From Recovery Strategy to Recovery Framework
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)
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

<table>
<thead>
<tr>
<th>Disaster Event</th>
<th>Humanitarian Response</th>
<th>Post-Disaster Assessment (PDNA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>3 to 6 Months</td>
<td></td>
<td>6+ Months</td>
</tr>
</tbody>
</table>

**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
- Set up appropriate institutional arrangements; strengthen line ministries
- Establish coordination mechanisms for non-governmental entities
- Strengthen the capacity of lead agency and implementing entities
- Clarify institutional roles and responsibilities
- 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

**Public**
• Guide governments and other stakeholders in the middle and longer term recovery efforts.

Focus Areas

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

Recovery Framework
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
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 Vision to Implementation

**Lead Actors**

- National planning agency
- Lead recovery agency
- Line ministries with planning and/or recovery agency
- Line ministries and their partners
Process for developing a DRF

- **Terms of Reference**
- **Analysis**
  - Sectoral needs, institutional arrangements, existing policies and plans
  - Financing gaps and options
  - Prioritisation
- **Consultation**
- **Consolidation**

- TOR: tasks, roles, timeframe
- Analysis:
- 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
1. Policy setting for recovery: Vision

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
1. Policy setting for recovery: Guiding principles

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
2. Institutional arrangements

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
**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

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

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
<table>
<thead>
<tr>
<th>Area</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>PDNA</td>
<td>National damage and loss methodology &amp; capacity created (2006/7)</td>
</tr>
<tr>
<td>Institutional arrangements</td>
<td>National disaster management law, plan, platform, &amp; agency created (2007/9)</td>
</tr>
<tr>
<td>Financial mechanisms</td>
<td>On-call, Contingent and international funds; risk transfer mechanisms (2009 - )</td>
</tr>
<tr>
<td>Policies</td>
<td>Definition of contingent liability; housing compensation; risk-informed development planning (2009 - )</td>
</tr>
<tr>
<td>Implementation arrangements</td>
<td>Emergency logistics standards; local risk assessments; scenario planning (2010 - )</td>
</tr>
<tr>
<td>Role of local authorities</td>
<td>500 local disaster management agencies; transfers to local government (2009 - )</td>
</tr>
</tbody>
</table>