POST-DISASTER NEEDS ASSESSMENTS

Volume A

GUIDELINES

2013

GFDRR
Global Facility for Disaster Reduction and Recovery

Joint Declaration on Post-Crisis Assessments and Recovery Planning

25 September, 2008

The European Commission, the United Nations Development Group and the World Bank seek to mobilize our institutions and resources to harmonize and coordinate post-crisis response frameworks to enhance country resilience to crises, by answering recovery needs of vulnerable populations and strengthening the capacity of national institutions for effective prevention, response and recovery. We believe a common platform for partnership and action is central to the delivery of an effective and sustainable international response after disaster- and conflict-related crises. We are engaged in significant work to reform the processes used by national and international partners to assess, plan, and mobilize support for recovery to countries and populations affected by natural disasters or violent conflicts.

A Common Platform for Action

We recognize that early strategic dialogue and engagement is an essential foundation that can be built upon as crisis management and recovery efforts move from planning to implementation, and we decide to:

- Communicate strategically at both headquarters and field level as we monitor situations of fragility and conflict, and imminent or actual natural disasters, and identify opportunities for joint initiatives where our combined efforts may offer advantages;
- Participate in the relevant in-country planning processes and support the development and use of shared benchmarks/ results frameworks and joint processes for monitoring and review;
- Support the development and use of the common methodologies for post-conflict needs assessments, and a common approach to post-disaster needs assessments and recovery planning;
- Invest in development of toolkits and staff training to deepen our collective and institutional capacity for these processes; and
- Monitor progress in the implementation of the common platform through a senior level meeting that would take place once a year.

The European Commission	The United Nations Development Group	The World Bank

ACKNOWLEDGEMENTS

The Post Disaster Needs Assessment guide, much like the assessment tool itself, are the result of dedicated collaboration and technical input from a range of partners. On behalf of all of those involved, we would like to sincerely thank staff and contributors from the European Union, World Bank and the members of the United Nations Development Group: FAO, ILO, UNDP, UNEP, UNESCO, UN Habitat, UNICEF, UN Women and the WHO.

We are particularly grateful for the guidance and financial support provided by the European Union[1]. Thanks to this support these guide will now be made available in both digital and print copies, and will be shared with partners at the global, regional and country levels[2].

Above all, we wish to thank those who have undertaken post disaster needs assessments on the ground. The knowledge and experience that they have provided us has allowed for a wealth of practical information and vetted methodologies, which will undoubtedly improve future disaster assessments.

1 This document has been produced with the financial assistance of the European Union. The views expressed herein can in no way be taken to reflect the official opinion of the European Union.

2 The guide is awaiting final endorsement by Principals of the tripartite partners.

PREFACE

Major disaster events are typically followed by multiple assessments, carried out by a large number of agencies and covering a broad range of sectors. These assessments are wide-ranging-- from the rapid assessment of immediate needs to the most elaborate assessment of long-term recovery and risk reduction requirements. The sheer number of assessments conducted, coupled with diverse methodologies, risks bringing a lack of clarity and confusion to stakeholders as they plan the recovery phase.

For this reason, there is a growing consensus on the need for standardized and comprehensive assessment in the post disaster period. Such an assessment must be multi-sectoral, addressing recovery needs related to infrastructure, shelter, livelihoods, and social and community services in a balanced and comprehensive manner.

As the scope and range of recovery is gradually expanding with a clear emphasis on building back better, the methodology for needs assessment must also be expanded to undertake recovery planning in a more holistic and integrated way. Further, the assessment of recovery should be accurate and realistic so that it becomes a credible tool for resource mobilization.

In response to these concerns, UN Development Group (UNDG), the World Bank (WB) and the European Union (EU) have collaborated on the development of a joint Post-Disaster Needs Assessment (PDNA) tool. This tool represents a harmonized and coordinated approach, providing for an objective, comprehensive and government-led assessment of the post disaster damages, losses and recovery needs, and paving the way for a consolidated recovery framework.

In order to facilitate and enable the use of the PDNA by practitioners, the following guide has been prepared by the UNDG, the WB and EU. The guide streamlines and standardizes an assessment methodology, which would cover all sectors and maintain a balance between different aspects of recovery.

The overarching purpose of this guide is to provide technical support to practitioners as they plan for and implement the needs assessment and design the recovery framework. It is hoped that the guide will allow for a consistent and coherent approach to the post-disaster assessment, provide an objective and comprehensive estimate of recovery needs, while facilitating quick decision-making and action.

Drawing from and incorporating the various assessment and planning techniques, including the Damage and Loss Assessment (DaLA) and the Human Recovery Needs Assessment (HRNA), the PDNA Guide provides step-by-step instructions on planning for and implementing a PDNA. As a working document, it is hoped that the feedback from practitioners employing the PDNA tool will consistently be incorporated into the guide, allowing for lessons learned and an ever-improving PDNA methodology.

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ACRONYMS

BBB	Build-back-better
CAP	Consolidated Appeal Process
CCA	Common Country Assessment
DaLA	Damage and Loss Assessment
DRR	Disaster Risk Reduction
EC	European Commission
ECLAC	United Nations Economic Commission for Latin America and the Caribbean
EU	European Union
FAO	Food and Agriculture Organization
GDP	Gross Domestic Product
HCT	UN Humanitarian Country Team
HRNA	Human Recovery Needs Assessment
IFIs	International Finance Institutions
MDG	Millennium Development Goals
MDTF	Multi Donor Trust Fund
NGO	Non-government Organization
OCHA	UN Office for the Coordination of Humanitarian Affairs
PDNA	Post-Disaster Needs Assessment and Recovery Roadmap
PRSP	Poverty Reduction Strategy Paper
RBPF	Results-based Planning Framework
TOR	Terms of Reference
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Program
UNDP-BCPR	UNDP - Bureau for Crisis Prevention and Recovery
UNFPA	The United Nations Population Fund
UN-HABITAT	The United Nations Human Settlements Programme
UNICEF	United Nations Children's Fund
WB	World Bank
WFP	World Food Programme
WHO	World Health Organization

CHAPTER 1
INTRODUCTION TO THE PDNA GUIDE

1.1 - INTRODUCTION

The post-disaster setting is a complex and demanding environment, where the most urgent task is to promptly assess humanitarian needs and provide life-saving relief assistance to those affected. It further requires an assessment of the damages and losses caused by the disaster and the development of a comprehensive recovery plan that would lead back to a sustainable development process where risk reduction in the face of disasters is explicitly considered. To meet such challenges a country affected by a disaster often requires the support of a wide range of national and international actors. In the past this process was characterized by a multiplicity of parallel needs assessments and planning exercises conducted by respective individual groups, agencies, and donors. Typically such assessments varied in scope and rigor and would be undertaken at different stages during the phases of response, and recovery.

This led to recognition of the need to build strong partnerships and strengthen coordination to improve coherence in post-disaster settings. In 2008, the European Union (EU), the World Bank (WB) and the United Nations Development Group (UNDG) agreed to mobilize member institutions and resources to harmonize post-disaster assessment methods to better support governments and affected populations with a coordinated approach. The present volume of the *Post Disaster Needs Assessment Guide* (PDNA) represents a significant outcome of the coordinated approach.

The PDNA Guide was developed as a common platform for partnership and coordinated action in post-disaster assessment and recovery planning. They are aimed at harmonizing the process and methods used by the UN, the EU and the WB to assess, plan and mobilize support for the recovery of countries and populations affected by disasters.

The Guide was developed by staff drawn from UN agencies, the EU and the WB in the course of the implementation of a series of institutional agreements on post-crisis cooperation. Copies of these agreements are included in the Annexes. They are:

- The Joint Declaration on Post-Crisis Assessments and Recovery Planning signed on September 25, 2008, by the European Commissioner, the Administrator of the United Nations Development Program (UNDP) on behalf of the UNDG, and World Bank Vice President for Operations Policy and Country Services
- The United Nations-World Bank Partnership Framework for Crisis and Post-Crisis Situations signed on October 24, 2008, by the UN Secretary General and the WB President
- The United Nations Development Group-World Bank Post-Crisis Operational Annex signed on October 24, 2008, by the WB Managing Director and the Administrator of UNDP on behalf of the UNDG

The PDNA Guide constitutes a joint effort to clarify PDNA procedures. As such it is a working document that would be expanded, improved and updated continuously through collaboration among agencies of the EU, the WB and the UN, governments, partners, and disaster-affected communities, based on experiences with PDNA implementation. Comments on the PDNA Guide can be posted on the following websites:

- http://www.recoveryplatform.org/pdna
- https://www.gfdrr.org/
- http://ec.europa.eu/echo/policies/needs_en.htm
- http://www.eeas.europa.eu/index_en.htm)
- http://www.undp.org/content/undp/en/home/librarypage/crisis-prevention-and-recovery.html

1.2 - PURPOSE OF THE PDNA GUIDE

The overarching purpose of the PDNA Guide is to provide improved support to governments in post-disaster recovery assessments and planning through a more coordinated approach. The more immediate objective of the Guide is to provide an agreed framework and predictable arrangements for effective and efficient coordinated support from the EU, the UN and the WB to governments requesting international assistance for post-disaster recovery and reconstruction. To achieve this, the Guide provides practical, action-oriented, easy-to-use guide in the following critical areas to:

- *Present common minimum standards* regarding quality, reliability and inclusiveness;
- *Facilitate quick decision-making and action* by stakeholders;
- Provide a *predictable and coherent* approach to assessment and planning;
- Contribute towards producing an *objective and comprehensive estimate* of recovery needs;
- Contribute towards an *efficient professional response* by the international community;
- Contribute to a more *cost-effective approach* by working towards coordination, reducing overlaps;
- Improve the *credibility* of assessments and recovery strategies;
- Improve *financing opportunities* for recovery and reconstruction.

This PDNA Guide is conceived as a shared *approach and common platform for analysis and action* to undertake the PDNA and start the recovery planning process. The Guide embraces the various assessments and planning techniques applied by UN agencies, and the method for assessing damages, losses and needs as developed by the UN Economic Commission for Latin America and the Caribbean (ECLAC) and applied by the WB.

The Guide builds on existing methods for assessing the impact of disasters. It facilitates a comprehensive assessment process which captures the impact of disasters on people, communities, civil society and governments, as well as on the country's physical assets and infrastructure. By using such assessment results the Guide helps identify recovery needs from a human, socio-cultural, economic and environmental perspective, which, in turn, helps develop a Recovery Strategy to address recovery needs in a comprehensive and sustainable manner.

1.3 - AUDIENCE

The PDNA Guide is intended primarily to assist practitioners who participate in the planning and implementation of PDNA, and managers who are responsible for steering and coordinating the PDNA process. Specifically it is intended for:

- Senior government officials responsible for declaring a disaster and requesting international cooperation for a national assessment of the disaster and the ensuing recovery and reconstruction efforts.
- Senior managers from multilateral agencies at headquarters and in-country who would be required to respond to a government's request to organize and coordinate a post-disaster assessment, response, and recovery. This would include the Humanitarian Coordinator (HC)/Resident Coordinator (RC), UN Country Teams, in-country Representatives of UN agencies, the WB and the EU, as well as HQ units, departments, or services directly linked to post-disaster response beyond the humanitarian phase.
- Government officials across sector ministries with responsibilities of disaster response, recovery, and risk reduction.

- Technical staff from multilateral agencies at headquarters and in-country with responsibilities in post-disaster assessment, response, and recovery planning, who may be involved in assessment.
- Civil society and other national stakeholders who have a role in PDNA and recovery planning.

The Guide may also be useful to other government staff, NGOs, local leaders, volunteers and officials and advisors at the national and international level involved in emergency and recovery management.

Volume A of the Guide is intended to facilitate planning and organization of the PDNA. It introduces the Guide and presents the assessment approach. It also outlines the process and steps for conducting a PDNA. This volume would therefore be more useful for senior government officials and representatives of multilateral institutions responsible for organizing the PDNA.

Volume B of the guide provides technical guide for sector specific assessments and would be more useful for technical experts who participate in the assessment.

1.4 - LIMITATIONS

The PDNA Guide is not intended to replace the more elaborate assessment methodologies developed and used by UN agencies or the WB. It recognizes that a more in-depth assessment and planning, beyond the scope of a PDNA, may be required for agencies, donors and International Finance Institutions (IFIs) to develop their individual recovery strategies and programs, particularly those which are sector-specific.

Furthermore, the Guide is not intended to be comprehensive and all-encompassing, nor is it a prescriptive document. Rather, it provides an overarching approach and orientation towards assessment and initiating the recovery planning process which would be of use to a wide audience.

In particular, the processes and procedures recommended in Chapter 3 of the Guide are meant to illustrate a possible way of maintaining inter-agency coordination during the PDNA process with other stakeholders, namely, the affected country, the World Bank and the EU, building on good practices from past instances of disaster response. These procedures are meant to be flexibly applied depending on the country context and the nature of request by a government for international involvement.

1.5 - ORGANIZATION OF THE GUIDE

At present the PDNA Guide consists of two Volumes: Volume A and Volume B.

Volume A comprises three chapters and a toolkit:

- Chapter 1 is an introduction to the Guide, outlines the objectives, deliverables and principles for participation, and coordination of the assessment.
- Chapter 2 provides the framework for a common approach to assessment and planning as well as guidance on the development of a Recovery Strategy based on the assessment results.
- Chapter 3 provides guidance on the PDNA *process*. This includes suggestions regarding measures for activation, preparation and implementation of a PDNA. The chapter includes a section with brief guide for the Government and a more detailed section for the tripartite partners.

The Toolkit in Volume A**:**

- Provides practical instruments to support the PDNA process. It includes sample Terms of Reference (ToR) that can be readily used for the assessment teams involved in the PDNA, and templates to facilitate the PDNA process such as for producing the final PDNA Report and Recovery Strategy. These can be adapted to each context as required.

Volume B contains chapters that offer guidance for sector-specific needs assessments, as following:

- Social Sectors: Housing and Settlements; Education; Health; Culture; and Nutrition;
- Productive Sectors: Agriculture, livestock, fisheries and forestry; Industry, commerce and trade , Tourism;
- Infrastructure Sectors: Water, sanitation and hygiene (WASH); Community infrastructure; Energy & electricity; Transport and telecommunications;
- Cross-cutting Sectors/Themes: Employment and livelihoods; Disaster Risk Reduction (DRR); Governance; Environment; Gender; HIV/AIDS and Age.

The chapters on various sectors would follow a common structure capturing the core elements of the PDNA described in this volume. However, while the sectors would follow this common structure, each sector has its sector-specific assessment tools and methodologies as developed by the WB and specialized UN agencies pertinent to the needs of the particular sector. The use of these methodologies in the context of a PDNA is to ensure that their results are compatible and harmonized so that they can be added into a single integrated summary of damages, losses, and needs across all sectors concerned.

1.6 - THE OBJECTIVES OF A PDNA

The main goal of conducting a PDNA is to assist governments to assess the full extent of a disaster's impact on the country and, on the basis of these findings, to produce an actionable and sustainable Recovery Strategy for mobilizing financial and technical resources. And, if necessary, request additional external cooperation and assistance to implement it, given the affected country's capacities, financial, technical and institutional. More specifically a PDNA sets out the following objectives:

- Support country-led assessments and initiate recovery planning processes through a coordinated inter-institutional platform integrating the concerted efforts of the UN system, the EU, the WB, other participating international donors, financial institutions, and NGOs;
- Evaluate the effect of the disaster on:
  - Infrastructure and assets
  - service delivery and access to goods and services across all sectors, particularly the availability of basic services and the quality of service delivery;
  - governance and social processes;
  - assessing needs to address underlying risks and vulnerabilities so as to reduce risk and build back better (BBB).
- Estimating the damage and loss caused by the disaster to physical infrastructures, productive sectors and the economy, including an assessment of its macro-economic consequences;
- Identify all recovery and reconstruction needs;

- Develop the Recovery Strategy outlining priority needs, recovery interventions, expected outputs and the cost of recovery and reconstruction which would form the basis for a comprehensive Recovery Framework;
- Provide the basis for mobilizing resources for recovery and reconstruction through local, national and international sources.

The PDNA Guide includes the main elements of the Damage and Loss Assessment (DaLA) method and the Human Recovery Needs Assessment (HRNA) approach and process for a comprehensive assessment of damages, losses and needs, which would lead to the development of a Recovery Strategy. Since the assessment and Recovery Strategy developed during the PDNA is completed in a relatively short period, it requires more comprehensive recovery planning, particularly in the case of large scale disasters. This is done through the development of national recovery frameworks.

The diagram below illustrates the typical sectors that are assessed in the PDNA.

1.7 - THE DELIVERABLES OF A PDNA

The PDNA produces following four core deliverables:

- One consolidated assessment report, based on sector reports, presenting the overall effect and impact of the disaster on each sector, the recovery needs for each, as well as the explicit impact on cross cutting themes, with a gender perspective, environmental considerations, risk reduction, and governance.
- A Recovery Strategy which defines the vision for national recovery; provides a strategy for recovery actions within each sector and affected region, armed with clear objectives and interventions; directs it towards expected results; and defines the timeframe as well as the cost for the recovery process.
- Provides the basis for resource mobilization in support of the country's recovery, including a donor conference where required.
- Provides an outline for a country-led implementation mechanism for recovery.

1.8 - GUIDING PRINCIPLES

All PDNAs would be guided by the following core principles:

- Adhere to the core principles of humanitarianism, impartiality, and neutrality.
- Acknowledge the national ownership of PDNA and ensure that it is a demand-driven and country-led process, with the fullest possible leadership and engagement of national authorities in assessment, recovery planning and implementation, from the highest political levels to local levels, and at the level of technical expertise.
- Support local ownership and the fullest possible engagement of local authorities and community-based organizations in the planning and execution of recovery, and building specific capacities where needed.
- Provide coordination at all stages of the process and at all levels, ensuring collaboration and partnership between the UN, the WB and the EU, as well as with the National Government, donors, NGOs, civil society, and other stakeholders engaged in the PDNA.
- Ensure one team, one process, one output.
- Adhere to the principle of *Primum non nocere* – 'first, do no harm' -- ensuring that the process does not have a detrimental effect on life-saving relief to the affected population and on the country.
- Adopt a conflict-sensitive approach and ensure that the assessment does not exacerbate existing tensions, and that the recovery strategy takes into account potential disaster-related conflicts.
- Support and strengthen national and local capacities to lead and manage recovery and reconstruction.
- Ensure transparency and accountability in the PDNA process as well as in post-disaster recovery and reconstruction.
- Integrate DRR measures in the recovery process to enhance the resilience of affected populations and countries with regard to future disasters.
- Develop a recovery plan that addresses the gap created by the disaster, and which effectively helps people in building back better and reduce future risks without expanding recovery needs and priorities into a full-fledged development plan that goes beyond the disaster.

- Ensure the participation of the affected population in the assessment of needs and priorities and in the recovery process, at the same time providing support to their spontaneous recovery efforts.
- With a gender perspective, focus on the most vulnerable sections, including female-headed households, children, orphans, the landless, people with special needs, the youth and the aged.
- Promote equality to prevent discrimination of any kind on grounds of race, colour, nationality, ideology, sex, ethnicity, age, language, religion, disability, property, and birth, among others.
- Mainstream cross-cutting issues such as gender, environment, governance, human rights, HIV/AIDS, among others.
- Ground recovery in the principles of sustainable development.
- Build on national development strategies as required.
- Monitor, evaluate, and learn from practice.
- Complete the assessment in a timely manner to capitalize on the limited window of opportunity to start recovery, resource mobilization and resilience building initiatives.

1.9 - PARTICIPATION AND COORDINATION

The PDNA is an inclusive, government-led and government-owned process which builds on the capacity and expertise of national and international actors. Therefore, participation and coordination are essential to the assessment process and the development of a Recovery Strategy.

To ensure a government-led and owned process, it is recommended that government representatives from relevant line ministries be actively involved at all levels, in both the technical and management teams. This would include their High-Level leadership and coordination down the line to the sectors.

It is recommended that the High-Level Team, which would include the participation of the EU, the WB and the UN, should be led by the National Government. The High-Level Team would be provided support by a Coordination Team and sector teams. Moreover, the PDNA process should involve the participation of the affected population, local authorities, civil society and the private sector in assessing recovery needs and priorities, and in designing the Recovery Strategy.

Furthermore, the PDNA may engage all other relevant international actors, including the International Federation of Red Cross and Red Crescent and other NGOs, and donors where appropriate. It is important that all national and international stakeholders participate at all stages of the assessment process, including the development of the Recovery Strategy. It is desirable to have a donor engagement in the PDNA as this donor involvement brings international experience to the assessment.

Illustrative sample of national and international actors participating in the PDNA

National Actors	International Actors
▪ Presidential Office or equivalent	▪ EU
▪ The Ministry of Finance	▪ WB and other IFIs
▪ The Ministry of Planning or equivalent	▪ UN agencies
▪ Line ministries	▪ Other bilateral donors
▪ Civil Defence	▪ International NGOs
▪ Governors, senators and mayors	▪ Regional International Organizations
▪ National Red Cross	
▪ National NGOs	
▪ Civil society organizations	
▪ Community-based organizations	
▪ Affected population	
▪ Private sector	

CHAPTER 2
CONDUCTING A PDNA

2.1 - INTRODUCTION: THE APPROACH OF THE PDNA

The PDNA is an approach to analyzing disaster effects and disaster impact for the purpose of identifying recovery needs, defined from a human, socio-cultural, economic, and environmental perspective. It is an approach shared by the WB, the EU and the UN system and agencies. It is an integrated process that incorporates a collection of analytical methods, tools and techniques that have been developed for post-disaster assessments and recovery planning, ensuring sector to sector comparability and homogeneity in the definition of its basic concepts of damages, losses and post disaster reconstruction and recovery needs. It serves as a common platform for analysis and action, with common elements that weave sector methodologies into one approach, thereby providing a comprehensive picture of post-disaster conditions and the distinct needs and priorities of different sectors, social groups and sub-groups. This chapter provides guide on the main common elements that are assessed during a PDNA.

The PDNA includes:

- The collection of pre-disaster baseline data to compare with post-disaster conditions in order to evaluate the magnitude and scale of the disaster;
- The evaluation of the disaster effects and disaster impacts in each sector to determine the overall recovery needs;
- The prioritization of these recovery needs by way of a Recovery Strategy;
- A Recovery Strategy that defines clear objectives, appropriate interventions to meet priority recovery needs, the expected outputs and overall intended outcome, and finally, outlines the implementation arrangements.

The PDNA follows a human recovery approach -- which is a people-centered approach. The *human recovery dimension* is guided by the concept of human development, namely, measures to restore people's abilities to reach their full potential to lead productive, creative lives in accordance with their needs and interests**.** People need equitable access to secure livelihoods, health services, shelter and land, security, freedom, community life, and other quality-of-life services essential for human recovery and development. Equally important are human capabilities, and those of governments, that should be empowered and strengthened to help them recover and meet the added challenges.

Human recovery is about creating an enabling environment for women and girls, men and boys, communities as well as all sub-groups of the population, and governments to recover from the impact of disasters. It focuses on the affected communities and population; assesses the impact of a disaster on human development; and determines the activities of early, medium, and long-term recovery that are required to restore and, where possible, improve upon the pre-disaster status of human development.

A *people-centered approach* to post-disaster assessment and recovery focuses on the following elements:

- The human development impact of disasters.
- The distinct needs and priorities of women, girls, boys and men of all ages and sub-groups of the affected populations through stakeholder engagement.
- The participation of affected stakeholders in their own recovery process.
- The recognition and support to the spontaneous recovery efforts of the affected population.
- The consideration of social-cultural aspects of disaster recovery in addition to economic imperatives.
- The measures to build resilient communities and societies.

2.2 - THE CORE ELEMENTS OF THE PDNA

At its core, the PDNA consists of four main elements:

1.2. Pre Disaster context and baseline information.

1.3. The assessment of disaster effects.

1.4. The assessment of disaster impacts.

1.5. The Recovery Strategy, determining sector recovery needs.

All this is compiled and consolidated into the PDNA Report. Each of these is described in detail in the following sections.

1. **PRE-DISASTER CONTEXT BASELINE INFORMATION**: the first step is to examine the general pre-disaster conditions -- social, economic, cultural, financial and political status -- which serve as a baseline to compare with post-disaster conditions in the affected country.

2. **THE ASSESSMENT OF DISASTER EFFECT**: the *effect* of disasters is determined through the assessment of four main elements:

1) **Damage to infrastructure and physical assets**: the quantification of public and private sector infrastructure and assets destroyed in the disaster.
2) **Disruption of access to goods and services**: assessment of the disaster effects on service delivery, including the availability and quality of services, and on the population's access to goods and services that are required to support lives and livelihoods.
3) **Governance and decision making processes**: assessment of the disaster effects on social and decision making processes including people's ability to exercise their citizenship and priority development policy objectives.
4) **Increased risks and vulnerabilities**: assessment of what risks increase as a result of the disaster and how, and what additional threats or deteriorating conditions increase the vulnerabilities of people.

These effects are expressed both in quantitative and qualitative terms by geographical divisions and sociological characteristics of the population such as gender, age, ethnicity, disability, etc.

2.1 ESTIMATING THE VALUE OF THE EFECTS OF THE DISASTER: Following the description of effects, the economic/ monetary value of the effects are estimated for damage to infrastructure and assets as well as economic loss due to changes in financial flows as linked to changes in the outputs of the productive sector, on the operating costs for delivery of goods and services, on governance processes and for management of risks. The economic value of the effects of the disaster is calculated for the four key effects:

- Value of total and partial destruction of infrastructure and assets;
- Value of changes on service delivery, production of goods and services and access to goods and services;
- Value of changes to governance processes;
- Value of changes to risks.

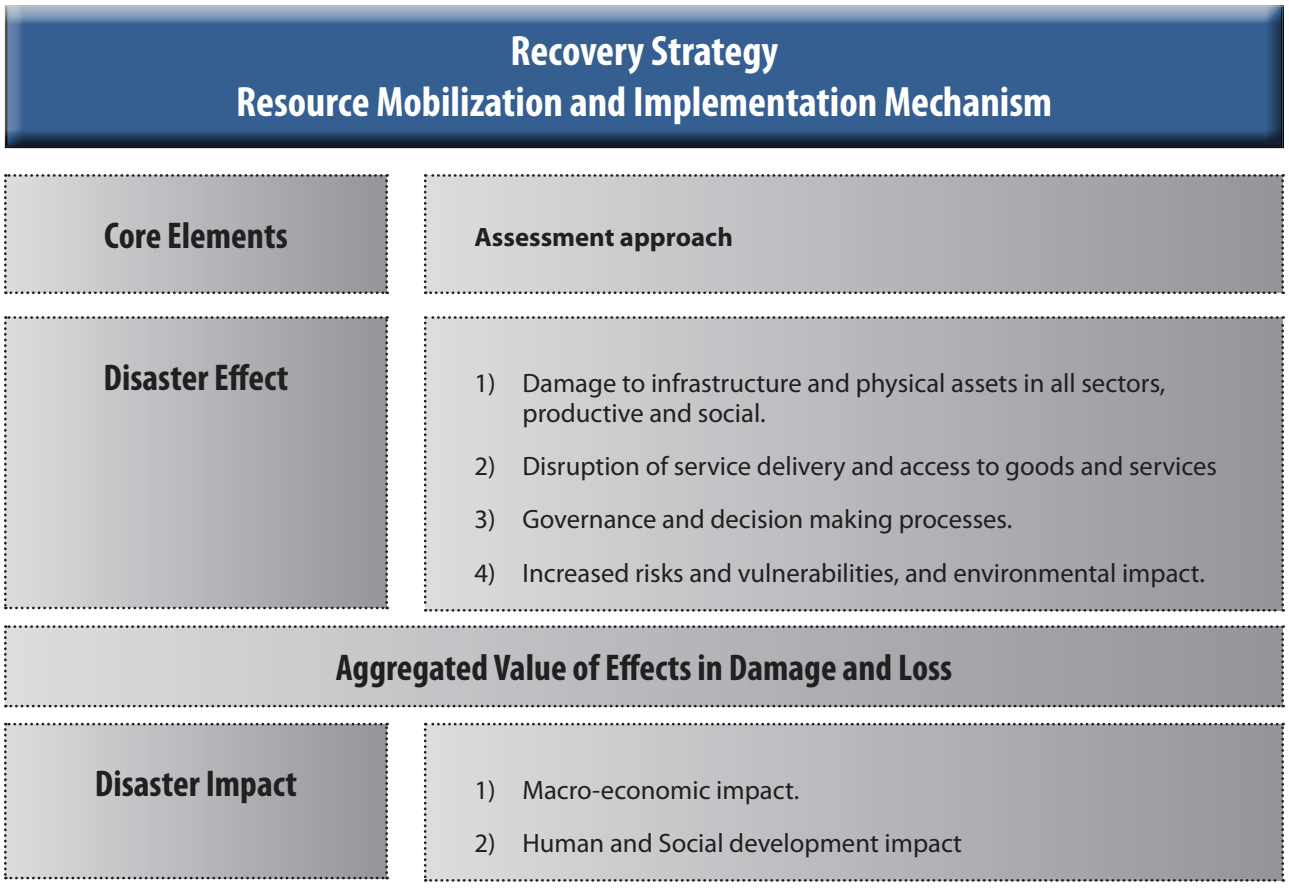
3. **THE ASSESSMENT OF DISASTER IMPACT***:* the *impact* of disasters is determined through the assessment of two main elements:

- **Economic impact at macro and micro levels**: the estimation of the disaster's likely effects on economic performance and the temporary macro-economic imbalances that may arise from it, as well as its varied impacts on personal/household income and employment in all sectors.
- **Human development impact***:* the impacts of the disaster on the quality of human life in the medium and long term.

The impact analysis is based on the assessment of the disaster effects, the sector development plans, lessons from past experiences and the emerging concerns that derive from the events. The analysis of the impact of the disaster provides the medium and long term projection of the effects on the disaster on the various sectors of the economy and the national development plans. The impact analysis forms the basis of the recovery strategy.

4. **THE RECOVERY STRATEGY**: the assessment of disaster *effects* and disaster *impacts* collectively defines recovery needs. The needs so identified form the basis for determining early, medium and long-term recovery and reconstruction interventions through a Recovery Strategy.

The diagram below illustrates how the core elements of the assessment contribute to the development of the Recovery Strategy.



2.2.1 - Baseline Information

Pre-disaster baseline information includes national, socio economic, demographic and geographical data relevant to the affected areas, including development indicators such as literacy rates, malnutrition and food insecurity, poverty levels, access to potable water and sanitation facilities, education facilities and school enrolment, and the incidence of communicable diseases, among others. Where possible, all relevant data should be disaggregated by sex, age, ethnic or cultural/religious characteristics if relevant to the identification of specific vulnerabilities and opportunities that women, girls, boys and men, and different ethnic and cultural/religious groups may encounter, and which require to be acted upon post-disaster.

Baseline data is critical to determining the overall impact of the disaster across all sectors, including its impact on human development[3]. Baseline data also contributes to the vulnerability analysis and towards an understanding of the underlying causes of the disaster. That in turn contributes to planning an effective and resilient recovery. Sector teams gather data on pre-disaster baseline conditions pertinent to their sector.

In those situations where the baseline data is not available in the Census, sector or local surveys or sector and disaggregated reports, it may be necessary to estimate a baseline data on the basis of discussion with key informants. It could also be feasible to arrive at a baseline data on the basis of visual impressions of unaffected areas and its comparison with the affected areas, provided there are geo-referenced data corresponding to the images. In certain situations, where satellite imagery of pre-disaster situations is available, these images could be interpreted to develop sector-wise baseline data.

Generally the information collected includes the following:

- Pre-disaster demographic, socio-economic, geographic, ethnic and cultural information;
- Pre-disaster data for each sector;
- Nature and extent of pre-disaster hazards, vulnerabilities and risks;
- National -- as well as regional (or local) development plans, socio-economic goals in the short term, and poverty reduction strategies.

The table below provides an illustrative example of the type of baseline data collected for the PDNA.

3 See section below for further information on baselines for assessing the impact on human development.

Illustrative example of pre-disaster and post-disaster data collected

Type of Data	Source of Data (in no specific order)
Total Population	Most recent population census
Population density per sq km	Most recent household survey
Age 0-14	
Age 15-59	
Age 60 and Above	
Rural / Urban	
Male /female headed households	
Literacy Rate (15-24 yrs.) (female / male)	
Life Expectancy (female /male	
Human poverty index	Human Development Reports or other national or international estimates
Human development index	Human Development Reports
Urban poverty	Economic, social and financial reports
Rural poverty	Economic, social and financial reports
Per Capita income	Annual economic and social surveys
Infant Mortality Rate	Millennium Development Reports or sectoral indicators from relevant Ministries
Maternal mortality rate	Millennium development reports, or sectoral indicators, from relevant Ministries
	General maps of country and affected areas
	Satellite imagery with geo-referenced data
	Annual report of utilities
	Production forecasts
	Economic and financial reports

Information on sector wise baseline information is included in the sector guidance notes.

2.2.2 - Disaster Effects

Effects on Infrastructure and Physical Assets

The PDNA assesses the effect of the total or partial destruction of physical assets and infrastructure in the affected areas, in measures of physical units for all sectors. This comprises:

- Social infrastructure such as the number of homes, education and health facilities, government buildings, community infrastructure, cultural and religious centers;
- Basic infrastructure such as transport and communications (roads, bridges, ports, airports, and train lines, among others), water and sanitation systems, irrigation systems, energy generation, distribution and supply lines;
- Productive sectors such as agricultural infrastructure, industrial and commercial installations, and businesses including tourism and service-based industries;
- In addition it quantifies the physical assets damaged or destroyed in those buildings and infrastructures, such as furnishings and equipment, farm machinery and tools, among others;
- These damages are valued first in physical terms (number, extension in terms of area or surface, as applicable) and then in terms of their monetary value, expressed as the replacement costs according to the market price prevailing just before and after the disaster. This is to be seen as the baseline cost, for the calculation of reconstruction costs would take into account post-disaster price alterations and improvements associated with risk reduction and the concept of build back better in the preparation of the Recovery Framework.

Effects on Production of Goods and Services and Access to Goods and Services

The PDNA evaluates the decline on output of the productive sectors (Agriculture, livestock, fisheries; Industry, Commerce, and services including Tourism) associated with damage to infrastructure and asset damages. It also evaluates the effect on *service delivery* across all relevant social sectors and population groups, in particular the availability of basic services and the quality of service delivery. This includes services such as education, social security, housing, health care, culture, availability of safe drinking water and sanitation facilities, and public administration services, whether provided by the public or the private sector. New demands for services or goods arising from the disaster also have to be considered.

A diversity of methods and techniques may be used by sectoral teams to assess post-disaster conditions with greater depth and detail. For instance, it would be possible to assess from household surveys the disaster- related changes in food consumption and expenditure as well as the overall levels of food insecurity. It would also be possible to collect and analyze data disaggregated by sex and age and pursue a gender analysis. Listed below are some important considerations to be kept in view while assessing changes from pre-disaster conditions, especially regarding the availability and quality of the delivery of basic services:

- Sector-wise assessment of equipment, supplies, information systems and technology destroyed;
- The availability or lack of basic supplies and commodities in markets. In this case care should be taken not to duplicate the effect that may have been quantified in terms of agricultural, industrial or commercial damages and losses;
- Focus on population groups that are particularly affected by the lack of available services;
- Assessment of the temporary infrastructure required such as shelter, education centers, water and energy supply, health facilities, religious and cultural centers, and additional services required as a result of the disaster such as emergency energy supply, temporary shelters, disease control, income generation and sanitation, among others;

- Thinking of how service delivery programs such as education or health care programs, to name a few, need to be re-adapted;
- The availability of human resources to ensure adequate service delivery, including wage compensation to service delivery staff such as teachers and nurses, and additional technical expertise.

The PDNA also lays emphasis on the assessment of people's *access* to basic goods and services, in particular the loss of access or disruptions/constraints suffered by individuals, families and communities in meeting their basic needs after a disaster. For example, water and sanitation facilities may be available, but damaged roads may hinder people's access to them; similarly, health facilities may exist, but user fees may place health services out of the reach of certain population groups. Here the analysis would focus on the additional costs to the population (individuals, families, and communities viewed from a gender perspective) in accessing those goods and services – costs in terms of higher prices due to speculation or problems of procurement by suppliers, and the time spent by them in getting these from markets.

The inclusion of a gender analysis in the assessment facilitates an understanding of the distinct obstacles to access encountered by women and girls. For example, due to social and cultural reasons, women and girls may not be permitted to travel to water, sanitation or health facilities that are available; or the prevailing insecurity in the area of evacuation may mean that women and girls do not feel safe to travel in order to avail of facilities.

The aim of the assessment is to ensure that necessary measures are taken to restore service delivery and also people's access to basic goods and services. The needs identified consist of the additional costs incurred by disaster affected populations to access services. Care must be taken to avoid duplicating the additional costs to service providers -- that may have already have been included, (for instance, in the productive sectors) -- to facilitate equal access for women, girls, boys, and men, especially in cases where special measures need to be put in place to ensure equal access for all.

Below are examples of key considerations for assessing access to basic goods and services:

- Description of how access to basic services such as markets, employment, water points, health care, food, schools and cultural centers, among others, is constrained, differentiating between the constraints encountered by women/girls and men/boys;
- Physical constraints to access such as debris and damaged roads;
- Non-physical constraints to access, among them loss of income, user fees, lack of school supplies and social/ cultural immobility;
- The price of basic commodities vis-à-vis the purchasing power of households;
- The number of people without access to basic services, going by gender and age, sector and geographic area;
- Specific populations groups particularly affected by disrupted access, among them women and girls in general and/or pregnant and lactating women, older people, the chronically sick, and unaccompanied children;
- The manner in which affected communities cope with impeded access;
- Measures needed in the short and long term to restore people's access to critical goods and services;
- Access to special services, among them school feeding, maternal and reproductive health, psychosocial health care, religious and cultural centers;
- Focus on social exclusion and the measures needed to ensure universal access to all basic services, be it women, girls, men, boys, the physically disabled, youth as well as older people, vulnerable population groups, the landless, or persons with HIV/AIDS;

- Equal opportunities in areas such as employment and income generation, among others;
- Measures to support positive coping mechanisms and to reduce negative coping strategies.

Effects on Governance and Decision Making Processes

The PDNA evaluates the key governance processes and decision making processes of each sector that may be affected by a disaster. These include:

- The effect of the disaster on government functions and on civil servants which disrupt sector-based administrative processes;
- The disruption of basic community functions, social services provided by community-based organizations, and disruption of cultural and community life;
- The effect of disasters on the management and organization of sectoral services that support life and livelihoods;
- The assessment of sectoral, national, and local capacities to lead and manage the recovery process itself.

As regards the latter, it is important to note the disruption to women's participation in decision-making forums at all levels as well as to assess the opportunities where women may take on new decision-making roles or where support would enhance women's participation in decisions centered on recovery.

In doing so, the PDNA ensures that these important social and governance processes are restored as part of the recovery process. Below are key considerations for assessing governance and social processes:

- Description of the disaster's effect on sectoral administration processes;
- The effects on the capacity of the sector in question to manage service delivery and continue functions of policy and planning -- effects in terms of processes for deliberation, decision-making, consultation, management, and technical and operational capacity;
- Effect on community life, social coherence and power relations including gender power relations, latent conflicts, social support networks, and division of labour;
- Additional burdens placed on local governments and civil society organizations as a result of the disaster, and ways in which they cope;
- Capacity of sector authorities to lead and manage the recovery process.

Capacity assessments form part of the social and governance processes evaluated during the PDNA, and are particularly important for restoring governance functions and processes, and providing access to basic services. A good understanding of capacities is also critical for developing a plan to enhance the capacity of a country or sector to recover from disaster and advance development goals.

Capacity assessment has two broad objectives:

- to know the existing capacity to lead and implement the recovery processes;
- to know the existing capacity to deliver services and improve governance functions.

Capacity assessment would help identify critical capacity gaps and include a capacity development plan as part of the sector Recovery Strategy. A good capacity assessment for recovery may help to plan for institution building and reform and for creating an enabling environment for service delivery.

For the purposes of post-disaster recovery, the capacity of national, regional and local governments, civil society, community organizations, the private sector as well as international organizations that can contribute to recovery and reconstruction process would need to assessed, and measures to strengthen their capacities included in the Recovery Strategy.

Existing pre disaster capacities should serve as baseline for a capacity assessment and subsequent capacity development plan. The assessment should review capacities on the basis of how they were altered by the disaster or new capacity needs created by the disaster. Assessment and planning that has already been done by humanitarian and early recovery actors provides useful inputs to the post-disaster capacity assessment. Capacities are examined in two broad categories:

- *Functional capacities* necessary for the successful creation and management of policies, legislations, strategies and programs. They generate a platform for implementation and are central to effective institutions;
- *Technical capacities* that are based on specific professional knowledge need to be assessed as well. Critical technical capacities in disaster recovery contexts include knowledge about service delivery in particular sectors, e.g., health, education, infrastructure, housing, etc.

Based on the changes the disaster brings to functional and technical capacities, capacity assessment would look at the following five broad categories:

- Knowledge and skills lost or now required;
- Resources, human, financial and material lost or now required given new demands;
- Systems of information, management and communication required given the new demands or destruction of previously existing systems;
- Legal authority, policies and regulations, as they may need amendments or changes due to the disaster;
- Accountability, monitoring and reporting specifically made for the recovery and reconstruction processes, given that under the emergency phase some of these systems are not applied as they would be under normal circumstances. This may be due to special legal provisions allowing for fast track authorization, tender and contract allocation in emergency situations or due to the disruption of the institutions in charge of these processes in normal circumstances.

Increased Risks and Vulnerabilities

The PDNA examines the risks and vulnerabilities underlying the impact of the disaster – pre-existing risks that become apparent during the disaster, and new risks and vulnerabilities enhanced by the disaster. Both are to be taken into account to determine the key elements needed to ensure a resilient recovery.

Disaster generated risks and vulnerabilities*:* From the beginning, elements of risk present as a result of the disaster comprise an integral part of the assessment. The additional potential hazards may include the proximity of the flood or hurricane season, the movement of Internally Displaced Persons (IDPs) to areas of greater risk, the increased instability of slopes or elevated flood hazard along river basins and low coastal areas, continuing heavy rains or further tremors with the potential to affect more lives and livelihoods, specific risks that can also threaten lives, such as potential disease outbreaks or chronic malnutrition, if necessary measures are not taken. In addition, risks include possible exposure to sexual and gender-based violence, child labour, human trafficking and risks of conflict which can increase after disasters and during crises.

The assessment relating to risks has two key objectives:

- Assess immediate disaster risks to avoid emerging threats and/or deteriorating conditions;
- Assess pre-existing vulnerabilities and factors that contributed to damage and loss of the sector in the current disaster.

Below are some elements of risk and vulnerability indicators to assess:

- Identifying additional hazards and risks that may threaten the recovery process;
- further landslides, upcoming rainy season, hurricane season, further tremors, among others;
- environmental risks;
- socio-political risks, including conflict risk;
- New vulnerabilities created by the disaster that may present additional threats;

- Population groups served by the sector (economic, social, cultural, geographic) that are especially vulnerable or at risk;
- Priority mitigation measures needed to avoid another disaster or the further deterioration of current conditions.

Pre-existing or underlying risks: These constitute the factors contributing to the damage and losses incurred on infrastructure and assets in various sectors. The assessment identifies the underlying, sector-specific risks and the absence of measures that could have protected the sectoral assets and infrastructure against hazards. If we take the instance of the education sector, the assessment would include the lack of preparedness plans for schools, the location of schools in high-risk areas that exposed them to disaster damage in the first place. Similarly, in the agriculture sector it could include the lack of agricultural technologies and practices which would increase the vulnerability of crops to a particular hazard.

The analysis would also include policy and institutional capacity gaps in planning interventions with little reference to disaster risks such as the lack of a clear policy on sustainable agriculture, or the lack of building codes for schools. The risk assessment identifies measures for:

- Planned and safe re-settlement of sector assets and infrastructure;
- Identification of safe land for reconstruction/rebuilding;
- The identification of practices and technologies that build resilience in various sectors;
- Multi-hazard and risk mapping to inform recovery planning;
- Regulatory measures to restrict rebuilding and restoration in risk zones;
- Information systems, technical expertise (human resources), and training required to support building back better.

Estimating the economic value of Disaster effects

The damages to infrastructure and assets are valued first in physical terms (number, extension in terms of area or surface, as applicable) and then in terms of their monetary value, expressed as the replacement costs according to the market price prevailing just before and after the disaster. This is to be seen as the baseline cost, for the calculation of reconstruction costs would take into account post-disaster price alterations and improvements associated with risk reduction and the concept of build back better in the preparation of the Recovery Framework.

Economic lLosses refer to changes in economic flows arising from the disaster which continue until the achievement of full economic recovery and reconstruction -- in some cases lasting for several years.

Typical losses include:

- Decline in output in productive sectors (Agriculture, livestock, fisheries; Industry, Commerce, and services including Tourism) associated with damage to infrastructure and asset damages;
- Lower revenues associated with demand reduction due to the disaster, higher production and operational costs, including higher costs in the provision of services (education, health, water and sanitation, electricity, transport and communications), combined with an increased demand for social services by the affected population in the recovery period;
- Increased expenditure for management of new risks arising from the disaster;
- Increased fiscal expenditures as opposed to reduced tax revenues in a scenario where the demand for government expenditures related to the disaster increases even as revenues drop on account of damages sustained by the productive sectors.

Losses are expressed in current monetary values. In some sectors or areas the actual variation of flows may not be negative; in the construction sector, for instance, the immediate repairs, removal of debris and full-scale repair and reconstruction would increase this sector's activities. On the other hand, these extraordinary expenses would be a loss or cost not budgeted for by the affected sector in terms of unexpected expenditures to meet emergency needs.

2.2.3 - Disaster Impact

The disaster impact analysis looks at the macro, medium and long-term impacts of the disaster. It combines a quantitative assessment of the macro-economic impact of the disaster with a quantitative and qualitative impact assessment on human development. The elements of each of these components of disaster impact are outlined below.

The Macro-Economic Impact

The macro-economic impact analysis includes an estimation of the disaster's likely effects on economic performance. It measures the temporary macro-economic imbalances that may arise, as well as the potential temporary decline in employment, income and well-being of affected individuals and households.

To measure the impact on macro-economic variables, analyses are usually made of the post-disaster performance on gross domestic product (GDP), the balance of payments (BOP) and the fiscal sector. The impact on GDP refers to the temporary negative repercussions of disaster losses on the performance of the economy, and to the positive effects on construction and other sectors due to the initiation of the reconstruction program. The impact of damage on gross investments is measured in the following years as asset restoration or replacement gets underway (depending on the construction sector capacity and available financial resources).

The impact on the BOP involves estimating the possible increase in imports and the decline of exports arising from the disaster, as well as possible reinsurance payments from abroad and relief donations from the international community.

The analysis of disaster impact on the public sector budget is estimated in terms of increased operational costs and lower revenues; wherever the public sector directly owns sectoral enterprises, its budget would sustain losses. The analysis of impact on personal or household well-being normally includes an estimation of employment and income decline due to the losses sustained in the productive and services sectors, as well as higher than normal family or personal expenditures[4].

The attempt to include an estimation of the impact on personal and household well-being in contexts where productive activity is undertaken through the informal sector, subsistence farming and unpaid family work continues to pose a challenge. These sectors often constitute a large share of the affected economy and have important gender dimensions and implications. Every effort needs to be made to capture this information and data.

The Human Development Impact

A disaster's impact on human development is known to persist long after physical reconstruction is complete.[5] It is therefore essential that the impact on human development be accurately assessed so that recovery strategies can be put in place to mitigate development reversals. This exercise is also crucial in forging the link between initial humanitarian efforts, recovery measures and longer-term development. The objective is to overcome the adverse impact on human development and that recovery strategies ensure that development, at the very minimum, returns to pre-disaster levels. Therefore, recovery efforts would continue for as long as necessary until human development is restored and/or enhanced.

The impact on human development due to the disaster can be captured as the difference between pre-disaster and post-disaster levels of human development, including the cumulative deficits accruing until human development has recovered and returns to the pre-disaster human development trajectory. The impact on human development is the disaster's impact on the quality of human life in the medium and long term.

The nature and extent of the disaster and its impact on human development outcomes should guide the choice of specific development indicators for the assessment. Assessing *what* is to be measured depends on the context and availability of such indicators for the affected area. Various measures can be applicable to determining the impact of development factors, including the Human Development Index (HDI), the Hybrid HDI, the Inequality-adjusted HDI, the Multi-dimensional Poverty Index and the Gender Inequality Index. In addition, the indicators and targets of the Millennium Development Goals (MDG) or the post-2015 Sustainable Development Goals can also be used as proxies to human development, too, and as a macro framework for human development assessment.[6] For instance, the disaster impact on human development can be predicted from indicators including the number of children attending school, the number of women and men who can work; the number of families that have access to clean water and the level of access to basic services such as education and health care.

Thus, during the PDNA, discussions would be required to determine which of the available human development measures are most applicable to assess the disaster impact. The choice of measures would also be influenced by the baseline data available. The measures chosen should be specified at the outset in the ToR for the PDNA.

The findings should summarize the additional cumulative effect of a disaster on the human development status and opportunities for those affected, especially the relatively more vulnerable such as women, children, the elderly, and the disabled. Where possible, the analysis should ideally estimate any reversal in development progress as a result of the disaster (in number of years). Depending on the nature of the disaster and its relative impact, various post-disaster recovery scenarios should be considered in determining short, medium to longer-term development needs.

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4 *Damage, Loss and Needs Assessment: Guidance Notes*. Volume 2.The World Bank. 2010.

5 Negative human development impacts depend on the nature of the disaster and could include, for example, increases in the numbers of men who are poor, girls under five who are malnourished, women dying in childbirth, or boys at risk of child labor as a result of the disaster.

6 In the aftermath of the 2010 Pakistan Floods, MDGs were used to develop a macro framework for capturing the disaster impact on human development.

Often, but not always, the impact of disaster on human development can be expressed quantitatively; however, several aspects may be captured in qualitative terms, as in the psychological impact of the disaster. Also, the impact on rights, dignity, justice, and equal treatment in terms of access to goods and services are usually harder to quantify. The quantitative implication of these qualitatively expressed needs would appear in the Recovery Framework as resources allocated to provide psychological support or increased security; revision of judicial practices, including training of police, judicial clerical staff as well as prosecutors and judges, to mainstream respect, dignity, justice and equal treatment. Thus, both qualitative and quantitative findings should be included in the analysis.

It is noted that the assessment of the disaster on human development or on specific MDG indicators may not be possible in all disasters. The decisions to conduct an MDG or Human Development impact assessment would be guided by the scale and magnitude of the disaster, availability of data for analysis, and the practicality of undertaking the assessment within the duration of the PDNA. The MDG impact assessment or the Human Development impact assessment may be done after the PDNA and the results integrated at a later stage into the Recovery Strategy.

2.2.4 - The Recovery Strategy

The assessment produces an integrated sector-by-sector report of the damages, losses and needs that is then summarized into a Recovery Strategy. The Strategy identifies recovery priorities, a cost structure, stakeholders, and suggests a time-frame for recovery. The Recovery Strategy would need to be followed through with a detailed recovery framework which comprises information on the policy and institutional arrangements, financial mechanisms, monitoring and evaluation systems for recovery.

The primary objective of recovery is to enable all people to improve their overall well-being by restoring their physical assets, livelihoods, socio-cultural and economic status. The Recovery Strategy defines the vision for recovery, identifies priority interventions as well as results and costs for recovery within a given time frame. It provides the critical link between assessment results and a comprehensive Recovery Framework.

The Recovery Strategy aims to accomplish the following key objectives:

- Mobilize stakeholders towards a common purpose.
- Facilitate inter-institutional coordination.
- Establish parameters for joint action planning.
- Identify priorities based on assessment results.
- Establish a calendar of recovery actions.
- Establish the guiding principles of good practice.
- Promote national ownership of the recovery process.
- Promote an equity-based, participatory and inclusive recovery process.
- Contain the fundamentals for reducing risks and for building back better.
- Provide an estimate of the cost of recovery.
- Provide the basis for a recovery framework that will lead to the detailed implementation plan including specific objectives, sectoral projects as well as partners, among others.
- Serve as a tool for resource mobilization with donors, including donor conferences.

The Recovery Strategy is developed in partnership with the same actors participating in the PDNA, under the leadership of the national government in collaboration with UN agencies, the WB, donors, and NGOs. It provides decision makers, especially governments, with a quantification and strategic proposal that would allow sectoral recovery interventions to be incorporated in the subsequent comprehensive Recovery Framework -- which, in the end, would become the recovery plan.

The Recovery Strategy answers the following questions:

- What are the priority recovery needs of the affected population?
- What measures and capacities are required to revitalize people's abilities to restore their full potential to lead productive, creative lives in accordance with their needs and interests, including protection against risk?
- What recovery interventions will address these requirements, and what are their broad resource requirements?
- Given the above, what are the broad intended results and the necessary staging/timing to address them?

Elements of the Recovery Strategy

MAIN ELEMENTS	*DESCRIPTION*				
RECOVERY NEEDS	*Outline of recovery needs for each of the components of disaster effect and disaster impact*				
	1/ For reconstruction of physical assets Build Back Better (BBB)	2/ To restore service delivery and access to goods & services Build Back Better (BBB)	3/ To restore governance and decision making processes Build Back Better (BBB)	4/ To reduce risks and vulnerabilities Build Back Better (BBB)	
VISION & GUIDING PRINCIPLES	*Overall vision for recovery and agreed guiding principles*				
INTENDED SECTORAL RESULTS	*Outline of aggregated sector results specifically*				
	1/ Priority Needs and Intervention	2/ Recovery Costs	3/ Expected Outputs	4/ Intended Outcomes	
IMPLEMENTATION ARRANGEMENTS	*Broad sectoral implementation strategy in terms of*				
	1/ Partnerships coordination and management	2/ Cross-cutting themes	3/ Links to development	4/ Resource mobilization	5/ Key assumptions and constraints

The Recovery Strategy is closely linked to national coordination and planning for human and economic development, so that the goals of the recovery process are aligned with the overall development plan for the country. The post-disaster recovery process provides an opportunity to revisit and, in some cases, update the desired development outcomes.

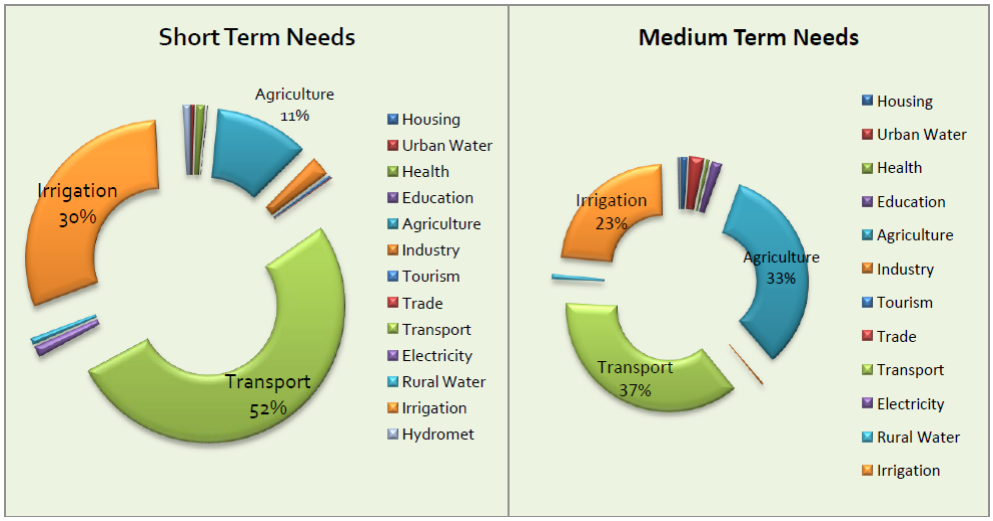
ELEMENTS OF THE RECOVERY STRATEGY: The diagram above summarizes the key elements of the post-disaster Recovery Strategy each of which is described in the sections that follow.

2.2.4.1 - Recovery Needs

The Consolidation and Analysis of Data

In order to design the Recovery Strategy, the quantitative data obtained from the PDNA assessment of disaster effects and disaster impact need to be consolidated and presented in a manner that provides a global picture of all sectors and areas affected. The diagram below illustrates an example.

Illustrative example of assessment data consolidated sector-wise at the national level



Source: Typhoon Haima Joint Damage, Losses and Needs Assessment (JDLNA). 2011.

At the same time, the assessment results need to be presented by sector and geographic area to facilitate a comparative analysis and prioritization with regard to the most critical needs of the affected population as identified in the disaster effects analysis. This necessitates a presentation of all the collected data as an aggregate at the national levels as well as in a disaggregated manner going by the province or municipality affected. Only with this level of disaggregation is it possible to obtain a comprehensive view of a given geographic area and plan a multi-sectoral recovery response in that area. It also facilitates comparative analysis between geographic areas. The following table provides an example, using colour coding to identify the geographic areas most affected for each sector.

The Elements of Recovery Needs

Recovery needs are calculated on the basis of the PDNA results for disaster effects and disaster impacts. Recovery needs are determined for four components:

- The reconstruction of damaged infrastructure and physical assets;
- The resumption of production, service delivery and access to goods and services;
- The restoration of governance and decision making processes;
- The reduction of risks.

These components are described in the following table. However, it is important to note that these elements are not independent of each other; rather, they are characterized by overlaps and should therefore be defined jointly in an integrated manner. Such reconstruction, resumption, restoration and risk reduction imply both the public and private sector, which will bear the costs and investments required. In some instances, given the private sectors low or lack of capacity to recover, the public sector will have to assume, subsidize or support the process.

Illustrative example of assessment data consolidated by sector and affected province

Area Affected		Sector															
		Education Facilities			Health Centers			Water			Sanitation			Housing			
Province	Municipality	Total damaged	Partial damaged	Total	Total damaged	Partial damaged	Total	Total damaged	Partial damaged	Total	Total damaged	Partial damaged	Total	Total damaged	Partial damaged	Total	
1	a	24	28	52	19	7	26	16	7	23	2	0	2	450	452	902	
	b	33	12	45	31	4	35	28	14	44	3	3	6	218	102	320	
	c	17	22	39	13	17	30	9	3	12	4	6	10	123	167	290	
	d	23	14	37	8	22	30	20	17	37	3	2	5	698	645	1343	
	e	12	25	37	9	25	34	4	6	10	4	4	8	440	1125	1565	
	g	2	7	9	12	21	33	13	15	28	1	2	3	544	446	990	
subtotal		111	108	**219**	92	96	188	90	62	**154**	17	17	**34**	2473	2937	**5410**	
2	a	5	3	8	0	3	3	3	6	9	8	2	10	1768	676	2444	
	b	1	3	4	2	3	5	1	3	4	0	2	2	654	1426	2080	
	c	0	1	1	7	5	12	1	4	5	0	0	0	1200	1789	2989	
	d	2	0	2	2	4	6	0	1	1	2	1	3	2780	2876	5656	
subtotal		8	7	**15**	11	15	26	5	14	**19**	10	5	**15**	6402	6767	13169	
TOTAL		119	115	**234**	**103**	**111**	**214**	**95**	**76**	**173**	**27**	**22**	**49**	**8875**	**9704**	**18579**	

Sample based on the Recovery Strategy in the Dominican Republic, UNDP, 2008

The Elements of Recovery Needs

Component	Description
Reconstruction of infrastructure and physical assets (As per the Damage, Loss and Needs Assessment: *Guidance Notes*. Volume 3. The World Bank, 2010.)	The financial requirements (or needs) for reconstruction after disasters are calculated on the basis of the quantitative estimations of destruction of physical assets that need to be rebuilt and restored to predisaster level. In other words, reconstruction needs are defined on the basis of the estimated values of damage, as derived during the assessment. The destroyed assets may be owned by private or public sector entities. Damage figures are then supplemented by the additional needs involved in the "building-back-better" concept. Therefore, reconstruction needs are calculated as: Value of Damage + Cost of (Quality improvement +Technological modernization + Relocation, when needed +Disaster risk reduction features + Multi-annual inflation). (This may be dealt with on a case- by-case basis, though.)
Resumption of Production, Service Delivery and Access to Goods and Services	Resuming production of goods includes needs for achieving same level of outputs prior to the disaster and adding costs to improve production. Restoring service delivery aims to improve the availability and quality of basic services to their pre-disaster level or better. This complements the rebuilding of physical assets described above under "reconstruction". It includes human resources and expertise required to ensure adequate service delivery, as also supplies, information systems or technology, as well as the need to re-adapt service delivery programs. The resumption of access aims to restore access to services and goods that fulfil the basic needs of individuals, families and communities such as access to markets, employment, water points, health care, food, schools, religious and cultural centers, etc. These needs consist of both the additional costs to disaster affected populations to access goods and services as well as the additional costs to service providers as a result of the disaster. These costs for resumption of services are calculated as: • the additional costs to service providers to restore basic services; • Costs to provide Build Back Better (BBB) and equitable and affordable services to vulnerable groups and affected population to access services;
Restoration of Governance and Decision Making Processes	Restoration of governance and social processes aims to revitalize and improve formal and informal institutions and policies, public administration and governance functions that are essential for livelihood restoration, for basic service delivery, and community and cultural life. It refers to the need for restoring or strengthening the capacity of sector authorities to lead and manage the recovery process, including decentralized local capacities, human resources, information systems, capacity building training, etc. The costs for restoration of governance and social processes are calculated as: • Costs for additional human resources with improved technical skills and of capacities of service providers to undertake the recovery; • Costs for replacing lost records and upgrading documents of the various public services; • Costs for addressing governance and social cohesion issues if disrupted.

The Elements of Recovery Needs (and II)

Component	Description
Reducing Risks	In addition to the estimation of needs to build back better in the reconstruction of physical infrastructure (described in the point above under the title "reconstruction", the cost of integrating risk reduction measures are estimated also for the following: • To address immediate risks; • Initiatives to reduce risks and vulnerabilities to future disasters such as safer infrastructure with considerations of spatial/territorial or land-use planning, hazard and risk maps, technical expertise, technologies and practices which build resilience;; • Preparedness capacities of the various sectors to manage the impact of future disasters; • Provide equitable and affordable services to vulnerable groups; • Initiatives to promote resilience of individuals and communities. The additional costs to Build Back Better (BBB) reducing risks and increasing preparedness is calculated as follows: • Costs for addressing immediate risks; • Costs for upgrading preparedness measures in each sector; • Costs for further studies or assessments, technologies and practices, technical expertise, etc. required to facilitate implementation of building back better approaches; • Cost for specific measures to strengthen disaster risk reduction.

2.2.4.2 - Vision and Guiding Principles

The Post Disaster Vision

The post disaster recovery vision that is developed during the stakeholder consultation process becomes part of the Recovery Strategy. Prior to prioritizing recovery needs, it is necessary to have consensus on what the impacted region and sectors will look like after the recovery process. The post disaster recovery vision is developed jointly during the consultative process, which ensures the support of key stakeholders for the Recovery Strategy.

The post disaster recovery vision serves as a guide for the recovery process. It provides the overall direction and "end state" that the stakeholders desire to achieve through the recovery process. The vision statement should be clear and should broadly capture the aspirations of the country and affected population and the change they expect as a result of the recovery interventions.

Ultimately, the recovery vision should be a guide pointing towards the return to the path to development. In this context the recovery vision should be anchored in the country's long-term national development plan and poverty-reduction strategy. It should be guided by global sustainable development goals and international human rights commitments. It should also be in tune with the goals of risk reduction and building back better. See section below on "Links to Development" for

further reference.

Guatemala Recovery Vision: Tropical Storm Agatha 2011

The National Government formulated a recovery and reconstruction plan following PDNA after tropical storm Agatha. The plan emphasized local, municipal and geographic distribution of the impact to focus on transformative actions in the most affected areas.

The recovery and reconstruction plan had a transformative agenda which aimed to address four systemic vulnerabilities that were enhanced by the disasters:

- social vulnerability given its demographics and population settlement pattern in the country;
- economic vulnerability due to the lack of diversified production structure and the structural poverty and inequality;
- environmental vulnerability due to the lack of a sustainable environmental management of natural resources; and finally
- institutional vulnerability, due to the lack of land use regulation, inappropriate construction patterns codes, weak monitoring and regulation of contracting processes and lax bidding processes.

The plan for recovery and reconstruction, adopted a vision of a transition from the emergency management to a vision of development with transformation that envisaged:

- a recovered and secure territory, with land use regulation that would allow the recovery of people's livelihoods, their habitat and productive capacities;
- the improvement of societal capacities to mitigate and adapt the effects of climate change, to reduce vulnerability that disasters pose to socioeconomic development, and
- strengthened national institutions with governance at all levels from the local to the national levels.

The Government following an earthquake in 2012 , chose to keep the same transformative vision for recovery and reconstruction and added that the above plan will incorporate DRR with an integrated, inclusive, rights based approach, including a respect for gender and socio cultural differences.

SEGEPLAN, 2012, Assessing the impact of the earthquake of November 7, 2012 in Guatemala safe for reconstruction
SEGEPLAN, 2011, • Recovery and Reconstruction Plan with transformation for Tropical Storm Agatha and the eruption of Pacaya, SGEPLAN, 2011, Assessment of damage and losses caused by Tropical Depression 12-E

The Guiding Principles for post disaster recovery.

Guiding principles for recovery are established to enhance the effectiveness of recovery, increase transparency and accountability of the various actors and promote coordination among stakeholders. The principles inform the overall Recovery Strategy and are applied during planning and implementation of the recovery interventions. Such principles should be agreed upon prior to the conduct of the PDNA so that they are applied in the Recovery Strategy and programmatic response.

Such statements of principles have been developed and agreed to in most assessments although no common set of principles has been agreed to by major stakeholders in recovery. Examples of recovery guiding principles include the following:

- Focus on the most vulnerable and most affected.
- Restore capacities and capabilities.
- Rebuild people's livelihoods.
- Support spontaneous recovery processes.
- Support local networks and volunteerism.
- Ensure equity and accessibility and promote gender equality in decision making, service delivery and recovery.

- Be inclusive, conflict-sensitive and participatory, and consult equally with women and men of all ages in order to understand and take into account their distinct experiences of the disaster, as well as their specific needs and priorities for reconstruction and recovery.
- Secure development gains.
- Reduce disaster risk.
- Engage the civil society and private sector.
- Encourage self-sufficiency.
- Be transparent and accountable.
- Implement using subsidiarity and decentralization.
- Ensure strong coordination.
- Establish partnerships aimed at gains in efficiency and effectiveness.

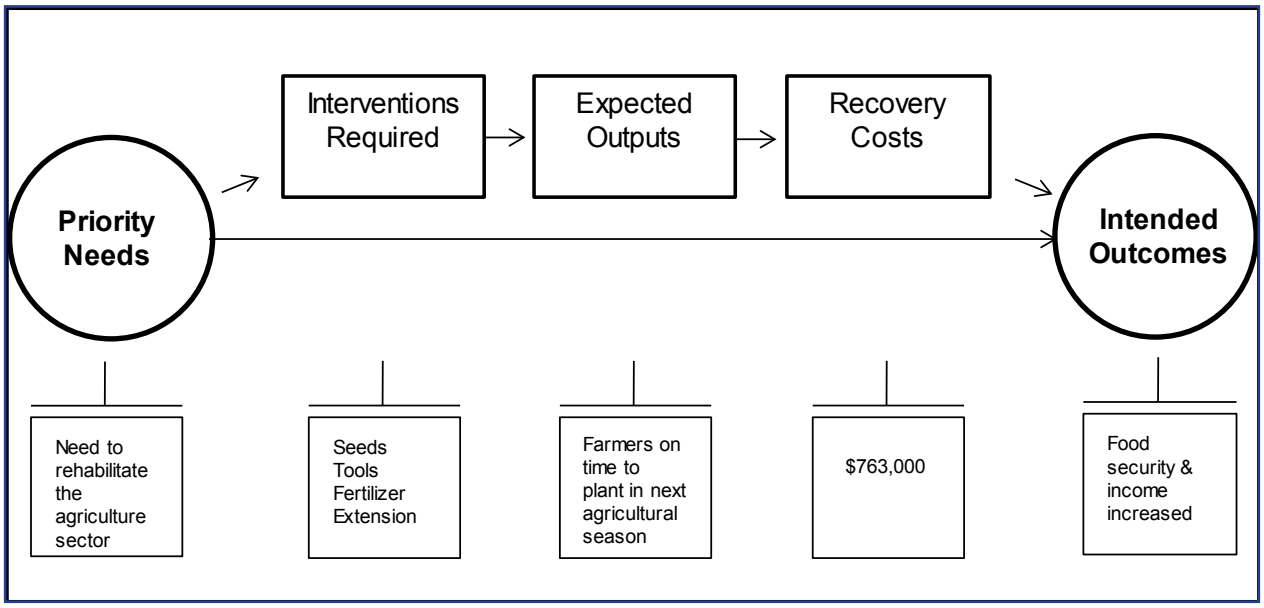
2.2.4.3 - The Sector Recovery Strategy

The Sector Recovery Strategy outlines the framework of:

1. sector priority recovery needs;
2. inputs/interventions required, expected outputs, and the intended outcome;
3. recovery costs.

The elements of the sector recovery strategy have been summarized in the following diagram.

Elements of the Sector Recovery Strategy



Adapted from UNDP´s Results Based Framework.

Prioritization of Sector Recovery Needs

Once recovery needs are determined, it is important to prioritize and sequence the needs at the sector level. Post-disaster settings are characterized by multiple needs across every sector and limited resources. Thus recovery needs and their associated interventions must be addressed in phases, with the most critical needs being accorded priority. It is recognized that the prioritization of needs is a political process determined by factors such as national and local government priorities, technical feasibility of the interventions, and the availability of resources, among others. The process to be followed for prioritization and sequencing of needs includes regular stakeholder consultations, recourse to expert opinion, and donor consultations.

Sectoral teams conduct their own needs analysis based on the assessment results, and prioritize the response options according to their distinctive areas of competence and mandate taking into account capacity, resource opportunities and the established country specific prioritization criteria. In developing the recovery needs and priorities, care should be taken to ensure that it addresses the impacts of the disaster. The prioritization of needs should consider the gap between the pre-disaster and post-disaster conditions and recommend interventions required to restore the socio-economic conditions of communities in a way that it improves their capacities to mitigate impacts of future risks and prevent relapses.

The key guiding principle here is that recovery and reconstruction protect communities from future disaster risks. However, it should also be noted that while additional costs and capacities to reduce disaster risks and to build back are included in the recovery budget, it should be done so without inflating the recovery budget to address long term development problems/deficits.

Priority setting should always reflect the unique conditions and needs of the country concerned and be based on prioritization criteria specific to the country context. Below are some key considerations to help facilitate prioritization:

- The most urgent needs expressed by the affected population;
- Population sub-groups in vulnerable situations or those who are at particular risk;
- Sequencing of needs, from the short-term to the medium and long term;
- Restoring to pre-disaster levels, followed by improvements;
- Actions that can yield early results effectively (within 18 months);
- Comparative advantages;
- Opportunities for greater impact;
- Institutional and technical capacity;
- Geographic areas with urgent needs;
- Current or near future milestones (e.g. elections);
- Addressing key obstacles associated with sectors;
- Recovery initiatives that contribute to peace where relevant.

Recovery Strategy: Interventions, Outputs, and Outcomes

The interventions required refer to the inputs and activities needed to address the priority recovery needs identified, and which transform them into outputs. Interventions can be programs, projects or policies that address the priority need and support recovery on a sustainable basis. They reflect what is *implemented*, and are significant in terms of what they ultimately *lead* to (outcomes).

Recovery interventions are developed for all sectors and are included in the Recovery Strategy along with their timeframe for implementation, as also the responsible government agency and implementation partners. The interventions are designed for short-term (disaster event to 6 months), medium-term (6-18 months) or long-term (18 months to 5 years) recovery timeframes. In selecting interventions, it is important to assess the impact it is likely to have on the affected population and its feasibility in terms of implementation, i.e., government and donor support as well as political implications, among others.

The *expected outputs* are the specific products and services that emerge from processing inputs through recovery activities. Outputs, therefore, relate to the *completion* (rather than the conduct) of activities and constitute the type of result over which managers have a high degree of influence.

The *intended outcomes* are actual or intended changes in disaster conditions that the recovery interventions seek to support.

Illustrative examples of priority needs, interventions, outputs, costs and outcomes

Priority Needs	Interventions / Inputs Required	Expected Outputs	Recovery Costs	Intended Outcomes
▪ Repair and rebuild damaged community schools. ▪ Teaching, learning and classroom materials for all transitional schools. ▪ Access to education for boys and girls.	▪ Construction materials, labour. ▪ Procurement and distribution of teaching and learning supplies. ▪ Removing obstacles and providing incentives for school attendance of boys and girls (e.g. school feeding schemes, provision of sanitation facilities separated by sex, safe transportation, etc.)	▪ 421 community schools repaired and rebuilt. ▪ Restored access to quality primary and pre-primary education.	▪ Costs for repair of schools $8,000,000 ▪ Costs for upgraded sanitation facilities in schools $2,000,000 ▪ Costs of school supplies $ 2,000,000 ▪ Costs for school feeding programmes $2,000,000 Total costs for recovery in Education sector $14,000,000	▪ Increased attendance rate of boys and girls in schools.
▪ Minimize the occurrence of vaccine-preventable diseases in the aftermath of the disaster.	▪ Td/TT vaccine and tetanus anti-toxin to persons injured. ▪ Vaccines against diphtheria, tetanus (and whooping cough for children), measles and rubella.	▪ Improved access to vaccination for people of all ages.	▪ $8,780,000	▪ Immunization completed for target population.
▪ Appropriate land-use planning for affected regions to help build back better.	▪ External technical experts. ▪ Hazard and risk maps. ▪ Capacity building training on DRR for ministry of planning.	▪ Land-use plans and risk maps developed for all affected regions.	▪ $2,900,000	▪ Reconstruction of physical infrastructure undertaken on the basis of land use plans developed taking into consideration natural hazards and its impacts.

NB : External expertise may be brought in the absence of national expertise or to train national experts

Recovery Costs

Costs are calculated once recovery priorities have been identified with their corresponding interventions, outputs and final intended outcomes. Typically costs are calculated for each of the expected outputs and intended outcomes included in the Recovery Strategy (as illustrated in the above table).

The initial estimated costing of outputs for each sector is done by the PDNA sector teams. The proposed interventions and outputs and associated costs for each sector are then shared and compared to ensure comprehensive coverage without double counting, as some interventions can address needs in more than one sector. To assist with this coordination among sectors, it is important that the various sector teams meet regularly during the assessment and planning process.

For estimating recovery and reconstruction needs, costs can be calculated using either unit cost of replacement and management costs. Unit cost is the established cost of an item or service based on the standard of living index in the country or an agreed schedule of costs used by the sector ministries for development planning. There would also be a standard increase in the unit cost to allow for build back better or risk reduction measures. The following considerations should be made in estimating costs for building back better

- The costs for BBB should be proportionate to the costs of recovery and reconstruction needs as well as the type of disaster (slow onset drought may have very low reconstruction needs, but high needs to invest in resilience/BBB)
- The costs for BBB should be realistic compared to the financial envelope pledged by the government and international development partners, taking into account that most funds will be needed for physical reconstruction and compensation of losses.
- The costs for BBB should be realistic toward the absorption capacity of the country and what is feasible to achieve over a period of 3 years.

In certain cases, a new project would be developed, the cost of which would depend upon the actual cost of intervention rather than replacement value. For example, if a community is being relocated, the cost of land would be built into the project, which may increase the total cost much beyond the replacement value. Similarly, the cost of project management would also need to be included in the cost of relocation project.

Unit costs may change due to a disaster. Given the demand and the possibility of decreased supply, unit costs of items may increase significantly.

In the absence of standard unit costs, the costing process generally used in planning projects can be used to develop the costs. Project costs can be used for interventions such as provision of skills training to a specified population group or the development of an information management system and other elements such as administration, and logistics, among others.

2.2.4.4 - Sector Implementation Arrangements

The Recovery Strategy includes a description of the implementation arrangements, particularly in terms of the following key elements:

1. Partnerships, coordination and management;
2. Cross-cutting themes;
3. Links to development;
4. Resource mobilization;
5. Key assumptions and constraints.

Partnerships, Coordination and Management

This section of the Recovery Strategy describes key partnerships in the recovery process and describes intra-sectoral and inter-sectoral coordination arrangements among all key actors and including the Government, civil society, and the private sector.

This section also describes the management arrangements for the recovery process. This includes arrangements for how the Government would organize the recovery process, within each sector and overall, indicating which government agencies would be responsible for managing recovery, and what changes or additional support may be needed for a successful recovery. The inter-agency management arrangements are also described here, among them the coordination unit or a similar arrangement proposed with the establishment of corresponding support services such as offices and human resources, to name a few.

Cross-cutting Sectors and Themes

Cross-cutting sectors and themes affect all or a substantial number of sectors and have important implications for post-disaster recovery.

The cross-cutting sectors considered in the PDNA are:

- Employment and Livelihoods
- Disaster Risk Reduction (DRR)
- Governance
- Environment

The cross-cutting themes considered in the PDNA are:

- Gender
- Age
- HIV/AIDS

Where applicable, sector teams should incorporate these cross-cutting issues in their assessment process, and the recommended interventions should be included in the Recovery Strategy. In any PDNA, additional context-specific cross-cutting issues may also arise and require treatment by the sectors.

In addition to these cross-cutting issues, there are linkages among various sectors, which require inter-sector cooperation. For example, the housing sector may require repair or rebuilding, which may link to the livelihoods sector when the rebuilding process is able to provide paid employment. Or, the damage suffered by the water and sanitation infrastructure may require additional preventive health measures and quality control of water supply. Hence it is important for each sector to share its findings with others and jointly determine cross-sector linkages. This requires working collaboratively with other sector teams to develop cohesive recovery interventions. This process would be aided by the Coordination Team, which has access to the assessment reports of all sectors and can identify areas for collaboration.

Links to Development

The Recovery Strategy would be useful for outlining the ways in which the recovery process could link up with and support the country's development goals and priorities. It would permit, wherever possible, the alignment of the recovery process to the broader strategic development objectives of national governments.

The Recovery Strategy would also permit the establishment of links with national development frameworks, national/local development plans, and the planning documents of development partners. When conditions allow, the Recovery Strategy could inform adjustments to the above documents.

Resource Mobilization

The Recovery Strategy forms the basis for mobilizing the majority of resources that support a country's recovery. A resource mobilization effort under this strategy would be able to secure funds for the recovery program. When internal mobilization or nationally available resources are insufficient for identified needs, organizing a donor round table or conference could constitute a key element of the strategy. Such an event could be organized following the completion of the PDNA and the Recovery Strategy.

The objectives and targets of the donor and potential pledging conference, and of the strategy for resource mobilization, should be discussed and decided by the Government with the support of the PDNA Team members. The donor conference could be convened under the leadership of the Government and the-High Level Management Team. The resource mobilization strategy should consider advocacy and communication to raise awareness among policy makers, potential donors, the media, key population groups, and other stakeholders considered important audiences.

Key Assumptions and Constraints

The PDNA identifies the key assumptions made to successfully complete the recovery process, and the major constraints likely to be encountered during the recovery process indicating how they might be overcome.

Examples of the key assumptions would include the following:

- Key stakeholders would be part of an open and participatory recovery process;
- There would be no new disaster affecting the country;
- The country's institutions and administrative capacities would be able to incorporate the recovery with their functional and technical capacities;
- As part of the support provided for the recovery, resources would be earmarked to enhance the functional and technical capacities of local and national institutions to undertake the recovery process.

The constraints would include:

- Limited financial and material resources;
- Insufficient human resources and technical expertise to support timely recovery.

The constraints could be overcome by soliciting financial and technical support from international donors and partners, organizing trainings for government and community staff and volunteers.

CHAPTER 3
PROCESS AND PROCEDURES FOR A PDNA

3.1 - INTRODUCTION

This chapter focuses on the *process* for conducting a PDNA. It offers guidance on the measures to be taken in the preparation and implementation of a PDNA. More specifically, it provides guide on:

- The consultation and decision-making process required to activate a PDNA;
- Preparation for a PDNA through a Planning Mission;
- The process for conducting a PDNA.

In addition Volume A also includes a 'Toolkit' with model ToRs for the various teams which form part of a PDNA, along with templates that can be used to facilitate the PDNA process such as for producing the final report. These can be adapted to each context as required.

It must be noted that the processes and procedures recommended in this chapter are meant to illustrate a possible way of maintaining inter-agency coordination during the PDNA process, building on good practices from past disaster responses. All of these procedures may not apply to a specific inter-agency response to a disaster. The actual modalities of coordination can vary substantially depending on country context and the nature of government request for international involvement; the dynamics of inter-agency relationships in various regions and countries; the nature, size and specific objectives of inter-agency responses to specific disaster situations, and other ground realities.

Managing a PDNA requires close collaboration between the National Government and the respective country-representatives of the UN, the EU, the WB and other partners, as well as close collaboration at headquarters (HQ) level among the UN, the EU, the WB and other international partners to ensure that the assessment process and the development of a Recovery Roadmap are well coordinated. Once on the ground, the principles of an effective PDNA should be: one assessment structure, one assessment process and one assessment output— namely, the Recovery Strategy.

The process of planning and conducting a PDNA involves:

- Coordination arrangements;
- Establishing the PDNA management team;
- Agreement on roles and responsibilities;
- Composition of assessment teams;
- Resourcing requirements;
- Assessment logistics.

These tasks in the PDNA process are organized in this chapter into six main steps as summarized in the table and diagram below, although these steps and the timeline for conducting a PDNA will always depend on the nature and scale of a disaster.

3.2 - STEPS AND PROCESS

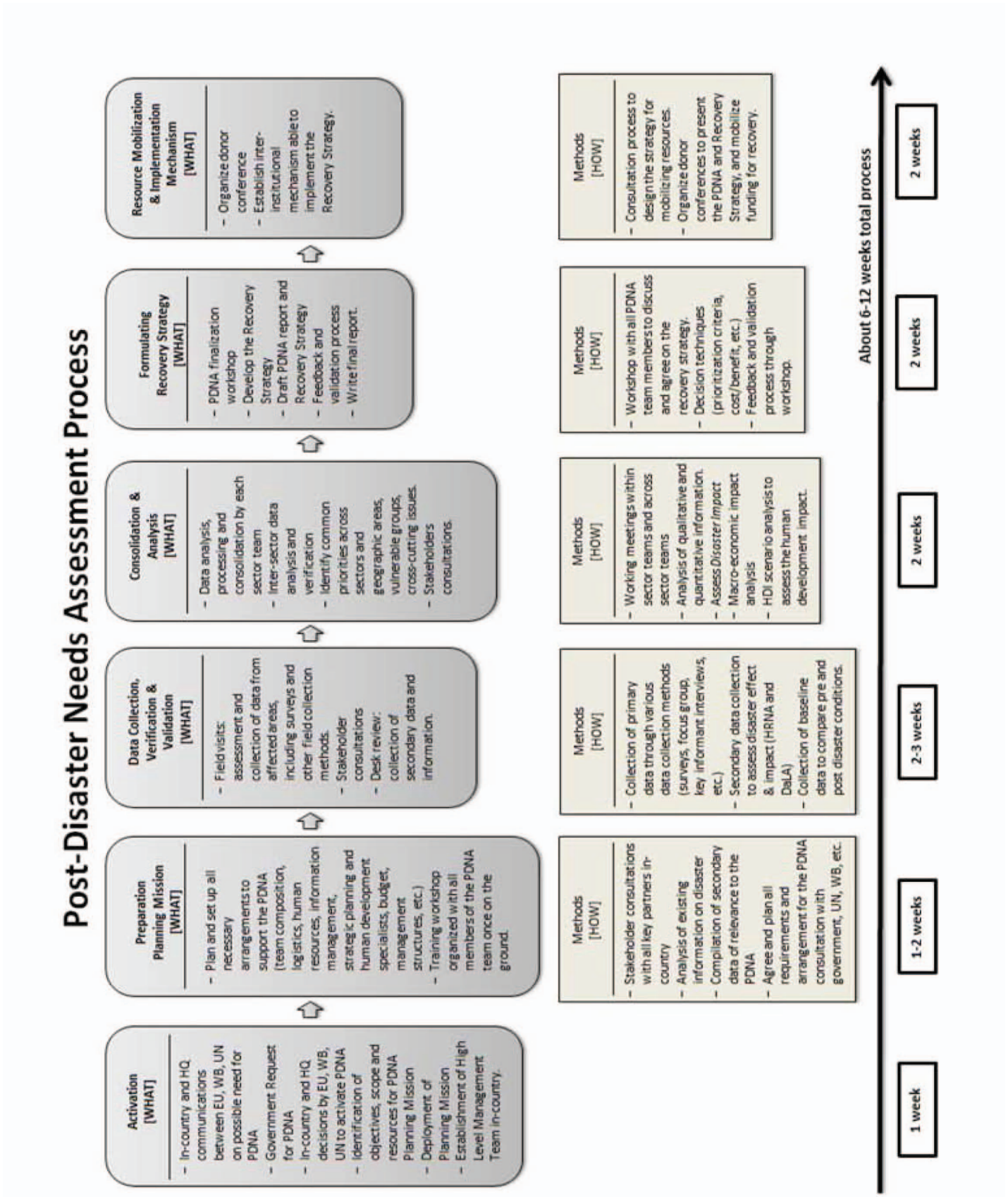
The steps and process of a PDNA are summarized in the following table and subsequent diagram. Each of the steps is described in detail further below.

Key Steps, Process and Outputs of a PDNA

Key Steps	Main Process and Outputs
1/ Pre-Activation and Activation	▪ In-country communication between EU, WB, UN on possible need for PDNA; ▪ Immediate communication from EU, WB, UN country offices with respective HQ and communication between EU,WB and UN for support to a possible PDNA exercise; ▪ Government request for PDNA, in-country and HQ decision by EU, WB, UN to activate PDNA; ▪ Identification of objectives, scope and resources for PDNA; ▪ Determination of the institutional set up from the national to local level, including government ministries and departments, local governments, community institutions, NGOs, and civil society; ▪ Support that the Government will provide to the assessment mission (this normally occurs during a pre-assessment Planning Mission by the staff of the tripartite agencies or can be arranged with local representatives of the tripartite agencies); ▪ Deployment of Planning Mission; ▪ Establishment of High-Level Management Team in-country; ▪ Establishment of coordination arrangements at HQ to provide support form HQ and regional levels when required; ▪ Development of a resource mobilization strategy for the PDNA.
2/ Preparing a PDNA	▪ Set-up arrangements and PDNA plan; ▪ In consultation with Government, the tripartite members will set up all necessary arrangements to support the PDNA (team composition, logistics, human resources, information management, strategic planning and human development specialists, budget, management structures, etc.); ▪ Workshop organized for training the PDNA Team to conduct the assessment; ▪ Timeline for PDNA: establish the work schedule and timeline for the assessment, including the composition of sector groups.
3/ Data collection and validation	▪ Desk review: in the context of the sector and thematic groups created, collection of secondary quantitative data on disaster damages and losses and pre-disaster baseline information; ▪ Field visits: sample collection of data, and validation of data from affected areas, including surveys and other data collection methods through Interviews. Field visits to be coordinated with national and local authorities. Selection of locations will be based on preliminary data of most affected or relevant areas or sectors; ▪ Stakeholders' consultations, including focus groups.

Key Steps, Process and Outputs of a PDNA (and II)

Key Steps	Main Process and Outputs
4/ Consolidation and analysis	▪ Data analysis at the sector level: the consolidation, processing and analysis of data on damage and losses collected by each Sector Team; ▪ Once the damage and losses are compiled, identify sector recovery needs and priorities and synthesize into sector reports; ▪ Inter-sector data analysis: cross-check findings across sectors. Do a multi-sector analysis to achieve a common understanding of disaster; identify common priorities across sectors and geographic areas, vulnerable groups, cross-cutting issues, and establish a common basis for recovery programming; ▪ Consultation: consultative process of engagement with local stakeholders in affected areas to agree on priority needs and recovery strategies; ▪ Cross-checking needs/recovery strategies across sectors and geographical areas; ▪ Impact analysis at the macro level (projection of the impact on the economy and on human development.)
5/ Formulating the Recovery Strategy	▪ Workshop with all PDNA Team members to share PDNA results and recovery needs in all sectors and the results from the consultation with local stakeholders; ▪ Develop the Recovery Strategy (vision, guiding principles, recovery and reconstruction needs and priorities, implementation arrangements); ▪ Draft PDNA Report with Recovery Strategy; ▪ Feedback and validation process; ▪ Write final report; ▪ Preparation of summary and power point presentation.
6/ Resource mobilization and implementation mechanism	▪ Support resource mobilization, if needed, as a complement to the resources allocated from the national budget; ▪ Organize donor/pledging conference to present PDNA and Recovery Strategy; ▪ Recommend inter-institutional mechanism for implementing and coordinating recovery, respecting and strengthening national/local institutional organization.


Post-Disaster Needs Assessment Process
Activation [WHAT]
- In-country and HQ communications between EU, WB, UN on possible need for PDNA
- Government Request for PDNA
- In-country and HQ decisions by EU, WB, UN to activate PDNA
- Identification of objectives, scope and resources for PDNA Planning Mission
- Deployment of Planning Mission
- Establishment of High Level Management Team in-country.
Preparation Planning Mission [WHAT]
- Plan and set up all necessary arrangements to support the PDNA (team composition, logistics, human resources, information management, strategic planning and human development specialists, budget, management structures, etc.)
- Training workshop organized with all members of the PDNA team once on the ground.
Data Collection, Verification & Validation [WHAT]
- Field visits: assessment and collection of data from affected areas, including surveys and other field collection methods.
- Stakeholder consultations
- Desk review: collection of secondary data and information.
Consolidation & Analysis [WHAT]
- Data analysis, processing and consolidation by each sector team
- Inter-sector data analysis and verification
- Identify common priorities across sectors and geographic areas, vulnerable groups, cross-cutting issues.
- Stakeholders consultations.
Formulating Recovery Strategy [WHAT]
- PDNA finalization workshop
- Develop the Recovery Strategy
- Draft PDNA report and Recovery Strategy
- Feedback and validation process
- Write final report.
Resource Mobilization & Implementation Mechanism [WHAT]
- Organize donor conference
- Establish inter-institutional mechanism able to implement the Recovery Strategy.
Methods [HOW]
- Stakeholder consultations with all key partners in-country
- Analysis of existing information on disaster
- Compilation of secondary data of relevance to the PDNA
- Agree and plan all requirements and arrangement for the PDNA consultation with government, UN, WB, etc.
Methods [HOW]
- Collection of primary data through various data collection methods (surveys, focus group, key informant interviews, etc.)
- Secondary data collection to assess disaster effect & impact (HRNA and DaLA)
- Collection of baseline data to compare pre and post disaster conditions.
Methods [HOW]
- Working meetings within sector teams and across sector teams
- Analysis of qualitative and quantitative information.
- Assess Disaster Impact
- Macro-economic impact analysis
- HDI scenario analysis to assess the human development impact.
Methods [HOW]
- Workshop with all PDNA team members to discuss and agree on the recovery strategy.
- Decision techniques (prioritization criteria, cost/benefit, etc.)
- Feedback and validation process through workshop.
Methods [HOW]
- Consultation process to design the strategy for mobilizing resources.
- Organize donor conferences to present the PDNA and Recovery Strategy, and mobilize funding for recovery.
About 6-12 weeks total process
1 week
1-2 weeks
2-3 weeks
2 weeks
2 weeks
2 weeks

3.3 - CONSULTATIONS WITH THE GOVERNMENT FOR CONDUCTING THE PDNA

The PDNA is a government-led and government-owned process carried out with the participation of national and international agencies. The National Government's leadership of the exercise is critical to a successful assessment. It is therefore recommended that the Government conveys its commitment to undertake the PDNA at the appropriate level and provides the requisite support. The following section briefly outlines the support required from the Government to undertake the PDNA.

Initiating the Assessment

The PDNA is initiated at the request of the National Government. International agencies do not have a mandate to conduct a PDNA without an explicit request from the Government. It is desirable that a letter be addressed requesting the tripartite partners (EU, WB and the UN) to support the Government in conducting the PDNA. On receipt of the letter, the tripartite partners would meet the relevant government authorities and hold preparatory discussions on the scope of the PDNA as well as the technical and logistical support required for conducting the PDNA.

Preparatory Steps for Conducting a PDNA

At the outset it is important to appoint a ministry or department to lead the PDNA. The role of this ministry/department would be to coordinate all the National Government line ministries and international agencies in following the various steps for conducting the PDNA. The ministry or department may report to a higher authority (refer to page 61 for more on the High-Level Management Team) if deemed necessary by the Government to provide oversight and guidance to the PDNA.

In planning a PDNA it is essential to understand the scale and magnitude of the disaster so that clear ToRs for the PDNA can be formulated. This can be done through a Planning Mission with two or three members of the National Government supported by members of the EU, the WB and the UN. The primary role of the Planning Mission is to draft a clear ToR and budget for undertaking the PDNA. For more information on the Planning Mission, please refer to page 56.

Drafting the ToR for the PDNA

A ToR for the PDNA should be drafted together with the Government. A ToR defines the scope of the PDNA and the time frame, its management structure, staffing and logistical arrangements, and information management considerations. All the aspects of the ToR should be finalized in consultation with the Government. The government agency responsible for coordination of the PDNA must agree with the terms of reference and convey its concurrence formally.

Schedule and Timeframe for the PDNA

The schedule and timeframe for conducting a PDNA is decided in consultation with the Government. As it takes a minimum of three to six weeks to complete the PDNA, the schedule should take into account the availability of primary data before the PDNA commences. It must be ensured that the humanitarian phase of disaster is almost over, and that the conduct of PDNA would not impede the continuance of any relief activity. It is also important to ascertain that local government employees have reported back to the duty and are available to assist in the task of conducting the PDNA. Normally, the PDNA should commence after one or two weeks of the disaster.

Government Participation

The Government must nominate its officials and experts to participate in the PDNA. It should begin with making arrangements for the coordination of the PDNA. Within the Government, a senior level official must be nominated to coordinate the PDNA. As sector teams are constituted, government officers must participate in each sector team and provide information about the damages and losses with their first-hand knowledge of the situation. If government officers are not available for certain reasons, the Government should nominate sector experts available within the country for the

purpose of assessment. The participation of government officials is important not just for government ownership but also for validating data on damages, losses, and needs.

Provision of Local Facilities

The Government is required to provide local facilities to the assessment team. This would include office space for the team, a training facility, as well as communication facilities. Though the assessment team would generally be equipped with its computers, it is important to find a workspace that is equipped with computers, printers, telephones, and internet facilities. Some local staff may be designated for IT and communication support. It constitutes an important support for the assessment team.

It would be very helpful if the government is able to provide transportation facilities to the assessment team. A number of sector teams would have to conduct field visits. They need to be provided with vehicles so that they can conduct their assessment in an efficient manner.

Translation and Interpretation

A large amount of information and data that is important for the assessment teams exists in local languages. The Government should arrange for translators who can help the assessment team gain access to all the required information and data.

In course of field visits, when the assessment team is required to hold discussions with the community, the presence of interpreters would be invaluable. The Government should assign one or two persons with each sector team who would be able to interpret the information shared by households and communities.

Formation and Training of Sector Teams

The assessment should cover all affected sectors. For each sector, a team would be constituted, which would include experts from the Government, international agencies and on the private sector, based on their expertise. The government ministry/official coordinating the assessment would have information on the sector teams constituted for the assessment. It would enable the Government to facilitate the work of these teams and provide them local facilities for conducting the assessment.

The Government must support the training of sector teams in the PDNA assessment methods. Such support would be provided by arranging a training program for the PDNA team. Government officials participating in the PDNA should attend the training program. The venue and other logistical support for training should also be provided by the Government.

Collection of Baseline and Primary Data

It is for government agencies to provide baseline data on all the sectors that would be assessed. Sector teams would have to meet the relevant department / agency for collecting the baseline data. Wherever the baseline data is not readily available, the Government should locate sources of information for constructing the baseline data.

Government agencies should also depute their staff for collection of primary data on damages and losses. For example, in the agriculture sector, the data on total area and crops affected needs to be collected and compiled by the Ministry / Department of Agriculture. Similarly, the data on loss of employment and livelihoods in different sectors would be collected by the agency responsible for employment. The collection of such data can be undertaken by government staff only. The primary data on the damage and loss must be made available to the sector teams when they arrive. The collection of such data should be emphasized at the time of discussing and finalizing the ToR.

Field Visits

Sector teams are required to undertake field visits to carry out assessments. These field visits need to be organized by the concerned government agencies. The number of field visits as well as the places to visit would be decided in consultation with the government agencies. Sector teams would be accompanied by representatives of government agencies during their visits to the sites.

The field visits of sector teams would be organized by government agencies, and the number of field visits as well as the places to visit would be decided in consultation with the government agencies.

Household and Community-level Surveys and Interviews: The assessment involves conducting household and community surveys. These surveys and interviews are conducted most productively when the relevant government agency takes the lead. Government agencies can suggest the households and communities which the sector teams should visit. In designing the questionnaire and framing issues for discussion, government agencies can provide crucial insights on local cultural nuances. They are also in a better position to establish rapport with households and communities and seek information through interviews in the local language. Government support for such interactive exercises in the field is generally critical.

Writing the Report

All sector teams write their reports, submitting them to a writing team which prepares and finalizes the PDNA Report. It is important for the Government to join the writing team. The team moderates and edits the sector reports, producing a summary version capturing the most important aspects of the assessment. The Government's participation in the writing team ensures that the important issues are highlighted adequately and recovery priorities are reflected accurately. The report would carry more weight if the Government were to be associated with the drafting and finalization of the assessment.

Presentation of PDNA Results

The PDNA Team is required to make a presentation of its findings before the Government. The presentation would include a summary of damages, losses and recovery needs in all sectors. It would also convey the financial resources and technical skills required for implementing recovery. All government ministries/departments as well as sector teams would attend the presentation, providing any clarification sought by government representatives.

Review and Approval of the PDNA Report

Once the PDNA Report is submitted, it is for the Government to circulate the report to various ministries/departments for their comments. Such a review needs to be conducted in a time-bound manner. The comments would be incorporated by the PDNA Team and the PDNA Report finalized. Then the final PDNA Report is submitted to the Government for its approval. Once it gets approved, the PDNA Report becomes an official report, which would form the basis for recovery planning and implementation.

PDNA Follow-up Measures

Once the PDNA is accomplished, it may become necessary to mobilize external resources for recovery and reconstruction in addition to the national budgetary allocation for the PDNA. The National Government may request the support of the tripartite partners to organize a donor conference for presenting the recovery and reconstruction strategy.

Formulation of a Recovery Framework

On completion of the PDNA and the Recovery Strategy, the National Government may like to develop a detailed implementation plan for recovery and reconstruction programmes. This detailed plan may include finalizing the institutional arrangements for recovery and reconstruction, outlining the technical skills required for reconstruction, developing a detailed budget, and a monitoring and implementation plan. The Government may request further support from the tripartite partners to formulate a Recovery Framework which constitutes a detailed, sector-wise implementation plan.

3.4 - ACTIVATION OF THE PDNA

The immediate focus following the onset of a disaster is on providing life-saving humanitarian aid and search and rescue operations. During this initial phase rapid assessments are conducted to evaluate the most urgent needs so as to guide relief activities and resource mobilization for humanitarian assistance. This is done through a Flash Appeal issued by the United Nations Office for the Coordination of Humanitarian Affairs (OCHA) if the Government requests international support. While life-saving humanitarian response is the first priority in post-disaster situations, the first steps towards a PDNA should take place as early as possible following the onset of a disaster.

A PDNA is triggered by an explicit request of the Government. The request should come in the form of an official request from the Government to the EU/WB/UN. This request is shared with the relevant partner's in-country office and HQ. Any of the PDNA tripartite organizations may assist the affected government in organizing a PDNA Planning Mission. The agency that launches support to the affected government is required to ensure that the other tri-partite partners are part of the PDNA Planning Mission.

At the country level, the decision to roll out a PDNA is based on joint communication, coordination and agreement between the National Government, the EU Head of Delegation, the WB Country Director/Manager, and the UN Resident Coordinator / Humanitarian Coordinator. One or all of the tripartite parties may facilitate a consultation process with other key stakeholders where necessary.

It is important to be in accord as regards the objective of the PDNA Planning Mission, its scope, the ToR, timing, and expected cost. Once the arrangements for the Planning Mission are agreed upon, steps are taken to establish the High-Level Management Team in-country which would be responsible for the overall strategic direction of the Planning Mission and the PDNA (see section below on PDNA Management Structure for further reference).

The decision-making process also involves coordination and communication between the field and HQ in order to make rapid and appropriate decisions for the roll-out of the PDNA. The tripartite partners at HQ discuss the evolving situation and updates on new developments in the field, and discuss the support required at country-level for the Planning Mission and eventual conduct of the PDNA.

The ultimate decision to conduct a PDNA emerges from the field; the role of HQ is to provide technical support to facilitate this decision process as well as the implementation of the PDNA. Once an official request for a PDNA is made by the National Government, the tripartite parties at HQ are required to coordinate with their in-country counterparts to arrive at joint decisions on the Planning Mission and to make all the necessary arrangements to support the mission, with personnel and resources. The three partners reserve the right to participate or opt out of an assessment for political or technical reasons. The table below outlines in great detail, the roles and responsibilities during the activation and roll-out process.

Summary Table of Roles and Responsibilities

Actors	Primary Role and Responsibilities
In-country Tripartite Parties (UN, WB, EU)	▪ Ensure communication, information sharing and coordination among all three parties; ▪ Facilitate the consultation process to ensure information sharing and coordination, as required, with all in-country stakeholders, including with the Government, the UN Country Team, donors, and NGOs; ▪ The tripartite parties request the activation of the PDNA once an official government request has been received; ▪ Ensure communication and coordination between country offices and HQ in order to make rapid and appropriate decisions for the activation and roll-out of the PDNA; ▪ Ensure communication and coordination with other in-country stakeholders ,as required, to make rapid and appropriate decisions for the activation and conduct of the PDNA; ▪ Once the official request for a PDNA is received from the Government, the tripartite parties discuss and agree on the arrangements to organize and coordinate the PDNA Planning Mission, including its ToRs, priorities and timeframes, and identify funding and staff for the exercise; ▪ Establish the High-Level Management Team in-country in consultation with the Government and other key stakeholders ; ▪ Provide on-going support throughout the Planning Mission and PDNA process;
Head-quarters Tripartite Parties (UN, WB, EU)	▪ Ensure communication, information sharing and coordination among all three parties at the HQ level; ▪ Ensure communication and coordination with tripartite counterparts at country-level in order to make rapid and appropriate decisions for the activation and roll-out of the PDNA; ▪ Support the activation and roll-out of the PDNA, including the Planning Mission, with technical expertise, guidance and resources as required; ▪ Ensure communication and coordination with other participants in the PDNA throughout the PDNA process.

3.5 - PREPARING A PDNA

The Planning Mission: Purpose and Team Composition

The overall purpose of the PDNA Planning Mission is to make the arrangements needed to conduct a successful PDNA. It is important for the organizers of the PDNA Planning Mission to identify key stakeholders whose participation is significant for the task at hand. All tripartite partners as well as the Government are required to be part of the PDNA Planning Mission. Other stakeholders that may form part of a Planning Mission include relevant ministries, regional governments, in-country representatives of UN agencies, local and international NGOs, and potential donors.

It is important to keep the PDNA Planning Mission as compact as possible to facilitate quick decision-making and ensure a commitment to completing the Planning Mission's ToR.

Expected Outputs of the Planning Mission

The PDNA Planning Mission should produce two core outputs:

- A brief situation analysis report.
- The PDNA ToR.

These outputs are summarized in the following table and subsequently described in greater detail.

Core Outputs	Description
1/ Brief Situation Analysis	Write a brief situation analysis report providing an update of the disaster situation, based on the following: ▪ Desk review of key rapid assessment reports, field reports, available government data, maps as well as satellite images, among others; ▪ Consultations with all key stakeholders; ▪ Government's willingness and capacity to provide leadership and technical and logistical support for the conduct of the PDNA.
2/ The PDNA ToR (based on standard PDNA content, adapted to local situation and agreed with government)	Scope of the PDNA: ▪ Objectives of the PDNA; ▪ Sectors and cross-cutting themes to be assessed by the PDNA, and the criteria of identification of the themes; ▪ Geographic areas to be assessed; ▪ PDNA timeframe; ▪ PDNA work plan. PDNA management arrangements: ▪ Management structure and composition, especially of the PDNA Coordination Team and High-Level Management Team report writing, among others.

Output 1: Brief Situation Analysis Report

In order for the Planning Mission to achieve its objectives, it is necessary to understand the scale of the disaster, its impact on the population and on the on-going and planned development processes. This information would be based almost totally on existing secondary information, including rapid assessments already conducted to inform the humanitarian response, and limited interviews with key stakeholders. Support and information from national country teams and representation offices of the tripartite members would be crucial. This would enable the team to confirm the need for a PDNA, and that being so, to define its scope and the arrangements required.

An important element of the situation analysis is to be aware of and provide preliminary information on the local/National Government's existing institutions which can support recovery, available information and databases, the government's engagement in humanitarian assessments and response, and its capacity to engage in the PDNA process. This includes determining the technical capacity and the institutional set-up across sectors among different line ministries or agencies, and at national and decentralized levels.

At the same time it is also important to assess the structure and organization of the international community on ground, particularly the national and local representation of the UN Country Team, the IFI, donors, and international NGOs. This would make it possible to determine the capacity available for participation in the PDNA, the gaps that need to be addressed in terms of external expertise, or involvement required from the headquarters.

Based on the interviews, the desk review, consultations and the capacity assessment, the Planning Mission generates a brief situation analysis report as the basis for discussions with the Government and among tripartite parties, and for jointly deciding on future actions and priorities with regard to the PDNA. The report would include some of the following:

- The general impact of the disaster on the country;
- Affected sectors, including those most affected;
- Affected geographic areas, particularly those most affected;
- Major post-disaster consequences apparent at the time;
- Urgent needs requiring attention in the PDNA;
- Focus on the inter-relation between sectors and how overlaps may be addressed, as well as priority cross-cutting themes;
- Information gaps that need to be filled;
- Current and planned needs assessments and planning exercises;
- Potential mechanisms for consultation;
- Overview of current and planned response actions;
- Potential partnerships for undertaking the PDNA;
- Current and potential funding available for the PDNA and/or recovery.

Part of the rationale of the PDNA is to limit the total number of assessments conducted by multiple organizations and avoid a duplication of efforts. This can be done by improving coordination with regard to the collection, analysis and reporting of pre-existing data and new data emerging from the assessment. It would include capitalizing on existing, pre-disaster information and making use of available rapid humanitarian assessment reports and satellite-based analyses which can provide critical insight on the extent of damage, its potential impact and on the significant differences between affected regions.

However, if critical gaps in information are identified by the Planning Mission, a brief reconnaissance mission to some or all affected areas may be required to fill the information gaps and establish a first-hand appreciation of the severity of the disaster and its effects on the local population and the on-going development processes.

In planning a reconnaissance mission, useful information can at times be gleaned from satellite-based analyses that could prove helpful in the selection of areas for field visit(s). These satellite-based analyses, together with the reconnaissance mission, would help better understand the variations essential to ensure a comprehensive assessment during the PDNA and Recovery Strategy.

The reconnaissance mission should be government-led and include either the entire PDNA Planning Mission Team or a subset, or additional team members from the EU, the WB, and the UN agencies. The number and type of sectors that participate would depend on the context of the disaster. The reconnaissance mission report would fill information gaps, provide further information on the extent of damages by geographic area and sector, and provide an indication of priority sectors for the PDNA and eventual Recovery Strategy.

Output 2: The PDNA ToR

The situation analysis and reconnaissance mission constitute the basis for developing the PDNA Plan. This plan outlines all the arrangements necessary to undertake a successful PDNA: it defines the scope of the PDNA and the timeframe, its management structure, staffing and logistical arrangements, and information management considerations. Each of these elements of the plan is outlined below.

Defining the Scope of a PDNA

Situation analysis enables the Planning Mission to define the scope and objectives of the PDNA within the broader geographic and sectoral context of disaster damage and impact determined by the Government. Although rare, a Planning Mission may not always result in the conduct of a PDNA. Assuming a decision is made to conduct a PDNA, the Planning Mission specifies the scope of the PDNA, which may be limited to a few sectors, specific geographic areas and a rapid timeframe, or be very comprehensive, covering multiple sectors, complex data collection requirements, extensive geographic coverage and analysis, among others. Based on the situation analyses and Planning Mission, the Government would decide on:

- The sectors to be included in the assessment;
- The geographic areas to be assessed in line with the official decisions;
- The international partners, relevant government ministries as well as the national organizations that would be involved in the assessment;
- The timing for initiating and completing the PDNA.

The Sectors to be Included

All sectors typically included in either the DaLA methodology or in the Human Recovery Needs Assessment (HRNA) approach are indicated in the table below, and can be used as a starting point for discussions with the Government on the selection of sectors for the PDNA. It is recognized that the Government has the responsibility to take a final decision in this regard. Many governments have established their own sector/cluster taxonomies and these should also guide the selection of sectors. The decision process, however, is always driven by the severity of disaster impact on the sectors. The decision process should also consider the characteristics of the disaster, the sub-sectors and cross-cutting themes that need to be addressed, as well as the needs and priorities of the affected population and the Government.

Social Sectors	Infrastructure Sectors	Productive Sectors	Cross-cutting Themes
Housing, land & settlements	Water, sanitation and hygiene	Agriculture, livestock, fisheries	Governance
Education	Community Infrastructure	Industry, Commerce & Trade	Disaster risk reduction
Health	Energy & Electricity	Tourism	Environment
Culture	Transport & Telecommunication		Employment & livelihoods
Nutrition			Gender

Note: in some cases the cross-cutting themes listed in the table may be stand-alone sectors.

The decision on the sectors to be assessed is critical. There should be an effort to ensure that no affected sector is excluded. Similarly, none of the particular needs of the affected population should be overlooked. Sector leads would, in turn, need to identify sub-sectors. A well-defined sectoral approach helps ensure comprehensive coverage and key linkages between sectors. Sectors that are to be included in the assessment are identified during the Planning Mission to ensure that the PDNA is staffed by the appropriate subject matter experts.

The Timing of the Assessment

The timing of the PDNA requires careful consideration vis-à-vis on-going humanitarian response and assessments. It is also important to keep in mind that the timing of the assessment does not interfere with the revision of the humanitarian flash appeal, donor pledging conferences and/or the development of recovery and reconstruction strategies. Disasters are a time of exceptional stress, both for the populations affected and for their counterparts in government who face unprecedented demands in the course of their work; thus the onus should be on all PDNA teams to coordinate their work in such a way as to ease the impact of their activities on their official counterparts and affected population.

It is possible that PDNA members may already be engaged in assessments for humanitarian responses. In such cases, arrangements would have to be made for sharing those assessment results. While it is important that the PDNA does not interfere with the humanitarian operations and resource mobilization processes, it is equally important to ensure that the PDNA is not delayed to the extent that the "window of opportunity" to influence and start recovery is lost, as also opportunities for prompt mobilization of resources.

The duration of a PDNA varies depending on the scale and magnitude of the disaster and other factors. Timely delivery of the assessment should be a guiding principle in the conduct of the PDNA.

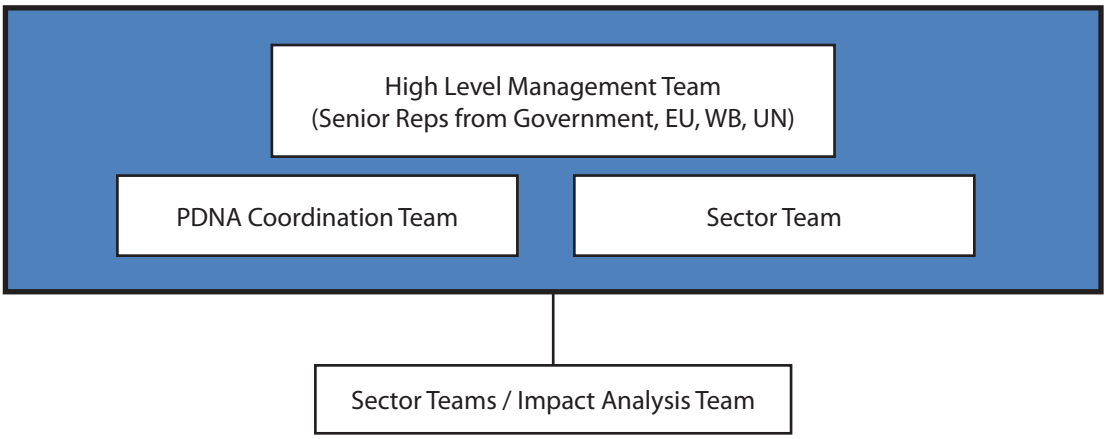
The PDNA Management Structure

The size, composition and management structure of a PDNA Team would depend on the local context. It is recommended that Government be represented and play a lead role in the management of the PDNA. In general it is desirable to keep the team size and management structure as lean as possible. In large disasters, however, when national capacities have been affected severely, a full team may be needed. Multiple experts would be needed to assume charge of various elements of the PDNA.

In designing the management structure, the team should consider the pre-disaster and post-disaster coordination and management mechanisms already existing within the Government and within the international community so that gaps can be addressed in designing the management arrangements and the associated costs included in the PDNA budget. To the extent possible, the management structure should build on existing national capacity, making the best use of available and experienced national experts and government personnel.

A full structure for conducting a PDNA would include the following teams in terms of functions. The structure assembled for the PDNA should be as light as possible, keeping external expertise to a minimum and relying as much as possible on internal government capacities and tripartite presence on the ground.

Illustrative PDNA Coordination Structure



The High-Level Management Team

The High-Level Management Team is led by a senior representative of the government entity responsible for recovery and reconstruction. It includes the EU Head of Delegation, the WB Country Director/Manager, and the United Nations RC/HC. Participation of other high-level government officials, national and international partners would be at the Government's discretion. The primary role of this team is to provide strategic guidance on the PDNA, make key management decisions, and ensure the necessary resources as well as the achievement of the PDNA objectives.

The High-Level Team is established at the beginning of the PDNA process and is required to meet regularly during the course of the PDNA. This team also resolves differences, being the final decision-maker with regard to priorities and recovery interventions that are proposed for the Recovery Strategy.

The PDNA Coordination Team

The PDNA Coordination Team is led by a government official designated to conduct the PDNA and includes representatives from the tripartite organizations. The team works under the supervision of the High-Level Management Team. The Coordination Team may also have a planner to provide guidance on recovery planning, the consultative process, as well as the integration of the human development perspective. The team is established as soon the PDNA is confirmed by the Planning Mission or activated by the tripartite parties. This team remains fully operational throughout the PDNA process and is supported by the Technical Support Cell and the Report Secretariat, including a report writer(s).

The Sector Teams

Sector Teams comprise subject-matter experts from the appropriate line-ministries, the UN, EU, WB and other organizations. Ideally, government staff and experts from the affected country should comprise the majority of such teams. It also includes experts in macroeconomics and human development[7] to assess the impact of the disaster on macro-economic indicators and human development indicators.

In addition to the three teams, there are certain critical functions required to support the PDNA, and these functions are outlined below.

Technical Support Functions

The PDNA requires support with respect to certain critical functions. Among them is technical support in key functions such as procurement of logistics, information and communication technology (ICT), information management, Geographic Information System (GIS) and mapping, logistics, administration, finance, and interpretation/translation. The Government and the tripartite partners may designate staff to provide technical support for the conduct of PDNA.

Report Writing Function

One of the key outputs of the PDNA is a report which includes a Recovery Strategy and sector assessment reports. Often the report writing is led by the Government, along with sector experts and members of the Coordination Team. The final report writing will be led by senior members of the coordination team. The main function of the report writers would be to:

- Compile and edit all sector chapters;
- Draft the overall PDNA Report;
- Integrate feedback and finalize the PDNA Report and Recovery Strategy;
- Develop a power-point presentation summarizing the final report.

It is critical that the entire assessment report and Recovery Strategy is written in-country to ensure the Government's full participation and ownership of the process. The services of a professional editor may be hired to review and edit the final report.

7 If a Human Development analysis is included in the assessment

Summary Table of Roles and Responsibilities

Actors	Primary Role and Responsibilities
High Level Management Team	Provide strategic guidance on the PDNA, make key management decisions, and ensure the necessary resources and the achievement of the PDNA objectives: ▪ Provide overall strategic direction on the PDNA. ▪ Mobilize resources required to support the PDNA. ▪ Establish and provide general supervision to the PDNA Coordination Team. ▪ Ensure the operational support structures needed for the PDNA. ▪ Liaise and ensures coordination with counterparts at headquarters and with donor group in-country. ▪ Ensure a single, coherent, technically accurate and strategically sound PDNA Report is generated in a timely fashion and with the broad participation of key stakeholders. ▪ Approve the draft and final report of the PDNA and Recovery Strategy for submission to and validation by the Government. ▪ Lead and facilitate resource mobilization to support the implementation of the Recovery Strategy, e.g. inclusion in revised appeals, organization of donor conference, and development portfolio restructuring exercises.
PDNA Coordination Team	Manage the planning, implementation and coordination of the PDNA and the development of the Recovery Strategy: ▪ Arrange all preparations to support the PDNA (logistics, human resources, etc.); ▪ Support and facilitate the PDNA orientation and training workshop when the PDNA Team arrives; ▪ During the training workshop, define with the PDNA Team the objectives and expected results of the PDNA, the guiding principles, geographic areas and sectors to be assessed, the methodology applied and instruments for information collection, the organization of the team and sub-teams, the distribution of responsibilities, and all other arrangements necessary as per the guidance in Volume A of the present PDNA guide; ▪ Ensure a coordinated and coherent approach throughout the PDNA process, including field visits; ▪ Ensure that all principles of the PDNA are agreed and adhered to; ▪ Ensure adequate logistical and administrative support for sector teams; ▪ Establish and supervise the Technical Support Cell and the Report Secretariat; ▪ Manage the budget, resources, work plan and timeline of the PDNA; ▪ Design the strategic planning and consultation process for developing the Recovery Strategy. Ensure the necessary cross-sectoral/theme/area based consultation and analysis to provide a sound basis for the prioritization of recovery strategies across sectors/geographical areas; ▪ Manage and oversee the drafting, validation and final revision of the PDNA Report; ▪ Organize donor conference; ▪ Support the mobilization of recovery resources; ▪ Conduct end-of-mission debriefings.

Summary Table of Roles and Responsibilities (and II)

Actors	Primary Role and Responsibilities
Sector Teams	Sector teams conduct the actual assessment: ▪ Collect and integrate data on disaster effect and disaster impact, following the PDNA guide; ▪ Select the data collection instruments, as needed by each sector; ▪ Collect primary field data and secondary data as required to assess their respective sectors; ▪ Collect baseline data as needed; ▪ Process and analyze data and assessment results; ▪ Write the sector assessment reports, including the proposed priority recovery needs; ▪ Write the Recovery Strategy for their respective sectors.

Arrangements for the PDNA

Once the Planning Mission confirms the need for a PDNA, preparation measures should be taken as soon as possible, particularly in terms of:

- Human resources
- Logistics
- Information management
- The budget
- Training

The arrangements necessary for each of these preparatory steps are explained below.

Outputs	Description
PDNA Human Resource Arrangements	▪ Total staffing requirements to staff all teams; ▪ In-country staff available from government and international community; ▪ Surge capacity needed; ▪ Areas of expertise needed; ▪ HQ staffing arrangements, if needed; ▪ ToR for key teams and staff members, including for the full PDNA Team; ▪ Review CVs and interview potential assessment staff, both in-country and external candidates.
Logistical Arrangements	▪ Office space for management, sector teams and enumerators; ▪ Office equipment and materials; ▪ Transport arrangements (land, air); ▪ ICT arrangements (internet, etc.); ▪ Accommodations; ▪ Security considerations.
PDNA Information Management /Analytical Arrangements	▪ Web platform for information sharing among PDNA teams (IRP); ▪ Populate platform with all reports, data, maps obtained for situation analysis (above); ▪ Linkages with other existing information management systems (e.g. OCHA. Humanitarian Information Centers, Survey of Surveys, etc.); ▪ Linkages with development databases and key analytical documents; ▪ Contact list (government, UN agencies, donors, IFIs, NGOs, etc.); ▪ Staffing and equipment considerations to ensure information management and analysis.
PDNA Budget	▪ Estimation of in-country costs for undertaking PDNA.
PDNA Training	▪ Briefing and training for the PDNA Team upon arrival; ▪ Support organization and facilitation; ▪ Prepare presentations, reports, materials to be used.

Human Resource Arrangements

On the basis of the objectives, scope and management structure of the PDNA prepared by the Planning Mission, it would be necessary to identify the human resources needed for implementing the PDNA, and the chart above enumerates in detail the considerations governing the evaluation of personnel requirements.

Personnel requirements need to be identified for the PDNA sector teams, the PDNA Coordination Team, for technical support and report writing, as also for government ministries or the High-Level Management Team, which may require additional support. Requirements for general administrative support and drivers should be kept in mind.

The PDNA would require technical experts from a variety of fields. Technical agencies and sector leads can identify the human resources required for their respective sector teams and make use of national and international rosters for this purpose. The methodology and the scope of the assessment also determines the staffing requirements -- for example, the number of enumerators needed for conducting household surveys in the affected areas. In addition to sector-specific requirements, staff may also be needed to support coordination and management, as outlined above.

Once the HR needs have been identified for the PDNA, the next step is to assess available in-country human resources and to determine the kind and extent of expertise needed from outside the country. A diverse assessment team comprising women, men, minorities, people with disabilities, among others, should be considered.

Adequate attention should be paid to capacity-building training which may be required to support the PDNA process by quickly scaling up coordination capacities within the government authorities as well as the UN Country Team.

Logistical Arrangements

Logistical considerations include office infrastructure or a functional location for PDNA staff and management, the necessary transport and travel arrangements for conducting the PDNA, especially with regards to field visits and household surveys, procurement, ICT and other similar arrangements. The extent to which logistical support would be needed depends on whether the disaster has affected the capital and/or other key urban areas, the choice of methodologies to be used, the size of affected areas, the access to these areas, and their distance from the central location of the PDNA teams.

Given the many teams and staff members participating in the PDNA, as well as the functional needs of the PDNA, it is important that an appropriate office space is designated to house the PDNA staff and management. The location needs to provide a sufficient workspace for all members of the PDNA Team as well as a venue for meetings, trainings and, eventually, the finalization of sector reports and the Recovery Strategy. It follows that the working space would have to be equipped with office equipment, adequate internet access, work stations for all teams and conference facilities necessary for meetings and training, among others.

Experience shows that country offices of the participating international partners rarely have sufficient space for this purpose. At the same time, it is acknowledged that individual partner agencies that have offices in the country would utilize their office space to the extent possible. However, this situation does not obviate the need for a substantial shared space. Given past experiences, the best alternatives include office space provided by the Government or, if that is not possible, space in a hotel, university or other conference facility. In cases of extreme physical damage to the capital city, a provisional, inflatable or temporary/tented structure or other portable facility could be assembled and equipped for this purpose. In principle, nearly all logistical support required by the PDNA teams should be in place before the teams arrive so that the assessment can commence as soon as possible.

Logistical arrangements need to be made for local transport. These are usually provided by the Government or bilateral donors operating in the emergency phase, or by on-going projects or local UN offices, and in some cases by the private sector. Special arrangements may be needed in situations of severe lack of humanitarian access.

Other logistical arrangements include communications, office equipment and materials, and provisions for data acquisition, translation and interpretation, printing and distribution, including editing and formatting. Detailing all of the logistical requirements is beyond the scope of this Guide, but the list below would serve as a reference:

- Office infrastructure to accommodate the PDNA staff and management;
- Office supplies and computer equipment;
- IT and telecommunications (internet, mobile phones, etc.);

- Transport;
- Travel;
- Coordination meetings, consultations, workshops;
- Information management requirements (software, staff, equipment);
- Support services to the High-Level Management Team;
- Special logistical arrangements (e.g. to facilitate humanitarian access);
- Accommodation arrangements.

Information Management Arrangements

Post-disaster assessments such as PDNAs generate a large volume of primary and secondary data which need to be consolidated for all sectors and demand complex analysis. An information management system to support data collection, processing, analysis and dissemination is a critical support service for the PDNA Team.

A common web platform for information sharing among PDNA teams may be considered. A common web platform can serve as a collaborative PDNA workspace (see annex for further reference). The Coordination Team can initiate the platform and it can subsequently be managed by an information management specialist for the duration of the PDNA process. The reports, maps and baseline data collected previously by the Planning Mission should be posted with the common web platform. The following is an illustrative checklist of information that should be collected and placed on the PDNA common web platform.

Reports and Data to Collect	Potential Sources of Information
▪ All situation reports, rapid assessment reports, and data available (globally and by sector); ▪ Maps of areas and populations affected, of population movements, IDP camps, etc.; ▪ Satellite imagery of affected areas; ▪ Administrative maps of the country and geographic areas affected; ▪ Contingency plans available of relevance to disaster (government of inter-agency); ▪ Country's human development report, UNDAF, PRSP; ▪ Organigram of the United Nations in-country and of the government; ▪ UN security guide; ▪ Hazard maps and history of previous disasters; ▪ Demographic and socio-economic data of affected areas (baseline); ▪ Contact list of all PDNA Team members.	▪ Sector ministries, Civil Defense, National Operations Centers, National Red Cross. ▪ Media reports. ▪ Local authorities. ▪ UN agencies. ▪ IFIs. ▪ IFRC. ▪ International and national NGOs. ▪ OCHA Reliefweb ▪ Map Center in Reliefweb ▪ Map Action ▪ Map Catalogue, AlertNet ▪ UNOSAT ▪ JRC. ▪ EM/DAT for data on disaster history.

The PDNA information management system should build upon national, humanitarian and early recovery information management systems and should link up with existing information management systems (e.g. OCHA Humanitarian Information Centers and Survey of Surveys, among others).

The PDNA Budget and Mobilizing Resources

Estimating resource requirements for the PDNA and mobilizing the resources needed to conduct it is a significant task. Up to this point, including the stage of the PDNA Planning Mission, organizations are expected to meet their own costs of participation. However, the next phase, i.e., the PDNA proper, requires a surge of resources. The budget should consider the following main budget lines and costing:

- Human resources, management and coordination needs;
- Logistical arrangements;
- Training/workshop expenses;
- Consultative and planning activities;
- Workshops, meetings, conferences;
- Administration.

The annexes provide a more detailed example of a PDNA budget.

A budget estimate for the PDNA may be necessary to facilitate the mobilization of resources required. Tripartite partners may assist in the mobilization of resources needed for conducting the PDNA. These resources may come in the form of contributions from participating UN agencies, IFIs, or donors.

The PDNA Training

Considering the diversity of participants in the PDNA, it is important to organize a briefing and training session with all team members to discuss and agree on a common approach and work plan. The training may be in the form of a two to four day workshop organized and facilitated by the PDNA Coordination Team. The workshop would orient participants on the PDNA methodology. Pre-established training materials on both the DaLA and HRNA approaches could also be used or adapted to the context of the crisis and specific country situation. The workshop would also provide an overview of the disaster based on the situation analysis conducted by the Planning Mission. It would also provide an update of the humanitarian response, the key actors, logistical and access considerations, among others.

An information package should also be provided to all the members of the PDNA Team, including the most relevant reports, maps and contact lists most of which would have been collected during the stage of the Planning Mission. There would also be a briefing on the PDNA information management strategy, and information and data management software and tools to be used during the PDNA.

Additional training sessions could possibly be needed for specific sectors and cross-cutting issues or for data collection methods and instruments for surveys. Further, sector teams could design and facilitate individual breakout sessions. The workshop should also serve to organize all elements of the PDNA, including the following topics, depending on needs:

- Sectors and geographic areas to assess;
- Overview of the methodology and approach towards the assessment;
- Basic principles of field work;
- Team compositions (by geographic area or sector);
- Data to be gathered by sector (disaggregated by sex and age);
- Use of instruments for information gathering;
- Inter-sectoral links and cross-cutting issues;

- Distribution of responsibilities and tasks;
- Leadership and coordination arrangements;
- Arrangements for the collection of baseline data needed by all teams;
- Responsibilities to consolidate data and information and report writing;
- Timeline and work plan;
- Logistical arrangements (transportation, lodging, travel expenses, agenda for meetings);
- Safety and security measures.

3.6 - DATA COLLECTION AND ANALYSIS

Desk Review

To start the data collection process, the PDNA Team is required to collect and analyze quantitative secondary data to assess the extent of damage to sectors such as education, agriculture, health and other infrastructure. The team also collects data on the general demographic, social and economic characteristics of the country and geographic areas affected, as well as data specific to each sector. This data helps to describe the conditions in the country prior to the disaster and also forms the quantitative basis for comparative analysis of pre-disaster and post-disaster conditions. Team members should be assigned this task from the beginning of the PDNA process to ensure that the collection of information can take place in tandem with field visits by other team members, thereby making efficient use of time.

In many countries it would be difficult to collect data on the impact of disasters owing to a lack of systematic data collection on the part of the relevant agencies or lack of access to affected areas due to logistical, administrative or security constraints. In such a situation, the primary data could be collected through limited, specifically designed surveys applied to statistically relevant sample groups, depending on the availability of time and resources. The results of such small sample surveys would be extrapolated to derive an estimate of the total picture of the damages, losses, and needs. Assessments conducted earlier by humanitarian agencies and the Government's civil protection services should be used for developing an approximate data base. It is always preferable to have an extrapolated estimate that can be used for assessment rather than having no data or an elaborate database which is excessively time- and resource-intensive.

Interviews with Key Stakeholders and Field Assessment

In addition to secondary data collection, field visits are organized to collect and validate data. Interviews with key stakeholders through field visits to affected areas are crucial for a first-hand vision of the effects and impact of the disaster. Field visits need to be carefully coordinated by the PDNA Coordination Team in order to avoid repeated visits of assessment teams and further 'assessment fatigue' amongst key informants and affected communities, and to avoid disruptions of on-going humanitarian operations. The PDNA Coordination Team oversees the work done by the sector teams and designs processes to ensure that data requirements across all or many sectors are efficiently collected, thus avoiding the duplication of requests for information.

The consultations should be wide ranging, including men and women, people of various ages, from different ethnic groups and religions, those with disabilities and other special needs, as well as other groups to ensure that the needs of people across the spectrum are considered. Consultations conducted with women and men—individually, together, and/or in single and mixed groups— and with people of differing backgrounds and characteristics make it possible to identify their specific and different needs, as well as their differing priorities and interests. These articulated needs and priorities can be triangulated with international and local authorities and NGOs recognized for their work with the affected population.

A number of information-collection methods are used to assess the impact of disasters. In general, methods for information collection may include one of the following or a combination of these:

- Focus group discussions;
- Interviews with livelihood groups;

- Interviews with key informants;
- Household visits and interviews;
- Participant observation in the field;
- Household surveys;
- Maps and satellite imagery.

While the use of one method or another is determined by the context and the sector being assessed, the following basic principles of information collection should be followed:

- Direct consultations: the population affected by the disaster, local authorities and civil society should be consulted directly.
- Representative information: ensure that all geographic areas and population groups affected are consulted.
- Reliability: ensure reliable information that differentiates between "facts", "opinions" and "rumours".

Since each person has a subjective perspective, it would be essential to reconfirm or verify with others, maintaining impartiality.

Gender: making sure the unique impacts on women and men are captured and their unique needs incorporated into recovery planning.

Consolidation and Analysis

Once the field visits and desk review are complete, the PDNA Team would need to consolidate, analyze and interpret the all data collected. This analysis is critical to the success of the overall PDNA, as it converts data into credible and compelling evidence which informs the decisions taken by government authorities and the international community with regard to the country's recovery. Managing data produced by very many different organizations and from different locations is a complex and demanding task that requires efficient planning and organization.

Data Analysis at the Sector Level

The first step involves the consolidation, processing and analysis of data collected by each sector team. This data so collected by each sector team may have come from multiple actors and sources, which necessitates cross-checking and triangulating information to examine inconsistencies and confirm findings. When household surveys are conducted or other similar raw data collected through other instruments, enumerators and other staff would be required to process a large volume of data in order to make it usable. Finally, the assessment findings are translated by the sector teams into recovery needs and priorities and synthesize into a sector report.

Inter-Sector Data Analysis

Sector teams would need to share and cross-check findings across sectors, too. Inter-sector analysis helps to identify linkages and issues that cut across sectors. It can go a long way in helping achieve a common understanding of the overall effect of the disaster; identifying common priorities across sectors and geographic areas, vulnerable groups, cross-cutting issues; and in establishing a common basis for recovery programming.

In order to design the Recovery Strategy, the quantitative and qualitative data obtained from the PDNA needs to be processed, consulted in the affected areas, and presented in a manner that it provides a global picture of all sectors and areas affected. At the same time, the assessment results need to be presented by sector and geographic area to facilitate comparative analysis and prioritization.

Information collected by various sector teams should be compiled into a database based on an indicator table agreed to by all. This database can be routinely updated with data coming from various assessments within the sector, which can be used to support more detailed programming as well as to establish sectoral monitoring. Sector teams should be encouraged to use the PDNA collaborative virtual workspace, which could serve as a one-stop-shop allowing data and information to be easily shared and stored among team members working on ground as well as by support staff located away from the field.

3.7 - FORMULATING THE RECOVERY STRATEGY

The Recovery Strategy forms part of the PDNA and constitutes its main goal. This section provides a brief overview of the process for developing the Recovery Strategy, while more detailed guidance on the content of the Recovery Strategy is provided in Chapter 2 of this Volume. The development of the Recovery Strategy is facilitated by the PDNA Coordination Team with oversight from the High-Level Management Team.

The steps to developing the Recovery Strategy are as follows:

- Define the vision for recovery and the strategy for recovery actions within each sector and affected region;
- Define clear objectives and interventions that point the way to expected results and help in defining the timeframe;
- Define the cost for the recovery process;
- Conduct Stakeholder consultations with national and regional governments, affected communities, civil society agencies and private sector partners to present the Recovery Strategy and validate the priorities and needs of the recovery and reconstruction roadmap.

Stakeholder Consultation

The consultative process is employed throughout the PDNA process, and it is especially important at the time of developing the Recovery Strategy. Key stakeholders in the national and regional governments, international agencies and local communities affected by the disaster must be consulted at the stage when recovery needs are being prioritized. Their familiarity with local conditions and people's needs and capacities could provide useful insights that would not be available elsewhere. In addition, those with previous experience in overall disaster recovery can also contribute significantly by sharing instances of what good practices in earlier processes of recovery. The implementation of interventions to address recovery needs requires financial, material and human resources. Hence it would be important to include existing and potential donors in the determination of recovery priorities.

The Consultative Process in Grenada

After Hurricane Ivan struck Grenada in 2004, a National Consultation was organized to promote joint work and consensus around the recovery process among key stakeholders. It consisted of a one-day consultation and a half day of roundtable discussions, organized by sector.

The objective of the consultation was to generate a shared understanding of the challenges that confronted Grenada and a process of general consensus around the recovery plan, its implementation and follow up between the government and stakeholders at national, international, and community levels. It also established an ongoing mechanism for reporting to the citizenry, through the Agency for Reconstruction and Development.

The National Consultation included about 150 decision-makers involved in the recovery and development process in the country: Members of the National Advisory Council and the Agency for Reconstruction and Development, representatives of line ministries and national institutions, political parties, and civil society, including youth, trade unions, the private sector, religious organizations, the academic and scientific community, mass media, community-based organizations, and other development partners.

In addition, gender and other relevant issues such as existing and underlying conflict must be taken into consideration to ensure that consultations with affected communities are inclusive and able to voice the needs and priorities of women and men as well as the vulnerable and the excluded. Active support and participation from all relevant stakeholders is critical for the successful implementation of the recovery plan. These stakeholders can be consulted through individual interviews, small group discussions, joint seminars with civil society representatives (communities, women's associations, private sector organizations, etc.), or national workshops.

Once the consultations and the Recovery Strategy are completed there would be a need to organize a meeting or workshop with government authorities, UN agencies, donors, IFIs, NGOs, civil society and other key stakeholders to validate the final outputs. The purpose is to present the Recovery Strategy and receive feedback and validation, as well as to safeguard the ownership of the Recovery Strategy and results.

The table below summarizes the core elements included in a Recovery Strategy. This has been further elaborated in Chapter 2.

Recovery Needs	Vision & Guiding Principles	Recovery Plan	Implementation Arrangements
Outline of recovery needs based on results of the PDNA: ▪ For reconstruction of physical assets and compensation of economic loss; ▪ To restore service delivery and access to goods & services; ▪ To restore governance and social processes; ▪ To reduce risks and build back better.	The agreed vision aligned with National development goals and guiding principles for the overall recovery process.	Outline of results-based recovery plan: ▪ Priority needs; ▪ Interventions required; ▪ Expected outputs; ▪ Recovery Costs; ▪ Intended outcomes.	Outline of the arrangements for successful implementation of the Recovery Roadmap: ▪ Partnerships, coordination and management; ▪ Cross-cutting themes; ▪ Links to development; ▪ Resource mobilization; ▪ Key assumptions and constraints.

Drafting the PDNA Report and Recovery Strategy

Once the PDNA is completed and the Recovery Strategy agreed upon, it is the turn of the Coordination Team to consolidate all the sectoral assessment reports and elements of the Recovery Strategy into one single report, aided by the writer(s) and editor. The report should serve to present all assessment results and the Recovery Strategy in an integrated and coherent manner, covering all sectors and linking recovery needs with clear recovery objectives and results. It should ensure quality and reflect the agreements reached by the National Government, the UN system, the WB, and donors. This report is critical for resource mobilization and for any donor conference that may be planned as part of the resource mobilization strategy.

Once the PDNA and Recovery Strategy have been drafted, the first draft should be shared with the Government for feedback and validation. This is not only necessary for cross-checking and validation but also for reiterating the Government's ownership of the PDNA, the Recovery Strategy process and the results. It would be a good idea to follow a similar validation process with other key stakeholders, including the High-Level Management Team. All feedback should be integrated and the final validated report produced and printed. The report should be completed in-situ by the Coordination Team and endorsed by the National Government. A power-point presentation should also be developed to summarize the PDNA results, the Recovery Strategy, the recommendations, and budget. It should then be ready to be presented formally to the National Government and donors for the purpose of mobilizing resources for the country's recovery process.

3.8 - RESOURCE MOBILIZATION

Mobilizing resources for recovery is an important objective of the PDNA and a natural follow-up step to the development of the Recovery Strategy. Developing a resource mobilization strategy would help in the effort to secure funds for recovery. International donor conferences have become a major mechanism for mobilizing and coordinating international recovery assistance in selected post-disaster countries. These pledges are built around the PDNA and Recovery Strategy, against which individual donors make their pledges. This contributes to enhancing the coherence of donor assistance.

The tripartite partners, if requested by the National Government, may assist in organizing a donor round table or conference following the completion of the PDNA and Recovery Strategy. The objectives and targets of the donor conference and the strategy for resource mobilization should be agreed upon and convened under the leadership of the Government and the High-Level Management Team. Donors already engaged in the PDNA may be invited to assist in organizing the donor conference. Below is an outline of some of the advantages of having a Recovery Strategy and of organizing a donor conference:

- Validation and endorsement of donors for the Recovery Strategy;
- Make a case for financing;
- Assess the potential for available financing;
- Identify timely and predictable financing.

With the aim of making it a regular feature, each out and engage a broader range of new emerging donors, including the private sector:

- Strengthen coordination with relevant partners and expand partnerships;
- Encourage donors to move from a project approach to strategic partnerships;
- Gain support for developing a national information management system for monitoring funding and expenditure to strengthen accountability and transparency.

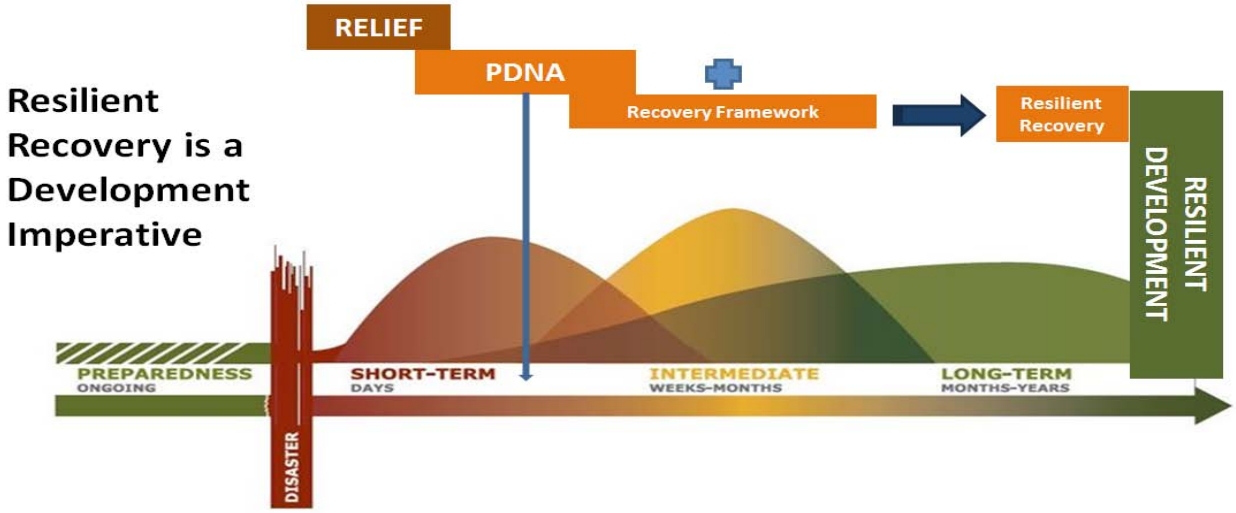
3.9 - THE RECOVERY FRAMEWORK AND OTHER FOLLOW-UP MEASURES

It is recommended that the PDNA be conducted in as efficient a manner as possible in order to maximize their utility in informing recovery. The relatively short period of the assessment does not permit a detailed recovery planning exercise and most of the constraints (such as the financing envelope available) may only be ascertained after the findings of the assessment are known. As mentioned above, the Recovery Strategy developed during the PDNA exercise provides the basis for more comprehensive recovery planning through the development of a Recovery Framework. The Recovery Framework builds upon the broad strategy provided in the PDNA to continue a stakeholder engagement and recovery planning process well beyond the PDNA. To that extent the Recovery Framework would remain a living, continuously evolving and flexible plan of action focusing on expanding and deepening the following aspects of recovery planning:

- Detailed sequencing, prioritization, institutional arrangements, financing and implementation of recovery. Such prioritization and sequencing will take place both within and across sectors – based on budget allocations, donor and IFI financing estimates – using regular government processes along with international good practice criteria for prioritization;
- Rigorous analysis of recovery capacities and skills and institutional options for recovery – and identification of corresponding capacity building needs for efficient and effective recovery;
- Bringing together and synchronizing public sector recovery with civil society and private sector programs through wider engagement beyond the PDNA stage;
- Facilitating the setting of guiding principles, national and sub-national standards for recovery; and developing monitoring and evaluation (results) frameworks for measuring recovery performance;
- Developing detailed risk analysis and mitigation strategies to better protect implementation performance from such risks;

- Designing, costing, and financing recovery programs – specifically including guidance on the next steps for resource mobilization;
- Through sustained engagement over the period of implementation, help in setting out formalized carry-over arrangements and linkages between recovery and regular development institutions to ensure good practices are institutionalized into sound and longer term recovery practices and standards.

A practice-based guide for the development of such Recovery Frameworks is at present being developed jointly by the EU, the UN and the WB. Governments engaged in post-disaster response would be able to flexibly contextualize this guide to plan for and manage the recovery process. The proposed Disaster Recovery Framework (DRF) Guide will develop globally applicable guide, processes and procedures for integrated recovery planning and its implementation through the strengthening of recovery institutions, capacities, and coordination mechanisms. The DRF will further ensure that the recommendations of the PDNA are well coordinated, financed and implemented to lead to resilient and sustainable recovery. It will also help realize the potential of resilient recovery as a means to resilient development by formalizing policy and strategic linkages across recovery and regular development processes.



On completion of the PDNA and the Recovery Strategy, the PDNA Team may like to initiate discussions with the National Government on the next steps to developing a full-fledged recovery and reconstruction framework that will lead to the national recovery plan. This may be done by identifying a core team of representatives from relevant line ministries led by Ministry of Planning/ Finance/National Disaster Management agency (as appropriate to the country) which may anchor the process of developing the Recovery Framework. Further support from international agencies for the development of the Recovery Framework may also be discussed and agreed upon.

TOOLKIT

Sample ToRs:
PDNA Planning Mission

Background

A short description of the disaster and of the key facts leading up to the Planning Mission.

Composition

All constituents of the tripartite partners and the Government should form part of the PDNA Planning Mission. Other stakeholders who should be part of the Planning Mission include relevant ministries, regional governments, in-country representatives of UN agencies, local and international NGOs, and potential donors. Simply put, the composition of the team should be decided keeping in mind the expected outputs of the Planning Mission, which are outlined below.

Responsibilities

The Planning Mission supports consultation among the Government (of the affected country), the UN Country Team, the WB, the EU as well as other stakeholders. The purpose of the Planning Mission is to make the necessary arrangements for the conduct of the PDNA. In particular it is responsible for the following core outputs and activities:

1/Situation Analysis

Write a situation analysis report providing an update of the disaster situation, based on the following:

- Desk review of all existing rapid assessment reports, field reports, available government data, maps, satellite images, among others;
- Consultations with all key stakeholders;
- Reconnaissance mission, if required;
- Collection of core baseline data likely to be needed by all sectors.

2/ The PDNA Plan

The scope of the PDNA:

- Objectives of the PDNA.
- Sectors and cross-cutting themes to be assessed by the PDNA and the criteria of identification.
- Geographic areas to be assessed.
- PDNA timeframe.

PDNA management arrangements

- Management structure and composition: the PDNA Coordination Team and High-Level Management Team;
- Composition of technical teams: sector teams, personnel for technical support and report writing;
- Creating an organogram, with reporting lines;
- Schedule of meetings, workshops and other communication arrangements.

PDNA staffing arrangements

- Total staffing requirements to staff all teams;
- In-country staff available from government as well as international community;
- Surge capacity needed;
- Areas of expertise needed;
- HQ staffing arrangements, if needed;
- ToR for key teams and staff members, including for the entire PDNA Team;
- Review CVs, interview potential assessment staff, both in-country and external candidates.

Logistical arrangements

- Office space for management, sector teams, and enumerators;
- Office equipment and materials;
- Transport arrangements (land, air);
- ICT arrangements (internet, etc.);
- Accommodation;
- Security considerations.

PDNA information management arrangements

- Creating a web platform for information sharing among PDNA teams;
- Populate platform with all the reports, data and maps obtained for situation analysis (mentioned above);
- Linkages with other existing information management systems (e.g. the Government's situation updates, OCHA Humanitarian Information Centers, Survey of Surveys, among others);
- List of contacts (within the Government, UN agencies, donors, IFIs, NGOs, etc.);
- Staffing and equipment considerations to ensure information management.

3/ PDNA Budget

- Estimation of in-country costs for undertaking PDNA.

4/ PDNA Training

- Brief and train the PDNA Team upon arrival in the disaster-affected area;
- Support organization and facilitation;
- Prepare presentations, reports and materials to be used.

Basic Principles of the Planning Mission

The Planning Mission should follow the following principles:

- Follow the guide provided in the PDNA Guide Volume A and B, particularly the section outlining the purpose and outputs of the Planning Mission (Vol. A).
- Ensure adherence to the guiding principles of the PDNA and Recovery Strategy.
- Ensure the process is government-led and government-owned, and ensure full consultation with representatives of the UN, the WB, the EU, as well as with other strategic partners involved in the Planning Mission and subsequently in the PDNA itself

Reporting

The Planning Mission reports to the High-Level Management Team.

Sample ToR:
for PDNA

This is a working model ToR for the conducting a PDNA. This TOR must be developed jointly with the Government and adopted by consensus by the Government, the UN system, the WB, the EU as well as other key actors. It is critical to the success of a PDNA to have a well-fleshed out ToR adopted with mutual consent.

Background

The Disaster Event and Characterization of Impact: a brief description of the disaster effects and the available preliminary impact figures. This should include affected sectors and geographic areas, urgent needs and priorities, vulnerable population groups, inter-sectoral considerations, current and planned responses of the Government and International partners - ministry responsible for Disaster Management and for the assessment and role of other key ministries. If available, include a description of the disaster risk typology of the affected area and any information about previous/recent disaster events.

Objectives of the Assesment

Depending on the context, and subject to agreement reached with the Government, the key objective of the PDNA is to assist the National Government (and local government) to assess the impact of the event and define a strategy for recovery including its financial costs : from restoration of services to complete rehabilitation and reconstruction of infrastructure, livelihoods and economy while ensuring resilience to future disasters.

The specific objectives of the PDNA could be as follows are:

- Estimate the overall impact of the event on the socio-economic development of the country at the national level and on affected states and communities;
- Assess the effects and impacts of the disaster to develop a Recovery Strategy the early, medium and long term recovery and reconstruction needs with costs and a timeline in one consolidated report;
- Ensure that strategies for recovery integrate concepts of disaster risk reduction and "build back better" and address gender and environmental concerns;
- Develop a recovery strategy is representative of the needs and priorities of the affected communities;
- Recommend and define a strategy for Disaster Risk Management in the country;
- Recommend institutional mechanisms and policy options to be undertaken in support of the recovery and reconstruction process and that promote long term disaster resilience.

Deliverables of the PDNA

- One consolidated Report of the effects and impacts for each sector;
- A recovery strategy with early medium and long term needs by costs and timeline for each sector;
- A disaster risk management strategy;

Coordination of the PDNA

The PDNA exercise will be led by the Government of ---------- under the oversight of the relevant ministry. The relevant focal point in the Government (eg National Emergency Agency NEMA) as focal point) , supported by Head of Agencies from the United Nations (UN) System, World Bank (WB) and the European Union (EU) will provide overall direction to the PDNA. It will supported by the Ministry of Environment, Ministry of Finance and the Planning Commission. This high level management team will be supported by a team of technical experts representing the lead Government agency and three partners to provide daily guidance and technical oversight to the PDNA process.

Methodology for the Assessment

The methodology integrates the WB/EU and UN methodology for assessment of the impact of the disaster on the flood affected areas which will include a comprehensive assessment of the effects and impact of the disaster from the municipal to the state level, combining social, economic and financial aspects of the effects of the disasters. The assessment will take into consideration early recovery requirements as well as longer-term rehabilitation and reconstruction needs. The assessment includes the identification of disaster risk management measures designed to mitigate the occurrence of future disasters.

The assessment will make extensive use of data from the existing secondary sources and information gleaned from all available sources at the time of the assessment, including maps, records and media reports. As information requirements make it necessary, primary sources on effects and needs will be generated from surveys, focused group discussions and other data gathering methods.

The assessment will have the following phases:

- Training Phase – 3 days of intensive training for all Government officials as well as sector leaders and focal points;
- Preparatory and Desk Review Phase - to assess existing baseline information, determine the scope of the respective sector-wide reviews, identify information gaps and prepare data collection templates.The desk reviews will be carried out to analyze and compile all available baselines information for the various sectors, to identify gaps in baseline data, and to also identify various data sources for the collection of both baseline and damage and losses data;
- Field Visits: to validate the data, collect additional data from the affected communities and hold consultations with the State and local government authorities, public and community representatives.
- Data Analysis and development of sector reports – The Field visit will be followed by review and analysis of the data by sectorial/core teams to prepare the draft sector reports including impact, damage, losses and needs. The Macro-economic and Human development expert team will then aggregate the sector specific results into the macro-economic analysis and human development impact and write-up.;
- Final consultations and Report writing- the sector teams will undertake cross team consultations and consultations with key stakeholders to prioritize recovery strategies and costs to finalise the report.

Sectors and geographic areas to be assessed

The decision on the sectors and the geographic areas to be assessed is determined by the National Government. The sector teams are led by the Government officials from Line ministries and supported by representatives from the World Bank and the UN.

An example of the typical sectors assessed in a PDNA are as follows **Sector**	**Sub-sectors**
Social	Health Education Housing, Land and Settlements Culture
Productive	Agriculture , Livestock and Fisheries Employment and Livelihoods Commerce and Trade Industries
Infrastructure	Energy Water and Sanitation Transport Telecommunications Governance and Public Infrastructure
Crosscutting	Macroeconomic and poverty analysis Social impacts and impact of Human Development and MDGs Environment Disaster risk reduction Gender

Schedule for the assessment

Activity	**Dates**
Mobilize sector teams	
Orientation Training on PDNA methodology	
Data collection and field visits	
Data analysis and initial findings	
Needs assessments and prioritization	
Draft sector reports submission	
Consultative meeting with States to finalize the damage and needs figures, data, recommendations, etc.	
Presentation of the sectoral findings to Federal Government	
Finalization of the sector annexes and the full report	
Presentation of full report to the National Government	
Printing and dissemination of full report	

Sample Template:
Estimated in-country Costs to Conduct the PDNA

Budget Item	Contribution from UN, EU, WB	Contribution from Government	TOTAL
Staff (in-country)			
Sector specialists: ▪ For all sectors ▪ For cross-cutting themes			
Technical Support Cell: ▪ Information and communication technology (ICT) ▪ Information management ▪ GIS mapping specialists ▪ Logisticians ▪ Interpretation/translation			
Report Secretariat: ▪ Writers ▪ Editors			
Coordination Team: ▪ PDNA managers ▪ PDNA specialists			
Staff HQ			
Coordination			
Technical expertise			
Staff time allocated (including field visits)			
Logistics			
Transport arrangements (air, land)			
Office infrastructure to accommodate PDNA staff and management			

Office supplies and computer equipment			
IT and telecommunications (internet, mobile phones, etc.)			
Information management requirements (software, data, maps, equipment)			
Special logistical arrangements (e.g. to facilitate humanitarian access)			
Staff travel (in-country and from HQ)			
Accommodation arrangements			
Support services to Humanitarian Coordinator, High Level Management Team			
Coordination and Capacity-building			
Training of PDNA Team (venue, facilitators, materials)			
Coordination workshops and meetings			
Donor conference (venue, facilitators, materials)			
Office management and administration			
Printing			
Utilities (electricity, etc.)			
Admin support			
Miscellaneous and contingency funds			
TOTAL			

Sample ToR:
High-level Management Team

Composition

The High-Level Management Team should be led by a senior representative of the government entity responsible for recovery and reconstruction. It should include the RC/HC of the UN system, the Country Director of the WB, the EU Country Representative, and the Representatives of UN agencies. Other members may be added at the discretion of the Government, in consultation with other members.

Responsibilities

The primary role of the High-Level Management Team is to:

- Provide strategic guidance with respect to the PDNA;
- Make key management decisions;
- Ensure the necessary resources and the achievement of the PDNA objectives.

The team is required to meet regularly during the course of the PDNA process. It is also required to resolve differences. The Government would provide advice and directions, which should be accepted. The team is responsible for ensuring close collaboration across the participating international agencies and other institutions and individual experts in support of the Government's efforts, strategies, and priorities for post- disaster recovery. The team should:

- Provide overall strategic direction on the PDNA;
- Mobilize resources required to support the PDNA;
- Establish and provide general supervision to the PDNA Coordination Team;
- Ensure operational support structures needed for the PDNA such as the PDNA Mission, ToR, and working arrangements, among others;
- Liaise and ensure coordination with counterparts at HQ and with the donor group in-country;
- Ensure the PDNA is a government-led and owned process;
- Ensure that a single, coherent, technically accurate and strategically sound PDNA Report is generated in a timely fashion and with the broad participation of key stakeholders;
- Oversee the successful development of the Recovery Strategy;
- Approve the draft and final report of the PDNA and Recovery Strategy for submission to and validation by the Government;
- Lead and facilitate resource mobilization to support the implementation of the Recovery Strategy, e.g., inclusion of recovery components in revised appeals, organization of donor conference, and development portfolio restructuring exercises;
- Resolve conflicts and be the final arbiter in resolutions pertaining to the PDNA Team and mission.

Support

The High-Level Management Team will be supported by the PDNA Coordination Team, which also serves as the secretariat to the High-Level Management Team.

Arbitration

The Government will resolve all issues related to conduct and content of the PDNA.

Sample ToR:
PDNA Coordination Team

Composition

The PDNA Coordination Team should comprise the Government designated PDNA Team Leader and the respective team leaders of the main UN agencies, the WB and the EU. The Government designated PDNA Team Leader is the head of the Coordination Team. Other members may be added at the discretion of the Government, in consultation with partners.

Responsibilities

The PDNA Coordination Team is responsible for overseeing and managing the PDNA process and for ensuring that it is successfully achieved. The team manages the day-to-day planning, implementation and coordination of the assessment as well as the development of the Recovery Strategy. The team is tasked with providing coherence across varied institutional and sectoral approaches. It has to ensure that adequate attention is paid to inter-sectoral and cross-cutting themes.

Established at the initiation of the PDNA, this team would remain fully operational throughout the PDNA process. It is important for this team to ensure that coordination processes are transparent, participatory, impartial, and useful. The team would serve as the secretariat of the High-Level Management Team. In specific terms it would:

- Support and facilitate the PDNA orientation and training workshop after the arrival of the PDNA Team in coordination with the Planning Mission;
- During the training workshop and along with the PDNA Team, define the objectives and expected results of the PDNA, the guiding principles, geographic areas and sectors to be assessed, the methodology applied and instruments for information collection, the organization of the sector teams and sub-teams, the distribution of responsibilities, and all other arrangements necessary as per Volume A of the present PDNA Guide;
- Ensure a coordinated and coherent approach throughout the PDNA process, including field visits;
- Ensure that all principles of the PDNA are agreed and adhered to;
- Ensure adequate logistical and administrative support for sector teams;
- Establish and supervise the Technical Support Cell and the Report Secretariat;
- Manage the budget, resources, work plan and timeline of the PDNA;
- Ensure the necessary cross-sectoral theme analysis to provide a sound basis for the prioritization of recovery investments across sectors;
- Coordinate and facilitate workshop for developing the Recovery Strategy;
- Manage and oversee the drafting, validation and final revision of the PDNA Report and Recovery Strategy;
- Organize a donor conference;
- Support the mobilization of recovery resources;
- Conduct end-of-mission debriefings.

Reporting

The Coordination Team would work under the leadership of the Government and under the overall supervision of the High-Level Management Team.

Support

The PDNA Coordination Team would be provided technical support (including an Information management specialist, translators, and other specialists) and personnel for report writing.

Sample ToR:
Technical Support Functions

Composition

Technical support functions should include specialists in procurement, ITC, administration, finance, security, information management, logistics, and operations. The areas of expertise and the number of staff needed will depend on the context of the disaster.

Responsibilities

The technical support function is responsible for supporting the Coordination Team on all matters pertaining to logistics and operations. The personnel provide the day-to-day logistical, administrative and other technical support needed by the sectoral/thematic teams, the Coordination Team as well as the High-Level Management Team. Their functions include:

- Procurement: purchasing office supplies and equipment such as computers, printers, photocopiers, USBs, telephones, SIM cards, airtime and similar items that may be needed to support the PDNA Team;
- Information technology support services: ensuring a high level of connectivity that is able to handle the transmission of large volumes of electronic data, audio data as well as video connectivity, providing 24/7 support to teams for resolving connectivity issues;
- Logistics: ensuring adequate logistical arrangements to support the PDNA Team, including providing transport (on an average of one vehicle per three PDNA Team members) and a qualified and safety-conscious local driver for each vehicle; making available office space for all staff as well as accommodation; managing travel arrangements; organizing workshops and meetings; and handling any other special arrangements to facilitate humanitarian access;
- Administration: providing support services to manage existing local staff (e.g. drivers, secretaries, guards, and messengers) and/or hiring them;
- Finance: providing financial services to support the payment of local staff, locally-contracted consultants and governmental per diems, as necessary;
- Security: making security arrangements for staff as required, to guard offices and PDNA sites, especially where equipment is housed;
- Information management support: making available GIS services; managing the PDNA virtual workspace and list serve; facilitating the collection and processing of PDNA data; drafting and distributing regular PDNA updates for distribution within the country and across other global networks; and supporting the drafting of the PDNA Report (see TOR on the next page.

Reporting

The Technical Support works with the PDNA Coordination Team.

Sample ToR:
Report Writing

Composition

The personnel required for the report writing function may include writers and editors, as required.

Responsibilities

Early in the process, the Coordination Team is required to appoint a small team of writers and editors to oversee the production of the consolidated PDNA Report and Recovery Strategy. The sectoral reports, compiled by each sector team, would be made available for the consolidation process. The writers and editors will be responsible for the following functions:

- Serve as a focal point for the coordination of the entire PDNA Report and Recovery Strategy, including the writing process, drafting, editing, translation, and printing;
- In collaboration with the PDNA Coordination Team, coordinate sectoral focal points and ensure that the report writing process is systematic and on schedule, in collaboration with the PDNA Coordination Team, draft, edit and negotiate the text of the PDNA Report;
- Ensure the circulation of draft versions of the PDNA Report;
- Maintain the collaborative workspace for the PDNA;
- Participate in the PDNA training workshops and take the lead in training components on the report writing process;
- Widely disseminate the final PDNA Report and post on the country collaborative workspace in addition to relevant in-country, inter-agency/cluster and global websites.

The designated functions of the writing, included as part of the Secretariat, are as follows:

- Lead Writer: would be responsible for the overall production process of the PDNA Report and Recovery Strategy, supervising the work of the writers and the editor. The Lead Writer would also ensure that the appropriate format and template is used for this report, as per the PDNA Guide, Volume B;
- Sector Lead Writer: a lead writer would be appointed by each of the sector teams to ensure the integration of reports from sector teams and perspectives of all concerned parties;
- Translators (if needed) : to translate the report into the required language as needed, ensure that contributions submitted in languages other than the main language of the report can be integrated;
- Editor(s): to ensure that the text of the assessment report/Recovery Strategy is clear, coherent and grammatically correct;
- Data Manager: to produce data displays for the report/Recovery Strategy that are accurate and comprehensible even to non-technical readers.

Reporting

The report writers work with the PDNA Coordination Team.

Sample ToR:
Information Management Specialist

Responsibilities

The IM specialist would participate as a member of the PDNA Planning Mission and the PDNA Coordination Team, and be responsible for leading the design, development and implementation of the PDNA information management strategy to support the collection, processing, analysis and dissemination of information throughout the PDNA process. More specifically, the IM Specialist will ensure the following:

Design the IM strategy for the PDNA

- Assess the technical requirements needed to set up the IM system for the PDNA, including databases, information sharing platforms, website/intranet space, common operational datasets and protocols, national data and GIS standards, among others;
- Identify the infrastructure needed for the IM system such as equipment, software, purchase of data and maps;
- Determine the staffing requirements to support the IM system such as for data entry, GIS and mapping, as well as staff to support the collection, processing and consolidation of primary and secondary data.

Coordination and management

- Establish and manage all IM systems needed, including information sharing platforms, databases, GIS platform, list serves and distribution mailing lists. Facilitate information sharing through the management of the PDNA country collaborative workspace, list serve and distribution mailing lists, intranet sites and websites, with a timely posting of information on all relevant in-country and external platforms;
- Establish partnerships and coordinate with key information stakeholders, identify information systems and collect information of relevance to the PDNA from local and national officials, OCHA, humanitarian and early recovery partners;
- Coordinate with sector teams as required to ensure common procedures that facilitate data collection and processing;
- Review CVs, interview and recruit staff needed to support IM, prepare ToRs and provide overall supervision to the IM team;
- Participate in PDNA Coordination Team meetings.

Day-to-day Tasks

- In collaboration with partners, compile information on recent surveys and assessments;
- Provide GIS mapping support to the PDNA as needed;
- Coordinate the preparation of meeting materials (background documents, maps, data, etc.)
- Manage contact lists and facilitate the sharing of data and information among:
    - the High-Level Management Team;
    - the Coordination Team;
    - Sector teams;

  - the Report Secretariat;
  - PDNA focal points at regional and global levels;
  - PDNA partners at HQ.

- Act as a focal point for media relations and communication to affected communities, working closely with PDNA partners' public information counterparts to develop and deliver key messages;
- Prepare updates on the status of the PDNA process and provide regular inputs to inter-cluster/agency information products (e.g., OCHA situation reports, early recovery updates, etc.);
- Participate in PDNA training workshops and lead in training components of information management such as the use of the PDNA country collaborative workspace as well as the GIS etc., as required. Ensure regular and timely updates of relevant data and reports to the collaborative workspace and other platforms in collaboration with OCHA and other national, humanitarian and early recovery data/GIS colleagues, obtain common operational datasets and adopt national data and GIS standards including geo/place (P-) codes;
- Support/oversee the collection and capture of disaster data disaggregated by gender and age from a range of information sources (e.g. using data management software such as DesInventar) to identify disaster trends and conduct risk analysis.

Reporting

The IM specialist would report to the head of the Technical Support Cell.

PDNA Contact List Template

Name	Position	Organization	Address	Email	Telephone or local contact information	End date of assignment

Model PDNA Web-Based Workspace

A PDNA web-based collaborative workspace is an important tool to facilitate communication and coordination among partners in the field, in the capital from where the PDNA is being coordinated, at regional offices and at HQ. It would also serve as a platform for data and information to be easily shared and stored throughout and beyond the PDNA process.

When establishing a country collaborative workspace, much thought should be devoted to the issue of access. As an inter-agency process, a PDNA collaborative workspace requires access to be granted to a range of partners, among them the PDNA Team (the High-Level Management Team, Coordination Team, sector teams, technical support team and Report Secretariat); UN Country Team; colleagues from the country offices of UNDP, the WB and the EU; Cluster/Sector Leads and government officials.

Once the decision has been taken by the partners to launch a PDNA and a PDNA Team is under constitution, the International Recovery Platform (IRP) can be informed by contacting:

info@recoveryplatform.org

The specific workspace with a number of template pages would be set up the IRP. These would be raw pages without any content, but easy to populate. The pages would be filled up by the PDNA Team as the process is set in motion. The advantage of the workspace is that the templates can be set up in seconds and are ready to use and user friendly.

The PDNA Team Leader should nominate an administrator for the workspace. The IM specialist of the PDNA Team would be an appropriate person for this task, though this job does not require any knowledge of IT and can be assigned to any person.

The three levels of access in the workspace would be as following:

1. Administrator: Can invite/assign user access to workspace users. The administrator controls access to the workspace and should be aware of who should be granted access and who denied. This would require close interaction with the PDNA Team and the Team Leader.
2. Moderator: Responsible for the maintenance of the country workspace. Can create/delete/edit/read content in country workspace.
3. Reader: PDNA Team members (field-based) and PDNA regional/global stakeholders who have the right to edit/read, access comment/contribute to discussion forum and download and upload documents.

A point to note is that Administrators and Moderators should not be given Reader access, as they already have the access rights of a Reader. Duplication of access rights can confuse the software and deny all access. Care should be taken to avoid placing the same name in more than one access level.

The workspace functions are user friendly and self-explanatory. A user manual is available at:

http://www.recoveryplatform.org/pdna/user_manual_for_workspace

Sample Template 1: PDNA Report and Recovery Strategy

PART 1: PDNA ASSESSMENT REPORT

NOTE: refer to the brief guide on completing this PDNA Report and the Recovery Strategy report, which appears at the end of this template.

Participants in PDNA:	
Participating agencies:	
Date:	

EXECUTIVE SUMMARY

INTRODUCTION

Statement on the desired long-term recovery outcome in the sector (vision)

Recovery strategies that may be derived in the recovery outcome, including measures to reduce future risks

Implementation arrangements for recovery processes

ASSESSMENT OF DISASTER EFFECT

General description of the disaster event, its geographical scope, population affected, etc.

Effects on Infrastructure and Physical Assets

Effects on Production and delivery of goods and services, access to services and goods

Effects on Governance and decision making processes

Effects on Risks and vulnerabilities

TOTAL VALUE OF THE EFFECTS OF THE DISASTER

Economic value

Value of total/partial destruction of infrastructure and assets

Value of changes on production of goods and services, delivery of services and access to services and goods

Value of changes to governance

Value of changes to risks

ASSESSMENT OF DISASTER IMPACT

This section also summarizes in qualitative terms of the impact of the disaster based on the assessment of the disaster effects, the sector development plans, lessons from past experiences and the emerging concerns that derive from the events.

Macro-economic impact

Human development impact

CROSS SECTOR LINKAGES

PART 2: RECOVERY STRATEGY

EXECUTIVE SUMMARY

RECOVERY VISION AND GUIDING PRINCIPLES

Vision

Guiding Principles

RECONSTRUCTION AND RECOVERY NEEDS INCLUDING BUILD BACK BETTER

NOTE: see template that can be used to fill in this section for all sectors.

NB: cross-cutting issues, as gender, age, etc., are to be considered under each heading where appropriate.

	Short-term Needs	**Medium-term Needs**	**Long-term Needs**
By Region	To repair / rebuild damaged infrastructure and physical assets Restore to predisaster level BBB for reconstruction of infrastructure and physical assets		
	Service delivery and production, and access to services and goods Restore service delivery and production capacity, and ensure access to services and goods BBB needs for service delivery and production of goods, and access to services and goods		

	Governance BBB needs for governance and DRM		
	Risks To mitigate risks and vulnerabilities to future disasters		

THE RECOVERY PLAN

Priority Recovery Needs by sector		Interventions	Recovery Costs			Expected Outputs	Intended Outcomes
			Short Term	Medium Term	Long Term		
Social Sectors							
1							
2							
Productive Sectors							
3							
4							
Infrastructure Sectors							
5							
6							
Cross Cutting Sectors							
7							

IMPLEMENTATION ARRANGEMENTS

Partnerships, coordination and management arrangements to implement recovery

Monitoring and evaluation

Resource mobilization mechanisms

Recovery challenges and key assumptions and constraints

ASSESSMENT METHODS

BRIEF GUIDE FOR COMPLETING TEMPLATE FOR THE PDNA AND RECOVERY STRATEGY

1 - INTRODUCTION

Kindly include the sector purpose of the PDNA.

The purpose should include:

1.1 Statement on the desired long-term recovery outcome in the sector (vision);

1.2 Recovery strategies that may be derived from the recovery outcome statement, including measures to reduce future risks;

2 - PRE-DISASTER BASELINE INFORMATION/ SECTOR OVERVIEW

The section provides the Sector Overview and pre-disaster Baseline information of the sector. It also includes information on sources and key-documents used to determine pre disaster conditions. It should include information on the following:

2.1 The state of the human, natural, cultural, financial, social and physical capital within the sector

2.2 Description of the Infrastructure and physical assets

2.3 Description of the Production and delivery of goods and Services, and access to goods and services;

2.4 Description of Governance and decision making processes: (Incl. people's ability to exercise their citizenship and priority development policy objectives, etc.)

2.5 Risks and vulnerabilities including existing preparedness plans

3 - ASSESSMENT OF DISASTER EFFECT

The section defines and describes the effects of the disaster (disaster effects are defined as the: (1 destruction of infrastructure and assets, 2. disruption of service delivery, production, 3. disruption of governance, and 4. influences on previous and emerging risks/vulnerabilities,) as well as the direct responses to mitigate these effects.

NB: effects can be described as tangible as well as intangible effects.

These effects must be presented according to the country's geographical divisions as presented in the Census and by other key sociological characteristics where relevant (sex, age, ethnicity, religion, ability, disability of the given population). The effects can be expressed in quantitative or qualitative terms.

4.1 Introduction: general description of the disaster event, its geographical scope, population affected and evolution till date, etc.;

4.2 Effects on Infrastructure and Physical Assets;

4.3 Effects on Production and delivery of goods and services, access to services and goods;

4.4 Effects on Governance and decision making processes;

4.5 Effects on Risks and Vulnerabilities;

It also addresses the cross cutting issues such as gender, environment and risk reduction across the description of the effects or in a separated paragraph

4 - CALCULATING THE VALUE OF THE EFFECTS OF THE DISASTER

This section should give an estimate of the value of Damage and Loss, extracted from the section on effects for those elements that have financial implications, either in damage of infrastructure and assets, as well as loss due to changes in financial flows as linked to service /production, governance and risks. This section presents the economic value of the event.

Damage:

- **Value of total/partial destruction in infrastructure and assets**

Loss:

- **Value of changes on production of goods and services, delivery of services and access to services and goods**
- **Value of changes to governance**
- **Value of changes to risks**

5 - ASSESSMENT OF DISASTER IMPACT

This section provides the report on the aggregated economic and human development impact.

It also provides an analysis of the expected trend for the sector after the disaster and what could be the worst case scenario if policy and programming measures are not considered. It identifies major challenges for the sector. This impact analysis is based on the assessment of the disaster effects, the sector development plans, lessons from past experiences and the emerging concerns that derive from the events. The analysis of the impact of the disaster provides the medium and long term projection of the effects on the sector. The impact analysis forms the basis of the recovery strategy"

6 - CROSS SECTOR LINKAGES INCLUDING CROSS CUTTING ISSUES.

This section reports on the inter- sectoral linkages inherent in the functioning of the society and links across sectors.

7 - THE SECTOR RECOVERY STRATEGY

7.1 Sector Recovery Vision and Rationale for the sector

This section presents the recovery vision and expected outcome for the sector.

This should be based on the country's existing sector development plan, aligning, where possible, recovery objectives to existing national development plans and strategies.

7.2 Stakeholders' consultation

This section reports on the stakeholders consulted in the development of the recovery strategy and recovery needs and priorities.

7.3 Reconstruction and Recovery Needs, including Build Back Better

This section defines the needs for reconstruction and recovery, distinguishing the needs to restore and resume to pre-disaster levels, from needs that will improve access to services and goods, catalyze the economy, build livelihoods, strengthen DRM of the government and communities and reduce risks and vulnerabilities to future disasters

All BBB interventions linked to the 4 headings contribute to resilience of government, systems and communities

NB: needs for BBB related to the 4 headings should be aligned to/informed by pre-existing national development and/or poverty reduction strategies.

7.4 The Sector Recovery Strategy

7.4.1 Prioritization and sequencing:

This section presents the reconstruction and recovery needs prioritized in short, medium and long term needs. It identifies the key interventions, outputs and outcomes, and distinguish those interventions that are related to restore/resume from BBB interventions.

7.5 Implementation Arrangements

7.5.1 This section describes and elaborates on partnerships, coordination and management arrangements to implement recovery;

7.5.2 This Section proposes mechanisms for Monitoring and Evaluation. It also reports on existing coordination mechanisms for Development and Humanitarian Assistance. It also outlines possible resource mobilization mechanisms.

7.5.3 This section provides a short description of the recovery challenges that might be expected in the implementation process for the sector and should be supported with key assumptions and constraints.

8 - ASSESSMENT METHODS

This section gives a brief description of methods and sources used (primary and secondary data collection) and methodology for analysis. It also explains the basis and assumptions for estimating the reconstruction and recovery needs.

Sample Template 2: Table for Presenting Recovery Needs

	RECOVERY NEEDS			
	Sector	**Short Term**	**Medium Term**	**Long Term**
Reconstruction of Infrastructure and Physical Assets and Build Back Better (BBB)				
Social Sectors	Housing, Land and Settlements			
	Education			
	Health			
	Culture			
	Nutrition			
Productive Sectors	Employment & Livelihoods			
	Agriculture			
	Commerce & Trade			
	Industry			
	Tourism			

RECOVERY NEEDS				
	Sector	Short Term	Medium Term	Long Term
Infrastructure Sectors	Community Infrastructure			
	Water, Sanitation & Hygiene			
	Transport and Telecommunications			
	Energy & Electricity			
Cross Cutting Sectors	Disaster Risk Reduction			
	Environment			
	Gender			
	Governance			
	To Resume Service Delivery and Access to Goods and Services and to Build Back Better (BBB)			
Social Sectors	Housing and Land and Settlements			
	Education			
	Health			
	Culture			
	Nutrition			

RECOVERY NEEDS				
	Sector	**Short Term**	**Medium Term**	**Long Term**
Productive Sectors	Employment & Livelihoods			
	Agriculture			
	Commerce and Trade			
	Industry			
	Tourism			
Infrastructure sectors	Community Infrastructure			
	Water, Sanitation & Hygiene			
	Transport & Telecommunications			
	Energy & Electricity			
Cross Cutting sectors	Disaster Risk Reduction			
	Environment			
	Gender			
	Governance			

RECOVERY NEEDS				
	Sector	Short Term	Medium Term	Long Term
	To Restore Governance and Social Processes and Build Back Better (BBB)			
Social Sectors	Housing Land and Settlements			
	Education			
	Health			
	Culture			
	Nutrition			
Productive Sectors	Employment & Livelihoods			
	Agriculture			
	Commerce & Trade			
	Industry			
	Tourism			

RECOVERY NEEDS				
	Sector	**Short Term**	**Medium Term**	**Long Term**
Infrastructure sectors	Community Infrastructure			
	Water, Sanitation & Hygiene			
	Transport & Telecommunications			
	Energy & Electricity			
Cross Cutting sectors	Disaster Risk Reduction			
	Environment			
	Gender			
	Governance			
	Reduce Risks and Vulnerabilities to Disasters			
Social sectors	Housing, Land and Settlements			
	Education			
	Health			
	Culture			

RECOVERY NEEDS				
	Sector	Short Term	Medium Term	Long Term
	Nutrition			
Productive Sectors	Employment & Livelihoods			
	Agriculture			
	Commerce & Trade			
	Industry			
	Tourism			
Infrastructure sectors	Community Infrastructure			
	Water, Sanitation & Hygiene			
	Transport & Telecommunications			
	Energy & Electricity			

	RECOVERY NEEDS			
	Sector	**Short Term**	**Medium Term**	**Long Term**
Cross Cutting Sectors	Disaster Risk Reduction			
	Environment			
	Gender			
	Governance			
Social Sectors	Housing, Land and Settlements			
	Education			
	Health			
	Culture			
	Nutrition			

RECOVERY NEEDS				
	Sector	Short Term	Medium Term	Long Term
Productive Sectors	Employment & Livelihoods			
	Agriculture			
	Commerce & Trade			
	Industry			
	Tourism			
Infrastructure Sectors	Community Infrastructure			
	Water & Sanitation			
	Transport & Telecommunications			
	Energy & Electricity			
Cross Cutting sectors	Disaster Risk Reduction			
	Environment			
	Gender			
	Governance			

ANNEXES

Annex 1.
Joint Declaration on Post-Crisis Assessments and Recovery Planning

The European Commission, the United Nations Development Group and the World Bank seek to mobilize our institutions and resources to harmonize and coordinate post-crisis response frameworks to enhance country resilience to crises, by answering recovery needs of vulnerable populations and strengthening the capacity of national institutions for effective prevention, response and recovery. We believe a common platform for partnership and action is central to the delivery of an effective and sustainable international response after disaster- and conflict-related crises. We are engaged in significant work to reform the processes used by national and international partners to assess, plan, and mobilize support for recovery to countries and populations affected by natural disasters or violent conflicts.

A Common Platform for Action

We recognize that early strategic dialogue and engagement is an essential foundation that can be built upon as crisis management and recovery efforts move from planning to implementation, and we decide to:

- Communicate strategically at both HQ and field level as we monitor situations of fragility and conflict, and imminent or actual natural disasters, and identify opportunities for joint initiatives where our combined efforts may offer advantages;
- Participate in the relevant in-country planning processes and support the development and use of shared benchmarks/results frameworks and joint processes for monitoring and review;
- Support the development and use of the common methodologies for post-conflict needs assessments, and a common approach to PDNAs and recovery planning;
- Invest in development of toolkits and staff training to deepen our collective and institutional capacity for these processes; and
- Monitor progress in the implementation of the common platform through a senior level meeting that would take place once a year.

Assessing Needs, Identifying Priorities, and Planning Recovery: Commonalities and Differences in Situations of Disaster and Conflict

After a natural disaster, the essential task is to assess the consequences of a specific event—the cyclone, the earthquake—and compare the pre-disaster situation with the post-disaster reality. The assessment process seeks to identify and capture the needs of the people, the damages to physical assets and infrastructure arising from this event, and the subsequent economic losses caused by the event, as well as identifying the social and community level dimensions and sectoral aspects of recovery needs. The scope and approach of the recovery program will depend not only on the quantified losses, damages, and needs, but also on the resources mobilized and on the nationally-defined priorities that may include an explicit decision to 'build back better'.

In contrast, in a situation of conflict and fragility, there is no single 'event' to provide a dividing line for the kind of analysis done in a post-disaster assessment; there is no equivalent to using pre-hurricane data/forecasts and calculations of the physical impact of the storm to quantify damages and losses and then define, prioritize, and finance needs. Indeed, there is no standard 'entry point' for recovery planning in these circumstances; the decision is unique to each conflict situation, based on criteria that may include transition events (peace accords or ceasefires), increasing momentum amongst international partners for engagement, a shared need for analysis, and national willingness to engage in a joint process.

Recovery planning in conflict-affected situations must build crucial linkages across political, security, and development actors and actions—and yet the broad range of concerns that emerge, especially when the conflict was prolonged, usually generates a long and un-prioritized list. To define the strategic needs for physical reconstruction and economic recovery, proposed actions are prioritized using criteria articulated in advance, centered on stabilizing the fragile peace and reducing the risk of renewed conflict. This strategic prioritization process is essential to provide a selective framework for priority action to which international partners and national authorities commit, and within which they align their programs and commit their funding.

Capacity is an important consideration in all recovery planning. Natural disasters are indiscriminate, striking strong states with robust capacity for response and reconstruction as well as states in fragile situations where saving lives and rebuilding will be a struggle; in contrast, situations of violent conflict and fragility are almost always characterized by low capacity, especially in state institutions. In both circumstances, assessing needs and planning recovery can help address capacity gaps: post-disaster assessment can be a direct catalyst for building national institutions and technical capacities for prevention, while post-conflict recovery planning can build bridges of shared understanding across conflict parties as a foundation for transforming institutions and enable institutions to increase their capacities to respond to the needs of the population.

Supporting an agreed common framework for recovery planning in situations of conflict and fragility

Effective recovery for countries emerging from prolonged fragility or conflict is dependent on actions not only of the national and local entities but also of donors and other key international actors such as United Nations and other agencies and peace-keeping missions who bring capacity and resources. A nationally-owned plan is needed to summarize the strategic priorities for recovery, but it is impractical to wait for a traditional government-implemented national plan such as a Poverty Reduction Strategy Paper. Recognizing the need for a nationally-led planning process that can deliver a joint national-international compact, and the limited capacities of national authorities in post-conflict settings, it is necessary for international actors to support national authorities in defining priorities. It is this articulation of shared responsibility, which defines the framework within which international partners will align their assistance, and with which the government and its national and international partners will monitor the recovery process.

The Post Conflict Needs Assessment, or PCNA, maps the terrain of key needs in the country; cluster teams, comprised of national and international technical experts, conduct field and desk assessments, seeking to be comprehensive but recognizing that the reality of the post-conflict context is that data will be incomplete or rudimentary and access to stakeholders and communities may be challenged by logistics and security concerns. Using this information, the Transitional Results Framework, or TRF, is developed, with key milestones in the terrain mapped by the PCNA. Actions included in the TRF reflect strategic dimensions of peace building and conflict mitigation by referring to gender-, ethnic-, age-, or region-specific actions.

Thus, the TRF lays out a selective group of priority actions and outcomes with their financial implications, and allows national and international stakeholders to align efforts to support a successful transition, minimize the risk of reversal into violent conflict, and take necessary early steps to support building an accountable, effective and responsive state.

Historically, needs assessments were most often linked to formal peace accords; but the 2007 revision to the PCNA-TRF methodology explicitly provides for a wider range of circumstances where recovery planning may be relevant, where: (i) there is a sudden breakthrough in a peace or political transition process, requiring a clear plan and budget to support the process; (ii) a peace or political transition process is at a stage where mediators believe it useful for parties to focus on practical transition planning; (iii) a later transition—for example, from a transitional to an elected government—requires a new process to confirm national priorities; (iv) a political, security, economic or social crisis requires a re-evaluation of priorities and recovery plans.

Transitional Results Frameworks are an integral part of the OECD-DAC ***Principles of Good International Engagement in Fragile States and Situations*** and the ***Paris Declaration on Harmonization***. The PCNA-TRF has been endorsed as the common entry point for post-conflict recovery planning by the UNDG-ECHA Working Group on Transitions (April 2007) and by the Heads of the Multilateral Development Banks (October 2007), and was highlighted as the common platform by members of the OECD-DAC Expert Thematic Meeting on Integrated Planning in February 2008.

Working towards a common framework for multi-stakeholder PDNA and recovery planning

Effective recovery and transition from relief to development in a post-disaster situation requires a nationally-led needs assessment and recovery planning process, often with international support, to determine damages, losses and recovery needs and, in many cases, the development of a Recovery Strategy, through an inclusive and multi-stakeholder process, that would serve as a tool for planning, coordination and management of recovery efforts. Underpinning this is not only the need for effective recovery assessment and planning at the national level, but also the how-to of connecting national plans with effective means of delivering recovery programs at the local level.

The post-disaster environment has often been characterized by a broad range of stakeholders engaged in supporting recovery and the transition from relief to development. Their interventions have typically been guided by needs assessment and planning exercises undertaken by individual and/or groups of agencies in parallel. Such assessments have varied in scope and rigor and been undertaken at different times during the response phase. Initially needs assessments are carried out by humanitarian actors during the early days of the emergency phase. These variations in practice have led to conflicting understandings of recovery needs and opportunities, have challenged coordination and unnecessarily used resources, resulting in sub-optimal recovery response, including the rebuilding of risk, and the failure to support the achievement of longer-term development objectives.

For this reason, intensive work is underway to improve coordination amongst international and national actors involved in supporting disaster recovery planning and implementation across high-risk countries, the United Nations, International Financial Institutions and major donors, such as the European Union. Division of labour between stakeholders based on their comparative advantages in a given situation can further enhance the effectiveness of aid.

Discussions are anchored in a partnership between the United Nations agencies—led by the United Nations Development Programme (UNDP) as chair of the Global Cluster Working Group on Early Recovery (CWGER), the World Bank, and the European Commission. It is conducted in close cooperation with a select group of high-risk countries, members of the Inter-Agency Standing Committee's (IASC) Global Cluster Working Group on Early Recovery (CWGER), the United Nations Development Group (UNDG), interested donors and in synergy with the work on improved humanitarian assessment methodologies that is taking place in the framework of the humanitarian reform.

A Guide to a Multi-Stakeholder Needs Assessment and Recovery Strategy is under development to provide an action-oriented, easy-to-use reference for decision-makers to use in the early stages of disaster recovery planning. The Guide will be accompanied by protocols of cooperation for effective coordination between the United Nations, the World Bank and the EU in support of nationally-owned recovery needs assessment and planning processes. Engagement with high-risk countries in the development and application of the Guide and operating procedures ensures that this process corresponds to reality and meets needs as seen from a country perspective. It also serves to build national capacity in high-risk countries before and after a disaster event in order to better manage recovery processes.

The Guide brings together the two main strands of recovery assessment, i.e. the determination of human recovery needs, and the valuation of damages and losses. It builds on experience with different tools and methodologies available for assessing the impact of disasters. These include sector-specific tools developed and used by United Nations sectoral or thematic lead agencies, EC-JRC, as well as the DaLA methodology developed by the United Nations ECLAC, which is commonly used by the World Bank. The project supports the objectives of the International Recovery Platform (IRP) and, more broadly, the fulfilment of the Hyogo Framework for Action (HFA).

Annex 2.
UN-WB Partnership Framework for Crisis and Post Crisis Situations

Preamble

The Secretary-General of the United Nations and the President of the World Bank, conscious of the critical and complementary roles that our respective organizations play in supporting early and sustainable recovery during and after crises, are committed to strengthening the partnership between our organizations in order to make the international response in these contexts more effective and sustainable.

In pursuit of the goals set out in the United Nations Charter, the United Nations galvanizes the international community in response to crisis and post-crisis situations and engages in a variety of activities, including humanitarian assistance delivery and coordination, support to national reconciliation, re-establishment and maintenance of peace and security, transitional political processes, democratic governance, recovery and development Consistent with its mandate for reconstruction and development, the World Bank is a major financier of activities which support national institution-building, economic and social resilience and recovery in countries vulnerable to natural disaster and conflict. We recognize the interdependence of such activities and the importance of integrated political, security and development frameworks in pursuit of lasting recovery and achievement of the Millennium Development Goals.

Developments within the World Bank and United Nations have improved the opportunities for our productive partnership. The United Nations has put in place structures and processes to ensure a more integrated United Nations approach and effective delivery in crisis and post-crisis contexts, including efforts to 'deliver as one', integrated planning processes, an evolving architecture for peace-building and humanitarian reform. The World Bank has developed new policies and tools to strengthen the speed and effectiveness of its response to crisis and post-crisis situations.

Building on these measures, we welcome progress already underway to strengthen cooperation between the World Bank and United Nations entities. Important practical synergies have been achieved, in cooperation with national authorities, in situations such as DRC, Haiti, Liberia and the disaster-affected regions of Indonesia. In-country collaboration is supported by increased strategic coordination and collaborative policy development at HQ, including the establishment of joint approaches to post-conflict needs assessments and recovery planning, and World Bank participation in the Peace-Building Commission. The World Bank and the United Nations have also collaborated in contributing expertise and advice on development and economic aspects of peace-making and post-crisis economic governance.

Our partnership will vary depending on the specific context, evolution of crisis situations and the range of national and international partners involved. A flexible approach will remain the hallmark of an effective response. Our partnership can be further enhanced through clarifying the basic principles for our collaboration and strengthening mechanisms for strategic and operational coordination and cooperation. These include regular communication, strategic and operational planning, financial interoperability, and the deepening of a culture of collaboration.

1. Guiding principles

- The United Nations and the World Bank support the following principles in our respective engagement in crises contexts:
- Our roles and mandates differ, but our efforts are interdependent and must be mutually reinforcing.
- Integrated efforts are particularly important in working with national authorities and partners to strengthen national capacity for effective prevention and response and to support the implementation of national recovery and development strategies that encompass political, security, human rights, economic and social dimensions within the framework of the rule of law and good governance.
- We need to be flexible to respond to different country needs, taking into consideration the country context, national priorities, UN-mandated tasks, appropriate division of labour and the role of other regional and international partners.
- Regarding humanitarian action undertaken by the United Nations and its partners, the recognized humanitarian principles of neutrality, impartiality and independence will be respected.

2. Strengthening our collaboration in post-crisis settings

An effective strategic and operational partnership will be facilitated, inter alia, by progress in an initial four priority areas:

2.1 Communications: The United Nations and the World Bank will strengthen mechanisms for ensuring consistent and effective institutional contacts in crisis and post-crisis situations, inter alia through the following communications protocol:

In the event of a crisis or a significant change in country circumstances, immediate contacts are made between the senior World Bank and United Nations officials in the country (normally the Country Director or Country Manager for the World Bank and the SRSG and RC/HC for the United Nations).

At HQ, agreed institutional points of contact and liaison between appropriate country desks support communications at country-level.

Institutional points of contact are responsible for ensuring effective information sharing and coordination between HQ and field offices, including attention to issues that cannot be resolved at the country level, and for on-going communication.

Regular country level communications between the World Bank and United Nations officials is maintained through existing coordination mechanisms, such as the United Nations Country Team.

2.2 Assessment, planning, and operational frameworks. Many of the planning processes for United Nations and/or World Bank support to countries in crisis and post-crisis situations are undergoing reform. The United Nations and the World Bank recognize that early strategic dialogue and engagement is an essential foundation that can be built upon as crisis management and recovery efforts move from planning to implementation, and agree to:

Within existing frameworks to support national ownership, and with due respect to humanitarian principles, work to bring strategic planning and assessment processes into closer coordination across the political, security, development and humanitarian spectra, including participation in respective planning processes and the development of shared benchmarks/results frameworks and joint processes for monitoring and review.

As part of this effort, use a common methodology for post-conflict and PDNAs and a coordinated approach to recovery and planning.

Collaborate in the analysis and presentation of external financing needs, including linkages between the relevant components to be funded.

2.3. Financing policies and procedures.

The United Nations and the World Bank recognize that efforts to strengthen collaboration around funding mechanisms are critical to enhance opportunities for collaboration. The United Nations and the World Bank are committed to efforts to develop appropriate arrangements in this regard

2.4. A culture of collaboration. In order to strengthen the culture of collaboration and promote cross-fertilization between the two institutions, the United Nations and the World Bank will:

- Participate in relevant respective training programmes for HQ and field personnel, and develop, as appropriate joint training programmes to enhance staff understanding of shared approaches as well as instruments and approaches related to each organization's differing areas of mandate and competence;
- Conduct joint events and regular briefings on crisis and post-crisis approaches; and
- Conduct joint lessons learned exercises, joint missions where appropriate, and collaborative research and assessments.
- The United Nations and the World Bank agree to review the partnership periodically - both globally as well as in the context of specific country experiences - in order to adjust institutional arrangements, document good practices, identify opportunities and constraints, and assure continual attention to the impact of our collaboration on the effectiveness of the crisis and post-crisis response.

Annex 3.
UNDG-WB Post Crisis Operational Annex

Preamble

Within the framework of the UN-WB statement on crisis and post crisis situations, the objective of this partnership note is to anchor a common operational platform for coordinated post-crisis responses between the World Bank and the member organizations of the United Nations Development Group ('the UNDG') by:

1. Establishing an agreed set of principles to guide and support collaboration between the UNDG and the WB in crisis and post crisis situations,
2. Defining the communication channels, assessment and planning processes to determine country-level collaboration, and to arrive at clear roles and responsibilities, particularly in overlapping thematic areas of intervention and coordination, that the UNDG and the WB commit to follow in crisis and post crisis situations.
3. Outlining actions to be taken to strengthen the interoperability of UNDG members and WB procedures, including legal and fiduciary arrangements.

1. Guiding Principles

The UNDG and the World Bank agree that:

i) The objective of their collaboration is to enhance country resilience to crises, by answering immediate needs and ensuring livelihoods of vulnerable populations, supporting sustainable peace-building and strengthening the capacity of national and local institutions for effective prevention, response and recovery leading to long term development.

ii) A strengthened UNDG-WB collaboration is critical for increasing both the speed and the effectiveness of executing and implementing interventions to address priority crisis and post-crisis needs.

iii) Decisions on UNDG-WB collaboration and division of labour need to be informed by country context which involves different needs, capacity of national institutions, as well as a different constellation of international donors and partner institutions and driven by the objective of improved development outcomes in each given country.

The UNDG and the WB have strongly complementary strengths, based on their respective mandates and capacities, to support national authorities and their populations in post conflict situations and natural disasters. In particular, the UNDG agencies, funds and programs provide an essential element of the UN's overall response to crisis and post crisis, when security, political, humanitarian and development efforts come together to ensure a coherent support to a country's peace building needs. The World Bank is a major financier of post-crisis recovery, and has strong relationships and dialogue with developing country governments on poverty reduction strategies, planning and budgeting, including on disaster prevention and mitigation and post-conflict recovery. As such, improved coordination between UNDG members and the WB can contribute significantly to an effective, efficient, nationally-led transition from relief to development.

In recent years a very productive partnership between the UNDG and the WB has led to enhanced collaboration in crisis and post crisis situations. This has included: (i) development of a shared approach for post-conflict needs assessments and transitional results frameworks (PCNA/TRMs), and their coordination with peace-keeping and humanitarian planning processes; (ii) various Multi-Donor Trust Fund mechanisms (two-window and one-window) and other models for the transfer of funds from one institution to another; (iii) joint operations at the country-level; (iv) joint work to strengthen national aid coordination capacity, prepare donor conferences and support core donor groups; and (v) joint training and staff briefings.

While the partnership has grown closer in recent years, both the UNDG and the WB see opportunities for strengthening their institutional cooperation by taking account of lessons learned at the country level, and building on recent developments such as the peace building architecture, the PCNA, and the WB's new rapid response policy. These initiatives have taken place within a wider harmonization context and in partnership with other bilateral and multilateral international partners. This note seeks to encourage joint work between the UNDG and the Bank, which will continue to follow a flexible approach in seizing new opportunities for collaboration beyond the scope of this note, in order to respond to evolving operational needs.

2. Arrangements for strengthened collaboration in post-crisis settings

2.1 Communication protocol: The UNDG and the Bank will strengthen mechanisms for ensuring consistent and effective institutional contacts in crises and emergencies, through the following protocol:

Immediate contacts in the event of a crisis or post-crisis situation are made between the most senior World Bank and United Nations official at the country level (normally the Country Director or Country Manager for the World Bank and the UNRC [and SRSG, where applicable])

Simultaneously, institutional teams responsible for post-crisis assistance in New York, Geneva, and Washington will ensure that they are in contact. For the UNDG, the institutional focal point will be UNDOCO, as the facilitator of the UNDG/ECHA mechanism for decision-making; for the World Bank, it constitutes the Fragile and Conflict-Affected States Group for conflict-related crises and the Hazard Management Team for natural disasters.

The WB and UNDG institutional teams will be responsible for ensuring that there is effective information sharing and coordination between HQ and country offices, and among agencies, and for troubleshooting problems arising on UNDG/WB specific issues which cannot be resolved at country level.

2.2 Assessment, planning, and determination of division of labour, drawing on best practices. To reinforce our institutional commitment to the use of shared tools to better inform decision-making on the ground and support a more systematic application of good practices and relevant experiences between countries, the UNDG and the WB agree to:

Use a common methodology for both post-conflict and post-disaster needs assessments and recovery planning (PCNA/PDNA).

Expand the information available to country teams on lessons learned from other country experiences regarding coordination and division of labour in support of country-level efforts to determine clear roles and responsibilities.

Ensure that coordination and arrangements related to roles and responsibilities are inclusive of national institutions, principal international partners, as well as civil society and the private sector.

To strengthen effective collaboration and ensure that these issues are adequately addressed, the UNDG members and the WB agree to work together to encourage and support country teams facing specific crisis and post-crisis situations to make effective use of the existing tools and instruments through, inter alia, information sharing and technical support. When agreed common methodologies and tools exist, UNDG and WB will encourage country teams to make use of such methodologies and support country teams thereof. When no common methodologies or tools are in place, country teams shall foster coherence in the use of the respective tools and methodologies, at country level.

The following common methodologies and instruments are currently in place:

- For assessments: Post Conflict Needs Assessment (PCNA); UNDG-WB Joint Programme on PCNAs; Post Natural Disaster Needs Assessment (PDNA);
- For financing: the United Nations and the Bank have collaborated in independent evaluations of MDTF performance which provide recommendations and good practice examples on internal United Nations and WB reforms to enhance the performance of MDTFS, and the adaptation of MDTFs to country context and objectives;
- For each of these issues/activities, the UNDG and the WB commit to sharing with country teams lessons learned from other countries and to support country-level exercises to determine roles and responsibilities based on those lessons learned, in areas where both UNDG and the WB can offer a contribution.

In each of these areas, the goal should be to increase the effectiveness of the support provided, and to lower the transaction costs for the government, donors, regional and international partners. These areas include, but are not limited to:

- Policy development and technical assistance for national and sector-/based recovery plans;
- Support to preparation of donor conferences and other coordination meetings;
- Support to national capacity for planning and aid coordination, including tracking of aid flows;
- Support to national capacity for monitoring and evaluation systems;
- Sector programmes and projects, including planning, costing, implementation and delivery;
- Financing, including budget support and pooled funding;
- Capacity building, both at national and sub-national level, including implementation capacity analysis;
- Data collection and information management and sharing, in support of national systems;
- Coordination between political/security (peacekeeping operations where applicable) and humanitarian planning and the government's national recovery planning processes;
- International coordination, for both national and sector-based recovery plans.

2.3. Financing. The UNDG and the WB recognize that efforts to strengthen collaboration around multi-donor trusts funds, as well as to resolve current problems with the lack of interoperability between the respective legal and fiduciary frameworks, are critical to enhance opportunities for collaboration and support national authorities to manage international assistance for crisis and post crisis recovery.

Both partners agree that, building on best practices and experiences, a more predictable procedure needs to be put in place to establish the appropriate funding facility. The ultimate decision on the appropriate funding facility is taken by the country government (or relevant national partners). Normally, such decision would take into account the preferences of potential donors, and would be made upon a joint recommendation of the United Nations system and the World Bank, with other multilateral institutions as appropriate to the context. This approach will reinforce cooperation among all parties and contribute to reduced transaction costs, improved efficiency and timeliness.

To reflect the above, in making a determination on the appropriate configuration of the funding facility, the UNCT and the WB in country representatives should be guided by the following considerations:

(i) The specific country situation, taking into account such factors as: the purpose of the MDTF; the capacity of the government and the likely realistic timing of transition to government executing arrangements; the comparative advantage of different agencies with regard to the objectives of the Fund including the activities to be covered, requisite speed of disbursement for quick impact delivery; degree of 'on budget' or 'off budget' requirements; and conditions for direct budget support.

(ii) The analysis of the main options for the funding facility configurations under a single governance structure, which include:

A two window model: where, taking into account the factors listed in point (i) above, the comparative advantages of the WB (on the one hand) and the UNDG (on the other) merit a division of administration responsibilities (including application of the implementer's rules and procedures to the activities it administers)

A single window model: where, taking into account the factors listed in point (i) above, the activities predominantly fall within the comparative advantage of either the WB (on the one hand) or the UNDG (on the other) and thus a single fund administrator is merited. Under this arrangement, each organization that is a signatory to the Fiduciary Principles Accord would, when receiving a distribution from the fund, expend that money in accordance with its own regulations, rules and procedures and in accordance with its own oversight and fiduciary framework.

Sequential funds similar to the two-window model, but where activities are distinguished by timescale and will be carried out sequentially with minimal overlap in time

In situations where stakeholders in the field hold differing views, country representatives of the United Nations system and the World Bank should consult their respective designated representatives at HQ.

3. Culture of collaboration

In order to strengthen the culture of collaboration and promote cross-fertilization between the two institutions, the UNDG and the WB will:

- Invite staff from each organization to participate in relevant training programmes, and where appropriate and possible, develop joint training or staff briefing programmes in order to develop greater staff understanding of shared approaches, and staff awareness of instruments and approaches related to each organization's differing areas of mandate and competence as well as substantive areas of common intervention;
- Conduct joint lessons learned exercises on successful examples of collaboration in the field. Such exercises will feed into the aforementioned common framework and into future joint training programs.

As with the other commitments in this partnership note, the UNDG and the WB will seek the participation of other institutions involved in post-crisis assistance in these programmes.

The UNDG and WB agree to review the partnership periodically—both globally as well as in the context of specific country experiences—in order to adjust institutional arrangements, document good practices, identify opportunities and constraints, and assure continual attention to the impact of our collaboration on the effectiveness of the post-crisis response

GFDRR

Global Facility for Disaster Reduction and Recovery