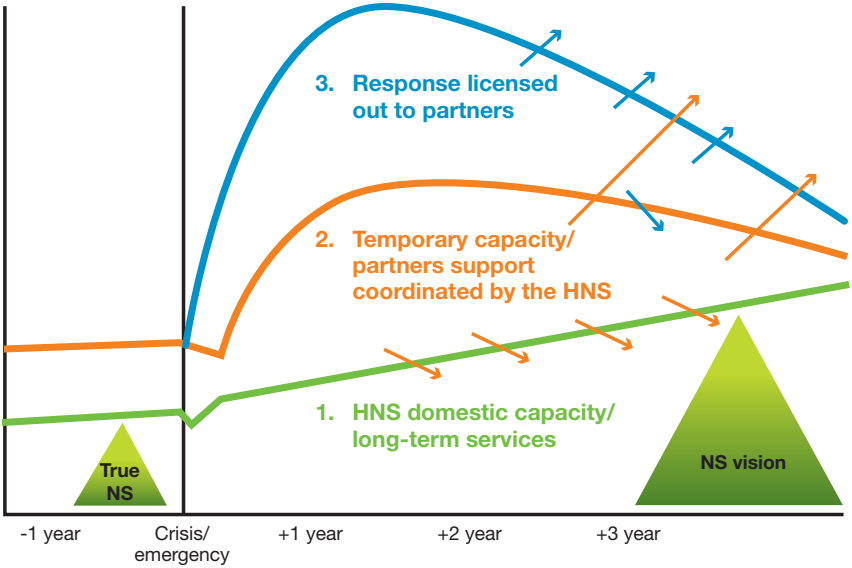
3.10 Increasing the organizational development of the National Society

Recovery programming offers the opportunity for a National Society to respond to unmet needs outside its core programme areas. There is a range of ways that the National Society can achieve this with support from the Red Cross Red Crescent Movement and non-Movement partners. It is important to identify whether the National Society will increase its surge capacity to respond to the disaster and then resume business as usual, or whether the recovery response will provide an opportunity for National Society growth that can be sustained, either through increased geographical presence or through increased technical expertise. In both cases capacity is increased. This may be formalized as part of a National Society organizational development strategy.

Figure 3 highlights a three-pronged approach to National Society growth through the delivery of a large-scale operation. In order to achieve both organizational growth and successful scaling-up and down of the disaster response, the intervention has to be divided into three different parts, each with its own goals, strategies and approaches. The National Society is seen to grow during the implementation of a disaster response in a way that it scales up its processes for disaster response, while promoting and protecting its development, domestic capacities and sustainability. A National Society will not choose to maintain increased levels of geographical coverage or numbers of volunteers after a disaster response in all cases, but recovery programming aims to ensure that a National Society will have increased its technical capacity to manage the response in a way that will lead to improved responses in the future.

Figure 3. Strategic sustainable growth of a National Society during disaster response[3]

Scaling-up & down the Red Cross Red Crescent Movement response



Recovery programming must therefore consider the organizational development possibilities of the National Society and aim to strengthen the National Society when appropriate in the following ways:

- increased representation
- increased active participation
- increased ability to mobilize funds and volunteers
- maintenance of good governance
- increased ability to include community-identified needs into planning and response
- increased use of participatory approaches
- increased ability to nurture community leadership at all levels.

A fuller list of the characteristics of a strengthened National Society can be found in Annex 10.

3 *Source: IFRC Strategic Organizational Development Guidance*

Tips on contributing to OD	Do	Do not
Host National Society branch presence and programming capacity	Do consider how to strengthen branches within the overall strategy of the National Society for organizational development in the long-term during recovery programming.	Do not be too ambitious and try to build branch capacity everywhere. Focus on the disaster-affected areas where the branches can meet needs.

Working with volunteers

Volunteers are the backbone of IFRC response. Following a disaster, many people become instant volunteers in order to assist the National Society in the early stages of a response; some go on to become longer-term volunteers. A disaster may present the National Society with an opportunity to strengthen its volunteer base, expand its volunteer network and improve its volunteer data management and administration systems. This is particularly true when volunteers are from the affected communities and can then act as a communications medium for the IFRC and its member National Societies.

Volunteers play a critical role in addressing the needs of the most vulnerable people and should be provided with the legal framework and protection to carry out this vital work. National Societies ensure that their volunteers are properly prepared to carry out their work by providing relevant and timely information, training and equipment, feedback on performance, as well as appropriately assessed safety and security measures. They insure their volunteers against accidents, and provide them with appropriate psychosocial support when required.

IFRC initiated a volunteer insurance scheme to assist member National Societies maintain their volunteers' coverage. The global accident insurance scheme is intended for National Societies who do not already have insurance and will cover a volunteer carrying out activities on behalf of his or her National Society.

Volunteer-related issues to consider in recovery programming include:

- The National Society and Red Cross Red Crescent Movement partners should implement the recovery programme in accordance with current National Society policies such as the volunteering policy and the position on payment of per diems, expenses, incentives etc.
- If relief activities have been implemented in a way that differs from this, it needs to be corrected as quickly as possible during early recovery planning.
- The planned operation needs to be properly resourced. Volunteers should not be expected to work full time on programme implementation and if there is a requirement for this level of investment, then casual labour, temporary staff or a shared volunteer arrangement can be considered.
- In areas without a visible presence of the Host National Society, careful consideration should be given to the implications of scaling up a programme there for the long term.

Summary conclusions:

✓ There are nine key strategic issues to consider in existing and new recovery programming.

1. framing programming within the Fundamental Principles of the International Red Cross Red Crescent
2. ensuring the programme strengthens resilience
3. building on systematic and ongoing assessment and analysis
4. ensuring integrated or multi-sectoral programming
5. considering cross-cutting issues
6. making use of innovative approaches such as cash transfers and market support programming
7. building strong coordination both within and outside the Red Cross Red Crescent Movement
8. securing sufficient and realistic resources
9. building on or contributing to the National Societies' own development.

✓ These strategic issues will provide a strategic direction to recovery programming and need to be considered from the start.

- ✓ Strategic decisions are informed by situation and response option analysis and assessments and need to be documented in an operational strategy for the recovery programme.
- ✓ Initial strategic decisions will need to be made quickly and require the use of situation analysis to identify the:
  - possible sectors to intervene in based on needs, National Society priorities and capacity to respond
  - possible scope of the response for strengthening resilience and exit
  - geographic areas in which to work and who to target
  - possible scale of the response and desired levels of community participation
  - opportunities for integrated programming and programming analysis.
- ✓ The operational strategy will need to be updated as new information comes in from further stakeholder consultation and ongoing detailed assessment and analysis in the community.
- ✓ The operational strategy is a useful tool for coordinating IFRC-wide recovery plans.

4 Practical application of the recovery approach to the programme cycle

4.1 Working with communities
4.2 Step 1: Assessment and analysis
4.3 Step 2: Planning and design
4.4 Step 3: Implementation
Summary conclusions

IFRC

Once the key strategic issues for recovery programming have been addressed, the recovery approach can be integrated into every step of the programme cycle as illustrated below.

Figure 4. How to build the recovery approach and ways of working into the programme cycle

Steps in the programme cycle	Recovery specific outputs
1. Assessment and analysis • Situation analysis (disaster context, local economy and markets, supply and available goods) • Detailed assessment (vulnerability, capacity and recovery needs) • Response options analysis • Targeting approaches (geography, sector, beneficiary) • Accountability, including beneficiary communications	→ **Detailed assessment** with sector-specific recovery needs, community priorities, National Society capacity, problem analysis and overview of other actor responses → **Updated operational strategy** based on situation analysis and updated with detailed assessment to refine targeting approaches (geography, sector, beneficiary) and programming strategic issues
2. Planning and design • Setting objectives • Mobilizing human and financial resources • Planning for monitoring, evaluation and reporting, and selecting indicators • Developing a transition and exit strategy • Ensuring accountability, including beneficiary communications	→ **Programming plan of action** (based on situation analysis, detailed assessment & response options analysis) • Logical framework • Targeting mechanisms • Activity workplan and timetables • Clear exit and transition strategy with rationale • Stakeholder participation • Programme support plan with support services (security, HR, logistics, IT, communications, fundraising, finance, Movement Coordination)
3. Implementation and monitoring • Activity work plan • Transition and exit management and National Society organizational development • Accountability, including beneficiary communications	→ **Programme Planning Tools** • Baseline and monitoring, evaluation and reporting outputs • Activity timetables detailing monthly outputs • National Society organizational development Plan • Mid-term review to make needed programme adaptations
4. Evaluation	→ **Community Participation** with lessons for current and future programming, improvements and strengthened resilience

In previous sections of this guidance we looked at recovery concepts, approaches and strategic issues that guide programme design and help in the development of an operational strategy. This section explores what is involved in recovery programming based on what needs to be done with the affected community to help them in their recovery from disasters.

Standard IFRC programme planning procedures apply to recovery programming with particular emphasis on working with the community in all steps of the programme cycle and on appropriate targeting mechanisms. Annex 2 provides an overall checklist against which to check the key recovery elements in a plan of action. A plan of action is a document that details how the disaster response programme will be implemented. Annex 17 provides the current content from an IFRC Plan of Action template or guidance.

The overall goal of early recovery is to strengthen relief activities and help people get back on their feet as quickly and as resiliently as possible. The operational strategy provides direction for this and shapes the approach to programme implementation across different sectors. It ensures the recovery elements identified in the operational strategy are fed into the plan of action. All of this relies on working with communities.

4.1 Working with communities

The recovery programming approach stresses the importance of working in a participative, inclusive and accountable way with the community as it sets the direction for the nature of the relationship between the National Society, IFRC and the community. Disasters provide the opportunity to refresh a working relationship with the community or improve the participative and inclusive nature of the existing work. Often National Society volunteers live within the affected community and are therefore a part of it. They may themselves have been affected by the disaster and require support or may be available to provide support to the recovery programme.

Definition

The Community is not necessarily easy to define. In usual situations it is a complex mix of allegiances, relationships and social structures. Members of the community may be very different from one another and may have very different life experiences. Communities can be described as differing groups that are united by a common factor such as their geographical location, religion, livelihoods, a certain vulnerability or capacity etc. After a disaster the community may change – people may move, groups may form and reform, tensions may increase or decrease. Community members will experience the impact of the disaster in various ways because their vulnerabilities as a result of the disaster are different just as their vulnerabilities before the disaster were different.

Source: Adapted from the British Red Cross Recovery Resource

Common ways that communities are categorized can also be used as categories of analysis for implementing the detailed assessment and the analytical framework (Section 4.2).

There may be extensive knowledge about the communities already within the National Society. Volunteers from the affected community will be able to provide the foundation for identifying how the community has changed since the disaster. However, if this is not the case, time will be needed to understand the interests and needs of different members of the community. A stakeholder analysis, as found in the IFRC Project/programme planning guide, is one way to explore this.

Some challenges to working in a participative and inclusive way with the affected community (particularly if the relationship between the community, National Society and IFRC is new) include:

- identifying who the community is and how to work through its structures
- building trust with the community
- establishing the relationship quickly enough to enable early recovery to take place
- avoiding bias by working with members of the community who even though representatives, may reflect only their own perspectives and experience.

Community structures

Recovery programming is founded on working through the community. This involves understanding and mapping out community structures prior to, during and at different stages following the disaster. Community structures include:

- community leadership structures (formal administrative structures or informal religious or traditional leaders)
- community social structures (mothers groups, youth groups)
- community religious structures (church groups, monasteries and mosques)
- community services structures (water and sanitation committees, funeral savings groups, farmers groups, savings and credit groups).

Working with community structures will allow you to:

- assess the current capacities available within the community
- assess how representative these structures are of all members of the affected community
- establish relationships with community representatives early on
- decide whether to set up a recovery committee from existing structures or from new ones
- implement a participative and inclusive early recovery programme.

Early recovery and recovery committees

When existing community structures do not already exist or are not suitably representative, early recovery and recovery committees can be set up temporarily for the purposes of the project. The task of the recovery committee is to be the link between the National Society and IFRC, and the affected community. The affected community should be involved in selecting their committee representatives from the different community groups. The committee will also need to ensure that communication with the affected community is open and regular. In most situations it will be possible to form this committee based on existing community structures but it may be necessary to modify how to work through them to ensure all groups within the community are included. The terms of reference for the early recovery committee should be agreed upon with community members.

Typical tasks include:

- providing information about the context and the needs of the people
- playing a role in the two-way communication between the affected community and the National Society and IFRC
- including the views of all groups within the affected community
- helping manage the community at large by bringing together people to plan, prioritize and implement projects
- helping with the process of beneficiary selection and targeting
- mobilizing and organizing people for activities such as cash for work and community-based psychosocial support
- playing an active role in managing projects that function above the household level
- playing a role in gaining community feedback and any resulting conflict resolution and in sorting out grievances
- monitoring the programme by monitoring individual projects or households
- working with other structures in the community when there is a need to involve them (water, sanitation and hygiene promotion committees or health committees).

Table 4. Common problems in working with community groups in recovery programming

A committee for everyone	In the immediate aftermath of a disaster many NGOs, government institutions and the United Nations will want to work through local organizations. Some community members will belong to a number of different committees. Stakeholders may compete for the time and resources of the same committee members. Information about existing and new committees should be part of the assessment. It is essential that there is coordination with other organizations before forming a recovery committee.
Time to engage	An early recovery programme may require considerable time, particularly at the beginning, making it difficult for committee members who may need to work on a daily basis (or have care-giving responsibilities) and therefore do not have much time to give to the community. People may be wary of taking on responsibilities as a result, or it may be difficult to make the committee truly representative.

Formal authority versus informal power	Given a choice some people may not support working through government sponsored local institutions. This may lead to conflict between formal and informal institutions, especially when funds routed through informal groups. If a community chooses not to work through formal institutions it is important to find alternative ways to engage with the institutions.
Internal dynamics	The impact of the dynamics of power on a committee's functioning within a community should be understood.
The autonomy of a committee	Occasionally a committee (existing or new) may attempt to become more controlling of programme activities rather than representing the community. This may be overcome by being clear about the committee's terms of reference and the rules governing the committee.
Transparency and levels of accountability	In many contexts, community-based organizations may have a very different understanding of what constitutes good participation, representation and accountability. This can be problematic, especially where finances are concerned. The recovery committee must have the respect and support of the wider community.

Source: Adapted from British Red Cross Recovery Resource

Being accountable to beneficiaries

Building trust is essential for effective work with communities. This is particularly necessary when communities are isolated or when particular groups within the community, such as women or disabled people, do not participate in public meetings making access to them limited. Recovery programming ways of working include being accountable to the programme beneficiaries.

Definition

Accountability is the obligation to demonstrate to stakeholders to what extent results have been achieved according to established plans. This definition guides the accountability principles set out in Strategy 2020: explicit standard setting, monitoring and reporting, transparent information sharing, meaningful beneficiary participation, effective and efficient use of resources, systems for learning and responding to concerns and complaints.

Source: IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

An accountable relationship with the affected community includes:

- open and regular communication where the affected community, National Society and IFRC can share concerns, issues and priorities
- opportunities for the affected community to participate in the assessment, design, implementation and monitoring of the recovery programme including participating in beneficiary selection and insuring all groups within the community are represented in this process
- establishing a mechanism for receiving and responding to complaints that is in line with the culture's way of handling disputes in the community
- the provision of evidence to the community that complaints have been dealt with
- the provision of evidence to the community that programme activities have been adjusted as a result of their feedback.

Sharing information with beneficiaries is also about dignity and beneficiary accountability. Recovery programming recognizes affected populations are deserving of respect and therefore provides the information they need to make decisions about issues that affect their lives. Communication with beneficiaries is embedded in a range of humanitarian approaches, including participatory planning, improved practices promotion, community mobilization, community meetings or even just informal chats during field visits.

Setting up formal two-way communication channels is one way to increase the accountability of recovery programmes. Some communications tools used by the IFRC include:

- community mobilization and announcements (face to face mobilizers)
- radio shows and spots
- Red Cross Red Crescent text messages via mobile phones
- toll-free recorded information
- call centres to answer questions and deal with complaints
- posters and notice boards
- complaint forms at programme sites.

These will have to be designed and used keeping cultural considerations in mind.

Tips for Working with the affected community	Do	Do not
Deciding who to work with	Do map the community structures and organizations remaining after the disaster and assess the level to which they are inclusive of all members of the population.	Do not ignore the dynamics between different groups and be aware of any tensions and issues that may affect programme implementation.
Establishing an accountable relationship with the affected community from the outset	Do make the community your partner – take time to listen to their priorities and issues, and be prepared to change your plans.	Do not set up parallel recovery committee structures to those that other organizations have already established and are working through.
Supporting the recovery committee	Do plan for training and ongoing support to the committee as they carry out the tasks in their terms of reference and ensure that the rules that govern these tasks are documented and agreed.	Do not be surprised if the committee starts identifying agenda items beyond the recovery programming. Ensure that the community separates these from what was agreed upon with the IFRC and its member National Societies.
Participative monitoring approaches	Do agree on indicators that will measure the success of the recovery programme within the community, ensuring diverse views are taken into account.	Do not underestimate the time it takes to carry out participative monitoring activities and factor this into your timeframe.

Examples of community participation in monitoring:

A water and sanitation committee (formed to operate and manage community facilities like water supply and sanitation facilities) could be responsible for regularly testing and recording water quality information.

Similarly, health committees (established through community-based health and first aid activities if not already in place in the community) could be responsible for assessing hygiene practices in the home using simple data gathering sheets.

All these aspects of working with the affected communities need to be considered throughout all the stages the programme cycle, as they are key components of recovery programming. If communities participate actively in the design stage, it paves the way for their participation throughout.

4.2 Step 1: Assessment and analysis

Step 1 Content:

- Situation analysis (disaster context, local economy and markets, supply and available goods)
- Detailed assessment (vulnerability, capacity and recovery needs)
- Response options analysis
- Targeting approaches (geography, sector, beneficiary)
- Accountability, including beneficiary communications

Outputs:

→ **Detailed assessment** with sector-specific recovery needs, community priorities, National Society capacity, problem analysis and overview of other actor responses

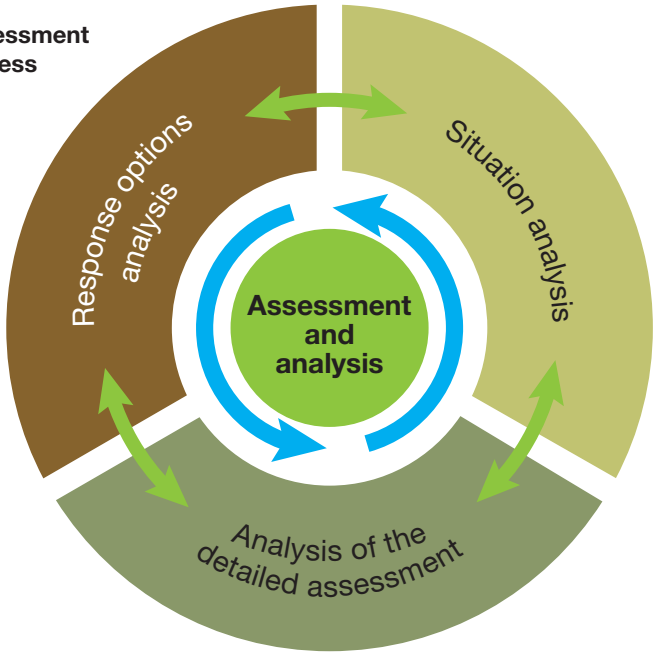
→ **Updated operational strategy** based on situation analysis and updated with detailed assessment to refine targeting approaches (geography, sector, beneficiary) and programming strategic issues

Good assessment and analysis are at the heart of successful recovery as they ensure that issues that might have an impact on the success of the operation are considered fully. The IFRC recovery programming approach requires a detailed assessment at the community level to ensure:

- a good understanding of who is vulnerable in the community
- what capacities there are in the community and in the National Society and IFRC to implement a recovery programme
- how the operational strategy can incorporate an integrated sector approach.

The assessment and analysis process is continuous during recovery programming design and implementation and moves from collecting existing information about the disaster to documenting a plan of action with the recovery programme details. In recovery programming this assessment and analysis often takes place while a relief response is being implemented. Figure 5 below summarizes the three distinct phases of assessment and analysis into one continuous activity.

Figure 5. The assessment and analysis process



Analysis

Analysis is an ongoing process that starts immediately following a disaster. The recovery approach uses three main types of analysis. Table 5. summarizes the main types of analysis, their purpose and the main tools involved. The IFRC Project/programme planning guide provides useful information on how to use these tools, which helps to ensure that underlying causes of vulnerability are better understood and that there is a logical flow in thinking from the problem towards the solution while taking into consideration other influencing factors.

Table 5. Types of analysis involved in recovery processes

Type of analysis	Main purpose	Main tools
Situation analysis	guide strategic decision making about where to focus detailed assessment based on scale of needs and capacity	simple analytical framework for: • data gathering • questions to ask • stakeholder identification • stakeholder analysis (**Annex 11**)
Detailed Assessment (vulnerability, capacity and recovery needs analysis)	process the data emerging from the field assessment process along with the situation analysis information	range of VCA Toolkit participatory rapid analysis tools
Response analysis	guide planning and design for a response, based on need and Red Cross Red Crescent Movement added value, including resourcing	• problem tree • strengths, weaknesses, opportunities and threats analysis (SWOT) • DRAFT Response Options Comparison Tool (**Annex 12**)

i. Situation analysis

Situation analysis guides the first thinking around the response. It begins at the very onset of a disaster and refers to all the analysis that takes place before any detailed recovery assessments at the community level are carried out. It is precisely this initial situation analysis that helps determine where and how that assessment should be implemented.

Definition

Situation analysis is analysis based on available information and strategic thinking that leads to decisions on the need to respond. It includes a consideration of the scale of the response, geographical areas to target, the potential scope of the sectors to be included and any potential issues for the scaling up and down of programmes. Situation analysis begins immediately following a disaster and is key in determining where primary data will be collected through detailed assessment.

Situation analysis should lead to strategic decisions concerning the following:

- scale of the disaster and recovery needs
- scope of the sectors to be included in a response (based on need and National Society priorities and capacities)
- geographical areas to assess further at the community level
- opportunities for programme integration, the strengthening of resilience and programme exit or transition.

Situation analysis therefore feeds into the operational strategy for the recovery programming directly. It guides the thinking around what sort of support might be needed, what sort of scaling-up the National Society might consider to meet the recovery needs, and what sort of information gaps need to be filled to ensure the recovery approach to programming can be implemented. At this stage, situation analysis requires some thinking about possible target groups and possible response options based on some critical assumptions and constraints.

ii. Analysis of the detailed assessment (vulnerabilities, capacities, needs analysis)

Analysis of the detailed assessment data ideally takes place as soon as the major strategic decisions have been made. In the interests of time, data gathering should focus on collecting only as much data as is required to allow for the making of decisions. The detailed assessment will:

- identify whether or not there are early recovery and recovery activities that can strengthen the relief operation underway
- reflect the priorities and wishes of the affected population in all data gathering and analysis
- define detailed programme objectives across all sectors that reflect the population's priorities in terms of their own recovery
- provide sufficient data to start building a baseline against which to measure progress as a result of the recovery programme
- identify where there may be opportunities and challenges in implementing the programme
- highlight areas for further investigation.

Assessment data should be organized using an analytical framework. This helps bring together specific sector assessment data, organize the questions to ask and identify the key stakeholders to contribute to the assessment. It is based on the context and how best to categorize information in that particular context. Common ways of breaking this down include geographical location, livelihoods group, ethnicity, or specific disaster-affected populations such as displaced people.

The detailed needs assessment will explore issues of vulnerability and capacity within the affected community. There is seldom time to carry out a full-scale VCA when designing recovery programmes post emergency, in which case previous VCA data should be used. In the case of disaster risk reduction activities, a VCA should be encouraged. The recovery assessment should identify the combined factors in a given community that contribute to vulnerability. This needs to cover:

- an understanding of what different groups exist within the community
- how these groups relate to one another
- what attitudes and practices are concerning each other
- how strengths can be augmented and issues of inequality or exclusion managed through a transparent targeted approach to vulnerability
- an understanding of any changes in strengths since the disaster, including what coping strategies are working for the community and which ones hinder recovery.

Recovery programming can strengthen the use of coping strategies and strengthen future resilience, thus reducing or avoiding the use of damaging coping strategies. Annex 3 has a detailed recovery assessment checklist. Ensure that in assessment design the affected community is considered.

- Make time for consultation regarding where the assessment should take place so that it is representative of the affected population even if it is not done everywhere.
- Include those who will be delivering the programme or at least make sure they can participate in some of the key discussions.
- Include proportionate numbers of men and women from the affected population as representatives.
- Set broad objectives for the recovery operation based on assessment findings and response options.

Key sources of data for recovery assessment and analysis

- **secondary data** (pre- and post-disaster reports, reviews, evaluations, National Society-related reports such as the well-prepared National Society, previous assessments from within the Red Cross Red Crescent Movement and from other sources such as ACAPS, OCHA, NGOs, FEWSNET, reliefweb, etc)
- **coordination meetings** (Movement, government, cluster and other ad hoc coordination meetings)
- **field visits** to regional, provincial and district levels of administration
- **detailed meetings** with the affected community on needs, vulnerabilities and capacities and observations of their context
- **internal meetings** to explore stakeholder interest and strengths and weaknesses internally to deliver an early recovery programme
- **lessons learnt and recommendations** from previous evaluations of disaster responses in the area

Tips for assessment	Do	Do not
Assessment team management	Do hold daily debriefing meetings to discuss findings, triangulate data and identify further gaps for analysis. Do use a common analytical framework.	Do not attempt to carry out assessments during national or religious holidays unless you have checked that this will not be disruptive to all involved.
Assessment with the local community	Do build a relationship of trust and establish at the outset agreements on roles, responsibilities and communications.	Do not rush the process of gathering data from the community at the expense of undermining trust.
Quality assessments	Do put a volunteer selection process in place so that volunteers with the right skills are involved in the assessment.	Do not forget to provide coaching to the volunteers during the assessment.
Dissemination	Do disseminate assessment plans and findings to other agencies.	Do not assume other agencies will be aware that you have been carrying out an assessment.
Identifying baseline data	Do use the assessment process to start thinking about baselines data.	Do not underestimate the value of assessment data to measuring changes over time.

Setting the baseline

It is often at the assessment stage that indicators for a programme baseline start to be identified. A baseline is needed to record the starting point conditions in the disaster-affected community in which the recovery programme is being implemented.

Definition

Baseline is a point of reference prior to an intervention against which progress can later be measured and compared. A baseline study is an analysis or study describing the initial conditions (appropriate indicators) before the start of a project/programme for comparison at a later date.
Source: IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

More information on how to carry out a baseline can be found in Annex 2 and 3.

Towards the end of the assessment, the assessment team analyses the situation and expected evolution of the emergency and drafts a list or a menu of potential responses from which to choose. This leads to the third type of analysis.

iii. Response options analysis

This guides the decision-making on the scale and scope of the recovery operation in order to decide which responses are most appropriate and feasible. This requires looking into possible options at the final stage of the detailed assessment analysis, including:

- the feasibility of proposed responses
- what capacity exists or can be mobilized to implement each response
- how the Red Cross Red Crescent Movement response fits with other organizations' actions.

Definition

Response options analysis is analysis based on available information and strategic thinking that leads to decisions on the types of programmes that are most appropriate and feasible in response to a disaster. It is based on an analysis of need and Red Cross Red Crescent added value, and includes a consideration of the timing and targeting criteria for the programme. Response analysis can begin immediately

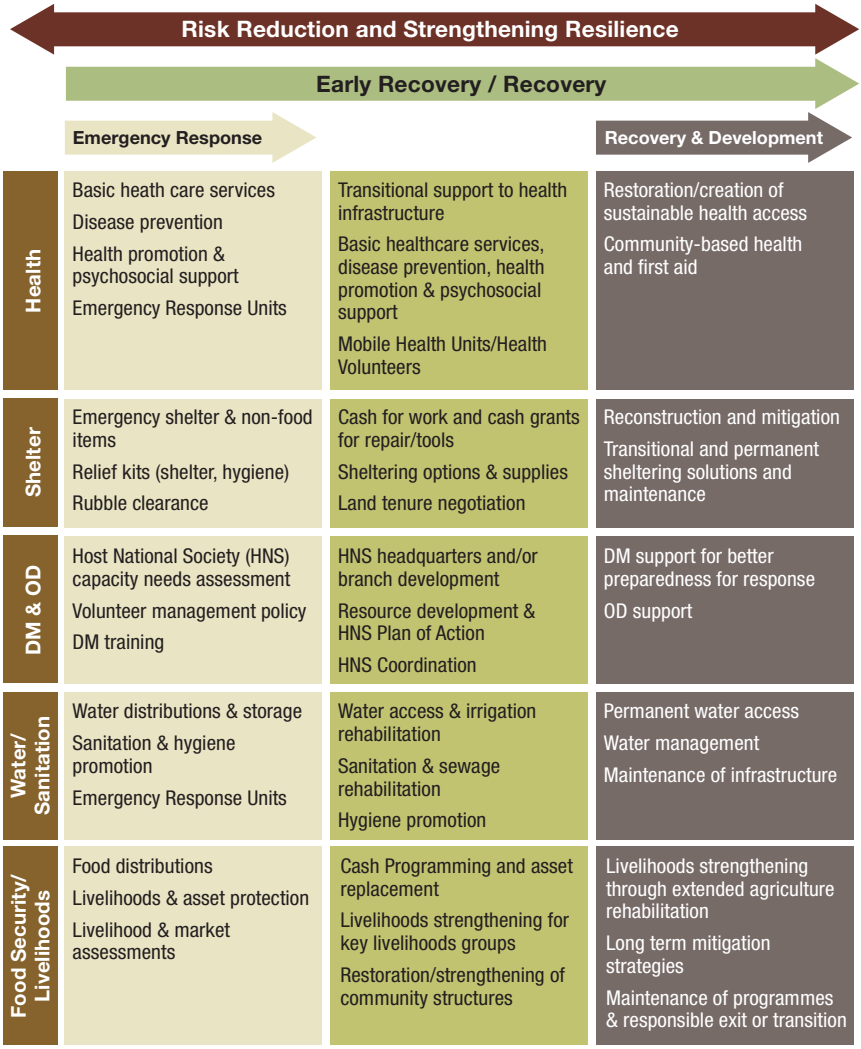
following a disaster and can then be refined using detailed assessment data to inform the programme design phase of the programme cycle.

This stage of analysis has two main steps, the first being blue sky thinking, meaning that no considerations other than what are the best programming response options for the assessment findings should be considered. The second step is the carrying of these response options into programme design where they need to be considered and compared to determine which ones are the most feasible, realistic and appropriate.

The assessment team needs to work increasingly closely with the programme implementers at a sector level to discuss the analysis and findings, and to consider each of the menu items of response options against an agreed upon list of criteria.

It is important that the two stages are kept separate and are documented. This helps to promote innovative responses, some of which may prove useful at a later stage even if they are not feasible at the time of the assessment. Figure 6 illustrates some of the most common responses for different sectors at different stages of the disaster management cycle. The early recovery and recovery responses need to be adjusted to the context-specific needs.

Figure 6. Examples of typical sector responses across the disaster management cycle



The choosing of responses needs to include a risk assessment both for the overall programme as well as within each of the sectors. Each programme option should have a set of considerations attached to it: for example, highlighting gender issues, potential points of tension or conflict, capacity issues, or targeting considerations.

Tips on response options	Do	Do not
Responding to need	Do identify the areas with the highest levels of vulnerability and the least ability to recover using their own resources.	Do not be limited by the existing relief operation activities when deciding on recovery response options if it is appropriate to bring in new sector responses.
Reinforce positive coping strategies	Do look for opportunities for recovery programming that supports positive coping strategies.	Do not miss opportunities to support those who are in a position to then help in the recovery process of others if their livelihoods are interconnected.
National Society OD	Do identify what National Society capacities the recovery programme can tap into and strengthen.	Do not limit OD strengthening to branch expansion, look for technical growth as well wherever possible.

A simple matrix tool (see Annex 12) can support the making of decisions by thinking through and comparing different response options in a structured way against a standard set of considerations. This can help make joint team planning and programming decisions transparent to others, including donors. The tool does not do the analysis, it just provides some criteria to consider. The final analysis still needs to be done based on an understanding of the context, the needs and priorities of the community and by balancing the pros and cons of each proposed response option. The tool suggests a menu of considerations that can be adapted but which include the following questions:

- Is the response option in line with National Society plans, capacities and mandate?
- Is the response option in line with community priorities and capacities?
- Is the response option in line with government priorities?

- Can the response option be implemented in time (considering seasonality and project start up time)?
- Does the response option provide good opportunities for sustainability?
- Does the response option have a low chance of any adverse or negative effects on the population or the local economy?
- Is implementation of the response option feasible? Can risks be managed? Is the technical capacity available? Is project start up and a responsible exit/transition possible?
- Is the impact of the response option high and does it represent good value for money?
- Are the resources available for this response option?

What to consider and who should do the analysis

Ongoing analysis helps respond to people's needs and avoids designing generic responses. Good analysis is based on:

- the context and best ways of categorizing information in that particular context (geographical location, livelihoods group, ethnicity, or specific disaster-affected populations such as displaced people)
- cross-cutting issues (gender, age, disability, people living with HIV and AIDS, conflict and the environment – see Section 3.6)
- rapid initial assessments completed by the National Society, FACT, the Regional Disaster Response Teams and possibly other agency efforts
- secondary information that is gathered as quickly as possible to inform strategic decisions such as geographic location
- the problem tree analysis, which identifies the causes of individual problems.

There are a variety of emerging models within the IFRC on how recovery assessment and analysis can take place during the delivery of disaster relief assistance. These are summarized in the box that follows.

Models for introducing recovery assessment and analysis include:

- finding additional capacity within the Host National Society
- finding additional capacity from Partner National Societies
- providing an additional role for early recovery into FACT to support early recovery analysis in tandem with relief planning and coordination
- providing additional Federation Early Recovery Surge Team (FERST) multi-sectoral assessment teams to undertake data gathering and analysis work in tandem with the relief response implemented through IFRC global tools or the operations teams
- providing additional FERST personnel in the form of a Recovery Coordinator for the operations team to lead this process.

However, the extent to which any combination of the above is successful depends on:

- the level of knowledge and understanding of recovery approaches
- the commitment of those involved to support this process and effectively coordinate it
- the timely deployment of personnel
- clearly defined terms of reference for surge teams and re-deployed personnel
- clearly defined reporting lines and an understanding of the links between surge personnel and operational teams
- clearly defined outputs and next steps
- sufficient extra administrative and logistical support, particularly for larger surge teams.

Questions to ask in order to decide which model to establish include:

- How complex is the disaster?
- How extensive is the impact nationally, numerically and by technical sector?
- What capacity exists already in the National Society or wider Red Cross and Red Crescent Movement present in the country?
- If a team is not deployed, how ready is the current operation to transition to recovery?
- How likely is it that the transition will result in the Host National Society and delegation scaling up their operation beyond pre-disaster levels?

Source: Adapted from Recovery Surge, first draft 2010

It is very important from the outset to make clear the assumptions that will underpin the assessment and analysis process and to keep checking these throughout the process of recovery planning to ensure that risks arising from such assumptions are reduced.

- List the assumptions underlining the analysis.
- Set out how assumptions can be checked.
- Bring together the assessment team to debrief following their assessment using the chosen analytical framework.
- Identify assumptions and test them.

Tips for analysis	Do	Do not
Identifying analysis assumptions	Do list the assumptions that underline your analysis, including those related to cross-cutting issues and OD.	Do not be worried about changing the assumptions as new information emerges.
Simplifying the data collection	Do set up a data gathering system that is simple and systematic.	Do not be tempted to have too many indicators for which to collect information.

Risk management

All aspects of a programme intervention will have some element of associated risk. This should be taken into account during the response option analysis stage.

Definitions

Risk is any event, action or decision that could prevent an organization from achieving its objectives and/or successfully implementing its strategies.

Risk Management is a structured, consistent and continuous process across the whole organization to enhance and preserve its value. This involves identifying, assessing, responding to and reporting on opportunities and threats that affect the achievement of its strategic objectives. Risk management is an additional step in the project planning and management process and requires consistent attention.

Some risks may be identified indirectly in the log frame assumptions column, perhaps only to a limited degree. Some risks can be large, particularly in an

unstable, post-disaster situation, and can have a significant impact on the proposed intervention. The IFRC risk management tool is found in Annex 13.

- Identify risks that may have a negative impact on your programme.
- Identify the likelihood (the chances of it happening) of each risk and the resulting level of impact.
- Analyse each and every individual risk until you find specific actions to mitigate the negative consequences of the risk.
- Build actions to mitigate the effects of the risk into the operational plan.
- Resource these actions.
- Identify a risk holder who will be responsible for monitoring and managing the risk.

Key steps are to identify:
- What is the cause of the risk?
- What action will be taken?
- Who will take action?
- How and when this will be done?

Risk management is an additional step in the project planning and management process requiring consistent attention. The benefits of a thorough ongoing risk management process are many. It will both protect and promote the more efficient use of resources, improve early warning systems, promote transparency and sustainability and safeguard reputation and good will. Build risk management analysis into this stage of the assessment process and carry on through the design and planning stages. Identified mitigation activities will need resourcing.

Response options need to address feasibility and to outline the human resources, logistics capacity, and funding needed to develop and implement programmes. This ensures that the final recommendations of the assessment team and the resulting recovery programme are grounded in a sense of what is actually possible, that they are jointly owned and reflect, whenever possible, the operational priorities of the host National Society.

The scale and complexity of the disaster and the proposed response will determine how long the assessment and analysis process that leads to decision making around recovery programming should take. A key factor in this is the way the targeting strategy is being developed to identify geographical areas, sector and beneficiaries for the recovery programme.

Targeting approaches

Targeting is one of the most skilled activities in recovery programming as it ensures that the recovery programme prioritizes and finds the right people, usually those who are most vulnerable and therefore least resilient. While the relief approach may be based on blanket assistance (all households receive assistance), recovery programming needs to establish priority groups and target them with appropriate interventions. This requires establishing a shift in the response approach with communities who have been or are receiving blanket assistance. Successful targeting is based on dialogue and a common understanding of the programme aims and community needs, including the cultural norms within affected communities.

Definition

Targeting is the process of selecting members of the affected community based on an analysis of vulnerability, and greatest unmet need. Targeting mechanisms vary according to the context, type of programme and programme's objectives. They also depend on cultural considerations such as how the community views targeting and equity and on community relationships and whether these will be strengthened or damaged by the targeting.

Source: adapted from Red Cross Red Crescent Movement, Guidelines for Cash Transfer Programming (2007)

The assessment and analysis process feeds in directly into thinking about targeting for recovery programming.

i. Situation analysis helps identify geographical areas affected and possible sectors for response.
ii. Detailed assessment helps identify the communities and their members.
iii. Response analysis helps find the best response for the identified groups of women, men, boys and girls to support their recovery process.

Targeting mechanisms

Geographical targeting is almost always applicable, as relief activities will often get underway shortly after the disaster to assist those most affected and those most accessible. This is normally based on broad criteria and blanket coverage. Recovery targeting will need to refine the geographical areas for different types of interventions, e.g. a smaller geographic area to cover in order to provide a greater range of sector responses to needs identified, and will often begin a process of household-level targeting. This is particularly the case for livelihoods and shelter programming (unless food distributions or emergency shelter assistance in cash or kind were a part of relief activities).

Tips on targeting	Do	Do not
Avoiding exclusion	Do ask the community about specific groups within the community, to ensure they are not being marginalized.	Do not assume all groups are represented in community structures.
Accountability	Do publicize beneficiary lists in a way that best informs and avoids negative impacts, including encouraging the use of a complaints mechanism.	Do not publicize target groups without including the targeting criteria.
Triangulation	Do continuously verify and triangulate targeting information to ensure you have captured various views.	Do not assume that people who were not vulnerable before the disaster are not vulnerable now.

There are a variety of methodologies for targeting recovery activities. The following table provides an overview of different mechanisms and the difficulties associated with community-based targeting, the method best suited to recovery programming.

Table 6. Possible difficulties with targeting mechanisms suited to recovery programming

Type of targeting	Targeting and selection process	Difficulties/possible risks
Community-based targeting using criteria developed by the community	through established community leaders	• community leaders may include their own families • the poorest may not always be selected • in some situations, community structures may have broken down • women might be excluded from the process
	through committees specially elected by communities	• time and resource heavy
	triangulation of three or more lists of those in need, compiled by groups (men, women, elders for example)	• the socially marginalized may be excluded • a village committee may judge eligibility according to long-term vulnerability rather than need in the particular emergency
	wealth or well-being ranking directly with community members (based on community selected criteria)	• can lead to tensions if not done properly
Self-targeting	self-targeting: individuals or households choose to opt in to the programme	• may only be of benefit to those who register first • the housebound, elderly, etc. may not be able to register and therefore risk being excluded

Source: Red Cross Red Crescent Movement Guidelines for Cash Transfer Programming (2007)

When developing targeting methodology best suited to the situation, the following considerations should be kept in mind:

Targeting considerations:

- Community values: Understand the affected community's approach not only to vulnerability but also to targeting. In some communities, the concept of targeting will be acceptable, in others it may not be.
- Community relations that may lead to deliberate exclusion: The vulnerabilities and capacities (VCA) toolkit provides useful information on using the Better Programming Initiative (BPI) to assess what sorts of things divide and connect community members. This information can be used to consider how best to provide assistance to ensure it connects members more strongly rather than divides them.
- Intra-household dynamics: Different members of the household have different levels of vulnerability and may need targeted assistance. Household member relations are often culturally determined by factors such as age, gender and ethnic status, and not necessarily vulnerability.
- Sources of data for beneficiary lists: When these come from the government, local authority or local community leadership, they need be checked against other agency beneficiary lists (to avoid duplication) and verified with the affected community. This can be done using public mechanisms for a verification process (such as group meetings, message boards, radio messages etc) and setting up a complaints process, keeping in mind that in some situations publishing beneficiary details may be sensitive.
- Relations with neighbouring and host communities: Consideration of their levels of vulnerability in comparison to the disaster-affected population is important. Community-based services, such as water, sanitation, hygiene promotion and community-based health and first aid activities benefit a wider proportion of the population and can therefore be used to strengthen the connections between those households that are receiving assistance and those that are not.
- Targeting to address chronic need: Social welfare payments to older or disabled people may be a short-term recovery measure while government, local authority and community social welfare mechanisms are re-established, but they are unsustainable in the long term if no such mechanism already exists. The exception to this may be in situations where chronic crisis prevails and

the provision of humanitarian assistance including food is normal. The Red Cross Red Crescent Movement guidelines for cash transfer programming provides more information on this.

- Targeting in urban settings: This requires more liaison with leaders through social and religious structures and local authority service providers (health centres, education/training schemes). While it helps to divide the area into smaller units for assessment and assistance, it will still require a level of community involvement to verify identified beneficiaries. Increased use of public communication such as radios and phones works well to inform and update people as to what they are entitled.

Targeting is an essential part of recovery programming. Once the geographical area for response has been identified, targeting beneficiaries for the most appropriate recovery support programmes will require careful community participation so that recovery objectives can be met. Early recovery targeting processes need to use easily identifiable groups and be simpler than those for longer-term recovery activities, which may require more in-depth analysis and selection processes by the community.

4.3 Step 2: Planning and design

Step 2 Content:

- Setting objectives
- Mobilizing human and financial resources
- Planning for monitoring, evaluation and reporting, and selecting indicators
- Developing a transition and exit strategy
- Ensuring accountability, including beneficiary communications

Outputs:

→ **Programming plan of action** based on situation analysis, detailed assessment and response options analysis informed by the operational strategy and accompanied by:

- Logical framework
- Targeting mechanisms

- Activity workplan and timetables
- Clear exit and transition strategy with rationale
- Stakeholder participation
- The programme support plan with support services (security, HR, logistics, IT, communications, fundraising, finance, Movement Coordination)

When the detailed field assessment and analysis has been completed, it helps to update the operational strategy and the plan of action, which describes the recovery strategy and associated implementation details.

A plan of action is a planning tool. It requires a rapid, yet thorough, planning process with the full understanding that things will change during the process of implementation and plans and budgets may need revision in due course. A plan of action should include:

- a logical framework with clear recovery objectives that detail the desired results, activities to achieve these and indicators by which to measure progress
- an activity work plan that schedules when activities will be done, by whom and with what resources
- a procurement plan that identifies when supplies, materials and services will be required
- a budget and budget tracking sheet that identifies any variance between planned expenditure and actual expenditure so programme management issues can be identified
- a monitoring and evaluation plan that sets out the requirements for baseline information, data collection and analysis, and stages of review and evaluation.

Setting objectives

The IFRC Project/programme planning guide provides comprehensive information on the process of setting objectives and designing programmes that will lead to results for the affected community. In particular it sets out the stages of planning as:

- setting outcomes
- setting the outputs required to deliver each outcome
- identifying the activities that will be required

- identifying the inputs and resources necessary to undertake these activities.

Recovery is most effective in all these situations when accompanied by a longer-term programme that seeks to mitigate the impact of cyclical disaster more fully.

Formulating objectives that integrate different sectors

The problem tree[4] is the most useful tool for setting objectives. The recovery assessment and analysis process should identify how the combined efforts of different sector responses can have more impact overall on the identified problems. A combined sector approach produces the intended outcome while still keeping sector specific outcomes. Annex 4 has examples of how the different sectors can be integrated for an early recovery or recovery programme.

Tips on integrating sectors	Do	Do not
Thinking holistically	Do consider what combination of assistance best helps people in their recovery process.	Do not be limited by your sector specific assessment data if this keeps you from using a more holistic analysis of needs.
Combining sectors	Do identify vulnerabilities that can be realistically addressed through joint sector responses.	Do not establish programmes with objectives that cannot be achieved within a recovery time frame.

Strengthening relief as part of early recovery

The early recovery approach aims to strengthen relief operations by actively complementing and strengthening relief outcomes. Early recovery objectives and activities can also pave the way for longer-term recovery activities. All of these objectives need to be specific, measurable, achievable, realistic and time bound (SMART). Table 7 provides some examples.

4 *Refer to IFRC Project/programme Planning Guidance Manual pages 21-22*

Table 7. Examples of early recovery and relief objectives by sector

Relief objective: Immediate food needs of the target population are met through cash transfers where markets are working.

Early recovery objective: cash for work activities are used to clear canals and irrigation channels.

Early recovery provides extra household income that can be spent on additional food, debt repayment or other household needs so that relief cash can be used for its intended purpose of meeting minimum food requirements for the household; clearing of channels and irrigation paves the way for food production to start again.

Relief objective: Emergency shelter assistance is provided to the target population.

Early recovery objective: Training sessions are provided to target communities on basic safe shelter and settlement (transitional shelter is provided to the target population until permanent solutions are achieved).

Early recovery provides people with improved shelter and an awareness of shelter and settlement issues. This may have additional positive outcomes such as instilling confidence in the targeted population that emergency shelter is temporary and permanent solutions are in progress.

Relief objective: Immediate medical management of injuries and diseases that meets SPHERE standards is provided to the target population.

Early recovery objective: Community-based psychosocial support activities are provided by trained volunteers.

Early recovery strengthens community motivation and therefore involvement in their own recovery, increasing the numbers participating in community-based activities.

Relief objective: The target population is provided with safe water that meets Sphere and WHO standards in terms of quantity and quality.

Early recovery objective: Community water sources are restored through community projects and the total population is served by hygiene promotion activities.

Hygiene promotion is carried out for relief and early recovery outcomes. Community knowledge and use of safe sanitation practices reduces risks. Hygiene promotion is done by community members and paves the way for recovery of community-managed water supply.

Relief objective: Adequate information on the response operation and how to reduce risks is provided to the community.

Early recovery objective: Risk reduction measures are incorporated in disaster response programmes.

Mobilizing human, financial and logistical resources

Human resource planning considerations

Timely deployment and recruitment of necessary human resources is essential to reducing delays in implementing recovery programmes. This is especially true of early recovery activities that need to be implemented alongside the relief response. Those having a management role should be able to bring together the sectoral components of the recovery programme under one overarching programme and, whenever possible, ensure that it includes all Red Cross Red Crescent Movement partners' priorities in a way that best meets the Host National Society's expectations.

Financial resource planning considerations

The mobilizing of funds to implement the programme is critical. The process of fundraising within the Red Cross Red Crescent means that it may not be clear at the outset of a recovery operation what funds may become available in due course. This makes detailed planning difficult. It is essential to produce a phased budget as accurately as possible once the programme plan is developed to ensure timely and efficient mobilization and use of financial resources. Table 8 details some of the negative and positive aspects of phasing programming in relation to available resources. These need to be considered during the planning phase.

Table 8. Programming options when funding is uncertain

Ways to phase programmes	Positives	Negatives	Conclusion
Geographical: Gradually expand your geographical area of operation as funds become available.	reduces the likelihood of over committing in one area and not being able to meet expectations of the affected community and other key stakeholders	may mean significant delays for affected communities that need assistance as soon as possible – National Societies and stakeholders may make this difficult to apply	usually the safest option as it does not compromise on quality or on the integrated nature of an early recovery programme

Sectoral: Reduce the numbers of sectors that will be covered in any one community so that funds can be channelled.	allows the most affected sector to be prioritized	fails to address the full picture for the affected community and is only really successful where other agencies can fill the gap	a last resort unless other agencies are there already or willing to complement IFRC activities
Quantity versus quality: Spread resources more widely to reach more people, but implement fewer activities in a programme area.	more of the affected population is reached, with a smaller package of assistance	programme objectives may not be achievable as the package of assistance is limited	needs a reconsideration of programme objectives to limit the expectation of what can be achieved

In some cases, the amount of available funding may be very large, which has its own challenges, including:

- stakeholder expectations of rapid results on a significant scale
- the temptation to plan recovery programmes that are too ambitious or too complex
- the risk of being vague and leaving too wide a schedule for implementation because resources are available.

In cases of both limited funding and extensive funding, the programme will be more easily implemented if an accurate, phased budget is produced early on. This provides a solid starting point for knowing what funds are needed and when they will be required. Phasing the budget (setting out the expected expenditure pattern for each quarter) is a useful tool for monitoring the progress of the programme. This includes:

- identifying what activities will take place
- identifying who will be involved in those activities and for how long
- identifying when and where those activities will take place
- identifying what the unit cost of each activity is
- deciding from where supplies will be sourced
- deciding on the most appropriate and scalable cash transfer delivery mechanisms
- checking on market prices of key commodities

- developing a detailed work plan identifying the sequence of activities and associated funding requirements
- considering all costs, including hidden administrative costs
- amending the work plan as programme implementation begins.

The monitoring[5] and evaluation plan

In recovery programming, monitoring and evaluation has a valuable role in ensuring the programme is being carried out in accordance with the Fundamental Principles and the recovery ways of working discussed in earlier parts of this guidance.

Definitions

Monitoring is the routine collection and analysis of information in order to track progress against set plans and check compliance to established standards. It helps identify trends and patterns, adapt strategies, and make decisions to keep the project on track and ensure effectiveness.

Source: IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

Evaluation is an assessment that identifies, reflects upon, and judges the worth of what has been done. "The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability, An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learnt into the decision-making process of both the recipients and donors" (OECD/DAC 2002).

Source: IFRC Project/programming Monitoring and Evaluation (M&E) Guide (2011)

Example: The Sri Lanka Red Cross Society and British Red Cross undertook a participative baseline assessment in communities affected by the 2004 tsunami. The assessment was based on wealth groups, which were identified within the community and characterized by the owning of assets. This took place at the start of the recovery programme. These wealth groups were reassessed at the end of the programme to see whether the composition of the groups had changed. Members of the poorest group had moved up into higher wealth groups seemingly as a result of the programme and other influences. While it is difficult to attribute all of the change to the Sri Lanka Red Cross Society and British Red Cross programme, it was felt that the programme had made an impact.

5 *This sections uses material from IFRC Monitoring and Evaluation (M&E) guide, IFRC Monitoring and Evaluation in a nutshell, and British Red Cross Recovery Resource*

Selecting the indicators

The IFRC Project/programming planning guide provides step-by-step information on how to develop indicators for objectives and how to turn these into targets. This should happen as part of setting objectives and developing the logical framework. All data gathered for monitoring and evaluation purposes should be disaggregated by sex and age.

Definitions

Indicator is a unit of measure that helps determine progress made towards the achievement of an intended result (objective). For example, the number of people provided with transitional shelter is an indicator. Indicators can be formulated for goals, outcomes, outputs and activities.
Source: IFRC Project/programme Monitoring and Evaluation (M&E) Guide (2011)

Target, in indicator tracking, is the intended measure (quantity) set to achieve an indicator.
Source: IFRC Project/programme Monitoring and Evaluation (M&E) Guide (2011)

Tips on selecting indicators	Do	Do not
Participative methods	Do develop and monitor indicators with the affected community since they are the main judges of whether the programme successfully helps them towards recovery.	Do not be limited by quantitative indicators if the community expresses the need to also include qualitative indicators.
Exit and transition indicators	Do identify indicators for programme closure early on.	Do not be worried about changing the indicators if the context changes.

Examples of standard indicators that demonstrate progress on recovery:

- People have stopped selling remaining assets.
- The rate of migration for work has slowed or people are returning for agricultural or employment purposes.
- People consume a more diverse range of foods.
- People report having more disposable income and are spending their income on a wider range of things.

Analysis of monitoring information

Analysing progress relies on monitoring information to look at what has been done and see how this fits with the Plan of Action activity work plan and phased budget. It is an essential component of monitoring and can be carried out formally using monthly review meetings (often combined with a budget review meeting) to analyse the data gathered, or can be more informal as data collection follows its natural course.

Questions to ask when considering analysis of monitoring data:

- Are there any emerging trends or clusters in the data? If so why?
- Are there any similarities in trends from different sets of data? If so why?
- Is the information showing us what we expected to see (the log frames intended results)? If not, why not? Is there anything surprising and if so, why?
- In monitoring progress against plans, is there any variance to objective targets? If so, why? Can this be rectified or do plans need to be updated?
- Are any changes in assumptions or risks being monitored and identified? If so why? Does the project need to adapt to these?
- Is there any additional information or analysis required to help clarify the issues?

Evaluation

Recovery programming lends itself to many types of evaluation as it provides an important opportunity to assess whether the recovery approach has been utilized and whether or not it is effective. There are different types of evaluations including:

- real-time evaluation (during the operation when decisions are being made)
- mid-term review
- end of operation retrospective evaluation
- evaluation of longer-term impact several months or years after the operation.

4.4 Step 3: Implementation

Step 3 Content:

- elaborating on an activity work plan
- transition, exit and sustainability
- National Society OD strengthening
- accountability including beneficiary communications.

Outputs:

→ **Programme planning tools**
- baseline and monitoring, evaluation and reporting outputs
- activity work plan detailing monthly outputs
- National Society organizational development plan
- mid-term review to make any programme adaptations.

This section covers the day-to-day considerations of implementing a recovery programme. It is likely that some information still needs to be gathered or updated at the time of implementation. Be prepared to adapt the activity work plan and other schedules as disaster response situations are also dynamic and new information emerges or the situation changes. Factor this into the monitoring plan. This may require further training and support for the volunteers and staff undertaking the work. It may also mean that changes to the design of the programme may be necessary if serious errors have been made.

- Have regular reviews of the work plan (daily and weekly to start with) to monitor progress.
- Make amendments if required.
- Involve the affected community in checking progress.
- Involve technical and management leads from the National Society and IFRC to assess the progress of the programme.

Elaborating on an activity work plan

The activity work plan sets out all the major activities that need to take place to deliver the programme over its lifespan. Many of these are repeat activities that need to be maintained throughout the life of the programme. These can be set out in a daily or weekly Gantt chart to ensure that they are correctly sequenced and to ensure that nothing important is missed. For example, it is crucial for the procurement process to get underway as soon as possible, particularly if technical approval is required in the Zone offices according to IFRC procedures, or if it is an international procurement, which may mean it will take longer for the goods to arrive.

The best way to ensure a solid plan for day-to-day implementation is to bring programme services staff – logistics, finance and human resource representatives – together regularly (weekly) with technical leads within the National Society and IFRC to plan and review the ongoing programme.

Transition, exit and sustainability

This section examines the issues that arise when starting to end a programme. The planning and design stage involves identifying an appropriate exit strategy, but it is during the implementation stage that more precise planning on how to phase out or expand is developed.

Exit usually occurs when the programme has concluded its activities. It may occur prematurely for security reasons or in exceptional situations because of problems with programme implementation. Transition involves agreeing to hand over to another entity. In all cases the community needs to be kept informed.

Definition

Transition and exit is used to refer to the closure of a programme, part of a programme, or organizational structure, as a result of the scaling-down of the recovery programme. There are a number of ways of doing this. The three main ones are:

1. *retaining a presence in the community (phasing down)*
2. *passing the relationships and work within the community to another partner either within or outside the Red Cross Red Crescent Movement (phasing over)*
3. *exiting without sustaining a presence in the community (phasing out).*

There is a range of possible options for exit and transition depending on the context and what kind of ongoing support is required. In some instances, transitioning to a National Society branch will be the best option, particularly in core programme areas such as community-based health, water, sanitation and hygiene promotion and disaster management for response and preparedness. The table below provides a list of aspects of recovery programming that may need special consideration when deciding who has the capacity to take over an existing recovery programme.

Table 9. Key considerations in exit and transition planning

National Society organizational development (OD) plan	This relates to changes that may need to take place as the programme closes, but it may also relate to changes that have come about as a result of the early recovery programme that the National Society would like to maintain. Preparing for this will require the capacity to visualize what the future structure should consist of, how it can be managed and maintained, how these changes will be communicated through the organization and its membership and how resources will be mobilized to support it. *At the beginning of the early recovery operation, some strategic analysis will be required to identify the direction of organizational growth for the National Society. This will need to be followed up with detailed planning regarding the capacity building required to achieve that growth and the activities necessary to maintain it. It is important that this is based on realistic assessments of what resources are likely to be available in the longer-term.*
Human resource implications of transition and exit	This relates to the reduction of staff and volunteers that may need to take place at the end of the programme and how this is managed to make it as positive a process as possible. It may also refer to the management and maintenance of increased volunteer capacity within the National Society arising from the scaling-up. *Human resource planning will need to ensure capacity building of staff and volunteers throughout the life of the programme. It will also need to ensure towards the end of phase out/down/over that contract liabilities have been met and that staff and volunteers have been valued and supported and are encouraged to look for future work or volunteering opportunities. As many as possible should be retained as members and supporters of the National Society even if they cannot always be active within it.*

Financial implications of transition and exit	This largely involves assessing financial liabilities, whether or not any special action needs to be taken and what contractual obligations may remain as a result of commitments entered into during the early recovery programme.
Administrative and logistical implications of transition and exit	This concerns the closure of: temporary leases (warehousing, offices, and housing), transport contracts, the disposal of assets in accordance with donor requirements and National Society and IFRC procedures, the recording and archiving of documentation and the safe storage of databases. *At an early stage, key knowledge management opportunities and simple procedures to implement knowledge management should be clarified. This could ensure a standardized, shared electronic filing system is established and good knowledge management practices implemented from the start. This will save considerable time at a later stage of the programme when archiving material.*
Communications and reporting implications of transition and exit	This concerns communications with all stakeholders on the closure and meeting obligations for reporting as required. *This may require the drafting of a question and answer sheet, as well as setting out the documentation that shows programme achievements. The gathering of case studies may be particularly important to do during programme phase out/down/over.*
Learning	This refers to a collection of activities at the end of programme closure to record lessons learnt. These will be incorporated into the monitoring and evaluation system but are included here to highlight the importance of allowing time and resources for it and including it in the phase out/down/over plan.

When considering these, take into account to what extent the National Society and IFRC have needed to scale up in size and structure for the recovery response. If there has been a considerable expansion of current branches, headquarters or additional structures at provincial or district level, factor in the time that it will require to reduce these to their pre-disaster form, or what will be required to maintain an increased structure in terms of National Society organizational development. See Annex 5 for

more details on sector-specific exit and transition. In all cases exit and transition that ensures the maximum sustainability of a programme's outcomes involves:

- communicating your exit plans and strategy in a timely manner
- being aware of the terminology you use when discussing exit plans
- preparing the community for exit
- preparing the National Society for exit
- allocating time and financial resources for exit activities
- allocating time for the handing over of programmes to other organizations
- developing a phase-out plan early on and adapting it throughout the course of the recovery programme
- starting programme closure at least three months before the programme end date
- finalizing the final closure of offices, contract liabilities etc within the last month of the programme end date
- paying particular attention to learning in the last six months of the programme
- arranging for an evaluation after closure.

The sustainability of a programme's outcomes will depend on how relevant they were to the context and affected community's priorities. In recovery programming, the aim is to support people's recovery through their active participation. There will be a need to discuss with communities whether or not their preferred recovery strategies contribute to strengthening their future resilience. In some cases, issues such as environmental degradation may not be considered as immediate concerns for people recovering after a disaster. Recovery programming should aim to include sustainable solutions that continue to have an impact after the programme has finished, including improved practices or knowledge about issues that may affect future vulnerability. This needs to be discussed with the community.

Summary conclusions:

- ✓ The recovery programming approach lends itself to application at all stages of the programme cycle. The detailed assessment and analysis will provide the basis for programme design.
- ✓ Key milestones are first developing or updating the existing operational strategy that documents strategic thinking, and then a Plan of Action that describes how programme objectives will be achieved.
- ✓ The Plan of Action is a standard IFRC wide tool that describes what will be done and how, including all the necessary support services. Risk management needs to be factored into this. National Societies can incorporate the thinking behind the Plan of Action into their own planning formats.
- ✓ Including an activity work plan which lays out a realistic timeline for programme activities is a useful way of ensuring that community dynamics are factored in and that the time plan is kept realistic.
- ✓ Including a monitoring and evaluation plan that uses appropriate quantitative and quantitative indicators to monitor is a useful way of monitoring progress within the operational context.
- ✓ The assessment checklist in Annex 3 can first be used to collect information during the detailed assessment, and can then be used as a baseline for the programme.
- ✓ Community participation is central to the implementation stage of a recovery programme.
- ✓ Accountability to beneficiaries starts to become context specific during the implementation phase as more disaster-affected communities come in touch with the programme.

IFRC

Annexes

IFRC Recovery programming guidance annexes

Annex 1. Essential actions and outcomes to implement the recovery programming approach

Strategic consideration	Action	Outcome
1. Building Red Cross Red Crescent Movement Fundamental Principles into the programme	Do a Principles check with the team to remind one another how the Fundamental Principles and ways of working may be relevant to planning. Consider how these might need to be applied in the current setting. Consider the Principles in your targeting approaches and the way you involve the affected community, the National society staff and volunteers in the programme.	provides a clear idea what issues are particularly challenging in the context of the operation. ensures programming response options are in line with basic principles
2. Building systematic analysis into the programme	Develop a simple analytical framework to guide operational planning. This will be determined by a review of secondary data, pre-disaster community-based risk reduction analysis and post-disaster relief assessments to provide an initial understanding of the disaster context and likely capacities and vulnerabilities of the affected population.	This strategic analysis should result in decisions on which programme areas to select – geographically and sectorally – and what range of response options might be appropriate based on capacities and scale of need. This analysis is documented in the recovery framework/operational strategy and will need further development through the detailed assessment and planning stages.
3. Building the strengthening of resilience into the programme	Identify the key factors that strengthen or weaken the resilience of disaster-affected communities and ensure that your recovery response further strengthens resilience rather than undermines it.	provides a clear overview of any interventions that may undermine resilience and ensures programming avoids them.

Strategic consideration	Action	Outcome
4. Building sector integration into the programme	Bring key stakeholders together to agree on the overall objectives of the operation and how to put the Fundamental Principles and ways of working into practice.	Integrated planning is a continuous process that requires coordination and commitment. It results in achieving greater outcomes for the affected community through considering the full range of their needs and how these may be linked one to another.
5. Building an analysis of cross-cutting issues into the programme	Build an understanding of the ways gender, diversity, HIV and AIDS, conflict, protection and environmental issues may be important within this disaster context. Ensure all groups from within the population are represented and triangulate findings with others to rule out bias.	These reflections should lead to a firm understanding of the ways gender, diversity, HIV and AIDS, conflict and environmental considerations are relevant in this disaster context. This analysis should be included in the operational strategy and plan of action. All sector reports should incorporate an analysis of this by sector that steers programme development and implementation plans.
6. Building innovative approaches to disaster management into the programme	Consider the specific advantages and disadvantages of newer response options when you are setting objectives. Use cash transfer options when these will help meet programme objectives efficiently and are preferred by the affected community and National Society.	ensures increased choice and better use of resources when appropriate

Strategic consideration	Action	Outcome
7. Building stronger coordination into the programme	Assess the various coordination structures internally and externally and decide which ones require Red Cross and Red Crescent representation. This will involve relief coordination structures, but for early recovery will require additional contacts. The Red Cross Red Crescent Movement Platform will make decisions on representation based on the National Society's auxiliary role and the operating strategy, plan of action and internal capacity for coordination.	An analysis of the coordination structure internally (within IFRC) and externally (within the humanitarian sector and with the government) will ensure a better use of resources, reduction of duplication and overlap and identification of opportunities for complementary programme activities where appropriate.
8. Building sufficient resources into the programme 9. Building National Society organizational development into the programme	Consider the organizational development needs required to implement the operation. Plan for the expansion and contraction of resources in a way that contributes to the long-term strategy and plans of the National Society.	This analysis should lead to a consensus amongst stakeholders on the organizational development issues arising from the recovery operation and plan how to address these during the operation's implementation. If appropriately executed this should lead to reduced negative impacts of an expanded programme on the Host National Society and ensure the gains in organizational development arising from the operation can be sustained in the long term.

Annex 2. Recovery planning checklists

Check: Assessment and analysis

- ✓ There is an understanding of the scope of the disaster and impact on the local community, its social structures, services, and population. This should include as much detail as possible in order to start to build a baseline.
- ✓ The vulnerability context before and after the disaster is assessed – who was more vulnerable before and how has the disaster affected them?
- ✓ Capacities analysis of the affected community and of the National Society, IFRC and other Movement partners is completed.
- ✓ Stakeholder interests and community dynamics that may be affected by targeting or receiving assistance are identified.
- ✓ Assistance to date (both Movement assistance and assistance from other agencies) is having an impact, and existing opportunities to strengthen relief with early recovery activities have been identified. Whether or not basic needs remain unmet and what other unmet needs remain have been identified.
- ✓ Recovery activities by sector are identified.
- ✓ Cross-cutting issues are identified and considered for inclusion.

Check: Community structures assessment

- ✓ Representation – How have representatives come to be part of the structure, how were they selected and by whom? Can they be removed and in what way do they report back to the community?
- ✓ Experience – What has the structure done before? Is it capable of being involved in the programme now? Do members have time to invest in this?
- ✓ Capacity – How has it managed finances in the past, what systems and procedures does it have to do this?
- ✓ Decision-making – How does it make decisions and on behalf of whom?
- ✓ Problem management – How are issues resolved?

Check: Gender

- ✓ Collect data on the age, gender and diversity of the affected population during the early recovery community-based assessment.
- ✓ Conduct separate interviews with a cross-section of affected men and women and compare the two sets of results when planning early recovery assistance
- ✓ Ensure that assessment and response teams are gender and diversity balanced. Recognize that in some cultures women can only talk to women.
- ✓ Make certain that procedures for registration and distribution do not accidentally exclude women or vulnerable and marginalized groups or individuals, for example households headed by women, the disabled or transgender populations. Do not register beneficiaries solely based on male heads of household.
- ✓ Consult regularly with and seek feedback from both men and women to ensure the programme meets needs and is socially and culturally appropriate.
- ✓ Ensure that relief information and assistance meets both men's and women's reproductive health needs, including protection against HIV and AIDS and other sexually transmitted diseases.
- ✓ Include counselling on domestic violence and alcohol abuse prevention when providing psychosocial support. Ensure this support is sensitive to the needs of some men for help coping with changes in their gender roles, i.e. caring for young children after the loss of a spouse.
- ✓ Design emergency and transitional shelters and support services (toilets, water supply, lighting) that are responsive to the sociocultural norms identified by both affected men and women, and keep in mind privacy and safety considerations.
- ✓ Identify the possible need to protect vulnerable men and women, including those from ethnic minorities or who are older or disabled. Rigorously monitor, report on and advocate for the safety of these groups.

Check: Objective setting

- ✓ Objectives are relevant to people's needs and reflect their priorities.
- ✓ Objectives are in line with National Society and IFRC disaster management priorities.
- ✓ Objectives are based on an analysis of the assessment data.
- ✓ Objectives are based on response options set out in technical guides .
- ✓ Objectives have involved the affected community in setting them.
- ✓ Objectives have involved other relevant stakeholders in setting them.
- ✓ The design of objectives has considered the individual (vulnerability level), household (means of living requirements), community (service provision, the environment and natural resources) and area needs (re-establishing infrastructure).
- ✓ Objectives are specific, measurable and achievable.

Check: Incorporating risk reduction into objective setting

- ✓ Has the problem analysis on which the objectives are based identified hazards the affected community faces?
- ✓ Has it identified who is most likely to be at risk?
- ✓ Have sector response options incorporated this analysis? For example, have options considered how access to services has changed or could change as a result of a disaster in the future or how people's access to their assets has been altered by the disaster and could be altered further by future disasters?
- ✓ Are suggested measures to reduce risk realistic in the timeframe of the early recovery operation?
- ✓ If not, is this something that it has been agreed will carry over into the long-term disaster preparedness work of the National Society or is there another partner who can pick it up in the future?

Check: Incorporating cross-cutting issues into objective setting

- ✓ Have chosen activities provided a way for the target population to participate in them?
- ✓ Has the community agreed to the targeting process and is there a complaints mechanism for the community to raise their concerns if they disagree?
- ✓ Do planned activities involve the use of natural resources and what assessment of harm has been done in the use of these natural resources for an early recovery programme?
- ✓ How have the special needs of different groups within the population been considered?
- ✓ What decisions have been made on how to work with groups that may be in conflict with one another? Has an assessment of different needs been taken into account and do decisions on targeting balance this with the importance of not making community relations worse?

Check: Targeting

- ✓ A decision is made on the extent to which targeting is based on the needs of the affected population, and on the nature of early recovery to be provided.
- ✓ Decisions on targeting involve the community and all groups represented within the community.
- ✓ Target lists are cross-checked with others (Movement partners, local authorities, NGOs and UN agencies) to avoid duplication.
- ✓ Recipients are verified as soon as possible to avoid the lists becoming out-of-date, particularly in an evolving emergency where numbers of people affected may be growing.
- ✓ A level of accuracy for the list is agreed upon recognizing that no targeting mechanism is perfect. If more than a certain percentage of a random sample of a list is inaccurate, the list will be revised.
- ✓ Possible exclusion errors are checked – a check is carried out with the community through a feedback mechanism to determine whether or not anyone has been excluded who is in need.

Check: Accountability

- ✓ Does information that is shared with the affected community include information about their entitlements and how to make a complaint?
- ✓ Does information that is shared with the affected community include summaries of the financial elements of the programme?
- ✓ Is information provided in a language and form that all members of the community can understand and use?
- ✓ Are representatives from the affected community involved in decision-making for the programme?
- ✓ Has the affected community used the complaints mechanism?
- ✓ Has the affected community received feedback on changes made to the programme as a result of their complaints?

Check: Monitoring and evaluation

- ✓ Develop a monitoring and evaluation plan based on the intended results (objectives) of the recovery programme.
- ✓ Focus on just a few output and outcome indicators in the plan.
- ✓ Involve the affected community in developing the indicators and where appropriate in gathering data on programme progress.
- ✓ Develop data collection and management processes that are as simple as possible to ensure they are used.
- ✓ Ensure roles and responsibilities in the monitoring and evaluation plan are clear.
- ✓ Provide training for data collection to volunteers, staff and community members if needed.
- ✓ Ensure there is time to analyse monitoring progress reports regularly.
- ✓ Share results with beneficiaries and other stakeholders, avoiding reporting upwards only.
- ✓ When planning for an evaluation consideration should be given to: what the exact purpose of the evaluation is, who should be involved in its implementation and its cost, which stakeholders should be interviewed, what information is required for different readers and what is the best time in the project to undertake an evaluation.

- ✓ Conduct a baseline evaluation at the beginning of the project/programme and a final evaluation at the end so that results can be systematically recorded.
- ✓ Ensure there is a budget for monitoring and evaluation including costs for staff, assessments, baseline reviews, monitoring systems and evaluation.
- ✓ Results of monitoring, reviews and evaluations should be incorporated into the next phase of the programme and communicated to stakeholders.

Check: Mobilizing human resources

- ✓ Decide personnel requirements quickly, including numbers of positions and profiles of post holders. It may be necessary to indicate these before having completed the detailed plan. They may need to be adjusted later but are important at the outset of deciding if an early recovery programme is relevant. Consider FERST or other surge capacities for any short term, immediate capacity gaps.
- ✓ Develop terms of reference and clear reporting lines for each position. Adapt existing formats from the National Society and IFRC.
- ✓ Develop an organigram that makes clear how these lines report to one another.
- ✓ Implement a rapid and transparent selection process that ensures the right person for the position is selected.

Check: Ensuring internationally established criteria for monitoring and evaluation are considered

- ✓ Effectiveness: is the programme achieving its objectives?
- ✓ Appropriate and relevant to beneficiary needs: is the programme designed based on the needs of the specific population to be assisted and has it considered issues of gender, culture, etc?
- ✓ Coverage: does the programme ensure appropriate needs-based assistance to the most vulnerable and is the scale of the operation commensurate with the needs?

- ✓ Coherence: is the programme coherent with the wider humanitarian response and consistent with policies, including donor requirements governing that response?
- ✓ Connected: does the programme make a link from early recovery to longer-term recovery providing for sustainability in this process?
- ✓ Impact: has the early recovery programme brought about a significant change in affected people's lives?
- ✓ Cost efficient: have resources been used as efficiently as possible?
- ✓ Accountable: has the programme ensured accountability to donors and beneficiaries?
- ✓ Learning: are lessons being drawn from the programme that can be applied elsewhere?

Annex 3. Detailed or recovery assessment process checklist

This assessment checklist is intended to support the development of the content and process of a recovery assessment. It should be used in conjunction with other technical and assessment guides listed below which offer more specific sector questions and advice on methods to gather data. This checklist requires exercising judgement to see what aspects highlighted below are most relevant in any particular context.

The purpose of any recovery assessment is to:

- augment the relief response as quickly as possible
- identify and start to develop the baseline from which to help people recover
- agree on priority objectives and key activities for the Plan of Action as quickly as possible
- identify opportunities and challenges in implementing the programme
- highlight areas for further follow-up.

Because this is a recovery assessment, it may be necessary to begin implementing some of the above objectives as quickly as possible, including augmenting the relief response before other areas can be finalized. However, caution should be exercised, particularly if it seems likely that more detailed targeting of assistance may be required or that assistance may be at risk of being politicized.

i. Assessment preparation

1. **Develop a one-month work plan to implement the assessment**
   Ensure all sector leads are included in the recovery assessment, understand what their role in the assessment will be and understand how sector assessments link to this recovery assessment.

2. **Agree upon the analytical framework to be used for the assessment based on secondary data and initial analysis**
   This should be as simple as possible but reflect the key differences amongst the population including ethnicity, livelihood groups, shelter context, and geography if such differences have resulted in or may

result in different levels of disaster.

3. **Select areas to be assessed based on secondary data of where needs are greatest and where there are existing gaps in assistance**
   Be aware that in a large-scale emergency, it will not be possible to assess all areas. Therefore areas will need to be sampled based on the analytical framework agreed for the assessment. At this stage visiting fewer locations over a wider area is more likely to be useful than detailed location assessment in a more limited area, even though more time will be required in these locations for a recovery assessment than for a relief assessment.

4. **Ensure sufficient security, logistics and administration is in place to implement the assessment**
   This may include building in a rapid security analysis of locations to be visited, developing additional security protocols, building in volunteer selection and training on assessment content, identifying and preparing translated assessment questions and activities and ensuring sufficient transport, accommodation, safety equipment and funds are available for the assessment teams.

   Ensure that back office staff members in the National Society and IFRC understand their crucial roles in efficiently supporting the assessment process and communicate widely with all stakeholders on the process, timing and objectives of the assessment.

5. **Prepare a simple multi-sector assessment format that can be followed in the field by non-specialists (see content section below)**
   This will be used to flag issues for further follow-up, start to define a point in time baseline, and identify whether any immediate actions can be taken to augment the relief response.

   Field-test the assessment format before rolling it out so that unforeseen problems with the timing, sequence of different activities or group discussions can be resolved before the format is used more widely.

6. **Structure assessment teams with a team leader who fully understands the purpose, process and content of the assessment and who can coach and support volunteers and staff implementing the assessment**

   Maintain field contact with assessment teams and communicate with team leaders on issues emerging in assessment implementation on a daily basis. Be prepared to adapt the assessment process accordingly.

ii. Assessment content

7. **Identify whether or not basic needs are being met**

   In communities visited, clarify what rapid assessments have already been completed and what is currently known about people's needs being met by planned relief programming.

   In communities where basic needs are not being met clarify why this is the case.

   Leave communities with a visit log book of the discussions held for their further use with Movement partners and other agencies if relevant.

   Action 1: Provide feedback to relief teams and cluster coordination mechanisms if basic needs are not being met or are unlikely to be met quickly.

   Action 2: Identify whether or not early recovery activities can address basic needs better and more quickly. For example, would a cash transfer programme temporarily reduce a food gap? (If this looks likely, some further rapid assessment will be required of the market and of the appropriate cash transfer mechanism to be used).

8. **Augmenting relief assistance**

   What opportunities exist to strengthen life-saving activities in each of the above basic needs areas?

This will require an understanding of how things functioned before the disaster, how they have now been disrupted and how complex it will be to restore them. Although all of these issues appear complicated, they can be addressed with some basic questions:

Food – What is known about the livelihood groups represented in the community, the agricultural season, trade and labour markets? Are cash or goods-in-kind an option to restore these now or prepare for their restoration in the future?

Water and sanitation – What do people normally do for this, and how long would it take to restore their normal practices? Are there seasonal limitations that require urgent action to address this, such as the distribution of rain harvesting materials or cleaning of ponds?

Shelter – How do people normally construct housing, and what additional support at this stage of relief assistance could assist with this. Are people used to constructing their own homes and could this be strengthened now with the provision of materials, cash and technical advice to move to transitional shelter options more quickly? What are the implications of this for the environment and are there any solutions to address this in the short-term through market assistance with traders?

Health care – How do communities normally manage public health problems? What resources and reserves, such as traditional birth attendants did they have prior to the disaster? What level of community mobilization will be required to restore or introduce these and other pre-disaster resources?

Psychosocial support – How have people supported one another since the disaster, and what can be done to strengthen these initiatives within the community?

Note: if it looks as though targeting may be necessary, as though tensions may be exacerbated by programme interventions, or as though local capacities will be negatively impacted by such interventions, it is better

to wait for a better understanding of the context than to provide assistance that may negatively affect further programme interventions. This is not always easy to identify, but gathering information from several sources of local knowledge will help.

Action 1: Identify possible urgent interventions with the operations (or sectoral) teams, (including Host National Society and IFRC, to develop programme interventions that will not have a negative impact on community relations or particular groups' vulnerabilities.

Action 2: Continue with the recovery assessment in tandem with Action 1.

9. Developing a baseline

Gather more detailed data on:

- the status and condition of community infrastructure at the location level, reviewing health, education, water and sanitation facilities before and after the disaster, including profile, quantity, quality, access and attitudes
- community governance and social structures, reviewing which groups exist in the community for what purpose and how representative are they of all groups and diversities within the community
- changes in household livelihoods capacities and in shelter provision.

Developing a baseline will involve providing more factual detail on what exists already, how it has been affected by the disaster and what resources people have to recover, restore and rebuild. IFRC technical guidance referred to already will steer the content of this part of the assessment. Enough data should be gathered to record changes through time, including information about numbers of water sources prior to the disaster and how many have been damaged since the disaster. This information is more useful for planning and monitoring than highlighting that the community has identified water shortages as an issue.

The recovery assessment will be complemented by previously gathered rapid assessment information of the impact of the disaster on area

infrastructure, including roads, markets, public facilities and buildings. Further information may be required, such as an Emergency Market Mapping Analysis (EMMA), which may be completed by several agencies together if there is insufficient capacity within the Movement to do this on its own. This may be an area for follow-up after the recovery assessment, or it may be required more quickly, particularly if there is an opportunity to intervene in market availability or access to kick-start early recovery and recovery activities.

10. Agreeing on priority objectives and activities for the Plan of Action

This will require reaching consensus rapidly within the affected community, within the host National Society and within IFRC on what the priority objectives should be. It will involve being clear what concrete assistance is needed and in what order, while also tempering this with an understanding of who needs it most and why.

This will involve incorporating a rapid vulnerability analysis into the recovery assessment along with gathering baseline information on disaster impact to understand who was vulnerable before the assessment and who is vulnerable now. This is potentially contentious if this is a community with wide power disparities that are not recognized. It may also be difficult to do if this is a community where everyone is poor and badly affected by the disaster. Having a discussion with a cross section of the community to triangulate assessment findings will provide the best basis for how to proceed with priorities and with targeting.

It is important not to make assumptions about vulnerability and not to ignore invisible vulnerabilities. If, for example, women are considered vulnerable, then some analysis as to why they are vulnerable in this particular situation is important. Similarly if people are living with HIV and AIDS, this may not be apparent, but they may be particularly vulnerable or need differently tailored assistance.

This stage of the recovery assessment will take time and requires more than one consultation meeting with the community. Time should be built into the assessment work plan to ensure genuine involvement of the affected community and of different groups within the affected

community in the gathering of data, reporting the findings and agreeing on priorities and vulnerabilities. The result of discussions should be a reasonable consensus on decisions about priorities.

11. Identifying opportunities and challenges to programme implementation

This forms part of the above activities of baseline information gathering and identifying priorities, but is singled out as a specific area to consider because of the potential to bring about significant positive change following a disaster. Identifying opportunities and challenges can reduce the negative impacts of programmes that may otherwise deepen conflict within the community, reduce resilience for the future, and achieve short-term gains at the expense of longer-term-change.

Using tools like the Better Programme Initiative (BPI), introducing simple environmental impact assessment or discussing with the community their knowledge of risk reduction are all important elements to feed into programme design. It is unlikely that there will be time to consider each of these in as much depth as desirable, but some questions should be asked that might highlight the need for further analysis to be implemented following the recovery assessment. It is important to understand what conflict or conflicts exist within the community. This is likely to be a sensitive question to ask, and will need to be incorporated into participatory activities that highlight the relationships of groups to one another, rather than asked directly. Good local knowledge of how people discuss these issues will be key in the success of exploring such topics. This can be obtained ideally during the planning phase before finalizing the assessment format.

12. Identifying areas for further follow up

A number of areas have been highlighted as possibly requiring further follow up. The key in a recovery assessment is to gain enough understanding of the context, unmet needs, vulnerabilities and capacities, conflicts and sensitivities, to know how to design a programme that augments relief activities and starts to move towards recovery. However, the complexity of the context, the pre-disaster capacities and vulnerabilities of the affected community and the capacity of Movement partners will be significant in how deeply the above can be detailed at the recovery

assessment stage or how much additional information will be required later.

Ideally, sufficient information can be gathered to begin without having a negative effect on the community, National Society or longer-term potential benefits. However, it is better to take more time if there is doubt. Too much information can be unhelpful and delay urgently needed assistance, missing planting seasons, and other immediate opportunities that will have a significant positive impact on the affected community. In the end, a judgement call is required on when to continue to gather information and when to take action.

iii. Documentation and learning

13. Documenting the assessment

The assessment data should be analysed and documented as quickly as possible after completion. The Recovery Coordinator or the person in the equivalent role will have the primary responsibility for this. A Plan of Action will also be developed using this material, and is likely to be led by the operations team as the assessment being documented.

It is important that the assessment is documented as a stand-alone document, allowing for transparency in how assessment data led to decision making. It is also useful to share the assessment with other agencies that may not have the same capacity to implement an assessment but would like to contribute in some way with assistance. Finally, it is a useful document to share with donors, particularly the institutional donors who may require evidence that a detailed assessment has been completed.

14. Learning from the assessment

Following completion of the assessment and its documentation, a debriefing meeting with all internal stakeholders is a good way to reflect on strengths in the assessment process and aspects that could be improved upon for the future. Documenting this as a case study is an excellent way to share learning more widely within the Movement.

Annex 4. Examples of how response sectors can be integrated and combined

Household need	Activities/sectors contributing to meet identified need
Health	Promotional activities on communicable diseases links water and sanitation and health together. Food security and livelihoods activities can impact nutrition while access to food to promote nutrition may be enhanced through the provision of cash and kitchen gardening support. Community committees may overlap for water and sanitation, health and livelihoods. Shelter activities including infrastructure and settlement provide a healthy environment. Safety and security are necessary for health to be protected.
Shelter	Inclusion of water and sanitation planning in shelter planning is important. Promotional activities on risk reduction overlap with promotional activities for health. Safety and security are necessary for shelter to be established and protected.
Livelihoods	Cash for work provides a bridge to longer-term recovery and can restore or improve livelihood and/or community assets such as meeting halls, schools, irrigation systems, or water and sanitation structures. Training in production techniques or business management can help to improve future livelihoods opportunities. Health and nutrition are important for productivity. Shelter can provide a location to engage in livelihoods.
Education	Health is required to access education, while educational centres can offer opportunities to promote awareness of communicable diseases. Transitional shelter activities will provide facilities where education can takeplace. Livelihoods may be linked to training over the longer term. Risk reduction awareness can be raised through school-based activities. Safety and security is necessary for education and training to be carried out.
Psychosocial	This is linked to all activities as progress in the above may have an impact on psychosocial state. Ability to take up sector opportunities may be inhibited by poor psychosocial state.
Resilience	This is linked to all activities through analysis of risks and possible mitigations or adaptation. It is necessary to be realistic about the extent to which adaptation is possible following a disaster.

Source: Adapted from Pakistan Recovery Framework (November 2010)

Annex 5. Examples of how to plan and prepare for transition and closure by sector

Sector	Exit and Transition
Water, sanitation and hygiene promotion	If a water supply has been restored, ensure that the structures to maintain it are in place. Use community-based representatives to do this. Consider a cost recovery scheme, if appropriate. If the National Society is expected to follow this up, ensure that this is handed over to the community as soon as possible.
Shelter	Community-based shelter facilities will require maintenance and management following construction, and should be accompanied by safe shelter awareness activities. Identify which group/institution in the community is best placed to take on this responsibility, for example a school, health centre, or community-based disaster risk reduction programme. Address and incorporate existing wider community contingency and preparedness plans. Identify these existing plans early on through the recovery committee and identify how they are funded and who else is involved (local authorities, housing cooperatives, universities, private sector etc). Consider the relationships between different members of the community and any issues of tension or possible exclusion from use of the facilities that may arise.
Livelihoods	Remember that strengthening the community's livelihoods requires much more investment than merely recovering existing livelihood assets or re-starting previous activities. Consider additional training and follow up. Consider handing the programme over to another organization to continue this work. Be cautious in encouraging people to move into completely different livelihood activities in the life of a short-term programme unless there is a reliable source of ongoing support afterwards. New areas of activity are likely to require a significant amount of time to become established and successful.
Support to community structures	Continue support to community structures during the life of the programme, even after the structures have achieved the purpose for which they were created. Consider the National Society's long-term priorities. If the National Society had no previous involvement in the area and does not plan to remain in the area due to resource limitations or other problems, then planning to hand over to another organization may be the best option. Otherwise, plans should anticipate the closure of the community action team's activities with the community. If the National Society intends to remain in the area for a longer period, then the hand over will require internal support from the National Society headquarters and branch volunteers.

Annex 6. Examples of how consideration of cross-cutting issues may change the way a programme is implemented

Issue	Considering cross-cutting issues in recovery programme implementation
Gender	A livestock intervention without an analysis of who is responsible for livestock in the household and community may risk missing parts of the population whose livelihoods are most vulnerable. The Ethiopian Red Cross Society, with the support of IFRC, identified that women in Damot Galle and Damot Pullassa were usually the most food insecure during drought periods having lost their livestock and through not having alternative sources of income. Although all of these women received Safety Net assistance, no programme of assistance had been provided to help them recover their livelihoods. The Ethiopian Red Cross Society provided them with sheep along with veterinary and animal husbandry support from the local agricultural and rural development bureau. This changed women from passive recipients of aid to positive actors in their own recovery.
Age	The British Red Cross implemented a cash grants programme in Indonesia following the tsunami in 2004. Initially they did not consider the issue of age in the analysis beyond assuming that older people were vulnerable. Based on this assumption, it was proposed to give older people social welfare grants rather than conditional cash grants to help re-start businesses. Helpage entered into a partnership with the British Red Cross that enabled them to bring an analysis of age into the cash distribution programme. It highlighted the fact that some older people wanted to work, and as a result 400 additional conditional cash grants were given to older people to start livelihoods activities.
Disability	Handicap International works with a range of partners in emergency situations to provide orthopaedic aids for disabled people alongside other agencies' recovery programmes. During the Indonesia tsunami response in 2004, the British Red Cross worked with Handicap International to provide disabled orphans with equipment and a disability cash grant to assist them through the early stages of recovery. The children were also given a new house and educational support under the Orphan Assistance Programme. This example demonstrates the importance of considering the full range of needs disabled people may have over and above the general needs of the non-disabled population. It also highlights the importance of working alongside more specialized agencies where necessary.

Issue	Considering cross-cutting issues in recovery programme implementation
Conflict	In South-West Nepal, inequitable distribution of assistance between host and refugee communities led to rising frustration in the host community towards the refugee community based on perceptions that the refugee community was taking jobs, firewood and water. Using the Better Programming Initiative, the Nepal Red Cross Society identified that the two groups of the population shared an interest in protecting natural resources. A programme was developed that provided training to both groups, opening up a range of job opportunities and promoting better understanding between them.
Environment	Re-building large numbers of houses using traditional materials is likely to have an impact on the markets supplying those materials as well as on local natural resource base. Following the tsunami in 2004, timber was imported from different countries within the region and beyond in an effort to protect local timber supplies and ensure that quality timber was used for housing.
Needs	What is the impact of the shock on people's livelihoods and their ability to access sufficient food and income?
	What are people likely to spend cash on?
	Is there a preference for cash or in-kind approaches?
	What are the government and related bodies providing?
	What are other agencies providing or planning to provide?
	Are other agencies covering basic needs for food?

Source: Red Cross and Red Crescent Movement Guidelines for cash transfer programming

Annex 7. Considerations for cash transfer programming in recovery

Issue	Key Questions
Markets	Can the market supply what people need at prices they can afford?
	What impact is a cash injection likely to have on the local economy?
Security and delivery options	What is the most appropriate option for delivering cash to people?
	What are the relative security risks of a cash transfer compared to in-kind distributions?
Social relations and power within the household and community	Should cash be distributed specifically to women or to men, or to both? Do men and women have different priorities?
	Do both men and women currently earn and spend income?
	Are there risks of excluding particular groups?
	Will cash distributions have an impact on existing social and political divisions within communities?
Cost-effectiveness	What are the likely costs of a cash or voucher programme, and how do these compare to in-kind alternatives?
Corruption	What are the risks of diversion of cash by local elites, compared to in-kind alternatives?
Coordination and political feasibility	How would a cash project complement other forms of assistance that are being provided or planned?
Skills and capacity	Does the agency have, or have access to, the skills and capacity to implement a cash transfer project?

Unfavourable conditions for cash transfer programming	Possible ways of addressing these
Markets are not functioning.	They will start to function eventually and it may be possible to phase in cash distributions as this happens.
Goods are not available and cannot be brought in because of conflict or government restrictions.	Evaluations have found that traders respond to demand even in remote and/or conflict-affected areas.
There is high inflation or the likelihood of it.	Planning can offset this, for example by setting the amount of transfer at a projected price.

Unfavourable conditions for cash transfer programming	Possible ways of addressing these
The required cash injection is so large relative to other trade investments that it is likely to cause inflation.	Planning can offset this, for example by setting the amount of transfer at a projected price. To date, few cash transfers have been that large. Where there is a risk of repeated transfers, inflationary impact can be tracked and contingency plans made to switch from cash to commodities.
So few traders are operating that they control and increase prices.	Providing information and warning to other traders encourages participation and helps keep prices low.
Cash could be taxed or seized by militias.	Many different methods of transferring money safely have been used in insecure or remote areas.
The risks of corruption are thought to be greater with cash than commodities.	There is little empirical evidence to support this. Corruption risks can be minimized by being transparent about the distribution package and beneficiary entitlements with the community.
Skills and capacity within the organization are insufficient for implementing a cash transfer project within the required timescale.	It may be possible to tap into the growing pool of expertise on cash programming within the Red Cross Red Crescent Movement and other organizations.
A cash programme duplicates other assistance already planned.	All assistance needs to be coordinated.

Annex 8. External coordination initiatives that strengthen recovery programming

Various activities at a global level are trying to improve the humanitarian system's response to people's needs in disaster. Many of these remain in the early stages of application. The Red Cross and Red Crescent is involved with several initiatives at the global level. Development of an operational strategy is strongly encouraged to identify how Movement involvement in these at the country level will be reflected. These include:

1. The Cluster Working Group on Early Recovery (CWGER)

Although not a sector, the Early Recovery Cluster is one of 11 clusters established under the Humanitarian Reform programme, launched by the international community in 2005 to ensure that early recovery receives the attention it needs for other clusters to incorporate it into their planning.

As IFRC is a member of the Cluster Working Group on Early Recovery (CWGER) at the global level, it is also beneficial if the recovery coordinator participates in the early recovery cluster at the country level. In addition to this, technical coordinators will already be participating with sector technical clusters such as health, water and sanitation, nutrition and agriculture.

2. Post-disaster needs assessment (PDNA)

The PDNA is an integrated and inter-agency recovery and reconstruction assessment, largely for the United Nations, the EC, the WB and their development partners supporting a government-led assessment process. It is important to know whether a post-disaster needs assessment is being undertaken in the country concerned. If so how can Red Cross and Red Crescent members contribute to this? At a minimum, information should be exchanged on emerging analysis for the Red Cross and Red Crescent recovery operational strategy and the post-disaster needs assessment recovery framework. There are likely to be formal meetings. A PDNA aims to pull together information – on damages, losses and related needs, based on the recovery priorities of the affected population – into a single consolidated assessment report as a basis for designing a comprehensive recovery and reconstruction framework which guides the design and

implementation of early and longer-term recovery programmes.

3. The shelter cluster and IFRC

IFRC is the cluster lead for the emergency shelter cluster in natural disaster. Its role is to facilitate preparedness at a global level and ensure an appropriate response to shelter needs at a national level. It is important to ensure close links with shelter cluster coordination and the emerging operational strategy so that one can reinforce the other.

The cluster system may not be activated immediately or at all and in such circumstances primary coordination will take place through the government's national emergency disaster organization and line ministries.

Example: In Haiti, IFRC, as shelter convenor, facilitated shelter cluster coordination by organizing helicopter access to remote and inaccessible areas. This ensured that needs assessments of these areas were completed more quickly and assisted smaller organizations that may not have had the resources to reach these areas.

4. The Assessment Capacities Project (ACAPs)

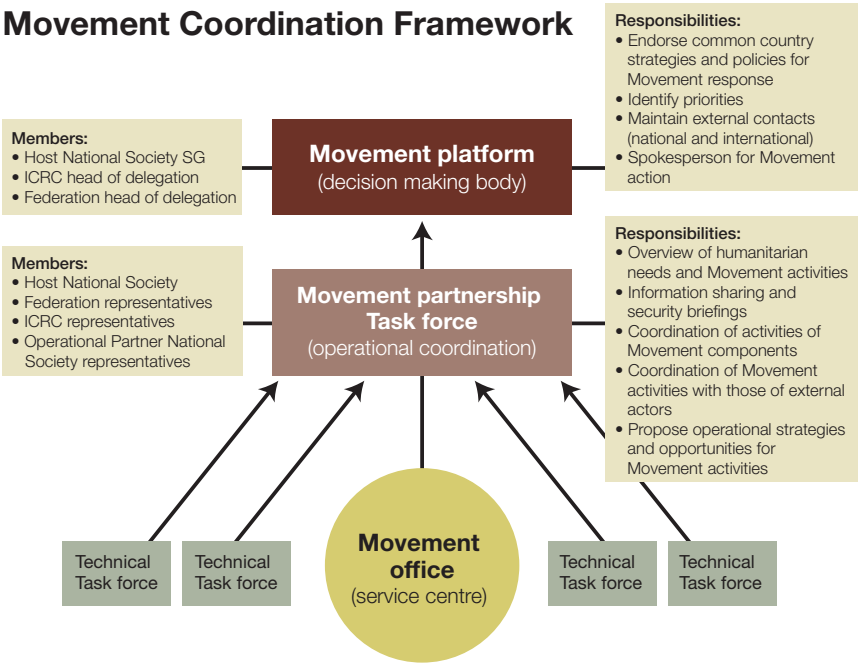
This is an interagency initiative established in 2008 to encourage better needs assessment for humanitarian response. It aims to build a baseline indication of needs across all sectors from which to plan early recovery and recovery response.

5. The Emergency Market Mapping Analysis (EMMA)

This is an interagency initiative providing guidance and tools to understand and make use of market systems in disaster response. In-country joint assessment of the market system is increasingly common.

Annex 9. A structure for Red Cross Red Crescent Movement coordination for recovery programmes

The coordination structure is the main way that an overall picture of Red Cross and Red Crescent progress and issues on the recovery programme will be identified and resolved. A suggested structure to ensure a well-coordinated Movement response in post-disaster response is presented below.



Source: Handbook for coordination: Working together for disaster response (updated March 2010)

The above may be adapted depending on the complexity and scale of the disaster. It may be necessary to establish technical and operational committees in the geographical areas in which the programme will be implemented. Additional technical committees for particular issues may be added for the duration of the operation or for a limited time period. For example, a committee to look at programme exit may be established later into the operation and find itself most active at the end of the operation.

It is important for committees to be small enough to make decisions effectively. Brief minutes should be taken of meetings so that the rationale behind decisions on the operation is clear and traceable. This is useful for review and evaluation purposes. It is also useful for new personnel as they join the operation.

The Recovery Coordinator (or equivalent) has an important role in bringing these various elements of coordination together both within the National Society and the delegation but also across the different parts of the Movement structure.

The Movement coordination structure must have ownership of strategic documents in order to provide necessary leadership to its delivery. The Movement Platform will make final decisions on the strategic objectives of the operation, geographic selection and scale of the operation based on capacity assessments. The Movement partnership task force will be responsible for managing the development of the operational strategy. Technical staff and volunteers will gather detailed data for the assessment and may be supported by an external team providing surge capacity.

Annex 10. Characteristics of a stronger National Society built through recovery programming opportunities

Characteristics of a strengthened local branch:
It is representative of its communities (governance and volunteers) with diverse ethnicity, gender, age, etc.
It is actively involved with other civil society organizations.
It advocates for the inclusion of vulnerable communities in service and discussions concerning programmes.
It is independent and has the capacity to mobilize financial resources from local donations.
It is knowing, understanding, responsive to and supportive of the community.
It is able to facilitate networks, communication and access between the community and the wider world.
It is able to nurture community leadership at all levels.
It is able to challenge discrimination, social exclusion, taboos and damaging practices.
It is able to use the Red Cross Red Crescent brand and profile for the benefit of vulnerable communities.
It receives appreciative feedback and support from the community which values and supports its branch.
It regularly maps other relevant local organizations to widen the base of support for its local work and services.
It develops needs-based programmes with a capacity building plan for itself and the local community-level branches in its area.
It develops funding and planning based on longer-term perspectives (5+ years) compatible with community development perspectives.
It feeds community needs and vulnerability trends identified by community-level branches into the National Society's strategic planning exercises.
It builds the role of other actors into programme design and implementation so that the branch expands its sustainable partnerships.
It works with other organizations and communities when carrying out evaluations of impact.

Characteristics of a strengthened local branch:
It incorporates participatory evaluation approaches into a regular review of services, leading to planning for improvements in future programmes.
It has good governance, management, and legal base.
It develops strategic leadership by reviewing a long-term strategic plan that reflects services that the communities want and need.
All parts of the organization are working in line with the strategic plan (board, staff, members, volunteers).
There is responsiveness to branch resource requests and suggestions for strengthening policies.
It has the ability to challenge taboos and organizational behaviours and promote respect for diversity, social inclusion and equity for all groups.
It has the capacity to mobilize sustainable resources.
It has the ability to use the Red Cross Red Crescent brand and profile for the benefit of vulnerable communities.
It guards and promotes the Red Cross Red Crescent Fundamental Principles in all its actions.

Annex 11. Stakeholder analysis – example of a comparative table

	Target Groups			Others	Institutions
	Community Leaders	Women's Groups	Landless labourers	National Society	Local Authorities
Problems	Have responsibility to ensure the safety of the community	Do not have enough information about the disaster response available to them now	Are invisible to organizations focused on agricultural restoration	Need better links with the community in disaster-affected areas	Have a responsibility to ensure all members of the affected population are assisted
Interests	Want to ensure the community is safer	Want more information	Want assistance that is not based on land ownership	Want to make links with affected communities	Want to ensure all members of the population are assisted
Potential	Knowledge of the local situation and power relations				
Interaction	Through regular community meetings				
Action by others	Also work with other NGOs				
Red Cross Red Crescent Action	The National Society has worked elsewhere with community leaders and can therefore make links with these community leaders now.				

Source: Adapted Project/programme Planning Guidance Manual, p.18, IFRC

Annex 12. IFRC draft response options comparison tool

Purpose:

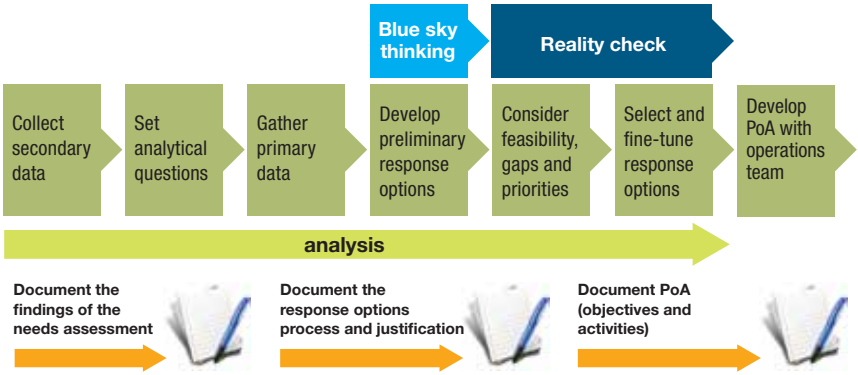
The purpose of the response options (RO) Comparison Tool is to provide the means by which to compare a wide range of response options within and between sectors against a standard set of criteria.

Warning:

This tool does not do the analysis; it only provides scoring and ranking criteria. The final analysis still needs to be undertaken based on an understanding of the context, the needs of the community and by balancing the pros and cons of each proposed intervention. For example, in order to provide a complete response, an integrated programme may require the inclusion of one option that did not score very highly.

Concept:

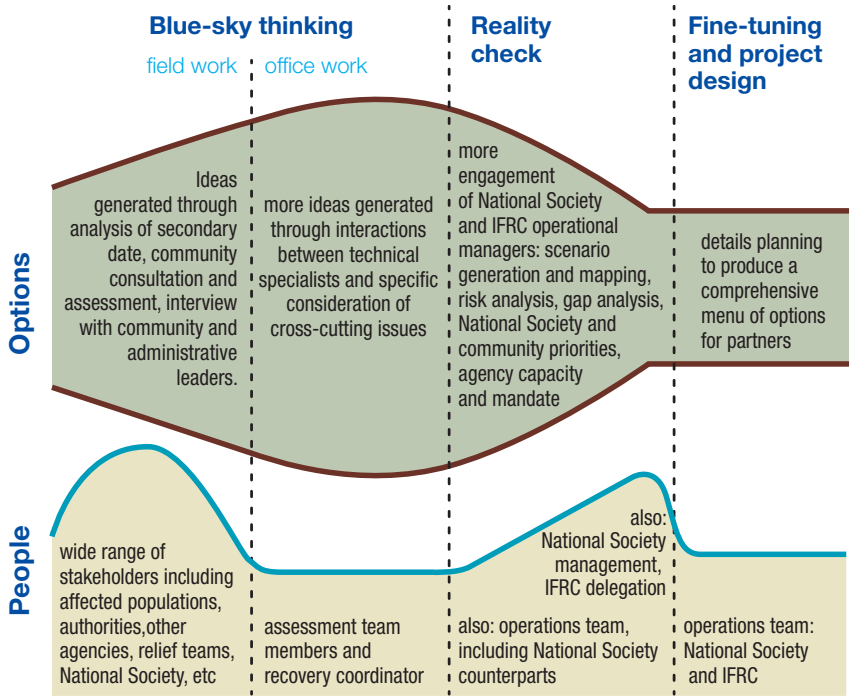
Response options are generated through needs assessments in a two-stage process. In the first stage, stakeholders are encouraged to think widely and freely about possible options, and nothing is excluded. This can be described as brainstorming or blue-sky thinking.



In the second phase, the response options are documented and assessed, and a range of potential scenarios are considered. The capacities and priorities of the National Society, the community and other stakeholders are assessed. A wide range of factors such as risks, value for money, sustainability and potential adverse effects are considered.

This tool is designed to be used in the second phase of the process (the reality check) and can provide the documentation needed to justify final recommendations.

During this phase, the number of stakeholders involved in the process also increases, as shown in the next diagram.



This tool allows response options to be compared against a set of standard criteria using the following 8 statements:

1. The RO is in line with National Society plans, capacities and mandate.
2. The RO is in line with community priorities and capacities.
3. The RO is in line with government priorities.
4. The RO can be implemented in time (consider seasonality).
5. The impact of the RO is high and represents good value for money.
6. The RO provides good opportunities for sustainability.
7. The RO has a low chance of any adverse or negative effects on populations or the economy.
8. There are the resources available.

Each response option is scored against these 8 criteria on a scale of 1 to 5 with 1 meaning "strongly disagree" and 5 meaning "strongly agree" when considering the specific response option. You can then add the total scores together and use a traffic light system to make ranking easier.

Here is a simple tool or matrix that you can use to decide which programming response options are included in your programme.

Response Options Comparison Tool

This tool is designed to support your decision-making by helping you think through all the considerations of different programming response options in a structured way. This can help you plan with your team as well communicate your decisions transparently to others including your donors.

The menu of options to consider is just a generic list of things you can consider that you can adapt or add to depending on your local context.

For each option to consider you can use a simple scoring system (such as 1-5 with 5 meaning stongly agree and 1 meaning strongly disagree) along with any specific comments you feel are relevant. When finished, add the total score for each RO, then rank them.

Those with the highest scores COULD be more suitable, if you feel they are not take another look at your scores. In the end the decision for which programming options you implement is up to you and your team, this matrix is only intended to help you make that decision.

General data – Programming response options

Response Option (RO)	Timing and duration of RO	Who is targeted by the RO	Expected outcome of the RO	Scale #HH		Cost per HH (CHF)		Total cost (CHF)		In line with National Society plans, capacities and mandate		In line with community priorities and capacities		
				Min	Max	Min	Max	Min	Max	Scor	Comm	Scor	Comm	

Note: it is also helpful to separate the first column in the menu of options section into two separate columns: 'In line with NS plans and mandate' and 'In line with NS capacity'. Similarly it is possible to separate the second column in the menu of options section into two columns: 'In line with community priorities' and 'In line with community capacities'.

Menu of options to consider (adapt these and changes as necessary)

	In line with Government Priorities		The RO can be implemented in time (consider seasonality)		The impact of RO is high and represents good value for money		The RO provide good opportunities for sustainability		The RO has a low chance of any adverse or negative effects on populations or the economy		Implementing the RO is feasibile and risks can be managed		There are the resources available		Overall score
	Scor	Comm	Scor	Comm	Scor	Comm	Scor	Comm	Scor	Comm	Scor	Comm	Scor	Comm	

Min – Minimum Max – Maximum Scor – Score Comm – Comment

Annex 13. IFRC risk management matrix

Likelihood (over 2 years)								
Event is expected to occur in most circumstances	>90%	Almost certain	5					
Event could occur probably in most circumstances	50 – 90%	Likely	4					
Event will occur at sometime	30 – 50%	Possible	3					
Event could occur at sometime	10 – 30%	Unlikely	2					
Event may occur only in exceptional circumstances	<10%	Rare	1					

	1	2	3	4	5
	Insignificant	Minor	Moderate	Major	Catastrophic
Missed Targets	0 – 5%	5 – 10%	10 – 20%	20 – 30%	More than 40%
Reputation	Internal publicity	National publicity (instance)	Extended national publicity	International publicity (instance)	Extended international publicity
Compliance	Minor admonition	Minor penalties	Major penalties	Major censure	Closure
Safety and Security	Minor injury	Serious injury	Multiple injuries	Single death	Multiple deaths
Financial (% of reserves, USD)	0.1% 60,000	0.1 to 1% 60 to 600,000	1 – 5% 600, 000 to 3m	5 – 25% 3 to15m	More than 25% more than 15m
Financial (% of program budget)	0.10%	0.1 to 1%	1 – 5%	5 – 25%	More than 25%
Management effort required to manage the impact of the event	Event managed through normal activity	Event whose consequences are absorbed by additional management effort	Significant event that is managed by little additional effort	Significant event needs substantial management effort	Catastrophic event forcing closure

Impact

Annex 14. Monitoring indicator guidance

When designing the monitoring plan:

- Build the monitoring and evaluation plan around output indicators, which are usually easier to describe and measure.
- Monitor whether or not intended outcomes are being reached to tell the story of whether or not the affected community or household is really on the road to more resilient recovery.
- Be aware that a variety of factors influence how the affected population recovers from the disaster and IFRC response is one of many of these.
- Identify the contribution that the IFRC operation is making to wider change through as close an attribution based on the logical framework as possible.

Sector-specific outcome and output indicators

Shelter outcome – The target population is living in temporary shelter and settlement until integrated and durable solutions are achieved.

Output indicator – the number of households who have received temporary or transitional shelter assistance this can be disaggregated by:

i. completed shelters
ii. construction materials
iii. cash to buy materials and tools or to pay rent.

Outcome indicator – the percentage of target households living in shelters that meet agreed upon standards for early recovery

Water, sanitation and hygiene promotion outcome – A sustainable reduction in risk of waterborne and water-related diseases in targeted communities has been achieved

Output indicator – the number of communities with financial resources to operate and maintain water facilities, access to technical support, and access to spare parts

Outcome indicator – the percentage of the target population that both has access to and uses a sustainable water supply, sanitation facilities and practices good hygiene behaviour

Health outcome – The medium-term risks to the health of affected populations are reduced.

Output indicator – the percentage of people reached with community-based disease prevention and hygiene promotion programming

Outcome indicator – Crude Mortality Rate (CMR) and Under 5 mortality rate (U5MR) variations in the early recovery period

Livelihoods outcome – Livelihoods are protected and negative coping strategies reduced among affected populations or households.

Output indicator – the number of informational events on protecting livelihoods (awareness sessions, campaigns) carried out

Outcome indicator – the percentage of targeted people no longer engaging in negative coping strategies

Disaster risk reduction outcome – Communities' resilience to disasters is protected and restored.

Output indicator – the number of people (disaggregated by gender) reached by livelihood activities (cash for non-food items, asset protection and replacement, support for small-scale income generating activities)

Outcome indicator – the percentage of private assets restored which meet established criteria for safety against local hazards

Source: Plan of Action guidance (November 2010)

Potential users of the information gathered through monitoring and evaluation

You can use your monitoring data for more than programme monitoring purposes. Many stakeholders may be interested in the information generated. For example:

- donors, including those within IFRC and funding agencies outside IFRC who typically require information to ensure compliance with regulations and accountability systems
- project managers who use information for decision-making, strategic planning, and accountability purposes
- project staff that uses information for project implementation and to

understand management decisions

- National Society headquarters and/or the IFRC secretariat who may require information for long-term strategic planning, knowledge sharing, and organizational learning
- communities and beneficiaries, who need information to understand, participate in and own a project
- partners (bi-lateral or local) who use information for collaboration, knowledge sharing and resource sharing
- government and local authorities that may require information to ensure that legal and regulatory requirements are met; this can help build political understating and support
- evaluation teams assessing the programme using monitoring data and the monitoring and evaluation plan.

Industry standards have been established to measure humanitarian programmes. These need to be considered and factored in during the planning and design stage so that data can be collected during programme implementation that will demonstrate to what extent the programme meets these criteria. The monitoring and evaluation plan ensures these dimensions can be more accurately assessed providing a better picture of the strengths and weaknesses of the operation. Independent evaluations will use some or all of these criteria to assess the operation.

Annex 15. Management options for surge capacity in recovery planning based on Pakistan 2010 recovery surge team deployment

Location of additional capacity and ideal time-frame for deployment	Role	Management
Host National Society provides additional recovery capacity (re-deployed staff or senior volunteers). For duration of operation	Will vary but most likely role will be a management role in recovery activities on behalf of the National Society involving: – coordination (IFRC, Partner National Society and others) – assessment and planning – field resource management – monitoring and evaluation – exit planning – reporting and communications.	Operations management (Head of Disaster Management or similar level)
Partner National Society additional recovery capacity (temporary missions, redeployed staff). Deployment timeline varies.	Will vary and may overlap with Recovery Coordinator role for FACT, Operations team or posts within surge team, or the role may lead the development of a bilateral contributions.	Varies but one of the following: – IFRC Operations manager – Host National Society Operations manager – Partner National Society head of office (if the capacity is utilized within the Partner National Society as part of a bilateral contribution).

Location of additional capacity and ideal time-frame for deployment	Role	Management
Recovery profile as FACT deputy Team Leader Time limited – up to three months with a move from FACT to the operations team as FACT competes its tasks. Recovery multi-sector surge team Time limited – up to two months.	– Identify opportunities to augment the relief response. – Plan for recovery activities through assessment and analysis of context. – Initiate recovery activities where possible. – Advocate for recovery (principles and ways of working) and response options with programming modalities. – Identify opportunities to augment the relief response. – Plan for recovery activities through assessment and analysis of context. – Initiate recovery activities linked to the operations team where possible. – Advocate for recovery (principles and ways of working) and response options with programming modalities. – Team leader will provide a liaison role with FACT (if still in place) or operational management.	FACT team leader to ensure that activities are central to FACT planning and action and recovery is not marginalized Operations manager Operations manager
Recovery Coordinator located in the IFRC Operations team Time limited role – up to one year.	Lead sector integration through facilitation of detailed assessment, analysis, planning, standardized implementation, monitoring and evaluation.	Operations manager

Annex 16. Operational strategy

An operational strategy provides the rational for programming based on the key strategic choices. While it is a generic planning tool for all programming, it is an essential planning tool for recovery programming. This means that an operational strategy can be written during the early days of a relief operation in order to start documenting the strategic thinking that guides the response and can be updated as more information becomes available, or it can be written during the recovery thinking stages. The following guiding document can be adapted to the specific operational context and for relief programming but is presented here through a recovery programming approach lens.

Sample operational strategy template

1. Introduction

- **1.1 Background**
- **1.2 Purpose of the operational strategy**
- **1.3 Scope of the operational strategy**
- **1.4 Summary of the main strategic directions proposed**
- **1.5 Advocacy messages for the proposed emergency response including recovery**

2. The disaster

- **2.1 The impacts due to the disaster**
- **2.2 Gaps in current support**
- **2.3 Constraints in providing assistanc**
- **2.4 Trends (development of the emergency and scenarios for the future)**

3. The emergency response

- **3.1 Relief**
  - 3.1.1 Guiding principles
  - 3.1.2 Approaches

This information will come from the ongoing relief activities

- **3.2 Recovery**
  - 3.2.1 Guiding principles
  - 3.2.1 Approaches

The recovery guidance focuses on developing this component of the operational strategy

4. Considerations and potential response options

- 4.1 Intervention logic (description of how conclusions have been reached)
- 4.2 Priorities and capacities of affected communities, National Society, main partners
- 4.3 Lessons learnt from previous disasters in this context
- 4.4 Overview of range of potential response options in this context
- 4.5 How scale will be addressed
- 4.6 Proposed summary of recovery interventions within the revised plan of action
- 4.7 Targeting
- 4.8 Cross-cutting issues (gender, age, disability, HIV and Aids, marginalization and equity, risk reduction, conflict)
- 4.9 Programme integration
- 4.10 Beneficiary accountability and communications
- 4.11 Exit planning (ERUs, longer-term)

5. Effective coordination

- 5.1 Red Cross Red Crescent roles and responsibilities
- 5.2 Technical support
- 5.3 National Society core and non-core business
- 5.4 External coordination

6. Critical assumptions and constraints

7. Priorities for scaling up
(operational, locations and processes to get right)

While parts 4 to 7 apply to recovery aspects of an emergency response, many should also be considered in the relief intervention.

Annex 17. Content of the Plan of Action

1. General data

2. Description of the disaster and its expected evolution

3. Analysis of the situation

3.1 Current response
Who is doing what
Overview of Red Cross Red Crescent Movement in the country

3.2 Summary of the needs assessment and problem analysis
A. Non-food items and food distribution
B. Shelter and community/social infrastructure
C. Health and care
D. Water, sanitation and hygiene promotion
E. Livelihoods and food security
F. Disaster preparedness and risk reduction
G. National Society capacity building
H. Beneficiary communications

3.3 Beneficiary selection
Selection of target areas *(based on operational strategy)*
Selection of priority communities
Specific targeting and vulnerabilities within these communities

3.4 Operational strategy
Summary of the operational strategy *(goals and outcomes, rationale and approach, common issues to all sectors)*
The operational strategy should be included as an annex to this section

4. The operational plan

Goal of the operation

Objectives, indicators, means of verification, activities and timelines, for each of the following

4.1 Non-food items and food distribution

4.2 Shelter and community/social infrastructure

4.3 Health and care

4.4 Water, sanitation and hygiene promotion

4.5 Livelihoods and food security

4.6 Disaster preparedness and risk reduction

4.7 National Society capacity building

4.8 Beneficiary communications

Critical assumptions and risk factors

Target population *(may be different for different sectors, but ideally will not be)* describe who, why and how they are participatin

Activities timetable *(Gantt chart detailing outputs by month)*

5. Programme support plans (summary of priorities and issues from detailed plans in an annex to this section)

5.1 Monitoring, evaluation and reporting plan

5.2 Security

5.3 Human resource plan (recruitment, staffing, volunteer needs, structure and management)

5.4 Logistics plans (covering fleet, procurement, storage)

5.5 IT and administration (plan for capital purchase and office expansion)

5.6 Communications (stakeholders, purpose and frequency)

5.7 Fundraising (targets, timeframe and plan)

5.8 Finance (phased budget by sector)

5.9 Exit issues (from operational strategy)

5.10 Movement coordination if relevant

Annexes

- Operational strategy
- Monitoring and evaluation plan
- Logistics procurement plan
- Communications plan
- Exit planning process
- Maps and photos
- Country profile
- Assessment reports by sector
- Human resource plan
- Security plan
- Resource mobilization plan
- Indicator tracking sheet
- Organization chart

Source: IFRC Plan of Action May 2011 and Adapted from Recovery Surge, First Draft

The Fundamental Principles of the International Red Cross and Red Crescent Movement

Humanity The International Red Cross and Red Crescent Movement, born of a desire to bring assistance without discrimination to the wounded on the battlefield, endeavours, in its international and national capacity, to prevent and alleviate human suffering wherever it may be found. Its purpose is to protect life and health and to ensure respect for the human being. It promotes mutual understanding, friendship, cooperation and lasting peace amongst all peoples.

Impartiality It makes no discrimination as to nationality, race, religious beliefs, class or political opinions. It endeavours to relieve the suffering of individuals, being guided solely by their needs, and to give priority to the most urgent cases of distress.

Neutrality In order to enjoy the confidence of all, the Movement may not take sides in hostilities or engage at any time in controversies of a political, racial, religious or ideological nature.

Independence The Movement is independent. The National Societies, while auxiliaries in the humanitarian services of their governments and subject to the laws of their respective countries, must always maintain their autonomy so that they may be able at all times to act in accordance with the principles of the Movement.

Voluntary service It is a voluntary relief movement not prompted in any manner by desire for gain.

Unity There can be only one Red Cross or Red Crescent Society in any one country. It must be open to all. It must carry on its humanitarian work throughout its territory.

Universality The International Red Cross and Red Crescent Movement, in which all societies have equal status and share equal responsibilities and duties in helping each other, is worldwide.

For further information, please contact:

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