



GUIDE TO

DEVELOPING DISASTER RECOVERY FRAMEWORKS

WORLD RECONSTRUCTION CONFERENCE VERSION

SEPTEMBER 2014





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ACRONYMS AND ABBREVIATIONS

AJK	Azad Jammu & Kashmir
BAPPENAS	National Development Planning Agency - Indonesia
BBB	Build Back Better
BNPB	National Disaster Management Agency - Indonesia
BRR	Agency for the Rehabilitation and Reconstruction of Aceh and Nias - Indonesia
CDD	Community Driven Development
CSO	Civil Society Organization
DALA	Damage & Loss Assessment
DRF	Disaster Recovery Framework
DRR	Disaster Risk Reduction
DRM	Disaster Risk Management
ERRA	Earthquake Reconstruction & Rehabilitation Authority - Pakistan
EU	European Union
GFDRR	Global Facility for Disaster Reduction and Recovery
GDP	Gross Domestic Product
IAG	International Advisory Group
IDA	International Development Association
KPIs	Key performance indicators
MRAZI	Ministry for Reconstruction and Planning of Flood Zones - Senegal
M&E	Monitoring and Evaluation
MDF	Multi-Donor Fund
MDTF	Multi Donor Trust Fund
NDPCC	National Disaster Prevention and Control Committee – Lao PDR
PERRA	Provincial Earthquake Reconstruction and Rehabilitation Agency - Pakistan
PFM	Public Financial Management
RAN	Recovery of Aceh and Nias - Indonesia
RME	Reporting, Monitoring, and Evaluation
RMS	Results Monitoring System
SERRA	State Earthquake Reconstruction and Rehabilitation Agency - Pakistan
TWG	Technical Working Group
UNDP	United Nations Development Program
PDNA	Post-Disaster Needs Assessment
RF	Recovery Framework
WB	World Bank

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INTRODUCTION TO THE GUIDE

WHAT IS THE DISASTER RECOVERY FRAMEWORK GUIDE?

The World Bank's Global Facility for Disaster Reduction and Recovery (GFDRR) has worked together with the European Union (EU) and the United Nations Development Program (UNDP) to produce this *Guide to Developing Disaster Recovery Frameworks*. Disaster Recovery Frameworks (DRFs) complement Post-Disaster Needs Assessments (PDNAs) or other such assessments and continue guiding governments and other implementation stakeholders in the recovery prioritization, detailed planning, implementation and monitoring. The Guide is primarily based on good practices compiled from country experiences in disaster recovery and through collaboration with international advisory and technical working groups constituted for the development of the Guide. This Guide is intended to be a practice-based and results-focused tool that assists governments and partners in planning for efficient, effective and resilient post disaster recovery. The Guide lays out processes and good practices for developing disaster recovery frameworks to assist governments in detailed recovery planning at the inter-sectoral and programmatic levels. While the guide has been developed primarily to help governments plan multi-sectoral programmatic recovery following large scale disasters, it can be used in response to smaller scale, recurring disasters. The Guide provides key planning and decision-making processes for the development of recovery policies and programs, but does not necessarily cover the full breadth of the actual implementation of recovery.

WHAT DOES THE GUIDE DO?

The Guide to Developing Disaster Recovery Frameworks is a flexible, non-prescriptive tool designed to provide guidance to governments. The Guide will enable governments to create national-level recovery frameworks that:

- Complement PDNA or other such assessments as a tool to program and plan the recovery;
- Lay out the roles, responsibilities and organizing structure for disaster recovery;
- Provide an integrated and program-level action plan to facilitate multi-sector recovery planning, prioritization, sequencing of activities, and to guide funding and portfolio management decisions;
- Serve as a living baseline document for progress monitoring and impact evaluation purposes;
- Ensure aid effectiveness by bringing multiple stakeholders around one common and inclusive government-owned platform for recovery strategizing, planning and project management.

What the Guide to Developing Disaster Recovery Frameworks Does Not Cover

The Guide is envisaged to be a tool that provides broad, practice-based guidance to governments and other stakeholders to plan and manage recovery. As such, this tool is:

- Not intended to burden the recovery process with over structured and cumbersome protocols of engagement or cooperation between various national entities and development partners;
- Not a prescriptive or exhaustive treatment of country specific recovery issues and challenges, but a flexible practice-based guide offering varying sets of options that can be adapted to country settings and conditions; and,
- Not an exhaustive treatment of all sectoral recovery issues and challenges, but rather focuses on broader multi- and inter-sectoral recovery planning aspects. For details on sectoral issues, the joint EU/UNDP/WB PDNA Guide (Volume B) may be consulted.

OBJECTIVES OF THE DISASTER RECOVERY FRAMEWORK GUIDE

The objectives of the Guide to Developing Disaster Recovery Frameworks are to: (a) inform institutional and policy setting for recovery, and base recovery prioritization and programming on international good practices; (b) make disaster recovery inclusive and resilient; (c) increase the likelihood that gains from the recovery process are sustained and translated into sustainable development; (d) enhance coordination among partners during the recovery and reconstruction process; and (e) provide mechanisms for strategic oversight, control and outcome monitoring of the reconstruction programs.

COMPLEMENTARITIES BETWEEN NATIONAL RECOVERY FRAMEWORKS AND POST-DISASTER NEEDS ASSESSMENTS

Many governments confronted with the challenges of designing and planning recovery frameworks have a deficit of available and applicable knowledge tools. Tools such as the Post-Disaster Needs Assessment (PDNA) and other such assessments provide a solid basis for quantification of recovery needs and broad strategy formulation. Such assessments have become regular practice immediately following disasters.¹ However, experiences over the last several decades have shown that attention to recovery needs must go beyond the conduct of post disaster assessments, and must lead to criteria-based prioritization, planning and implementation of the recovery agenda. Recognizing this, there is an increasing demand for a consolidated knowledge product that can build on the PDNA and continue guiding governments and other implementation stakeholders in the subsequent prioritization, detailed planning, implementation and monitoring of disaster recovery.²

As such, the development of recovery frameworks will serve to complement the findings and results of PDNAs and assessments of disaster needs derived using other methodologies. The PDNA and Recovery Framework will be implemented as one simultaneous or continuous process that will, in most cases, not entail additional resource or time inputs from the various partners, but significantly enhance the likelihood of translating PDNA recommendations into more efficient and resilient recovery.

¹ Refer to the section “Conducting Post Disaster Needs Assessments”

² Lessons from International Disaster Recovery. Toolkit and Selected Case Studies. Disaster Recovery Framework Initiative – November 2013. Also please refer to the section on Common Good Practices and Lessons Identified.

Table 1. Areas of Complementarity between a PDNA and a Disaster Recovery Framework (DRF)

Areas of Complementarity between a PDNA and a DRF	
PDNA	DRF
<ul style="list-style-type: none"> • A Report & Common Stakeholder Platform for Needs Assessment • A one-off assessment • Provides damage and loss estimates, and quantifies needs based on broad sector strategies for recovery • Sector-based Approach • Prioritizes and sequences needs within sectors only and without consideration of budgetary constraints • Takes preliminary stock of institutional issues and capacity constraints for efficient and effective recovery • Contains a preliminary analysis and treatment of risks associated with achieving efficient and resilient recovery • Provides a preliminary overview of the strategic and institutional means for converting resilient recovery into longer term developmental resilience and risk reduction 	<ul style="list-style-type: none"> • A Process and Engagement mechanism for Recovery Planning • A living and flexible plan of action that can be updated periodically • Builds on the PDNA for detailed sequencing, prioritization, institutionalization, financing and implementation of recovery • Outcome-based and Programmatic Approach • Prioritizes and sequences needs both within and across sectors – based on budget allocations and external financing estimates – using regular government processes along with international good practice criteria for prioritization • Entails rigorous analysis of recovery capacities and skills and institutional options for recovery – and identifies corresponding capacity building needs for efficient and effective recovery • Will offer detailed risk analysis and reduction strategies to better protect recovery implementation performance from such risks • Through sustained engagement over the period of implementation, helps set out formalized carry over arrangements and linkages between recovery and regular development institutions to ensure good practices are institutionalized into sound recovery practices and standards

Through a country-level development of a disaster recovery framework, governments will be better positioned to drive a recovery process that brings together all development partner efforts. Additionally, by using a recovery framework to manage recovery, governments may be better able to address longer term disaster vulnerability through coherent programs that cut across the divide of recovery and development – such as on disaster resistant housing, building code enforcement, safety nets, green growth, and climate change resilience. As a result of developing a recovery framework, governments are likely to be able to prioritize disaster risk reduction and resilience measures within their short and long-term developmental goals.

HOW TO USE THE GUIDE?

This Guide is intended for audiences and users associated with recovery planning within and outside government systems. These include policy makers, leaders and managers of recovery institutions, financial managers, monitoring and evaluation experts, implementing bodies, among others. Keeping this in view, the Guide attempts to present information in a succinct manner that is customized to the needs of these various user groups. Understanding the structure will assist the user in navigating this Guide:

- A glossary of terms is provided in the end so that a common shared understanding can be obtained across a broad array of actors that come together when developing disaster recovery frameworks.

- The detailed content is arranged by the following modules

Table 2. Modules of the DRF Guide

MODULE 1: Conducting Disaster Assessments
MODULE 2: Policy and Strategy Setting for Recovery
MODULE 3: Institutional Framework for Recovery
MODULE 4: Financing for Recovery
MODULE 5: Implementation Arrangements & Recovery Management
MODULE 6: Institutionalizing Recovery in National and Local Governance Systems

- For each module, recovery planning processes are recommended by working backwards from the intended or good practice results. These results are presented in the form of short matrices that can be found in each subsection. These come with core planning processes and functions, and the corresponding outputs and responsibility for each function or process. Each Results Matrix also has an Action column with the classification icons as shown below:



- Additional details on strategic and implementation options available for various modules mentioned above can be found either in country good practice text boxes that either accompany the main text, or can be found in the country case studies.
- The common good practices and lessons identified from all countries are also combined into a concluding section titled Common Good Practices and Lessons Identified. Similarly, all good practice results at various stages of the recovery planning process are also integrated into a Results Framework. This framework provides a collective, interlinked and systematic view of the recovery guide of all associated outcomes and outputs generated through the process of recovery planning.
- Detailed country case studies (technical and thematic annexes to the guide) are available at “<https://www.gfdr.org/recoveryframework>”. Thematic annexes zooming into specialized areas will be added to the guide on a progressive basis.



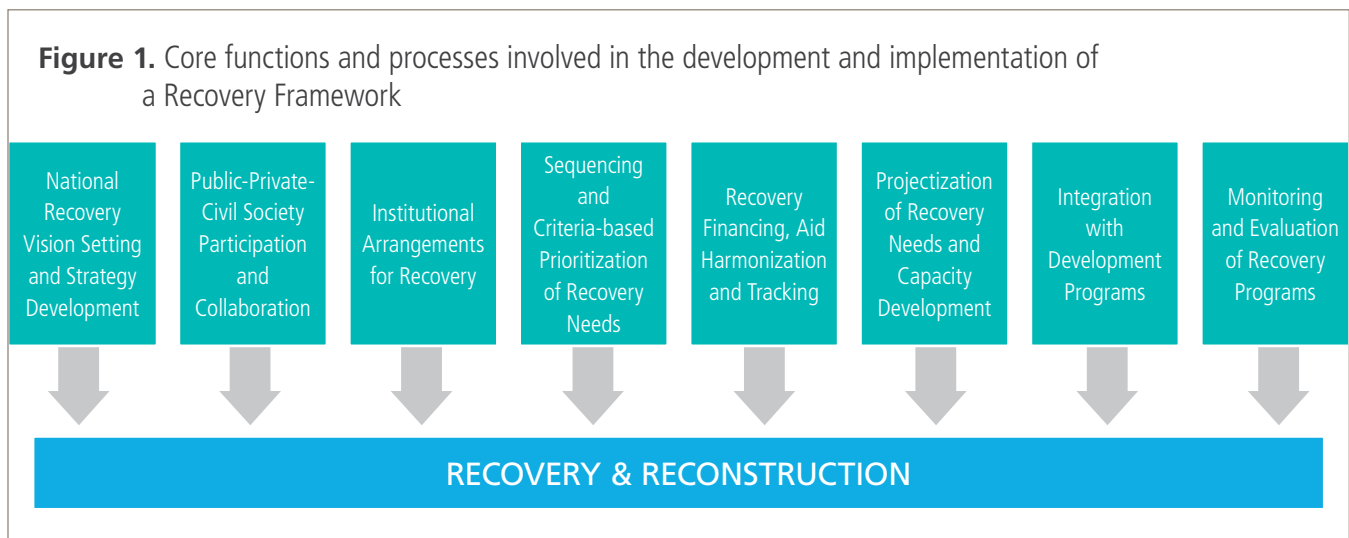
THE RECOVERY PLANNING PROCESS - AN OVERVIEW





CORE FUNCTIONS AND PROCESSES OF RECOVERY PLANNING

The core functions and processes involved in the development and implementation of a Recovery Framework are shown in figure 1. It can be seen that there are many planning and implementation functions that feed into such a framework. There is no particular order to these recovery planning and implementation functions, but rather many of these steps can be undertaken sequentially.³



INSTITUTIONAL LOCUS FOR THE DEVELOPMENT OF RECOVERY FRAMEWORKS

The preferable arrangement is to have an ex ante institutionalized locus for the core recovery planning and oversight function generated to meet the recovery objectives. Often, the government agency designated to take the lead role in coordinating or planning recovery in the aftermath of a disaster would be the best convener for undertaking such a multi-sector and programmatic exercise and to serve as a repository for holding the recovery framework together. The same agency will also then most likely be responsible for subsequent revisions to the recovery framework, since as a living document it evolves and is expanded as the reconstruction process proceeds.

Seen in this light, the Recovery Framework may be best characterized as an evolving and continuing process of recovery planning and its monitoring and oversight components rather than a static document emerging from

a one-off exercise. The responsible agency may also subsequently, in the implementation of the recovery framework, assume a central role towards the oversight, monitoring and evaluation at a core programmatic level. This can occur in tandem with line agencies and departments responsible for actual implementation.

RESOURCE REQUIREMENTS FOR THE DEVELOPMENT OF RECOVERY PLANS

Depending on the nature of the disaster, the development of a recovery framework can range from being relatively resource-light to being resource-intensive. Similarly, depending on the scale of reconstruction required, it can take from a few weeks⁴ to a few months⁵ to develop.

Conducting a PDNA, can greatly enable the resource needs for a recovery framework. The line-department focal points that typically coordinate post-disaster assessments can be used to continue their work to develop the recovery framework. This can help build complementarity between the PDNA and the recovery framework. The Recovery Framework need not to replicate sectoral strategies fleshed out following the PDNA, but instead focus on constructing a broader, holistic framework for cross-sectoral, multi-programmatic recovery.

Key committees that may be needed to develop a recovery framework include:

- A Prioritization Committee to sequence and prioritize activities across sectors
- A Coordination Committee to solicit policy decisions from government, and to consult and develop consensus amongst the reconstruction partners

FOUR-PRONGED APPROACH FOR RECOVERY PLANNING

Given the urgent need to begin reconstruction and start delivering to meet mounting public expectations, governments could adopt a simultaneous and integrated 4-pronged approach for post-disaster recovery planning. This process entails implementing a succession of phased actions in the medium to long-term. It also significantly reduces planning time, compared to routine and sequential approaches, and ensures the inclusion of key stakeholders at the start of the planning process. Figure 2 summarizes the key steps of recovery planning that can be undertaken by the government, either simultaneously or sequentially.

⁴ In Grenada, after Hurricane Ivan (September 7, 2004), the damage and loss assessment was generated 6 days after impact. In Indonesia (Yogyakarta and Central Java), after the 5.9 Richter scale earthquake (May 27, 2006) the damage and loss assessment was delivered 16 days after impact.

⁵ In Colombia, after a 6.2 Richter scale earthquake (January 25, 1999), the damage and loss assessment was generated 3 months after impact.

Figure 2. Simultaneous four-pronged approach for recovery planning





MODULES OF DISASTER RECOVERY FRAMEWORK



MODULE 1 - CONDUCTING DISASTER ASSESSMENTS





The intent of this section is to establish the linkage between the PDNA or other such disaster assessments and the Disaster Recovery Framework. While it is recognized that PDNAs are not the only form of disaster assessments, a post disaster assessment is a necessary prerequisite for developing a DRF. This section provides a brief overview of the key objectives and guiding principles of conducting disaster assessments. Further details on conducting a PDNAs are available in the PDNA Guide (2013).⁶

Disaster assessment is the first transition step towards full scale recovery. Early recovery and reconstruction can start while emergency relief activities are on-going. A decision by the Government on the nature of the disaster assessment and RF are the first transition step from an emergency to a full-scale recovery and reconstruction process with defined objectives. In this initial period after impact, while the humanitarian response is on-going, questions arise as to what the priority recovery needs are and what should be the specific objectives of recovery. Answering these complex questions will require understanding the magnitude of the disaster by undertaking assessments of damage and needs in light of the recovery objectives agreed upon by government policy makers and other key stakeholders.

Disaster assessment as the basis for mobilizing pledges for reconstruction. For disaster-impacted countries that intend to fund the recovery to the fullest extent possible, or may have to rely on external aid for funding part of their recovery program, it is important at the very outset to commission a disaster assessment that will aggregate the cost of damages and losses. The assessment needs to be government-led but inclusive to ensure participation and consultation with relevant government departments (spread both horizontally and vertically), civil society and communities. The inclusion of international development partners can lend more credibility to the damage and needs assessment as well as bring in international good practices to facilitate it being rapid yet rigorous.

The PDNA can be used in the recovery framework to form part of a living and flexible plan of action that can be periodically updated. The PDNA provides largely accepted damage and loss estimates, and quantifies needs based on broad sector strategies for recovery. The recovery framework builds upon the damage and loss assessment for detailed sequencing, prioritization, financing and implementation of recovery.





Key difference in PDNA and RF prioritization. While the PDNA prioritizes and sequences needs within sectors only and without considerations of budgetary constraints, the recovery framework will prioritize and

⁶ Post Disaster Needs Assessment Guide. Volume A, 2013. EU, UN, WB.



sequence needs both within and across sectors. This is realized based on budget allocations, donor and international financial institutions financing estimates using regular government processes mixed with international good practice criteria for prioritization.

RESULTS MATRIX 1 • Broad and Consistent Policy Framework for Recovery Planning through the PDNA

	Process and Functions	Action	Output	Actors
1	<p>Build upon the preliminary assessments by Government and humanitarian relief agencies, preliminary damage inventory surveys.</p> <p>Why? The initial data collected from such surveys establishes a preliminary overview of the extent of damages, and serves as the basis for more detailed PDNA. This is crucial for the efficient organization and completion of the PDNA.</p>	  	<p>Preliminary Assessment Reports.</p> <p>Compilation & Transmittal of Damage Data at a Central Node.</p>	<p>Lead Agency: National/Subnational Focal Point</p> <p>Others: Line Ministries, Local Government Departments, National Technical Agencies, UN Agencies</p>
2	<p>Select the most appropriate and achievable processes and methodology for conducting early and credible damage and needs assessments.</p> <p>Why? Assessments should provide a fairly reliable estimate of the overall resource requirements and envelope to reconstruction policy and financial decision makers in the country, allowing them to initiate strategic and holistic reconstruction planning. This strategic perspective helps develop operational plans for deploying human, financial, and information resources to implement large scale reconstruction programs. It also helps set up credible baselines for the subsequent monitoring and evaluation of the recovery program.</p>		<p>PDNA</p> <p>Quantitative & Qualitative Baseline for Damage and Needs across sectors and administrative divisions.</p> <p>Results Monitoring and Evaluation Plan for Recovery Program.</p>	<p>National/Subnational Focal Point, Line Ministries, Local Government Departments</p>

Guiding Principles of PDNAs.⁷

- Adhere to the core principles of humanitarianism, impartiality, and neutrality.
- Acknowledge the national ownership of PDNA and ensure that it is a demand-driven and country-led process, with the fullest possible leadership and engagement of national authorities in assessment, recovery planning and implementation, from the highest political levels to local levels, and at the level of technical expertise.
- Support local ownership and the fullest possible engagement of local authorities and community-based organizations in the planning and execution of recovery, and building specific capacities where needed.
- Provide coordination at all stages of the process and at all levels, ensuring collaboration and partnership between the UN, the WB and the EU, as well as with the National Government, donors, NGOs, civil society, and other stakeholders engaged in the PDNA.
- Ensure one team, one process, one output.
- Adhere to the principle of *Primum non nocere* – ‘first, do no harm’ – ensuring that the process does not have a detrimental effect on life-saving relief to the affected population and on the country.
- Adopt a conflict-sensitive approach and ensure that the assessment does not exacerbate existing tensions, and that the recovery strategy takes into account potential disaster-related conflicts.
- Support and strengthen national and local capacities to lead and manage recovery and reconstruction.
- Ensure transparency and accountability in the PDNA process as well as in post-disaster recovery and reconstruction.
- Integrate DRR measures in the recovery process to enhance the resilience of affected populations and countries with regard to future disasters.
- Develop a recovery plan that addresses the gap created by the disaster, and which effectively helps people in building back better and reduce future risks without expanding recovery needs and priorities into a full-fledged development plan that goes beyond the disaster.
- Ensure the participation of the affected population in the assessment of needs and priorities and in the recovery process, at the same time providing support to their spontaneous recovery efforts.
- With a gender perspective, focus on the most vulnerable sections, including female-headed households, children, orphans, the landless, people with special needs, the youth and the aged.
- Promote equality to prevent discrimination of any kind on grounds of race, colour, nationality, ideology, sex, ethnicity, age, language, religion, disability, property, and birth, among others.
- Mainstream cross-cutting issues such as gender, environment, governance, human rights, HIV/AIDS, among others.
- Ground recovery in the principles of sustainable development.
- Build on national development strategies as required.
- Monitor, evaluate, and learn from practice.
- Complete the assessment in a timely manner to capitalize on the limited window of opportunity to start recovery, resource mobilization and resilience building initiatives.

⁷ Adopted from Post Disaster Needs Assessment Guide. Volume A, 2013. EU, UN, WB



مبنى وزارة الداخلية

الجمهورية اليمنية
رئاسة مجلس الوزراء
مكتب وزير إعادة البناء
محافظة حضرموت والبيشة
مشروع إعادة بناء منزل المتضرر **خمين عمر احمد حنكيش**
شروع رقم: 01-00000-117-02
اتصال مكتب الاماثل للمناطق المتضررة فرع عبيد جارة
تونس كورسجيت السويدي والتميز



MODULE 2 - POLICY AND STRATEGY SETTING FOR RECOVERY





INTRODUCTION

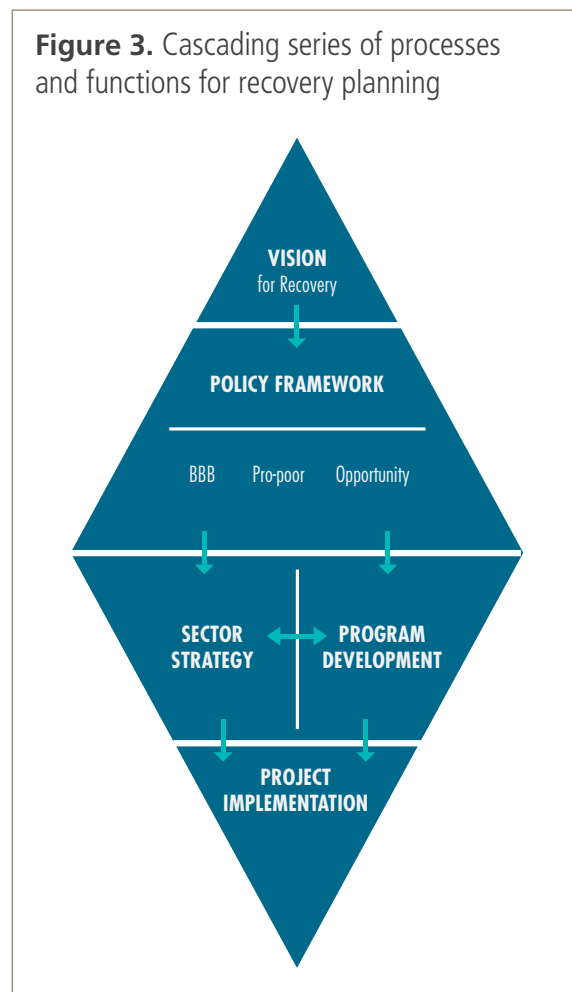
Almost concurrently with the estimation of the aggregate damages and recovery needs arising from the disaster, the Government can initiate processes related to policy and strategy setting for recovery. This section describes good practices and key results associated with program development for cross-sectoral and integrated disaster recovery. Common to all these is a requirement to formulate and adapt a cascading series of processes and functions for recovery planning (Figure 3), including:

- Development of a central vision for recovery;
- Setting up policy frameworks for recovery;
- Inter-sectoral strategy and program development for recovery;
- Inter-sectoral prioritization and sequencing of recovery needs, and;
- Setting up sector-level recovery programs leading to projectization.




DEVELOPMENT OF A CENTRAL VISION FOR RECOVERY

Vision Development Process: The early development of an overall recovery vision at the highest possible levels of government creates a catalytic momentum to post-disaster recovery. This is critical for building consensus on the vision for recovery among the many types of stakeholders. The government can establish and convene consultative forums for the articulation of its vision for recovery that pave the road for a unified planning horizon and strategic platform. This sets and manages the expectations of the affected communities and reconstruction partners at the start of the recovery process. In conflict affected areas, this entails a conflict sensitive approach, considering that

Figure 3. Cascading series of processes and functions for recovery planning



there is a two-way relationship between intervention/action and conflict. Not only can all actions in conflict contexts be affected by conflicts, but action in a conflict affected setting can, and is likely to, have an impact on the conflict.

RESULTS MATRIX 2 • Fostering Consensus over a Central and Coherent Vision for Recovery That Holds Together and Aligns the Recovery Objectives and Subsequent Interventions of all Partners and Stakeholders				
	Process and Functions	Action	Output	Actors
1	<p>A clear vision of reconstruction needs to be articulated at the highest possible political and bureaucratic levels of government. One key consideration is to ensure relate this vision to the broader development context, and growth and poverty reduction programs of the country.</p> <p>Why? The recovery vision must achieve broad consensus among recovery stakeholders for a comprehensive planning horizon and strategic platform. This enables the government to articulate and convey its reconstruction priorities, and build national or sub-national consensus around its recovery vision.</p>		<p>Articulation of a Recovery Vision.</p> <p>Setting up Consultative Forums for Consensus Building on Recovery Vision.</p>	<p>Lead Agency: Premier Planning Agency</p> <p>Others: Designated Reconstruction Agency, National/ Subnational Government, Line Ministries, Civil Society and Other Partners</p>
2	<p>Start to define a Reconstruction Vision.</p> <p>Why? This can be accompanied by detailed examination of the basic ideas and theories of the recovery vision. This includes articulation of: (a) (hierarchical) goals and targets for overall reconstruction and recovery; (b) policy standards; (c) timeframe for implementation; (d) identification of stakeholders; (e) strategic priorities within the multi-sectoral scope of work, and; (f) geographic delineation and functional jurisdictions for managing recovery programs.</p>	 	<p>Working out the Sectoral, Geographic and Functional detail of Recovery.</p>	<p>Lead Agency: Premier Planning Agency</p> <p>Others: Designated Reconstruction Agency, National/ Subnational Government, Line Ministries</p>

Ensuring Complementarity with Development Programs: It is expected that the vision of recovery would harmonize with the broader development goals, and growth and poverty reduction strategies of the disaster affected government. The Recovery Vision can provide a strategic continuum between pre and post disaster developmental planning (Figure 1) by bridging and mitigating development gaps and triggered by the disaster event. This roadmap for efficient, effective and resilient recovery would avoid duplication, overlaps, and competition with pre-disaster programs.

Ensuring complementarity and equitable conflict sensitivity consideration with other recovery initiatives. To the best of its abilities, actions should avoid having a negative impact and maximize the positive impact on conflict dynamics, thereby contributing to conflict prevention, structural stability and peace building.⁸ To that end, it is essential to understand the conflict dynamics, in particular the relations between stakeholders and the issues that create tensions and problems. It is then important to analyze how one particular intervention will impact on those dynamics. Lastly, being conflict-sensitive is not just about understanding, but about acting upon this understanding. That means building in the appropriate provisions and activities when interventions are first being planned – or adjusting on-going interventions– to ensure that they do not exacerbate but help

⁸ http://capacity4dev.ec.europa.eu/sites/default/files/file/13/11/2013_-_1900/guidance_note_on_conflict_analysis_in_support_of_eu_external_action.pdf

to reduce conflict tensions, by reducing inequalities and bridging divisions.⁹ (See box below on integration of conflict analysis in disasters' context)

A Four Step Conflict-Sensitive-Approach

1. Understand the context in which you operate, especially the conflict drivers and dynamics;
2. Understand the nature of intervention. This means not just what you do (your programming) but also how you operate, where, when and who you work with (your whole engagement in the context);
3. Analyse the interaction between your intervention and the context, to identify conflict risks and peacebuilding opportunities;
4. Act upon this analysis so you can avoid negative impacts and maximise positive ones.

Incorporating Resilience and Building Back Better in Recovery Vision: The notion of Resilient Recovery is much more nuanced, less understood and inconsistently perceived by most development practitioners. As countries develop their own standards and definitions on what constitutes resilience in recovery, due consideration might be given to: building back better; concerns over gender, equity, vulnerability reduction; natural resource conservation, environmental protection and climate change adaptation.

Examples of DRR-led Recovery in Queensland, Australia¹⁰

The \$80 Million Queensland Betterment Fund in Australia provided financing for "betterment" projects, facilitating resilience in reconstruction. Some of the projects financed by the Betterment Fund include:

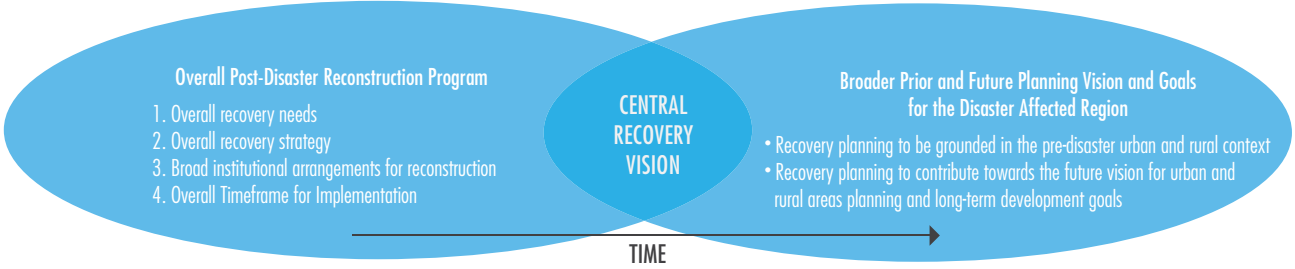
- **The Gayndah Water Supply Intake project.** After having experienced nearly \$4 Million in damages due to disaster events, the asset is being relocated with intake design enhancements that will provide residence during and after flood events.
- **George Bell Crossing project.** George Bell Crossing was reconstructed from damage sustained in 2011 only one month prior the 2013 floods, with damage from the 2013 event resulting in catastrophic failure with the crossing completely washed away. Floodwaters also caused severe scouring and erosion to the eastern approach, resulting in complete demolition of the crossing. The betterment project will replace the crossing with a larger concrete bridge, which will reduce the risk of construction material washing out, scouring and saturation of the pavement and sub-grade making the asset more resilient to future flood events.
- **Upper Mount Bentley Road project.** Located on Palm Island, a remote indigenous community, the road provides the only on-ground access to vital telecommunications infrastructure located at the peak of Mount Bentley. This road has been impacted by disaster events eight times between January 2008 and January 2013, significantly reducing safe access during disaster events. The betterment project included the construction of concrete surfacing of the steepest or most vulnerable sections of the road, facilitating repair work to be carried out without delay to the communications tower.

In summary, the recovery vision neither seeks to address pre-existing development deficits of a country nor exacerbates such deficits. Instead, the vision would mandate a building back better approach to reconstruction, entailing the integration of more efficient, equitable and participatory processes in the design of reconstruction schemes.

⁹ http://www.saferworld.org.uk/downloads/pubdocs/EUConflictSensitivity_Final.pdf

¹⁰ Source: Building it Back Better to reduce risks after multiple disaster events. Graeme Newton, Queensland Reconstruction Authority (Queensland, Australia).


Figure 4. Contextualizing the central recovery vision




Optimizing Recovery across Sectors: Depending on country context, the recovery vision would also cut across public and private sectors, and promote norms for equitable asset creation among individuals and communities. Infrastructure reconstruction has often dominated post-disaster recovery; just as important, however, is the priority given to the reconstruction of the lives and livelihoods in disaster affected communities by facilitating the reconstruction of private assets through direct subsidies (where affordable) or other enabling policy measures where appropriate. This is also important in meeting and managing public expectations and showing sensitivity to the needs of the affected population.

SETTING UP POLICY FRAMEWORKS FOR RECOVERY

Establishment of an Enabling Policy Framework for Recovery: To adequately finance and implement post-disaster recovery, a policy framework for recovery is critical — backed by the highest political and policy making levels as well as planning and financial institutions of the country. This requires formulation and consensus building around the key cross-cutting operating principles and program-level performance benchmarks for multi-sectoral recovery. Policy frameworks for large scale recovery from around the world typically include the following: *central policy making and coordination, subsidiarity and local implementation, public sector facilitation of private recovery, restoration of sustainable livelihoods, independent oversight and transparency, effective management of public expectations and grievances, fostering public private partnerships and availing community capabilities, ensuring and promoting longer-term disaster risk reduction and climate change adaptation, environmental and social safeguards, gender-issues and protection of vulnerable groups.*

RESULTS MATRIX 3 • Provision of an Enabling Policy Framework for the Operationalization of the Recovery Vision				
	Process and Functions	Action	Output	Actors
1	<p>An enabling policy framework for recovery reflects multi-stakeholder consensus for action at a national and sub-national level.</p> <p>Why? The existence of a central policy framework increases the likelihood of consistent and equitable application of the key cross-cutting operating principles and program-level performance benchmarks for multi-sectoral recovery, across various sectors and administrative divisions and public-private domains.</p>		<p>Policy Framework and Guiding Principles for Recovery.</p> <p>Consistent and equitable application of the key cross-cutting operating principles.</p>	<p>Lead Agency: Premier Planning Agency</p> <p>Others: Designated Reconstruction Agency, National/Subnational Government, Line Ministries</p>

RESULTS MATRIX 3 • Provision of an Enabling Policy Framework for the Operationalion of the Recovery Vision (cont.)

	Process and Functions	Action	Output	Actors
2	<p>The policy framework identifies priority sectors for recovery and reflects intra-sectoral prioritization. Recovery needs are sequenced in most post-disaster contexts through the PDNA.</p> <p>Why? The government needs to communicate to donors, recovery partners and to affected communities what its top priorities for recovery are, so that support around such priorities can be built across various stakeholders.</p>		<p>Identification of primary sectors for inclusion in the recovery program.</p>	<p>Lead Agency: Premier Planning Agency</p> <p>Others: Designated Reconstruction Agency, National/Subnational Government, Line Ministries</p>

Key Policy Imperatives for Recovery: Successful disaster recovery experiences from around the world have in common the adoption of at least three of the following key policy imperatives: (a) building back better, (b) converting adversity into opportunity, and (c) pro-poor recovery.

- **Building Back Better:** There is a lack of consensus among recovery policy makers and practitioners on what Building Back Better should include or not include. At a minimum it signifies policy commitment to right-sizing, right-siting and improving the resilience of critical^{11,12,13} infrastructure.
- **Converting Adversity into Opportunity:** Disaster recovery can be an opportunity for replacing old infrastructure and updating service delivery systems with affordable yet resilient improvements.
- **Pro-Poor Recovery:**¹⁴ Prioritizing reconstruction planning to address the needs of socio-economically vulnerable individuals and groups contributes towards the construction of an equitable society. If their needs are ignored, the poor and vulnerable are more susceptible to future hazards and shocks. Many disaster recovery programs include the provision of direct livelihood support, income generation opportunities, improved access to finance and microcredit, and new skills training. Governments also subsidize or facilitate the reconstruction of private assets, such as housing and local business enterprises, but cannot substitute for private insurance covering costs of recovery.

Identification of Priority Sectors for Recovery: The next step entails the identification of priority sectors for recovery in line with the broader recovery vision and policy framework and based on the scoping and detailed needs assessment in conjunction with the quantification carried out at the PDNA stage. The typical breakdown of programmatic recovery includes the following sectors rural/urban housing development, water and sanitation, governance, transport, power, communications infrastructure, environment,¹⁵ livelihoods, tourism, social protection, health and education.

¹¹ Earthquake Reconstruction. GFDRR, 2011

¹² Safer Homes, Stronger Communities. A Handbook for Reconstructing after Natural Disasters. The World Bank 2010.

¹³ Supporting Sustainable Post-Earthquake Recovery in China. Ministry of Finance, China and The World Bank. 2012.

¹⁴ Pro-Poor Growth in the 1990's. Lessons and Insights from 14 Countries. 2005.

¹⁵ Renaud, F. G. et al. The Role of Ecosystems in Disaster Risk Reduction. United Nations. 2013

Sri Lanka, Tsunami, December 2004

Following the December 2004 Tsunami, Government of Sri Lanka prioritized short-term and long-term financial needs, in proportion to the damages sustained and the recovery strategy.

- Short-term: Housing, transportation, and livelihood restoration sectors.
- Damaged assets in housing and health have been replaced with those of equal value
- Damaged assets in transportation, water supply, and sanitation have been upgraded (these sectors have already suffered damages before the tsunami because of civil war)


INTER-SECTORAL STRATEGY AND PROGRAM DEVELOPMENT FOR RECOVERY

The Programmatic Approach to Recovery: The consistent and coherent realization of the goals, targets and priorities for recovery, articulated through the vision and policy framework, requires development and maintenance of a strategic and programmatic framework that subsequently serves as a central planning node and oversight mechanism for cross-sectoral and integrated disaster recovery. Where the 'center' of such recovery planning lies is not important – it could be within a central government authority in cases of inter-provincial recovery programs, or hosted within sub-national recovery planning and oversight entities in cases of sub-national or local programs. What is important is that large scale recovery should have a central meeting point where the recovery plans, programs and subprograms of various national, sub-national and local entities converge to provide a complete programmatic picture of recovery to policy makers at all relevant levels.

Benefits of Programmatic Approach: Key benefits that can be derived from programmatic and centrally overseen recovery include: (a) consistent application of policy principles and imperatives across all sector programs and projects; (b) harmonized and mutually reinforcing recovery results and outcomes across sectors; (c) equitable resource allocation and needs prioritization within and across sector programs; (d) sequencing of recovery activities according to agreed order of prioritization to ensure the 'planned outcomes at the planned timelines', and (e) a central node to monitor and evaluate recovery at a programmatic level, allowing strategic adjustments to be made as required.

Setting Program-Level Objectives for Recovery: Program objectives of recovery are distinct from sector specific objectives (along the sequence proposed in this guide). Program objectives specify what is meant by effective, efficient and resilient recovery in your country and post-disaster context -- engendering the policy imperatives and principles formulated in the previous step of recovery planning. It is expected that reconstruction and recovery plans would proactively aim to mitigate the impact of future hazard events.

RESULTS MATRIX 4 • Application of Policy Principles to achieve Mutually Reinforcing Recovery Outcomes Across all Sectors

	Process and Functions	Action	Output	Actors
1	<p>Developing and maintaining a strategic and programmatic framework serves as a central planning node and oversight mechanism for cross-sectoral and integrated disaster recovery.</p> <p>Why? Such programmatic frameworks increase the likelihood of (a) more equitable resource allocation and judicious needs prioritization within and across various sector programs; (b) systematic sequencing of recovery activities according to agreed order of prioritization to ensure the planned outcomes along the planned timelines, and (c) instituting mechanisms for central monitoring and evaluation of recovery at a programmatic level, allowing room for strategic alterations.</p>		Programmatic Framework for Recovery.	<p>Lead Agency: Premier Planning Agency</p> <p>Others: Designated Reconstruction Agency, National/Subnational Government, Line Ministries</p>

Strategic, Comprehensive and Wide-Area Land Use and Physical Planning: The recovery planning process is most effective when driven by high-level support, led by government and involves the consultation and participation of the affected communities. Existing development policies should form the basis of recovery and reconstruction planning but may require rethinking to address (among other factors) land use zoning and the provision of physical infrastructure, particularly where entire regions have been devastated and need to be re-planned and reconstructed.¹⁶ In some cases, an area-wide planning process can also be commissioned in post disaster situations that cuts across, but also differentiates between, the urban-rural and local-regional contexts and requirements.¹⁷ Such a planning process can deliver an integrated treatment of settlements and residential areas; commercial areas and productive infrastructure; public infrastructure including physical, economic and social infrastructure; and typically rural subjects such as community owned infrastructure, forestry, farmland, animal husbandry and fisheries, etc. At local levels, considerations for planning can include: plans for growth, restoration of social and economic linkages for revival, consolidation of unused land, improvements in energy efficiency, environmental impact, creation of development nodes, and reconstruction of strategic towns, integration of residential, ecological, and economic land uses, plans for emergency access, etc.

INTER-SECTORAL PRIORITIZATION AND SEQUENCING OF RECOVERY NEEDS

The Need and Focus of Inter-Sectoral Prioritization: Once the sectors targeted for reconstruction have been identified, undertake a criteria-based and objectively verifiable cross-sectoral prioritization of recovery needs across competing inter-sectoral priorities. Such prioritization informs broader resource allocation and yearly on and off budgetary flows for recovery throughout the expected period of recovery. The normal rule of thumb for such prioritization is to first determine sectors and sector priorities that help achieve the “greatest humanitarian impact as early as possible”, in terms of alleviating the suffering of the affected people through interventions that directly reach them in the earliest phases of recovery.¹⁸ The case studies for this Guide show that housing and livelihood constitute two sectors that often take precedence over other sectors, despite being goods for private consumption, because action in these areas has a direct impact on affected populations. This is accompanied by the simultaneous restoration of critical public infrastructure and service delivery, followed by efforts for medium- to long-term reconstruction and generation of sustainable livelihoods.




¹⁶ For example in Samoa, after the earthquake and tsunami of 29th September, the Government of Samoa considered resettlement away from the coastal areas.

¹⁷ Jha, K. et al. Safer Homes, Stronger Communities. A Handbook for Reconstructing after Natural Disasters.

¹⁸ Where possible and appropriate this can be linked to Common Action Plan (or its equivalent) derived during the emergency phase.

Developing Principles for Inter-Sectoral Prioritization: A set of principles should be established to determine criteria for inter-sectoral prioritization that can help ensure equitable and demand-responsive recovery across the various affected jurisdictions and communities. Intra-sectoral recovery plans also need to be aligned and possibly reprioritized according to these key principles. This ensures that subsequent sector program development remains consistent with the overall objectives of the reconstruction program. Some criteria used in prioritizing recovery actions consistently arise in country experiences.¹⁹ These include:

- potential for direct and widest humanitarian impact;
- pro-poor, pro-vulnerable and gender-sensitive agendas;
- sustainable livelihood generation potential;
- balance between public and private sector recovery;
- balance between physical infrastructure reconstruction and less visible recovery (such as capacity building and governance), and;
- restoration and rebuilding of critical infrastructure and services.

RESULTS MATRIX 5 • Ensure Equitable and Demand-Responsive Recovery across affected Communities				
	Process and Functions	Action	Output	Actors
1	<p>Establish a set of principles to determine criteria for inter-sectoral prioritization.</p> <p>Why? Such prioritization subsequently informs broader resource allocation and annual budgets throughout the expected period of recovery. This ensures that subsequent sector program development and projects remain consistent with the overall objectives of the reconstruction program. This also helps leverage direct humanitarian impact in the shortest possible time and can promote conflict sensitive, pro-poor, pro-vulnerable and gender sensitive recovery agendas</p>	  	<p>Development of criteria for inter-sectoral prioritization and their recovery programming and sequencing.</p>	<p>Lead Agencies: Ministry for Planning and Development Ministry of Finance</p>
2	<p>Undertake criteria-based and objectively verifiable cross-sectoral prioritization of recovery needs across competing inter-sectoral priorities.</p> <p>Why? This can help ensure equitable and demand-responsive recovery across affected jurisdictions and communities. Intra-sectoral recovery plans also need to be accordingly aligned and possibly reprioritized according to these key principles.</p>		<p>Objective and criteria based resource allocation and yearly rationalization of recovery budget.</p>	

SETTING UP SECTOR-LEVEL RECOVERY PROGRAMS LEADING TO PROJECTS

Developing sector specific recovery programs. After the policy framework and inter-sectoral strategies are established, the lead recovery agency typically undertakes a programmatic approach to defining sector-specific recovery programs. These translate the key policy imperatives and priorities into programs and projects that can be financed and implemented. Sector-specific recovery programs and projects would then be expected to reflect the policy framework and inter-sectoral strategies, drawing upon information from assessments and surveys

¹⁹ For details refer to country case studies in the technical annexes of the Guide for Developing Disaster Recovery Frameworks.

(described in the second results table below) for the planning of individual sector projects. This is a consultative process, which serves to build ownership of the recovery program, and ensures the implementation of the guiding principle at the project level.







Preparatory actions and information collection for sector program development







By developing broad sectoral strategies early in the recovery process, sectoral policies and reconstruction objectives can be aligned to ensure synergy between reconstruction activities and development goals.

The PDNA or initial assessment is an important reference for the development of sector-specific recovery plans. These can be overseen by the lead implementation agency, with technical agencies assisting with the conceptualization and development of assessment frameworks, objectives and instruments. The lead implementation agency may also engage other public sector agencies, private sector enterprises, or civil society and community organizations for the purpose.

RESULTS MATRIX 6 • Inter-Sectoral Strategy for Recovery is Translated into Sector-Specific Programs and Strategies				
	Process and Functions	Action	Output	Actors
1	<p>Initial assessments following the disaster provide a baseline for developing sector strategies.</p> <p>Why? Developing these sectoral strategies early can not only bring all reconstruction partners ‘on the same page’ regarding reconstruction for each sector, it can also ensure that sectoral policies are in line with the overarching principles of recovery.</p>	  	<p>Preliminary Assessment Reports.</p> <p>Compilation & Transmittal of Damage Data at a Central Node.</p>	<p>National/ Subnational Government</p> <p>Others: Line Ministries, Local Government Departments, National Technical Agencies, UN Agencies</p>
2	<p>Using data available from the PDNA and assessments conducted during relief, the lead recovery agency can distill the broader cross-sectoral prioritization of recovery into sector specific recovery programs.</p> <p>Why? Transform the overall guiding principles into broad-level programmatic interventions provides clarity in planning.</p>		<p>Broad, sector-specific interventions defined.</p>	
3	<p>When designing sectoral policies and strategies, it is important to ensure all work is checked against realities on the ground by involving local implementers and affected communities.</p> <p>Why? Policy and strategy development can (i) start with technical teams and international partners; (ii) be contextualized by national sector experts; then (iii) vetted by local implementers and communities, before going for final approval. This flexibility allows for continuous feedback.</p>	 	<p>Detailed sector-specific programs developed, vetted by affected communities.</p>	

RESULTS MATRIX 7 • Development of Sector Recovery Program is Informed by Assessments and Surveys.

	Process and Functions	Action	Output	Actors
1	<p>Land Risk Survey/Assessment is an essential input for determining whether any relocation of communities is recommended to safeguard the disaster risk mitigation objectives of the reconstruction program.</p> <p>Why? In case, the disaster risk mapping of the urban area does not necessitate a physical relocation, it may still highlight future risks of disasters that need to be addressed using safer construction techniques or other measures for all subsequent rebuilding. This assessment should also analyze how existing land uses contributed to the disaster impacts and how regulations can be modified to reduce future risk to disasters. The assessment can then provide specifics on: (a) the formulation of guidelines for infrastructure development policies; (b) the development of modified zoning plans to prevent new development in hazardous areas; (c) floodplain and storm water management plans; (d) the setup of design controls that may be placed on a landscape to mitigate a hazard, and; (e) re-planning of areas that may have been stricken by a disaster.</p>		Clearer understanding of risks associated with reconstruction in affected areas; understanding of need for modified zoning or risk management plans.	
2	<p>Land Tenure Survey/Assessment analyzes the all-important issue of land- and tenure-records where any gaps might threaten to delay, or even stop, the implementation of the sector planning recommendations.</p> <p>Why? Information regarding land tenure enables informed sector planning.</p>	 	Information regarding land tenure obtained, allowing for informed sector planning.	
3	<p>Land Availability Assessment serves as the primary input for the process of identifying available and suitable land that may prove socially and economically viable for displaced populations in case any instances of relocation are deemed necessary due to disaster risk mitigation (DRM) considerations.</p> <p>Why? A comprehensive Land Availability Assessment may be undertaken if the resettlement or relocation option is being considered for populations or critical infrastructure. Once a tentative list of proposed sites has been drawn up, each site needs to be assessed for its suitability in terms of its proximity to economic centers as well as physical sources of livelihood and employment. Furthermore, the extent of urban service delivery to each site including electricity, water supply, sewerage, and etc. needs to be considered. Access to social support services for vulnerable groups is an important consideration.</p>		A land availability assessment.	
4	<p>Governance and Implementation Capacity Assessment has implications for the implementation of the program.</p> <p>Why? Any gaps in planning, management, implementation, or monitoring and evaluation (M&E) capacity need to be addressed prior to the actual realization of the urban reconstruction program.</p>		An assessment of governance and implementation capacity.	
5	<p>Social Risks and Vulnerability Survey/Assessment assists in identifying vulnerable affectees.</p> <p>Why? This can be used to determine the size and type of assistance, if any, to be offered to each beneficiary of the program.</p>		An assessment of social risks and vulnerabilities.	

6	<p>Infrastructure and Service Delivery Survey/Assessment provides results that may help design program components aimed at rehabilitating infrastructure and resuming essential services.</p> <p>Why? This may form the basis for any plans for improving the coverage or quality of infrastructure and services, as well as providing the required services in case any relocation of population is warranted.</p>		Assessment of infrastructure and service delivery.	
7	<p>Economic and Livelihood Survey/Assessment assists in the adequate resumption of economic activities and livelihoods for beneficiaries of the land use and physical plans.</p> <p>Why? This data further proves pivotal in case relocation is needed for any portion of the populace.</p>	 	Economic and livelihoods assessment.	
8	<p>Environmental Assessment is an essential input for the program to safeguard environmental objectives.</p> <p>Why? Notable issues here may relate to demolition of damaged structures, disposal of debris, environmentally sound construction recommendations, a discussion of construction materials and environmental effects, etc.</p>	  	Environmental assessment.	






Setting-up Consultative Processes and Forums for Inclusive Planning

The sector-level program development process, even if centrally initiated and regulated, is most effective when it involves early, continuous and proactive multi-stakeholder inclusion, with a conflict sensitive perspective. Consultative processes are important so that sector strategies remain relevant in different locales. Thematic forums that cut across sectors (such as housing sector recovery planning and housing design) can be established by the lead recovery agency, together with relevant line departments. Consulting communities with regard to recovery increases the likelihood of widespread acceptance. In fact, community participation is fundamental to ensure the demand, local ownership and longer term sustainability of recovery efforts – and to ensure that communities regain access to viable sources of livelihood, economic infrastructure, and social services that approximate or improve upon what they enjoyed prior to the disaster.

To that end, it is essential to understand the conflict dynamics, in particular the relations between stakeholders and the issues that create tensions and problems. It is then important to analyse how one particular intervention will impact on those dynamics. Lastly, being conflict-sensitive is not just about understanding, but about acting upon this understanding. That means building in the appropriate provisions and activities when interventions are first being planned – or adjusting on-going interventions– to ensure that they do not exacerbate but help to reduce conflict tensions, by reducing inequalities and bridging divisions.²⁰

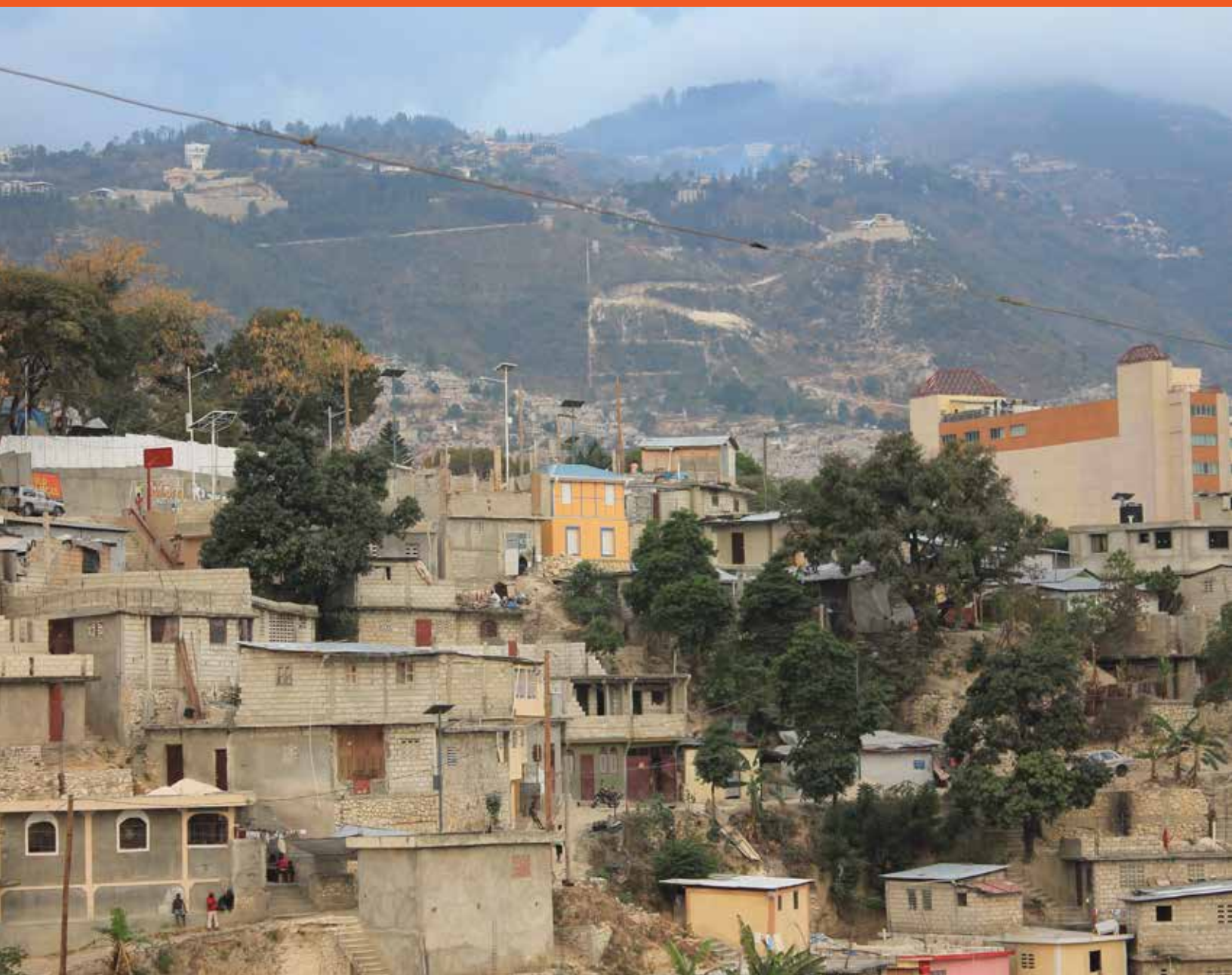
²⁰ http://www.saferworld.org.uk/downloads/pubdocs/EUConflictSensitivity_Final.pdf

RESULTS MATRIX 8 • Sector-Level Recovery Programs are Developed in a Consultative and Inclusive Manner

	Process and Functions	Action	Output	Actors
1	<p>Establish a consultative process to map all key stakeholders.</p> <p>Why? This will identify the stakeholders to be included in the planning process, reducing potential grievances and ensuring wide acceptance of recovery program.</p>		Process for being able to map key stakeholders.	
2	<p>Consultations between sectors and between different levels of stakeholders (from national to community levels) are important for developing and coordinating recovery programs.</p> <p>Why? Intergovernmental forums can help develop lines of communication between groups who did not regularly interact prior to the disaster. This introduces different perspectives for consideration in planning and implementing recovery.</p>	 	Differing modalities for consultation.	
3	<p>Create forums for involving sub national government, civil society, technical institutions, academia, private sector, and affected communities.</p> <p>Why? These can facilitate dialogue and consensus-building. They are crucial for building ownership of sector recovery programs at all levels (See more information on building ownership in Phase 3: Implementation).</p>		Forums for wider consultative groups.	
4	<p>Involve community stakeholders in recovery planning and programs.</p> <p>Why? Community-level stakeholders are too often considered as passive beneficiaries who might be informed of others' plans for recovery. Experience shows that their active involvement is critical and needs to be factored into planning recovery projects in order to obtain widespread acceptance. Stakeholders include vulnerable segments of population and local governments who are in direct dialogue with communities.</p>		Community participation.	



MODULE 3 - INSTITUTIONAL FRAMEWORK FOR RECOVERY





INTRODUCTION

Managing a recovery effectively and efficiently enables the large inflows of resources that may be mobilized in response to a disaster to be best used to achieve the government's objectives. Together with policy and strategy formulation, the nature of institutional arrangements is a central determinant of successful recovery. This section describes good practices and key results associated with the development of institutional frameworks for overseeing, managing and coordinating reconstruction.



WHO WILL MANAGE RECOVERY? ASSESSING EXISTING CAPACITY

Geographic and political spread of disaster should inform assessment: Following a disaster, an important and immediate imperative is to assess existing government capacity to conduct post-disaster recovery. The profile of the lead manager and agency for post-disaster reconstruction will depend on the magnitude and nature of the disaster, but needs to be identified at the start of the recovery process. Other factors that may influence the selection of lead manager and agency are the geographic impact of the disaster (e.g. cutting across jurisdictional lines), and whether existing capacity is adequate for the estimated duration of the reconstruction process.

Both skill and logistical capacities need to be assessed: There are two main criteria to measure the capacity of an entity to manage recovery: staff capacity and skill capacity. Capacity assessments provide an opportunity to examine sector specific requirements. It may be the case that sufficient (perhaps even excess) expertise and manpower to successfully conduct recovery resides in one sector, while another sector might be under-skilled and understaffed. Prior experience or involvement in disaster recovery is not a pre-requisite; more important is proven ability to produce results under tight deadlines, multi-task and be flexible about working within quickly evolving circumstances.

Capacity to manage contracts and procurements are critical: Considerations of the capacity to handle contract management are important for procurement of reconstruction equipment and material, evaluation of tenders and the oversight of recovery projects. These require dedicated time and human resources as well as specific technical knowledge. In recovery operations where third party contractors form a substantial bulk of the implementers, the skill and logistical capacity to manage contracts can become central to the successful recovery implementation.

RESULTS MATRIX 9 • A clear understanding of the skill and staff capacity assessment needs for recovery

Process and Functions	Action	Output	Actors
<p>Post-Disaster capacity assessments should be sensitive to the needs of specialized skills (for example, engineering skills, and contract and project management skills), as well as the need for manpower, i.e. the logistical capacity to undertake the expansive list of recovery tasks. The assessments should also be sensitive to the sector specific requirements. Capacity assessment may start with the PDNA.</p> <p>Why? Early assessment of the available capacity to implement recovery will alleviate pressure on staff and other resources later in the process. Assessing sector specific requirements will enable the augmentation of capacity (if needed) is directed to the appropriate sector. Similarly, assessing capacity along both skill and manpower criteria will help ensure that there are not only the appropriate skills, but also that there are sufficient resources.</p>	 	Appropriate Capacity Assessments are Conducted.	Lead Agency: National

SELECTING THE APPROPRIATE LEAD INSTITUTION

The lead agency can synchronize disparate recovery efforts: The lead agency must pay special attention to developing the reconstruction program with a view to synchronizing or harmonizing strategies across sectors. This translates into allocation of resources to avoid disparities, imbalances and inequities in spending and quality of delivery. Urgency must also be maintained in delivery of results, by focusing on reconstruction deliverables and targets.

A variety of options for an institutional arrangements exist: Post-disaster reconstruction experience from around the world reveals a range of institutional arrangements that can be used depending on the characteristic of disaster, current governance structure, prior experiences and the overarching coordination, monitoring, oversight and control frameworks in operation among agencies and line ministries. While such a decision might be arrived at after necessary consultations with key stakeholders and future implementers of the program there is an urgency for it to be made quickly. Three options for a lead institution present themselves:

- **Strengthen and coordinate existing line ministries to be the reconstruction leaders, sector by sector.** In this option overarching frameworks is derived under which individual line ministries work independently for the management of recovery in their particular sectors and also supervise and implement projects. This usually begins with joint preparation of a master plan, blueprint, or action plan for the recovery where the respective roles and activities of the line ministries are identified in support of reconstruction. With this option, the existing capacities of government line ministries must be adequate to deal with additional and urgent responsibilities. Some of the challenges that may be encountered include:
 - rapid recruitment of temporary staff may not adequately supplement the capacities;
 - line ministries may struggle to focus on reconstruction programs at the expense of longer term goals;
 - and coordination may be difficult without sufficient prior experience.

- **Create a new institution for recovery management.**

Here the option is to designate or create a single lead implementation agency that envisions, strategizes, plans, implements and controls the overall multi-sectoral reconstruction program. This option has various advantages over the first option that include: the autonomy of agency, clear line of responsibilities, clear and effective internal and external communication, and capacity to handle complicated financial, monitoring and evaluation arrangements. However, its potential disadvantages include: the lack of authority to achieve results, possible lack of ownership and institutional resentment from compromised authority and duplicated mandates at various levels of government. Starting up will incur high administrative costs, inadequately represent local needs and struggle to meet demands from the planning and implementation processes.

- **Hybrid arrangement.**

A third option that has increasingly been used by Governments in recent times is a hybrid institutional model combining advantages of the above options while offsetting their risks. Under this arrangement, existing government structures are strengthened through the creation of a temporary agency tasked with providing overarching central guidance, management and support services to enhance the strategic integrity and consistency of the reconstruction program. It is dedicated to ensuring relatively speedy delivery of reconstruction deliverables and meeting targets. The creation of a new institution may be desirable in situations where existing government agencies are unlikely to be able to coordinate and implement a high number of additional projects at increased speed, while sustaining routine public services. This option consolidates recovery into a single agency with oversight of the process, a single point of coordination for national and international stakeholders. Ensuring the inclusion of public and private stakeholders will require coordination with established entities. Implementation responsibilities will fall to line ministries, sub-national, or district and municipal levels. As the recovery transitions to development, and the agency's mandate expires, the assembled capacity, knowledge and experience may be lost.

Senegal Creating a new Institution:

In 2012, the new Senegalese government created a new institution known as MRAZI, or the Ministry for Restructuring and Managing Flood Zones. Its creation signaled the government's commitment to addressing the plight of flood victims in the capital city of Dakar.



Indonesian Hybrid Model:

The hybrid model was used in Indonesia after the 2004 Indian Ocean Tsunami. In adopting this model, a sunset clause existed from the outset. The four-year mandate of BRR maintained urgency for reconstruction and encouraged a handover strategy to existing administration in Indonesia.

Clear mandates and operational modalities are essential to empower the lead organization: Within the mechanism selected, clear modalities of operation and mandates of key recovery actors are critical to achieving desired levels of responsiveness, coordination, effectiveness, monitoring and evaluation. The extent and pace of reconstruction set in the recovery objectives may provide impetus for centralization. Special mechanisms for allocating resources to reconstruction, procurement, and staffing may need to be established. For time bound mandates, the staff contracts should clearly include a termination or transition point, so that the designated institution does not take on a life of its own or survive beyond its reconstruction mandate.²¹

²¹ In Pakistan, the Earthquake Reconstruction and Rehabilitation Authority (ERRA) was established as a time-bound central authority under the Prime Minister's Secretariat. Pakistan Case Study, p. 9

Checks on the power of the lead institution are also necessary: When establishing new agencies to lead recovery, consideration should be given to checks on unilateral action. This can be achieved through early and continuous involvement of relevant sector ministries and departments, and sub-national governments and municipalities. Together these can set the overall strategic principles and the design parameters and standards for development and implementation of local reconstruction plans.²²

RESULTS MATRIX 10 • Clarification of the modalities of operation and mandates for a lead recovery agency			
Process and Functions	Action	Output	Actors
<p>Based on disaster context and type and scale of impacts, an appropriate institutional mechanism should be chosen or developed to lead the response and recovery effort.</p> <p>Why? Early establishment of the best mechanism to manage the recovery will enable implementation to be structured to meet recovery objectives. The earlier this happens, the earlier all stakeholders and actors can align efforts and financing, minimizing gaps and duplications. International support may vary from being heavy during the initial period after a disaster to becoming lighter as central and local institutional capacity is rebuilt.</p>	 	<p>The most relevant Institutional Framework is chosen and developed; Central body for donors and partners to align financing and efforts behind the lead agency.</p>	<p>Lead Agency National</p>

APPOINTING AN APPROPRIATE RECOVERY LEADER

A Recovery Institution is empowered through a clear mandate for its existence, as well as the appointment of a strong leader to head it.



Credible leadership can benefit recovery in a variety of ways: Leadership selection will be enhanced if the candidate has domestic and international credibility. This is critical for raising funds for recovery, as donor governments look to build relationships with the leader of post-disaster recovery efforts. The recovery leader has to bridge and resolve organizational divisions between stakeholders, including donor governments, international and national non-governmental organizations (I/NGOs) and local and federal governments.

Strong leadership can help overcome institutional barriers: Reconstruction organizations often face resistance from existing line ministries and development organization that might feel that reconstruction is encroaching on their mandate. Strong support from the highest levels of political leadership for the recovery effort can where necessary help overcome institutional resistance over issues such as potentially overlapping jurisdictions or mandates. A leader with good political and communication skills and who is well known can greatly facilitate political backing for the recovery effort.

Strong leadership can also help introduce good recovery practices: Strong leadership can also drive adoption and implementation of good reconstruction practices. In certain quarters these may engender political debate. Building Back Better is an example of a recovery philosophy with many political aspects. Dedicated and empowered leadership of the recovery can help to keep investments, both monetary and non-monetary focused to enable resilient reconstruction. When recovery funds are drawn away from the main objectives then the risk is that the impact of risk reduction measures is diminished, keeping many of the pre-disaster risks intact.

²² For details refer to section on *Monitoring and Evaluation*

RESULTS MATRIX 11 • An empowered recovery institution having good relations with key stakeholders

Process and Functions	Action	Output	Actors
<p>Appoint a respected and credible person to lead the recovery effort.</p> <p>Why? It is beneficial to the effectiveness of the recovery if this person or persons enjoys good relations with recovery partners and with the government.</p> <p>Individual agencies may implement divergent recovery efforts. A strong leader can firmly establish the organizational priorities and policies for recovery. A credible lead person can also help bridge institutional divides among reconstruction stakeholders, and serve as a conduit between international agencies and the reconstruction agency.</p>	 	<p>Choosing The Appropriate Leader for an Empowered Recovery Institution.</p>	<p>Lead Agency National</p>

CREATING A LEGAL INSTITUTIONAL MANDATE

A clear legislative mandate enables institution(s) tasked with overseeing recovery to function successfully. Three ways to create a legal mandate for improvised or new institutional arrangements for post-disaster strategic land use and physical planning are by:

- Amending existing legislation;
- Introducing new legislation, and;
- Creating a mandate through ordinances and government orders.

Legislation should clearly codify functions and authorities of the implementing institution(s), clarify funding mechanism(s) and establish a dissolution date or sunset clause for the institution.²³

Such legislation also needs to clarify institutional roles and responsibility: These can include specifications on who will reconstruct which asset —setting the basis for organizing recovery institutions and implementing programs. Experience shows that recovery can stumble if there is legislative confusion over institutional ownership and responsibility. Confusion can lead to institutional friction between line ministries, development agencies and reconstruction authorities. This in turn risks aspects of the recovery being neglected or becoming the focus of too much attention.

Hand-over and legacy assets may deserve particular attention: Certain assets may have a history of inter-agency handover or inter-agency inheritance. Examples include schools that have been built, or livelihood policies that have been introduced by a development agency with the intention of subsequently handing over to local government. Early involvement of agencies who are to maintain responsibility for reconstructed assets would facilitate effective and efficient recovery.




Unprecedented mega-disaster in Haiti caused confusion on how to institutionalize mandates

The 2010 Haitian earthquake destroyed and severely damaged many government buildings; as a consequence ctore of the country/region was heavily impacted and disrupted legislative and judicial proceedings— making it doubly hard to institutionalize and clarify the mandate of relevant agencies. In such cases, special powers, such as executive authority, have been invoked as a means of providing short-term empowerment to the agencies.

²³ Please refer to the Yemen, Pakistan, and Indonesia case studies in the technical annexes of the Guide.

Similarly, cross-jurisdictional assets should also be kept in mind: Assets that cut across the government’s jurisdictional boundaries such as highways, water and irrigation systems are additional areas where clear understanding of roles and responsibilities will assist recovery. “Soft-sector” assets such as economic policies instituted by the central government and implemented by the lower tiers of the government also require dialogue and coordination between the two during recovery. Legal clarity on the degree of policy and programmatic authority at each level of government helps avoid friction between the levels of government.

Clear policies on private sector assets also smooth the recovery process: Disasters can heavily impact privately owned assets such as houses and businesses. Legal clarity on the recovery of private sector assets is required to guide the actions of the lead institution(s). Issues for consideration include the responsibility that recovery institution(s) may have for repairing or replacing private sector assets. The housing sector is replete with these issues. Legal clarification enables effective handling of private sector assets in recovery.

RESULTS MATRIX 12 • Institutions function with clarity of purpose and jurisdiction			
Process and Functions	Action	Output	Actors
<p>Countries facing post-disaster recovery are infrequently prepared for the scope of the task. In addition to the significant financial, infrastructure and resource requirements of recovery, there is the need to have clear institutional mandates that distinguish the roles of agencies from each other, and clarify the responsibilities of the various organizations.</p> <p>Why? Ensuring clear mandates for the recovery institution(s), including the ownership of damaged & lost assets, the responsibility of reconstruction, rules for the recovery of private sector assets, and the responsibility of the various levels of government allows the various actors to function smoothly in a complex and fast-paced environment. It also minimizes friction between institutions and allows the focus to remain on the recovery program.</p>	  	<p>Appropriate attention is given to all lost/damaged assets, and focus is maintained on the recovery process.</p>	<p>Lead Agency: National and Local legislature</p>

STAFFING FOR RECONSTRUCTION

Immediate-term staffing

- Staff skills can be augmented through targeted staffing policies:** Whether a new body is formed or existing institutions are made responsible for the reconstruction effort, staff capacity almost invariably needs to be augmented. This includes the addition of new personnel, often with specialized skills. One option is to draw staff from a variety of other sources including line departments, domestic and international private sector, and international agencies through secondment and special arrangements (even if temporary) to transfer reporting lines to the lead agency.
- Significant benefits arise from forming reconstruction teams that are well connected and familiar with the wide variety of stakeholders in the reconstruction process. By including experts from domestic and international agencies, global good practices can be brought into the reconstruction effort.

Surge staffing procedures






As part of disaster response, the United States has established surge staffing procedures that outline the short-term staff procurement procedures for affected departments and ministries.

Long-term staffing

- **Long-term staffing should include input from successor agencies:** Staff surges and technical experts to support reconstruction efforts is not sustainable beyond the initial years of post-disaster recovery; their departure creates issues of longer-term staffing and capacity maintenance. To facilitate the handover of the recovery portfolio to development agencies²⁴, liaison officers and transition teams can be included in the recovery process as planning partners. This can help make the reconstruction process aware of the capacities and needs of the line ministries.
- Implementation of ‘building back better’ strategies may not only require new technical capacity, but also an increase in financial resources to maintain them. This creates an additional imperative for including line ministries (at least) in the later stages of the reconstruction process.

Focus on provincial levels in Indonesia

The fourth and last year of BRR’s mandate in Aceh and Nias (Indonesia) was devoted to working with district and provincial levels of government to manage the reconstruction portfolio.

RESULTS MATRIX 13 • Sustainable reconstruction that draws on both local knowledge as well good practices			
Process and Functions	Action	Output	Actors
<p>The agency chosen to lead reconstruction needs to be strengthened with additional staff to enable reconstruction.</p> <p>Why? Pre-disaster line departments and development agencies are typically not staffed to meet the new demands and needs of post-disaster reconstruction.</p> <p>Generally key skill required in the areas of:</p> <ul style="list-style-type: none"> • Planning & Programming • Procurement • Contract Management • Financial Management • Hazard Mitigation • Risk Inspection • Technical/Engineering • Monitoring & Evaluation • Municipal Management • Social safeguards • Gender inclusion 	  	<p>Staffing Up After the Disaster.</p>	<p>Lead Agency: National</p>
<p>If affected governments are unable to meet the increased technical requirements, solicit expertise from elsewhere to give direction to programmatic activities. As such there is a need for ensuring that the institutional framework for reconstruction facilitates the influx of these experts</p> <p>Why: Facilitating building technical capacity can be achieved through policy designed to coordinate the provision of resources to designated government entities using recovery planning and supporting recovery capacity.</p> <p>Greatest effect will be achieved if universal agreement can be reached on what is required to meet and achieve the recovery objectives. A collaborative platform led by government can be designed to enhance coordination with the sector approach and to support the exchange of information among recovery actors, civil societies and beneficiaries. Coordination strategies likely to have greatest success are customized to local conditions, based upon a deep analysis of the impact of the disaster and objectives of the recovery.</p>	 	<p>A collaborative platform designed to enhance coordination and to support the exchange of information.</p> <p>Policy to coordinate the provision of resources using recovery planning and supporting recovery capacity.</p>	<p>Lead Agency: Government</p>

²⁴ Typically line ministries and development agencies.

PLANNING AGENCIES AND RECONSTRUCTION AGENCIES: ENSURING LINKAGES BETWEEN PLANS AND OBJECTIVES

Resilient recovery can be a means of sustainable development. Sustainable development can be achieved by aligning the goals of the recovery program with national development objectives. The national planning agency has a critical role to play in enabling the alignment of recovery with development.²⁵

As discussed earlier, there are significant advantages in clear and distinct mandates being laid down for reconstruction, development and planning agencies. In this way they can all complement each other.²⁶

Including development agencies as institutional partners in recovery can help make recovery resilient: Recovery can incorporate development objectives best if there are representatives of development agencies at the recovery agency as liaison officer, advisors and as staff. They can be part of the planning & programming staff. Another way is to have a planning agency with the mandate of the lead recovery and reconstruction institution. Table 3 provides an overview of the strengths and weaknesses that reconstruction-specific and planning agencies bring to the recovery process.

Table 3. Pros and cons of recovery-specific and planning agencies in the recovery process

	Pros	Cons
Reconstruction-led Agency Model	<ul style="list-style-type: none"> • Has mechanisms to implement reconstruction • Has mandate to implement reconstruction • Has capacity to address the scope and magnitude of work required • Does not have a “business as usual” approach 	<ul style="list-style-type: none"> • Insufficient knowledge of long-term development goals
Planning Agency-led Model	<ul style="list-style-type: none"> • Has knowledge of planning objectives • Has knowledge of approval procedures for planning initiatives • Has coordination mechanisms to assist with reconstruction 	<ul style="list-style-type: none"> • Institutional inertia can prevent reconstruction from being implemented urgently • Lacks the capacity and institutional mechanisms to address reconstruction needs with speed and flexibility

ENABLING GOVERNMENT LEVEL COORDINATION AND LOCAL IMPLEMENTATION

In line with the principle of **subsidiarity**, and in the interest of maximizing economies of scale, recovery institutions can achieve greatest effect if they 1) maintain uniformity arising from consensus agreement in the recovery vision, and 2) decentralize implementation.





Changing government priorities over time may result in a loss in momentum as well as a change in direction of reconstruction programs. This can lead to a sub-optimal recovery effort, but can be avoided by separating programmatic work from policy debates.

To facilitate communication between devolved recovery bodies and those with oversight functions, there needs to be effective coordination and ways to consider and define corrective actions.

²⁵ Please refer to the Mozambique Case Study in the technical annexes of the Guide.

²⁶ Please refer to the section on *Creating a Legal and Institutional Mandate*.

RESULTS MATRIX 14 • Decentralized implementation guided by centrally established policy

Process and Functions	Action	Output	Actors
<p>Recovery policy is set at national level but implementation will be carried out at local levels.</p> <p>Why? This helps ensure that policy uniformity is maintained across the many reconstruction programs being implemented. Programmatic decisions are best informed when they are made as close to the ground as possible, and can benefit from the feedback of the impacted population. This is a critical mechanism for timely correction of programmatic approaches.</p>	 	Clear structures for setting recovery policy and implementation.	Lead Agency: National
<p>Establish tiered implementation and policy-setting institutions.</p> <p>Why? This is one method of balancing government policy setting with devolved implementation. The programmatic work of the implementing body is overseen by a policy-setting body. Thus, the policy-setting body works both vertically and horizontally to ensure progress remains in compliance with central standards. This institutional framework encourages the division of policy-setting and implementation functions across two different bodies. However, attention should be paid to incentives and methods that ensure compliance in tiered institutional arrangements.</p>	 	Devolved bodies communicate effectively with oversight bodies.	National and sub-national levels.

A tiered coordination and implemented structure created by ERRA after the Pakistan 2005 Earthquake.

- Following Pakistan's 2005 earthquake, the lead reconstruction agency, Earthquake Reconstruction and Rehabilitation Authority (ERRA), enabled central coordination alongside local implementation by creating a tiered coordination and implementation structure.
- At the top was the ERRA Council, which provided strategic directions in matters of policy formulation and ensured adequate funding. It was coupled with the ERRA Board which ensured implementation of approved policy decisions, and developed and implemented annual plans, programs, projects and schemes. Similarly, at the provincial and state level, the Provincial Steering Committee was coupled with the Provincial Earthquake Reconstruction and Rehabilitation Authority (PERRA), and the State Steering Committee was coupled with the State Earthquake Reconstruction and Rehabilitation Authority (SERRA). At the district level, the District Reconstruction Advisory Committees provided work-plan oversight to the District Reconstruction Units with designed programmatic interventions.
- Local implementation was also enabled by allocating independent budgets to PERRA, SERRA, and the DRUs. This allowed the implementing organizations to create and manage their own work plans that engendered ownership and helped ensure that projects were locally planned.

INSTITUTIONALIZING CONTINUITY BETWEEN HUMANITARIAN AND THE RECOVERY PHASES



The humanitarian phase and recovery activities form part of a continuum. It is important to recognize the contribution of humanitarian action, which enables recovery to start as soon as possible.

Recovery institutions can capitalize on the institutional groundwork laid during the relief and early recovery periods. Ensuring institutional continuity between the humanitarian phase and recovery enables knowledge connections and trust gained by implementers in the humanitarian phase to be used in the recovery.

A means to ensure continuity across recovery phases may be to take staff from the relief and early-recovery organizations into the recovery agencies: In this way their institutional knowledge, as well as the community relationships and goodwill can continue to be developed during recovery. Already established contact and lines of informal communication with the affected communities can be key in sustained and productive community feedback on reconstruction activities. They also help to ensure that recovery and reconstruction objectives are aligned with preceding relief activities.²⁷

Early involvement of local decision-makers can smooth recovery later: Immediately following a disaster the government will be required to make many decisions in the planning and implementation relief and how it will transition into recovery. Some of these early decisions focused on relief may not meet the immediate needs or longer-term objectives of the recovery. There may be instances where continued delivery of relief provides disincentives for the recovery. The sense of urgency that characterizes relief efforts can lead to a decision to circumvent or shortcut normal consultative processes. While decisions may have been made faster, the effectiveness of these decisions may be lessened if the local decision-making structures have not been involved.

For these reasons, recovery efforts to restore livelihood opportunities, essential infrastructure and services, governance capacity and social cohesiveness can be greatly enhanced if they are informed by and follow directly on from emergency assistance programs. Such collaboration and cooperation will establish the continuum from humanitarian operations and recovery initiatives by affected communities into longer-term recovery and on to development.²⁸

RESULTS MATRIX 15 • Institutional continuity between Relief and Recovery			
Process and Functions	Action	Output	Actors
<p>Reconstruction should build on the activities of the humanitarian phase to the extent possible and they should not be seen as separate activities.</p> <p>Why? Institutionalizing connection between the humanitarian phase and reconstruction can greatly contribute towards a successful reconstruction effort.</p> <p>There is benefit from immediate and deep connections with those in the impacted area built by many large and small implementing actors delivering relief.</p> <p>During relief efforts, initial contacts and lines of informal communication between relief agencies and those impacted by the disaster are established. Given recognition of ties between relief and reconstruction, the merits of subsuming the lead relief agency into the lead recovery agency can be examined.²⁸ In this way, the institutional knowledge of the relief agency is taken on by the recovery agency, connections with the community can be maintained thereby sustaining community feedback on reconstruction.</p>	 	<p>Maintenance of institutional knowledge from relief into recovery.</p>	<p>Lead Agency: Lead Relief Body; lead Reconstruction Body; Variety of humanitarian phase and reconstruction implementers</p>

²⁷ Please refer to the Pakistan Case Study in the technical annexes of the Guide.

²⁸ Arnold, M., & Burton, C. (2011). Protecting and Empowering Vulnerable Groups in Disaster Recovery.

INSTITUTIONALIZING THE ROLE OF INTERNATIONAL AGENCIES AND DEVELOPMENT PARTNERS

After a disaster, the government faces the tasks of appointing the lead recovery and reconstruction agency, and ensuring that it has the ability and capacity to coordinate with partners and international agencies – particularly when the latter are major donors and interested in being implementing partners in the recovery and reconstruction effort.

Institutionalizing the role of recovery partners can alleviate future institutional friction: International agencies are usually quick to offer assistance after a disaster, but their funding may have stipulations and conditions. One common requirement is to provide evidence of robust financial tracking and reporting mechanisms. Although the disaster may have caused such mechanisms to function sub-optimally, donors have an obligation to report back to their own constituents on the good use of the contributions for disaster recovery. Thus, international organization may be reluctant to contribute directly to the government’s budget for recovery, and instead opt to manage recovery funding in parallel to the national system.²⁹

Creating joint ownership of the government led reconstruction process among international partners enables them to become familiar with the context-specific complexities of the reconstruction process, and can encourage long-term commitment to projects they have pledged to fund and implement. This however, must be balanced with the need to ensure that the reconstruction agency does not cede control of the recovery program to international agencies and development partners.

By institutionalizing the role of international agencies and development partners, avenues for their participation in the recovery effort can be identified and clear guidelines on their roles, responsibilities and mandates established.

Senegal’s Coordination Platform with International Agencies

In Senegal, the National Platform for DRR as an advisory and consultation body, with sectorial stakeholders on risk and disaster management, integrates international partners who are involved in the thinking on strategies and DRR policy. In practice, this platform has remained somewhat operational since its creation in 2008 so that the coordination with international partners is more on a per-sector basis for the sake of promoting DRR. For example, there is the network of development partners in various fields such as environment, water and sanitation, health, agriculture, etc. Specialists in various sectors from these international agencies meet regularly within these networks to share experiences and opinions on the sectoral policy of the government and make consolidated recommendations to the attention of the government and its corporate divisions.

RESULTS MATRIX 16 • A well-managed process for the incorporation of international agencies and development partners			
Process and Functions	Action	Output	Actors
<p>Institutionalize the role of international agencies and development partners into the recovery process.</p> <p>Why? International agencies and development partners offer expertise and financial resources. By establishing institutional protocols international agencies and development partners can be integrated into the overall reconstruction effort. In this way concerns can be raised and perceptions managed. Options for their long-term commitment (financial and non-financial) to the reconstruction effort can be discussed as part of this arrangement.</p>	  	<p>Institutionalizing role of International Agencies and Development Partners; Establishment of donor coordination forums</p>	<p>Lead Agency: National</p>

²⁹ For further information refer to the section on *Financing for Recovery*

ENGAGING EXPERT ASSOCIATIONS, CIVIL SOCIETY ORGANIZATIONS AND THE PRIVATE SECTOR

Civil society organizations and the private sector can be important actors in post-disaster recovery. They have proven the ability to mobilize sizable funding, and can often be sources of valuable expertise.

Civil society organizations often have well-cultivated links to the affected communities that can prove valuable in project implementation. Creating space for civil society organizations in the institutional arrangements of post-disaster recovery provides access to their knowledge and connections. Appointing respected civil society leaders to serve on the advisory board for recovery and reconstruction can help create more widespread support for the recovery. This may also be useful for social and gender inclusion in the recovery & reconstruction process.

There are various options to involve civil society organizations: The private sector may have expertise that would be useful in reconstruction, but attracting their involvement may be challenging for some disaster-affected governments, who have difficulty matching private sector salaries and benefits. One proven option is to contract the firms that employ them. These firms can deliver at the project implementation level, and also oversee reconstruction in support of the lead reconstruction agency. Such involvement can contribute to the perception of impartiality and transparency in the reconstruction oversight.

Expert and Industry associations, such as those of engineers, agriculturalists and educators can serve as focal-points for soliciting expert advice on recovery and reconstruction planning: They can also provide valuable information on operational aspects of recovery and reconstruction. They often have informal (anecdotal) familiarity with contractors and their particular industry. They can evaluate tenders and contracting bids, and act in other positions that require widespread industry knowledge. Their expert and industry associations can provide an increased level of transparency and fairness to the tender selection process. This is particularly useful where the influx of donor money makes tender selection a contentious issue.

RESULTS MATRIX 17 • An inclusive, well-resourced recovery program that draws effectively on domestic and international expertise

Process and Functions	Action	Output	Actors
<p>Drawing on the resources offered by civil society, the private sector and expert associations.</p> <p>Why? Recovery and reconstruction experiences have demonstrated the value of civil society, private sector and expert associations to the recovery effort. The private sector can offer expertise and financing; civil society organizations can offer deep connections to the affected communities, and expert associations can offer a focal-point for expert advice on the technical matters relating to recovery.</p> <p>Making institutional space for civil society, private sector and expert associations in the recovery effort can help raise funds, meet the staffing needs of recovery, create a more inclusive recovery process, and bring in expert resources to help guide the recovery process.</p>	  	<p>Mechanisms for the inclusion of Civil Society, Private sector and Expert Associations in the recovery process.</p>	<p>Lead Agency: National</p>



MODULE 4 - FINANCING FOR RECOVERY





INTRODUCTION

In post-disaster reconstruction, the major financing challenges are to quickly quantify the economic and financial costs of the disaster, develop reconstruction budgets, identify sources of financing, and setup the mechanisms to manage and track funds. Good practices across post-disaster experience share the common characteristics of speed, coordination and flexibility.

- **Speed:** Meeting the recovery objectives demands quick response necessitating actions to occur under significant time pressures and must be completed within the set timeframes.³⁰ Rapid progress is required, which must be measured on the defined set of intervals. This mandates short timelines for project preparation, budget approval and procurement, as compared to the regular projects. Special dispensations or accelerated processes may be applied to disburse the funds available for recovery as quickly (yet transparently) as possible.
- **Coordination:** Often many government and non-governmental actors engage in the reconstruction efforts. This poses significant coordination challenges for the government that is taking overall lead in coordinating the reconstruction efforts. Having a variety of stakeholders and donors contribute to the same objectives requires the use of different types of coordination mechanisms to marry policy to funding and implementation – especially when many funds will not be managed by the government (on-budget) but by the funding sources (off-budget).
- **Flexibility:** In post-disaster environments, conditions change so rapidly that unacceptable delays may occur if budgeting revisions have to wait until the normal budget cycle occurs. The government may have established a *contingency fund* to respond to the immediacy of a disaster. Such funds are characterized by flexibility to respond appropriately, especially in the immediate aftermath of the disaster's occurrence. Pooled funds from donors that are administered by a trustee are also characterized by their flexibility to finance recovery needs that may be unattractive to the bilateral donors or do not fit within the government budget.

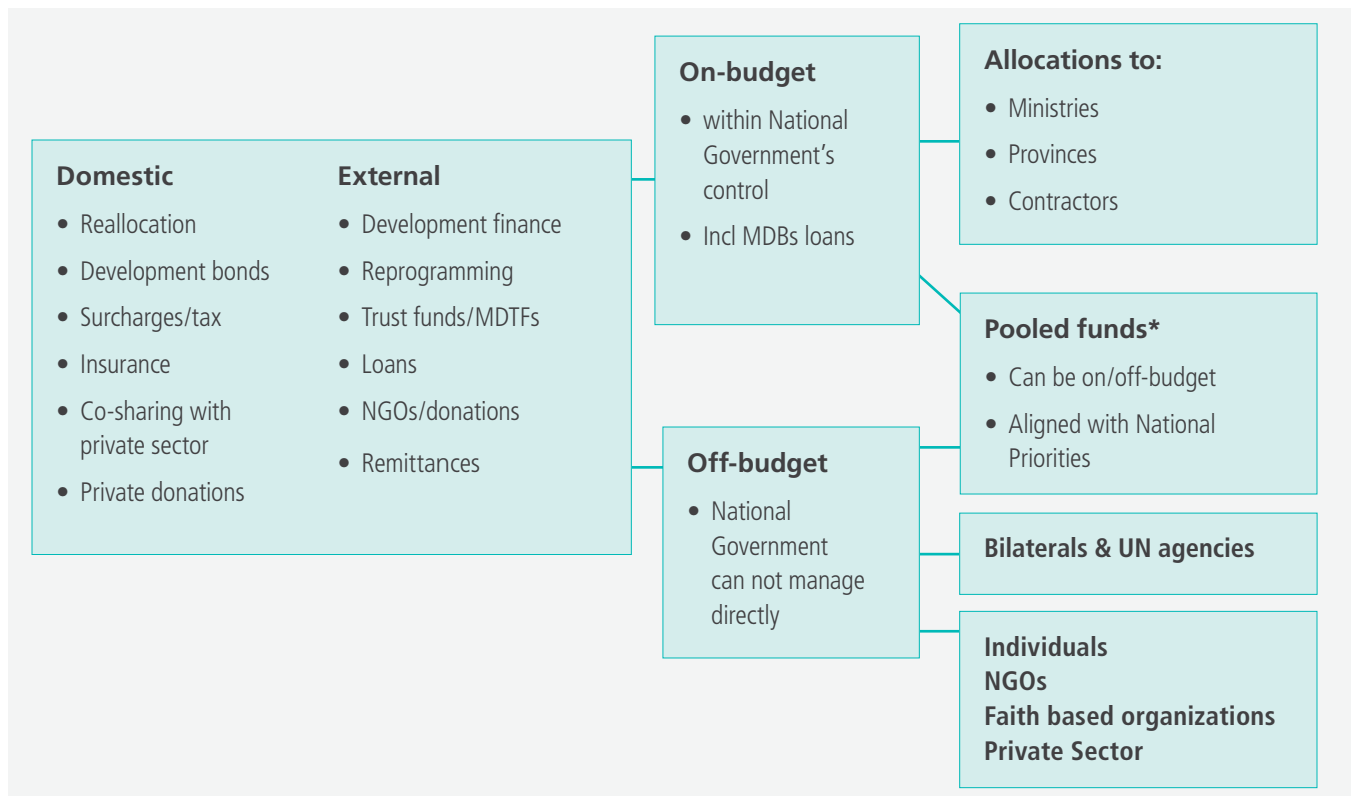
³⁰ As an example see World Bank. 2007. One Year After the Java Earthquake and Tsunami: Reconstruction Achievements and the Results of the Java Reconstruction Fund. Jakarta, Indonesia. pp. 52.

Considerations for financing recovery start with budgeting within the pre-disaster and macro-economic context. Depending on the scale of the disaster and the capacity of a national economy, the government may rely largely upon national resources, or appeal to external sources for funding. The latter option is useful particularly when the government already has cooperation agreements with donors and/or multilateral agencies. The figure below details the elements of recovery financing from the variety of funding source possibilities – both domestic and external, to manage available funds either through or outside the government system. Efforts should be made to ensure that all of these funds are allocated in accordance with the national recovery priorities, whether or not they are channeled on or off the national budgetary system.

Public and Private Sectors Reconstruction Costs

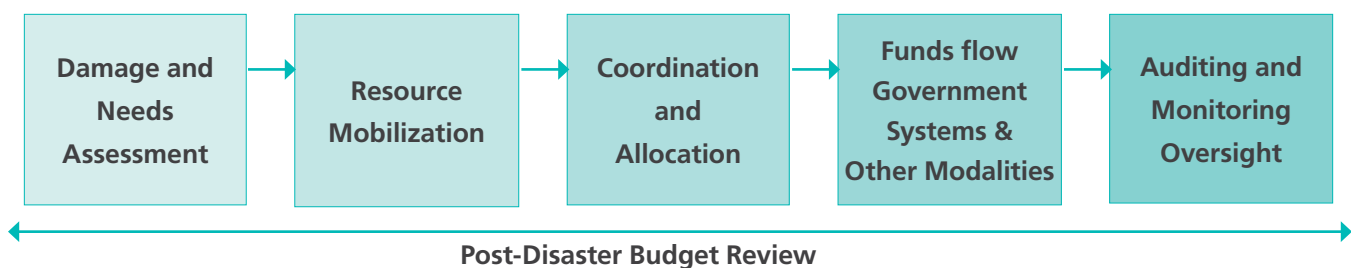
The total value of the disaster effects caused by the October 2008 storm and floods in Yemen is estimated at US\$1,638 million. This is equivalent to 6% of Yemen’s Gross Domestic Product (GDP). Of that amount private sector costs amounted to US\$ 402 million.

Figure 5. Post-disaster public financing mechanisms



The following figure illustrates the key elements of post-disaster recovery financing used in this guide, incorporating mechanisms for both national as well as international resources.

Figure 6. Key elements of recovery financing



POST-DISASTER BUDGET REVIEW




Natural disasters impact public finance by generating the need for unplanned expenditure. This will force partial redeployment of planned expenditure and a search for supplementary revenue. At the same time, the disasters can reduce government revenue by disrupting economic activity: lowering productivity, increasing inflation, reducing purchasing power, and possibly resulting in falling trade or imports and exports – all impacting direct and indirect tax revenues.







Budget review in a post-disaster situation is a continuous process to respond to the varying needs of the post-disaster response. The initial budget review should focus on channeling requisite resources for the humanitarian and relief efforts. However, subsequent budget reviews can be based on the finding of the PDNA or Rapid Assessment for detailed sequencing, prioritization, financing and implementation of recovery and reconstruction process. Even during the RF implementation phase, budgets need to be reviewed and analyzed for variances from the actual performance.

Post-disaster expenditures may be captured in a matrix (see figure 7). Reconstruction of public goods like schools or private goods like housing may be financed by public and/or private resources. One of the challenges of post-disaster budgeting is to develop the synergies between public and private financing and allocating public resources for key private goods, e.g housing, that are critical for restoring normalcy in the lives of disaster-affected people.

Figure 7. Various sources of funding

	Public goods		Private goods	
Public Finance	Roads	Schools	Housing	
Public/Private Partnership	Rail	Hospitals	Livelihoods	
Private Finance	Hospitals	Schools	Hotels and Restaurants	Housing

RESULTS MATRIX 18 • Adequate & informed financing for recovery				
	Process and Functions	Action	Output	Actors
1	<p>National and sub-national government to review the existing budget allocations to re-allocate financing initially to humanitarian relief and recovery and later on for reconstruction.</p> <p>Why? Post disaster situation disaster relief, recovery and reconstruction take priority over other development and recurring expenditures. The Government has the primary responsibility to respond to the needs of the post-disaster situation. While multilateral institutions, bilateral donors, NGOs and non-state organizations provide resources, governments respond to disaster by re-budgeting and signaling recovery priorities.</p> <p>The initial budgetary review is further informed by the humanitarian and relief efforts; further revisions may take place to cater for the recovery and reconstruction needs as identified by the PDNA or Rapid Assessment.</p>	  	Revised budgetary allocations focusing on post-disaster response.	<p>National/ Subnational Government</p> <p>Others: Line Ministries, Local Government Departments, National Technical Agencies</p>

<p>2</p>	<p>Make a choice on activities to be financed on- or off-budget.</p> <p>Why? Recovery budgets may need to be drawn up from scratch to operate outside the regular national or sub-national budget to be implemented rapidly. The answers to the basic questions around recovery budgeting can assist its framing:</p> <ul style="list-style-type: none"> • In what areas can the private sector finance recovery? What gaps will public financing have to cover in reconstruction? The public sector share in total recovery and reconstruction costs can vary widely. It will depend on the nature and scale of damage and the relative balance of public and private sector asset ownership in the affected sectors. • How can off-budget funding be channeled towards recovery if, by definition, it is not managed by government? <p>The choice will be related to the capacity of existing systems. The key again is the need for rapid action and flexibility, compared with the pre-disaster processes of government budgeting. Since disasters cannot be timed around budget cycles, flexibility is needed to meet urgent and unexpected needs.</p>	  		<p>National Government</p> <p>Others: Line Ministries, Local Government Departments, National Technical Agencies</p>
<p>3</p>	<p>Conduct periodic budget revisions.</p> <p>Why? Budgets will need to be reviewed and analyzed for variances from actual plan. If necessary, either a corrective action should be taken or the budget for the following period should be revised for changes with approval of the respective budgeting authority and ratified by the appropriate governing body.</p>	  	<p>Budget revisions.</p>	<p>National/ Subnational Government</p> <p>Others: Line Ministries, Local Government Departments, National Technical Agencies</p>




POST-DISASTER DAMAGE AND NEEDS ASSESSMENT

The damages to infrastructure and assets are valued first in physical terms (number, extension in terms of area or surface, as applicable) and then in terms of their monetary value, expressed as the replacement costs according to the market price prevailing just before and after the disaster. This is to be seen as the baseline cost, for the calculation of reconstruction costs would take into account post-disaster price alterations and improvements associated with risk reduction and the concept of build back better in the preparation of the Recovery Framework. Economic losses are also calculated that refer to changes in economic flows arising from the disaster which continue until the achievement of full economic recovery and reconstruction -- in some cases lasting for several years.³¹

Damages and losses of Typhoon Ketsana, Lao PDR

The estimated damages and losses of Typhoon Ketsana in Lao PDR were US\$ 51 million and US\$ 7 million respectively. Recovery needs were estimated to be US\$ 52 Million.

³¹ For details on how to conduct a PDNA, refer Post Disaster Needs Assessment Guide. Volume A, 2013. EU, UN, WB.

RESULTS MATRIX 19 • PDNA leading towards BBB				
	Process and Functions	Action	Output	Actors
1	<p>National governments take the lead in conducting a PDNA in coordination with development partners.</p> <p>Why? A PDNA serves two purposes. First, it informs the government's post-disaster budget revision by helping to identify priority needs. PDNAs are also useful in resource mobilization efforts as they are accepted by the donor community as credible initial estimates of post-disaster financing needs. Following major disasters, PDNAs are generally followed by a donor conference to mobilize funding for the recovery and reconstruction activities.</p>	  	PDNA	<p>National/Subnational Government</p> <p>Others: Line Ministries, Local Government Departments, National Technical Agencies, The World Bank, Regional Development Bank,</p>

RESOURCE MOBILIZATION

Reconstruction can be financed from the domestic and external sources. The challenge of post-disaster reconstruction is to mobilize additional resources (to the extent possible reconstruction should not be at the cost of the development processes). Depending on the nature and scale of the disaster reconstruction funding may be skewed towards domestic or external resources.

DOMESTIC FUNDING SOURCES

Additional domestic resources have been generated by disaster-affected governments through:

- Reallocation among the budget items from “less” to “more” disaster-hit sectors (Mozambique)
- Issue of sovereign reconstruction or development bonds
- Levy of tax or surcharge for reconstruction (Japan, Pakistan)
- Introduction of policy incentives for private sector to share reconstruction costs
- Voluntary civil society and private philanthropies' contributions (USA)
- Insurance (Australia/USA)

EXTERNAL/INTERNATIONAL SOURCES OF FUNDING




External resources for post-disaster reconstruction can be sourced from multilateral development banks, regional development banks, bilateral development partners, international NGOs, private philanthropies and charities, and remittances.

Possible multilateral financing resources for post-disaster recovery and reconstruction	
<ul style="list-style-type: none"> • Credits or loans from multilateral development banks • Reallocation of existing portfolio of international development institutions • Multi-donor Trust Funds • Debt relief 	<ul style="list-style-type: none"> • Ex-ante contingent component of standard investment operations • Risk Insurance • Standby financing • Catastrophic DDOs • Catastrophe Deferred Drawdown Option (Cat DDO)

If the government of a disaster-impacted nation seeks or accepts external financing for reconstruction, development agencies can provide support through reconstruction financing, experience built upon international good practice, impact evaluations, and coordination between donors and government. As in the case of the 2004 Tsunami, the private sector can also contribute significantly in the reconstruction.³²

DONOR CONFERENCE

The global experience of large disasters is that available domestic resources have often been insufficient to meet the financial and human needs. Data shows that the impact of disasters on the economy and government revenues is disproportionately greater in developing countries. External donor agencies have frequently been called upon to finance reconstruction in post-disaster and post conflict countries since the 1990s.³³ Holding a donor conference is an effective way of sourcing funding for the post-disaster activities in a coherent manner.

RESULTS MATRIX 20 • Resource Mobilization for Recovery				
	Process and Functions	Action	Output	Actors
1	<p>Give a timeline and start preparation for holding a donor conference for effective resource mobilization.</p> <p>Why? ? A donor conference provides a forum for presentation of the preliminary estimates of damage, loss and needs, together with the government’s priorities and policies for the reconstruction strategy designed to meet set objectives. It’s also an opportunity to seek donor commitment to BBB, aid effectiveness and coordination mechanisms, as well as funding and a mechanism to monitor domestic and external funding flows.</p> <p>A decision to hold a donor conference can place the initial PDNA or disaster assessment, and development of recovery policies into a feasible timeframe for completion.</p>	  	<p>Donation pledges by the international donors.</p> <p>Agreement on BBB, aid effectiveness and coordination principles.</p>	National Government

Early Development of Reconstruction Strategy Contributed to a Successful Donor Conference

The success of the Donor Conference in response to the Pakistan Earthquake 2005 was enabled by an early and well-crafted strategy for implementation that allayed frequent donor concerns of financial transparency and an emphasis on sustainable reconstruction.

Five aspects of the government’s presentation at the Donor conference where:

- Implementation plan: Based on the PDNA in which the government identified the sectors that required reconstruction.
- Implementation arrangements: using the PDNA, which suggested the establishment of federal and district level organizations for implementation, the government outlined its strategy for implementing reconstruction.
- Coordination arrangements: Given the scale of reconstruction required, care was taken to address how reconstruction would be sensitive to coordination requirements. This was of particular importance to donors, who typically face challenges in coordinating with governments during reconstruction.
- Incorporation of DRR in recovery: Disaster Risk Reduction was established early as one of the key guiding principles in recovery, with the reconstruction planning presented at the Donor Conference organized around this principle.

³² After the 2004 Asian Tsunami, private donations were estimated to total between US\$ 1 to 2 billion.
³³ Lessons from International Disaster Recovery. Toolkit and Selected Case Studies. GFDRR November 2013.

COORDINATION & ALLOCATION







Managing the inflows of resources and spending them effectively are challenging in a post-disaster situation. While actual allocation of resources occurs through a budgetary process and flows of external assistance, the use of allocated resources can be for short-, medium- or long-term recovery activities as indicated in the figure below. Typically, reconstruction expenditures will be heavy in the medium- to long-term for capital investments to replace destroyed or damaged infrastructure

Table 4: Adopted from: ASEAN: Advancing Disaster Risk Financing and Insurance in ASEAN. Member States: Framework and Options for Implementation, April 2012

Ex-post financing	Short-term	Medium-term	Long-term
Contingency budget			
Donor assistance (relief)			
Reallocation of annual budget			
External loans			
Capital budget realignment			
Donor assistance (reconstruction)			
Tax increase			

FUNDS FLOW, GOVERNMENT SYSTEMS & OTHER MODALITIES

An important step towards fulfilling recovery objectives is the implementation of the recovery in conjunction with the government's budget system, including those for public financial management (PFM). This involves two steps. First, the national system for managing domestic and transferring resources from one level of government to another and/or communities. Second, the modalities for managing external resources.

RESULTS MATRIX 21 • Functioning Financial Systems for Recovery				
	Process and Functions	Action	Output	Actors
1	<p>Obtain the highest possible level of involvement and endorsement for establishing project level financial systems for recovery as early as possible.</p> <p>Why? The effectiveness of institutional arrangements can be greatly enhanced, and the funding from external sources becomes manageable. Comprehensive financial planning undertaken by the impacted nation and establishment of financial structures to manage the inflow of external resources immediately after a disaster can encourage international involvement and confidence in the recovery plan.³²</p>	  	Financial system endorsed by the highest political level able to absorb inflows.	Lead Agency: National with highest level of political involvement
2	<p>The national government will need to transfer funding or cash to (a) sub-national entities and/or (b) communities, households and individuals.</p> <p>Why? Decentralized implementation speeds up the recovery process and is more likely to correspond to the actual needs of the affected communities.</p>	  	Establish procedures for sharing assessment data with implementing agencies. Identify means for monitoring and auditing transfers and use of funds.	Lead Agency: National/Sub-national Focal Point

³⁴ The success of the donor conference held in response to the 2005 Pakistan Earthquake, has been attributed to an early and well defined implementation strategy that emphasized financial transparency, fiduciary safeguards, and sustainable reconstruction. See Pakistan Case Study, GFDRR 2014.

In instances of large-scale disasters, where external resource flows are significant, recovery financing will likely be managed through both the government's budget (on-budget) and off-budget.

Whether a share of external resources is channeled through the government's budget systems is likely to depend on a number of factors. The international community has increasingly emphasized the performance and use of budget systems, and other public financial management (PFM) systems, to maximize the impact of domestic and external resources. The same principles of aid effectiveness apply in a recovery context. The key is flexibility from both the government and donors in PFM arrangements because, while core fiduciary principles apply, recovery financing has proven to be fundamentally different from the implementation of regular development financing.

Donor assistance: on-budget arrangement

In Mozambique (floods and cyclones, 2000 and 2001) public sector financial management system successfully handled donor funds with due accountability and transparency without establishing a donor trust fund.

Efforts to support and strengthen national public financial management (PFM) system may take into consideration the following:

- Capacity of institutions and budget systems, and opportunities to strengthen them
- Scale of international aid, and coordination of aid
- Scale of aid on-budget vs off-budget prior to the disaster
- Number of institutional levels involved in PFM cycle
- Financial arrangements for emergency relief and long-term recovery
- Nature of emergency procedures and implementation arrangements (including procurement and logistics)
- Fiduciary integrity and anti-corruption

A Multi Donor Trust Fund (MDTF) has been selected by some governments and donors as a mechanism to manage both recovery finance and coordination of the reconstruction process. Experiences include Aceh (2004), Yogyakarta (2006), and Haiti (2010). This arrangement is useful when sizeable resources are available from a number of bilateral and multilateral donors. The World Bank, UNDP and Asian Development Bank have acted as both a trustee and an administrator of such pooled funds. This process can help reduce fragmentation of aid by creating a forum for policy dialogue and aid coordination between donors and the government.

The demand for high levels of accountability to demonstrate fiduciary credibility can be recognized early and managed so that delays to recovery implementation can be minimized.

RESULTS MATRIX 22 • Strengthened Public Financial Management				
	Process and Functions	Action	Output	Actors
1	<p>Strengthen and/or establish effective modalities in PFM.</p> <p>Why? Rapid scaling-up of financial support in low-capacity environments can be addressed through policies that strengthen and/or establish effective modalities of public financial management, in accordance with local capacities and fiduciary risk.</p>	  	Policy that strengthens and establishes effective modalities in PFM.	Lead Agency: National/Sub-national Focal Point
2	<p>As an instrument, an MDTF can be important in coordination, risk and information management.</p> <p>Why? In high risk and high cost environments, MDTFs represent a flexible option to enable donors to pool resources and risk to collectively address key recovery priorities.</p>	  	Model to manage resources coming from bilateral and multilateral donors.	Lead Agency: National Government Support: Development Banks and UN

Managing Inflows of Resources: Large and sudden inflows of resources may overwhelm the recipient country’s capacity to focus on recovery objectives and can accelerate price inflation. Inflows may need to be spread across many public and private assistance providers. Such providers may have differing financial modalities, implementing capacities and expertise. There is also a possibility that after an initial response to the disaster in financial support, reconstruction pledges may fail to be realized at the level of implementation.

The demand for high levels of accountability to demonstrate fiduciary credibility can be recognized early and managed so that delays to recovery implementation can be minimized.

AUDITING AND MONITORING, OVERSIGHT

(Note: For more details on overall monitoring refer to the “Implementation Arrangements and Recovery Management”)

The monitoring system that is most appropriate depends upon the magnitude of the disaster, the number of actors engaged in recovery spending, the quality of their own reporting and the existing capacity of the national agency responsible for monitoring and evaluation. Key benchmarks for the monitoring and evaluation system are the production of timely and comprehensive estimates of:





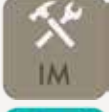

- Funds allocated and spent covering all sources from domestic, international public and private;
- Reconstruction progress;
- Economic and social impacts.

Auditing and monitoring oversight is designed at three levels. At the highest level is the overall recovery program monitoring. Program level monitoring builds on to the sector level monitoring which consolidates the reporting of each sector. At the lowest level is the individual projects level monitoring. Auditing and monitoring system

should be designed to integrate monitoring and oversight at all three levels. Special systems may also be required to monitor inflows, use and impact of recovery financing.

The credibility of the reconstruction budget is based on the resources promised for recovery being delivered and used for the purposes that they were intended, within a set timeframe. The accountability of the recovery plan to the impacted population and to the sources of financing is critical. Often it is beneficial to have third party monitoring of recovery expenditures as part of the accountability process.

Ensuring that Resources are spent for their Intended Purpose: Contributors to the recovery financing will likely require assurance that resources are allocated efficiently and that certain sectors and sub sectors are fully financed instead of spreading limited resources across all sectors, with the risk that each sector may get inadequate funding. Appropriate prioritization of allocations will be related to vulnerabilities for waste and fraud in the recovery environment. In addition to ensuring that the impacted nation and donor executive PFM systems are adequately controlling the recovery, independent monitoring structures and complaints procedures should be examined to determine that they meet the requirement. The challenge is to effectively integrate the specific reconstruction needs and conditions into regular country systems to meet the highest fiduciary standards. If adjustment can be made to the regular budgetary processes, then the degree of adjustment will be dependent upon the scale of the recovery effort along with the strength and flexibility of the national system.

RESULTS MATRIX 23 • Adequate Monitoring & Evaluation				
	Process and Functions	Action	Output	Actors
1	<p>Early tracking of money and results.</p> <p>Why? This will enable and assist rapid recovery. Early tracking is tied directly to a strong and detailed damage and loss assessment which is critical to the effective allocation of resources.</p>	  	Tracking tied directly to a strong and detailed damage and loss assessment.	Lead Agency: National
2	<p>Validate and continuously update estimates of recovery and reconstruction needs, costs, and implementation schedules.</p> <p>Why? This will enable validation and analysis of the early assessment recommendations as well as those in the full PDNA. This can be achieved with updating of financial programming during recovery.</p>	  	Establish procedures for sharing of assessment data.	Lead Agency: National/Subnational Focal Point

Ex Ante or Ex Post Controls: The recovery effort requires a management, planning, budgeting and implementation approach that is able to find a balance between a high degree of accountability while not having implementation stagger or cease. The reliance in instances of rapid reconstruction will be on ex post controls, the importance of which becomes even more significant than in regular development programs.



MODULE 5 - IMPLEMENTATION ARRANGEMENTS AND RECOVERY MANAGEMENT









POLICY DEVELOPMENT

The issues and options related to principles, institutions and financing, which were discussed in earlier chapters, are of little relevance unless recovery programs are quickly implemented and visibly improve the lives of disaster-affected populations. It is important to build mid-course corrections and strategy adjustment into the implementation process, particularly in response to community-level feedback about project design and results. The PDNA provides a good basis for estimating initial reconstruction needs; further in-depth studies and household surveys can be expected for program planning and design. This is the opportunity to introduce affordable yet resilient technology for building back better.





RESULTS MATRIX 24 • Policy Implementation Process is informed by Multiple Sources of Information

	Process	Action	Output	Actors
1	<p>After the PDNA, following up with affected communities helps ascertain more in-depth knowledge of needs. This can be accomplished through mini-assessments or household surveys.</p> <p>Note: Although communities may be frustrated by too many assessments with little delivery, the lead agency will encourage regular interaction between project planners and affected communities, to ensure robust and sustainable recovery.</p>	 	Project planning based on PDNA.	Lead recovery agency, line ministries, local governments, with significant support from government agency in charge of PDNA and PDNA partners
2	<p>Obtaining inputs from both technical experts and affected communities is important for the design of sectoral policies.</p> <p>Note: Sector expert guidance can be vetted against ground realities through consultation with implementers and the communities, and receive final policy approval at higher levels within the lead recovery agency.</p>		Policies are directly informed by community inputs.	Coordination wing of lead recovery agency, line ministries, local governments; Technical experts from key donors and implementing partners
3	<p>Establishing a baseline data and making it available to all implementers can be used to improve project planning and delivery. PDNAs and post-PDNA surveys, such as targeted vulnerability surveys, (see Pakistan case study), can collect detailed information on communities and people, such as educational levels, employment status, skill development needs, disabilities, and income sources.</p> <p>Why? These types of data can be made available to all stakeholders for improved project planning and implementation.</p>		Improved project planning and delivery due to shared use of common data.	Statistics bureaus at national and sub-national levels with guidance from lead recovery agency.

OWNERSHIP BUILDING

Building ownership of recovery across stakeholders is a crucial component of effective recovery management. The results are longer-term commitment to recovery results, wider accountability for use of resources and reconstructed infrastructure, plus quality improvements through feedback and mid-course corrections.

Decentralization is an important guiding principle³⁵ for building ownership among the affected population and local governments. Centralizing reconstruction responsibility within a single agency can alienate local governments and other agencies that expect to control some aspects of reconstruction. Decentralized decision-making and responsibility can reduce tension among implementers.

RESULTS MATRIX 25 • Ownership of Recovery Built Across All Levels and Partners – National Government, Local Government, Donors, Civil Society, and Communities – Through Broad Participation and Collaboration				
	Process	Action	Output	Actors
1	Multi-layered consultative processes can engender ownership across a range of stakeholders. Why? With building ownership as a guiding principle, the lead recovery agency can advance this at local levels, implementing level, and policy level. Key donors can support this process, especially when government is facing capacity issues.		Ownership strategy at all levels developed.	Coordination wing of lead recovery agency; Key donors
2	Donor level: Assigning a donor lead responsibility for specific sectors or projects can serve to cultivate their buy-in and ownership of the recovery process. Why? The largest donors can be assigned lead roles for the recovery of specific sectors. A regularly held meeting to report results and bottlenecks can help to coordinate this process and push donors to produce results. This method also provides donors the experience they need to contribute informed inputs to policy development, adjusting for realities on the ground.		Donors have higher buy-in and responsibility in the recovery process.	Coordination wing and decision-making levels of lead recovery agency; Key donors
3	Community level: Sector specific recovery policies can be vetted against ground realities by obtaining input from implementers and affected communities. Why? This can serve as a final vetting process before policies to go for final approval.		Ground checked policies; Community endorsement.	Coordination wing of lead recovery agency; Implementing partners
4	Partner level: Building awareness and capacity of implementing partners can greatly help engendering ownership. Why? Providing reconstruction training to artisans and communities, through designed curricula and training centers, can effectively build ownership among these actors. Involving civil society and grassroots organizations in the organization and dissemination of the trainings helps build their ownership in the reconstruction process, and provides an additional venue for coordination of multiple actors on the ground.		Greater capacity at local levels to implement recovery while still taking central guidelines into consideration.	Technical wings of line ministries; Local CSOs

³⁵ Courchene, T., et al. Principles of Decentralization. The World Bank. Washington D.C. 2000.

ENSURING TRANSPARENCY - MONITORING AND EVALUATION (M&E)

Oversight Mechanisms

- **An effective monitoring and evaluation**

(M&E) system is able to:

1. provide regular and comprehensive information on allocation and disbursement of funds (covering both public and private);
2. track physical progress of reconstruction activities; and
3. provide data for evaluating economic and social impacts of reconstruction programs;
4. inform outcome based mid-term review of the recovery implementation.³⁶

Monitoring and Evaluation in Indonesia

Following the 2004 tsunami, Indonesia used its M&E system for performance based budgeting. Unlike the common government practice of basing budgets on the prior year's allocation, BRR allocated project funds on the basis of a sector's output and capacity to implement.

The Recovery of Aceh and Nias (RAN) database was contracted by UNDP to support recovery monitoring. All project proposals were submitted through the database for review by BRR. Project concept notes (PCN) contained information on key performance indicators, funding source, sector, location, and budget allocation. The RAN database also recorded BRR approval. Prior to annual review meetings, project implementers reported on progress within the databases, so that BRR could provide consolidate reports to stakeholders.

Please see full case study reports in the technical annexes of *A Guide to Developing Disaster Recovery Frameworks*.





- **Traditional results-based M&E systems can be built and sustained by following the ten steps outlined below.** With some modifications, these steps can be applied to post-disaster reconstruction programs to create strong M&E systems:

- Conducting a readiness assessment
- Agreeing on outcome to monitor and evaluate
- Selecting key indicators to monitor outcomes
- Baseline data on indicators – where are we today?
- Planning for improvements – selecting results targets
- Monitoring for results
- The role of evaluations
- Reporting findings
- Using findings
- Sustaining the M&E system within the organization


- **The results framework should be operationalized through a systematic Results Monitoring System (RMS)** that lays out and specifies the monitoring and evaluation plans, data collection instruments, and indicator value-determination methodologies for all outcomes and intermediate outcomes. Once fully developed, the RMS will also provide an overall medium-term monitoring and evaluation plan. This plan will specify the frequency, requirements, and means for monitoring, evaluating, and reporting, both at the broader level, and for each of the selected outcomes:

- Tracking mechanisms
- Undertaking mid-course corrections
- Coordination and collaborative platform
- Strategic oversight
- Setting up Evaluation System
- Establishing a baseline
- Developing indicators
- Incorporating assessments such as PDNA
- Evaluation timeframe
- Assessment methodologies
- Value for money analysis



RESULT MATRIX 26 • Financial Transparency and Project Tracking, Resulting in High Donor Confidence in the Reconstruction Effort

	Process	Action	Output	Actors
1	<p>Staff, equipment and incentives for monitoring and reporting are essential elements of credible recovery. Ensuring dedicated information management and IT skills for the lead agency can promote the collective use of a common system. Project approval should be based on inputting into this system to enable financial tracking from the start. Periodic public stocktaking will also draw from this database at regular intervals —providing incentives to keep information updated.</p> <p>Why? Multi-user, internet accessible databases have been developed and used in major post-disaster recovery situations, to align resources with identified needs and track progress of recovery efforts.</p>	 	<p>Standardized project approval system in place. Resources aligned with needs.</p>	<p>Monitoring wing of lead recovery agency with support from Ministry of Finance and key donors</p>
2	<p>Establishing a dedicated monitoring body and indicators as early as possible can help create clear understanding of monitoring objectives. Early involvement of state auditors and leaders from affected communities in the definition of appropriate indicators will facilitate an easier and more realistic the monitoring process.</p> <p>Why? Effective M&E systems enable progress of reconstruction to be assessed, and can provide early warning for corrective action. It will facilitate periodic evaluations that donors expect in exchange for continued funding. The M&E system can be set up to measure performance on all reconstruction projects undertaken by implementers, and support project-level monitoring, ensuring compliance with sectoral recovery policies and strategies.</p>		<p>Evaluation framework established early in recovery process, allowing room for mid-course corrections and early partner buy-in.</p>	<p>Monitoring and coordination wings of lead recovery agency; auditors from sub-national governments and affected community leaders</p>
3	<p>Adopting parallel systems of monitoring and evaluation – internal and external – can improve project transparency, increasing stakeholder confidence in the recovery program.</p> <p>Why? Stakeholders are able to cross-check reports with multiple sources of information, identify key problem areas and possibly suggest alternative strategies to resolve problems.</p>		<p>More reliable results information available. Partners work together to produce information and analyze results.</p>	<p>Monitoring wing of lead recovery agency; external auditing firm; key implementing partners</p>

RESULTS MATRIX 27 • Efficient Central Oversight Mechanism That Can inform Mid-Term Review Process

	Process	Action	Output	Actors
1	<p>Using dedicated management information systems (MIS) can enable a more effective and efficient monitoring of reconstruction trends, identification of problematic areas</p> <p>Why? This will enable a more informed decision-making process and development of mitigation measures. This system can collect, collate, analyze, and report on disaggregated data on physical and financial progress being received from all levels of partners and implementers.</p>		<p>Dedicated management information system; simpler identification of implementation gaps.</p>	<p>Lead recovery agency for establishment of MIS; all implementing partners for consistent use and updating of MIS</p>

RESULTS MATRIX 27 • Efficient Central Oversight Mechanism That Can inform Mid-Term Review Process (cont.)

	Process	Action	Output	Actors
2	<p>Staffing the monitoring wing of agencies involved in recovery with individuals who have expertise in procurement processes can strengthen monitoring of transparency and efficiency, helping the overall recovery process. Clear guidance and/or policy directives on staffing, set at internal decision-making levels, would be an important early step to facilitate hiring personnel with the appropriate expertise.</p> <p>Why? This can ensure that all planned activities are continually being vetted for compliance to government-set standards and policies, and that anticipated bottlenecks are resolved in a timely fashion.</p>		M&E body includes staff with procurement expertise.	Monitoring wing of lead recovery agency; policy setting body within recovery agency
3	<p>Using M&E system for an outcome based mid-term review of the recovery framework implementation.</p> <p>Why? Mid-term reviews are particularly of recovery frameworks are particularly useful as they provide,</p> <ul style="list-style-type: none"> • holistic assessment of recovery framework implementation • a fresh view of the recovery framework implementation • potentials for improvement • actionable, realistic, results-oriented and concrete recommendations • a learning opportunity for all involved 		Mid-term reviews of the recovery framework implementation.	National & sub-national Governments, lead recovery agency, monitoring wing of lead recovery agency; policy setting body within recovery agency

PROCUREMENT




Setting systems of procurement can expedite the procedure: Rapid procurement of goods and services can be a crucial element for an efficient and successful recovery. However, procurement in post-disaster settings can be haphazard, leading to gaps in implementation and potential abuse of procedures.³⁷ Hence re-established arrangements for rapid procurement for post disaster reconstruction are a much preferable option.

Bangladesh set up fast track procurement process

As a standard procedure, Government of Bangladesh followed Public Procurement Rules 2008 that went through an open tendering for selection of construction contractors. They set up the Project Implementation Committee (PIC) comprised of staff from the Upazila administration and the local government officials to select the beneficiaries, oversee the construction and maintain technical specification.

³⁷ Please refer to “Staffing for Reconstruction” for the staffing needs.

RESULTS MATRIX 28 • Fast, Efficient and Transparent Procurement

	Process	Action	Output	Actors
1	<p>Pre-approving and ranking contracts can simplify the procurement and tendering process.</p> <p>Why? As contractors form a large portion of implementing partners in any reconstruction effort, and given the typical scale of tenders and responses to manage, a management system can streamline the procurement process. Partners and agencies with experience in procuring goods and services can prequalify certain contractors and categorize them by type of expertise and competencies. Having a prequalifying system in place allows for expediting the processes of issuing contracts and evaluating tender responses. This also eliminates issues of dealing with inexperienced contractors that can significantly underbid more experienced competition, even if they do not have the expertise or experience required to successfully implement the reconstruction project.</p>		Faster procurement with more reliable contractors.	All government agencies and partners that procure goods and contractor services within the affected areas under normal development circumstances; compiled by the lead recovery agency.
2	<p>Forming an expert advisory group can provide rapid reliable oversight and advice in reconstruction, especially when determining contractors.</p> <p>Why? Given these experts have the appropriate experience and technical expertise, they can also play a significant role in setting construction standards and providing substantive inputs for policy design.</p>		Construction standards that guide procurement.	Lead recovery agency.
3	<p>Accurate project-costing conducted by experts can help recovery agencies develop yearly budget estimates.</p> <p>Why? These budgets can help ensure sustainable financing of recovery throughout the first years of a recovery effort, based on completion targets.</p>		Annual budgets for sustainable financing.	Lead recovery agency; all project facilitators and implementers, including line ministries, international partners, and implementing partners and contractors



COORDINATION AND COMMUNICATION




Throughout the recovery process, it is in the interest of government to maintain an on-going dialogue and share information with all other stakeholders and partners in the recovery process. A well-defined communication strategy recognizes the different types of stakeholders and identifies effective means of communicating with them. For example, mass media (radio, television) and social media can transmit information regarding policies, plans and projects to the general public, especially at key “anniversary” moments (e.g. six months, one year, etc.). They are generally one-way communications, however, and cannot substitute for peer dialogue between government agencies, focus group discussion with communities, or policy dialogue with donors. Periodic public disclosure of selected information of the reconstruction agency can contribute to the transparency of recovery, build credibility and consensus on recovery goals, and identify coverage gaps and project overlaps – all of which strengthen post-disaster recovery.




Utilizing Media for Transparency in Pakistan and Senegal

ERRA established a Knowledge Management Cell (KMC) and a media wing to document experiences and lessons learning, facilitate knowledge sharing, and to aid in communications. The KMC developed an institutional library, and stored information on district profiling. The media wing also undertook and published annual reviews, corporate brochures, and case studies to support course correction in problem areas. Media reports were also regularly analyzed to gauge public opinion on the recovery program.



Over the past few years, the Senegalese media space has become more developed and diversified and the sector plays an important communication role especially in times of disaster. Public opinion is regularly informed in times of disaster by both State-owned and private media. This press plays a significant role in the national solidarity campaign launched after the 2012 floods. The telethons organized to assist disaster victims resulted in the collection of substantial funds. However, the media should be more involved in prevention activities.

RESULTS MATRIX 29 • Effective Communication to Guide The Implementation of Recovery Process

	Process	Action	Output	Actors
1	<p>Ensuring effective flows of information between sectors and line ministries can improve overall coordination.</p> <p>Why? This will result in multi-sectoral programs with fewer coverage gaps and project overlaps. Dialoguing and mapping plans with planners, implementers and community groups will develop transparency, minimize duplication of efforts, highlight gaps in assistance, and build consensus for achieving common recovery goals.</p>	 <p>C</p>	Information easily shared between sectors and ministries.	Communications and coordination wings of lead recovery agency.
2	<p>Communication between central levels and impacted communities can have a material impact on the latter’s ability to recover.</p> <p>Why? Active involvement and feedback influence the acceptability and sustainability of recovery activities and consultation mechanisms set up with civil society. Grievance redress mechanisms address one aspect of this consultation process.</p>	 <p>C</p>  <p>P</p>	Consultations between central government and communities are ongoing.	Communications wing of lead recovery agency.

3	<p>Discouraging recovery actors from working in isolation.</p> <p>Why? Encouraging the benefits of working with the Government and coordinating with all partners – donors, NGOs, communities, and private sector – for project planning and strategizing can help minimize duplications and encourage effective use of limited resources. One approach entails harnessing the ongoing cluster groups of humanitarian organizations. Their convening power can continue the coordination into the recovery phase, to monitor achievements and on-going projects, by mapping the distribution of activities geographically, and triangulating with affected communities and local governments.</p>		<p>All actors begin to coordinate information and progress, partially bridging relief and recovery actors.</p>	<p>Coordination wing of lead recovery agency; all recovery partners.</p>
4	<p>Managing expectations for recovery is a crucial aspect of ensuring ownership.</p> <p>Why? Recognizing visible signs of early physical recovery and announcing longer-term goals will keep the entire recovery community galvanized for subsequent phases of recovery and reconstruction. Using time markers (100th day post-disaster; six month anniversary; one year anniversary, etc.) to organize media coverage, visible evidence and images of progress, and drawing upon updated evaluations, field visits, and regular dialoguing with affected communities can help to effectively communicate both achievements and future plans. Dedicating resources to public relations, including work with mass media for both domestic and international audiences will also help manage expectations.</p>	 	<p>Clear and realistic goals for recovery are communicated, minimizing unrealistic expectations.</p>	<p>Communications wing of lead recovery agency to organize outreach and media coverage; local governments and implementing partners to ensure regular reporting of progress.</p>

RESULTS MATRIX 30 • Efficient Central Oversight Mechanism That Can Manage Bottlenecks Using Qualified Staff and Information Systems

	Process and Functions	Action	Output	Actors
1.	<p>Establishing a clear strategy, supported by policy, to implement a carefully conceived and appropriate communications campaign (using an understanding of the communication, collaboration and community engagement continuum) enables all actors to be aware of any changes in the recovery program. This includes changes in the monitoring, evaluation and investigation approaches.</p> <p>Why: The effectiveness of the communication strategy can be tracked to understand how well the implementation plan for meeting the recovery objectives is understood across stakeholders. Holding (monthly) decision meetings with international partners in which the recovery objectives of the government, commercial and civil society can be communicated will help to conserve the time of senior government officials, enabling continued focus on meeting respective recovery milestones and objectives. This will enable tracking of a common understanding of the progress towards meeting the recovery objectives.</p>	 	<p>A clear strategy with policy to implement a communication campaign enables all actors to be aware of changes in the recovery program.</p>	<p>Communications wing of lead recovery agency with support from key recovery partners in private sector, civil society and donor community</p>



MODULE 6 - INSTITUTIONALIZING RECOVERY IN NATIONAL AND LOCAL GOVERNANCE SYSTEMS





Institutionalization of recovery (implementing, reforming, and improving institutional and legislative arrangements for recovery in advance of disasters) offers the best hope for disaster risk reduction.

STRENGTHEN EX-ANTE CAPACITY FOR SUSTAINABLE RECOVERY PLANNING AND IMPLEMENTATION

Disaster readiness has many dimensions, from establishing procedures for assessments, to defining parameters for financial assistance, to creating partnerships with the private and nongovernmental sectors. In order to ensure that recovery contributes to risk reduction and sustainable development, post-disaster interventions must be well planned and well executed. Institutionalization of recovery can help governments to be better equipped to plan and deliver recovery programs that meet strategic goals. Recovery institutionalization improves the linkage between readiness, recovery and development processes, ensuring that all investment and development incorporates DRR goals.















Making disaster recovery more efficient and systematic will require strengthening country systems to support post recovery operations, beginning with the conduct of PDNA.

Provisions for Resilient Rebuilding under the United States National Disaster Recovery Framework

- The community rebuilds a sustainable future inclusive of ecological, economic and local capacity considerations.
- The recovery is an opportunity for communities to rebuild in a manner which reduces or eliminates risk from future disasters and avoids unintended negative environmental consequences.
- Communities incorporate stronger building codes and land use ordinances. Vulnerable structures are retrofitted, elevated or removed from harm.
- Community members, businesses and local governments incorporate risk-reduction strategies into governance and local decision-making.

Factors of Successful Recovery, NDRF, pg. 16.

RESULTS MATRIX 31 • Sustainable recovery planning and implementation










	Process	Action	Output	Responsibility
1	Strengthen capacity for recovery planning and monitoring at all levels (national, local, community) and make capacity building activities more open and available to all actors	  	National and decentralized multi-sectorial Action Plans	National/Subnational Focal Point, Line Ministries, Local Government Departments, National Technical Agencies, UN Agencies
2	Establish clear roles and responsibilities for all actors in a recovery setting, including national and local governments, private sector, academia, and civil society organizations.	  	National and decentralized multi-sectorial Action Plans Results Monitoring and Evaluation Plan for Recovery Program	National/Subnational Focal Point, Line Ministries, Local Government Departments
3	Standardize approaches for post-disaster assessments and recovery planning frameworks	 	Quantitative and Qualitative Baseline for Damage and Needs across sectors and administrative divisions	National/Subnational Focal Point, Line Ministries, Local Government Departments
4	Implement, reform, and improve institutional, legislative, and financial arrangements for recovery in advance of disasters	   	Recovery Framework and Policies at the institutional, legislative, and financial levels	National/Subnational Focal Point, Line Ministries, Local Government Departments
5	Special procedures for fast track project procurement and implementation under emergency situation.	 	Fast track project procurement and implementation procedures	National and Subnational Governments

ENSURE FINANCIAL PREDICTABILITY FOR INTEGRATING RISK REDUCTION IN RECOVERY

National governments need to incorporate disaster risk management in developmental planning, particularly for land use regulation, urban planning and public and private sector construction standard-setting. Even if commenced now, such DRR mainstreaming will still leave a considerable residual risk of the occurrence of disasters over many years to come, in most countries.

Governments will need to explore pragmatic ways to provision disaster recovery allocations in their fiscal strategies to reduce the budget shock of natural disasters. Such strategies need to rely more on systematic risk assessments and aim to maintain effective financial protection while simultaneously enhancing the country's recovery capacities.

International financial institutions can significantly contribute both technically and financially towards creating contingency funding mechanisms in less developed countries, and advanced risk transfer mechanisms in more developed or transition economies. There is a huge scope for enhanced development cooperation and aid harmonization across IFIs and donors in this area.

RESULTS MATRIX 32 • Predictable Financing for Sustainable Recovery				
	Process and Functions	Action	Output	Actors
1	Develop disaster financing strategies that identify fiscal and financial mechanisms to deploy in the event of a disaster.	 	Fiscal Action Plans and Policies Results Monitoring and Evaluation Plan for Recovery Program	National/Subnational Focal Point, Line Ministries, Local Government Departments
2	Utilize comprehensive risk assessments to aid in budgetary planning processes and establishment of contingency financing mechanisms in the case of a disaster.		Framework of physical and quality control standards for the reconstruction program	National/Subnational Focal Point, Line Ministries, Local Government Departments
3	Establish agreements and mechanisms to ensure coordination of donor recovery financing with government recovery plans.	  	Recovery Action Plan with detailed financing section	National/Subnational Focal Point, Line Ministries
4	Adopt ex ante budget management and post-disaster budget execution mechanisms for natural disasters	  	Framework of physical and quality control standards for the reconstruction program	National/Subnational Focal Point, Line Ministries

PROMOTE THE USE OF PDNAS AND RECOVERY FRAMEWORKS TO GUIDE RECOVERY PROCESSES

Governments could work with international agencies to develop actionable and measurable indicators to monitor progress of implementation and achievement of recovery goals related to both specific recovery programs, such as DRR, and to pre-recovery planning frameworks. Systems should be put in place that enable the production of reliable and comparable data about the recovery experiences and recovery preparation, and that permit accountability between government, the affected population, and the general public.³⁸

As such the institutionalization of the PDNA will improve the efficiency, accuracy and ground applicability of these assessments through: (a) enhanced data preparedness; (b) assigning formal institutional roles and responsibilities for maintaining PDNA preparedness and conducting them; (c) expansion of national, regional and global support capacities through more client-applicable training programs that simulate actual field conditions, and; (d) development of rapid assessment methodologies to expedite PDNAs, allowing greater room and time for recovery strategy formulation and planning.

Recovery offers a unique opportunity to reduce future risk. People are more aware of risk, politicians are more motivated, and the funds are often available. Developing recovery frameworks at that time will help bring multiple stakeholders and their competing or diverging priorities to one common and inclusive platform for recovery strategy development, planning and project development. These can also: (a) help make recovery inclusive and resilient, and (b) increase the likelihood of the gains from the recovery process into sustainable development.

Institutionalizing Post-Disaster Needs Assessment System and Recovery Planning in the Kyrgyz Republic

Despite a high frequency of natural disasters and emergency situations, the Kyrgyz republic had no official institutionalized procedures to assess disaster damage, loss and recovery needs. Post-disaster recovery planning was not based on systematic needs assessments, with longer term DRR measures incorporated.

Working with the National Platform for Disaster Risk Reduction, relevant line ministries and local governments, a National Action Plan was articulated, identifying the actions needed to improve the country's needs assessment structure and methodology and recovery planning standards and provisions. Training workshops, guidance manuals and similar capacity measures were conducted to build expertise in needs assessment, and the process was endorsed by and incorporated into the functioning of the highest levels of disaster management systems of the Republic. This institutionalization of a key aspect of recovery planning offered an avenue to incorporate DRR measures into reconstruction policies. Building Back Better was prioritized in the training of needs assessment staff, and its importance as an investment in future resilience (and not just a present additional cost) was underscored.

RESULTS MATRIX 33 • PDNAs Institutionalization leading to sustainable recovery				
	Process and Functions	Action	Output	Actors
1	Integrate the PDNA and Recovery Framework methodologies into national and local governance systems in an ex-ante manner	 	Quantitative & Qualitative Baseline for Damage and Needs across sectors and administrative divisions Results Monitoring and Evaluation Plan for Recovery Program	National/ Subnational Focal Point, Line Ministries, Local Government Departments

³⁸ Adapted from IRP, 2013, "Recommendations for Recovery and Reconstruction in Post-2015 Global Framework for DRR (HFA2)."

RESULTS MATRIX 33 • PDNAs Institutionalization leading to sustainable recovery (cont.)

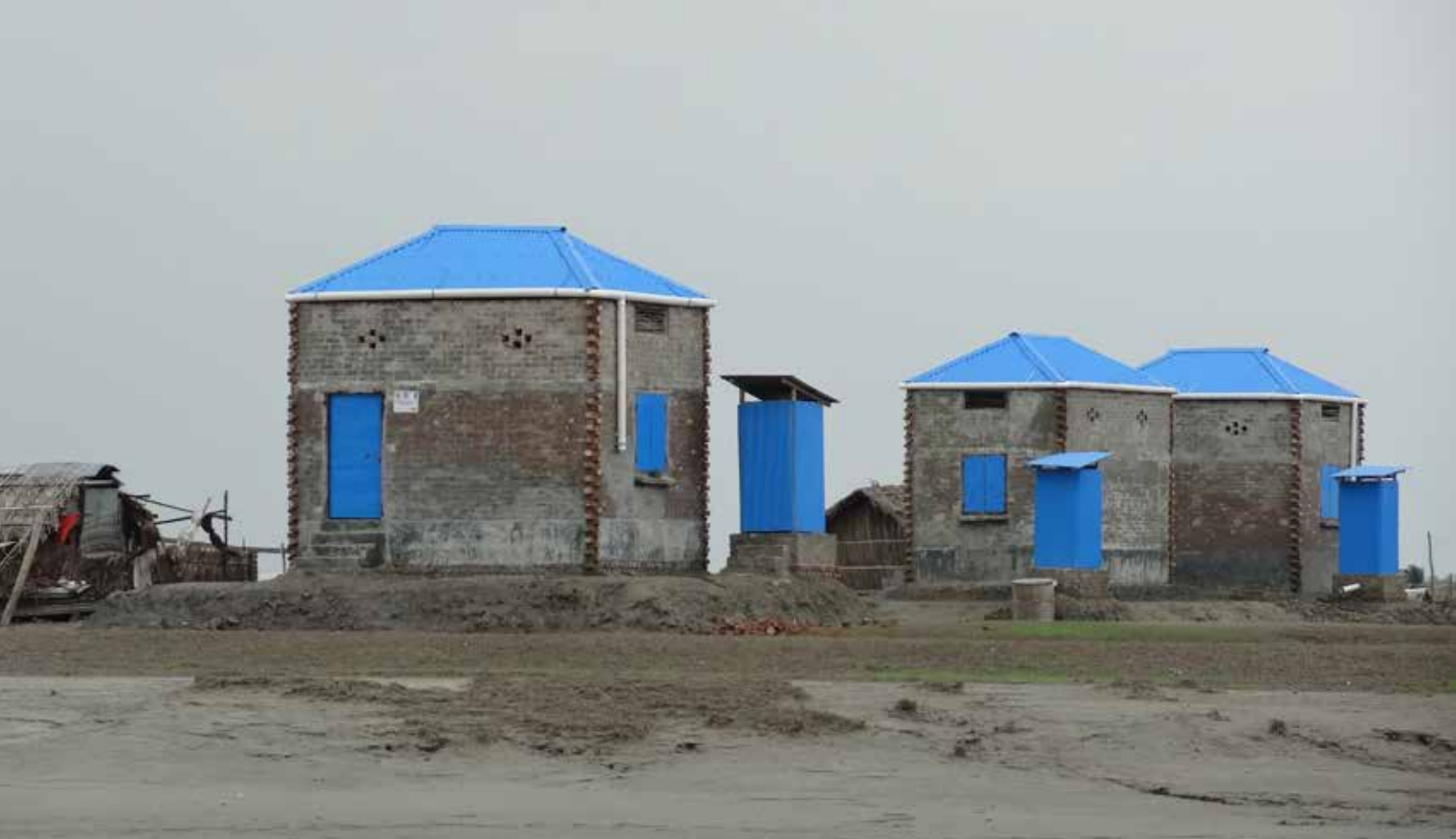
	Process and Functions	Action	Output	Actors
2	Build capacity of national and local government staff, private sector, academia, and civil society in conducting PDNAs and formulating recovery plans	 	Framework of physical and quality control standards for the reconstruction program	National/ Subnational Focal Point, Line Ministries
3	Promote regional centers of excellence for conducting PDNA and developing Recovery Frameworks	 	Framework of physical and quality control standards for the reconstruction program	National/ Subnational Focal Point, Line Ministries





INTEGRATED RESULTS FRAMEWORK FOR RECOVERY PLANNING





The Integrated Results Framework for Recovery Planning aggregates and encapsulates the key results and outputs by each aspect of the recovery framework. This results framework is a useful tool that can be utilized for monitoring the process of recovery planning in sequential or thematic manner. This tool also provides a quick look at the key results of successful recovery planning at relevant stages of progression to ensure timely actions.

Table 6. Integrated Results Frmaework for Recovery Planning.

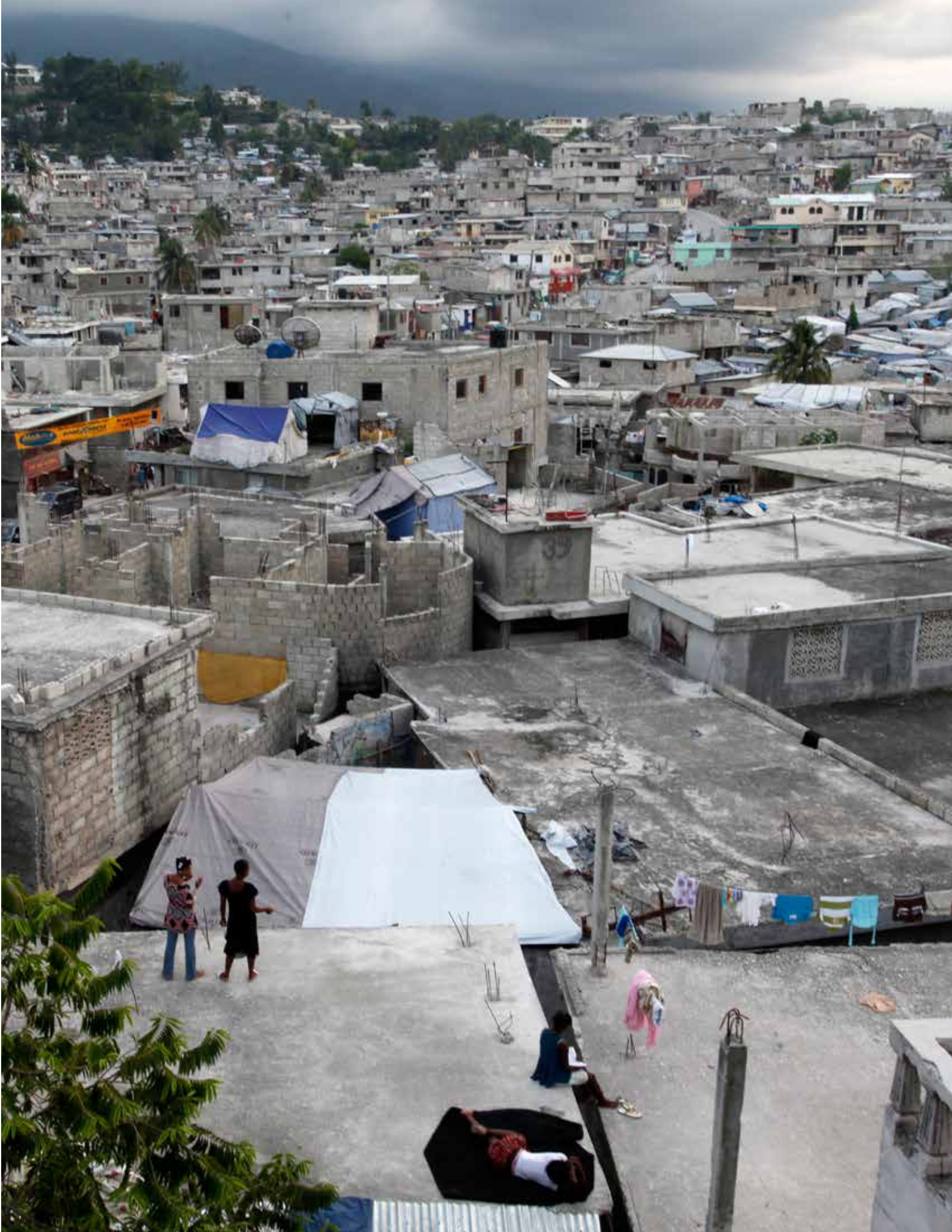
Topic	Key Results	Outputs
Conducting Participatory Damage and Needs Assessment	Broad and Consistent Policy Framework for Recovery Planning through the PDNA	Preliminary Assessment Reports
		Compilation & Transmittal of Damage Data at a Central Node
		PDNA
		Quantitative & Qualitative Baseline for Damage and Needs across sectors and administrative divisions
		Results Monitoring and Evaluation Plan for Recovery Program

Topic	Key Results	Outputs
Policy and Strategy Setting for Recovery	Fostering Consensus over a Central and Coherent Vision for Recovery That Holds Together and Aligns the Recovery Objectives and Subsequent Interventions of all Partners and Stakeholders	Articulation of a Recovery Vision
		Setting up Consultative Forums for Consensus Building on Recovery Vision
		Working out the Sectoral, Geographic and Functional detail of Recovery
	Provision of an Enabling Policy Framework for the Operationalization of the Recovery Vision	Policy Framework and Guiding Principles for Recovery
		Consistent and equitable application of the key cross-cutting operating principles
		Identification of primary sectors for inclusion in the recovery program
	Application of Policy Principles to achieve Mutually Reinforcing Recovery Outcomes Across all Sectors	Programmatic Framework for Recovery
	Ensure Equitable and Demand-Responsive Recovery across affected Communities	Development of criteria for inter-sectoral prioritization and their recovery programming and sequencing
		Objective and criteria based resource allocation and yearly rationalization of recovery budget
	Inter-Sectoral Strategy for Recovery is Translated into Sector-Specific Programs and Strategies	Preliminary Assessment Reports
		Compilation & Transmittal of Damage Data at a Central Node
		Broad, sector-specific interventions defined
		Detailed sector-specific programs developed and vetted by affected communities
	Development of sector recovery program is informed by specific assessments and surveys.	Clearer understanding of risks associated with reconstruction in affected areas; understanding of need for modified zoning or risk management plans.
		Information regarding land tenure obtained, allowing for informed sector planning
		A land availability assessment
		An assessment of governance and implementation capacity.
		An assessment of social risks and vulnerabilities.
		Assessment of infrastructure and service delivery
		Economic and livelihoods assessment.
	Environmental assessment.	
Sector-Level Recovery Programs are Developed in a Consultative and Inclusive Manner	Process for being able to map key stakeholders	
	Differing modalities for consultation	
	Community participation	

Institutional Framework for Recovery	A clear understanding of the skill and staff capacity assessment needs for recovery	Appropriate Capacity Assessments are Conducted
	Clarification of the modalities of operation and mandates for a lead recovery agency	Clear modalities of operation and mandates for a lead recovery agency; Central body for donors and partners to align financing and efforts behind the lead agency
		The most relevant Institutional Framework is chosen and developed
	An empowered recovery institution having good relations with key stakeholders	Choosing The Appropriate Leader for an Empowered Recovery Institution
	Institutions function with clarity of purpose and jurisdiction	Appropriate attention is given to all lost/damaged assets, and focus is maintained on the recovery process
	Sustainable reconstruction that draws on both local knowledge as well good practices	Staffing Up After the Disaster
		A collaborative platform designed to enhance coordination and to support the exchange of information
		Policy to coordinate the provision of resources using recovery planning and supporting recovery capacity
	Decentralized implementation guided by centrally established policy	Clear structures for setting recovery policy and implementation
		Devolved bodies communicate effectively with oversight bodies
Institutional continuity between Relief and Recovery	Maintenance of institutional knowledge from relief into recovery	
A well-managed process for the incorporation of international agencies and development partners	Institutionalizing role of International Agencies and Development Partners; Establishment of donor coordination forums	
An inclusive, well-resourced recovery program that draws effectively on domestic and international expertise	Mechanisms for the inclusion of Civil Society, Private sector and Expert Associations in the recovery process	
Financing for Recovery	Adequate and informed financing for recovery	Revised budgetary allocations focusing on post disaster response
		Budget revisions
	PDNA leading towards BBB	PDNA
	Resource Mobilization for Recovery	Donation pledges by the international donors
	Strengthened Public Financial Management	Policy that strengthens and establishes effective modalities in PFM
	Functioning Financial Systems for Recovery	Financial system endorsed by the highest political level able to absorb inflows
		Model to manage resources coming from bilateral and multilateral donors
Adequate Monitoring and Evaluation	Tracking tied directly to a strong and detailed damage and loss assessment	
	Establish procedures for sharing of assessment data	

Topic	Key Results	Outputs
Implementation Arrangements and Recovery Management	Policy Implementation Process is informed by Multiple Sources of Information	Project planning based on PDNA
		Policies are directly informed by community inputs
		Improved project planning and delivery due to shared use of common data
	Ownership of Recovery Built Across All Levels and Partners – National Government, Local Government, Donors, Civil Society, and Communities – Through Broad Participation and Collaboration	Ownership strategy at all levels developed
		Donors have higher buy-in and responsibility in the recovery process
		Ground checked policies; Community endorsement
		Greater capacity at local levels to implement recovery while still taking central guidelines into consideration
	Ensuring Transparency - Monitoring and Evaluation	Financial Transparency and Project Tracking, Resulting in High Donor Confidence in the Reconstruction Effort
Evaluation framework established early in recovery process, allowing room for mid-course corrections and early partner buy-in		
More reliable results information available. Partners work together to produce information and analyze results		
Efficient Central Oversight Mechanism That Can inform Mid Term Review Process		Dedicated management information system; Simpler identification of implementation gaps
		M&E body includes staff with procurement expertise
		Mid-term reviews of the recovery framework implementation
Fast, efficient and transparent Procurement		Faster procurement with more reliable contractors
		Construction standards that guide procurement
		Annual budgets for sustainable financing
Coordination and Communication		Effective Communication to Guide The Implementation of Recovery Process
	Consultations between central government and communities are ongoing	
	All actors begin to coordinate information and progress, partially bridging relief and recovery actors	
	Clear and realistic goals for recovery are communicated, minimizing unrealistic expectations	
	Efficient Central Oversight Mechanism That Can Manage Bottlenecks Using Qualified Staff and Information Systems	A clear strategy with policy to implement a communication campaign enables all actors to be aware of changes in the recovery program

Topic	Key Results	Outputs
Institutionalize recovery functions in national and local governance systems	Sustainable recovery planning and implementation	National and decentralized multi-sectorial Action Plans
		Results Monitoring and Evaluation Plan for Recovery Program
		Quantitative and Qualitative Baseline for Damage and Needs across sectors and administrative divisions
		Recovery Framework and Policies at the institutional, legislation, and financial levels
		Fast track project procurement and implementation procedures
	Predictable Financing for Sustainable Recovery	Fiscal Action Plans and Policies
		Results Monitoring and Evaluation Plan for Recovery Program
		Framework of physical and quality control standards for the reconstruction program
		Recovery Action Plan with detailed financing section
	PDNAs Institutionalization leading to sustainable recovery	Quantitative & Qualitative Baseline for Damage and Needs across sectors and administrative divisions
		Results Monitoring and Evaluation Plan for Recovery Program
		Framework of physical and quality control standards for the reconstruction program





COMMON GOOD PRACTICES AND LESSONS IDENTIFIED





INTRODUCTION

Common and Uncommon Lessons from Past Disaster Recovery Experience: Every disaster represents an opportunity to salvage positive outcomes from a negative event while providing guidance for responses to future disasters. However not all countries recover from disasters in the same manner or employ the same policy recourse, institutional arrangements, financing mechanisms and implementation practices for recovery. Consequently definitions, standards and results on what constitutes efficient, effective, and resilient recovery also vary widely across countries. While some of the key lessons and good practices emerging from the case studies conducted under this initiative can only be applied on a case by case basis, a number of general takeaways and commonalities can be drawn from across distinct recovery efforts. This section attempts to identify and compile common lessons identified across the various country case studies under this initiative.

Recap of Country Case Studies under the Recovery Framework Guide Initiative: The case studies conducted under the Recovery Guide Initiative have been designed to collect and analyze information on: a) disaster recovery standards and principles adapted by countries for specific disasters; b) means adopted by countries including efforts, considerations, and provisions for maximizing the efficiency, equitability and resilience of recovery efforts; c) policies, institutions, and capacities put in place by countries to implement and monitor disaster recovery; and d) ways and means adopted by countries to translate the gains of resilient recovery plans into longer-term risk reduction and resilient development.³⁹

Lessons Learnt as a Basis for Policy Action on Recovery: the inability to fully capitalize on the opportunities provided by recovery for disaster risk reduction has left countries more vulnerable to future shocks. In many cases, this has exacerbated existing developmental deficits stemming from technically inadequate and non-

³⁹ Please refer to the technical annexes of the guide (i.e. Case Studies Preamble).

resilient reconstruction of infrastructure and other assets.⁴⁰ Poorly planned disaster recovery does not meet social expectations, puts governance at risk, and can potentially expose affected states and stakeholders to political instability. Therefore the analysis of the case studies reveals that it is in the best interest of countries and stakeholder groups to be prepared to recover from disasters. The lessons gleaned from these case studies therefore provide a roadmap for translating and institutionalizing these past experiences into policy options for the future. These can in turn inform ex-ante preparatory work to help guide future recovery efforts and contribute to disaster risk reduction. Disaster prone countries may however need to adapt some of these lessons to fit their own distinct national priorities and resource constraints.

KEY LESSONS FROM THE RECOVERY FRAMEWORK CASE STUDIES

A Priori Institutionalization can help ensure effective Disaster Recovery: The need to be ready for disaster recovery is a central lesson that permeates across all studies in this DRF. Being ready for a disaster helps maximize the chances of effective recovery.⁴¹ Identifying pre-existing risks and vulnerabilities facilitates countries' putting in place policies, standards, and institutional arrangements for managing recovery before disaster strikes. The effectiveness and role of institutions tasked with disaster recovery planning and management are maximized if such entities are established prior to a major event, as opposed to their establishment after the fact. By institutionalizing recovery, countries and stakeholders will be able to maintain continuity from relief to reconstruction across a spectrum of possible post-disaster activities. A priori efforts can formalize and predict at least some of the strategic and resource commitments that may be needed for recovery planning, implementation and performance management. Planning for recovery can also mitigate against recurring challenges in sustaining national ownership and development cooperation inherent in maintaining traction and momentum on recovery.⁴²

Institutionalized Task-specific Structures for Recovery.

- While all of the country cases studied have a track record of exposure to disaster risk, very few had institutionalized task-specific structures for recovery prior to the event.
- Laos, Mozambique, Turkey, and Yemen maintained pre-existing disaster management and recovery entities.
- Chile, Indonesia, the Maldives, Pakistan, Senegal, and Sri Lanka stood up such entities only in the wake of major disasters.
- Haiti maintained no such state structures prior to the 2010 earthquake, while China has traditionally relied on varying arrangements for local, provincial and central government disaster recovery in various past disasters.

Setting up Dedicated Recovery Institutions with a Legal Mandate and Credibility.

- In 2014, after experiencing recurring floods, the Government of Mozambique ratified the country's Disaster Management Law, with specific provisions for recovery.
- The 2005 earthquake in Pakistan illustrated both the need to maintain one dedicated disaster management institution – ERRA – and the legal structure to empower effective responses.
- Flooding in 2009 and tropical storms in 2011 mainstreamed disaster risk management into Laos' 7th Socio-Economic Development Plan 2011-2015 and led to the appointment of minister level representatives to the National Disaster Prevention and Control Committee (NDPCC) responsible inter alia for recovery. This has elevated the stature of the country's institutional apparatus for disaster recovery

⁴⁰ Drawn from work/case studies associated with the Guide.

⁴¹ Refer to the Glossary for a definition of preparedness.

⁴² Refer to the section on Institutionalization of Recovery in National and Local Governance Systems.

Dedicated institutions with a legal mandate and wide credibility are mostly a necessary prerequisite to successful recovery: Creating institutions to plan for or manage disasters is insufficient if said entities are not legally mandated and empowered to take the lead in responding to a major event. Credibility is also critical to managing competing priorities vying for a priority response in an environment where resource scarcity and triage must be taken into account. The creation of institutions tasked with coordinating recovery and reconstruction backed by strong vertical and horizontal political support is one means of effectively taking charge of and implementing multiple often competing recovery objectives while creating an environment conducive to donors and implementers.⁴³

Effectively manage national budgeting and donor/multi-donor trust funds: Countries recovering from disaster will face very different resource constraints when it comes to funding disaster relief and recovery and the ratio of national funds to foreign aid and donor funds will vary on a case by case basis. Whenever possible, relying on dedicated national funds over external aid is more sustainable on the long run. However, in resource-scarce and fiscally constrained country cases, affected states would be well served by being institutionally ready to effectively manage external aid flows. Both in dealing with national and foreign aid funds, it would be advised to maintain checks and balances to ensure the accountable and accurate utilization of funds tied to recovery.

To that end, the main agency or organization leading recovery, the executive branch and national legislative structures could all reinforce each other to ensure the effective management of recovery funds.

Maintain operational transparency and accountability in any disaster response effort: Beyond creating effective institutions and managing resources effectively, disaster-affected countries could maintain maximum transparency and reporting on the real world implementation of planned state responses to any disaster. Doing so manages national and sub-national expectations, supports efforts tied to effective strategic communication, sustains political stability and reduces barriers or other potential obstacles to securing external aid and assistance should that be deemed in the national interest.

Managing National Budgets and Multi-Donor Trust Funds.

- In the cases of Chile in 2010, China, Laos in 2011, Mozambique in 2013, and Yemen in 2008, budget allocation and reallocation provided immediate availability of resources to begin recovery in all sectors.
- Indonesia's experience with disaster recovery over the 2004-2010 period was to use a relatively balanced mixed budgeting, linking central government, NGO and international aid funds.
- Disaster events in Haiti, the Maldives, Pakistan, and Turkey were followed by responses that were heavily reliant on foreign donors, the World Bank and other institutions.
- The absence of effective financial oversight in Haiti may have resulted in duplication of effort and wastage of aid resources geared towards recovery.

Maintaining Operational Transparency and Accountability in Disaster Response.

- In China, supervisory groups leading recovery efforts monitor and disclose project development and information on the receipt and use of funds.
- Chile's Presidential Compliance Management Unit is intended to both measure progress and manage compliance actions on recovery.
- For three years following the 2004 Tsunami, the Maldives adopted a participatory and partner-inclusive approach for assessing and reporting progress towards recovery.

⁴³ Refer to the section on Institutionalization of Recovery in National and Local Governance Systems

Ensure multi-agency and multi-tier inclusion while avoiding duplication of effort: Unifying recovery policy and implementation under one umbrella could generate optimal results. However a unified approach to disaster recovery should not come at the expense of maximizing the efforts of other organizations and entities supporting the overall recovery effort. Such organizations may be stratified both horizontally and vertically, belong to ministries that do or do not have a history of interagency cooperation, maintain a broad mix of discreet institutional priorities, and could exist both within and beyond the public sector (in the latter case, they could be NGOs, civil society groups, private sector actors, etc.). While inclusion and coordination are favorable, neither should impede the overall effort. The dedicated agency tasked with implementation of recovery should have the authority to put in place mechanisms to avoid duplication of effort and avoid wasting scarce resources.

Implementation responsibilities should be delegated to sub-national, or district and municipal levels as needed: An effective disaster response effort cannot be driven by central government priorities and focus alone. Affected states should take necessary action as close to the impacted location as possible as a means of tailoring as much of the overall response to meeting the recovery objectives. Recovery work can be assisted by the formation of local, district or provincial level reconstruction committees depending on the national and sub-national country circumscriptions in question, and through the expansion of the network of community based organizations. Different countries have grappled with very different levels of administrative and government centralization and decentralization. As such, some countries may be better positioned to move quickly to enact local level action in response to a major event.

Ensuring Multi-Agency Inclusion while Avoiding Duplication.

- After the 2008 earthquake, China's Wenchuan Earthquake Restoration and Reconstruction Coordination Group was established to coordinate and communicate between government agencies at national and local levels.
- In Pakistan, the establishment of ERRA institutionalized multi-tier collaboration at the local, technical, and ministerial levels to engender ownership across a wide range of stakeholders.
- In Haiti, after 2010, no single participatory planning process existed at a national level, so NGOs and other executing agencies sought input from beneficiaries at the project level in order to meet urgent humanitarian needs

Responsibilities Delegated to Sub-National Levels.

- Since 2010, Chile has developed a mixed approach of central financing and reliance on established assistance practices that asked provinces and municipalities to participate in recovery partnership that included local government, the private sector, and civil society groups.
- After the 2010 earthquake and in the absence of a robust central government, municipalities in Haiti often collaborated with NGOs and faith-based organizations on the ground while receiving resources on an ad hoc basis.
- In Pakistan, after the 2005 earthquake, the ERRA's tiered system provided individual programs at the local level with independent decision-making over which initiatives to implement.

Institutionalize post-disaster needs assessment (PDNA) for future funding, coordination, tracking, and evaluation: While many countries affected by disasters have little to no experience conducting PDNAs, any set of assessments of real world-socio-economic, demographic, infrastructure, governance or service provision challenges identified after each disaster provide a de facto baseline. Detailed assessments conducted help inform recovery policies and can be used as a vulnerability mapping exercise that can assist future reconstruction projects, and longer term developmental planning. This may include key lessons on national resource shortfalls and estimates on levels of external assistance that may be required to respond effectively in the wake of a future large scale event.

Set clear guidelines and milestones for transitioning from disaster recovery and reconstruction to a post-disaster development response: While state institutions and agencies tasked with responding to a disaster event are essential, there must also be clear and specific guidelines by which said agencies can transition out of the overall recovery effort in any post-disaster phase. Doing so may require a clear transitional strategy and sunset clauses triggered by pre-determined milestones, institutional design, or both. In the case of the former, that could mean the achievement of a major recovery target set by a national government. In the latter case, the institution or agency in question may only be authorized to provide an initial impetus for the recovery effort before other state or sub-national institutions (for example at the level of various ministries) take over.

Link post-disaster recovery to poverty alleviation and long-term development objectives: Governments should take advantage of recovery plans to put forward national poverty alleviation and long-term development objectives. On the one hand, this includes moving from emergency relief to sustainable development. On the other, this means a focus on livelihood generation, particularly for vulnerable groups, is a key means of sustaining local economy. Cash grants, by providing cash injections into the economy, are a good means of assisting in livelihood support. Lastly, a focus on improved access to services as well as service delivery could go hand-in-hand with infrastructure reconstruction. Sectors such as education, health, and water and sanitation could be given equal attention alongside transportation and housing reconstruction.

Institutionalizing PDNA's.

- Many developing countries now have a history conducting PDNAs, including Haiti, Pakistan, Indonesia, Laos, the Maldives, Senegal, Sri Lanka, Turkey, and Yemen.
- Most countries that conduct PDNA do so intermittently and many do not conduct them in the wake of every major disaster event.

Transitioning from Disaster Recovery to Development.

Because no cross-sectoral recovery framework was developed in Haiti in 2010, no schedule of recovery activities was defined within or across sectors, leading to uncertainty regarding the completion of recovery activities.

Linking Disaster Recovery to Poverty Alleviation and Longer-term Development.

- As part of Building Back better, the 2005 earthquake recovery in Pakistan was taken as an opportunity to incorporate improvements in the educational sector and health care provision.
- In 2010, the earthquake in Haiti was seen as an opportunity to develop the country into what was labeled the "New Haiti" by the government. However it became apparent for aid agencies and the Haitian government that there was a gap between the initial phase of recovery and sustainable development.



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A compilation of all the results matrices in the Guide to Developing Disaster Recovery Frameworks	
Results Matrix 1	Broad and Consistent Policy Framework for Recovery Planning through the PDNA
Results Matrix 2	Fostering Consensus over a Central and Coherent Vision for Recovery That Holds Together and Aligns the Recovery Objectives and Subsequent Interventions of all Partners and Stakeholders
Results Matrix 3	Provision of an Enabling Policy Framework for the Operationalization of the Recovery Vision
Results Matrix 4	Application of Policy Principles to achieve Mutually Reinforcing Recovery Outcomes Across all Sectors
Results Matrix 5	Ensure Equitable and Demand-Responsive Recovery across affected Communities
Results Matrix 6	Inter-Sectoral Strategy for Recovery is Translated into Sector-Specific Programs and Strategies
Results Matrix 7	Development of Sector Recovery Program is Informed by Assessments and Surveys.
Results Matrix 8	Sector-Level Recovery Programs are Developed in a Consultative and Inclusive Manner.
Results Matrix 9	A clear understanding of the skill and staff capacity assessment needs for recovery
Results Matrix 10	Clarification of the modalities of operation and mandates for a lead recovery agency
Results Matrix 11	An empowered recovery institution having good relations with key stakeholders
Results Matrix 12	Institutions function with clarity of purpose and jurisdiction
Results Matrix 13	Sustainable reconstruction that draws on both local knowledge as well good practices
Results Matrix 14	Decentralized implementation guided by centrally established policy



Results Matrix 15	Institutional continuity between Relief and Recovery
Results Matrix 16	A well-managed process for the incorporation of international agencies and development partners
Results Matrix 17	An inclusive, well-resourced recovery program that draws effectively on domestic and international expertise
Results Matrix 18	Adequate & informed financing for recovery
Results Matrix 19	PDNA leading towards BBB
Results Matrix 20	Resource Mobilization for Recovery
Results Matrix 21	Functioning Financial Systems for Recovery
Results Matrix 22	Strengthened Public Financial Management
Results Matrix 23	Adequate Monitoring & Evaluation
Results Matrix 24	Policy Implementation Process is informed by Multiple Sources of Information
Results Matrix 25	Ownership of Recovery Built Across All Levels and Partners – National Government, Local Government, Donors, Civil Society, and Communities – Through Broad Participation and Collaboration
Result Matrix 26	Financial Transparency and Project Tracking, Resulting in High Donor Confidence in the Reconstruction Effort
Results Matrix 27	Efficient Central Oversight Mechanism That Can inform Mid Term Review Process
Results Matrix 28	Fast, efficient and transparent Procurement
Results Matrix 29	Effective Communication to Guide The Implementation of Recovery Process
Results Matrix 30	Efficient Central Oversight Mechanism That Can Manage Bottlenecks Using Qualified Staff and Information Systems
Results Matrix 31	Sustainable recovery planning and implementation
Results Matrix 32	Predictable Financing for Sustainable Recovery
Results Matrix 33	PDNAs Institutionalization leading to sustainable recovery

GLOSSARY

ADAPTATION:

the adjustment in natural or human systems in response to actual or expected climatic or other stimuli or their effects, which moderates harm or exploits beneficial opportunities.

AUDIT:

an official examination and verification of accounts and records to analyze the legality and regularity of project expenditures and income, in accordance with laws, regulations, and contracts, such as loan contracts and accounting rules. It may also analyze efficiency and effectiveness of funds.

BASELINE DATA:

Pre-disaster baseline information that includes socio economic, demographic and geographical data relevant to the affected areas, including development indicators such as literacy rates, malnutrition and food insecurity, poverty levels, access to potable water and sanitation facilities, education facilities and school enrolment, and the incidence of communicable diseases, among others.

BASIC NEEDS:

the items that people need to survive. This can include safe access to essential goods and services such as food, water, shelter, clothing, healthcare, sanitation, and education.

BUILD BACK BETTER:

an approach to reconstruction that reduce risks and vulnerabilities to future disasters.

BUILDING CODE:

A set of ordinances or regulations and associated standards intended to control aspects of the design, construction, materials, alteration and occupancy of structures that are necessary to ensure human safety and welfare, including resistance to collapse and damage

CASH TRANSFERS:

assistance in the form of cash to the poor or to those who face a probable risk of falling into poverty in the absence of the transfer.

CAPACITY:

the combination of all the strengths, attributes and resources available within a community, society or organization that can be used to achieve agreed goals.

CAPACITY BUILDING:

Capacity building or development is the process by which individuals, groups, organizations, institutions and societies increase their abilities to: perform core functions, solve problems, define and achieve objectives; and understand and deal with their development needs in a broad context and in a sustainable manner.

CLIMATE CHANGE RESILIENCE:

the ability to resist, absorb, adapt to and recover from meteorological changes attributed directly or indirectly to human activities that alter the composition of the global atmosphere or the natural climate variability. See also 'Resilience'.

COMMUNITY:

a group of households that identify themselves in some way as having a common interest or need as well as physical space. A social group that resides in a specific locality.

CORRUPTION:

the misuse of a public or private position for direct or indirect personal gain.

DAMAGES:

total or partial destruction of physical assets existing in the affected area.

DIRECT COSTS:

damages in terms of their monetary value, expressed as the replacement costs according to the market price prevailing just before and after the disaster.

DISASTER:

a serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental losses and impacts, which exceeds the ability of the affected community or society to cope using its own resources.

DISASTER RISK MANAGEMENT:

The systematic process of using administrative directives, organizations, and operational skills and capacities to implement strategies, policies and improved coping capacities in order to lessen the adverse impacts of hazards and the possibility of disaster.

DISASTER RISK REDUCTION:

The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events.

EARLY RECOVERY:

a multidimensional process of recovery that begins in a humanitarian setting. It is guided by development principles that seek to build on humanitarian programmes and to catalyse sustainable development opportunities. It aims to generate self-sustaining, nationally owned, resilient processes for post crisis recovery. It encompasses the restoration of basic services, livelihoods, shelter, governance, security and rule of law, environment and social dimensions, including the reintegration of displaced populations.

EARLY WARNING:

The provision of timely and effective information, through identified institutions, that allows individuals exposed to a hazard to take action to avoid or reduce their risk and prepare for effective response.

EFFICIENT RECOVERY:

steadying lives and livelihoods back to normalcy, and rapidly restoring critical social, physical and productive infrastructure and service delivery.

EFFECTIVE RECOVERY:

normally refers to achieving the intended outcomes of medium to long-term recovery such as the rehabilitation and reconstruction of damaged infrastructure and recreating sustainable livelihood and income generating opportunities.

EMPOWERMENT:

authority given to an institution or organization (or individual) to determine policy and make decisions. Inclusion of people who are normally outside the decision making process.

ENABLING ENVIRONMENT:

the rules and regulations, both national and local, which provide a supportive environment for a specific activity, such as community participation or DRM to take place.

EX ANTE MEASURES:

actions taken in advance of a disaster in the expectation that they will either prevent, or significantly reduce the impact of a possible disaster.

EX POST MEASURES:

actions taken after a disaster has occurred to seek to make good all related damage caused by the disaster.

EXPOSURE:

People, property, systems, or other elements present in hazard zones that are thereby subject to potential losses.

FLOOD:

The overflowing of the normal confines of a stream or other body of water, or the accumulation of water over areas that are not normally submerged.

GREEN GROWTH:

is efficient in its use of natural resources, clean in that it minimizes pollution and environmental impact, and resilient in that it accounts for natural hazards and the role of environmental management and natural capital in preventing physical disasters.

HAZARD:

A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage.

HOUSING:

the immediate physical environment, both within and outside of buildings, in which families and households live and which serves as a shelter.

INDIRECT COSTS / LOSSES:

the changes in flows of goods and services — diminished revenues and/or additional costs, expressed in current values— caused by the disaster, that may extend throughout the rehabilitation and reconstruction periods.

INFRASTRUCTURE:

systems and networks by which public services are delivered, including: water supply and sanitation; energy and other utility networks; transportation networks for all forms of travel.

LIVELIHOODS:

the ways in which people earn access to the resources they need, individually and communally, such as food, water, clothing, and shelter.

LOSS ASSESSMENT:

analyzes the changes in flows of goods and services — diminished revenues and/or additional costs, expressed in current values— caused by the disaster, that may extend throughout the rehabilitation and reconstruction periods.

MITIGATE/MITIGATION:

Mitigation is the effort to reduce loss of life and property by lessening the impact of disasters.

MONITORING:

the ongoing task of collecting and reviewing project or program related information that pertains to its goals, objectives and activities.

NEEDS ASSESSMENT:

a process for estimating (usually based on a damage assessment) the financial, technical, and human resources needed to implement the agreed-upon program of recovery, reconstruction, and risk management.

PHYSICAL PLANNING:

a design exercise based on a land use plan to propose optimal infrastructure for public services, transport, economic activities, recreation, and environmental protection for a settlement or area. A physical plan can have rural and urban components.

POLICY:

is a principle or protocol to guide decisions and achieve rational outcomes.

POST-DISASTER NEEDS ASSESSMENT (PDNA):

an approach to analyzing disaster effects and disaster impact for the purpose of identifying recovery needs, defined from a human, socio-cultural, economic, and environmental perspective.

PREVENTION:

The outright avoidance of adverse impacts of hazards and related disasters.

PROJECT OUTPUTS:

Outputs are the supply-side deliverables, including the events, products, capital goods or services that result from a development intervention (e.g., construction of a school).

PROJECT OUTCOMES:

A Project Outcome is the uptake, adoption or use of project outputs by the project beneficiaries.

PRELIMINARY ASSESSMENT:

an assessment that provides immediate information on needs, possible interventions, and resource requirements. It may be conducted as a multi-sectoral assessment or in a single sector or location.

RECONSTRUCTION:

the restoration and improvement, where possible of facilities, livelihoods, and living conditions of disaster-affected communities, including efforts to reduce disaster risk factors. Generally it is focused primarily on the construction or replacement of damaged physical structures, and the restoration of local services and infrastructure.

RECOVERY:

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

RECOVERY FRAMEWORK:

is a pragmatic, sequenced, prioritized, programmatic, yet living (and flexible) action plan that ensures resilient recovery after a disaster.

RELIEF:

the provision of assistance or intervention immediately after a disaster to meet the life preservation and basic subsistence needs of those people affected.

RELOCATION:

a process whereby a communities housing assets and public infrastructure are rebuilt in another location.

RESIDUAL RISK:

the risk that remains in unmanaged form, even when effective disaster risk reduction measures are in place, and for which emergency response and recovery capacities must be maintained. The presence of residual risk implies a continuing need to develop and support effective capacities for emergency services, preparedness, response and recovery together with socio-economic policies such as safety nets and risk transfer mechanisms.

RESILIENCE:

The ability of a system, community or society exposed to hazards to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions.

RESILIENT RECOVERY:

builds resilience during recovery and promotes resilience in regular development. Resilient Recovery is a means to sustainable development. See also Resilience, Disaster Risk Management and Disaster Risk Reduction.

RESPONSE:

is the provision of emergency services and public assistance during or immediately after a disaster in order to save lives, reduce health impacts, ensure public safety and meet the basic subsistence needs of the people affected.

RESULTS:

Results are the outputs, outcomes or impacts (intended or unintended, positive or negative) of a development intervention.

RISK:

The combination of the probability of an event and its negative consequences.

RISK TRANSFER:

The process of formally or informally shifting the financial consequences of particular risks from one party to another whereby a household, community, enterprise or state authority will obtain resources from the other party after a disaster occurs, in exchange for ongoing or compensatory social or financial benefits provided to that other party.

STAKEHOLDERS:

groups who have any direct or indirect interest in the recovery interventions, or who can affect or be affected by the implementation and outcomes, including such groups as those undertaking, managing, reporting on, effected by, promoting, and funding the interventions.

SUSTAINABILITY:

forms of progress that meet the needs of the present without compromising the ability of future generations to meet their needs.

SUSTAINABLE DEVELOPMENT:

development that meets the needs of the present without compromising the ability of future generations to meet their own needs.

TRIAGE:

is the sorting into priority groups according to their need and the resources available.

VULNERABILITY:

the characteristics and circumstances of a community, system or asset that make it susceptible to the damaging effects of a hazard. Characteristics of a person or group in terms of their capacity to anticipate, cope with, resist and recover from the impact of a natural or human-induced hazard.

VULNERABLE GROUPS:

groups or members of groups particularly exposed to the impact of hazards, such displaced people, women, the elderly, the disabled, orphans, and any group subject to discrimination.





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