From Recovery Strategy to Recovery Framework

Session outline

1 **What is a Recovery Framework**

2 Why have a Recovery Framework

3 How is RF developed

4 How is RF put together: four modules

        What: (policy)
        Who: (Institutional setup)
        With what: (financing mechanism)
        How: (Implementation arrangements)

From recovery strategy to recovery framework

Emergency response (to crisis by disaster or conflict)	**Needs** assessment (for sustainable recovery or peacebuilding recovery)	Recovery framework (consensual, participatory, institution building, financially sound)	Development policy (Sustainable, equitable, resilient)

- To bridge the emergency response and early recovery to short, medium and long term recovery's link to development

- To move from the how much and what constitutes recovery to how to frame and implement recovery

- Is an organizational tool to facilitate inter-sectoral, interinstitutional, multi-stakeholders framed recovery in four key areas:

  - Integrated recovery vision and planning

  - Institutional setup

  - Financial resource mobilisation and allocation

  - Monitoring and evaluation

Summary of DRF modules

Humanitarian Response

Post-Disaster Assessment (PDNA)

Disaster Event

3 to 6 Months

6+ Months

Policy and Strategy Setting

Define a central vision for recovery

Define guiding principles: identify primary sectors for recovery

Develop criteria for intersectoral prioritization and resource allocation

Develop sector-level recovery strategy

Translate sector strategies into projects

Institutional Framework

Assess Government capacity to manage recovery

Appoint appropriate **recovery leader**

Set up appropriate **institutional arrangements**; strengthen line ministries

Clarify institutional **roles and responsibilities**

Establish **coordination mechanisms** for non-governmental entities

Strengthen the capacity of lead agency and implementing entities

Ensure **smooth transition** from relief to recovery

Financing for Recovery

Conduct **funding gap analysis**; mainstream off-budget fund to complement public financing

Mobilize funds through budget review, donor assistance, private sector, etc.

Allocate budget; integrate off-budget funds

Track and monitor the transfer and use of funds

Strengthen public financial management

Streamline procurement and funds flow procedures

Implementation

Develop **participatory forums** for communities, civil society, NGOs, private sector, etc.

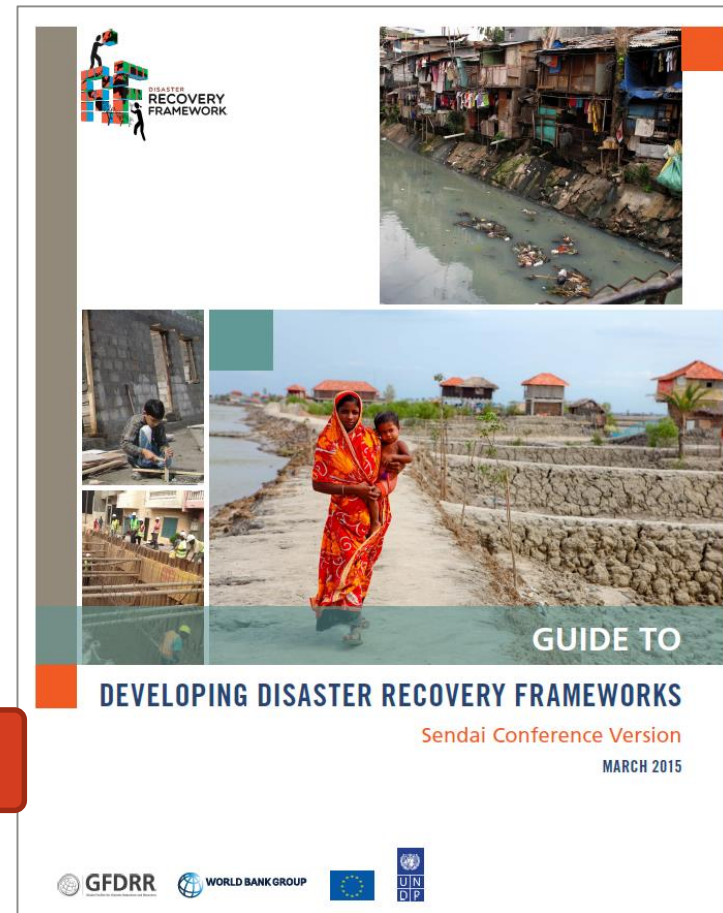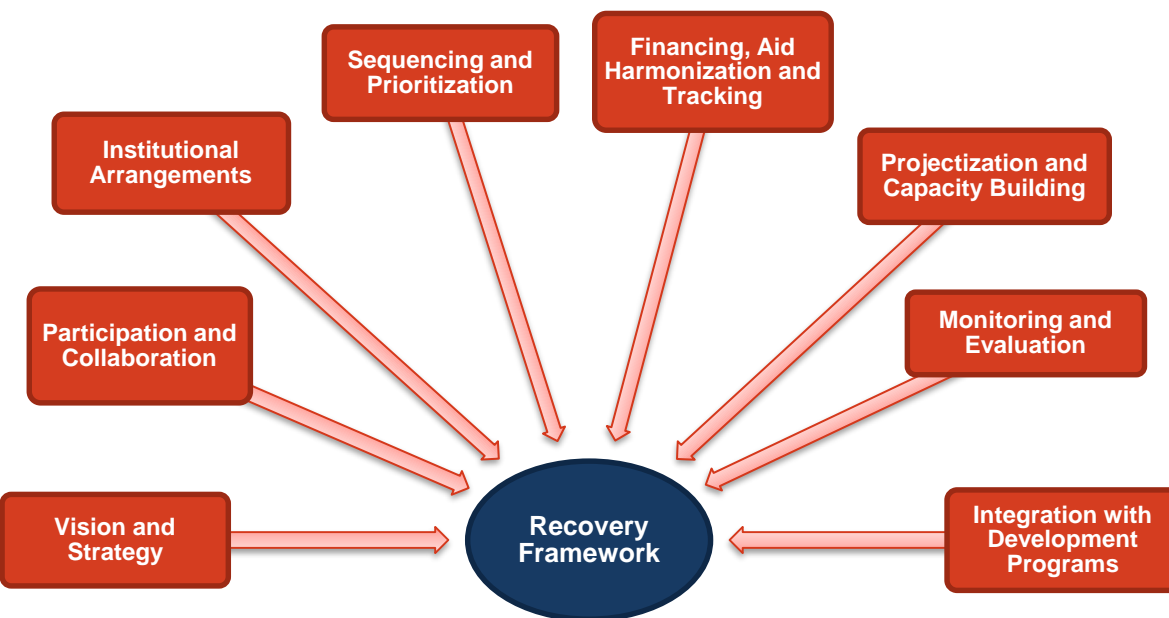Set up **coordination and information sharing** mechanisms

Standardize **project approval** processes
Fast track reliable procurement procedures
Develop **M&E** Systems

Public communication on recovery progress

- Guide governments and other stakeholders in the middle and longer term recovery efforts.

Focus Areas

- Sequencing and Prioritization
- Financing, Aid Harmonization and Tracking
- Institutional Arrangements
- Projectization and Capacity Building
- Participation and Collaboration
- Monitoring and Evaluation
- Vision and Strategy
- Recovery Framework
- Integration with Development Programs

GUIDE TO
DEVELOPING DISASTER RECOVERY FRAMEWORKS
Sendai Conference Version
MARCH 2015

GFDRR · WORLD BANK GROUP · UNDP

How DRF builds on PDNA

PDNA

- Estimates damage and losses, and quantifies needs
- A government –led and definitive assessment
- Prioritizes needs within sectors; and provides generic cost estimates
- Initial assessment of institutional issues and capacity constraints
- Recommendations to incorporate recovery into longer term national development plan
- Recommendations to incorporate recovery into longer term resilience and risk reduction efforts

DRF

- Defines timeframe, priority, financial planning and implementation for recovery
- Is a government-led action plan that can be updated periodically
- Prioritizes & sequences needs within and across sectors based and identifies funding gaps where additional financing is required
- Carries out extensive assessment of recovery capacities and skills and institutional options for recovery; identifies corresponding capacity building needs for efficient and effective recovery
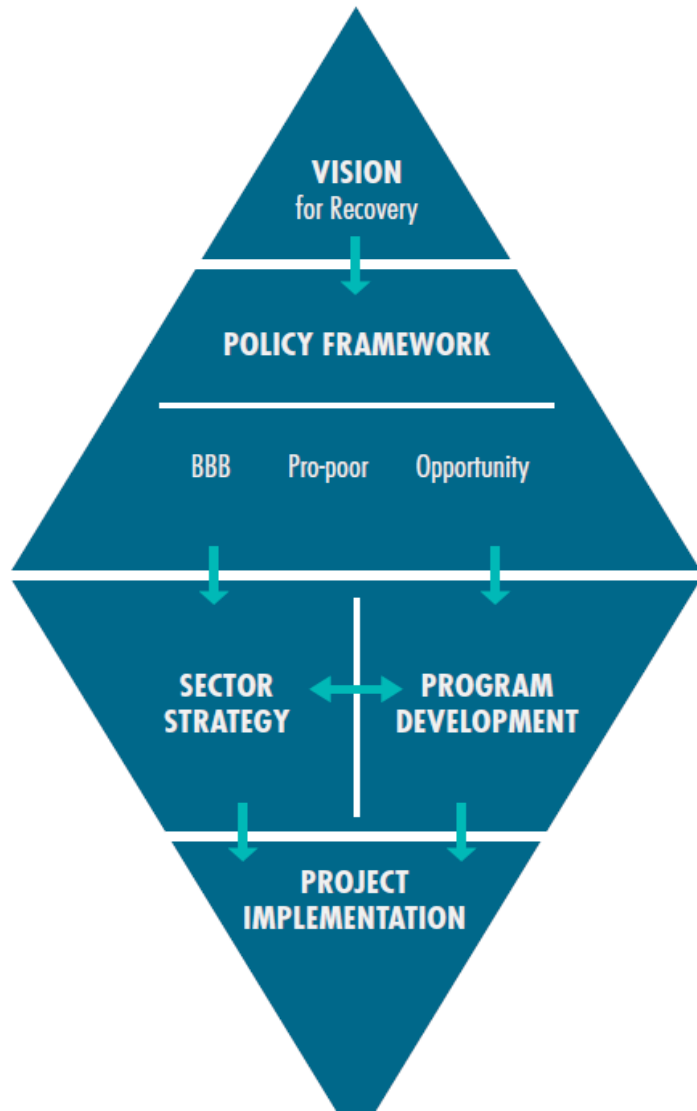- Ensures that recovery is an integral part of national development policy and plans
- Ensures recovery is integral part of ongoing disaster risk reduction and climate resilience efforts

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From Vision to Implementation

Lead Actors

National planning agency

Lead recovery agency

Line ministries with planning and/or recovery agency

Line ministries and their partners

| Terms of Reference | Analysis | Consultation | Consolidation |

- TOR: tasks, roles, timeframe

- Analysis:

  - Sectoral needs, institutional arrangements, existing policies and plans

  - Financing gaps and options

  - Prioritisation

- Consultations: sectoral, draft framework

- Consolidation: finalise framework, validate, publish & disseminate

- Possible outputs: recovery plan and/or longer-term framework

Management of the process

Tasks

- Coordination between actors
- Quality control
- Facilitate access to information
- Keep work on schedule

Principles

- Use existing sectoral coordination mechanisms

- Consult with stakeholders on sectoral plans as well as overall framework

- Integrate the framework with ongoing planning processes

- Account for environmental, social and gender issues/impacts

Options for management

1. Planning or DRM agency chairs a management committee

2. Planning and DRM agencies co-chair committee

3. Planning and/or DRM agencies co-chair with representative of international community

Who: National Planning or DRR Agency

What: Define a clear vision at highest levels of government (validation or revision from the vision of PDNA recovery strategy)

- ❑ Vision should relate to the country's broader development context
- ❑ Should relate to its growth and poverty reduction programs
- ❑ Include input from multi-stakeholder consultations
- ❑ Provide a clear description of the sectoral, geographic and functional details of recovery

Who: National Planning or DRR Agency

❑ Works with designated recovery agency, national/ subnational government, line ministries

❑ Other potential partners include civil society, private sector, international partners, etc.

What: Establish Principles of Recovery

❑ Principles are rules that influence how the recovery process is implemented. Examples include:

- ▪ Building Back Better
- ▪ Targeting the most vulnerable
- ▪ Local level implementation
- ▪ Community participation

Key Elements of a Policy

Key elements include:
- ❑ Benefits and assistance for affected households
- ❑ Local implementation
- ❑ Improved Standards and specification to Build Back Better
- ❑ Effective management of public expectations and grievances
- ❑ Social/External Audit and transparency
- ❑ Fostering public-private partnerships
- ❑ Partnership with NGOs and civil society
- ❑ Using gender equity
- ❑ Reducing Risk and Vulnerability

National Planning or DRR Agency

❑ Decide on appropriate institutional arrangements

❑ Provide legal mandate for recovery which clarifies institutional roles and responsibilities

❑ Designate lead recovery agency

❑ Appoint an effective recovery leader

Lead Recovery Agency

❑ Ensure continuity between humanitarian and recovery work

❑ Clarify role of international organizations and development partners

❑ Coordinate recovery efforts across sectors with multiple stakeholders

❑ Include civil society, private sector, communities and NGOs in the recovery process

❑ Ensure appropriate human resources are available throughout the recovery

Institutional framework for recovery

Selecting an Effective Lead Agency

Role: Coordinates and harmonizes recovery strategies across sectors

Criteria

- Current governance structure

- Prior disaster recovery experience

- Characteristics of the disaster

- Coordination, monitoring, oversight, and control frameworks in operation

- Inclusiveness and capacity to work with local authorities and NGOs

Options for structuring agency

1 Strengthen and coordinate **existing** sectoral line ministries

2 Create a **new** institution to manage recovery

3 Create a **hybrid** structure via enhancing existing agency

Role of other stakeholders

Stakeholder	Possible roles
Local government	Local engagement in recovery; coordination; implementation; O&M
Civil society/NGOs	Community engagement in recovery; 3rd party monitoring; implementation
Private Sector	Restarting economic activity; charitable donations; PPPs for implementation
Academia	Specialized expertise; source of data; surveys; policy analysis; monitoring & evaluation
Professional associations	Expertise; standards; quality control
International partners	Expertise; good practice; finance

3. Recovery Financial Mechanisms

Ministry of Finance / Lead Recovery Agency
- ✓ Conduct funding gap analysis and budget review
- ✓ Identify domestic sources of funding
- ✓ Identify external sources of funding
- ✓ Organize international appeal or donor conference to access international funding
- ✓ Define mechanism to manage inflow of funds (FM systems that disburse funds between levels of government, directly to communities, or systems that manage external resources)
- ✓ Coordinate and allocate funds
- ✓ Set up system for aid tracking
- ✓ Strengthen public financial management system
- ✓ Engage external third-party auditing services

Ministry of Finance / Lead Recovery Agency

✓ Set up and run different coordination mechanisms addressing various stakeholders

✓ Establish standard procedures for project approval, procurement, reporting, and contracts

✓ Define reconstruction standards

✓ Set up rapid procurement procedures

✓ Support decentralized implementation of activities

✓ Establish good internal communication among recovery partners

✓ Use effective public communication to raise awareness

✓ Ensure transparency in all recovery program activities

✓ Undertake monitoring and evaluation of recovery projects

✓ Propose mid-course corrections as appropriate

Institutionalizing framework in Indonesia

Area

- PDNA
- Institutional arrangements
- Financial mechanisms
- Policies
- Implementation arrangements
- Role of local authorities

Action

- National damage and loss methodology & capacity created (2006/7)
- National disaster management law, plan, platform, & agency created (2007/9)
- On-call, Contingent and international funds; risk transfer mechanisms (2009 -)
- Definition of contingent liability; housing compensation; risk-informed development planning (2009 -)
- Emergency logistics standards; local risk assessments; scenario planning (2010 -)
- 500 local disaster management agencies; transfers to local government (2009 -)