TRAINING MANUAL

LEARNING WORKSHOP ON RECOVERY AND RECONSTRUCTION

Tsunami Global Lessons Learned Project

DISASTER RECOVERY TOOLKIT

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1) Handbook for Disaster Recovery Practitioners
2) Training Manual – Learning Workshop on Recovery and Reconstruction
3) Guidance on Critical Facilities
4) Guidance on Housing
5) Guidance on Land Use Planning
6) Guidance on Livelihood

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Dr. Kuntoro Mangkusubroto, Chair, TGLLP-SC
Mr. Satya S. Tripathi, Secretary, TGLLP-SC

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FOREWORD

Ten years have passed since the Indian Ocean Earthquake and Tsunami of December 2004. The consequences of this disaster have continued to unfold in the minds of individuals, the collective lives of affected families and communities, and within the framework of nations and the region as a whole. Indeed, the memory of this great tragedy is imprinted on the global mind. The loved ones of the more than 228, 000 people who perished look back on this disaster every day. For the rest of us, the 10th anniversary provides an opportunity to reflect on the memory of these departed souls, and to think of those who were left behind in devastated families, communities and environments.

The recovery of the affected areas in the months and years since the event itself is an affirmation of human resilience and creativity in building solutions- and finding ways out- of the most challenging situations. It is out of respect to those who perished or suffered that we should take what lessons we can from such experiences, and use them to design better strategies for disaster response and recovery in the future.

With climate change proceeding apace, the notion of environmental vulnerability is becoming increasingly broad and hard to pinpoint: everybody is vulnerable, and because of this, our incentive to learn from what came before should be heightened.

The Tsunami Global Lessons Learned Project (TGLLP) was created with a view to gathering, learning from and sharing experiences relating to the 2004 earthquake and tsunami, and other disasters in the region that occurred between 1993 and 2013. The project sought to deliver three principle outcomes: a global lessons learned study, a Discovery Channel documentary tracking the recovery, and a disaster recovery toolkit for recovery practitioners.

The first of these outcomes was a report entitled *The Tsunami Legacy: Innovations, Breakthroughs and Challenges* which was officially released on 24 April 2009 at a ceremony at the United Nations Headquarters in New York. A few months later, in December 2009, a documentary on lessons learned, produced independently, was aired on the Discovery Channel.

At the launch of *The Tsunami Legacy* in 2009, an announcement was made regarding the development of a suite of handbook and guidance notes targeted specifically at recovery programme leaders and practitioners. The Disaster Recovery Toolkit forms the third deliverable, and it is this that has been developed by the Tsunami Global Lessons Learned Project Steering Committee (TGLLP-SC) in partnership with the Asian Disaster Preparedness Centre (ADPC). The 'Toolkit' is targeted at practitioners responsible for implementing recovery programmes, its objective to provide a 'how to' guide on development, implementing and managing complex post-disaster recovery programmes.

This component of the toolkit, the Training Manual – Learning Workshop on Recovery and Reconstruction, is targeted at managers or practitioners responsible for implementing recovery efforts, providing a 'how to' for developing and managing complex post-disaster recovery programmes.

The TGLLP Steering Committee hopes the guide will help to achieve effective facilitation of the Learning Workshops, which targets to enhance capacities of government agencies in formulating and implementing recovery and reconstruction interventions as well as to support development partners who support the process. The Guide aims to increase critical thinking and skills in formulating and undertaking recovery and reconstruction interventions that effectively address specific needs in different scenarios and conditions.

- Steering Committee of The Tsunami Global Lessons Learned Project

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ABBREVIATIONS

AADMER	ASEAN Agreement on Disaster Management and Emergency Response
ADRM	Aceh Disaster Risk Map
ARTF	Afghan Reconstruction Trust Fund
ASEAN	Association of Southeast Asian Nations
BMTPC	Building Materials Technology Promotion Council
BRR NAD-Nias	Badan Rehabilitasi dan Rekonstruksi NAD-Nias (Indonesia) *(Agency for the Rehabilitation and Reconstruction of Aceh and Nias)*
CBA	Community Based-Assessment / Communication-based Assessment
CBO	Community-based Organization
CCA	Climate Change Adaptation
CFAN	Coordination Forum for Aceh and Nias
CSO	Civil Society Organization
CZMA	CZM Authority
DAD	Development Assistance Database
DALA	Damage and Loss Assessment
DRMS	Disaster Risk Management Strategy
DRR	Disaster Risk Reduction
DRR-A	"Making Aceh Safer Through Disaster Risk Reduction in Development"
ECHO	European Commission for Humanitarian Aid and Civil Protection
EIA	Environmental Impact Assessment
ERRA	Earthquake Reconstruction & Rehabilitation Authority (Pakistan)
GFDRR	Global Facility for Disaster Reduction and Recovery
GIS	Geographic Information System
GoTN	Government of Tamil Nadu'
GPS	Global Positioning System
GSDMA	Gujarat State Disaster Management Authority (India)
HRNA	Human Recovery Needs Assessment
IASC	Inter-Agency Standing Committee
ICT	Information and Communication Technologies
IRP	International Recovery Platform
KPI	Key Performance Indicator
LIFT	Livelihoods and Food Security Trust Fund
MDF	Multi Donor Fund for Aceh and Nias
MDTF	Multi-Donor Trust Fund
M&E	Monitoring and Evaluation
MHJ	Ministry of Health
MoU	Memorandum of Understanding
MPTF	Multi-Partner Trust Fund
NCRC	NGO Coordination and Resource Centre (Nagapattinam, India)
NDRF	National Disaster Response Force (India)
NDRF	National Disaster Response Framework (USA)
NWFP	North-Western Frontier Province
OCHA	Office for the Coordination of Humanitarian Affairs
ODA	Official Development Assistance
OSD	Officer of Special Duty
OSDMA	Orissa State Disaster Mitigation Authority
PAK	Pakistan-Administered Kashmir
PDNA	Post Disaster Needs Assessments
PHC	Primary Health Centre (India)
PONJA	Post-Nargis Joint Assessment
PONREPP	Post-Nargis Recovery and Emergency Preparedness Plan
PR	Periodic Review
RADA	Reconstruction and Development Agency (Sri Lanka)
RAN	Recovery Aceh-Nias Database (Indonesia)
RIAS	Recovery Information and Accountability System
R&R	Recovery and Reconstruction
SAARC	SAARC South Asian Association of Regional Cooperation
SIFFS	South Indian Federation of Fishermen Societies
SIM	Social Impact Monitoring
SLF	SL framework or SLA framework (according to IFAD)
SNEHA	Social Need Education and Human Awareness
TCCC	The Coca-Cola Company
TCG	Tripartite Core Group
TGLL	Tsunami Global Lessons Learned
TGLLP	TGLL Project (UNDP publications never wrote TGLLP)
TGLLP-SC	TGLL Project Steering Committee
TRIAMS	Tsunami Recovery Impact Assessment and Monitoring System
UN ECHA	United Nations Executive Committee for Humanitarian Affairs
UNF	United Nations Foundation
UNISDR	United Nations International Strategy for Disaster Reduction
UNORC	United Nations Office of the Recovery Coordinator for Aceh and Nias
USD	United States Dollar
VTC	Volunteer Technology Community

OVERVIEW

A. BACKGROUND OF THE LEARNING WORKSHOP

The Training Manual – Learning Workshop on Recovery and Reconstruction is one of the final outputs of the Tsunami Global Lessons (TGLL) Initiative.

The TGLL Initiative with funding support from IFRC, UNDP and WFP Indonesia was undertaken to bring together the collective knowledge, expertise and experience gained from the 2004 Indian Ocean tsunami response and recovery. Its deliverables include the development of the study report in 2009, *The Tsunami Legacy: Innovations, Breakthroughs and Change*, a five year commemoration documentary developed by the Discovery Channel, and a Disaster Recovery Toolkit.

The Recovery Toolkit aims to take forward the wealth of knowledge, innovative solutions and lessons learned from 2004 Indian Ocean Tsunami response and those of other recent large-scale disasters in Asia, including the 1999 Orissa Super cyclone, 2001 Gujarat earthquake, 2003 Bam earthquake, 2005 Pakistan earthquake, 2008 Cyclone Nargis, 2008 Sichuan earthquake, 2010 Pakistan floods, and 2011 East Japan earthquake and tsunami. To provide guidance to decision makers and recovery and reconstruction (R&R) managers, especially within governments, the *Disaster Recovery Toolkit* comprises this *Training Manual – Learning Workshop on Disaster Recovery and Reconstruction, the Handbook for Disaster Recovery Practitioners*, and a set of Technical *Guidance* Notes.

The *Learning Workshop on Disaster Recovery and Reconstruction* draws from and elaborates on the general principles, guidelines, case studies and lessons learned from large-scale disasters covered in the *Handbook for Disaster Recovery Practitioner*s. This Training Manual is intended to be used in conjunction with the Handbook.

The Training Manual has been developed with the guidance of the Technical Working Group composed of recovery practitioners from different countries under the auspices of the Tsunami Global Lessons Learned Initiative Steering Committee.

B. LEARNING WORKSHOP OBJECTIVES

The *Learning Workshop on Disaster Recovery and Reconstruction* aims to build the capacity of government officers who are or will be involved in managing large-scale disaster recovery.

The Learning Workshop is designed to improve understanding and equip practitioners with a menu of options to manage different aspects of large-scale disaster R&R such as: institutional set-up; planning and implementation; mobilising and managing financial resources; coordination and communication; monitoring and evaluation; and transitioning to development. The Learning Workshop provides the basic framework, guidance in handling common challenges, and lessons learned in managing large scale R&R which are covered in the *Handbook for Disaster Recovery Practitioners*.

At the end of the four-day Learning Workshop, participants are expected to be able to:

- Examine issues, challenges and gaps in the R&R process and identify options to address these;
- Discuss the basic concepts and framework of R&R;
- Analyse the various models of institutional arrangements for large-scale R&R and their suitability for various contexts;
- Discuss how to conduct the Post-Disaster Needs Assessment;
- Explain the components and process of formulating R&R policy and planning;
- Identify entry points for integration of disaster risk reduction into R&R;
- Examine strategies to mobilise and manage resources for recovery and reconstruction programme implementation;
- Explain monitoring and evaluation, communication and coordination in R&R;
- Discuss transition and exit strategy in R&R;
- Share key considerations and lessons from national and international experience and practice in managing large-scale R&R; and
- Develop an R&R Framework which incorporates essential aspects of managing recovery using a disaster case scenario

C. TARGET PARTICIPANTS AND FACILITATORS

The Learning Workshop is primarily designed for government officers, especially those in national/central government who have responsibility to manage large-scale disaster recovery in directing operations, supporting policy formulation, and/or implementation. Sub-national government recovery managers are also targeted. Other development partners from international/regional organizations and NGOs can also benefit. The optimum number of participants for each Learning Workshop is 24 since the methodology involves “hands-on” group work in the various areas of managing R&R.

The Learning Workshop can be convened in the context of a country which has just faced a disaster and would like to understand the recovery process before undertaking its recovery planning. The Learning Workshop is also very relevant for government personnel and development partners who have been involved in responding to large-scale disasters.

Targeted facilitators for the Learning Workshop are government officers and development partners who have significant experience in recovery and reconstruction for large-scale disasters. The recovery managers and practitioners who have been involved in the development of various outputs of the TGLL project and initiative form the initial pool of Facilitators. The Training Manual provides basic guidelines, *PowerPoint* presentations, learning tools and references which Facilitators can readily use and enrich based on their own knowledge and experience.

D. LEARNING WORKSHOP DESIGN & SCHEDULE

The Learning Workshop is designed for 4 days with 11 sessions, excluding Opening and Closing Activities.

Although all the sessions are linked together and equally important for a comprehensive understanding of managing large-scale R&R, the design can also be easily modified to serve as stand-alone sessions, depending on the need of particular groups of participants.

Summary of Learning Workshop Design:

DAY 1	**OPENING ACTIVITIES** · Welcome and Opening Remarks · Participants and Facilitators Introductions · Expectations Check · Learning Workshop Objectives and Agenda · Formation of Daily Management Teams · Administrative Briefing · Group Photo		1h
	SESSION 1 Basic Concepts and Terminologies in R&R	· Matching Exercise · Reflection by Teams : DM Cycle/Continuum · Interactive Lecture	1h
	SESSION 2 R&R Framework	· Group Work using Case Scenario · Interactive Lecture · Buzz Session: Issues and Challenges	1.5h
	SESSION 3 Institutional Mechanisms for R&R	· Group Work : Designing Institutional Set-up · Interactive Lecture	2h
	SESSION 4 Post-Disaster Needs Assessments	· Group Work 1: Understanding Damage and Loss · Group Work 2: Using the PDNA · Interactive Lecture · Reflection: Key Take aways	2h
DAY 2	**SESSION 5** R&R Planning	· Team Exercise: "The Highest Tower" · Group Work 1: R&R Policy · Group Work 2: Sectoral Planning · Interactive Lecture	3h
	SESSION 6 Integrating DRR into R&R	· Group Activity: Reflection on Practice · Group Work: Embedding DRR into the R&R Framework and Plan · Interactive Lecture	2h
	SESSION 7 Mobilising and Managing Financial Resources for R&R	· Group Activity: "The Longest Line" · Group Work: Strategy for Finance Mobilisation and Management · Interactive Lecture	2h
DAY 3	**SESSION 8** Monitoring and Evaluation in R&R	· Group Activity: "Agree, Disagree" · Group Work: Developing M&E Strategy · Interactive Lecture · Reflection: Key Take Aways	2.5h
	SESSION 9 Coordination and Communication in R&R	· Group Activity: "Effective or Problematic?" · Group Work 1: Designing Appropriate Coordination Mechanisms · Group Work 2: Developing R&R Communication Plans · Interactive Lecture	3h
	SESSION 10 Transition and Exit Strategy	· Group Work: Designing Transition and Exit Strategies · Interactive Lecture	1.5h
DAY 4	**SESSION 11** Synthesis and Action planning	· Summary of Each Session · Individual Reflection · Sharing of Change in Knowledge, Skills and Attitudes · Action Planning	2h
	CLOSING ACTIVITIES · Learning Workshop Evaluation · Certificates of Participation	· Certificates of Appreciation · Closing Remarks	1h

If a field visit to observe various aspects of recovery management by the participants and to interact with recovery managers, communities and other stakeholders is to be arranged, this would require an additional day or half day in the schedule depending on the distance. If the field visit is scheduled in the morning of Day 4, the afternoon can be reserved for Session 11 and the Learning Workshop Closing Activities.

E. COURSE CONTENT

SESSION 1: BASIC CONCEPTS AND TERMINOLOGIES IN R&R

The session elaborates on the basic terminologies such as hazards, vulnerabilities, capacities, and risks, and links them with the concepts of disaster recovery and reconstruction. The session is a broad introduction and foundation of understanding disaster recovery process.

Outlines and plan

Time	90 minutes.
Mode	Interactive brainstorming session with a matching game of basic concepts, Group Work and PowerPoint presentations.
Topics Covered	Hazards, Vulnerability, Capacity, Disaster, Relief, Response, Rehabilitation, Reconstruction, Recovery.
Methodology	The session will start with a group work, where participants will be given separate sets of definitions, titles and photos and will be asked to match them in a group consultative process. At the end of the exercise, the Facilitator will discuss the basic concepts in detail and reinforce the understanding of participants. Following this, there will be another group work where each of the groups will be given one set of activities and they will be required to decide the logical sequencing of these activities based on a time frame. This activity is designed to reinforce their understanding of the the different phases that constitute a disaster management paradigm and the segueing of one phase into the other.

SESSION 2: DISASTER RECOVERY AND RECONSTRUCTION FRAMEWORK

The session builds on the understanding from the previous session and further discusses in detail about disaster recovery as a practice area, covering its different phases and their linkages and synergies. The session will discuss, in particular, how disaster emergency response phase transitions to rehabilitation or early recovery phase and then onto reconstruction phase while portraying their linkages and overlaps and how each phase builds upon the other.

Outlines and plan

Time	90 minutes
Mode	Group work on disaster scenarios and *PowerPoint* presentation with emphasis on various past disaster recovery examples.
Topics Covered	Recovery, Relief, Rehabilitation, Reconstruction, Recovery, Sectoral recovery, recovery actors and challenges and issues.
Methodology	The session will start with a group work on objective setting during post-disaster scenarios to appreciate the linkages of long term development objectives with initial post-disaster rehabilitation approaches where each builds up to and feeds into the succeeding objective leading to long term development. This will be followed by another group work where the group will revisit their earlier list of activities and add to them, if necessary. They will relate the activity to their stated short term, medium term and long term objectives. The linkage with the long term development goals is to reinforce the concept of recovery even while designing activities in a conventional phase based approach. They will also identify the players who will be best suited to implement the activities stated. This is to enhance their understanding of the different players who are generally involved in post-disaster activities and the need to build up networking and partnerships that will develop synergies. The facilitator then sums up by tabling a few key concepts including relief, rehabilitation, the disaster management cycle and its evolution, recovery, sectoral recovery and reconstruction. Inter-linkages of these phases within the recovery continuum will be discussed towards the last part of the session. Discussion will focus on recovery actors, their roles and challenges.

SESSION 3: INSTITUTIONAL MECHANISMS FOR RECOVERY AND RECONSTRUCTION

The session elaborates on the need for legal and institutional mechanisms in disaster recovery and reconstruction and emerging models from past disaster recovery programmes. This session will further discuss the key considerations that underpin a successful institutional mechanism, the approaches that have worked in other disasters, the need for partnerships and the challenges faced.

Outlines and plan

Time 120 minutes

Mode The session will also be based on interactive group work and *PowerPoint* presentation.

Topics Covered Model for Disaster Recovery explaining legal and institutional arrangements, features of an efficient and effective DRR agency, ownership, staffing, leadership, locating the office, challenges and key considerations.

Methodology It will start with a group work during which the participants will design an appropriate institutional mechanism for the country they have been assigned, based on the information provided additionally. After they have designed and presented their model, the Facilitator will sum up and follow it up with a presentation on successful models that have worked in other disasters, the key points that have to be taken into consideration while setting up and operationalising and the challenges faced.

SESSION 4: POST-DISASTER DAMAGE AND NEED ASSESSMENT

The session covers Post-disaster Damage and Need Assessment (PDNA) processes and how this information should be used for designing recovery and reconstruction policies, plans and strategies.

Outlines and plan

Time 120 minutes

Mode Scenario-based group exercise and *PowerPoint* presentations to enhance conceptual understanding of damages and losses, utilising the information from Damage Loss Assessment (DALA) for recovery planning.

Content Need for damage and loss assessment in recovery planning, overview to PDNA, challenges and issues in getting timely and reliable damage and need assessment for early recovery planning, search capacities for PDNA.

Methodology The session will start with a scenario-based group work wherein the participants select a particular sector and, based on the photographs provided to them, detail the damages, possible impacts, and the losses. This will be reinforced through a *PowerPoint* presentation by the Facilitator with a basic introduction to Post Disaster Needs Assessments in recovery and reconstruction planning. The emphasis will be to highlight the difference between DANA for response and DALNA for long-term recovery and reconstruction planning and programmes. After this presentation, the groups will be provided with the PDNAs of their case countries. The participants will develop the priorities, strategies and approaches based on their understanding of the long term and short term requirements of their case countries. This is to firm up their understanding on developing a recovery strategy and framework based on PDNA, taking into consideration the different political, economic and strategic requirements that would guide the prioritisation of sectors and development of a Recovery and Reconstruction Framework. Towards the end of the session, and based on the presentations, the Facilitator will sum up on the processes that lead to the formulation of a Recovery Framework, the need for a PDNA and how this DALNA information can be used for disaster recovery and reconstruction planning process.

SESSION 5: RECOVERY AND RECONSTRUCTION PLANNING

The session elaborates on how systematic recovery and reconstruction policies, plans and strategies should be developed based on PDNA. It will further discuss possible features of the recovery policy instruments, stakeholders and their roles and responsibilities in recovery, beneficiary identification and community participation.

Outlines and plan

Time 180 minutes

Mode *PowerPoint* presentation, scenario-based group work.

Content Recovery policy, recovery plans and strategies, beneficiary identification and selection, stakeholder analysis and their roles and responsibilities, community participation.

Methodology The session will start with a *PowerPoint* presentation by the Facilitator on the basic principles of Recovery Policy and Strategy. After this presentation, the participants will work on a scenario-based group work to define the recovery policy, the strategies and their action plan for the post-disaster recovery and reconstruction of the affected country they have been working on. After the presentations by the groups, the Facilitator will highlight the key findings and bring other regional examples to reinforce the learning from the simulation exercise.

SESSION 6: INTEGRATING DRR INTO RECOVERY AND RECONSTRUCTION

The aim of this session is to discuss the possibilities of mainstreaming disaster risk reduction into disaster recovery and reconstruction planning, especially at the sectoral level. This will provide a menu of options to disaster recovery and reconstruction practitioners, with the concept of Building Back Better at the core where new reconstruction does not pose or increase risk. Instead recovery and reconstruction plans address possible hazards and vulnerabilities and thereby minimise future risks using recovery and reconstruction process as an opportunity for disaster risk reduction.

Outlines and plan

Time 120 minutes

Mode Scenario-based Group Exercise and *PowerPoint* presentation.

Content Concept of mainstreaming DRR into Recovery and Reconstruction, mainstreaming DRR into key sectoral plans including but not limited to housing, education, public works, health, agriculture, trade and commerce.

Methodology This session will include a scenario-based group work and a *PowerPoint* presentation. Each group will be given two sectors to work on and asked to identify entry points for mainstreaming disaster risk reduction into sectoral recovery and reconstruction plans. Given the scenario and available resources, groups should come up with recommendations to mainstream DRR into sectoral plans. At the end of the group presentation, the facilitator will summarise key learning points and bring other examples from various countries.

SESSION 7: MOBILISING AND MANAGING FINANCIAL RESOURCES FOR R&R

This session elaborates the need for a sound strategy and system for financial management of recovery and reconstruction. It will bring few examples of successful financial management systems from the recent past recovery and reconstruction programmes.

Outlines and plan

Time 90 minutes

Mode Scenario-based group work and *PowerPoint* presentations.

Content Recovery and reconstruction financial management systems and case studies; existing international and regional partnerships for recovery and reconstruction resource mobilisation (CERF, Flash Appeals, GFDRR, Banks etc.), types and sources of resources, disbursements and efficiency of disbursements.

Methodology The session will start with a scenario-based group work and will be followed by a *PowerPoint* presentation and examples of a few model case studies from successful recovery and reconstruction programmes. The session will focus on resource mobilisation strategy, donor coordination and financial management systems. The Facilitator will give examples of some financial management systems that can be put in place for recovery financial monitoring and donor reporting. The last part of the session will discuss tracking of disbursements and monitoring of fund utilisation, ensuring accountability and transparency.

SESSION 8: MONITORING AND EVALUATION (M&E) IN R&R

The module elaborates how to design M&E framework along with recovery and reconstruction plans and strategies. This will further discuss recovery M&E institutions and systems and how to put the mechanism in place for effective monitoring of progress and evaluation of results in the long run.

Outlines and plan

Time 150 minutes

Mode Card Matching to understand basic definitions, scenario-based exercise with a discussion and *PowerPoint* presentation.

Content M&E framework development, recovery M&E institutions and systems, identifying target audience and their needs, reporting schedule, designing knowledge products and dissemination strategy.

Methodology The session will start with a group work on matching basic M&E terminology with definitions. This is to bring about a common understanding among all the participants before they plan and design their own M&E frameworks. This will be followed by a summary suggested by the Facilitator on the terminologies to bring a common consensus. Following this, the participants will work on their own Recovery Framework, designed in the previous modules to develop an appropriate M&E framework, including the indicators, means of verification, institutional mechanisms that need to be in place and the systems for data collection, collation, up-dating and analysis. This will be followed by a *PowerPoint* presentation wherein the Facilitator will discuss the other successful practices followed, issues and challenges in M&E for disaster recovery and reconstruction and the key considerations in setting up disaster M&E frameworks and systems.

The participants will identify various key stakeholders and their information requirements, appropriate reporting periods and develop an M&E plan that lists out the various requirements and the periodicity. The participants will also design appropriate systems for generating the required information in the most efficient manner, taking into consideration the costs and effort in collection, collation and dissemination. This will be followed by a *PowerPoint* presentation by the Facilitator which will summarise key learning points and good practices in disseminating M&E finding to the beneficiaries and general public.

SESSION 9: COORDINATION AND COMMUNICATION IN R&R

The aim of the session is to bring in the coordination and communication elements of recovery and reconstruction and discuss how effective coordination and communication strategies can have significant impact on the progress, credibility, accountability, and trustworthiness of recovery programmes. It will further discuss upwards and downward communication with the affected communities/beneficiaries.

Outlines and plan

Time 180 minutes

Mode Scenario-based group work and *PowerPoint* presentations.

Content Overview of coordination and communication in disaster recovery and reconstruction, stakeholder analysis, types of coordination at global, regional, sub-regional, national and sub-national levels, cluster approach, pre-requisites and approaches to setting up a coordination mechanism, communication based analysis, developing communications plan and strategies, and setting up communication systems in disaster recovery and reconstruction programme. This will lead to the development of a communication strategy and action plan addressing both upward and downward communication in disaster recovery.

Methodology A group exercise based on a scenario where participants will be asked to analyse the communication gap and issues and come up with communication strategy. Participants will be divided into four groups and will be given the same scenario for each group. At the end of the group presentations, the Facilitator will discuss how the same issue can be tackled in different strategies and tools as suggested by four groups. Discussion will be concluded with both positive aspects as well as limitations of strategies of each group's strategy.

SESSION 10: TRANSITION AND EXIT STRATEGY

The exit strategy for recovery and reconstruction programmes is often complex and requires a transition of the institutions managing R&R, including the transfer of assets as well as the closing/handing over of projects, including finance, and drawing the key lessons learnt for future use. The aim of this module is to familiarise the participants with the design of a well-planned exit strategy within the Recovery and Reconstruction Framework.

Outlines and plan

Time 90 minutes

Mode Group work and *PowerPoint* presentation

Content Transition of institutions engaged in R&R to post R&R period, transfer of ownership of assets and mechanisms created for R&R, project and Financial closure, assessing the impact and documenting lessons learnt, consolidating interventions taken under the R&R programme and laying foundations for long term risk reduction.

Methodology The session will start with a group work to develop an exit strategy plan for their post-disaster recovery intervention. This will then be followed by a *PowerPoint* presentation on exit strategy mechanisms and select models of successful exit strategies employed after post-disaster recovery and reconstruction interventions.

SESSION 11: SYNTHESIS AND ACTION PLANNING

Action planning will be done by each participant to institutionalise recovery systems in their respective countries/organizations This session will allow each participant to discuss and present to the colleagues how they will apply the knowledge in institutionalising disaster recovery systems and institutions in their respective organisations/countries.

Outlines and plan

Time	90 minutes
Mode	Interactive work and presentation.
Content	Post-course action planning.
Methodology	In the eventuality of this course being conducted in the aftermath of a disaster in a particular country, and all participants are from the same country, then this will be a group exercise. In the eventuality of this being a regular course with participants from different countries, having faced different disasters, then this will be an individual exercise. Each group/participant will be asked to develop a broad Recovery and Reconstruction Framework for the country that they are from and the most common disaster they face. They will be given time to share with the rest of the group and obtain feedback from the Facilitator and other participants.

SESSION 12: COURSE EVALUATION

Paper-based overall course evaluation and open course evaluation will be done in this session. Each participant will be allowed to discuss learning experiences from the course and conduct a self-assessment on the change of their knowledge, attitudes or skills on disaster recovery and reconstruction after completing the course.

Outlines and plan

Time	45 minutes
Mode	Course Overall Evaluation Form and Change Exercise.
Content	Course content evaluation, course methodology evaluation, course instructors' evaluation and course learning/change evaluation.
Methodology	Participants will be given an A4 paper and asked to make a pictorial representation of the change in their knowledge, attitudes and skills with pre- and post scenarios. Their pictorial presentation will be discussed with the rest of the group by each participant. At the end of the discussion, the formal paper-based overall course evaluation form will be distributed.

F. LEARNING TOOLS

The Learning Workshop draws upon the rich repository of knowledge and experience at national and international levels. Each of the sessions is designed to encourage the participants to think creatively and pro-actively, share personal knowledge and experiences, facilitate qualitative discussions and learning through active hands-on participation in the group activities.

Four disaster case scenarios (flood, earthquake, tsunami and cyclone) are provided for groups to demonstrate that the approaches to R&R can be broken down into objective frameworks that can encompass the commonalities as well as the variances of these disasters. The post-disaster scenario that each group will be dealing with will be common through the four days of the workshop, thereby giving the participants a chance to develop a comprehensive R&R framework through all its facets.

G. LEARNING WORKSHOP RESOURCE

Participants will be provided with the *Disaster Recovery Toolkit* comprised of the *Handbook for Disaster Recovery Practitioners,* this *Training Manual* and *Guidances on Critical Facilities, Livelihood, Land Use Planning,* and *Housing.*

The toolkit additionally comprises a CD containing PDF files of the complete *Disaster Recovery Toolkit*, the workshop's *PowerPoint* presentations and reference materials.

SESSION 1

BASIC CONCEPTS AND TERMINOLOGIES IN R&R

DESCRIPTION	This session elaborates on the basic disaster risk reduction and management terminologies such as hazards, vulnerabilities, capacities and risks, and links these with the concepts of disaster recovery & reconstruction.
LEARNING OBJECTIVES	At the end of the session, the participants are able to: 1. Define and illustrate basic terms in disaster risk reduction and management 2. Discuss the evolution of the disaster management cycle/continuum and concepts of recovery and reconstruction
SESSION KEY POINTS	1. Definitions and concepts in understanding disaster and disaster management have evolved over time continue to do so. 2. R&R used to stand for rehabilitation and reconstruction and together were referred to as recovery. Now, the combination used is **recovery and reconstruction** (R&R). 3. The emphasis now in R&R is to Build Back Better, an approach which can start in the early days of emergency response.
METHOD	· Group Work: Matching Exercise · Paired Reflection on the Disaster Management Cycle · Interactive Lecture
MATERIALS NEEDED	· Group Work 1: 4 packs of prepared cards comprising of terms, definitions and pictures/ illustrations (disaster risk reduction, risk assessment, disaster, hazard, vulnerability, capacity, response, rehabilitation, recovery, reconstruction, post damage needs assessment, development) · *PowerPoint* Presentation
DURATION	1.0 hour

PROCESS

1. Group Work 1: Matching Game (30 minutes inclusive of processing)

   Step 1: Divide all participants into 4 groups ensuring a mix of areas, sectors, etc. Provide each group with packs of cards consisting of 3 sets of cards each. One set will be Definitions, the other set will be Terminology, and the third will be Pictures

   Step 2: The group should match the Terminology with the definition and most appropriate picture within 15 minutes.

   Step 3: After the group completes the exercise/time allotted is over, the Facilitator announces the correct combinations. Wherever there is a difference of opinion with any group, the Group explains is logic with examples.

For the term 'disaster': differentiate between large-scale and small-scale disaster. Note other terms used, such as mega-disasters or catastrophic disasters. Provide and ask for other examples aside from what is portrayed in the picture/illustration. For example, disaster risk reduction can be portrayed by numerous examples covering preparedness (early warning system, evacuation system, drills), mitigation and prevention (fire prevention; levees, mangrove reforestation, building codes, land use planning).

2. Summarise the Group Work. Highlight the evolution of definitions and concepts particularly for disasters, rehabilitation, recovery and reconstruction. The understanding of disasters, disaster risk reduction, and disaster management has also been evolving. Focus on the evolution of the concept of R&R using the illustration from the United Nations Development Training Programme and the disaster management cycle: from temporary and permanent measures to Build Back Better.

3. Reflection by Teams on the Disaster Management Cycle (10 minutes).
Ask participants if they are familiar with the Disaster Management Cycle. Show illustrations on various forms of the Disaster Management Cycle. Ask the participants in pairs (e.g. with seat mate to the right) to reflect and analyse the Disaster Management Cycle. Have several participants share their analysis.

4. Summarise the main points shared and discuss the evolution of concepts and understanding of disaster management. Highlight the following:
   · There is a paradigm shift from emergency management to disaster risk reduction
   · Disaster management covers a sequence of actions, but phases exist in a non-linear continuum
   · Linkage to development: disaster can be opportunity for development
   · Recovery starts even from the response/relief phase
   · Recovery as the bridge to development

5. Explain that the concepts, definitions, models evolve because they continually draw lessons from disaster experiences and responses. For example, recovery patterns after a disaster event (based on experiences in Gujarat after the Bhuj earthquake and Tamil Nadu, Sri Lanka and Indonesia after the Indian Ocean Tsunami) show that R&R can start even in the early days of emergency response and last several years. On this basis, the concept of a recovery continuum has been developed and will be discussed in the next session.

6. Answer questions and summarise the session key points covered.

REFERENCES FOR FACILITATOR	1. Defining a Few Key Terms 2. Evolving Concepts of Recovery and Reconstruction 3. Session 1 *PowerPoint* Presentation 4. Chapter 1 of the *Handbook for Disaster Recovery Practitioners*
POINTERS FOR FACILITATOR	1. More terminologies will be defined in other sessions. 2. Besides the disaster management cycle, there are other models to conceptualise the activities for managing risk and disaster. Among these are the expand-contract model and disaster crunch and release model. Many countries and international agencies have developed their own disaster risk management models. 3. For a stand-alone session on the basics of disaster R&R, Session 1 on basic terminologies can be combined with Session 2 R&R framework.

DEFINITIONS OF TERMS

From UNISDR Terminology on Disaster Risk Reduction, 2009

http://www.unisdr.org/eng/terminology/terminology-2009-eng.html

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

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 The potential disaster losses, in lives, health status, livelihoods, assets and services, which could occur to a particular community or a society over some specified future time period.

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.

EMERGENCY MANAGEMENT The organisation and management of resources and responsibilities for addressing all aspects of emergencies, in particular preparedness, response and initial recovery steps.

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.

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

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.

RESPONSE 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.

RISK ASSESSMENT A methodology to determine the nature and extent of risk by analysing potential hazards and evaluating existing conditions of vulnerability that together could potentially harm exposed people, property, services, livelihoods and the environment on which they depend.

From Glossary, Safer Homes, Safer Communities

A Handbook for Reconstructing after Natural Disasters, WB, 2010

DAMAGE ASSESSMENT The process used to determine the magnitude of damage caused by a disaster or emergency event.

EARLY RECOVERY A process which seeks to catalyse sustainable development opportunities by generating self-sustaining processes for post-crisis recovery. It encompasses livelihoods, shelter, governance, environment, and social dimensions, including the reintegration of displaced populations, and addresses underlying risks that contributed to the crisis.

NEEDS ASSESSMENT A process of estimating (usually based on a damage assessment) the financial, technical, and human resources needed to implement the agreed-upon programmes of recovery, reconstruction, and risk management. It evaluates and "nets out" resources available to respond to the disaster.

POST-DAMAGE NEEDS ASSESSMENT Usually a rapid, multi-sectoral assessment that measures the impact of disasters on the society, economy, and environment of the disaster-affected areas.

RECOVERY Decisions and actions taken after a disaster to restore or improve the pre-disaster living conditions of disaster-affected communities, including efforts to reduce disaster risk factors. Focused not only on physical reconstruction, but also on the revitalisation of the economy, and the restoration of social and cultural life.

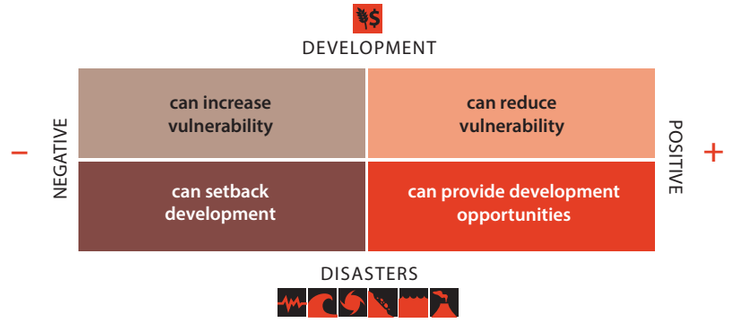
RECONSTRUCTION The restoration and improvement, where possible, of facilities, livelihoods, and living conditions of disaster-affected communities, including efforts to reduce disaster risk factors. Focused primarily on the construction or replacement of damaged physical structures, and the restoration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

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

EVOLVING CONCEPTS OF R&R

(UNDP/UNDRO, 1992)

RELATIONSHIP BETWEEN DISASTERS AND DEVELOPMENT



1. Disasters set back development programming, destroying years of development initiatives.
– Transports and utility systems are destroyed by a flood.

2. Development programmes can increase an area's susceptibility to disasters.
– A major increase in livestock development leads to overgrazing, which contributes to desertification and increases vulnerability to famine.

3. Development programmes can be designed to decrease the susceptibility to disasters and their negative consequences.
+ Housing projects constructed under building codes designed to withstand high winds result in less destruction during the next tropical storm.

4. Rebuilding after a disaster provides significant opportunities to initiate development programmes.
+ A self-help housing programme to rebuild housing destroyed by an earthquake teaches new skills, strengthens community pride and leadership and retains development dollars that otherwise would be exported to large construction companies.

Disasters provide opportunities for development, as they often create a political and economic atmosphere wherein extensive changes can be made more rapidly than under normal circumstances. For example, in the aftermath of a disaster, there may be major opportunities to execute land reform programmes to improve the overall housing stock, to create new jobs and job skills, and to expand and modernise the economic base of the community – opportunities that would not otherwise be possible. The collective will to take action is an advantage that should not be wasted.

Disasters can also highlight high-risk areas where action must be taken before another disaster strikes. The realisation of vulnerability can motivate policy-makers and the public to participate in mitigation activities.

REHABILITATION AND RECONSTRUCTION

(UNDP/UNDRO, 1993)

Rehabilitation

- Actions taken in the aftermath of a disaster to enable basic services to resume functioning, assist victims' self help efforts to repair physical damage and community facilities, revive economic acti vities and provide support for the psychological and social well being of the survivors.
- Focuses on enabling the affected population to resume more or less normal (pre-disaster) patterns of life.
- May be considered as a transitional phase between immediate relief and more major, long-term development.

Reconstruction

- Refers to the full restoration of all services, local infrastructure, replacement of damaged physical structures, the revitalisation of the economy and the restoration of social and cultural life.
- Must be fully integrated into long-term development plans, taking into account future disaster risks and possibilities to reduce such risks by incorporating appropriate measures.
- May include the replacement of any temporary arrangements established as part of emergency response or rehabilitation.

Recovery

- Actions taken during the period following the emergency phase.
- Encompasses both rehabilitation and reconstruction.
- Precise time when one phase ends and another starts varies in each situation.
- The length of time required for recovery depends on a large number of factors such as the extent of damage, level of preparedness, availability of resources, administrative and legislative powers to act rapidly, and the political stability and will to implement plans.

PARADIGM CHANGES IN RECOVERY: FROM BACK TO NORMALCY TO BUILDING BACK BETTER

Disaster Management Cycle / Continuum

- The Disaster Management Cycle or continuum shows a sequential series of actions to gain control over disaster events. This broad range of interventions undertaken before, during and after a disaster prevent or minimise loss of life and property, minimise human suffering and hasten recovery.
- Disaster management is often described as a cycle with distinct phases (ADB 1991, 2008).
- The cycle is portrayed in many forms. What is important is that the format should indicate that disaster and its managing is a continuum of interlinked activities. It is not a series of events which start and stop with each disaster occurrence.
- The activities of response, rehabilitation, reconstruction, development, preparedness, mitigation, prevention are not in exact sequence. There is substantial overlap.

Linking relief, rehabilitation and development

(J. Twigg, 2004)

Relief - Development Continuum

- Relief and rehabilitation should contribute to long-term development and the reduction of vulnerabilities. Where they can, they should not reconstruct the existing risk.

Developmental Relief

(IFRC)

- Seeks to address acute needs as part of the whole life situation of those affected
- Looks for long- term solutions as well as responding to immediate and acute needs
- Builds on survivors' capacities and on local institutions
- Sets sustainable standards for services
- Encourages participation and accountability

Recovery Plus

(Action Aid)

- Meaning an intervention 'whereby people are in some ways better off than before the emergency'.

What 'Build Back Better' means

For the Badan Rehabilitasi dan Rekonstruksi (BRR) in Indonesia, the widely used catchphrase 'Build Back Better' has several meanings. In terms of physical facilities, the goal of reconstruction was to achieve a result that was superior in quantity and quality to what existed before the disaster. But the phrase also highlighted the importance of "how" reconstruction happened, not just "what" was reconstructed. BRR explicitly intended the process of reconstruction to strengthen social capital and community capacities, as well as to innovate and improve public sector delivery and effectiveness.

BRR used the reconstruction planning and rebuilding process to strengthen social capital and to aid in trauma healing. It gathered the community together and facilitated discussions that gave marginalised constituents a voice and everyone a stake in the rehabilitation and reconstruction activities. It also worked to improve governance and the efficiency of the rebuilding processes by increasing transparency and accountability and fast-tracking both finance and procurement processes.

Taking into account the post-disaster needs of the community, BRR's goal was to build back more than what was physically destroyed. For example, ten times more teachers were trained than the number lost during the tsunami; however, fewer schools were rebuilt in some regions because there were fewer students in those areas after the tsunami.

Furthermore, BRR's goal was to build higher quality facilities than the previous ones that were also better suited to the needs of the beneficiaries. For example, it equipped the housing estates with sanitation facilities and established guidelines for disaster-resilient housing.

SOURCE: BRR

Recovery and the Disaster Management Cycle

(IRP & UNDP, 2010)

- *Recovery and mitigation*: When a disaster strikes, it often reveals chronic weaknesses or areas of poor resilience. Such vulnerabilities may include sub-standard building practices and materials, fragile livelihoods and economies and poor land use regulation. These vulnerabilities are the true challenges facing recovery planners. Drawing on hazard, vulnerability and risk assessments,

a rough estimate of the potential damage and losses for various scale disasters can be calculated. Based on these scenarios, policy makers and planners can identify the potential scope and scale of recovery and mitigation needs.

- *Recovery and Preparedness*: The preparedness stage shall not itself to preparing for the disaster event and immediate aftermath. Recovery planning can be a critical component of preparing for a disaster. As part of the preparedness efforts, policy makers and planners can formulate recovery policies, develop organisational infrastructure, assign roles and responsibilities, and identify and build the necessary capacity to coordinate and implement recovery efforts. Without the pressure typically felt in the post-disaster environment, pre-disaster planners have more time to research and analyse good and bad practices of other contexts, to inform their decision-making.

THE BRIDGE: EARLY RECOVERY

(CLUSTER WORKING GROUP ON EARLY RECOVERY, 2008)

Early recovery and transition

- Transition refers to the period immediately after a disaster when pre-existing country plans and programmes no longer reflect the most pressing priorities
- Following the disaster, a country undergoes a process of transformation within the overall time-frame of transition
- Early recovery starts immediately after the onset of a crisis. It begins within the time frame of emergency interventions

Early Recovery Aims

Early recovery occurs in parallel with emergency activities, but its objectives, mechanisms and expertise are different. Early recovery efforts have 3 broad aims:

1. Augment on-going emergency assistance operations by building on humanitarian programmes, to ensure that their inputs become assets for long term development and thereby foster the self-reliance of affected populations and help rebuild livelihoods, including by:
   a. Re-establishing essential services such as health, education, water & sanitation, finances, and primary infrastructure (road repair, transport, communication), and restoring environmental assets;
   b. Ensuring appropriate shelter for the affected population;
   c. Distributing seeds, tools and other goods and services that help to revive socio-economic activities among women and men;
   d. Providing temporary wage employment (e.g. cash-for-work programmes);
   e. Urgently restoring environments needed to allow for rebuilding of livelihoods;
   f. Restoring basic levels of collective and human security;
   g. Strengthening the rule of law and the capacity of the State to respect, protect and fulfil the rights of the people; and
   h. Introducing risk reduction and conflict prevention to Build Back Better and prevent the reconstruction of risk.

2. Support spontaneous recovery initiatives by the affected population and change the risk and conflict dynamics, through e.g.:
   a. Supporting national/government capacity to lead early recovery planning, providing support based on local knowledge and practices;
   b. Strengthening the self-help efforts and capacities of the affected population, especially displaced people, to contribute actively to rehabilitation and reconstruction;
   c. Promoting community approaches to restore basic levels of security;
   d. Identifying negative coping mechanisms to ensure that community recovery and rehabilitation activities do not generate discriminatory practices or secondary risks; and
   e. Identifying critical ecosystems (goods and services) that require restoration in order to support the development of sustainable livelihoods.

3. Establish the foundations for longer-term recovery, including by:
   a. Early needs assessment, planning and resource mobilisation for recovery, taking into account the different needs, resources and vulnerabilities of women and men;
   b. Planning that involves all relevant national and international stakeholders and enables women's organisations to participate fully in all phases of recovery;
   c. Creating strategic alliances between communities and local authorities ensuring the participation and inclusion of vulnerable, marginalised and discriminated groups;
   d. Raising human rights awareness and strengthening the capacities of local communities to claim their rights while building the capacities of the authorities to respond adequately to these claims;
   e. Rebuilding/restoring/reinforcing national and local systems, including identifying personnel and training or retraining them to restore state capacities in order to direct and manage the development phase;
   f. Reviewing and/or developing essential policy to guide recovery efforts that aims to improve and not reestablish negative pre-crisis conditions (e.g. through building back better, conflict prevention and risk reduction initiatives, promoting gender equity); and
   g. Identifying and fostering an enabling institutional system with clear roles and responsibilities that facilitate the integration of recovery into the development process.

Guiding Principles for Early Recovery:

- Ensuring national ownership
- Promoting local and national capacities
- Using and promoting participatory practices
- Developing capacities for building constructive and inclusive working relationships
- Influencing the way humanitarian assistance is provided to ensure that interventions most importantly do no harm, as well take into account longer-term developmental considerations
- Maximising synergies among different actors through efficient coordination of stakeholders
- Including risk reduction and conflict prevention measures
- Building capacity to strengthen accountability systems
- Grounding early recovery interventions on a thorough understanding of the context
- Ensuring integration of other cross-cutting issues such as gender, environment, security, human rights, and HIV/AIDS in assessment, planning, implementation, and monitoring and evaluation
- Promoting equality and develop local capacities to prevent discrimination of any kind
- Promoting gender equality
- Monitoring, evaluating and learning through appropriate participatory techniques and mechanisms

SOURCES

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SESSION 2

DISASTER RECOVERY AND RECONSTRUCTION FRAMEWORK

DESCRIPTION	The session elaborates on the recovery continuum and the sustainable recovery and reconstruction framework. Common challenges and issues in large- scale recovery are identified.
LEARNING OBJECTIVES	At the end of the session, the participants are able to: 1. Discuss the basic concepts and framework of R&R 2. Appreciate the strategic importance of R&R vis-à-vis Development 3. Identify common challenges and issues in large-scale R&R
SESSION KEY POINTS	1. The R&R framework covers objectives, guiding principles, elements of a recovery process and cross cutting issues to address. 2. Experiences and learnt in managing large-scale disasters provide important guidance for recovery practitioners
METHOD	· Group Work 1: Post-Disaster Interventions Matrix · Buzz Session: Issues and Challenges in R&R · Interactive Lecture
MATERIALS NEEDED	· Group Work 1: Post-Disaster Interventions Matrix · Buzz Session: Issues and Challenges in R&R · Interactive Lecture
DURATION	1.5 hours
PROCESS	1. Group Work 1: Post-Disaster Interventions (45 minutes including reporting and synthesis)

Step 1: Ask the participants to divide into 4 groups to work on case scenarios on flooding, earthquake, tsunami and cyclone. Advise the participants that they will continue with this grouping for the rest of the Learning Workshop.

Step 2: Provide each group with a case scenario sheet and e-file of the Post-Disaster Interventions Matrix on a computer.

Step 3: Instruct the groups to study their case scenario and develop at least 20 interventions/activities to meet the needs of the disaster affected population. Provide a few examples of short term, medium term and longer activities – emergency food aid, cash for work to clear farms, microcredit, risk transfer mechanisms in the agricultural sector. Direct the groups to the other columns of the Matrix. They should indicate the Time frame to implement the intervention e.g. days, weeks, quarter, years; formulate the objective for undertaking the activities; and identify the key Actors involved in delivering the service, e.g. Department of Agriculture.
Additionally, the groups should group their interventions/activities, e.g. by time frame or disaster management phases (emergency relief, recovery, reconstruction) or sector (housing, livelihood, education…) or objectives.

INTERVENTION/ ACTIVITY	TIME FRAME			OBJECTIVE			ACTORS
	Short term	Medium term	Long term	Short term	Medium term	Long term	

Step 4: Group reporting and synthesis. Note similarities even as the groups have worked on different disaster scenarios. Look into mix of short, medium, and long term measures. Link interventions to meeting objectives. Highlight that better linking of short, medium, and long-term objectives results in more chances for sustainable development. Stress that government plays the largest role in post-disaster interventions.

2. Interactive lecture on the Recovery Framework. (20 minutes)
Start by linking the Post-Disaster Interventions Matrix contents (basic recovery framework) to the Recovery Continuum, using examples of interventions which the groups have identified. Cover the following key items in the Sustainable Recovery and Reconstruction Framework:
· Creating a vision · Elements of recovery · Principles of recovery · Cross-cutting issues

3. Group Activity: Buzz Session (20 minutes including reporting)
In groups of 3 to 4, have the participants reflect on and discuss the issues and challenges they have faced or foreseen with regards to recovery and reconstruction.
Have the participants write these on meta cards, one short idea per card.
Have a team report on their issues and challenges, posting on the board. The remaining teams add on to the list by posting their meta cards also on the board.
Summarise the issues and challenges. Note that the challenges during R&R have common elements and past R&R programmes offer valuable lessons that can provide guidance. Point to the next sessions where these will be tackled in depth.

4. Address questions or items for clarification and review the key points covered in the session. Stress that the results of the group work will translate into the basic recovery framework from which other elements in managing R&R will be added on to in the next sessions.

REFERENCES FOR FACILITATOR	1. Case Scenarios for Group Work 2. Sample Activity Chart 3. Recovery and Reconstruction: Building Back Better document 4. Session 2 *PowerPoint* 5. Chapter 1 of the *Handbook for Disaster Recovery Practitioners*
POINTERS FOR FACILITATOR	1. The Case Scenarios for Group Work are based on recent actual large-scale disasters: · Saranya: Maldives 2004 Tsunami · Timalya: Nepal 2008 Kosi Floods · Poonthi: Haiti 2010 Earthquake · Daitwa: Bangladesh 2007 Cyclone Sidr 2. The Handbook for Disaster Recovery Practitioners provides a list of sources and references which can be easily obtained through the internet. Many resources can be obtained from the website of the International Recovery Programme http://www.recoveryplatform.org/resources/

CASE SCENARIOS FOR GROUP WORK

DISCLAIMER: The below scenarios are fictional, and have been created soley for the purpose of this exercise. Any similarities with real-world events are entirely accidental and coincidental.

FLOODS IN TIMALYA

- In the State of Timalya, the districts of Sakhya and Himadri were badly affected by floods. The Government estimated damage of physical infrastructure, including irrigation, river training works, electricity, water supply and sewerage, school, health clinic and telecommunication facilities.

- More than 35,000 farm households have been adversely affected, and immediate measures need to be taken to restore their livelihoods. Nearly 47,000 people from 5,443 families were displaced. The government provided immediate relief in emergency camps providing with food, shelter and health services. Many women gave birth in the camps; 147 women received maternal care in hospitals and care centers inside the camps, while there are still 523 pregnant women living in the temporary camps. The health of women, children and the elderly is at high risk due to poor quality shelters and a lack of proper water, sanitation facilities, and nutritional food, the qualitiy of which is worse in crowded camps. The poor living conditions can have detrimental effects on health with onset of winter as the Internally Displaced Persons (IDPs) in camps have not received sufficient warm blankets and clothes, even though none of the shelters weather protected.

- 30% of people displaced by the floods have completely lost their land and houses; the majority of them are traditionally landless people. The displaced have demanded land compensation from the government. Due to the threat of floods, 550 poor families who have been living on the river banks have taken shelter in the forest areas. Their situation has further degraded and they have even less capacity to restore their lost livelihoods. The resettlement of these villagers who have already been living in potentially flood prone areas along the river banks is a serious issue, which requires urgent attention from the government. They are demanding a safe place to resettle. This is also a major concern of the local authorities.

- The breach also deposited silt on the flood affected area, covering 5,282.5 hectares of land. Water logging in these areas has caused loss of vegetation on farm lands.

EARTHQUAKE IN POONTHI

- On June 7th, 2010, just before 15:00, an earthquake with a magnitude of 7.8 on the Richter scale shook Poonthi for 35 seconds. It was the most powerful earthquake to hit the country in 200 years. 80 percent of the town of Lan have been destroyed. The earthquake has created an unprecedented situation, affecting the country's most populous area as well as its economic and administrative centre. The situation is all the more tragic because for three years the country had seen its socio-political situation, security and stabilise with better security andeconomic growth, as well as the beginnings of an improvement in people's living conditions.

- The human impact is immense in a country marked by a high incidence of poverty (prior to the earthquake, around 67% were living on less than USD 2 a day). Around 1.5 million people, representing 15% of the population, have been directly affected. Over 220,000 people lost their lives and over 300,000 were injured. Thousands of people are in need of psychological support or psychosocial supervision. Around 1.3 million people are living in temporary shelters and over 500,000 people have left the disaster areas to seek refuge in the rest of the country. The result is an exacerbation of the difficulties that already existed in gaining access to food and basic services.

- Some 105,000 homes have been completely destroyed and more than 208,000 damaged. Over 1,300 educational establishments, and over 50 hospitals and health centres, have collapsed or are unusable. Part of the country's main port is not operational. The President's Palace, parliament, the Law Courts, and most of the ministry and public administration buildings have been destroyed.

TSUNAMI IN SARANYA

- The tsunami which hit Saranya on 6 July 2005 was a nation-wide disaster that caused severe damage to the physical infrastructure of many islands. Severe damage has been caused to houses, tourist resorts, boats and fishing equipment, schools, health facilities, transport and communication equipment, water and sanitation, and electricity infrastructure.

- There has also been substantial damage to agricultural crops and perennial trees. Farms, homestead plots, and aquifers have been salinised. The physical damage has led to severe human suffering: in large segments of the population have lost their dwellings, lifetime assets, savings, and sources of livelihood. About 7% of the population is now living in temporary shelters or with relatives.

- The tsunami travelled at over 700 kilometers per hour and reached Saranya at 9:20 AM

- From around 9:15 am, tidal waves generated by the earthquake struck the islands. Tidal waves ranging from 4 to 14 feet were reported in all parts of the country. More than 1300 people suffered injuries; 83 people are confirmed dead and another 25 are missing and feared dead.

- 39 islands were significantly damaged and nearly a third of Saranya's 300,000 people were severely affected. 14 islands were completely destroyed and had to be evacuated. Nearly 12,000 people have been displaced from their islands. The force of the waves caused widespread devastation of shelter and infrastructure in the atolls. Flooding caused by the tsunami wiped out electricity on many islands, also destroying their communication links. Water supply was disrupted in about 15% of the islands and 25% had major damage to essential infrastructure such as jetties and harbors that links these islands with mainland. Electricity supply in many affected islands has yet to be restored. The impact on an economy largely based on tourism, fisheries, and agriculture will be substantive. Livelihoods of thousands have been undermined and will continue to suffer.

CYCLONE IN DAITWA

- The Daitwa Cyclone was among one of the deadliest tropical cyclones ever recorded. In the night of 27th January 1989 a powerful tropical cyclone struck the Ranwa and Satwa districts of southeastern Daitwa with winds of around 250 km/h (155 mph). The storm forced a 6 metre (20 ft) storm surge inland over a wide area, killing at least 138,000 people and leaving as many as 10 million homeless.

- At least 138,000 people were killed by the storm, with the majority of deaths in the Ranwa area. Most deaths were from drowning, with the highest mortality among children and the elderly. Although cyclone shelters had been built after the Bhola Cyclone in 1970, many had just a few hours of warning and did not know where to go for shelter. Others who knew about the storm refused to evacuate because they did not believe the storm would be as bad as forecasted.

- The high velocity wind and the storm surge devastated the coastline. Although a concrete levee was in place near the mouth of the Jalan River, it was washed away by the storm surge. The cyclone uprooted a 100-ton crane from the nearby port, and smashed it on the Jalan river bridge effectively breaking it into two partitions. A large number of boats and smaller ships ran aground. The navy and air force, both of which had bases in Daitwa, were also heavily hit. The naval base was flooded, with heavy damages to the ships. Most of the fighter planes belonging to the air force were damaged. Approximately 1 million homes were destroyed, leaving about 10 million people homeless.

- The storm surge subsequently caused the embankment, as well as whole villages, to be swept away. For an additional three to four weeks after the storm had dissipated, mass land erosion resulted in more and more farmers losing their land, and therefore, the number of unemployed rose.

RECOVERY AND RECONSTRUCTION: BUILDING BACK BETTER

The goal of recovery and reconstruction previously concentrated on returning lives and livelihoods to how the community and society was before the disaster event. Recent definitions take the view of improving on the pre-disaster living conditions of disaster stricken communities.

The UNISDR (2009) defines recovery as the decisions and actions taken after a disaster to restore or improve the pre-disaster living conditions of disaster-affected communities, including efforts to reduce disaster risk factors. The focus is not only on physical reconstruction, but also on the revitalisation of the economy, and the restoration of social and cultural life.

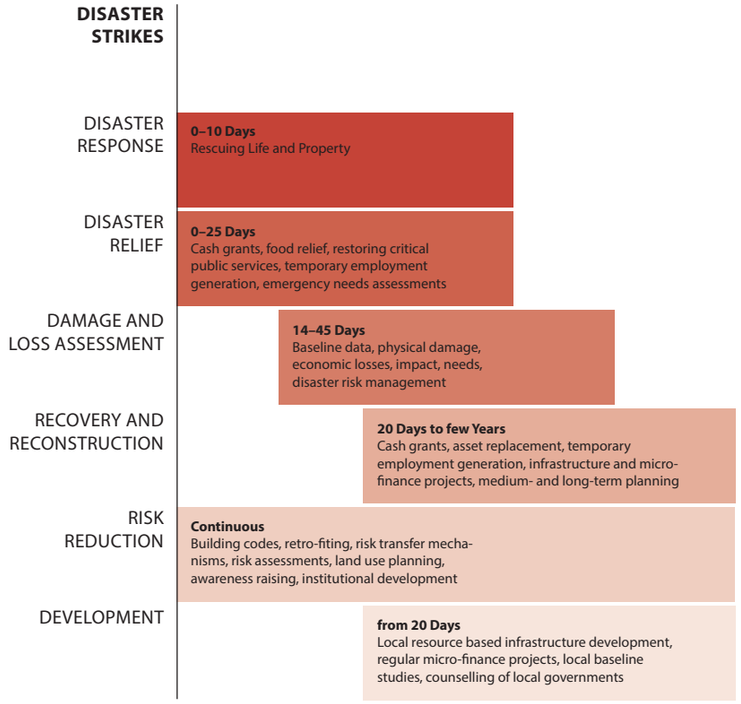
Recovery is important since it connects post disaster emergency response to long-term development Objectives. Recovery provides opportunities to integrate disaster risk reduction at both the policy and sector level. Building back better results in increased resilience, safer homes, schools and hospitals, new land use regulations and building codes and "disaster proofing" development. Stakeholders can recognise and take opportunities to integrate disaster risk reduction in development planning and budgeting.

RECOVERY AS A CONTINUUM

Rather than a discrete phase of the Disaster Management Cycle, recovery should be considered as a continuum with a lot of overlaps with other phases.

Experience has shown that there is no clear-cut start date for recovery. It usually begins in the early days of emergency relief efforts and continues downstream in the form of development programmes.

The recovery continuum should be seen as stretching from pre-disaster planning to relief and reconstruction, and ultimately to development.



SOURCE: Global Facility for Disaster Reduction and Recovery

Build Back Better for the Marginalised Irula Tribe: A Habitat Development Approach

The semi-nomadic Irulas live in Tamil Nadu and Andhra Pradesh in southern India. These tribes made a living by catching rats and snakes but had to give that up after the Government introduced the 1972 Wildlife Protection Act. Some moved toward the coast. When the tsunami struck, 57 Irula villages were affected, and seventy percent of the families lost their livelihood.

Although they were among the poorest, most Irulas received no immediate post-tsunami support. As inland fisher folk, they were not listed as tsunami victims and also were not declared as Scheduled Tribes, which would have entitled them to specific welfare schemes. However, the disaster administration in Cudalore, Tamil Nadu, took the lead to certify Irulas as Scheduled Tribes and also donated the land they lived on, working out a scheme to provide new permanent housing in collabouration with NGOs. A livelihood programme was introduced to diversify their income, including poultry farming, goat rearing and mud crab rearing. A literacy programme was also started, because nearly all Irulas were illiterate.

This represents an example of a "habitat development" approach, which focuses on fostering a healthy, safe living environment through construction of stronger houses, along with the provision of amenities such as drinking water, sanitation, roads, drainage, waste management facilities, as well as community facilities such as schools, child care centres and health centres. This approach also promotes equity, active participation of all parties and linkages with livelihoods, and was widely used by the government and NGOs in post-tsunami reconstruction.

SOURCE: TGLL Project Steering Committee, 2009

ELEMENTS · Post disaster needs-assessment · Planning · Monitoring and evaluation · Pre-disaster planning	**SRRF**	**RECOVERY CONTINUUM** · Relief · Reconstruction · Development
CROSS-CUTTING ISSUES · Gender · Empowerment · Social Protection · Stakeholders · Evaluation · Environment	**VISION** · A well functioning society and economy	**GUIDING PRINCIPLES** · Good Practices · Government led · Local Participation · Capacity and Institution building · Risk Reduction

Sustainable Recovery and Reconstruction Framework (SRRF), Saroj Jha, GFDRR

Creating a Vision

- What do we want to have when we have finished? (More than just stronger buildings)
- What are the objectives at household, community, and national level?
  - · People living, working, and investing with confidence
  - · Well-designed infrastructure, social and health services
  - · Growth-oriented economy
  - · Reduced vulnerability

Guiding Principles for Recovery

- Transfer of lessons: each disaster is unique and although there is no blueprint for effective recovery, lessons from good practice can be drawn; importance of sharing information; South-South cooperation
- Government-led with international support: combination of national and international expertise
- Local participation
- Capacity and institution building, policy making: focal point institutions whose task covers policies, coordination, standards, monitoring, capacity building; policies e.g. Japan - Seismic Retrofitting Act, Gujarat – Earthquake Rehabilitation Plan, Turkey catastrophe – compulsory insurance for residential buildings
- Integration of risk reduction

Elements of a Recovery Process

- *Joint Damage and Needs Assessment*: estimates the damage and needs in all social and economic sectors; base for a comprehensive recovery and reconstruction strategy
- *Strategic Planning* – design of R&R framework and plans
- *Resource mobilisation*:

· Finances - funds typically diverted from long term development; multi-donor fund (Indonesia); risk transfer (Turkey Catastrophe Insurance Pool); clearly distinguished roles of different players (Pakistan); private sector (Pakistan)

· Human capital

· Logistics capacity – speed: restoring decades of development in a short time period; flexibility

- *Basic Services and Social Protection*
  - · Cash transfer schemes, grants in kind, start-up grants
  - · Restoring health, education and other basic services
- Infrastructure reconstruction and development: Creation of intermediate job opportunities
- Economic recovery and development: re-establishing livelihoods and reducing poverty
- Strengthening institutional capacities: Local institutions, decentralise management
- Strengthening information and coordination mechanisms: Efficiency of the interventions, phasing of recovery operations
- Building disaster prevention in recovery and reconstruction: Reduce vulnerability to future hazards

Cross-cutting Issues of Recovery

- *Empowering individuals and communities*: reflect concerns and needs of the affected; reduces social tensions and leads to more sustainable development

- *Gender mainstreaming*: example from Gujarat: joint ownership of house by husband and wife

- *Protection of the vulnerable*:
  - · Livelihood programme
  - · Cash grants for vulnerable households
  - · Social rehabilitation and protection
  - · Quick recovery of schools, hospitals and other social services

- *Environment*: being resourceful: using rubble for recycling; water, greenery and public spaces as part of urban planning

- *Multiple stakeholder coordination*
  - · Partnerships are crucial
  - · Key stakeholders: government at different levels, private sector, civil society, NGOs, UN agencies, international organisations, donors
  - · All parties need to be able to track progress (who is doing what, where)
  - · Internet, good communications

- *Evaluation*: monitoring, impact evaluation, internal and international validation

SOURCES

1. Sustainable Recovery and Reconstruction Framework PPT by Saroj Jha, http://siteresources.worldbank.org/CHINAEXTN/Resources/318949-1214994382259/JHA_DISTRIBUTION_EN.pdf
2. TGLL Initiative, 2012. Handbook for Disaster Recovery Practitioners
3. TGLL Project Steering Committee, 2009. The Tsunami Legacy: Innovations, Breakthroughs and Change http://www.recoveryplatform.org/assets/publication/the-tsunami-legacy.pdf

SESSION 3

INSTITUTIONAL MECHANISMS FOR RECOVERY AND RECONSTRUCTION

DESCRIPTION	The session covers the legal mandates and institutional mechanisms in managing large-scale disaster recovery. Considerations in choosing the appropriate model are elaborated on. Lessons learned from national and international experiences in organising recovery are examined.
LEARNING OBJECTIVES	At the end of the session, the participants should be able to: 1. Explain the importance of government leadership and a focal point role in managing large-scale R&R 2. Analyse the various models of institutional set-up for organising recovery and its appropriateness for various contexts 3. Apply considerations in designing an institutional set-up for managing large-scale R&R
SESSION KEY POINTS	1. The government takes the lead in managing large-scale disaster and requires a focal point with R&R responsibilities 2. Institutional set-up can vary based on the scale and location of the disaster, level of expertise and experience, availability of human resources, political and administrative backing and mandates, and time to contribute to R&R. The set-up can also evolve over time based on requirements. 3. Three institutional models for managing large-scale disaster R&R were used in the 2004 Asian Tsunami
METHOD	· Group Work: Designing the Institutional Set-up · Interactive Lecture
MATERIALS NEEDED	· Copies of the Additional Information on the Case Scenarios for each group · *PowerPoint* presentation
DURATION	2 hours
PROCESS	1. Group Work. (45 minutes + 30 minutes plenary discussion)

Step 1: Reconvene the 4 groups to continue with their Recovery Framework and provide them with the additional information on the affected countries.

Step 2: Based on the additional information, the participants will design:

a. The most appropriate Institutional Set-up for R&R in the country case scenario, based on the following parameters:
   1. Expertise and Experience available
   2. Time it will take to set up
   3. Availability of adequate Human Resources
   4. Funds required
   5. Span of Geographical Reach and Control

b. The group will also elabourate on the following:
   1. The Ownership of the proposed Institutional Mechanism planned
   2. Organisational structure with field offices, if this is proposed
   3. Institutional Linkages vis-a-vis Government Agencies, with International and National Humanitarian Agencies, other players including the affected communities
   4. The Governance Mechanism
   5. The personal characteristics required of the leader of the R&R Programme
   6. Staffing
   7. Steps to be taken to strengthen/support the proposed Structure
   8. Core principles
   9. Exit Strategy

c. The group should draw or outline the scheme of the proposed Institutional set-up on flip chart paper or on their computers

Step 3: Have the groups present their deliberations to the plenary where it can be discussed and debated on. To foster mutual learning, encourage sharing of actual experiences and practice to back up or disprove points.

Step 6: With the participants, link similar points and identify common models evolving from the discussion.

2. Interactive Lecture (45 minutes)
Highlight that due to the complexities of large scale disasters, R&R is necessarily government-led and requires a focal point.

3. Discuss the considerations for choosing the model and the focal point and the 3 models used in the 2004 Asian tsunami R&R. Provide and solicit from participants country examples.

4. Explain the key challenges in setting up the R&R institution from lessons learned in large-scale R&R. Elaborate, based on the group work, results and contributions of participants.

5. Answer questions and items for clarification. Summarise the key points from the session.

REFERENCES FOR FACILITATOR	1. Additional Information on the Case Scenarios 2. Session 3 *PowerPoint* Presentation 3. Institutional Set-up In Post Disaster Recovery and Reconstruction 4. Chapter 2 of the *Handbook for Disaster Recovery Practitioners*

ADDITIONAL INFORMATION FOR CASE SCENARIOS

FLOODS IN TIMALYA

The response of the government and development partners was quick and efficient. The District Disaster Response Committee (DDRC) in Sakhya district was already holding an emergency meeting hours before the river broke the embankment and many people living next to the embankment had started moving out when the river entered the villages. The displaced people moved to nearby schools for safety and several camps were built in safer areas. A total of 328 shelters were built. DDRC promptly started delivering food and non-food items donated by development partners. The Timalayan Army, Police, Armed Police Force and locals were widely mobilised in the rescue operations. DDRC took the lead in the relief effort.

The government continues to lead response operations in Sakhya and Himadri districts through DDRCs (District Disaster Relief Committees with CDOs [Chief District Officers] coordinating between local authorities and the line ministries. An emergency was declared in these districts making it easier for the CDOs to take quick action. A Disaster Management Coordination Cell has been established at the regional level in order to monitor and direct the DDRCs. At the central level, the Central Natural Disaster Relief Committee, chaired by the Minister of Home Affairs, oversees the response effort.

In Kaithal, local authorities mentioned that expectations set on DDRCs were too high partly because there were certain NGOs distributing relief materials without clear guidelines. In one area, the NGO distributed 1kg of sweetmeats to each family before the festivals, raising demands from the locals nearby that DDRCs should do the same. Given the frequent occurrences of disasters in Timalya each year, the government could not afford a situation of strife to develop between the humanitarian agencies and the locals.

However, one aspect that is worrying is the presence of a strong rebel group that has been fighting the government for the last two years for recognition of their territorial rights over certain parts of Himadri which was badly affected. The government claims that they are finding it difficult to operate in these areas and that their trucks and equipment are being stolen by the rebels. But the rebels vehemently claim that the government is deliberately withholding relief material from their area to weaken their stand and are using this disaster as a means of flattening the rebellion.

EARTHQUAKE IN POONTHI

The government of Poonthi is a semi-Presidential Republic, a multiparty system wherein the President of Poonthi is head of state elected directly by popular elections. The Prime Minister acts as head of government and is appointed by the President, chosen from the majority party in the National Assembly. Executive power is exercised by the President and Prime Minister who together constitute the government.

Legislative power is vested in both the government and the two chambers of the National Assembly. The government is organised unilaterally, thus the central government delegates powers to the departments without a constitutional need for consent.

Poonthi has endured political instability, chronic challenges in governance and the highest levels of poverty in the Southern Hemisphere. The small Poonthi private sector is fragmented, leaving the majority of Poonthians to survive in the informal sector, with no guarantee of employment, income or access to capital.

Privatisation of public services related to the health, education, transportation and water sectors see the Poonthians pay high prices for public goods. In addition, mistrust exists between the Poonthian public and private sectors, further jeopardising their potential to together lay the foundations for economic growth and a wider distribution of income.

Despite a tangible improvement in conditions of socio-political stability and security in the last five years, Poonthi is still experiencing major difficulties in terms of the functioning of state services. The impact of the earthquake is reflected in a deterioration of security, particularly for people living in the camps. The situation is even more precarious for women and children. Education levels are still very low with 38 percent of the above 15 years old being illiterate.

TSUNAMI IN SARANYA

Geographic and ecological issues, in addition to the tsunami, have placed pressure on Saranya's public sector. Geographically, the country faces two main challenges: the absence of a significant land mass, which has resulted in a dispersed population, and the low altitude of existing islands. These challenges raise the cost of delivering social services and of public administration, as they limit the scope to generate economies of scale.

Saranya is a country made up of 769 islands in 20 atolls which are spread over 900 km. Only 198 of the islands are inhabited, and 70 percent of those have a population of less than 1,000 people. This widely dispersed population makes delivering social services and public administration very costly for the government. The government is reviewing measures to widen the revenue base. Currently, there are no income taxes or general sales taxes. Revenues from room rents are vulnerable to fluctuations in tourist arrivals. Saranya's legal system is based on Sharia law. An important challenge is how to implement commercial laws, framed within the tradition of internationally accepted laws/standards, within the Sharia system.

All financial information is recorded manually, based on a single entry accounting system. The chart of accounts used does not enable the accumulation of expenditure information beyond broad functional classifications. These limitations challenge the government's ability to effectively monitor public spending.

The government set up a Special Ministerial Committee and Task Force on the same day of the tsunami and set up the National Disaster Management Centre within a week, under the Ministry of Defence. Staff and ministers were co-opted into this for quick action. As the government had just completed the first round of the Vulnerability and Poverty Analysis, they had all the relevant data at hand for immediate action.

CYCLONE IN DAITWA

According to a global risk analysis of natural disaster hotspots, 30 percent of the total area and 26 percent of the population of Daitwa are exposed to a high mortality risk from three or more hazards. If the mortality risk is assessed on the basis of two hazards, Daitwa ranks the highest in the list of vulnerable countries, with 97 percent of its population and 97 percent of its area exposed to these hazards. In terms of area and number of people directly affected, impact on economic activity, and damage or destruction of assets, the types of disaster that have been most hazardous since independence in 1971 are exceptionally widespread riverine flooding, severe tropical cyclones and associated coastal storm surges, river bank erosion, and drought. UNRR developed special projects for implementing recovery programmes. Following the earlier floods, UNRR established the Disaster Relief and Response Facility (DRRF), a flexible mechanism for financing and executing emergency relief and recovery efforts. It enabled donors to channel funds to the disaster relief and recovery operations of UNRR and partner agencies (UN, government, and NGOs). Though the DRRF was conceptualised as a flexible facility for emergency response to which the donors could contribute, it did not have the requisite sanction to function on a long-term basis. So when the donors wanted to channel the assistance for relief and recovery in the wake of the cyclone, it required formulation of a new mechanism. The DRRF was therefore replaced with the Disaster Response Facility (DRF). The DRF has been in operation for almost two years now. During this period, it has implemented projects worth about USD 32 million in responses to the floods and cyclone. DRF seeks to address humanitarian and early recovery needs through rapid response interventions. A Humanitarian Response Team (HRT), which comprises specialised professionals with knowledge and expertise on emergency response, implements the DRF's programmes and interventions. The DRF and DRRF have served a useful purpose in providing emergency response and recovery support after major disasters in Daitwa.

INSTITUTIONAL MECHANISMS FOR RECOVERY AND RECONSTRUCTION

A. GOVERNMENT-LED MANAGEMENT OF LARGE-SCALE DISASTERS

1. Government has the primary responsibility in accordance with national and international mandates (UN Humanitarian Resolution, ASEAN Agreement on Disaster Management and Emergency Response, IFRC's Guidelines).

2. A Focal Point among the various players and sectors in R&R is needed to ensure alignment with the larger framework and protect investments through its compatibility with the development agenda.

APPOINTING A SINGLE COORDINATING AGENCY

This is critical in preventing duplication of efforts and reducing bureaucratic infighting. International agencies will not coordinate effectively among themselves, either because they are not equipped to do so or because they view other agencies as competitors for favoured projects, labour, or supplies. However, international agencies will take direction from a sovereign government or a coordinating agency officially sanctioned by it. In Aceh–Nias there were some 900 reconstruction actors, so the chances of geographical and sectoral overlaps were high. Donors later praised the Government of Indonesia for its decisive action in managing reconstruction.

The decision to either appoint an existing local or central government agency or establish a new entity to coordinate the reconstruction programme depends on a number of variables, such as the scale of the disaster, the capabilities and capacities of government agencies in the affected areas, and the ambitions of the national government. In Indonesia's case, the central government established a new agency because the tsunami had debilitated local government – killing one-third of local civil servants and destroying government records and buildings – and Indonesia lacked a suitable central government institution that could coordinate such a massive rehabilitation and reconstruction effort without undermining its existing responsibilities elsewhere in the country. Also, in Aceh, there was a long-standing resentment of the central government stemming in part from a decades-long secessionist insurgency, making it difficult for any existing central government agency to operate effectively in Aceh on short notice.

On April 16, 2005, the government of Indonesia, through the issuance of Government Regulation in Lieu of Law No. 2/2005, established the Agency for the Rehabilitation and Reconstruction (Badan Rehabilitasi dan Rekonstruksi, BRR) to coordinate and jointly implement a community-driven recovery programme for Aceh and Nias. BRR's mandate was to design policies, strategies and action plans, within an atmosphere of transparency and accountability, and to implement them through effective leadership and coordination of the combined domestic and international effort to Build Back Better and safer.

SOURCE: BRR, 2009 and BRR Document Series

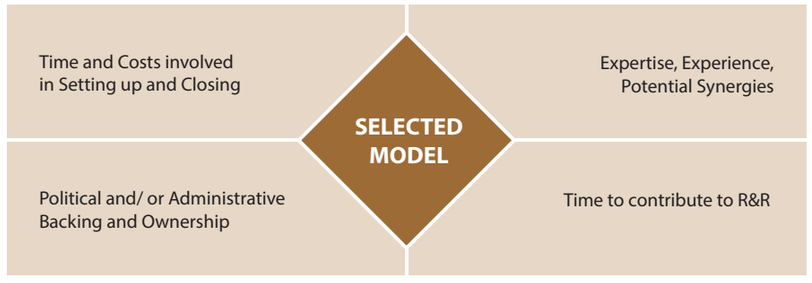
The complexity and magnitude of the disaster brings in players, both internal and external, to support the humanitarian activities. A lack of knowledge of the area, the damages, the socio-political-cultural milieu of the affected areas may lead to duplication of efforts and investments and exclusions, both geographical and social.

B. INSTITUTIONAL MODELS USED IN THE 2004 ASIAN TSUNAMI R&R

1. Considerations in choosing the appropriate model (see diagram below):
- Expertise, experience and potential synergies
- Political and/or administrative backing and ownership
- Time and costs involved in setting up and closing
- Time to contribute to R&R

Institutional arrangements can also evolve over time and based on the requirements of the disaster management phases.

2. Three models to organise R&R in the aftermath of the Asian Tsunami 2004:
- R&R coordinated by existing ministries and departments
- Recovery Task Force or Special Commission
- New Interim or Permanent Agency



Model 1. R&R Coordinated by existing Ministries and Departments

- During smaller disasters in areas where there is a general standard operating procedure set in place and the damages are contained, R&R is generally mandated to the administrative body operating in that place. For example, an outbreak of jaundice would be handled by the Health Ministry, and the permission to act would be given to the administrative head of the affected district/state.

MIX OF MODELS IN R&R IN TAMIL NADU

Tamil Nadu forged an interesting mix of models in R&R in the aftermath of the 2004 South Asian Tsunami. At the district level, R&R was coordinated by existing structures while at the state level, they set up a dedicated agency.

The District Collector, hailing from the affected district, was the primary focal point and he was empowered to take immediate action through his line departments. For additional support, he was given two more senior level officers on a temporary basis from the central pool, who could assist him in dealing with the disaster.

As this was a high-impact disaster, the Nagapattinam District Collector was kept very busy during the first year in dealing with the recovery and reconstruction activities, so much so that the rest of the communities complained about him never having time or energy to spare for the other developmental activities.

SOURCE: NGO Coordination Resource Center

POINTS TO NOTE:

a. Scale of disaster vis-à-vis available skills, resources, experience within the existing systems
b. Conflicting demands of time/ loyalties/priorities
c. Handling subsequent transfers or shifting of staff involved in R&R
d. Degree of flexibility to engage with other players
e. While accountability is a positive factor, it can it also be a debilitating factor

Model 2. Recovery Task Force or Special Commission

- This is a common model seen during R&R in the aftermath of a disaster where there are no mechanisms set up for dedicated disaster management and/ or the scale of the disaster is higher than what can be handled by the existing mechanism.

- A Task Force is set up with senior administrators drawn from all ministries/departments related to the type of disaster, not limited to but including the ministries/departments of Home, Finance, Fisheries, Agriculture, and Health. The most senior administrator or the administrator from the most relevant/capacitated ministry/department is given the charge of heading this Task Force.

- This Task Force can then form thematic sub-groups usually led by one of the Task Force members. These sub-groups can then co-opt other members, who are generally drawn from the line departments, or at times even civil society organisations or individuals.

- Once their task is completed, the Task Force can be disbanded and the staff can go back to their parent ministries/departments.
- This model was used by Sri Lanka and India post-tsunami in 2004. This system was also addopted

after the 2004 Bam Iran earthquake, the 2001 Gujarat earthquake, 1998 Orissa Super Cyclone to name other instances.

- While this Task Force can be disbanded, occasionally it becomes a long term institution focused on Disaster management.

POINTS TO NOTE:

a. Given that the Leader of the Task Force will be from a certain Ministry/Line Department, what will be the advantages and the constraints?
b. Flexibility to engage with other players: a myth or a reality?
c. Who has the authority to allocate/ reallocate staff to parent department?

Model 3: New Interim or Permanent Agency

- A separate dedicated agency is created for dealing with R&R. At times, the Task Force of Model 2 is transformed into this entity.

- In some cases this is set up immediately after the disaster, like Indonesia set up the BRR or Gujarat, India set up the Gujarat State Disaster Management Authority. This is also based on the complexity of the disaster and the need for a dedicated agency to be set up.

- Can be headed by a senior Administrative Officer or by an individual selected from any other institution/private sector (as was done in BRR, Indonesia)

- Nested within the government yet independent, with its own rules and processes.

- Staff can also be drawn from within the government system (on deputation or secondment) or drawn from the private sector.

- This can be an interim agency (as is the case in Sri Lanka and Tamil Nadu) or a permanent agency.

POINTS TO NOTE:

a. Will a "stand-alone" structure like this be accepted? If there is an existing structure for disaster management, how can their respective roles be clarified and stated unambiguously?
b. What are the actions to be taken to strengthen this system both in terms of standing as well as capacity?

Key Considerations in Setting up an Agency

a. General considerations

1. Positioning: centralised or decentralised
2. Characteristics: flexible and adaptive; inclusive; open to partnerships
3. Team: multi-skilled/multi-sectoral; mission mode and zeal; effective leadership; ability to relate with multiple stakeholders
4. Essential pre-requisites: legal backing; political ownership

b. Specific considerations

1. Legal mandate: through government orders, regulations, ToRs
2. Centralised or Decentralised: BRR- Indonesia had a Central Office as well as Regional Offices; Tsunami Emergency Reconstruction Programme (TERP) – Tamil Nadu had a centralised Office and district presence through the District Collector's Office
3. Systems to promote community consultations and participation
4. Systems in place that ensure easy access
5. Systems set up for consultations/partnerships with other Humanitarian Agencies
6. Governance Mechanism that promotes accountability, cooperation and coordination
7. Flexibility of operations
8. Mission-mode approach
9. Adaptability to varying requirements
10. Exit Strategy for seamless transfer to successor

c. Additional points to note:

1. The affected regions may be scattered and remote from the capital city which houses the administrative set-up. While the proximity to the affected site(s) is crucial, it is also important to be close to the policy makers for free access.
2. If the focal institution is set up within the existing government system, then there is the advantage of linking with the local/regional government institutions instead of investing in new premises and staff at the field offices. TERP in Tamil Nadu was operationalised through the District Collectors, eliminating the need for a separate TERP office at the affected districts.
3. Strengthening the institutions through legitimate mandates, clear demarcation of roles and responsibilities and untied funds.
   - Being outside of the existing structures, newly set up institutions will need to be backed by a legal and/ or administrative mandate. The TERP was set up through Administrative Proceedings of the State Government. So were the BRR in Indonesia and the Reconstruction and Development Agency (RADA) in Sri Lanka.
   - The clear demarcation of roles and responsibilities is all the more crucial when there is an existing mechanism for disaster management.
4. Leadership
   - Studies across the world have shown that the values and culture of an institution are generally a reflection of the values and working style of the leader. If the leader believes in a culture of openness, willingness to learn and share; and a sensitivity towards the invisibles and the voiceless, then (s)he will also promote the same value system within the team (s)he is leading.

- This type of institutional culture can, to some extent, be ensured through well thought-out and articulated protocols, policies and guidelines within the institution.

5. Culture
- The agency set up should have a culture of open access, willingness to learn, openness to partnerships, ability to go the extra mile and the basic tenets of transparency, accountability and universal inclusion.
- The attitude of the team should be beyond that of "just another day's work". Their motivation should hinge on "Building Back Better" rather than just "building back".
- Drawn from diverse backgrounds, it is very possible that their individual styles will be different. It is definitely worthwhile to invest some time in jointly drawing up the organisational goals, objectives, approaches and activities: A Framework to broadly ensure that the team is progressing towards its stated objectives.
- Frequent brainstorming on emerging issues and approaches will help build cohesiveness among the team members and they will be better able to internalise the organisational goals and objectives. The more discussions and debates within the team, the better they will be able to work together, with mutual trust and cooperation.

6. Adaptability of a Mechanism
Sometimes, the institutional mechanism must adapt to differing requirements over time. The mechanism will require enough adaptability and flexibility to cater to these requirements.

C. KEY CHALLENGES IN INSTITUTIONAL SET-UP FOR R&R

1. How does one ensure the compliance of the other line departments?
If the Agency is completely owned by the government and there is a governance mechanism that comprises of ministers/senior officials from the other related departments, then such issues can be solved at governance levels.

PROJECT IMPLEMENTATION UNITS UNDER THE REGIONAL GOVERNMENT

One of the reasons behind slow progress in rehabilitation and reconstruction efforts in Indonesia was the fact that the Project Implementation Units (PIUs) were under the regional government, whose employees were still experiencing post-disaster trauma and were unable to concentrate on their work.

At the same time, the regional government also had the burden of overseeing development. Qualified human resources in most agencies had been assigned to the PIUs to help manage the regional government's budget. People in BRR's PIUs were recruited from the remaining employees at the regional government, who had never managed development funds amounting to trillions of rupiah. Many officials were of the opinion that rehabilitation and reconstruction activities were the responsibility and duty of BRR, so that they did not pay serious attention to them.

SOURCE: BRR Book Series on Institution, Indonesia

2. Building up Partnerships and Networks
How does one ensure meaningful engagement with all players- communities, civil society organisations, I/NGOs, private sector?
Partners bring with them rich experience in disaster recovery mechanisms in general, and their own field of practice, in particular. For example, UNICEF will be able to provide expertise on child-related recovery activities, FAO can bring in their rich experience on Agriculture and Fisheries, etc.
The best resources will be the local resources – the communities themselves. Community Based Organisations like the Federation of Self Help Groups (SHGs), local NGOs, etc should be identified and mapped. Based on this mapping, regional meetings in affected areas should be arranged on a periodic basis.
Certain key factors to be borne in mind when engaging with the communities are: the ability to recognise, respect and reinforce local knowledge, traditions and practices.
Public-Private Partnerships have been successful in many post-disaster scenarios.

3. Where to start:
Any disaster creates not only new issues but also exacerbates existing issues resulting in a compound effect. Often it is difficult to distinguish between the core issue and the resultant issue. This may leave the planners fighting shadows or not knowing where to start to solve a particular problem.

4. Ownership
Sustained and heavy investments (financial as well as human) are required to diligently work on promoting ownership until complete recovery is attained. Such investments are possible only if there is a political willingness at the State/ Country level to take on this responsibility. Ownership also essentially conveys that even if such investments are not available internally, the onus will be taken up by the State/Country to mobilise these resources from elsewhere.

It is very likely that there will be a number of changes required in government policies to support an enabling process for ownership as a part of recovery process. Such changes in policies, legislations etc, can be much swifter in execution if there is strong ownership and support by the government.

5. Identifying the Focal Point for R&R
Due to the complexity of recovery challenges, it is vital to find the right institution/agency/ individuals who have the necessary experience, expertise, knowledge and skills to respond meaningfully to these challenges with appropriate and sustainable solutions.

While some countries have been lucky enough to identify the right individuals, it is unreasonable to expect a replication of this in all countries or even in the same country for all disasters. Therefore, it is necessary to identify the appropriate skills for meeting recovery challenges, and forming networks or a team of multi-sectoral experts to provide these skills under a designated leader.

6. Reaching Multiple Stakeholders
The types of stakeholders, including affected communities, are multiple and reaching out to all of them meaningfully, integrating them into consultative planning and participatory decision making processes, without delaying the speed of action, becomes an major challenge.

Language barriers are a primary concern when consulting with local communities or NGOs. Even if the locals can speak English, understanding the terminologies used also becomes difficult and in most cases the locals stop contributing to the discussions.

This can be solved if the Nodal Agency is staffed with local human resources and the field staff are also from the local communities.

D. FACTORS FOR SUCCESS OF R&R INSTITUTIONAL ARRANGEMENTS
(IRP & UNISDR, 2007)

1. A clear political and operational mandate supported by appropriate legislation.
2. Strategic plans for reconstruction and effective recovery, previously established.
3. Adequate financial, human and material resources dedicated to recovery.
4. Direct links to all relevant line ministries, as well as other, possibly external actors or institutions involved, such as within the private or commercial sectors and parastatal bodies.
5. Knowledge of the dynamics of the disaster recovery process.
6. Mechanisms that permit continuous two-way consultation with all local communities engaged in the recovery process, taking account of their various degrees of damage and needs.
7. An effective system to provide disaster recovery management information.
8. An ability to engage external organizations which already posses required skills and abilities.
9. The understanding and abilities to access grants, loans and other financial sources, derived from both established internal allocations as well as specialised external opportunities that can arise following a disaster.

SOURCES

1. TGLL Initiatives, Chapter 1 of *Handbook for Disaster Recovery Practitioners*
2. IRP and UNDP, Guidance Note on Recovery: Governance
   http://www.undp.org/content/dam/india/docs/guidance_note_on_recovery_governance.pdf
3. IRP and UNISDR, 2007. Learning From Disaster Recovery: Guidance for Decision Makers Preliminary Version for Consultation
   http://www.unisdr.org/files/3619_LearningFromDisasterRecovery.pdf
4. BRR, 2009. 10 Management Lessons for Host Governments Coordinating Post-disaster Reconstruction
   http://www.recoveryplatform.org/assets/publication/BRR%2010%20Management%20Lessons%20for%20Host%20Governments.pdf
5. BRR Book Series: Institution
   http://www.recoveryplatform.org/assets/publication/BRR%20Book%20Series%20-%20Book%2012%20-%20Institution.pdf

SESSION 4

POST-DISASTER DAMAGE AND NEEDS ASSESSMENT

DESCRIPTION	The session covers methods and approaches for conducting post-disaster needs assessments as a basis for R&R planning. Guidance on the conduct of a Post-Disaster Damage Needs Assessment is provided.
LEARNING OBJECTIVES	At the end of the session, the participants are able to: 1. Explain the approaches and methods in conducting Post-Disaster Needs Assessment (PDNA) for large-scale disasters 2. Describe how to conduct PDNA 3. Apply PDNA results in R&R planning 4. Discuss issues and challenges in conducting PDNA
SESSION KEY POINTS	1. Accurate PDNA is the sound basis of the R&R Framework and Plan, providing guidance on short, medium, and long term recovery needs. 2. After large-scale disaster, it is suggested to use only one standardised methodology led by the government to produce results that are comparable and can help better support a comprehensive R&R framework. 3. Increasingly, the PDNA is used. It combines the Damage and Loss Assessment (DALA) with the Human Recovery Needs Assessment (HRNA). 4. The DALA highlights the possible consequences on the growth of the national or local economy, the external sector and fiscal balances, as well as the impact of the decline of income and livelihoods of households or individuals. 5. The HRNA focuses on the social impact of disasters, analysing how disasters affect local patterns of life, social structures and institutions
METHOD	· Group Work 1: Damage and Loss · Group Work 2: Using the PDNA in R&R Planning · Interactive Lecture · Reflection: Key Take Away
MATERIALS NEEDED	Pictures on Damage and Loss (see Session *PowerPoint*) Case Scenario PDNA Summary Session *PowerPoint* presentation
DURATION	2 hours

PROCESS

1. Group Work 1. Understanding Damage and Loss (30 minutes)

Step 1: Reconvene the groups. Ask each group to select a sector - Agriculture, Fisheries, Infrastructure and Shelter. Provide them with the photograph of a disaster scenario for the sector chosen.

Step 2: Instruct the groups to:
- · Detail the likely damages in the sector and the impact of these damages
- · Assess the likely costs
- · Specify the tools they would use for assessing both the damages and the costs
- · Identify key considerations to ensure realistic assessment

Step 3: Have each of the 4 groups present its sectoral assessments and the underlying logic of it

Step 4: Consolidate the group reports and highlight the following points:
- · The importance of having an assessment of the losses apart from the damages
- · The importance of community consultations/participation
- · The importance of the participation of various government line departments
- · Integration of cross-cutting issues into the assessment

2. Interactive Lecture on the post-disaster assessment. (30 minutes)
- · Differentiate damage and loss
- · Discuss the historical development of post-disaster assessments
- · Explain the different tools and approaches used in large-scale post disaster assessments: PDNA, DALA and HRNA
- · Issues and Challenges

3. Group Work 2: Progression from PDNA to Recovery Planning (45 minutes)

Step 1: Provide the groups with the PDNA Report for their country

Step 2: Have the groups discuss and agree on:
- a. the sectors they need to prioritise
- b. the broad approaches to be followed for R&R,
- c. The guiding principles that would govern their country's recovery

Step 3: Have each group present its recommendations and its underlying logic.

Step 4. Summarise the group work.

4. Give a few minutes for the participants to reflect on their key take aways from the session. Have a few participants share and sum up the session by reiterating the following key take aways:
- · The importance of an accurate PDNA
- · The importance of prioritising sectors
- · The crucial requirement of Government ownership of the process
- · Participation of Line Agencies

REFERENCES FOR FACILITATOR	1. Case Scenario PDNA Summary 2. Post- Disaster Needs Assessment 3. *PowerPoint* Presentation 4. Chapters 2 and 3 of the *Handbook for Disaster Recovery Practitioner*
POINTERS FOR FACILITATOR	1. This session is the last session for Day 1. If the schedule is running late or if participants express the need for more time to accomplish Session 4 Group Work 2, reporting can be done the next day. 2. The PDNA for Maldives 2004 Tsunami is available at http://siteresources.worldbank.org/INTMALDIVES/Resources/mv-na-full-02-14-05.pdf 3. The Proposed Asian Development Fund Grant Nepal: Emergency Flood Damage Rehabilitation Project details, damages and needs after the 2008 Koshi Flood and is available at http://www2.adb.org/Documents/RRPs/NEP/43001-NEP-RRP.pdf 4. The PDNA for 2010 Haiti Earthquake is available at http://siteresources.worldbank.org/INTLAC/Resources/PDNA_Haiti-2010_Working_Document_EN.pdf 5. The PDNA for Bangladesh 2007 Cyclone Sidr is available at http://gfdrr.org/docs/AssessmentReport_Cyclone%20Sidr_Bangladesh_2008.pdf

CASE SCENARIO PDNA SUMMARY REPORT

FLOODS IN TIMALYA

SUMMARY OF DAMAGES AND LOSSES (IN USD MILLION)

Sectors	Direct Damage	Indirect Losses	Total Losses
Agriculture and Livestock	2.10	20.80	22.90
Irrigation	3.39		3.39
Health	0.02		0.02
Social Welfare	0.00	0.00	0.00
Housing and Settlements	10.40		10.40
Water and Sanitation	0.73		0.73
Education	1.23		1.23
Local Infrastructure	1.65	0.67	2.32
Transport	3.13	33.75	36.88
Communication	0.4	3.37	3.77
Industry and Trade			0.00
Electricity	1.28		1.28
River Training	5.27		5.27
Environment	0.00		0.00
Total	29.60	58.59	88.19

FINANCIAL NEEDS FOR RECOVERY AND RESTORATION (USD MILLION)

Sectors	Short term Need	Medium term Need	Total Need
Agriculture and Livestock	2.00	16.70	18.70
Irrigation	3.01	0.37	3.38
Health	2.11		2.11
Social Welfare	1.47		1.47
Housing and Settlements		10.20	10.20
Water and Sanitation	2.79	3.80	6.59
Education	1.31	1.61	2.92
Local Infrastructure	0.53	1.66	2.92
Transport	3.51	4.76	8.21
Communication	0.84	0.40	1.24
Energy		1.09	1.09
River Training	5.27		5.27
Environment	1.20		1.20
Disaster Risk Management	0.35		0.35
Total	24.39	40.59	73.83

EARTHQUAKE IN POONTHI

SUMMARY OF DAMAGES AND LOSSES (IN USD MILLON)

Sectors	Public	Private	Total	Public	Private	Total
Environment and Disaster Risk Management	3.00		3.00	321.40	175.00	496.40
Social Sectors	153.80	805.40	959.40	197.80	355.60	553.10
Water and Sanitation	20.90	13.10	34.00	8.40	193.00	201.40
Health	94.70	101.70	196.40	187.70	86.10	273.70
Education	38.20	395.60	434.00	1.70	41.50	43.20
Food Safety and Nutrition		295.00	295.00		35.00	35.00
Infrastructure	628.10	2538.60	3166.70	774.20	520.60	1294.80
Housing	1.31	2333.20	2333.20	459.20	279.30	738.70
Transport	188.50	118.60	307.10	91.60	197.50	289.10
Telecommunication	66.00	28.00	94.00	24.00	22.00	46.00
Energy	20.80		20.80	37.23		37.23
Urban and Community Infrastructure	352.80	58.80	411.60	162.00	21.80	183.80
Production Sectors	3.10	394.00	397.10		933.30	933.30
Agriculture	3.10	49.90	53.00		96.00	96.00
Industry		74.60	74.60		267.70	267.70
Retail		148.70	148.70		490.60	490.60
Finance and Banking		98.20	98.20			
Tourism		22.60	22.60		79.00	79.00
Total	781.80	3738.00	4526.20	1293.40	1984.50	3277.80

SUMMARY OF NEEDS (USD MILLION)

	6 months	18 months	3 years	Total
Total	1477.50	3086.10	7627.20	12190.90
Governance	329.30	374.30	215.00	918.60
Rule of law, Justice, Security	40.00	215.50	200.00	455.50
Democratic process	40.30	35.20		75.50
Administrative governance and public services	249.00	123.60	15.00	387.60
Regional development		192.00	533.00	725.00
Regional development		46.00	118.00	164.00
Land tenure management		54.00	100.00	154.00
Decentralisation and deconcentration		92.00	315.00	407.00
Environment – Disaster Risk Management	60.10	345.40	992.70	1398.20
Environmental governance	3.00	15.00	12.50	30.50
Land and resource management	10.00	58.50	380.80	449.30
Pollution and nuisance	43.10	221.90	472.90	737.90
Disaster risk management	4.00	50.00	126.50	180.50
Social Sectors	900.40	1547.00	3928.90	6376.30
Health	283.00	500.00	708.00	1491.00
Education	449.30	465.40	1685.10	2599.8
Food safety and nutrition	21.00	299.10	399.50	719.6
Water and Sanitation	95.40	199.20	776.90	1071.50
Sport and leisure	11.40	22.80	258.50	292.70
Culture	40.30	60.50	100.90	201.70
Infrastructure	124.90	417.40	1295.10	1837.50
Housing	5.20	149.80	505.00	660.00
Urban and community infrastructure	0.70	8.00	96.60	165.30
Transport	29.70	118.80	448.00	596.50
Energy	83.30	71.80	192.20	347.30
Telecommunication	6.00	9.00	53.30	68.30
Production Sectors	29.60	108.30	204.50	342.40
Agriculture and fishing	6.90	13.70	20.50	41.10
Tourism	1.70	16.20	25.70	43.60
Trade and industry	6.10	75.80	151.70	233.60
Employment	14.90	2.60	6.60	24.10
Transversal	48.10	101.70	458.00	607.80
Youth	45.00	93.00	440.50	578.50
Gender	2.80	8.40	16.90	28.10
Vulnerable persons and social welfare	0.20	0.30	0.60	1.10
Information management	0.10			0.10

CYCLONE IN DAITWA

SUMMARY OF DAMAGES AND LOSSES (IN USD MILLION)

	Sector	Sub- Sector	Damages	Losses	Total
1	Social		65.00	21.00	86.00
		Health and Nutrition	2.40	15.00	17.40
		Education	62.50	6.00	68.50
2	Infrastructure		1029.90	30.90	1060.80
		Housing	893.30		893.30
		Transport	116.00	25.00	141.00
		Electricity	8.30	5.20	13.50
		Water & Sanitation	2.30	0.70	3.00
		Urban & Municipal	24.60		24.60
		Water Resources Control	71.30		71.30
3	Production Sector		25.10	465.00	490.10
		Agriculture	21.30	416.30	437.60
		Industries	3.80	29.50	33.30
		Commerce		18.20	18.20
		Tourism		0.90	0.90
4	Cross-cutting issues		6.10		6.10
		Environment	6.10		6.10
	Total		1158.00	516.90	1674.90

ESTIMATED BUDGET SUMMARY FOR EARLY RECOVERY (IN USD MILLION)

1	Protection		
		Food Security	254.00
		Shelter	45.00
		Water & sanitation	5.00
		Education	5.70
		Health & Nutrition	2.20
		Environmental protection	3.20
		Governance (Implementing Disaster Preparedness)	1.60
2	Community Infrastructure Recovery		
		Economic and Social Infrastructure Repairs	28.30
3	Income Recovery		
		Agriculture	10.00
		Non-Farm	5.00
	Total		360.00

ESTIMATED BUDGET SUMMARY FOR MEDIUM AND LONG TERM RECOVERY (IN USD MILLION)

			Medium Term	Long Term	Total
1	Infrastructure Reconstruction				
		Housing	20.00		20.00
		Transportation Infrastructure	40.00	65.00	105.00
		Power	42.40		42.40
		Water and Sanitation	69.00	50.00	119.00
		Urban Road and Drainage Canals	14.60	10.00	24.60
		Embankments and Water Control Structures	66.00	40.00	106.00
		Education	52.00	50.00	102.00
		Health Care	8.30		8.30
		Environmental Protection	10.00	5.70	15.70
		Sub-Total Reconstruction	322.30	220.70	543.00
2	Livelihood Recovery				
		Agriculture Sector	140.00	100.00	240.00
		Rural non-farm Sector	50.00	35.00	85.00
		Financial Assistance to Recovery Housing and Goods	85.00		85.00
Sub-Total recovery			275.00	135.00	410.00
Grand Total			597.30	355.70	953.00

ESTIMATED LOSSES AND FINANCIAL NEEDS (IN USD MILLION)

	Losses			Cost of reconstruction (2)			
Sectors	**Direct losses**	**Indirect losses (1)**	**Total losses**	**Needs for next 6 months**	**Medium term needs (3)**	**Total costs**	**Public financing needs (4)**
Education	15.50		15.50	8.40	12.70	21.10	21.10
Health	5.60		5.60	4.90	7.30	12.20	12.20
Housing	64.80		64.80	22.20	51.80	74.00	74.00
Water and sanitation	13.10		13.10	18.40	27.20	45.60	45.60
Tourism	100.00	130.00	230.00	10.00	90.00	10000	
Fisheries	13.20	11.90	25.10	5.80	8.30	14.10	14.10
Agriculture	10.80	0.30	11.10	4.80	6.30	11.10	11.10
Transport	20.30		20.30	2.00	25.00	27.00	24.90
Power	4.60		4.60	1.90	2.80	4.60	4.60
Livelihoods		30.00	30.00	17.40		17.40	17.40
Disaster risk management				0.70	3.70	4.40	4.40
Other costs for new host islands (5)				5.00	10.00	15.00	15.00
Administration etc (5)	50.00		50.00	15.00	35.00	50.00	50.00
Total	297.90	172.20	470.10	120.10	286.20	406.30	304.20
Losses/costs as percent of GDP (2004 est.)			62%			54%	40%
Estimated revenue loss (5)							60.00
Total financing gap including revenue loss							364.20
Total financing gap including revenue loss as percent of GDP							48%

NOTES:
1. Indirect loss estimates particularly in tourism and livelihoods are not robust.
2. Reconstruction costs in some sectors are higher than damages because (a) some partially damaged houses will need to be fully rebuilt because the original islands are not livable anymore; and (b) new environmental standards apply to new facilities.
3. Medium term covers the period from 6 to 36 months.
4. a financing need differ from reconstruction costs because certain losses may be covered by insurance and financial resources available to owners.
5. preliminary estimates

SOURCE:

These estimates were arrived at jointly by the Mission and the Government

POST DISASTER NEEDS ASSESSMENT

EFFECTS AND IMPACTS OF DISASTER

Immediate Effects

DAMAGES

· Destruction of physical assets
· Occurrence at time of natural event
· Measured in physical units and a replacement value
· E.g. housing units & household good;
hospital, school & contents;
agricultural lands silted;
drainage & irrigation system eroded;
roads & bridges; ports & airports;
water supply system; electrical system

Medium Term Effects

LOSSES

· Changes in economic flows
· Occur for a relatively long period
· Expressed in current values
· Production losses in agriculture, fishery, livestock, industry, commerce, tourism;
· Higher operational costs
· Higher cost in provision of social services

OVERVIEW OF POST DISASTER ASSESSMENT

- Assessments do not fall within the category of 'one-size fits all', nor are they a sure way to uncover the 'truth'. At best, they provide decision-makers with important information on which to base programming decisions, as well as with the baseline for monitoring the results of response and recovery over time, allowing for 'in-course' corrections. At worst, they misrepresent problems and opportunities, leading to wasted resources and unsatisfactory interventions.
- There have been as many different approaches to assessment as there have been disasters. In actual disaster situations, there is ample evidence of areas being assessed and re-assessed leading to a situation known as 'assessment fatigue'.
- PDNA (Post Disaster Needs Assessment) and related guidance are a joint effort by the UN system, World Bank and European Commission, in support of governments, in furtherance of a series of institutional agreements on post-crisis cooperation.
- A Post-Disaster Needs Assessment (PDNA) encompasses two perspectives: (i) the valuation of physical damages and economic losses through the Damage and Loss assessment (DALA); and, (ii) the identification of human recovery needs based on information obtained from the affected population through the Human Recovery Needs Assessment (HRNA).
- These perspectives are integrated into a single assessment process to support the identification and selection of response options covering recovery interventions from early- to long term recovery in a Recovery Framework (RF).

YEMEN:
LACK OF DEMOGRAPHIC DATA LED TO AN UNDERESTIMATED ASSESSMENT OF IMPACT

The Yemeni experience of tsunami recovery highlights the need for accurate demographic data. Whilst the tsunami-related death toll in the country was comparatively low at two deaths, the tsunami wave - and subsequent sea surges and currents - caused extensive damage to the local fishing industry as well as to marine life. The majority of the damage occurred in the coastal communities of the Al-Mahara district, and the island of Socotra, where some 2,000 families were affected. The fishing infrastructure was particularly damaged: storage sheds and jetties, 653 boats, 1,625 nets and 16,980 fishing traps were all destroyed. In addition, ground water wells were rendered unusable due to increased salinity, coastal erosion was exacerbated and an unquantifiable amount of marine life damaged.

Given the impact to the fishing infrastructure, the livelihoods of countless communities relying on the sector (fishing is one of the country's most important sectors) were affected. However, because the physical damage in Yemen was significantly less than those countries closer to the earthquake's epicentre, and not as readily apparent, the country received little assistance from the international community. Furthermore, since the loss of livelihood proved difficult to quantify, there was an insufficient understanding of the damage, especially in remote areas, and the initial damage was underestimated. Accordingly, Yemen made no calls for international assistance. When the reality of the amount of damage to livelihoods slowly emerged, compensation was put up for some fishermen, but it was often a case of 'too little too late' with the best case scenarios seeing compensation delivered six months after the crisis.

The government of Yemen has drawn important lessons from this experience - and translated their learning into practice. The Government partnered with the United Nations Environmental Programme (UNEP) and the Food and Agricultural Organisation (FAO) to carry out comprehensive field research of affected communities. With the data collected in the field as a baseline, government and international partners were not only able to implement targeted post-tsunami fishery rehabilitation projects, they also contributed to richer understanding of Yemen's disaster preparedness. The country now has measurable indicators that allow for comprehensive policy making.

SOURCE: TGLL Project Steering Committee, 2009

When to Conduct

- The immediate focus following the onset of a disaster will be on life-saving interventions, on conducting search and rescue operations, and on providing relief materials and re-establishing essential services to affected population. Assessments will be relief-oriented in order to establish an understanding of the impact and effects of the disaster and to guide relief activities, as well as resource mobilisation, for such activities.
- It is better to start the damage and loss assessments only after the humanitarian assistance stage is well underway. However, while actions to support recovery and reconstruction may be of lower priority during this very initial period, the following steps towards a PDNA should still take place as early as the first or second week following the onset of a disaster - based on a first assessment (humanitarian appeal) of the disaster event, an understanding of its broad effects on the women and men of different ages and backgrounds/circumstances, and the likely scale of recovery following immediate relief and stabilisation.

HOW THE PDNA HELPS

The PDNA facilitates the meaningful integration of multi-sectoral assessments into a single, consolidated report on:
1. physical and other developmental impacts
2. economic values of the damages and losses
3. early as well as comprehensive human recovery needs that reflect:
   - the consequences of a disaster – economic, social, institutional, political, etc.
   - the perspectives of affected populations and key stakeholders
   - a strong emphasis on disaster risk reduction

THE PDNA PROCESS

While each government is free to design its own processes for assessments, international agencies will be able to meaningfully contribute to the process due to their experience and dedicated efforts in developing tried and tested tools.

Key Steps in the PDNA process:

1. Partner Consultation

a. This Consultation can be initiated by the Government or by one of the partners of the international coalition of WB/ EU/ UN

b. The Consultation should be between the Leading Government Representatives, including the designated Ministries, United Nations Resident Coordinator/Humanitarian Coordinator (RC/HC), WB Country Director/Manager and the EU Head of Delegation

2. PDNA Planning Mission

   a. Stakeholder Engagement

   b. Agreement on PDNA Scope and Objectives

   c. Analysing existing information

   d. Rapid Assessment/ Reconnaissance for Gap-filling

   e. Agreement on Recovery Sectors

   Sectors need to be congruent with the government's institutional and legislative structure for recovery management to ensure effective implementation. All sectors should be sensitive to and integrate cross-cutting issues such as DRR, livelihoods, governance, community infrastructure, gender, conflict prevention, environment, etc.

   f. Agreement on assessment methods, instruments and sampling

   g. Identification of Resource Requirements (human, logistical, financial)

3. Formation of the PDNA Team and the Sectoral Teams

4. Training of the PDNA Team

5. Damage and Loss Assessments (DALA) at the Field level

6. Detailed Assessment by quantification of sectoral damages and losses; aggregation of the sectoral effects; analysis of the disaster impacts on the growth of the economy, household level, personal level enterprises; and estimates of the financing required to address these impacts. This not only estimates the costs of building back what was destroyed and replacing what was lost, but also includes aspects of increasing resilience through structural and non-structural measures to mitigate the impact of natural hazards.

DAMAGE AND LOSS ASSESSMENT (DALA)

The DALA methodology relies heavily on the base data available with the government and follows the utilisation of the system of national accounts that most countries have adopted for quantifying the value of economic and social activities. Therefore, it can be applied in nearly all countries of the world, regardless of their economic status.

Detailed Assessment:

- The detailed assessment of disaster effects begins with the quantification of damage and losses at the sector level, domestic level, micro, small, medium and large enterprises level. An aggregation of this enables the quantification of total damage and losses for the entire affected area or country.

- Once these total effects have been determined, ensuring no double accounting and comprehensiveness, an analysis of disaster impact at all levels is conducted on the growth of the economy, the external sector and the fiscal budget, that may have a bearing on the country's ability to recover on its own.

- Changes or modifications to domestic public policies that the national government may adopt to facilitate recovery are also identified and estimations of reconstruction are made. Whenever it is found necessary, the analysis may include the estimation of external assistance requirements that may be provided by the international community to the affected country.

- In addition, a calendar to achieve full recovery and reconstruction is defined that takes into consideration existing domestic capacities and availability of financial resources, from early to longer-term recovery, including reconstruction and management of future disaster risk.

HUMAN RECOVERY NEEDS ASSESSMENTS (HRNA)

- The HRNA reflects the concerns and priorities of disaster-affected individuals and stakeholders to recover their full potential and to lead productive, creative lives according to their needs, rights and interests.

- In addition to baseline data, the HRNA assessment approaches often include the collection and analysis of primary data from household or similar unit of analysis surveys, focus groups, key informants and other combined quantitative and qualitative approaches.

For example, whereas the DALA will estimate the cost to rebuild a school, HRNA will address those measures required to ensure the re-enrolment of children, the proper placement of teachers, and related (often multi-year) social mobilisation efforts required to promote an enabling environment for the education of all children.

HRNAs, then, are not a single methodology but rather a combination of methods developed over time by UN agencies, IASC (humanitarian) clusters, NGOs and crisis-affected states to measure, among others, the principal micro-, meso- and macro-level impacts of a disaster on affected sectors, populations and cross-cutting areas (gender, youth, environment, disaster risk reduction, governance, etc.), with a specific focus on: a) qualitative and quantitative impacts on development; and b) the qualitative perspectives and concerns of those most affected by the crises.

UN agencies within the PDNA partnership are chiefly responsible for generating understandings of the unique disaster impacts and related recovery needs in the sectors in which they focus, e.g. UNEP's Environmental Assessment in Post-Disaster Situations, United Nations Human Settlements Programme(UN-HABITAT) Local Estimate of Needs for Shelter and Settlement (LENSS), International Labour Organization and Food and Agriculture Organizations (FAOs) Livelihoods Assessment Tool (LAT) and World Food Programme (WFP) Emergency Food Security Assessment (EFSA). These specialised assessments are used both in PDNA assessments and in other post-disaster in-depth sectoral assessment exercises.

Summary of the Assessment Process

DAMAGE & LOSS	IMPACT ASSESSMENT	ESTIMATION OF NEEDS
· Sector by sector · Aggregation of total effects	· Macroeconomic · Personal/household · Poverty	· Recovery · Reconstruction · Risk reduction

Post-Disaster Needs

- Needs are defined as the requirements for overcoming negative disaster impacts and reducing future disaster risk
- Financial requirements must be estimated based on damages and losses
- Disaggregated by sector (economic, social), geopolitical divisions and affected population (women, children, elderly)
- Needs for recovery
- Needs for reconstruction

Recovery Needs

- Immediate-, medium- and long-term requirements
- Macro- economy, household, personal
- Interventions by central, local and private sector entities

Reconstruction Needs

- Funds required
- Build Back Better: disaster resilient construction standards; improved quality for social services and infrastructure
- Technology improvement for production
- Multi-annual inflation when required

PDNA DELIVERABLES

The PDNA process will lead to the production of the following deliverables:

- One consolidated government-owned set of sector reports (one per sector) representing the dual perspectives of valuation of damage and loss, and human recovery needs while ensuring adequate focus is paid to key cross-cutting themes in recovery.

- Recovery framework, presenting the early, medium and long-term recovery needs in the order of priority, cost, time line and the actors most likely to be involved in such recovery activities.

- Lessons relevant to the assessment process, in general, and, in particular, the use/generation of assessment tools and outputs. The lessons will provide critical input to the ongoing global effort to continuously improve the PDNA practice.

ISSUES AND CHALLENGES IN PDNA

Ownership: The primary ownership of the government is sacrosanct. Only this ownership can drive the process forward. Apart from governmental ownership, transparency in the assessments and final decision making process will bring in better ownership from other stakeholders as well.

INVOLVEMENT OF GOVERNMENT LINE DEPARTMENTS

While the expertise to drive the process can come from external sources, the core value of the PDNA lies in the reflection of realistic reconstruction and recovery requirements most appropriate to the local conditions. Only local experts will be able to provide qualitative information of that nature. Right from monetising the damages and providing local estimates to deciding the recovery needs and monetising them, the local knowledge and domain expertise of professional staff from the line departments is invaluable and they must form an integral part of the PDNA Team.

Methodology: The methodology should not detract from the process being led by the government, involving multi-sectoral government agencies and being sensitive to the recovery needs of the most affected, the marginalised and the less visible.

Conflicting Priorities: After the DALNA and HRNA are completed and the financial requirements analysed, there can be conflicting priorities in the final selection of sectors and plans. In such cases, the Government's stand on this will be final and binding.

Lack of reliable information: With increasing understanding of disasters, there is a tendency, at all levels, to inflate the estimates of damages and losses. This is also increasingly seen as an opportunity to access all available resources that are forthcoming (e.g., during a fire in a temporary shelter after the tsunami, the first responders were totally taken aback to see 60 cooking stoves in one house- all taken from different NGOs who had come to provide support for tsunami victims). Similarly, State Ministries may exaggerate the damages to access larger shares of relief funds from the Central Ministry.

Need for Base Data: The PDNA is largely built on the base data of the government, mainly census records, to assess the recovery needs. Unless this data is comprehensive there are chances of groups being missed out. For example, data on migrant populations is generally unavailable in the census records, so their losses, due to lack of employment in the aftermath of a disaster, cannot be assessed. If this is not assessed and built into the larger requirements, they will not be considered for relief payments as they are not in the list of affected. Hence, a comprehensive database is crucial.

Regular Monitoring: After the crisis has passed, there may be a going back to "business as always" approach. Regular monitoring to ensure timely completion of stated interventions is crucial to keep the momentum of the recovery work going at the same pace and with the same enthusiasm.

Making Space for Mid-course Assessments: While the monitoring of tangible efforts has been looked at, systematic mid-course assessments of recovery strategies (sectoral or otherwise) have been factored into the Recovery Framework itself.

SOURCES

1. Jones, Brett. 2010. Managing Post-Disaster Needs Assessments (PDNA). East Asia and the Pacific (EAP) Disaster Risk Management (DRM) knowledge notes working paper series ; no. 19. Washington D.C., The Worldbank. http://documents.worldbank.org/curated/en/2010/12/13338399/managing-post-disaster-needs-assessments-pdna
2. Katalin Demeter, PDNA Conceptual Framework: DALA , 2010 www.un.md/news_room/.../1.Presentation%20-%20Moldova.pps
3. TGLL Initiative, 2012. Handbook for Disaster Recovery Practitioners

SESSION 5

RECOVERY AND RECONSTRUCTION PLANNING

DESCRIPTION	This session covers R&R policy, strategies and plans developed systematically based on the PDNA.
LEARNING OBJECTIVES	At the end of the session, the participants are able to: 1. Explain the components and process of formulating R&R policy and plan 2. Develop an R&R policy and plan using post damage needs assessment results 3. Discuss key considerations and lessons learned in R&R recovery planning and implementation
SESSION KEY POINTS	1. The R&R Policy sets out the objectives, time lines, role of stakeholders implementation approach, financial provisions, and exit strategy. The policy should be guided by the recommendations of the PDNA and supported by relevant executive orders 2. The R&R Plan should align with the government's over-arching R&R Policy or framework. 3. With disaster impacts and resultant needs being different for each sector, the R&R planning has to consider sector-specific issues. 4. It is important to identify the vulnerable groups (women, children, the disabled, and the disadvantaged) and plan to meet their specific and special needs.
METHOD	· Team Exercise 1 - "The Highest Tower" · Group Work 1: R&R Policy · Group Work 2: Sectoral Planning · Interactive Lecture
MATERIALS NEEDED	· *PowerPoint* Presentation
DURATION	3 hours
PROCESS	1. Team Exercise: "The Highest Tower" (15 minutes) Check if there are an equal number of participants per table or divide the participants into 4 to 5 groups. Instruct the groups to build the highest tower on top of the table utilising any material and available resources in the session hall within 5 – 10 minutes. Exclude a few items like the glasses and chairs. After all the towers have been built, process the activity. How did the groups fare in achieving the task at hand to build the tallest tower? Declare a winner and provide a prize. 2. Link the team exercise to the topic of the session. Interactive lecture Part 1: (30 minutes) Discuss the scope of the R&R policy, guiding principles and content and provide some examples from national and international experiences. 3. Group Work 1: Recovery Policy (45 minutes including presentation and discussion) Step 1: Have the groups revisit the PDNA of their country and the initial planning process they had done on the selection of sectors Step 2: Instruct the groups prepare a Recovery Policy for their country disaster scenario based on the session input. The recovery policy should contain the following key items: · Goal and Objectives · Approaches · Indicative Time frame for Recovery and Reconstruction · Key Stakeholders: roles and linkages · Governance · Monitoring and Evaluation Step 3: The groups will present their respective policies. Encourage experience sharing to help reiterate, validate or negate the points presented. Step 4: Sum up the group work and re-emphasise: · The need for a recovery policy · Ensuring that the goals and objectives are in keeping with the larger developmental framework · Need for guiding principles to ensure justice, equity and transparency 4. Interactive Lecture Part 2 (30 minutes) Provide additional inputs on sectoral planning and sector-specific issues to consider and address. Facilitate sharing of issues and practice. Note key considerations for different sectors based on national and international experiences and lessons learned. 5. Group Work 2: Sectoral Planning (60 minutes including summing-up) Step 1: Have the groups design an R&R Plan or Framework based on their Recovery Policy. They should cover two to three sectors with at least one from the social sector and one on livelihoods. Step 2: Instruct the groups to specify the following: · R&R sectoral interventions/ activities · Time frame · Actors/Stakeholders involved and their roles · Cross-cutting issues · How to ensure equity, transparency and accountability, inclusion and community participation They should ensure that the Recovery Plan or Framework is aligned with the Policy, Strategies, Approaches and Guiding Principles articulated in their R&R Policy. Step 3: Group Presentations and discussions. Encourage the participants to discuss and debate the appropriateness, adequacy and linkages to recovery and development, citing real life experiences wherever possible. Step 4: Sum up the Group Work and reiterate the following points: · Ensure the activities planned build into the recovery and development framework · Ensure that cross-cutting issues of gender, poverty, discrimination etc are addressed · Ensure equity, inclusion, transparency, accountability · Address the growing concerns on the impacts of Climate Change · Ensure the "do no harm" approach 6. Answer questions and summarise the session key points covered.
REFERENCES FOR FACILITATOR	1. Recovery Policy, Strategies and Plans 2. Session 5 *PowerPoint* Presentation 3. Chapter 3 of the *Handbook for Disaster Recovery Practitioners*
POINTERS FOR FACILITATOR	1. Sample of a Recovery Framework for large-scale R&R is the Aceh Recovery Framework (ARF) 2008-2011. This is available at http://www.recoveryplatform.org/assets/tools_guidelines/Aceh%20Recovery%20Framework.pdf 2. This is a long session. Have the Daily Management Team do some energisers between the two group work sessions or do another group activity which can allow Participants to move about.

RECOVERY PLANNING

Policy: A policy is typically described as a principle or rule to guide decisions and achieve rational outcomes. "Policy" may also refer to the process of making important organisational decisions, including the identification of alternatives in programmes or spending priorities, and choosing among them on the basis of the impact they will have.

Policies are generally adopted by the Board or senior governance body within an organisation, whereas procedures or protocols are developed and adopted by senior executive officers. A policy can be considered as a "Statement of Intent" or a "Commitment". For this reason, the decision-makers can be held accountable for their "Policy". "Policy" differs from rules or law.

RECOVERY POLICY

A Recovery Policy is formulated based on the outputs of the PDNA exercise and sets objectives, has an expected time-line for delivery, an implementation approach, and sets forth the roles of various stakeholders, budgetary provisions, monitoring and the exit strategy. The Policy also articulates the underlying principles guiding the recovery process.

GUJARAT EARTHQUAKE RECONSTRUCTION AND REHABILITATION POLICY

Four months after an earthquake measuring 6.9 on the Richter Scale struck Gujarat, India, on January 26, 2001, the State Government of Gujarat announced the Gujarat Earthquake Reconstruction and Rehabilitation Policy. Only 30 pages long, it included the creation of the Gujarat State Disaster Management Authority. It proposed a different reconstruction approach for urban and rural reconstruction and in different regions of the state, depending on their seismic zone. The cost of rebuilding was estimated at USD 1.77 billion, of which more than half was to be borrowed from International Finance Institutions.

The stated objectives of the policy included building, retrofitting, repairing, and strengthening houses and public buildings, and improving the earthquake resistance of what was rebuilt. Other objectives related to the revival of the local economy, reconstruction of community and social infrastructure, health support to those affected by the earthquake, restoration of lifeline and major infrastructure, gender empowerment, social attention to the poor, implementation of a comprehensive disaster preparedness and management programme, and the need for long-term mitigation of a variety of risks to which the population was exposed.

The policy's guiding principles included the need to: involve people and representative institutions in decision making; strengthen civil society institutions; ensure that the needs of the vulnerable were addressed; give people information to make informed choices in rebuilding, including about disaster risk reduction; and involve the private sector, NGOs, and expert institutions in the reconstruction programme. Lastly, it called for the highest levels of transparency and accountability to the reconstruction programme through the use of appropriate institutional mechanisms and practices.

The housing sector policy provided for a community-driven housing recovery process. Five types of assistance packages were created for reconstruction, retrofitting and repairs of approximately a million houses destroyed or partially damaged in the earthquake. The amounts varied depending on the type of houses, the extent of damages, and the location.

SOURCE: GFDRR, 2010

The **Recovery Policy Document**: Articulation of the policy in form of a document, generally divided into chapters under the following headings:

1. Preamble or Introduction which gives:
a. Background to the particular disaster for which this policy is formulated.
b. Brief background of the disaster history and vulnerabilities.

2. Approach to Policy formulation
a. This will state the approach of the country/state/organisation to formulate this policy.
b. It is generally based on the conceptual understanding of the relation of this Policy and what it entails to the overall systems in place.
c. It can also describe briefly the actual approaches followed in the development of this policy document.

3. Guiding Principles
The Guiding Principles generally stated are:
a. Ownership of the government
b. Transparency
c. Inclusiveness (special focus on women, elderly, differently-abled)
d. Community centric focus
e. Convergence through partnerships and networking
f. Early Recovery approach
g. Building DRR into mainstream development projects

4. Institutional and Legal Arrangements in place, or to be developed
a. Ensure the acceptance and buy-in of all stakeholders and players
b. Ensure smooth functioning
c. Ensure compliance
d. Bring in accountability

5. Stakeholders and their roles: The policy must identify the roles of all organisations, at all levels and involving all sectors that will be responsible for relief and recovery. The chain of command governing relationships between and among these organisations, the roles and responsibilities of each, and the mechanisms for coordination and cooperation among them should be clearly defined in both policy and legal frameworks for practical implementation.

This helps in:
a. Identifying expertise,
b. Avoiding duplication and wastage of scarce resources
c. Ensuring optimum utilisation of available resources
d. Building accountability and monitoring

6. Vision, Goals, **Objectives** need to be articulated to develop an unambiguous road map. While the Vision and Goals will be for the entire Recovery Programme, the Objectives can also be sectoral or thematic.

7. Strategies and Plans – also sectorally

8. **Capacity Development**

9. Knowledge Management and Dissemination

10. Monitoring mechanisms to ensure that the interventions are going as per the plan and are leading to the desired outputs and outcomes. The sectoral milestones and targets can be used as indicators for monitoring. However, while the outputs are easily identifiable, the intangible human impact indicators will need to be judiciously selected.

KEY POINTS FOR CONSIDERATION WHILE DESIGNING A RECOVERY POLICY

1. Establishing a Framework for public participation

2. Establishing a framework for entitlements and financial assistance to the disaster affected population

This should define:
- the types and levels of entitlements and financial grants being provided
- the methodology used to establish entitlement rates
- the eligibility for the entitlements
- the method for establishing eligibility
- the method of delivery (cash or in kind or any other)
- the timetable, and
- the agency responsible for delivering them

It is important that the methods for damage assessment, valuation of lost assets and criteria for eligibility are disclosed on public domains and to the affected population. As much as possible, consultations with the representatives of the affected communities should be carried out to assess the adequacy and acceptability of entitlements.

3. Ensure that the recovery framework also meets the needs of the more vulnerable
- Those without assets are generally missed in the entitlements of damages or compensations, like labourers, elderly, single women and the differently-abled.
- Special focus on these vulnerable communities with innovative relief packages that will support them during the recovery period will have to be ensured.

4. Establishing a mechanism for grievance redress:
It is necessary to create a formal mechanism to address complaints and grievances. The existence of such a mechanism and how it functions should be widely publicised. This mechanism should be easily accessible by the affected community and they should be assured of a timely response.

5. Integrate DRR by establishing a regulatory framework for mitigation. This can be for:
- Ensuring quality of structural designs
- Relevant control mechanisms like no construction in high risk areas
- Altering land use patterns to direct settlements and economic activities to safer sites

6. Integrate DRR into Policy tools. Appropriate regulations can be put in place/strengthened in existing by-laws:
- Land use controls
- Zoning ordinance
- Building codes to set minimum acceptable safety standards for houses and buildings and its enforcement.
- Density controls

7. Environmental Concerns in Recovery:
- Large scale recovery, especially in housing, can put a lot of stress on the environment in terms of wood as raw material and sand for concrete.
- The Recovery Policy should promote environmentally friendly habitation, designs, material to reduce such stresses on the environment.

- Lack of adequate land for new settlements, in some cases of relocation, unplanned land filling in low lying areas without due diligence to the gradient and the drainage mechanisms can happen, which often creates new risks and new vulnerabilities to flooding.
- Some of the livelihoods proposed, like promoting shrimp farms in coastal areas, can lead to risks of contamination of the water bodies and salination of the shallow water tables.

The Recovery Framework should emphasise the "do no harm" approach with regard to the affects of large scale recovery and reconstruction on the environment.

BASIC STRUCTURE OF A RECOVERY AND RECONSTRUCTION PLAN

While there is no formal format to be followed in developing a Recovery and Reconstruction Plan, some thematic components are necessary such as impact assessments, strategies, objectives, M&E, etc. The inclusion of these components also help to ensure that the multitudinous activities of recovery and reconstruction are well orchestrated and synchronised.

Indicative contents of a Recovery and Reconstruction Plan:

1. Introduction and Background
- Background, history, data profile, etc
- Affected region
- Vulnerabilities to hazards
- Details of the current disaster

2. Current post- disaster situation
- Immediate responses undertaken
- Organisations, leaders and stakeholders involved

3. Summary of PDNA
- Disaster and its impacts
- Lives, Livelihoods, Shelter, Infrastructure, Health, Environment, Education etc.
- Damage, Losses and Requirements

4. Vision, Project Development Objectives and Strategic Approach to Recovery and Reconstruction

5. Action Plan based on Programme Components: The Action Plan should also specify the outcomes, outputs, budget and the time frame of each component (Indicative)
- Shelter
- Infrastructure
- Livelihood Restoration and Enhancement
- Disaster Risk Reduction

6. Implementation Arrangements

7. Financing Plan
- Fund Requirements
- Sources of Funds
- Fund Disbursements
- Fund Utilisation and Monitoring
- Audit Arrangements

8. Social and Environmental Risk Analysis, including Mitigation

9. Results Framework, Monitoring and Evaluation Mechanisms

GOVERNMENT OF TAMIL NADU'S TEN PRIORITY STRATEGIES IN COMPREHENSIVE REHABILITATION

1. Focused leadership at political/administrative levels, along with constant monitoring
2. Complete decentralisation of powers to local district officials
3. Comprehensive coverage of all sectors, touching every affected family
4. Needs-based relief activities taken up swiftly, including for fishers, farmers, orphans and adolescent girls
5. Effective leveraging of resources from all sources
6. Risk mitigation and insurance as part of rehabilitation and reconstruction
7. Strict building standards and supervisory mechanisms to ensure compliance
8. Participation of the community at every level of decision making
9. Extensive use of web technology to enable transparency and communication
10. Focus on the conservation of coastal ecology

SOURCE: Tsunami Global Lessons Learned Project, 2009

SECTOR RECOVERY PLANNING

Based on the overall Recovery Framework and priorities for recovery, certain sectors, or key parts thereof, are identified for intervention. This identification is based on the possible adverse impacts they may have on development, fiscal as well as human, if these sectoral impacts are left unattended for long periods of time.

Recovery requirements will be the expected costs involved in assisting the community return to normality with better resilience.

Each Sector recovery plan can have following:
- Overview of Sector
  - · Assets and processes.
  - · Major damage from disaster event.

· Most prominent risks for the sector.
· Important aspects of response that have recovery consequences.
· Key stakeholders.

- Needs

An overview of the major findings for the sector from the PDNA and other sources.

- Sector Strategy and Outcome(s)

The long term recovery outcome(s) which is derived from the recovery plan/framework.

- Sector Recovery Time line

The 'best case' sequence and time line to re-establish assets and processes with an explanation of how early recovery interventions have or will support medium and longer term recovery.

Shelter

Factors that influence the reconstruction approach in urban areas include:

- Higher population density and resettlement options available to displaced persons
- More informal housing, much of it located in high-risk areas
- More multi-family housing and a larger proportion of renters
- Ownership and titling issues may require legal procedures to resolve
- Generally more capable public sector organisations, including those responsible for disaster management, but often not used to working together
- Potential for disaster risk reduction (DRR) measures to be based on planning and regulation
- Higher income levels and living standards of the affected population, potentially requiring more generous assistance strategies
- Higher land values and less undeveloped land
- Unique and more challenging environmental risks
- Higher value and more infrastructure investments
- More complex social structures that are likely to give rise to conflicts and to complicate participation in reconstruction planning
- More clearly defined economic and social interests and more sophisticated political organisations
- Economic effects from the urban disaster that affect the rest of the country

Factors that influence the reconstruction approach in rural areas include:

- Lower land values
- Ownership and titling issues that can sometimes be resolved through negotiation
- The major role that the social structure plays in the dynamics of reconstruction
- The relative ease with which community participation can be achieved
- A higher sense of ownership
- Lack of institutional capacity for planning and regulation
- Housing that is usually designed and built by owners themselves or by masons, requiring them to have greater awareness and training of DDR building and construction measures.

Major considerations for the Shelter Sector:

(GFDRR 2010)

1. Relocation or In-situ

- Moving people away from the disaster risk areas to safer sites during reconstruction is a logical step in long term disaster risk reduction. However, certain facts that need to be taken into consideration before taking this decision are the effect of this relocation on their life and livelihoods. Moving fishing communities away from the coast is perfectly logical in keeping with risk reduction but taking away their livelihoods builds in greater risks and vulnerabilities.
- This is a crucial decision that can only be taken by the government, and is also dependant on the free spaces available for relocation. Relocation may be totally unviable in urban areas.
- In such cases, it is better to focus on disaster resistant design, building material and technology.

2. Habitation and Spatial Planning

- Large building up of spaces can have repercussions on the environment, the natural gradients and the natural watersheds and percolation points. If it is a low lying area then unplanned built up spaces will affect the draining of water leading to water logging or flooding. The potential sites will have to be studied by experts keeping in mind all these geo-physical factors and such studies should also be factored into the Recovery Framework in terms of funding and time requirements.
- House reconstruction should be seen in terms of "habitation" and not as a mere collection of houses. Norms detailing the ratio of built-up spaces to open spaces within a habitation should be taken into consideration while estimating the area of land required per site.
- Common infrastructure like water, sanitation, waste management systems and power in large relocation sites will require the support of the government in setting up OHTs, transformers, centralised waste management systems etc.

3. Site, Design, Technology Principles

- Selection of sites that are safe and appropriate. For example, a small group of people were given a plot adjoining a burial ground and they reacted very strongly to this. Although the administration promised a wall between the burial ground and the habitation, even today, the houses closer to the burial ground are lying vacant.
- Selection of disaster-proof design, construction material and technology.
- Ensuring that the designs, material and technology are eco-friendly, at best, or do no direct harm to the surrounding environment at worst.
- Large scale construction normally leads to a sudden escalation in the costs of material and even shortages. Material banks, subsidies, special schemes are some of the solutions to deal with this issue.
- The recurring costs involved in maintenance should be taken into consideration while finalising the design and the material. RCC buildings have been promoted as "safe" structures. Prima facie, the recurring expenditures are less frequent than the recurring expenditure of re-thatching a hut or retiling a house. However, even if the maintenance of RCC buildings is only once in five to six years, the costs are more than double or triple the costs of maintenance of traditional structures and usually unaffordable by the communities. Lack of maintenance will eventually make even these RCC buildings a risk by themselves unless the Government takes on the expenditure of mass maintenance or reconstruction of more houses.

4. Recovery Construction Modalities

- Owner-driven, NGO driven, Contractor driven:

Large scale reconstruction demands and paucity of time are often the main reasons for choosing options that can get the work done faster. If there are NGOs willing to take up reconstruction then the government gets into a contractual agreement with the NGOs. Alternatively, if the government or dedicated agency takes up reconstruction, they do it through their own departments/ministries and again through contractors.

In very few disaster responses, the opportunity has been given to the individual affected to plan and reconstruct his/ her own house. This was done partially in Gujarat after the 2001 Earthquake, completely in Pakistan after the 2005 earthquake and also partly in Sri Lanka after the tsunami 2004. Pakistan promoted two traditional building techniques taq and dhajjidewari during their rural reconstruction programme and Gujarat promoted their traditional Boonga technology. Impact assessments have shown that the occupancy rates and satisfaction levels have been the highest in owner driven reconstruction. The crucial consideration in this approach should be the compliance with disaster resilient technology.

An aspect that requires careful consideration is the future needs of the community in expansions, repairs and maintenance. Compatibility with local building practices and material will enhance the capacities of communities to handle such requirements on their own. The recurring costs involved in periodic repairs and maintenance will have to be considered while proposing the technology, material and construction modalities. Any types or technologies that are beyond the comfort levels of the community will only result in transfer of the responsibility of bearing this additional recurring expenditure to the government. This is one of the reasons why it is better to involve the affected communities and the local government in planning the shelter modalities.

5. Involvement of Local Government

- Large scale reconstruction, with the added requirements of disaster resilient technologies and practices, brings in its own problems like lack of expertise, lack of material and more important difficulties in overseeing compliance with the mandatory elements of disaster resilient construction and habitation.
- Decentralisation is seen to have helped solve problems in the cases of BRR in Aceh. Indonesia and Tamil Nadu in India, where the local District Collectors or DCOs were given the charge of providing an enabling environment for local construction activities, including the purchase of land for construction, capacity building for masons and other construction staff and the monitoring of construction activities.
- Using local labour : While local labour may not be conversant with the disaster resilient construction technology and practices, it is better to use the local labour, especially from among the affected communities or regions, for two reasons:
  - · It provides them with gainful employment until the time they are able to resume their normal livelihoods.
  - · It helps integrate disaster resilient technologies into local practices, thereby ensuring that communities are conversant with risk reduction design and construction and can support repairs and maintenance of such reconstructed houses without dilution of the safety features; and locals can incorporate these features even in the new constructions that may be taken up under normal circumstances.
- Capacity Building and Training: Compliance with disaster resistant technologies, designs and practices needs to be ensured. However, in terms of recovery that also encompasses the reduction of future risks, it is necessary to invest in intensive capacity building and training activities.

> The Pakistan Government provided technical assistance through the launch of over 600 Army-led Assistance and Inspection (AI) teams, as well as through establishment of 12 Housing Reconstruction Centers (HRCs) and engagement of services of over 26 NGOs. As of October 2006, over 834,324 people have received trained in seismic resistance building techniques as well as general awareness training.

- (Re)Using local material: Using local construction material can help in recycling reusable debris for purposes like, but not limited to, land filling or road construction. People can be incentivised to reuse construction materials from their old dwellings by acknowledging it as their contribution, monetising it and deducting that cost from their entitlement as was done in Gujarat. This not only increases the comfort factor, but also the convenience factor of the people in future repairs, maintenance, expansion of buildings.

6. Identification and Selection of Beneficiaries

- Eligibility criteria for getting a new house or even getting financial support for repairs of the damaged houses should be clear, unambiguous and widely publicised among the affected communities. These communities also need to know who to approach for ensuring their eligibility, applying for their entitlements and accessing them. A single- window system for processing the requests and disbursing the funds, set up within easy access of the affected communities would ensure better service delivery.

- Special care is to be taken to protect the interests of the elderly, single-women headed households, differently-abled, and the socio-culturally-economically marginalised.

7. Joint Entitlements, Risk Transfer and Embargo on resale

Joint entitlements, in the name of the husband and wife, have become the most acceptable practice during post-disaster reconstruction to protect the long term interests of the family. They have also placed an embargo on the resale of land in the next ten years following the handing over of the house. To ensure this, the land title is kept with the government and is released to the house owner only after the specified time period.

The Tamil Nadu Government had, in the MoU with the NGOs in reconstruction, mandated a multi-year insurance plan that protects the family from losses against damages to the house.

- House for a house or house for a family: While defining eligibility criteria, one has to be careful to decide upfront if the policy is going to be a "house for a house" or a more developmental goal of "a house for a family". The post-tsunami generosity of relief funds was also utilised by the communities in pushing for more houses than were actually damaged. These were then used by their married children or kept vacant till their son got married. There is a risk of a "house for a family" concept if ration cards are being asked as a proof of identity and eligibility.

Sri Lanka followed the principal of a "house for a house" and it did not have an upper limiting clause. While in the case of Tamil Nadu, India, the government added a clause which said that an owner would get only one house despite the number of houses he had lost.

8. Involvement of the Community in Beneficiary Identification and Selection:
In areas where the records have been washed away or lost, it is difficult to identify genuine beneficiaries. In such cases, involving the communities in beneficiary identification and selection is a successful approach as was tried in Indonesia.

9. Beneficiary Participation
In the eventuality that construction is not owner-driven, the participation of the beneficiary in the design, planning and construction of the house needs to be emphasised in the Framework itself as a precondition for getting community approval for reconstruction plans. The communities also need to be involved in the monitoring process so that they are assured of the quality and minimum safety standards.

The Sri Lankan People's Church came up with a very innovative method for monitoring the quality of housing construction in Kudilnilam. They allocated the houses before construction began and briefed the incoming residents on how to make sure that the builders were complying with agreed specifications. Building contractors would not be paid unless negotiated specifications were complied with.

SOURCE: Lessons from tsunami recovery in Sri Lanka and India, RMIT University.

10. Standardisation of Supports:
This is a must if there are multiple agencies involved in shelter reconstruction activities. The Government/Recovery Policy must specify the overall built-up space, the maximum costs that can be incurred per house and the minimum facilities that can be offered.

A failure to specify such standards can lead to discontent within the communities and also social unrest. The Recovery Framework needs to deliberate on this and standardise approaches for housing reconstruction.

11. Retention of Earlier Housing:
In most shelter reconstruction programmes, it has invariably been learned that most affected communities would rather retain their old house if it was repairable, rather than relocate to a safer site.

The alternatives are that the government makes it mandatory for their old houses to be relinquished and to give the affected communities are given possession of their new houses; or the government ensures that the repairs are disaster-resistant and an agreement stating that any family who already benefitted from such repair entitlements will not be eligible for any future similar entitlements in the eventuality of another disaster in the same area.

Livelihoods

Livelihoods approaches are based on a conceptual framework to aid recovery and sustainability:
- the priorities that people define as their desired livelihood outcomes
- their access to social, human, physical, financial and natural capital or assets, and their ability to put these to productive use
- the different strategies they adopt in pursuit of their priorities
- the policies, institutions and processes that shape their access to assets and opportunities
- the context in which they live, and factors affecting vulnerability to shocks and stresses

Core to post-disaster livelihoods approaches are a set of principles that underpin best practice in any development intervention. These principles should be:
- People-centric
- Responsive and participatory
- Multi-level
- Conducted in partnership
- Sustainable
- Dynamic

Key considerations in Livelihood Recovery

1. Generally Practiced Phased Approach to Livelihood Recovery:
While sustainable livelihood recovery takes time and is also contingent upon a host of other factors that need to be set in place, it is possible to look at "income generation" approaches during the interim period.

Using relief work itself as the first stage of livelihood recovery
a. Hiring manpower for rubble removal
b. Cash for work schemes for general relief work
c. Contracting emergency works with local firms

d. Facilitating the reopening of existing enterprises
e. Shop repairs
f. Power reconnection
g. Inventory replenishing
h. Short term credit or grants for repairs and working capital
i. Roads and two-way access to markets

2. During the Reconstruction Phase
A two-sided approach is needed where recovery is centred on economic reactivation of the demand and supply of goods and services

Reactivation of the demand side through:
- Cash transfers
- Labour intensive employment projects
- Public demand for goods and services during recovery

Reactivation of the supply side through:
- Reconstruction of productive equipment and infrastructure (industry and commerce)
- Reconnection of power lines and transport infrastructure
- Short-term credit for repairs, working capital, hiring staff and rebuilding inventories

Recovery and Rebuilding of Resilient and Sustainable Livelihoods that go beyond "phased recovery" approach

- Restoration of productive assets of affected people
  · Repairs or replacement of the productive assets lost by people during disasters.
  · Restoration of some types of assets will ensure immediate resumption of their livelihoods, like provision of boats
  · However, provision of agricultural implements will not guarantee immediate resumption as it is also dependant on:
    - Clearing of the land and surface water sources in the case of landslides, flooding, storm surges, cyclones
    - Seasonality of the crops that can be cultivated
    - Availability of water (in rain fed areas or where canal/ tank based irrigation is practiced)
  · Hence, those dependant on cultivation may require interim income generation programmes for longer than e.g. fishermen.

- Restoration of public assets that are supportive to resumption of trade
  · While production may be available, the roads, transportation facilities, storage spaces and even the market places may not be functional.
  · Restoration of public assets that can support faster economic recovery processes should be taken up in tandem with the restoration of private productive assets.

- Enhancing access to financial tools
  · Immediate cash grants are seen to have a beneficial effect on restoration of livelihoods. This can be through grants or through revolving funds or through soft loans.
  · The involvement of the local government and communities in the planning and managing of interventions, including fund management and monitoring, increases the efficiency of the cash grant mechanism as well as its effectiveness.
  · Community involvement has been easier in places where community-based organisations exist, like the self help groups in Bangladesh, Sri Lanka and India.
- Capacity Building
  · Capacity building can be seen as:
    - Enhancing the value of products
    - Skill diversification: in cases where previous livelihoods cannot be resumed like in areas where the land has been lost through submergence, landfills, etc or in cases where the larger developmental framework requires a shift from traditional livelihoods like snake or rat catchers,
    - Enhancing the capabilities of running enterprises

Planning Process for Livelihoods Recovery Framework

1. Assessment of disaster impact on livelihoods (gender, groups with special needs disaggregated)
2. Base information on livelihoods following pre-disaster (gender, groups with special needs disaggregated)
3. Identifying appropriate interventions through intense community consultations which include women, elderly, differently-abled and other groups requiring special attention
4. Developing a policy for livelihoods recovery with guiding principles and time frame
5. Defining targets and milestones
6. Defining specific roles for various stakeholders
7. Developing a monitoring framework with indicators
8. Preparing an Exit Strategy

LIVELIHOOD RECOVERY STRATEGY OF INDONESIA

Almost every sector of the economy felt the impact of the disaster, from the agricultural sector to fisheries, commercial forestry, industry, trading, cooperatives, SMEs, labour, tourism and forestry. Due to the broad impact on the economic sector, the main focus in the policy for rehabilitation and reconstruction of the economic and business sector was directed toward five aspects, namely, empowering the community-based economy, raising the added value of SME products, recovery and development of trade activities, capacity-building for players in the economic and business field and the facilitation and stimulation of investment.

The Deputy for Economic and Business Development's strategy for developing the economy and the business sector involved revitalising economic life and empowering local wisdom. This was supported by the provision of economic and business facilities, the provision of infrastructure and efforts to improve the quality of human resources. These steps were implemented in the 2005–2006 period.

In 2007, the strategy aimed at the integrated development of economic and business activities by raising production, institutional capacity building and stimulating the growth of SMEs and economic centers. In 2008–2009, the strategy focused on creating a sustainable economy and strengthening the local market in order to gain entry to the international market.

SOURCE: BRR Book Series: Economy-Turning the wheel of life

KEY LESSONS FOR RECOVERY AND RECONSTRUCTION PLANNING

1. The R&R Plan should necessarily be underpinned by the findings of the PDNA.
2. The implementation of R&R Plan requires official ownership and backing from the government and strong policy guidance in terms of Vision and Goal setting, strategic planning, defining principles and identifying cross-cutting issues.
3. The R&R Plan should detail the Strategy, Objectives, Activities and Outcomes with time frame and indicators, Financial Plans, Monitoring Plans and Implementation arrangements.
4. This R&R Plan should be a "living document" with periodic checks and refinements based on emerging trends.

The R&R Plan should factor in special considerations to meet the needs of the vulnerable populations such as women, children, disabled and the elderly.

ISSUES AND CHALLENGES IN LIVELIHOOD RECOVERY

- Systematic and intensive multi-sectoral supports required
- Coordination and synchronising activities for synergy
- Changes in policies and institutional mechanisms not keeping pace with recovery interventions
- Government ownership and political willingness are crucial

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SESSION 6

INTEGRATING DRR INTO RECOVERY AND RECONSTRUCTION

DESCRIPTION	The session covers how disaster risk reduction can be embedded into large-scale R&R through policies, sectoral planning and implementation, and DRM capacity and institution building.
LEARNING OBJECTIVES	At the end of the session, the participants are able to: 1. Identify entry points for integration of disaster risk reduction in R&R 2. Analyse R&R interventions with a disaster risk reduction lens 3. Use a menu of DRR interventions that build resilience into R&R 4. Appreciate success factors and key considerations in integrating DRR in R&R from national and international experiences
SESSION KEY POINTS	1. The R&R phase presents opportunities for integration of DRR. 2. It is important for R&R not to recreate risk and vulnerability or lay the foundation for new risk.
METHOD	• Group Reflection on Practice • Group Work: Embedding DRR into the R&R Framework & Plan • Interactive Lecture
MATERIALS NEEDED	1. Group Activity: Reflection on Practice – photocopies of 4 case briefs of integrating DRR in R&R. Case briefs can be taken from reference "Mainstreaming Disaster Risk Reduction in R&R" or other sources. Case briefs can cover DRR in recovery policy and DRR integration in the education, shelter, health and livelihood sectors. 2. *PowerPoint* Presentation
DURATION	3 hours
PROCESS	1. Group Activity: Reflection on Practice on Integrating DRR in R&R (30 minutes) Divide participants into 5 to 6 groups. Provide all participants with 4 case briefs. Ask them to reflect on the cases and discuss what activities or elements were introduced to reduce disaster risk and vulnerability. Ask a few participants to share their findings and other practices that they have been involved in or know of. Summarise sharing and have the participants go back to their country case scenario groups. 2. Group Work: Embedding DRR into the R&R Framework and Plan (60 minutes including reporting and discussion) Step 1: Have the groups revisit their R&R Framework/Plan and select at least 2/3 sectors to work on. Instruct them to: a. Analyse the activities to see if they already incorporate disaster risk reduction features, e.g. "Find alternate site for relocation that is away from the flood prone zone" b. Build DRR into sectoral activities. Ensure that activities do not lead to new vulnerabilities and risks, e.g. promote construction design that will require a lot of wood c. Add additional activities, if needed, to ensure incorporation of disaster risk reduction features e.g. promoting risk transfer mechanisms d. Introduce technologies that promote disaster risk reduction, e.g. hand pump design having upwardly extendable pipes so that they can be used during floods e. Add supportive policies wherever required f. Identify the main stakeholder responsible for operationalising these initiatives g. Identify activities that have inter-sectoral ramifications and plans that contain negative fall-outs or consequences, if any (for instance, industries being set up in traditionally cultivated lands, forest land to be converted to sites for habitation, wood to be cut down for housing requirements, shrimp farms that may affect the water tables, etc.), for which an environmental impact assessment is suggested Step 2: Have the groups present their outputs. Remind the participants to listen attentively and take note of the concepts being presented as each group presents. Allow and encourage experience sharing that will validate or negate the options being presented. Step 3: Summarise the group work and focus on the importance of DRR in ensuring that recovery is sustainable. Highlight the successful interventions that looked at incorporating DRR into Recovery Framework. 3. Interactive lecture. (30 minutes) Refer to the discussion in Session 1 and 2 on the basic concepts and Framework of R&R, and on how recovery can be an opportunity for development and risk and vulnerability reduction. Discuss the mainstreaming of disaster risk reduction (DRR) into R&R policy, citing examples from national and international practices. 4. Elaborate on the integration of DRR in various sectors covered in the R&R Framework and Plan. Cite innovations and practices, especially in the health, education and livelihood sectors. 5. Highlight key factors and considerations for successful integration. At the end of the presentation, emphasise the following points: · It is important not to recreate risks or lay the foundations for new risks. "Building Back Better" essentially encompasses integration of building disaster resilience into the Recovery Policy and Framework · Vulnerable groups- women, children, persons with disabilities, the elderly, ethnic minorities and indigenous peoples, and other groups that may require special attention. It is important that their vulnerabilities are taken into account while planning disaster resilient recovery strategies · Integration of risk reduction into recovery and reconstruction plans works successfully with a multi-pronged approach that covers: - Increasing Awareness on common hazards and vulnerabilities - Community Consultation and Participation - Capacity Building - Planning for activities that can promote resilience within interventions planned for recovery and reconstruction, - Creating an enabling environment through policies and guidelines, governance and appropriate institutional mechanisms - Research & development of disaster resilient technologies, materials etc. - Community consultations and community-centric interventions - Developing eco-friendly approaches 6. Answer questions and briefly summarise the key points covered in the session.
REFERENCES FOR FACILITATOR	1. Mainstreaming Disaster Risk Reduction into Recovery and Reconstruction 2. Session 6 *PowerPoint* Presentation 3. Chapters 3 and 7 of the *Handbook for Disaster Recovery Practitioners*
POINTERS FOR FACILITATOR	1. The session is linked with Sessions 1, 2, 5 and 10 2. If schedule is running late, one group can give a full report and other groups can proceed to compare their reports on the basis of what is similar and what is different

MAINSTREAMING DISASTER RISK REDUCTION INTO RECOVERY AND RECONSTRUCTION

INTRODUCTION

- Developing countries are hit hardest by natural disasters.
- Vulnerability is more than just poverty, but the poor tend to be the most vulnerable, given that economic pressures can force people to live in cheap but dangerous locations, such as flood plains and unstable hillsides.
- The underlying factors contributing to vulnerability are less immediately visible. For example, one needs to consider not just the fact that people live in flimsy houses in hazardous locations, but why they live there, which could be the product of: poverty, population growth, displacement due to economic development, migration to towns and cities, legal/political issues, (such as lack of land rights, discrimination, government macroeconomic and other policies) and other political features, such as the failure of government and civil society institutions to protect citizens.
- Reducing vulnerabilities is essential for ensuring development. Building up long term risk resilience to disasters and shocks is the most logical and sustainable approach to development.
- Integrating disaster risk reduction into the recovery framework ensures that the long term sustainability requirements are factored into current activities, and builds on those activities through various phases.

HYOGO FRAMEWORK FOR ACTION AND DRR IN RECOVERY (IRP, 2007)

The first goal of 'integrating disaster risk reduction into sustainable policies and planning' underlines the necessity of commitments from all stakeholders in the recovery process to place a priority on future safety in all of their planning and implementation activities. Simply stated, it is unlikely that risk reduction will be conceived, understood and "available" at the time of recovery unless it has been factored into a comprehensive national programme of disaster and risk management before an actual disaster has occurred. There are too many uncertainties, pressures, and over-riding concerns at the time of a disaster or during the period to return to normalcy to simultaneously craft and install a new and unfamiliar set of procedures.

The second goal of 'developing and strengthening institutions, mechanisms and capacities to build resilience to hazards' should be an inherent characteristic throughout the recovery process. Building such capacity needs to be driven by the hallmarks of building resilience as an over-arching concept in all organisational requirements, assured resources, and the sustainable application of various reconstruction strategies. To be successful, this needs to be grounded in an understanding and continual monitoring of risks in societies, paying particular attention to the evolution and trends that trends that occur related to dynamic elements of demographics, society growth, and the changing emphasis inherent in development strategies, both within national contexts as well as on a global or transnational basis.

The third goal underlines the important element of systematic incorporation of a risk reduction approaches into the implementation of emergency preparedness, response and recovery programmes. In this respect, risk reduction in recovery activities requires prior planning, full integration and close attention to ensure that the various means employed relate to and provide additional support to the others. For example, a new building by-law to improve seismic protection will only be effective if it is built into the education of engineers and into the training of building masons, if public policy is inclined to enforce the regulation, and if the public demands the safety of the building in which they live and work.

The fundamental objective implied in each of these goals is that risks must be reduced in the recovery process to avoid repeating the disaster. Crucially, however, is the critical awareness and practices to enable that to be accomplished can only be developed and sustained through developed capabilities before a disaster occurs. Well-considered recovery provides the physical opportunities as well as establishing a collective mindset to introduce changes in structural and non-structural risk management practices; yet, but practice indicates it is seldom that full benefits are derived at the same time. Hence, disaster recovery may be more adept at stimulating change, the full benefits of which are more likely to be received in future applications. Therefore, it is a cardinal principle that these measures need to be planned and coordinated in an integrated manner for there to be a wider use of this knowledge by more people and to sustain the resulting benefits of added protection into the future.

Mainstreaming DRR into Recovery Policy

MAINSTREAMING:

Mainstreaming, in the context of disaster risk reduction, is a strategy that refers to the practice of integrating risk reduction concepts and understandings in various subject matters (ranging from development to education to agriculture) with the hope of instilling a culture of safety in the society. Mainstreaming involves ensuring that disaster risk reduction perspectives are central to all activities – policy development, research, advocacy, legislation, resource allocation and planning, implementation and monitoring of programmes and projects.

SOURCE: Recovery Framework of Myanmar on Mainstreaming DRR into Education Sector

- Even well-intended development programmes can increase vulnerability. For example, recommending an indiscriminate increase in the number of dams on a river for flood and irrigation management will lead to reduced flows of nutritive soil, impacting agriculture in downstream farmlands; building embankments for new roads and railway lines can block natural flood drainage channels; increasing in shrimp farms along the coast can lead to both salination of soil and water, as well as to flooding due to blocking of natural drainage flows etc.

Planning and policy making decisions, even when dealing with issues of a purely technical nature are linked to the context in which the work will be carried out and are influenced by the politics of the decision. Hence, awareness of disasters and risk, and commitment to dealing with them, must be incorporated at all levels – policy level, strategic planning level and the operational level. Risk management, in the broadest sense, should be an integral part of the strategy, procedures and culture.

- Critical factors for the success of mainstreaming disaster risk reduction into recovery planning include:
  a. Understanding hazards and the potential direct and indirect consequences of disasters for levels of income, well-being and the safety of different groups, as well as the sustainability features of different eco-systems, environment and sectors
  b. Understanding and deriving learnings from the impact of past macro-economic policies and structural reforms on vulnerability, in addition to the levels and forms of poverty and potential for creation of newer vulnerabilities.
  c. Incorporating identified risk reducing practices/activities at all levels – policy making, strategic and operational
  d. Awareness raising on risks, impacts, and risk reduction practices required
  e. Creation of an enabling environment for DRR
  f. Training and Technical Capacity building
  g. Measuring progress

Disaster Risk Management Strategy (DRMS) in Maldives After the 2004 Asian Tsunami

Developing a DRMS helps to reduce a country's vulnerability and reduce the potential effects of risks on the national economy. In the Maldives, risk reduction was strongly linked to the GoM's long-term strategy to regroup the population into selected focus islands. The first pillar of this strategy is risk information management. This ensured a good understanding of disaster risk, gathered from a vulnerability assessment. GoM participated in a regional warning system and developed a national communication programme to inform all layers of stakeholders from the government to the island representatives and the local communities. A programme was developed on preparedness planning to organise first response and emergency relief. The development of a broad band network, as planned by the Government, could contribute to this programme. Finally, updated information based on a comprehensive risk mapping should be made available to the population.

Risk Mitigation and Transfer: The second pillar, risk mitigation, includes non-structural as well as structural measures. The non-structural actions include the adaptation of the legal and regulatory system, with land use planning and the building code promoting reduced risk in the reconstruction process. The land use plans should incorporate the risk mapping information to identify the different levels of risk in zoning. The building code should introduce the appropriate measures of construction to limit the vulnerability of the built environment. Structural measures should also participate in enhancing resilience of the main sectors, tourism, fisheries and key infrastructure to disaster, and could include sea defense works, adapted roads and water networks. The development of the strategy, linked to the focus island policy, must be complemented by the identification of shelters, with construction, or retrofitting, of multi- purpose buildings that can be used as shelters. The third pillar is risk transfer, which ensures the distribution of risk between the government, households, and insurance companies. Sectors such as tourism, fisheries, and banking, in particular, could benefit from insurance against risk.

Institutional Organisation and Legal Framework. It would be advisable that the National Disaster Management Center (NDMC) continues as an institution to address disaster management programmes in the country. To start with, the National Disaster Management Center would focus on ensuring that in the reconstruction process, risks are not rebuilt. It would also help in developing guiding principles for reconstruction and further development in key sectors such as housing and critical infrastructures, which have a strong role in vulnerability reduction.

SOURCE: Maldives Tsunami Impact and Recovery Joint Needs Assessment

Integrating DRR at operational levels

- The bulk of operational level activities are generally at sectoral levels.
- It is necessary to look at each sector individually as well as in relation to the overall Recovery Framework.
- The integrating of DRR into each sector will require:
  a. An understanding of the normal hazards and disasters that the sector is susceptible to
  b. Understanding the overall Recovery Objective of the sector, the strategies and the planned activities
  c. Analysing their perceived impacts, if any, on increasing/ reducing vulnerabilities or bringing in new vulnerabilities

INTEGRATION OF DRR AT POLICY AND STRATEGIC LEVELS

- Understand the various policies governing the Recovery Policy and Framework to, and their impact on existing vulnerabilities or potential for the creation of new vulnerabilities.

- Revisit the Policy Goal and Objectives to incorporate caveats/conditions that will ensure the reduction of perceived risks, existing or potential, through the fulfilment of stated goals or objectives. For example, the recovery and reconstruction programme in the aftermath of Gujarat earthquake in 2001 aimed at being a people's programme and hence guiding principles stated 'it will involve people and representative institutions in the decision making process and reflect their priorities and aspirations in programme deliverables.

- Ensure that enabling mechanisms for effective compliance are in place.

- In the eventuality of increasing or adding new vulnerabilities and in the absence of safer alternatives, it is important to introduce activities that will counter/ contain/ remove the source of risk or protect the vulnerable.
For example, relocation of the fishing communities from the coastal shoreline is not a viable alternative. Hence, the recovery framework should encourage resumption of fishing livelihoods at the earliest, which will require their proximity to the shorelines:
  1. The first step would be to identify if their major risk was through storm surges or water inundation during high tides or cyclones or even a combination of both.

2. Then the Objective of this sector would be redefined to incorporate a "safety" clause, like "Communities settled in safe shelters" and/or "resuming safe fishing practices".
3. Given the fact that they cannot be relocated, and deciding the hazards they were most prone to, one would put in activities that promote design, technologies and practices that are resilient to the identified hazard(s).
4. The next step would be to ensure that the "at risk" communities are aware and prepared to face the hazards through awareness creation and capacity building.
5. The last step would be to ensure that there are mechanisms in place that will help reduce his vulnerabilities like risk transfer mechanisms, early warning systems etc.

Thailand's Strategic National Action Plan for Risk Reduction

In its recovery process, the Thai authorities addressed risk reduction issues with particular attention given to early warning and communications issues. To provide coherence to an overall approach the government adopted a Strategic National Action Plan for Risk Reduction for the country and initiated specific measures. These included a major commitment to the design and installation of a comprehensive early warning system consisting of sensors and buoys, supplemented by the establishment of sea level gauge stations within a larger regional tsunami observation and monitoring network. The country also launched a coastal "Warning Tower Construction Project" for vulnerable areas throughout the country. Each of these physical measures was complemented by the recognised need for wider public understanding and disaster risk awareness within local communities. The "Community Based Disaster Risk Management" programme was adopted for capacity development and to increase awareness about building a "culture of safety."

SOURCE: IRP, 2007

SECTOR-WIDE RECOVERY AND RECONSTRUCTION

1. Integrating DRR into Education Sector

What is school safety?

There are two broad areas of school safety: first, buildings are structurally safe, and is multi-hazard resilient, and there is a system in place to handle rush in case of an emergency.

Secondly, building leadership and skill of the children, teachers and school management committees to save their own lives and handle emergency situations in the community are in place.

SOURCE: ActionAid-Nepal, 2007

1. Understanding damages and losses
2. Studying the Sector Recovery Objective and ensuring that the Objective encompasses the concept of risk reduction
3. Ensuring short term, medium term and long term interventions are designed to:
   a. Safeguard from risks
   b. Ensure that interventions do not lead to new risks or vulnerabilities and in the eventuality that they do, add activities that will reduce the risks anticipated
   c. Ensure the incorporation of activities that will raise the awareness levels and understanding of disaster risk reduction in communities
   d. Add activities that will institutionalise the concept of disaster risk reduction

Improving Education: Recovery and Development in Maldives

Work to re-establish school facilities damaged or destroyed by the tsunami. Recovery initiatives show that: Around 50 temporary classrooms and 10 toilets have been established in 6 different islands pending the construction of more permanent buildings; Three temporary accommodation blocks for teachers have been constructed in 3 islands; UNICEF is assisting with the rehabilitation or reconstruction of 47 primary schools and 20 pre-schools, of which 5 pre-schools and 20 primary schools have been reconstructed; the French Red Cross is assisting with the construction of 2 pre-schools and 1 primary school, as well as developing a pilot vocational training centre.

Around 6,000 children have benefited from the distribution of learning materials including text books. Their classrooms received new furniture (desks and chairs) and nearly 100 brand new black boards; water tanks have been installed in 80 schools.

Various complementary initiatives have been taken in order to improve the education sector throughout the country. Equipping schools with new learning materials and new technologies is part of those initiatives and more than 100 schools have already received new equipment; over 600 school teachers, headmasters and supervisors have been trained on child-friendly active learning.

Looking at the longer term, some creative measures are necessary to raise education standards on the islands. On the smallest islands, providing specialised services such as secondary schools can be prohibitively expensive. As a result, many islands - generally those with the lowest populations - still do not have access to secondary school and approximately 12 islands provide schooling only up to grade 518. The Ministry of Education and UNICEF have initiated an ambitious programme to provide broadband internet connectivity to 20 Teacher Resources Centres, and the World Bank is providing the same support to 4 'Focus Islands', with the aim of connecting teachers, school administrators and students on each of the Maldives' far-flung atolls, to a global e-network of teacher training and educational resources. The Teacher Resources Centre should be fully functional by the end of May 2007. Government policy is to enhance the quality of education at primary and secondary levels by improved teacher training.

SOURCE: The Maldives: Two years after the Tsunami

2. Integrating Disaster Risk Reduction into Shelter Sector

a. Understanding damages and losses in the shelter sector

b. Studying the Sector Recovery Objective and ensuring that the Objective encompasses the concept of risk reduction

c. Ensuring the short term, medium term and long term interventions are designed to:

- Safeguard from risks of current hazards
- Ensure that the interventions do not lead to new risks or vulnerabilities and in the eventuality that they do, add activities that will reduce the risks anticipated
- Ensure the incorporation of activities that will raise the awareness levels and understanding of disaster risk reduction in the community
- Add activities that will institutionalise the concept of disaster risk reduction

d. Ensure that the policies introduced are supportive to early recovery of all sections of the community and no new vulnerabilities are created

DRR in Shelter Reconstruction Policy and Strategy in Maldives and Tamil Nadu

Maldives Shelter Reconstruction Strategy

Prior to estimating reconstruction costs, the government of Maldives(GoM) needs to formulate a reconstruction strategy. The government is willing to absorb a large share of the housing reconstruction costs, providing the families whose houses were destroyed or damaged with built-up houses. For the houses to be built anew, GoM has proposed a two-stage housing reconstruction plan. In the first stage, a basic dwelling unit of 61 square meters comprising of two bedrooms, one living room, one toilet, and a kitchen will be constructed according to standards stipulated in the building code. Construction is carried out by contractors with scope for local communities to participate in construction activity and benefit financially (contract selection gives weight to use of local labour and sub-contractors). In the second stage, financial incentives are provided for households to extend/modify/improve the basic unit according to their individual needs. The scheme has several merits: it is faster; it is relatively easy to enforce quality standards and building code regulations; it is particularly convenient for labour-short households such as single women with many children and busy fishermen; it does not interfere with normal economic activities in fishing and agriculture; and, to the extent that economies of scale in construction are passed on by contractors to the government in terms of lower unit costs, it could be cheaper. Its disadvantages appear to be a lower level of community participation and involvement especially in the first stage, and high level of government financial support.

An alternative approach to housing could seek greater involvement of local communities in housing reconstruction. For example, every affected household could be provided with building materials and some cash on the condition that within a stipulated time a basic structure (foundation and load bearing walls) will be ready, to be approved by certified building inspectors to ensure compliance with building codes. The main disadvantage of opting for approaches with greater community self-help and participation is that it could potentially take much longer to complete the houses; and it may place undue burden on some labour-short households. Thus, different approaches have different merits and demerits; it appears desirable to consult with communities on the kind of approach they want, though it would be necessary for each affected community as a whole to adopt one single approach to reap economies of scale.

TAMIL NADU POST-TSUNAMI SHELTER RECONSTRUCTION POLICY

Housing sector policy. Within two weeks of the tsunami, the Revenue Administration, Disaster Management, and Mitigation Department had issued a government order that announced a comprehensive village development model. The order promoted private participation in reconstruction, limiting the role of government to providing land, specifications for housing, and common amenities. The order included the parameters for the projects and solicited NGO proposals. Media advertisements were issued calling for support.

The specific policies established to guide reconstruction included extensive consultation with stakeholders, community choice on relocation decision, agency-driven reconstruction with NGOs providing resources and assisting communities, a strong role for district governments with support from the state, adherence to coastal zone regulations, safe rebuilding according to building codes and guidelines, and financial assistance for a core house with a choice of models.

Disaster risk reduction. Government acknowledged that most of the buildings damaged by the tsunami were built with construction practices that were not appropriate for the area, given the hazards it was exposed to. To mitigate future risks, the reconstruction policy for housing and infrastructure would strongly promote the use of disaster-resistant technologies. The decision about whether the community would relocate was left to the community itself. Relocated communities were given free parcels of land in urban and rural areas.

Assistance packages. Assistance was provided by NGOs and was the same for all. The amount was sufficient to provide a core house and basic infrastructure. This approach was used both for equity purposes and because the property records would not have permitted a fair valuation of the property that was lost.

The state decided to adhere to the Coastal Regulatory Zone regulations under the Environment Protection Act, which regulate building activity up to 500 meters from the high tide line. The only exceptions were for fishers, who were allowed to stay if not willing to relocate beyond 200 meters, but who were not allowed to rebuild, only repair, their houses, and were not given housing assistance.

Building codes. The state relief commissioner's office set up a committee of experts to study the National Building Code and the guidelines developed in Gujarat after the earthquake. They suggested modifications based on the windy conditions prevailing along the Tamil Nadu coast. These were used to develop the core house designs.

SOURCES: Maldives Tsunami Impact and Recovery Joint PDNA and WB, 2010

3. Integration of Disaster Risk Reduction Features in Health Sector

- Health is crucial for all and needs to be given high priority. While rebuilding and restocking would be crucial to meet the urgent requirements of affected communities, this can also be used as an opportunity for long term planning to improve medical care and to incorporate disaster resilient features.
- Policies in the health sector should be reviewed and strengthened to support quick recovery.
- The short term and medium term focus will be on immediate provision of services to the injured, sick and otherwise physically or mentally affected in the disaster, as well as repairs and reconstruction of lost or damaged assets.
- While the long term aspects should look at improving medical facilities, the initial preparatory work for this can start early enough during the medium term or even during the short term.

Improving Health Services

During the rehabilitation and reconstruction period in 2006, BRR in Indonesia focused on the development of health sector human resources in each district/city. A division of roles between NGOs, the Department of Health, and the regional government was done so that services in the health sector could be more focused and minimise the possibility of overlapping.

Going into 2007, improvements were made in several heath services facilities, which met the service standards of being 'healthy and of good quality'. A model for standardised quality health services, which includes an information management system, has been prepared and will be implemented at the local health clinics and hospitals all over Aceh.

In 2008 a public service model was implemented, with the hope that by the end of the year several local health clinics and hospitals would have been awarded the ISO certificate for public service quality.

In 2009 BRR's attention was more focused on the upkeep and development of the local government's human resources capabilities so that the programmes in the health sector can continue to flourish and grow. Manpower resources in Aceh also improved with better health services.

SOURCE: BRR, 2009

RECOVERY, ENVIRONMENT AND DISASTER RISK REDUCTION

Unique opportunities arise from crises for promoting sound environmental and natural resource management that reduces future risk and maximises the benefits for livelihoods, longer term development objectives and climate change adaptation.

Reducing Risk through Environment in Post-Sidr Recovery

Good Practice 1: Integrating Environment at the Earliest Stage Possible
Starting in the early recovery phase, environment was given distinct importance in the Joint Damage, Loss, and Needs Assessment for Recovery and Reconstruction after Cyclone Sidr. The JDLNA suggests environmental interventions to include an "awareness raising campaign with the objective to prevent further damage to the vulnerable environment; "activation of an effective GIS/RS based monitoring and evaluation system;" and reactive "environmental cleanup and rehabilitation, restoration of damaged environment and support for further protection, support for restoration of social forestry using local plant species" (JDLNA March 2008).

Good Practice 2: Explicit "Building Back Greener and Better'
While the past saw only partial environmental integration into recovery, usually with a stronger priority on credit and infrastructure assistance, the post-Sidr recovery strategy prioritises "building back better": improving the local capacity and utilising environmental management. Rebuilding of houses, schools, shelters, rural roads, embankments and markets vprovide local economic opportunities and "introduce and mainstream new standards and upgrading that will help protect them against future disasters" (JDLNA March 2008). This also includes rehabilitation of the Sundarbans coastal forests ecosystem, which is listed (although last) as one of the Medium-to Long term Recovery and Reconstruction Interventions. Based on the evidence that the coastal forests of the Sundarbans provided significant protection during cyclone Sidr and past events, the recovery strategy prescribes:

- Forestation along embankments, integrated with the recovery programme;
- A long term programme of forestation along the coastal belt to reduce vulnerability to storms and surges;
- Large-scale rehabilitation of the Sunderbans;
- Restoration of the Gorai River system.

Along with this agenda, it is recognised that local capacity must be increased to maintain the afforestation and reforestation projects. In this way, environmental projects can help to build resilience against future storm surges, while also providing long term income opportunities for local residents in the form of future management of forest areas. This in turn contributes to better management of resources, which again mitigates future risk.

Local participation in projects not explicitly linked to environment, such as for rebuilding infrastructure, are also an advantage, because it allows ownership and local inputs into rebuilding needs. This can assist the environment in the long run through better long-term resource management, providing an understanding of why new types of building materials are more resilient. This would avoid a waste of building materials that the local populations would not themselves choose, without understanding the full benefits.

SOURCE: UNEP & UNISDR, 2009

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SESSION 7

MOBILISING AND MANAGING FINANCIAL RECOURCES FOR R&R

DESCRIPTION	The session elaborates on fund mobilisation from various sources, the different modalities for disbursement and channelling, and national and local budgeting for R&R needs within the complexity of the recovery process.
LEARNING OBJECTIVES	At the end of the session, the participants are able to: 1. Examine strategies to mobilise and manage finance resources for R&R 2. Appreciate key considerations in finance mobilisation and management for large-scale R&R from national and international experiences 3. Develop a strategy for resource mobilisation and finance management
SESSION KEY POINTS	1. The strategy for mobilising and management of finance resources should be part of the R&R Framework and Plan 2. A proactive approach must be taken to mobilise resources from various sources and in various forms 3. The right agency and appropriate mix of channels for disbursing financial resources ensures timely R&R service delivery 4. An effective tracking system should be in place to identify gaps and emerging issues, minimise overlaps and demonstrate transparency and accountability
METHOD	· Group Exercise: "The Longest Line" · Group Work: Strategy for Finance Mobilisation and Management · Interactive Lecture
MATERIALS NEEDED	Session 7 *PowerPoint* Presentation
DURATION	2 hours

PROCESS

1. Group Exercise: "The Longest Line" (15 minutes)
Ask the case scenario groups to form the longest line using only materials on their persons, e.g. handkerchiefs, belt, shoes, and with the items arranged from the most expensive to the least expensive. Compare the items used and the length of the lines. Provide a prize.
Link the group exercise to the topic of the session.

2. Group Work: Resource Mobilisation and Management Strategy (60 minutes including discussion)
Step 1: Have the groups revisit their PDNA and R&R Framework.

Step 2: Instruct the groups to design a Resource Mobilisation and Finance Management Strategy which covers the following:

· Resource Mobilisation for Large-scale R&R:
  a. Identify the types and sources of funding to finance the requirements of the R&R Framework. List and categorise these, e.g. grants, loans, sources – internal and external, including national government, multi-lateral agencies, etc.
  b. What methods will be used to mobilise financial resources? What innovative activities can be undertaken?

· Disbursing and Channelling of Financial Resources:
  a. Which agency has the primary responsibility for disbursing financial resources mobilised? Who are the other players and agencies involved?
  b. What mechanisms can be utilised?
· Fund Tracking System
  a. To track financial flow from various sources and channels through which funds are allocated
  b. To inform on fund utilisation, gaps, overruns, etc.
· Reporting System
  a. Mechanisms for accountability and transparency
  b. What is reported? To whom? When? How?

Step 3: Group Reports, Discussion, and Summarisation

3. Interactive lecture and key take-aways (45 minutes).
Link the lecture to the group work results. Discuss the current practices in resource mobilisation, typical sources of post-disaster funds, and its various forms.

4. Elaborate on the use of the PDNA in resource mobilisation and various methods to use, and including recent innovations. Discuss new risk transfer and financing instruments and where they have been used.

5. Highlight the importance of having a nodal agency for managing R&R financial resources. Discuss modalities for fund channelling and disbursement.

6. Highlight the need for a tracking mechanism to ensure efficient service delivery, avoid overlaps and duplication, and ensure accountability and transparency.

7. Discuss good practices, successful models and key considerations in finance resource management.

8. Facilitate sharing among participants on key take-away points from the session. Summarise and highlight the following key take-aways:
· R&R Strategies should incorporate aspects related to the management of financial resources.
· Pro-active steps must be taken to mobilise financial resources from various sources and in various forms.
· Identification of the right channels for fund disbursement is crucial for the effective implementation of recovery and reconstruction.
· Effective fund monitoring and tracking mechanisms should be in place to identify gaps and emerging issues, minimise overlaps and demonstrate transparency and accountability.

REFERENCES FOR FACILITATOR	1. Resource Mobilisation and Finance Management 2. Session 7 *PowerPoint* Presentation 3. Chapter 4 of the *Handbook for Disaster Recovery Practitioners*
POINTERS FOR FACILITATOR	1. If schedule is running late, the session can be shortened to 1.5 hours, adjusting the time for the introductory group activity and the interactive lecture.

FUNDING POST-DISASTER R&R

INTRODUCTION TO RESOURCE MOBILISATION

Disaster losses are increasing all over the world. This upward trend is principally due to increases in population and assets exposed to adverse natural events, a trend likely to worsen with growing urbanisation, environmental degradation and expected increase in the number and intensity of hydro-meteorological events resulting from climate change. Developing countries are particularly vulnerable to adverse natural events. Advanced economies are generally able to dedicate increasing resources to reducing vulnerability, including enforcement of building codes and retrofitting of lifeline infrastructure. This is rarely the case in developing countries, many of which are going through rapid urbanisation without the means to implement effective risk mitigation strategies. Emerging economies are particularly impacted, as they usually experience rapid growth in their asset base (growth in infrastructure and economic activities) before systems can be put in place to adopt appropriate building standards.

TYPICAL SOURCES OF POST-DISASTER FUNDING

- National Governments
- Bilateral and Multilateral agencies
- NGOs
- Private Sector
- Charity and donation

Grant financing from donors will always be the most cost-efficient source of financing post-disaster recovery efforts for the affected country. Many donors have well-established humanitarian programmes and can be quick to respond, particularly to support relief operations. The funds can be either through fresh commitments or through reallocating from other existing commitments/ projects already in operation.

Governments' own reserves, budget contingencies, budget reallocations and emergency loans are the most common sources of post-disaster financing. Unfortunately, all have limitations. Budget contingencies usually represent about two to five percent of government expenditures (such as in Vietnam, Indonesia or Colombia) and are not earmarked only for natural disasters. Vietnam, for example, has experienced several cases where a major cyclone hit the country in November, when the contingency budget had already been fully exhausted.

Governments, particularly in small states, are generally unable to accumulate sufficient reserves to respond to major events. Beyond the opportunity costs of short term liquidity fixed in an account, competing demands and political considerations make it difficult for governments to build reserves beyond a certain level.

Emergency loans are another fast source of funding, which can be fresh loans or reallocation from earlier loans.

While on-budget arrangements are preferred for long-term development, off-budget mechanisms have been effective in responding to emergency needs and allowing for more flexibility in rapidly changing circumstances.

Tsunami Relief and Reconstruction Fund

To assure transparency in the long term, the Government of the Maldives set up The Tsunami Relief and Reconstruction Fund (TRRF). This fund will receive resources from the budget as well as from local and international sources. TRRF will expend funds for relief, recovery, and reconstruction work to address objectives set by the government and donors.

A Monitoring Board consisting of representatives from the government, the private sector, and donors will monitor and supervise the utilisation of the funds. TRRF will be administered by the government Accounting Bureau of the Ministry of Finance and Treasury. The accounting of TRRF would be maintained as per international accounting standards with proper internal controls. The activities of TRRF would be audited by internal auditors and external auditors engaging international accounting firms.

The management, organisational structure and implementation arrangements, including procurement and financial management, will be detailed in the Financial Management Policies, Procedures and Guidelines, and in its Operations Manual. The financial management systems and processes are established in line with the requirements of the International Financial Institutions. Detailed information on funds received by source and expenditures by item, vendor, and destination will be publicly available.

SOURCE: Maldives Tsunami Impact and Recovery. Joint Needs Assessment

EXTERNAL SOURCES OF DISASTER FINANCING

A central feature of reconstruction experience is its reliance on multiple sources of support. Government, multilateral, bilateral, and non-governmental agencies all contribute to the reconstruction process. For example, in India, Indonesia, Sri Lanka, East Timor and Afghanistan, international donors and non-governmental actors played a significant role in the initial relief/ rehabilitation process.

The mix of public and private funds differs from case to case. The Indian Ocean tsunami in 2004 triggered one of the largest mobilisations of external aid in development history. People and governments around the world participated in an unprecedented act of global solidarity and contributions reached record highs estimated at more than USD 10 billion for emergency support and reconstruction programmes. In Aceh and Sri Lanka, the NGO sector became one of the main contributors to the reconstruction efforts, and its funds have financed most of the existing reconstruction activities so far.

International donors also have their own financing instruments and procedures in responding to crises and emergency situations. The UN typically announces Flash Appeals (fund-raising) for international solidarity both from public and private donors. Immediately following the Indian Ocean tsunami on December 26, 2004, the UN raised almost USD1 billion for the first six months emergency assistance.

MOBILISING FINANCIAL RESOURCES

The steps to be taken for mobilising financial resources:
1. Articulation of financial needs based on results of PDNA and the Recovery Framework. The needs must be broken down between public and private as well as segregated by each sector and administrative unit of the country/ state affected. The funding requirements should also be staggered on the time frame based on short term, medium term and long term requirements as assessed through the PDNA.

2. Organising a donor conference that will sensitise the various donors on:
   a. The damages and the losses
   b. The plans for recovery and reconstruction within a given time frame
   c. The financial requirements and funding gaps
   d. The institutional and other mechanisms already in place or planned
   e. The guiding principles that will govern the recovery and reconstruction programme
   f. The commitment of the government in supporting inclusive, transparent, equitable and sustainable approaches to recovery.

The donor conference should result in donor commitments. Donor commitments are also more forthcoming, if there is a full-fledged sector-based plan ready and underpinned by field based data from the PDNA.

3. Look at innovative funding mechanisms like public-private partnerships, corporate funding etc. National level private bodies like FICCI, an industrial network, Care Today, a foundation started by a media group, and Axis Foundation, are newly formed trusts and foundations which can be accessed to support disaster reconstruction.

DISASTER FINANCING INSTRUMENTS INTRODUCED BY THE WORLD BANK
(GHESQUIRE & MAHUL 2010)

Risk transfer instruments are instruments through which risks are ceded to a third party, such as traditional insurance and reinsurance, parametric insurance (where insurance payouts are triggered by pre-defined parameters such as the wind-speed of a hurricane) and Alternative Risk Transfer (ART) instruments such as catastrophe (CAT) bonds.

Catastrophe bonds
CAT bonds are part of a broader class of assets known as event-linked bonds, which trigger payments on the occurrence of a specified event. Most event-linked bonds issued to date have been linked to catastrophes such as hurricanes and earthquakes, although bonds that respond to mortality events have also been issued. Capital raised by issuing the bond is invested in safe securities such as treasury bonds, which are held by a special purpose vehicle (SPV). The bond issuer holds a call option on the principal in the SPV with triggers spelled out in a bond contract. Those can be expressed in terms of the issuer's losses from a predefined catastrophic event, by hazard event characteristics, or by hazard event location. If the defined catastrophic event occurs, the bond issuer can withdraw funds from the SPV to pay claims, and part or all of interest and principal payments are forgiven.

If the defined catastrophic event does not occur, the investors receive their principal plus interest equal to the risk free rate, for example, London Inter-Bank Offered Rate (LIBOR), plus a spread above LIBOR. The typical maturity of CAT bonds is 1–5 years, with an average maturity of 3 years. The CAT bond market has been growing steadily since its creation in the mid 1990s until 2008. As a consequence of the 2008 financial crisis, the market stopped issuing CAT bonds in the third and fourth quarters of 2008.

DPL with CAT DDO
The Development Policy Loan (DPL) with Catastrophe Risk Deferred Drawdown Option, DPL with CAT DDO, is a financial instrument that offers IBRD-eligible countries immediate liquidity of up to USD 500 million or 0.25 percent of GDP (whichever is less) in case of a natural disaster (Per World Bank Operational Policy/Bank Policy 8.60). The instrument was designed by the World Bank to provide affected countries with bridge financing while other sources of funding are being mobilised.

The CAT DDO was created first and foremost to encourage investment in risk reduction. Indeed, to have access to this contingent credit, countries must show that they have engaged in a comprehensive disaster management programme.

Caribbean Catastrophe Risk Insurance Facility
The World Bank recently assisted CARICOM in establishing the Caribbean Catastrophe Risk Insurance Facility (CCRIF), a joint reserve facility that offers liquidity coverage, akin to business interruption insurance, to 16 Caribbean countries exposed to earthquakes and hurricanes.

The CCRIF was capitalised with support from participating countries and donor partners. It combines the benefits of pooled reserves with the capacity of the international financial markets. To do so, it retains the first loss through its own reserves while transferring the excess risk to the international capital markets.

The facility became operational on June 1, 2007, and can count as its own reserves over USD 90 million and reinsurance of USD 110 million. This provides the Facility with USD 200 million of risk capital at very competitive rates. The reinsurance strategy of the CCRIF is designed to sustain a series of major natural disaster events (each with a probability of occurrence lower than 0.1 percent), achieving a higher level of resilience than international standards. Drawing on the lessons of the CCRIF, the Pacific island states are exploring the creation of the Pacific Disaster Reserve Fund, a joint reserve mechanism against natural disasters for the Pacific island countries.

CHOOSING THE RIGHT AGENCY FOR CHANNELLING FINANCIAL RESOURCES

With the quantum of funds that come in from various sources and for various purposes/projects, and the complexities that this entails, it is best to have all the funds channelled through a single agency. A Nodal Agency created for Recovery and Reconstruction is best suited for the channelling of funds. However, in the eventuality that another agency is identified for Fund Management, close linkages and a clear relationship with the R&R Agency should be ensured.

What is different about reconstruction budgeting?

- Speed. Reconstruction is typically faced with significant time pressures and finite duration. Progress is measured on a month-by-month basis, not an annual basis as in regular projects. The need for a swift response means that the time periods for project preparation, budget approval and procurement need to be significantly shortened.
- Flexibility. Disasters or peace settlements rarely occur in sync with the budgetary process. In order to respond to such events, most governments have funds for immediate emergencies but often lack procedures to establish fast-track funding for the immediate recovery. Once budgets are approved, emergency-recovery situations demand greater flexibility to reallocate funds within certain limits. In post-disaster environments, conditions change so rapidly that waiting until the national budget revision takes place would create unacceptable delays.
- Multiple actors. After large-scale disasters and high-profile conflicts, many government and non-government actors engage in reconstruction, often with limited expertise in the affected region or country. These institutions often use different budget mechanisms to channel their funds (often off-budget) and contribute to the reconstruction programme.

CHANNELS AND MODALITIES FOR DISBURSING FINANCIAL RESOURCES

In recovery and reconstruction, there are multiple types and levels of activities happening concurrently. Synchronisation and speedy implementation are possible only if the funds committed not only reach their targets, but are also disbursed in time.

The fund-disbursing agency needs to be flexible enough to accommodate the various needs and specific funding modalities practiced by the donor agency. The disbursing agency should also have efficient mechanisms that will track and monitor flow and implementation.

Common practices under the different categories of funding are mentioned below: (1) On Budget/ On Treasury, (2) On Budget/Off Treasury, and (3) Off Budget/Off Treasury

1. On Budget/On Treasury: In this option, funds are channelled through the government budget by signing a grant or loan agreement. Disbursement follows the regulations and procedures of the government budgetary system in place.

Advantages	Disadvantages	Normally practiced by
1. Aligning with the overall framework 2. Greater ownership and accountability 3. Greater harmonisation of results 4. Promotes horizontal coordination 5. Freedom to the partner government to formulate its own plans, priorities and approaches 6. The donor agency does not need to have its own mechanisms to implement/monitor	Budget related regulatory processes may not be quick enough to respond to reconstruction needs	Large donors like World Bank, ADB, etc. who do not have their own implementing mechanisms

2. On Budget/On Treasury: In this option, the projects are carried out by implementing agencies and disbursement of funds is done outside the treasury. The transfer is made directly from the donor to a designated government account and channelled from there to the account of the implementing agency. The legalisation of this amount into the overall R&R budget is done only after the procurement of goods and services.

Advantages	Disadvantages	Normally practiced by
1. Own implementing capacity available and government freed of the implementing responsibility 2. Speedy disbursement of funds	1. The Reconstruction Authority lacks full authority to influence the allocation and disbursement process. 2. The donor has direct overseeing control but may not be attuned to the local realities	In the case of Aceh and Nias, this mechanism was primarily used by bilateral donors like the governments of Japan and Germany

3. Off Budget/Off Treasury:
In this option the donor directly funds the implementing agency on the ground.

Advantages	Disadvantages	Normally practiced by
1. Disbursements are faster 2. Urgent needs can be met faster especially during the relief period 3. Possible to try innovative approaches 4. Not restricted by the political climate of the state	1. Difficult to monitor as it is not legally accountable to the government 2. Coordination is more a matter of choice rather than a requirement, resulting in fragmented approaches	Generally practiced by UN, NGOs and the private sector

MULTI-PARTNER TRUST FUND OR MULTI-DONOR TRUST FUND

This model is important in situations where the bulk of resources comes from bilateral and multilateral donors. In addition to enhancing effectiveness of coordination, this arrangement increases donor confidence by providing assistance where fiduciary systems of a country are weak.
MDTFs can increase and mobilise financial assistance and provide political visibility for the national authorities. Donors can operate in a more effective and efficient manner by reducing information, coordination and administration costs under joint financing arrangements.
The Maldives established an MDTF administered by the government, while in Pakistan the government dedicated a single-basket account as a reconstruction fund, which is managed by its reconstruction agency.

Multi-Donor Fund

The Multi-Donor Fund (MDF), which was managed by the World Bank, was set up at the request of the Government of Indonesia (GoI) to ensure that the vast aid that poured into the country following the tsunami was managed effectively and in a coordinated and transparent manner. Contributions totaled USD 692 million from the MDF's 15 donors, namely (in descending order by contribution) the European Commission, Netherlands, the United Kingdom DFID, the World Bank, Canada, Sweden, Norway, Denmark, Germany, Belgium, Finland, Asian Development Bank, USA, New Zealand, and Ireland.
Until the end of it's mandate, the BRR was co-chaired by the Head of BRR, the Head of Delegation for the European Commission, and the Country Director of the World Bank. In addition to donors, voting members consisted of six Indonesian Government representatives and two members representing civil society, two observers represented by international NGOs and the United Nations. The World Bank acted as trustee to support the daily operations of the MDF.

The MDF's mandate was extended until December 2012, and the model is being adapted to other post-disaster and post-conflict situations. One of the MDF's major contributions was enabling the host government (in this case represented by BRR) to have some say over how donor priorities are set and donor funds allocated, without the bureaucratic complexity and delays of donors their funds through the host government's budget.

For the GOI and donors alike, the MDF provided an opportunity to simplify coordination, information flow and reduce administrative and access costs associated with the reconstruction effort. Moreover, for donors, the MDF created a forum for their voices. Certain major donors, such as the United States and Germany, still chose to channel a majority of their resources outside the MDF (i.e. directly to their own projects or to other implementing agencies), typically because they did not want their agenda to be moderated by the MDF. Nonetheless these donors continued to participate in the MDF, regardless of the amounts they channelled through the fund. In any one MDF Steering Committee meeting, 75 percent of the top contributors were present. In this way, the MDF helped harmonise donor programmes and facilitate alignment with country priorities.

SOURCE: BRR Book Series on Finance and BRR 10 Management Lessons

CHALLENGES IN DISBURSEMENT

1. Slow pace of fund utilisation in the beginning of a project period, usually due to delays in planning, setting systems/mechanisms in place, staffing etc.
2. Overlaps/oversights in planning leading to under-utilisation or over-expenditure.
3. Lack of enabling policies like tax exemptions for better utilisation of funds.

These challenges can be offset by:
a. Flexibility to carry over funds from one financial year to another without impacting the fund disbursements planned for the succeeding years.
b. Block funding for the intervention rather than funding tied to each line item and allowing for flexibility of funds.
c. Tax exemptions in place for goods and services procured through foreign grants and for the recovery Programme.

CONSIDERATIONS IN FUND MANAGEMENT

1. Front-loading versus back-loading of funds:
While quick action is essential, too much front-loading of reconstruction funds will likely increase inflation and reduce the resources available in the second and third years of reconstruction. The higher the share of NGO funding, the more funds the government can programme in later years because NGO funding tends to be exhausted after two years.

2. Fungible funding
Fungible funding is equally important in addressing regional and sectoral gaps, especially in environments where many donors and NGOs have pre-programmed their projects and have specialities in certain sectors.

EFFECTIVE MANAGEMENT OF FINANCIAL RESOURCES

It is extremely important to have a monitoring mechanism in place for tracking financial inflow and outflow. With the multiple channels of fund inflow as well as disbursements, this will be a complex issue but one that needs to be tackled to ensure that financial resources are utilised effectively and reach the communities they are supposed to help.

The main challenge in managing reconstruction finance is to integrate the specific reconstruction needs and conditions (speed, flexibility, multiple actors) into regular country systems in order to meet the highest fiduciary standards.

Monitoring

A typical post-disaster recovery and reconstruction programme has a larger and more diverse number of development actors than regular development projects. These include central and sub-national governments, special institutions, multi- and bilateral donors and NGOs. In the case of Aceh and Nias, more than 300 organisations managing more than 1,500 projects contributed to the reconstruction effort – excluding emergency support.

In such an environment, timely and reliable information is critical. What are the most effective systems for capturing comprehensive, timely, and consistent information concerning reconstruction spending?

The most appropriate system will depend on the size of the disaster, the number of major players engaged in reconstruction spending, the quality of their own reporting, and existing capacity within the agencies tasked with the M&E role. Special care must be taken to ensure that aiming at the development of the perfect system does not stand in the way of an operationally effective system. Details such as proactive data collection and analysis protocols, the key audience for regular reporting, and modalities for M&E follow-up are likely to be especially critical.

In recent years, several "tracking systems" have been developed to monitor financial information and improve aid management of the recovery process. The most prominent aid management and reconstruction tracking instrument is the Development Assistance Database (DAD). DAD is an aid management and coordination system for use in national reconstruction environments that strengthens the effectiveness and transparency of international assistance. DAD is a powerful, web-based information collection, tracking, analysis and planning tool for use by national governments and the broader assistance community, including bilateral donors, international organisations, and NGOs.

DAD enables stakeholders in the development process to capture the most critical international assistance data on a donor and project specific basis, including pledges, committed and disbursed amounts, sector and region of implementation, project description, key performance indicators, implementing agencies and other contacts.

The DAD has been applied in a number of countries including Afghanistan, Sri Lanka, the Maldives and Indonesia.

Using Databases to Track Beneficiary Cash Transfers

Databases were developed by a number of organisations to track the flow of assistance funds after the 2004 Indian Ocean tsunami. The British Red Cross Society (BRCS) database in Aceh, Indonesia involved a significant investment in design and was developed principally to track programme resources. Although, the BRCS Aceh team found that the database was also extremely useful for tracking and managing beneficiary cash transfers for shelter. The database linked all stages of the post-disaster assistance process, from registration of beneficiaries to instructing banks to disburse progress payments. The BRCS database could also link the various sectoral elements of the BRCS programme: shelter, livelihoods, recovery grants, registration for land title, and so on. The capacity to cross-reference data between different agency databases proved vital. The lack of an adequate database for food relief programmes was a significant weakness, particularly as it was the initial contact with most beneficiaries and could have been the foundation for the registration of all sectoral programmes.

SOURCE: World Bank 2010

While it is important to try and capture all information on every project being implemented, it is more important to focus on top players who have the bulk of the implementation projects rather than on all actors involved. BRR in Indonesia chose to track only the top 20 NGOs as these top 20 NGOs were responsible for 85 percent of projects in value.

Reporting

There needs to be a venue for the exchange of information between the donors and the affected government. This exchange, including physical and financial aspects of projects, help not only to know about the progress but also to understand variances and reasons thereof. However, information should be based on real time data received through the monitoring systems in place.

Regular monitoring reports will also help in keeping all stakeholders informed about the financial aspects of recovery and reconstruction. This will help in building transparency and credibility.

Periodic joint reviews and assessments of the projects on ground will also help in "ground truthing" some of the assessments and conjectures. This will increase the joint ownership and accountability of all players.

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SESSION 8

MONITORING AND EVALUATION PLANNING IN R&R

DESCRIPTION	The session elaborates on the considerations in designing the Monitoring and Evaluation System for large-scale R&R, based on the information requirements of various stakeholders.
LEARNING OBJECTIVES	At the end of the session, the participants are able to: 1. Appreciate the importance of M&E in large-scale R&R 2. Explain the basic components and process of M&E 3. Design M&E systems and plans based on the R&R Framework and Plan
SESSION KEY POINTS	1. M&E is crucial for good decision making, planning and implementation in large-scale R&R. 2. With many pressing concerns in R&R, there is a danger of missing out on M&E, unless it is planned and provided a budget in the R&R Framework and Plan. 3. M&E objectives, indicators and methodologies, roles and responsibilities have to be clearly defined in the planning stage and with consensus of stakeholders involved.
METHOD	· Group Activity: Matching Game - "Agree, Disagree" · Group Work: Developing M&E Strategy · Interactive Lecture · Reflection: Key Take Aways
MATERIALS NEEDED	1. Card Matching Game – 4 packs of prepared cards of terms and definitions 2. *PowerPoint* Presentation
DURATION	2.5 hours Matching Game (10 minutes) Group Work Developing M&E Strategy Interactive Lecture (30 minutes)
PROCESS	1. Group Activity No. 1: Card Matching Game "Agree? Disagree?" (15 minutes) Step 1: Provide each group with 2 sets of cards to match – one set of terms and another set of definitions. Step 2: After the groups are finished, facilitate presentation and discussion of the right matches. To keep the participants engaged, make some deliberate mismatches. Ask the participants: "Agree?" "Disagree?" 2. Interactive Lecture (30 minutes) Explain briefly the difference between monitoring and evaluation; data and information; progress and process monitoring; indicators, inputs, outputs, outcome, impact. Ask the participants: "How important is M&E in large-scale disaster R&R?" Facilitate sharing of national and international experiences on the need for M&E. Stress that the establishment of M&E systems can be given a low priority as recovery managers are occupied in delivery of R&R services. 3. Discuss the basic components and process of an M&E system. Highlight key considerations (from lessons in the 2004 Asian tsunami R&R) which recovery managers should consider when developing M&E systems: capacity constraints; ICT and power constraints; environmental impacts of a disaster; impacts on vulnerable populations. 4. Elaborate on developing an M&E system for large-scale R&R relevant for national, sectoral, programmatic and household levels. Run through some examples and solicit other examples from the participants. 5. Cover the role of ICT in monitoring systems and the use of the Development Assistance Database, especially at the national level. 6. Facilitate sharing of key considerations in designing evaluations. Discuss the key considerations in designing evaluations from experiences in large-scale R&R.

7. Discuss data collection methods and considerations in choosing a particular method, e.g. budget, time lines, accuracy of results, etc.

8. Cap the inputs on M&E with guidance on how to present results and findings.

9. Group Work: Developing the M&E Strategy (60 minutes including discussion)
Have the groups review their R&R Framework and instruct them to:

Step 1: Ensure that the goals, objectives, activities, time frame and targets are clearly stated.

Step 2: Identify the various Stakeholders, their information requirements and use of this information, e.g. progress monitoring, status update, planning, etc.

Step 3: Deliberate and agree on the details of the Information Management and M&E
- a. The M&E indicators for the activities. Specify output and outcome indicators.
- b. The means of verification
- c. The methods and tools
- d. The time frame
- e. Responsible actor/s for the monitoring
- f. Mode of data entry, storage, validation, analysis

Step 4: Decide on reports to generate and disseminate
- a. Based on reporting requirements of various stakeholders
- b. Reporting period

Step 5: Design the Monitoring and Evaluation System
- a. Appropriate system for generating the required information in the most efficient and cost-effective manner (collection, collation, analysis, dissemination)
- b. Institutional mechanism for ensuring effective and efficient M&E. Define roles and responsibilities.
- c. M&E Plan for the R&R Programme

Step 6: Have the groups report on their M&E System and M&E Plan. Facilitate plenary discussion and summarise key points.

10. Facilitate a reflection of the participants: reflect on the group work and what has been covered in the session (15 minutes)
Highlight the following key take aways:
- · M&E in a Recovery and Reconstruction (R&R) context is crucial for better planning and implementation.
- · Unless M&E is planned along with the R&R Framework and budgeted, there is a danger of missing out on this altogether.
- · Evaluations are heavily dependent on the base line data and this requirement has to be recognised and fulfilled very early on in the project.
- · M&E is based on Indicators and these indicators have to be set in place right from the planning process and with consensus of major stakeholders.
- · The tools, methodologies, roles and responsibilities for M&E have to be clearly stated upfront while designing the M&E Framework.
- · Capacity Building of all staff is important for standardisation and similarity of approaches.
- · It is better to build up all required capacities pre-disaster so that the system can be kick-started with minimum lead time.

REFERENCES FOR FACILITATOR	1. Glossary of Terms in M&E 2. Monitoring and Evaluation in Recovery and Reconstruction 3. Session *PowerPoint* Presentation 4. Chapter 6 of the *Handbook for Disaster Recovery Practitioners*

GLOSSARY OF TERMS IN M&E

Accountability	explaining decisions, actions or use of money to stakeholders.
Activity	a specific piece of work/task carried out to achieve objectives.
Assumption	a condition that needs to be met if a project is to be successful. These may be external factors which cannot be controlled or which we choose not to control, for example climatic changes, price changes or government policies.
Baseline	data used as reference with which future results can be compared.
Beneficiaries	individuals, groups, or organisations, whether targeted or not that benefit either directly or indirectly from the development intervention.
Effectiveness	a measure of the extent to which a project or programme is successful in achieving its objectives.
Efficiency	making the best use of resources so that none is wasted.
Evaluation	the systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results.
Goal	the overall challenge/problem that the project/programme will contribute to resolving. It is generally beyond the project scope, the project/programme together with other efforts make a contribution to its achievements.
Impact	the positive and negative primary and secondary changes produced by an intervention, directly or indirectly, intended or un-intended. Impact is realised in the long term usually over 5 years.
Indicators	quantitative and qualitative criteria that provide a simple and reliable means to measure achievement, to reflect the changes connected to an intervention or to help assess the performance of a development actor.
Input	the financial, human and material resources needed to carry out activities.
Monitoring	Monitoring is a continuous process of collecting and analysing information to compare how well a project; programme or policy is being implemented against expected results. Monitoring aims at providing managers and major stakeholders with regular feedback and early indications of progress or lack thereof in the achievement of intended results. It generally involves collecting and analysing data on implementation processes, strategies and results, and recommending corrective measures.
Objective	describes the challenge that the project/ programme will resolve, stated in terms of results to be achieved.
Outcomes	the likely or achieved short term and medium term effects of an intervention's outputs. The outcomes are the results of objectives.
Outputs	what a project/programme actually produces, coming from completed activities.
Purpose	is the specific change that the project/ programme will make to contribute to the goal.
Programme	a group of related projects or services directed towards the attainment of specific (usually similar or related) objectives to which a coordinated approach is adopted.
Project	a planned undertaking designed to achieve certain specific objectives within a budget and within a specific period of time usually part of a programme.
Stakeholders	agencies, organisations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation.
Sustainability	the continuation of benefits from a development intervention after major development assistance has been completed.
Terms of Reference	a document outlining what is expected of a person's or an organisation's piece of work.

SOURCE:

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MONITORING AND EVALUATION IN R&R

RATIONALE FOR MONITORING AND EVALUATION (M&E)

Monitoring and evaluating policies, projects and any other kind of intervention serves several purposes:

- Keeping track of what is being done, checking whether progress is being made in line with pre-established objectives and – if necessary – proposing mid-course corrections or measures for improvement;
- Providing empirical evidence of the effectiveness of an intervention to legitimate it;
- Assessing the performance of different actors involved in an intervention and thus making them accountable to each other and the wider public;
- Drawing multi-sectoral patterns and linkages to better understand the inter-sectoral effects and ramifications
- Drawing lessons from experience to continuously improve the relevance, effectiveness, efficiency, impact and sustainability of work

Participatory Monitoring and Evaluation: is a process through which stakeholders at various levels engage in monitoring or evaluating a particular project, programme or policy, share control over the content, the process and the results of the monitoring and evaluation activity, and engage in taking or identifying corrective actions. Participatory monitoring and evaluation focuses on the active engagement of primary stakeholders (World Bank).

The Need for M&E in the Context of Recovery

- Multiple sectors, players, approaches are all intertwined to facilitate the common goal of recovery
- Crucial requirement of regular, relevant information for:
  - · Effective and timely decision making, timely programme adjustments
  - · Ensuring the progress and effectiveness of the programme/project/activity
  - · Ensuring synergy by keeping all actors informed
- Promotes transparency and accountability among all stakeholders (the affected communities, the public, the donors, the implementers, etc)
- Promotes learning and sharing

DEVELOPING AN M&E SYSTEM

1. M&E is intrinsically linked with the Recovery Policy and Framework and should be incorporated/integrated right from the Planning stage

2. Need for data and information starts right from the early post-disaster days when data is required on humanitarian needs. Following this will be Damage and Loss Assessments (DALA) and the Post-disaster Needs Assessments (PDNA).

3. All of the above feed into the planning of the Recovery and Reconstruction Policy, strategies and framework of action.

4. Most planning tools, especially in the development sector, like the Logical Framework Analysis (LFA), Goal Oriented Project Planning (GOPP), etc. have M&E built into the framework. For example, there are columns for:
- Specifying outputs, outcomes and impacts envisaged.
- Pre-set spaces for specifying indicators (physical/financial/qualitative).
- Indicators are also required to be SMART (specific, Measurable, Achievable, Relevant and Time bound). These indicators cannot/ should not be developed unilaterally but must be created with the total accordance of the main stakeholders in the particular activity/programme.
- SMART indicators must be developed for inputs, activities, outputs, and outcomes. Although it is difficult to find quantitative indicators for outcomes and processes, appropriate surrogate/proxy indicators will have to be applied.
- The last related column is for Means of Verification (MoV) which specifies the source that can validate the claim (minutes book, official records, receipts etc).

5. The additional information the M&E developers would require is:
- who should collect recovery information: e.g government/player responsible for the activity/ Participatory
- when should it be collected: daily/weekly/monthly/quarterly/bi-annually/annually
- how should it be collected, stored, analysed and disseminated: e.g. structured format/ unstructured narrative format/FGDs, questionnaire/survey/key resource person interviews

6. The next step is a stakeholder analysis to identify information requirements and periodicity of collection and reporting.

7. Once the data sources, data collection requirements, information requirements and their periodicity is finalised, M&E developers will have a better idea of the quantum of data that needs to be collected, stored, analysed and disseminated.

8. Based on this, M&E developers can plan an M&E framework based on five basic questions:
- What is to be monitored?
- Who is to monitor it?
- How is it to be monitored?
- When is it to be monitored?
- How is the data to be collated, updated, analysed, and disseminated?

9. M&E is mainly designed to answer certain key questions like:
- Is the project being completed on time?
- Is the project within budget?
- Are the outputs meeting specified standards?
- Is propriety and integrity of the project being maintained

Hence, it is essential that there are necessary indicators to satisfactorily answer these questions.

10. Awareness Creation and Capacity Building on the M&E framework: this will promote effective utilisation of data for planning.

PROJECT PLANNING MATRIX IN LOGICAL FRAMEWORK APPROACH
(WITH SAMPLE FROM 1999 ARMENIA EARTHQUAKE, WB, 2010)

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Overall goal of the project impact objective to which activity will contribute recovery of nation from disaster and contribution to larger development goals	"Is progress being made towards the goal?"	Sources of M&E data: National monitoring data National census Household surveys (existing or new) National accounts Reconstruction programme evaluation	
Project purpose: More specific outcomes to be achieved by the activity Normalise economic and social activities through the restoration of essential housing and basic infrastructure	"Have the activity outcomes been achieved?" Measured in terms of quantity, quality, and time · Increase in the amount of new and repaired housing meeting seismic codes · Number of families relocated from temporary s shelters · Lower unemployment in the project area · Number of reconstruction and micro-zoning plans implemented in the project areas	Sources of M&E data: Reliable sources of social and economic indicators Data collection by third parties may be advisable	Factors outside the activity management's control that may affect the activity objectives to goal link
Results/Outputs (of the former year(s) if the project is ongoing) products and services delivered Build or repair houses and public and social infrastructure	Unit schools unit churches Other public buildings	Output data from project monitoring system Community surveys Data from project financial system Project indicators from monitoring/tracking system	Factors outside the project management's control that may affect the output to activity objective link
Expected Outputs (of this year activities)			
Activities/tasks that have to be completed to deliver the planned outputs			Factors outside the activity management's control that may affect the tasks/ activities to output link
1. Housing	Inputs		
2. Social Infrastructure			
3. Disaster Management			
4. Social Capital			Preconditions

PRINCIPLES OF INFORMATION MANAGEMENT IN EMERGENCIES

Accessibility	Verifiability	Humanity
Inclusiveness	Relevance	Timeliness
Accountability	Objectivity	Sustainability
Interoperability	Neutrality	Confidentiality

SPECIAL CONSIDERATIONS IN DEVELOPING M&E
(GFDRR)

1. Anticipating Environmental Impacts

- It is conceivable that, with the large scale recovery and reconstruction that is being planned in the aftermath of a disaster, there may be a negative impact on the environment e.g. of clearing forest land for habitation, setting up of commercial/industrial enterprises in habitats rich in rare flora/fauna, etc.
- The Monitoring Framework should anticipate such negative impacts and initiate active tracking and monitoring to ensure such activities are contained or stopped.
- One way of being sensitive to such eventualities right from the planning process is to ensure an Environmental Impact Assessment for interventions.
- The possibilities of non-compliance can then be monitored and corrective action taken well before the impact on the environment is irreversible.

2. Ensuring appropriate indicators that ensure compliance with gender-sensitivity, inclusion, supporting people with special needs etc.

- In a situation of urgency and/or scarcity, there is always the possibility of applying a universal philosophy of "for the larger good" i.e. what benefits a larger number of people in a shorter period of time or resources.
- The voices of the people with special needs e.g. women, especially single woman headed households, the elderly and the differently-abled get muted in the noise and confusion, post-disaster, and may be unheard. Their lack of mobility and access further distances them from the recovery and reconstruction activities.
- The base line figures of the state/district/village may or may not be able to articulate their needs/details, making them even more invisible.
- The M&E Framework, by strategically placing indicators in relevant activities, can ensure that special attention is being paid to such groups.
- In the absence of secondary data, the M&E framework can even additionally help identify people with special needs in affected areas. This information can be accessed through participatory approaches involving the local governance structures as well as the local people.

LEVELS OF M&E

- Based on the Stakeholder Analysis for understanding their information requirements, M&E systems can be planned at various national, sectoral, programmatic and household levels.
- Progress tracking is the most common requirement across all stakeholders and programmes. However, process tracking and periodic evaluations that track qualitative indicators are also essential to support a results-based management approach.

Measuring Recovery: TRIAMS

The concept for a Tsunami Recovery Impact Assessment and Monitoring System (TRIAMS) was discussed and endorsed by the Global Consortium for Tsunami-Affected Countries at meetings in June and September 2005. The process was taken forward by the World Health Organization (WHO) and the International Federation of Red Cross and Red Crescent Societies, with the support of the United Nations Office of the Special Envoy for Tsunami Recovery (OSE), led by former US President Bill Clinton.

The purpose of the Tsunami Recovery Impact Assessment and Monitoring System (TRIAMS) initiative has been to assist governments, aid agencies and affected populations in assessing and monitoring the rate and direction of recovery over the recovery phase. TRIAMS represented an important breakthrough by proposing one framework of core indicators through which to monitor progress and assess impacts across different countries and locales. The framework looks not just at infrastructure, but also social services, livelihoods and vital needs remaining from the relief phase.

The core components of the TRIAMS process included: output and impact indicators across the primary sectors of recovery; both quantitative and qualitative data on beneficiary perspectives; and additional qualitative data to help explain findings of key output and outcome indicators. The overall aim of the TRIAMS process was to ensure that governments, donors, NGOs, civil society, and other stakeholders were adequately informed on the progress of recovery efforts in the tsunami-affected areas, so that adjustments could be made to the assistance programmes in order to address unmet needs and existing inequalities.

All four countries (Indonesia, Sri Lanka, Maldives, India) have made great strides in collecting and analysing data using the TRIAMS framework. In Aceh, for example, BRR and UNORC have jointly produced three comprehensive Tsunami Recovery Indicator Package (TRIP) reports, using TRIAMS as the roadmap. The reports, make specific use of available government census, survey, sectoral data and data from other development partners, rather than undertaking entirely new and time-consuming assessments. The methodology aids expediency, and enhances local ownership of the data and the assessment process.

A database has also been created that contains over 700 indicators. Entitled Acehinfo 3.0, the database now provides local government with a fundamental set of baseline information for planners and policy makers, and enables GIS maps to be produced using appropriate software.

An additional step forward has been to draw attention to whether recovery interventions are addressing pre-existing inequalities (or exacerbating them) by looking at more disaggregated, sub-district data. In practice, this has proven challenging, as administrative data compilation mechanisms may be weaker than required, even in education and health sectors.

In retrospect, it is clear that TRIAMS and other information tools and methods provided significant value from the outset of the recovery process.

SOURCE: TGLL Project, 2009

Use of Technology

- There have been far reaching strides in technology that can help in data collection and analysis. Remote sensing is a very useful tool for not only tracking the onset and path of cyclones, droughts etc. but also for assessing water availability, land use patterns, coastal erosion etc. Where older data is available, historic perspectives can also be taken into account for better analysis.
- There are many ICT tools that can be used for monitoring, both proprietary as well as open source.
- Video conferencing has not only created a revolution of sorts in the education and health sector but also helped in making monitoring much easier than ever before in terms of cost as well as effort.

Key factors for the success of M&E

- As M&E has implications on the planning and conduct of the recovery and reconstruction process, it is crucial that the lead and ownership rests with the government.
- The lead disaster agency, in consultation with the other agencies involved in reconstruction, should decide on the M&E Framework.
- The agencies involved in reconstruction should also jointly define the protocols for collection, consolidation and dissemination of information.
- The periodic review and analysis of the information collected should also be done jointly with the relevant agencies involved in recovery and reconstruction.
- In the absence of governmental support/ participation, the lead agency in Recovery and Reconstruction should take on these responsibilities.

Construction Quality Monitoring in Tamil Nadu

The Government of Tamil Nadu (GoTN) brought out guidelines for construction of disaster-resilient construction within weeks of the tsunami in Dec. 2004. A Shelter Support Group (SSG) was constituted in Nagapattinam which visited all shelter reconstruction sites on a monthly basis. This SSG would assess the constructions not only in terms of quality but also compliance with guidelines. Wherever required, the site supervisors were given advice and support to change practices, if found necessary.

A team of experts was constituted at the district level, called the Shelter Advisory Group (SAG), which was chaired by the District Collector. The SSG presented their findings from the field to the SAG as well as to the NGOs in reconstruction, in a meeting arranged at the end of each field visit. Photographs from each site were also shown during the meeting thereby giving the SAG and the other NGOs a chance to learn and share experiences. The SAG then spent time in recommending corrective measures for any potential risks identified, answered questions from the NGOs on their site observations and gave feedback on the process.

As this was done regularly under the leadership of the District Collector, and in a very supportive atmosphere with no finger pointing accusations, this system of monitoring gained immense support and was very effective.

SOURCE: NGO Coordination and Resource Centre

KEY CONSTRAINTS IN SETTING UP POST-DISASTER M&E

1. Availability of base data is a constraint, especially when trying to assess outcomes. It is essential that such information is sourced or collected from the field at the earliest, as part of M&E interventions.
2. Cost of data/information collection, storage and analysis vis-à-vis the benefits accruing from that information. Also needed is a good pragmatic approach and understanding of information that is essential, desirable and that only for archival purposes.
3. Time and effort required for the collection, collation and analysis of the data should be kept in mind when deciding on periodicity. For example, format based structured data collection can be automated, will not be expensive to collect and can be done regularly. Qualitative information requiring FGDs and KRP interviews will be more time and effort intensive and so should be planned only when essential.
4. Data Management: In most post-disaster cases, power supply may be erratic and connectivity may take a long time to get restored if the communication towers are down. Data transfer in the early stages of disaster response may have to be planned as a manual activity or through HAM radios. HAM, though seen as a viable alternative, is not feasible for scaling-up to have substantial mass as there were very few certified/licensed HAM Operators.
5. Lack of local skilled human resources to assist in monitoring: In most cases, the local human resources may have been affected in the disaster and may not be able to contribute to the process.
6. Lack of Compatibility of systems followed by the various agencies. This has to be addressed early in the day and aligned.

UNDERTAKING EVALUATION

- Evaluations are generally done to assess if the programme/project has achieved the outcomes and impacts as envisaged in the Recovery Framework.
- Monitoring mechanisms and results feed into evaluation but it is not enough.
- Evaluations use multiple data sources and this is generally substantiated through discussions, observations and assessments that look at the larger impact rather than just physical achievements.
- Even if progress on shelter reconstruction confirms that the number of houses built was in tune with the set targets, still does not validate the question on whether the communities who have been relocated have managed to stabilise or improve on their quality of life or even well being.

Another example would be the construction of sanitation facilities not being a true indicator of the change in practices from open air defecation to the hygienic practice of using the toilets. This

has been true of most sanitation facilities constructed sites along coastal areas. The reasons for non-utilisation of this facilities range from a very obvious reason (e.g. lack of enough water, very high charges for the cleaning of the septic tank, or lack of people to clean the septic tanks) to less obvious social reasons (e.g. not liking the idea of defecating within the house/close to the kitchen, prayer room).

- Hence, where outputs are satisfactory, outcomes may be far less satisfactory, and interventions may have to take place in order to change their IEC for promoting safe sanitation practices.

PLANNING AN EVALUATION

Who

- While it is crucial that the government leads the exercise and owns it, it may not have much expertise in evaluation.
- It is crucial that it be led by people with the necessary expertise. The development partners, who have the expertise, can be involved in training the local resource persons or can even out-source the exercise.
- The actual exercise in process monitoring can be carried out by the local field staff after due training and a common pilot. However, the outcome assessment and impact assessment requires expertise and a neutral approach and are done by outsiders.
- Even if done by external actors, it can be richer in content if it is done in a participatory manner. The involvement of the local affected communities will not only add value to the process of assessments but will also be empowering, helping them understand the longer term implications of what the project/programme is attempting to accomplish.

For whom

- The requirements of different stakeholders will have to be taken into consideration.
- If it is a programme partner, then they may require it for reporting and planning. If it is the government then they may require it for assessing their own work plan, budget, etc
- If it is a donor then they may require it to see how effective the programme has been.
- There are generic models that can be adapted to suit local requirements. The advantages with consulting generic models are that it acts as a checklist and ensures that none of the key issues are overlooked.
- Hence, it is essential that, at the very outset itself, the specific requirement of stakeholder planning for the evaluation is taken into account.

Selection of Indicators

- The appropriate indicators can be developed through consultations with the communities.
- The indicators are also to be discussed and finalised jointly by all stakeholders as the means of collection may influence the result.
- Some data collection methods: (IFRC, 2007)
- The tools can be mixed, adapted and changed to suit the aspects, target groups and areas to be studied.
- However, key elements in tools should have commonality so that comparisons are possible.

Method	Definition and Use	Strengths	Weaknesses
Case studies	Collecting information that results in a story that can be descriptive or explanatory and can serve to answer the questions of what and how	· Can deal with a variety of evidence from documents, interviews, and observation. · Can add explanatory power when focus is on institutions, processes, programmes, decisions, and events	· Good case studies difficult to conduct · Require specialised research and writing skills to be rigorous · Findings cannot be generalised to the entire population · Time consuming and difficult to replicate
Focus groups	Holding focused discussions with members of target population who are familiar with pertinent issues before writing a set of structured questions. The purpose is to compare the beneficiaries' perspectives with generalised concepts in the evaluation's objectives	· Similar advantages to interviews (below) · Particularly useful where participant interaction is desired · A useful way of identifying hierarchical influences	· Can be expensive and time consuming · Must be sensitive to mixing of hierarchical levels · Not generalisable
Interviews	The interviewer asks questions of one or more persons and records the respondents' answers. Interviews may be formal or informal, face-to-face or by telephone, and closed or open-ended	· People and institutions can explain their experiences in their own words and setting · Flexible to allow the interviewer to pursue unanticipated lines of inquiry and to probe into issues in depth · Particularly useful where language difficulties are anticipated	· Time consuming · Can be expensive · If not done properly, the interviewer can influence the interviewee's response
Observation	Observing and recording situation in a log or diary. This includes who is involved; what happens; and when, where, and how events occur. Observation can be direct (observer watches and records) or participatory (the observer becomes part of the setting for a period of time)	· Provides descriptive information on context and observed changes	· Quality and usefulness of data highly dependent on the observer's observational and writing skills · Findings can be open to interpretation · Does not easily apply within a short time frame to process change
Written document	Reviewing documents such as records, administrative databases, training materials, and correspondence	· Can identify issues to investigate further and provide evidence of action, change, and impact to support respondents' perceptions	· Can be time consuming

SOURCE: Red Cross and Red Crescent Monitoring and Evaluation in a Nutshell, 2007

Key Considerations during an evaluation:

- A clear understanding of who the stakeholders are.
- What is to be evaluated?
- What are the kinds of information that would inform programming?
- Who will be reading/ using the evaluation and what would they like to know?
- What is the budget available, as this will influence evaluation tools and methodology?
- When should the evaluation be conducted?
- Who will be leading it?
- What will be the indicators used?
- How will the learnings be disseminated?

Monitoring arrangements can be nested within the focal agency and administered by it. Information collection mechanisms may be established through the nodal agency's own field based institutions or administered in collabouration with different players who are implementing the programmes to be monitored and evaluated. This function can also be out-sourced to a professional agency that uses its own mechanisms to collect field based information.

Format of an Evaluation Report:

- Title Page
- Table of Contents
- Executive Summary
- Background Information on the Project Evaluated
- Purpose of the Evaluation
- Methodology
- Results of the Evaluation
- Conclusion
  - · The results of the evaluation will need to be validated/triangulated with other data, secondary information, and reports that have led to the conclusion.
- Recommendations
  - · It is best that this is done through a participatory method with relevant stakeholders, field staff and communities before finalising.
- The Way Forward
- Appendices

Characteristics of a good Evaluation Report (UNEG, 2005)

- Well structured and complete
- Describes what is being evaluated and why
- Identifies questions of concern to users
- Explain the steps and procedures used to answer those questions
- Presents findings supported by credible evidence in response to questions of concern
- Acknowledges limitations
- Draw conclusions about findings based on the evidence
- Proposes concrete and usable recommendations derived from conclusions
- Is written with the report user in mind, and how they will use the evaluation in mind

Dissemination of the Evaluation Report

Just like Monitoring Reports, the Evaluation Report is a knowledge product, which must be disseminated for better understanding of the project.

The tools for dissemination will depend upon who is going to use the knowledge and who is going to benefit it. The Report, in part or full, can be disseminated to various players in forms best suited to their requirements.

The Report can be:

- Distributed as copies for reference
- Presented in a workshop or seminar held with all players
- Made available in the public domain
- Made into brief reports and sent to platforms that specialise in the particular subject

REPORTING AND INFORMATION DISSEMINATION

1. Identifying the Target Audience and its needs
   - · Identify all stakeholders at all levels- national, state, district, affected areas.
   - · Consultation process to identify information requirements.
   - · This can also be determined through earlier exercises where information on beneficiary needs was collected to develop the indicators to be monitored.

2. Determining the types of information products that would suit their needs
   - · Consultative process to standardise and finalise indicators.
   - · For example, those involved in reconstruction may prefer information only on the final number of constructed houses, while others may require information at different stages of construction, like completion of the foundation, roof level etc.
   - · Care should be taken to ensure that information requirements are in keeping with the data already collected.
   - · Otherwise, go back to the data collection formats to include additional information requirements.

3. Defining reporting time and schedule
   - · How often? Weekly, monthly, quarterly, semi-annual, annual?
   - · This reporting period also changes with time and the activity. Short duration activities will require a more frequent reporting period.
   - · The longer the intervals between reporting periods, the less useful the information is for planning or taking corrective action. Conversely, the more frequent the reporting periods, the less they are read or utilised.
   - · Deciding on the appropriate timing for reporting is crucial.

4. Designing Information Products
   · Based on the requirements and the outputs agreed upon, the reporting template needs to be designed.
   · The Report should be crisp, clear, unambiguous, consistent.
   · The format style should be designed based on the lead question, "for what is this report going to be used"?
   · It can be narrative, a brief, tabular with just the numbers, or tabular and analytical with graphs, percentages and trends.

5. Determining efficient forms of dissemination
   · Dissemination of monitoring information needs to be done on a regular basis.
   · The style of dissemination should be consistent for each information product for purposes of comparison.
   · Segregation of the stakeholders based on their requirements and periodicity is important.
   · Taking into consideration the time involved, the costs, the technologies available and the types of information required, one can decide who should get what, when and how.
   · The different forms of dissemination strategies used are:
   · Periodic Review Meetings.
   · Periodic Reports in the public domain (website). Care should be taken to use language(s) that can be understood by all, from the affected communities to the international donors.
   · Weekly/Monthly Reports to the actual implementers and Government.
   · Annual Reports
   · Briefs, Newsletters
   · Conferences/Workshops

6. Using ICT
   · In the interest of saving time, costs and effort, ICT tools should be used wherever possible. Websites with interactive pages are a good way of communicating progress to stakeholders.
   · Use of same base data to generate different types of information to meet various needs through a "drilling-down" style, where only those who need more details need to spend time drilling down for detailed information, can be very effective.
   · ICT can also be used for video- conferencing, which can be a less expensive substitute for in-person review meetings.

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SESSION 9

COMMUNICATION AND COORDINATION IN R&R

DESCRIPTION	The session focuses on how coordination and communication can make significant impact on the progress, credibility and trustworthiness of the R&R programme.
LEARNING OBJECTIVES	At the end of the session, the participants are able to: 1. Discuss elements of effective coordination by sharing of and reflecting on national and international practice. 2. Discuss elements of good communication and considerations in developing a communication plan. 3. Design a coordination mechanism for disaster case-scenario R&R. 4. Develop an R&R communication plan.
SESSION KEY POINTS	1. Coordination is the key to effectively mobilising the strengths and resources brought in by multiple players in R&R , at central and field levels. 2. Coordination should start in the planning stage, leveraging existing coordination mechanisms or setting up new mechanisms as required. 3. Communication in R&R requires appropriate and systematic planning. 4. Communication in R&R should be inclusive, especially of the affected community.
METHOD	· Group Activity: Coordination – Effective or Problematic · Group Work 1: Designing Appropriate Coordination Mechanism · Group Work 2: Developing R&R Communication Plan · Interactive Lecture
MATERIALS NEEDED	*PowerPoint* presentation
DURATION	3 hours

PROCESS

1. Group Activity 1: Coordination – Effective or Problematic? (30 minutes)

Give a choice to participants as to whether they want to remain in their case scenario groups or if they want to form new groups for the activity.

Ask the groups to reflect on effective and ineffective coordination in R&R from national and international cases.

Instruct the participants to act out a scene of either effective or ineffective coordination. After all the groups have presented, the other groups will guess what was depicted.

2. Ask the group: "Were there examples of effective coordination that were shared in your group" ? Facilitate a sharing of the cases, including those of problematic coordination.

3. Interactive lecture (30 minutes). Link what has been shared and the topic of the session to what was taken up in the session on Institutional Mechanisms. Although there should be one main coordinating agency responsible for overall achievement of R&R goals and programme, coordination takes place at various levels.

4. Elaborate on the various types of coordination happening during large-scale R&R – horizontal (sectoral), vertical (central to local); with and within government ministries; with UN agencies, regional agencies, donors, the IFRC and humanitarian organisations; NGOs and CBOs, etc. Illustrate with examples of coordination mechanisms used particularly for the 2004 Indian Ocean tsunami and Cyclone Nargis in Myanmar.

Discuss the cluster approach implemented by UN Agencies which has been adopted by countries and regional coordination mechanism, like AADMER among ASEAN countries.

Highlight coordination with the private sector, civil society organisations and CBOs. Include NGO coordination mechanisms.

5. Stress that a strategic approach to coordination should be considered in DRM plans, R&R planning and policy documents. The country (state), province or district should include the overall coordination mechanism and specific protocols in its pre-disaster recovery planning framework. These can then guide actual R&R operations in post-disaster event.

6. Group Work: Designing Appropriate Coordination Mechanisms (45 minutes).

Step 1: Reconvene the work groups to revisit their R&R Framework and review the organisational set-up and organisational structure which they developed, the actors and stakeholders involved in sectoral activities, and the resource mobilisation plan.

Step 2: Divide various actors and stakeholders into levels: international, national, state, regional, provincial, district, village,.

Step 3: Identify the overall lead agency and if possible, the sectoral lead agencies for 2-3 sectors covered.

Step 4: Develop a Coordination Mechanism that integrates all the actors and stakeholders, inter and intra-levels.

Step 5: Draw the overall Coordination Structure with different Groupings and Sub-groupings. Specify the roles and responsibilities of the main groups and sub-groups.

Step 6: Have the groups present their respective coordination mechanisms and structures.

Step 7: Facilitate a discussion of the presentations and summarise the group work. Ask the participants about their "take aways" on coordination. Highlight the following items:

· Coordination is the key to effectively mobilise the strengths brought in by the multiple players in R&R at the central as well as field levels.
· Coordination should be an inherent part of the recovery and reconstruction framework.

7. Interactive lecture (30 minutes).

Link the group activity to the need for continuous communication throughout the R&R phase – a process of dialogue to understand the context and influences of stakeholders involved. This can lead to developing messages that respond to concerns.

8. Discuss the elements of good communication and the steps involved in developing a communication plan, providing examples of applications in large-scale R&R.

9. Group Work 2: Developing R&R Communication Plan (45 min).

Reconvene the work groups and provide the following instructions:

Step 1: Identify the Lead Agency for Communication

Step 2: Identify stakeholders at various levels. Ensure that groups who may be negatively impacted by the implementation of the R&R Programme are included.

Step 3: Identify Stakeholders requiring the following types of information:
a. R&R status, progress and plans.
b. Information to allay fears and suspicions.
c. Information about entitlements, eligibility and process to avail themselves of entitlements.
d. Information to promote behavioural change.

Step 4: Identify the types of information/communication required.

Step 5: Ensure that information requirements can be met through the M&E system formulated in the last session.

Step 6: Consider the changes expected through this information/communication and develop indicators to assess change.

Step 7: Ensure that the Communication Impact Assessment is incorporated in the M&E system. Take the time to include this.

Step 8: Design your Communication Strategy to consolidate Steps 1 to 5.

Step 9: Presentation and discussion of the group work outputs

10. Summarise points from the group work. Note with the participants that:

· Communication should be a part of R&R from the beginning through programme implementation to completion.
· Communication should be inclusive, reaching out to, as well as soliciting feedback from, the affected community.

Answer questions and go over the key points on coordination and communication covered in the session.

REFERENCES FOR FACILITATOR

1. Coordination and Communication
2. Session 9 *PowerPoint* Presentation
3. Chapter 5 of the *Handbook for Disaster Recovery Practitioners*

COMMUNICATION AND COORDINATION IN R&R

Post-disaster situations are chaotic, with a plethora of humanitarian actions that have to be taken immediately. The sheer complexity of the required responses, be it during the immediate relief phase or the recovery and reconstruction phase, makes it impossible for any single agency to manage on their own, whatever their strengths or capacities.

During such catastrophic occasions, responses involve many actors and areas both physical and sectoral. Effective coordination of multi-actor, multi-sector responses can better facilitate a successful and time-bound recovery intervention.

Coordination is bringing together actors for a coherent response that ensures predictability, accountability and partnerships. Coordination leads to synergies between the various actors as well as sectors of R&R and helps avoid overlap and competition.

Coordination helps in:
- Clear delineation of roles and responsibilities
- Minimising risks of duplications, overlaps or exclusions
- Promoting synergy
- Effective and optimum utilisation of resources
- Surge management
- Smooth information flow for the effective management of all of the above

Lead for Coordination

The lead agency for coordination of R&R activities is best placed within the government of the affected state/country. However, there are many coordination networks in operation and each will have their own designated lead. For example, UN-Habitat would be the designated lead for reconstruction efforts in the UN network for R&R . In Indonesia, BRR was designated as the lead, in Tamil Nadu, India the TERP was designated as the lead. In the latter two cases, the lead agencies were constituted by the government.

Tripartite Core Group, Myanmar

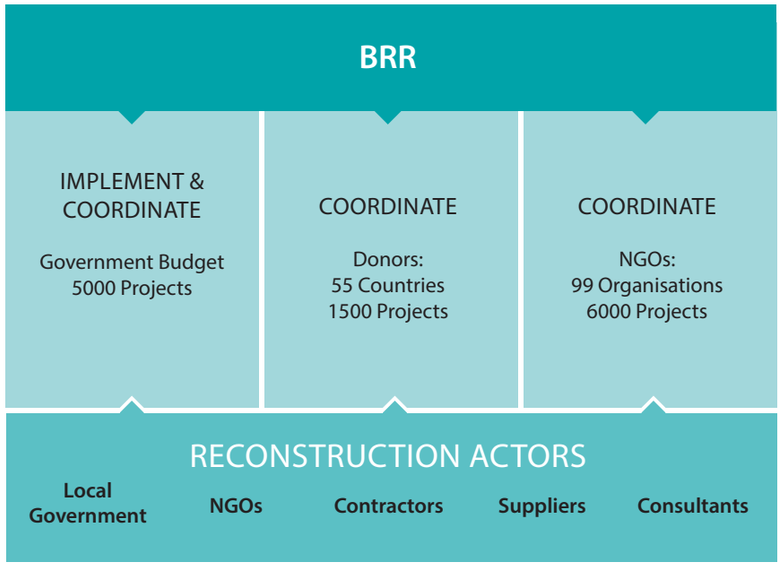
The Tripartite Core Group (TCG) comprised of nine representatives from the government, ASEAN, and the United Nations, and was set up as a body for coordinating, facilitating and monitoring the flow of international assistance to Myanmar. Its tasks continued into the recovery phase for:
1. Strategic and operational coordination; and
2. Aid funding coordination and tracking.

TYPES OF COORDINATION

There is horizontal coordination and vertical coordination. In cases where the government designates the country level agency as the lead, horizontal coordination will be between the Lead Agency and the rest of the line departments/ministries, as well as other recovery networks and institutions including NGOs, CBOs etc. Vertical coordination will be between the Lead Agency and district/village level governance mechanisms and players. This types of coordination can be formed through a formal partnering arrangement or an informal networking arrangement with a common goal and purpose.

Horizontal coordination will deal more with strategic planning and approaches, while vertical coordination will deal more with implementation. It is essential to have coordinating mechanisms at each of these levels for uninterrupted outward and downward flow of information. This can also be viewed in terms of macro-, meso- and microlevel coordination where the requirements for coordination may vary according to inter- and intra-levels.

BRR in Indonesia was responsible for coordination of numerous bodies and organisations:



Around 12,500 implemented projects per year

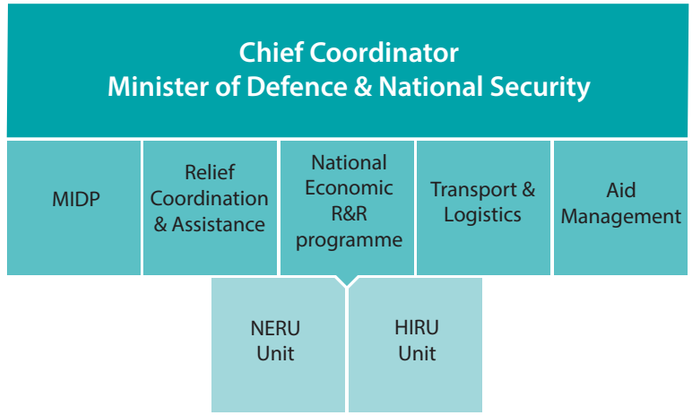
SOURCE: BRR

WHEN SHOULD COORDINATION BE SET UP?

If there are any pre-existing coordination mechanisms, it is better to build upon them, as their systems and standard operating procedures will already be in place. Most governments will have some form of coordination mechanisms in place for disasters that are frequent but of low magnitude. However, in most cases, these coordination mechanisms will only be built around government line departments or ministries because they are the only permanent bodies that have a mandate for the protection of their constituencies. This system can be studied and strengthened.

Alternatively, if the scope of the disaster calls for a larger level of coordination, a new coordinating mechanism should be set up. For example, the NGO Coordination and Resource Centre (NCRC) in Nagapattinam was a coordinating platform set up by two long standing NGOs, South Indian Federation of Fishermen Societies (SIFFS) and SNEHA, and pro-actively partnered with the District Collector and the State Administration. This platform was used extensively to coordinate logistics and approaches during the post-tsunami R&R in Tamil Nadu.

Example from the Maledives:



The National Disaster Management Centre in the Maldives set up three units for recovery and reconstruction, each of them under separate ministries: the National Economy Recovery Unit (NERU) under the Ministry of Finance and Treasury; the Housing and Infrastructure Redevelopment Unit (HIRU) under the Ministry of Planning and National Development; and the Management of Internally Displaced Persons (MIDP) under the Ministry of Defense and National Security.

STRATEGIC APPROACH TO COORDINATION

The strategic approach to coordination can be partly assessed by how well it has been incorporated into the Recovery or DRR Master Plan of countries like Indonesia, Japan, India and the USA. This not only reaffirms its importance to the country, but also details the means of coordination between central and regional bodies, departments, ministries and institutions. NDMA, India has released Technical Guidelines that detail coordination modalities with NGOs and other civil society organisations. This pre-defining is crucial as each actor is then prepared for playing their role in the eventuality of a disaster without any lead time being wasted.

The BRR set up a Global Consortium for coordinating with international agencies. A Multi-Donor Fund was also set up to receive and channel all the funding through a common unit.

Reaching the "difficult to reach" people through coordination is a challenge that needs to be recognised and detailed as a priority. Civil society organisations working with people with disabilities, the elderly, single women-headed households, and with the socio-culturally marginalised, should be identified and brought into the fold to ensure inclusion.

Key Prerequisites for Successful Coordination

- The Lead Agency to have the mandate and freedom to engage with, negotiate and firm up formal/informal arrangements with other actors
- A holistic framework in place
- All players are aware and agreeable to complying with the framework in place
- Transparent, timely and free flow of information
- Regular dialogues/reviews
- Accountability, mutual trust and attitude of sharing

Strategic and Operational Advantages in Coordination:

1. Holistic approach
2. Spatial and role clarity
3. Multi-sectoral expertise and experience
4. Surge management
5. Efficient channels and utilisation of resources
6. Reaching the unreached
7. Enhanced linkages with the primary constituencies
8. Accountability
9. Peer reviews
10. Meaningful synchronisation of activities
11. Alternate channels available to take up the gap

Risks in Coordination

1. Non-synchronisation of activities – clash of priorities
2. Conflicting agendas
3. Funding falling short of initial assurances
4. Lack of flexibility
5. Turnover of staff – promises made may change
6. Failure of one is seen as failure of all – system failure diminishing the trust factor

COMMUNICATION IN RECOVERY & RECONSTRUCTION

Communication, information transfer and exchange, is extremely important in post-emergency situations. The first few days after a disaster occurs is witness to multiple activities happening at record speed – ranging from search and rescue to moving people away to relief camps and setting up the logistics for smooth management of the camps. The obviously frenzied pace of activities slows down by the end of the first two weeks and then assessments and planning begin, which are not highly visible activities. This usually brings in a sense of unease and concern among the public and media, and there are misconceptions about the level of interest among policy makers in dealing with the remaining works.

There are a variety of players interested to get about the latest updates on the situation. These could be donors, policy makers, implementers or other governments who would be ready to step in to help if the situation warranted it.

Hence, the communication requirements are multifarious and should be handled adeptly to cater to the diverse requirements of all information seekers.

Good communication:

- Informs
- Motivates and reassures
- Builds faith in the programme and the people
- Promotes transparency
- Fosters collective ownership and responsibility
- Provides space for wider dialogue
- Promotes behavioural change

KEY ELEMENTS OF COMMUNICATION: THE COMMUNICATION PLAN

1. Who: Information provider
2. To whom: Audience
3. What: Message
4. When: Periodicity – regular, one-off, etc.
5. How: Medium/Channel
6. Why: For what purpose

Communication Strategy and Plan: Rather than wait for the demands for information, it is better that the R&R programme designs a communication strategy and plan to ensure a smooth and regular flow of information. This strategy and plan should be developed based on a consultative process so that the actual needs are understood and the best way to cater to those needs is agreed upon.

Who should provide the information: In order to minimise a multiplicity of information and reduce chances of conflicting information, there should be a single window system for the delivery of information, which is transparent and accountable. Usually, it is the government-sponsored information that is taken as the voice of authority by the larger public. Since information requirements are varied, it is helpful to have a special communications unit be supported by external experts.

To whom: The audience can be varied and the awareness of stratification of it's the audience can help design better communiqués and decide upon channels of communication, e.g. communication in the vernacular for affected local people.

WHAT INFORMATION

A Communications Based Assessment (CBA) has to be carried out to understand the requirements of various audiences for example:

- Even among the affected communities, some may be interested in knowing about their eligibility for new houses whereas some others may be concerned about education facilities (Pakistan Earthquake Reconstruction & Rehabilitation Agency).
- The general public would like to know the progress made, the strategies/approaches planned, and risk reduction measures being taken to prevent a recurrence, etc.
- The external world which has not been affected may just want to get a more general idea about what is happening in response to the disaster.

Understanding audiences needs and responding correctly will go a long way in building up trust between the various players. In the UN Handbook on Communications in Crisis, one of the tips says very simply, "return all telephone calls very politely and respond or direct them to whosoever can respond to the query".

However, there should be a Communications Protocol which specifies who the spokesperson(s) will be and what the messages they should communicate are. This helps in reducing mixed messages.

It is often recommended that the communicated information should be:
- Crisp
- Unambiguous
- Factual
- Current

And not:
- Emotive
- Panic creating
- Employing vague generalisations

PURPOSE

Knowing the purpose for which the communication is required, will help determine the timing, means and channels of dissemination. If it is required by the community for understanding their entitlements and knowing how to access them, the information will have to be in the vernacular and through a combination of one-way and two-way channels. There can be flyers describing the overall rules of entitlement, the eligibility criteria etc. i.e. a one-way communication, but the adequacy, appropriateness and issues related to accessing the entitlements will become clear only through a two-way communication channel.

However, the general public may only require a periodic report through newspapers or articles detailing the progress and approaches.

PERIODICITY

Periodicity will differ based on the type of information required and on context. This should be clarified through the CBA and finalised through participatory consultations.

Information on progress can be communicated via a standard template and released through traditional channels like media, newsletters/communiqués to the various agencies once a day in the initial stages, and tapering to once a fortnight or month as the recovery phase begins. However, it is important to keep everyone informed about what is happening. It is better to keep the stakeholders abreast of even the planning processes rather than having no communication at all until reconstruction starts.

CHANNELS AND MEDIUM OF COMMUNICATION

The CBA will indicate the most acceptable channels of communication for the different strata. With the advancement of technology, real time communications to even remote areas has been made possible through wireless systems, community radios, satellite-based communication etc. A combination of these can be used along with traditional systems like flyers, posters, newsletters etc. to ensure that messages are disseminated as quickly, extensively and efficiently as possible.

There are one-way and two-way communication channels. One-way communication channels are usually used for dissemination of information and do not require a dialoguing process. Two-way communications are most useful where a dialoguing process is required and helpful in getting feedback for programme management purposes.

Websites, blogs and social communication networks are emerging as quick forms of information dissemination. Tsunami2004.org was a site set up two days after the Asian tsunami, by SIFFS for Tamil Nadu and Kerala and, in the initial period, visitor rates went up to 10,000 per day. This site was instrumental in filling some of the early gaps in relief, like education material, specific clothing etc.

Peer-to-peer means of communication through village information centres is very useful. It has been observed that communities respond best to messages delivered by faces they know and trust. School teachers, traditional leaders, and health workers are all channels that can be used effectively. These are advantageous because they are two-way channels and can carry back the voices of the communities to the planners and implementers. In areas of low literacy rates, folk arts can be used successfully to convey messages. With the ubiquitous presence of visual media, this can be used very effectively for improving reach and penetration.

MONITORING OF COMMUNICATION

Results need to be monitored to see if the communications plan is delivering the results envisaged. Indicators for this will be based on the change anticipated – for instance, if the change anticipated is that more people are aware of recovery plans and approaches, the monitoring mechanism should assess the number of people who are aware of it to see if there is a perceptible rise in awareness that can be directly attributed to the communication.

Key considerations in communication

- There should be a Communication Plan prepared through a consultative process and underpinned by a Communication Based Assessment (CBA).
- The Lead Agency should designate a Communications Lead Agency, who should be supported by experts in communication.
- The Communication Lead Agency will conduct the CBA, identify the various audiences and their requirements, facilitate a communications plan and be the nodal point for all communications
- The Communications Lead Agency should be part of all discussions and planning processes to be well versed and competent enough to respond to queries and demands for information.
- All internal players, like staff of the implementing bodies and lead agencies, should be kept abreast of all internal information to avoid conflicting information through ignorance.
- Results should be monitored regularly to ensure the delivery effectiveness of the communication strategy

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SESSION 10

TRANSITION AND EXIT STRATEGY

DESCRIPTION	The session covers strategies to ensure the smooth transition of R&R to development .
LEARNING OBJECTIVES	At the end of the session, the participants are able to: 1. Recognise the importance of a smooth transition from R&R to development. 2. Discuss key considerations in transition and exit strategies in R&R. 3. Develop transition and exit strategies using disaster case scenarios.
SESSION KEY POINTS	1. A systematic plan to transition and exit should be part of the R&R framework and plan. 2. It is important to identify the successor of the interim institution managing R&R to complete unfinished components of the programme. 3. An exit strategy includes the transfer of completed and non-completed R&R programmes, all assets, as well as lessons learned. 4. Long-duration R&R projects require innovative funding support for completion during the transition phase from R&R to long-term development.
METHOD	· Group Work: Designing Transition and Exit Strategy · Interactive Lecture
MATERIALS NEEDED	*PowerPoint* presentation
DURATION	1.5 hours
PROCESS	1. Group Work: Designing Transition and Exit Strategy (60 minutes including discussion minutes) Instruct the groups to revisit their R&R Framework and accomplish the following: Step 1: Assess which of the activities/institutions could be brought to a close at the end of the recovery phase. Determine appropriate time frame. Step 2: Determine the actions to be taken for activities that require follow-on work, either due to non-completion or to a need to mainstream these activities into the larger development agenda. Step 3: Ensure that communities do not suffer in the process through discontinuity of services or a dilution of the quality of service delivery. Step 4: Identify activities that need to be done before closing down offices or programmes/ projects. Step 5: Group presentation and plenary discussion.

2. Interactive lecture (30 minutes)
Reflecting on the workshop group results, facilitate discussion on the key issues involved in transition and exit.

3. Facilitate interactive lecture covering the transition and exit of institutions engaged in R&R, using national as well international experiences.
· Timing, successor, phased exit, transition duration

4. Next, focus on the transition and completion of projects under the R&R programme which require smooth transition; on the transfer of assets, both physical and social capital; new financing mechanisms for projects still in progress.

5. Discuss assessing the impact of R&R and capturing and taking lessons learned forward. Relate the discussion to the last two sessions on M&E system, and coordination and communication.

6. Highlight opportunities created to lay a foundation for long-term disaster risk reduction. Link the discussion to Session 6 on integration of disaster risk reduction in R&R. Walk the participants through the legislation, institutional mechanisms and plans in disaster risk management which were created, strengthened or revised within the R&R phase.

7. Answer questions and ask the participants for their "take aways" from the session. Summarise and stress the following points:
- · The Exit Strategy and Plan should preferably be part of the R&R Framework and Plan. This will help in timely transitioning, including provision of funding.
- · Importance of identifying the successor well upstream during the transition to build their capacities and readiness to take over.
- · All assets and knowledge products have to be handed over to the successor, complying with legal and mandatory requirements if any.
- · Transfer of lessons goes beyond the countries actually engaged in the R&R.
- · Long-duration R&R projects require innovative funding support for completion during the transition phase from R&R to long-term development.

REFERENCES FOR FACILITATOR	1. Transition and Exit Strategy 2. Session 10 *PowerPoint* Presentation 3. Chapter 7 of the *Handbook for Disaster Recovery Practitioners*

TRANSITION AND EXIT STRATEGY

WHAT IS AN EXIT STRATEGY?

An Exit Strategy is a plan describing how the programme intends to withdraw its resources while ensuring that achievements of the programme goals (relief or development) are not jeopardised and that progress towards these goals will continue.

Goal of an Exit Strategy

The goal of an Exit Strategy is to ensure the sustainability of impacts after a programme ends. It could also be defined in a broader sense as a programme's 'sustainability strategy', which could be accomplished through staggered graduation from specific project areas, simultaneous withdrawal from the entire programme area, or transitioning to associated programming in selected areas.

WHY ARE EXIT STRATEGIES IMPORTANT?

Exit strategies, when planned with partners in advance of close-out, ensure better programme outcomes and encourage commitment to programme sustainability. An exit strategy should be designed to secure the investment that has been made in the area.

When should one plan an exit strategy?

- At the start of the programme.
- As the programme develops; every individual project should incorporate an exit strategy into its development.

Who should be involved in the process?

- All stakeholders, e.g. government, project partners, affected communities.
- Main organisations and bodies such as civil authorities or municipality departments that will continue to have a management or maintenance role.
- Those responsible for looking after individual projects when the programme is completed - these may be interim successors or local organisations.

The Aceh Government Transformation Programme (AGTP)

Aceh's Provincial Government is preparing for challenging times ahead. When the Agency for Rehabilitation and Reconstruction in Aceh and Nias (BRR) completes its mandate in April 2009, it will transfer its responsibilities and assets to the Aceh local Government. The Administration will assume responsibility for more than USD1 billion in grant money for rebuilding the Aceh Province after the devastating 2004 tsunami and 30-year conflict. It will also assume the coordination of on-going programmes funded by the international community. Expectations are high, and this is a big challenge for a province whose total budget was only USD 300 million a few years ago.

The Aceh Government Transformation Programme (AGTP) addresses the urgent need to strengthen the Provincial Government's capacity, and ensure it can efficiently assume the responsibilities, functions, resources and assets it inherits from BRR. AGTP is helping to ensure a systematic and smooth transition that will safeguard the still-fragile legacy of the billions of dollars invested by the Indonesian Government and donors. It helps instill the technical and administrative capacity at the provincial level to carry out these vitally important tasks. Overall, the programme is designed to address critical gaps. The first gap lies in the Governor of Aceh's capacity to coordinate the transition. The second gap lies in the technical capacity of the Provincial and District Government agencies to process assets and projects transferred from BRR, and to implement ongoing recovery work. The third gap is the administration's broader institutional capacity to coordinate and implement reconstruction and rehabilitation work beyond the transition.

SOURCE: UNDP Indonesia 2008

What are the main points an exit strategy should cover?

Each activity or project should be reviewed to consider what should happen to it after the programme is termed "completed".

A checklist should include:

- Who will be responsible for handling the activity?
- What is the role of the local authorities?
- Is there a local NGO or agency e.g. the municipality or a community organisation to which it should be transferred?
- How will the activity be transferred?
- Are there performance specifications to be maintained?
- How will it be funded?
- How will it be monitored?
- What will be the role of the community in managing or monitoring?
- Do successor organisations need any training?
- Which assets need to be retained and which ones can be transferred to a successor?

What are the handover processes?

The handover needs to be done formally, so that everyone is aware when it takes place and of agreed handover commitments; of which new actors are entering into handovers; and of re-commitments by existing partners which need to be acknowledged. Exit strategies, when planned and implemented correctly, can be a springboard for improved and sustainable development.

KEY ISSUES IN EXIT STRATEGIES

When developing exit strategies, there are several questions that must be considered:
- How strong is the successor/community's sense of ownership/commitment to continue programme activities?
- To what extent does the successor/community value programme activities?
- What is the level of demand for the "phased over" services?
- Are the necessary knowledge and skills needed to implement the programme activities available?
- Do the local organizations implementing the phased over activities have sufficient institutional and human resource capacity?
- Are the organisations responsible for implementing phased over programmes resilient to shocks and changes in the political and social environment?

Exit strategies should be built into the design of programmes from the beginning. This will encourage the development of interventions that are sustainable, since an exit strategy is, in essence, a 'sustainability plan'.

Exit Strategy Monitoring and Evaluation

Ongoing and timely monitoring of benchmarks is critical to the successful implementation of Exit Strategies. The monitoring of Exit Strategy benchmarks should in fact be integrated into the overall programme's monitoring and evaluation plan. This will prevent duplication of monitoring efforts and maximise use of existing data.

To determine the success of an exit strategy, an evaluation should be conducted after a period of time following the programme exit. Since funding is not usually programmed in this manner, exit strategies are rarely evaluated.

Three measures to gauge the success of an exit strategy:
1. If the programme impacts have been sustained, expanded or improved after programme end;
2. If the relevant activities are continued in the same or modified format; and
3. If the systems developed continue to function effectively.

THE CHANGING STATUS OF R&R AGENCIES

Institutions taking on additional roles: Some of the institutions set up in Tamil Nadu in the aftermath of the tsunami are still operating but with a revised mandate. The government decided to do a second round of shelter reconstruction wherein all vulnerable houses within one kilometer of the coast, or within 200 metres of a river, were being rebuilt as disaster resistant houses with the help of the World Bank. This was undertaken through the TERP (Tsunami Emergency Recovery Programme).

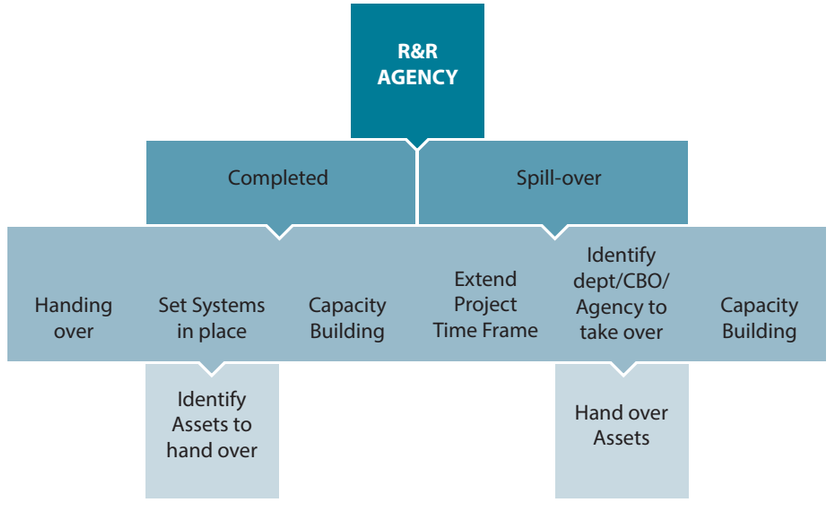
Converting an existing institution into a permanent body: This practice was followed mainly in earlier years, when disaster response was more the norm than disaster management, and there were no government institutions in place for disaster management in a planned manner. The Gujarat State Disaster Management Agency (GSDMA) and the Orissa State Disaster Management Agency (OSDMA) were institutions that were formalised and made permanent after the Gujarat earthquake and the Orissa Super Cyclone respectively.

Handing over to the line departments: This is the most common exit strategy followed where the spill-over activities are often mainstreamed into the annual work-plans of the line departments concerned.

This was followed in Indonesia, Sri Lanka and the Maldives. Indonesia went through a preparatory phase when it focused on the building of the capacity of line departments to handle and effectively utilise the infrastructure and assets created.

If the exit is planned right from the formulation of the Recovery Framework, the approaches and activities required to make it smooth can be built into the Framework itself, and funds budgeted for capacity building.

PROCESS OF EXIT OF THE INTERIM R&R AGENCY



Handing over of Completed Projects

- Projects like housing reconstruction are handed over to communities after completion. However, even in projects where the benchmarks/indicators of completion/success have been met satisfactorily and the R&R Agency can withdraw, the following criteria must be ensured:
    1. The community is ready to take responsibility for the house.
    2. Disaster risk reduction norms are complied and strategies like risk transfer mechanisms have been put in place.
    3. The communities are aware and knowledgeable about their roles and responsibilities.
- In the eventuality that a transition phase is required the Agency can withdraw all other support but oversee the community/programme until the indicators of readiness for complete transfer are met.
- A social and financial audit of the project with the results, the learning etc. is made public or presented in a workshop/seminar, in the presence of all stakeholders. This will add to the transparency and credibility of the work done.
- The transfer of all assets directly related to the project site and conducive to the sustainability of the project, along with knowledge products, may be transferred to the CBO, along with other systems set in place for the maintenance of the assets.
- Capacity building for use of assets in a meaningful manner must be done in parallel so that the assets can be sustained after the recovery phase.
- Ensure meaningful protection and transfer of knowledge through documentation, e.g. BRR in Indonesia, for example developed a series of Learning Books on various aspects of R&R in which they captured all their experiences and learnings.

Preparing For Handover

After BRR completed its projects in Aceh, Indonesia in 2008, it started preparing for the handover of its duties, and transfer of its monitoring tasks and documents to the relevant parties. These efforts were taken to help ease the transfer of duties to the regional government and the relevant ministries/institutions in 2009. Specifically, BRR made sure at the earliest possible time that the transition from the reconstruction phase to a normal development phase involved the regional government. This involvement covered the stages of planning, evaluation and transfer of activities.

The Head of the BRR Executing Agency made an announcement in the last year of the BRR's mandate, that the Agency was to be district-oriented. After becoming the front unit for implementing BRR programmes, the District would participate in managing the project implementation units and the Office of the Commitment of Programme Preparatory Officer. This was all in relation to preparations for the closure of BRR.

The BRR work period would be shut down in phases: governance of the BRR Executing Agency organisation, strengthening of the Representative Office's role and function, closing of project assignments, strengthening of regional government capacity, increasing de-concentration, transfer of aid assignments, transfer of assets and documents, as well as transfer of human resources and systems.

BRR continuously took measures to ensure that the regional government and all stakeholders had enough authority to operate and maintain facilities and infrastructure that had been constructed during rehabilitation, and to help strengthen the regional government's capacity. All this was realised through training, internship programmes and the transfer of knowledge from BRR to the regional government.

The Aceh administration tried to improve its capacity by organising strategic programmes like the Aceh Government Transformation Programme. Initiated by Aceh Governor Irwandi Yusuf, this programme was facilitated by United Nations Development Programme (UNDP) with MDF funding and helped the Governor prepare his staff to coordinate the transition process from BRR.

SOURCE: BRR 2009

In the case of incomplete projects being handed over to a successor:

- Identify the Agency/Department/Institution that will carry forward the activities.
- Consultative process to identify the process, milestones, time frame.
- Identify capacities that need to be built up and provide for the same.
- Transfer the assets used for the project to the agency/department identified with adequate capacity building to utilise the assets.
- Ensure that the transition is done with the knowledge of the affected communities and all other stakeholders.
- An audit before the handing over would add to the transparency and the credibility of the project.
- Ensure minimal loss of institutional memory through transfer of all documents and knowledge products.

THE DONOR-WIDE PROJECT TRANSITION IN INDONESIA

Donor	Funding channel	Role of BRR	Recipient of finished project	Successor of unfinished projects
Government of Indonesia, World Bank, ADB, etc	On budget/on treasury	· Execute · Transfer the asset	· Local government · Line ministries	· Local government for rupiah funding · Line ministries for external funding
Government of Japan, Germany	On budget/off treasury	· Approve the projects · Records in the government budget after project completed · Clearing house for the asset	· Local government · Line ministries	· Local government for rupiah funding · Line ministries for external funding
UN, Red Cross, NGOs,	Off budget/off treasury	· Approve the projects · Clearing house for the assets	· Local government · Line ministries	· Remain with the agency

TRANSFER OF ASSETS IN INDONESIA'S POST-TSUNAMI RECOVERY PROGRAMME

In the case of the 2004 Indonesia tsunami, the following processes were observed:

- All assets created under the auspices of BRR whether from on-budget (government, loan, etc) or off-budget (UN, INGOs, NGOs) funds, were considered national assets to be managed by the Ministry of Finance.
- The Ministry of Finance issued Regulations on the Procedures for BRR's Management of State Owned Assets.
- As a first step to comply, BRR implemented measures for identification of the assets and verification of their existence. It included the cost of construction, source of funding and user of the facility.
- The optimisation of the usage of assets by relevant government agencies was also ensured.
- The District Administration was the first choice recipient of assets and provincial governments were the second choice. In a case where the transfer of assets failed to be transferred to either agency, the appropriate line ministry was the default recipient.
- In the case of assets created by international and national NGOs, the official, signed handover letter was submitted to BRR and in turn BRR gave recipients of the assets a signed, official, handover letter.
- Some of the assets of national strategic ownership such as ports, airports, etc were transferred directly to the line ministries.
- The assets created under on-budget sources were reconciled through the Ministry of Finance accounting system, while for assets created under off-budget sources, these were reconciled through BRR's RAN Database, Project Concept Note and other documents. Data reconciliation was challenging considering the diverse funding source for each of the inputs. Hence, an Asset Management and Information System was developed to support the transfer of assets to local governments. The system coupled the asset record with satellite imagery as well as geo-spatial maps and textual information.
- A key challenge was to reconcile on-budget and off-budget items, since when the BRR's data system was created, it did not envisage the need for a discrete database that could record both on-budget and off-budget items.

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SESSION 11

SYNTHESIS AND ACTION PLANNING

DESCRIPTION	The session provides the synthesis of learning and key take aways from the Workshop, as well as how participants take their learning forward in managing R&R in their own work, organisation, and country/region/province/district.
LEARNING OBJECTIVES	At the end of the session, the participants are able to: 1. Summarise key learning and key take aways from the Workshop 2. Outline an Action Plan to take the learning forward in their own work, organisation, country/province/region/district.
SESSION KEY POINTS	1. Summary of each session by the facilitator 2. Individual reflection 3. Sharing of change in knowledge, skills and attitudes 4. Action planning (individual or organisational)
METHOD	· Bond Paper and permanent markers · Form for Learning and Action Plan
MATERIALS NEEDED	*PowerPoint* presentation
DURATION	2 hours
PROCESS	1. Summarise the objectives, content and outputs of each session and the whole Workshop. 2. Participants reflect on their key learning and take aways for each session and whole workshop. 3. Participants illustrate or depict on bond paper the change in knowledge, skills and attitudes in R&R as a result of the Learning Workshop. Participants share and post their illustrations.

REFLECTIONS ON KEY LEARNINGS

KEY LEARNINGS AND "TAKE-AWAYS" FROM THE WORKSHOP

What are my/our key learnings and take aways?

Session 1 and 2: Basic Concept and Framework of R&R:
- What are key concepts of R&R and how do these relate to one another?
- How can different objectives be addressed in an R&R framework?

Session 3: Institutional Mechanisms for R&R:
- What institutions facilitate successful R&R, why and in which contexts?

Session 4: Post-Disaster Needs Assessment (PDNA):
- What are differences between different kinds of needs assessments?
- How can each be utilised?

Session 5: Recovery and Reconstruction (R&R) Planning:
- How should one plan R&R and what are ways to identify beneficiaries?

Session 6: Integrating Disaster Risk Reduction in R&R:
- How can DRR be mainstreamed into R&R for a specific sector (recall the scenario)?

Session 7: Mobilising and Managing Resources for R&R:
- What are examples of financial management systems?
- How can disbursement be tracked and fund utilisation monitored?

Session 8: Monitoring and Evaluation in R&R:
- What has to be considered when designing an appropriate M&E framework?

Session 9: Coordination and Communication:
- Name some tools and options for post-disaster upward and downward communictation.

Session 10: Transition and Exit:
- What has to be considered when exiting or transitioning from a given R&R set-up?

Overall: Learning Workshop on Recovery and Reconstruction:
- How can lessons learned from this course be transferred to your own country context?

PLANS TO APPLY KEY LEARNINGS AND TAKE-AWAYS IN R&R

What are my/our plans to apply key learnings and take-aways in:
· My/our work?
· In my/our organisation?
· In my/our country/state, region, province, district etc. ?

What gaps, issues and challenges in R&R will I/we address?

What will I/we develop, strengthen, support, change, advocate, create?

CLOSING ACTIVITIES

- Learning Workshop Evaluation
- Certificates of Participation
- Certificates of Appreciation
- Closing Remarks

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Bill Nicol
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Joe O'Donnel
G. Padmanabhan
Samantha Page
Al Panico
Jonathan Papoulidis
Togu Pardede
K.M. Parivelan
C. Parthasarathi
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John Paterson
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