

**PROJECT DOCUMENT**  
**Global Project**

**Project Title: Building Capacities for Resilient Recovery-Phase 2**

**Project Number: N/A**

**Implementing Partner DIM**

**Start Date:** January 2018

**End Date:** December 2020

**PAC Meeting date:** TBC

**Brief Description**

Effective and inclusive disaster recovery<sup>1</sup> can reduce vulnerabilities and inequities, strengthen resilience to future risks and restore progress towards the SDGs. Yet, while progress has been made in emergency preparedness and response, capacities of countries across the world to manage recovery processes still linger behind. Post-disaster interventions are often ad-hoc, short-term and uncoordinated, favouring reconstruction over socio-economic and human recovery needs.

Utilizing UNDP’s in-depth knowledge and experience in recovery, this project aims at building the resilience of countries **facing of disasters caused by natural hazards**.. The project will contribute to strengthening national & local government capacities to prepare for, plan and manage recovery processes in a sustainable and inclusive manner with a high focus on ensuring that there are capacities to Build Back Better after a disaster. Target countries are Burkina Faso, Lao PDR, Myanmar and Niger<sup>2</sup>.

The envisaged project outputs include:

- Output 1. Strengthened national policy, institutional and financial frameworks and mechanisms to plan and implement sustainable recovery processes.
- Output 2. Enhanced technical capacities in recovery planning and implementation.
- Output 3. Enhanced national capacities for implementing sustainable recovery at community-level.
- Output 4. Improved knowledge products, technological applications and South-South exchange for recovery management

Contributing Outcome (UNDP Strategic Plan 2018-2021 outcome 3 ):

**Outcome 3: Strengthen resilience to shocks and crisis**

Gen 2

<b>Total resources required:<sup>3</sup></b>	1,815,642 USD	
<b>Total resources allocated:</b>	<b>TRAC:</b>	
	<b>Donor:</b>	<b>1,785,000</b>
	<b>Donor:</b>	
	<b>Government:</b>	
	<b>In-Kind:</b>	
<b>Unfunded:</b>	30,642	

Agreed by UNDP:

<sup>1</sup> Recovery is defined as “The medium and longer-term rebuilding and sustainable restoration of resilient critical infrastructures, services, housing, facilities and livelihoods required for full functioning of a community or a society affected by a disaster, aligning with the principles of sustainable development and Build Back Better, to avoid or reduce future disaster risk” Report of the Open-ended intergovernmental expert working group on indicators and terminology relating to disaster risk reduction endorsed by the General Assembly, January 2017.

<sup>2</sup> These are part of the list of priority countries for the donor. The second phase will allow consolidating previous experience in two countries in Africa while bringing lessons learnt from phase I to a new region which is of particular interest to the donor.

<sup>3</sup> Exchange rate used to convert Euros to USD is 1.19 as per December 2017 (UNORE) Total required 1,815,642 USD, total allocated 1,785,000 USD, UNDP unfunded 30,642 USD, Luxembourg Donor 1,500,000 EUR.

**Magdy Martínez-Solimán**

Assistant Secretary-General

Assistant Administrator and Director

Bureau for Policy and Programme Support

United Nations Development Programme

Date:

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## I. DEVELOPMENT CHALLENGE

### Rising economic and social costs of disasters

Disasters occur on a continual basis across the world causing large-scale damages and losses to communities and countries. Between 2002 and 2012, over 40% of the world's population were affected by disasters, resulting in 1.2 million fatalities and economic costs of US\$1.7 trillion. Earthquakes, tsunamis, hurricanes and floods now cause economic losses that average between US\$250 and US\$ 300 billion per year. During 2005-2015, approximately 23 million people were left homeless due to the impact of disasters. Besides leaving a large number of people homeless, a large-scale disaster can cause economic slowdown, employment losses and low entrepreneurial activity thus pushing back people into poverty. Studies show that disaster-affected areas show an increase in poverty. For example, The Post Disaster Needs Assessment (PDNA) conducted following the earthquakes in Nepal in April and May 2015 estimated that the number of people living below the poverty line would increase an additional 2.5 to 3.5 percent. This represents at least 700,000 people<sup>4</sup> as a result of the disaster, the number of people. Similarly, the PDNA conducted in Myanmar following the 2015 floods estimates that 7.2 million workdays would be lost in the agriculture sector, resulting in personal income loss of K 14,647.8 million (USD) over the next year in this sector. This will have a singularly pronounced effect on the livelihood of casual agricultural workers, given that the six most affected regions/states account for approximately 80 percent of all casual labour, and that casual labour – which is the most vulnerable segment of the labour market – accounts for more than 65 percent of the rural agricultural labour market in Myanmar.

### Increased exposure to disaster risks

Exposure to disaster risk is growing as more people live in unsafe conditions. About 54 percent of the world's population resides in urban areas as of 2014. This is predicted to increase to 66 percent by 2050<sup>5</sup>. Unplanned urbanization often leads to people living in slums with inadequate civic amenities and housing exposing more people and assets to the risk of loss in a disaster. Additionally, an estimated 3.6 billion people live on or within 100 miles of a coastline. This exposes a huge number of people to storm surges, typhoons, floods and tsunami. The collateral impact on the natural and built environment as a result of recurrent disasters increases vulnerability over time and creates chronic conditions of risk. Other factors such as soil erosion, destroyed mangroves, or existence of poor infrastructure raise the risks significantly.

### Increased complexity of crises

It is now widely recognized that crises<sup>6</sup>, have evolved, both in sheer number and in complexity; with countries and ever-growing number of affected communities facing several simultaneous shocks coming from natural hazards, climate-related hazards, violent conflict, pandemics, unstable economic markets or population growth. Also, the world continues to face protracted crises, affecting a larger number of people over the long term; they increasingly impede the prospects for peace and development, and compromise opportunities for national capacity building.

### Disasters in conflict and fragile situations

Global Report on Internal Displacement (GRID 2016) highlights that disasters triggered by natural hazards caused twice as many new displacements in 2015 as conflict and violence. There were 19.2 million new displacements associated with disasters in 113 countries in 2015, and several of these countries are no strangers to conflict which gave rise to 8.6 million new displacements in 28 countries in that year.

Climate change and rapid urbanization are adding to the mix of risk disaster. Risk reduction and recovery processes properly implemented, can alleviate societal tensions and help mitigate the

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<sup>4</sup> PDNA report Nepal, 2015 [www.npc.gov.np/images/download/PDNA\\_Volume\\_A.pdf](http://www.npc.gov.np/images/download/PDNA_Volume_A.pdf).

<sup>5</sup> United Nations Economic and Social Affairs, (UN DESA). 2014. *World Urbanization Prospects: The 2014 Revision*.

<sup>6</sup> Crisis here is understood as any event or a combination of events leading to an unstable and dangerous situation affecting a community, or an entire country

impact of man-made and natural hazards in ways that help reduce tension and the likelihood of conflict.

Several PDNAs have been conducted in countries affected by ongoing conflicts or political tensions such as in Nigeria floods in 2012, Myanmar floods in 2015 and Nepal Earthquake in 2016 and a few other countries with ongoing conflicts used the PDNA methodology to assess reconstruction needs arising out of the conflict such as in Gaza (2015), but none of the assessments made any specific effort to plan recovery strategy considering the ongoing conflict.

## Country and regional situation

This project will focus on two of the most disaster-prone zones in the world namely Africa and East Asia. The proposed funding will allow continuity of previous work in two countries in Africa while bringing lessons learned from phase I to a new region highly in need.

- **Africa**

Since 1970, Africa has experienced more than 2,000 natural disasters, with just under half taking place in the last decade, as the major crises in the Sahel (2004, 2009, 2012), the Horn of Africa (2008) and South and Eastern Africa (2016) have demonstrated. The most common disasters in Africa are hydro-meteorological or climatological, and consist of floods, droughts, and cyclones and storms. Floods are most frequent, accounting for 42 percent of economic damages. However, droughts account for 78 percent of the affected population. The Republic of Burkina Faso and Niger are two landlocked Sahelian countries, respectively positioned 185 and 187 out of 188 on the United Nations Development Programme's Human Development Report 2016. The countries are regularly affected by droughts, floods, locust infestations, and epidemics all of which contribute to chronic food insecurity. In addition, the presence of violent extremist groups in the region are a mounting threat, which worsens the overall security environment; however, the countries included in this project do have the high security threats and is not on the list of those facing critical conflict situations in Africa<sup>7</sup>. In decades to come, climate change is projected to result in more intense, and more frequent droughts and floods in those two countries which can increase the prevalence and frequency of epidemics, animal diseases and pests with further negative impact on food security and nutrition. Surge in climate change-related disasters could also trigger displacements as well as localized tensions due to competition over scarce resources.

- **East Asia**

South East Asia is among the most disaster-prone regions in the world, with more than a 100 million people affected by disasters since 2000<sup>8</sup>. It is vulnerable to frequent typhoons and floods causing many fatalities, destroying infrastructure and livelihoods across large areas in countries. The region also sits between two tectonic plates causing earthquakes, volcanic eruptions, tsunamis and sea surges. Myanmar and the Lao People's Democratic Republic (Lao PDR or Laos) are two low middle-income countries. Myanmar has a high risk to cyclonic storms, floods, earthquakes, tsunamis, forest fires, landslides and epidemics which kills scores of people and destroys infrastructure and livelihoods of people across the country. Annual average expected economic losses from disasters in Myanmar are nearly USD 200 million or 1% of the National GDP<sup>9</sup> which results in diminished resources for investment in development issues such as health or education. Flood is the major cause of disasters in Lao PDR - both in terms of frequency as well as in terms of consequences, but the country is also regularly affected by storms, droughts, landslides, earthquakes, volcanic activity and epidemics. In average annual expected loss from disasters is estimated at USD 30 million which amounts to 0.7% GDP (WB 2012).

Additionally, the situation in Myanmar is made more complex because of the existing political tensions and conflict in two states of Rakhine and Kachin which not only among the poorest

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<sup>7</sup> There are currently fifteen African countries involved in war, or are experiencing post-war conflict and tension. In West Africa: Cote d'Ivoire, Guinea, Liberia, Nigeria, Sierra Leone, and Togo. In East Africa: Eritrea, Ethiopia, Somalia, Sudan, Uganda. In Central Africa: Burundi, Democratic Republic of the Congo, Rwanda. In North Africa: Algeria and in South Africa, the countries include Angola and Zimbabwe. February 2018.

<sup>8</sup> EM-DAT: The OFDA/CRED International Disaster Database-www.emdat.be-Universite Catholique.

<sup>9</sup> World Bank Country profile.

but also are also highly vulnerable to disasters. Lack of access to these areas, the limited state support means that households in these states are not better prepared and therefore more likely to lose all their assets and livelihoods in a disaster.

### **The disaster recovery context**

The importance of post-disaster recovery is increasing as the number of people affected by disasters around the world continues to rise. Governments and international partners have well understood the consequences of poorly managed recovery processes. There is a growing recognition that if the underlying causes of the disasters are not addressed during the post disaster recovery process, the risks accumulate and are compounded with even higher economic and social costs in the future. Recovery is an opportunity to rebuild infrastructure and assets that can withstand future impacts and thus ensure that public investments are protected and losses are minimal. Recovery is also an opportunity to build resilience through improved institutional capacity, supportive policies, and tools and resources for recovery as well as strengthening basic services, building community cohesion and greater participation in decision-making processes

### **Inadequate attention to disaster recovery**

On the other hand, poorly managed recovery processes undermine development. There is a general lack of understanding within national governments on how to implement recovery programmes. In the urgency to respond to the needs of the people affected by disasters, recovery programmes are undertaken without a sound analysis of the impact of disasters & social issues on the affected communities, and with little reference to special needs of vulnerable people. This situation is further compounded in cases where disasters occur in fragile and conflict settings. In the absence of a systematic approach, recovery remains ineffective and incomplete. One of the most important reasons why recovery programmes are not a success is that governments do not have the capacity and skills to support long term recovery processes. Typically, all resources and skills of the Governments are focused on emergency response, in activities like search and rescue, and evacuations and in meeting the humanitarian needs of communities. After the basic needs are met and services restored, the Government phase out their support leaving the communities to cope on their own. The long-term engagement of governments in recovery is often absent unless it is a mega disaster causing a huge loss of life and property. Even in response to large disasters, governments often tend to direct all resources to reconstruction of public infrastructure with little or no allocation for housing, restoration of livelihoods and special needs of women, children, disabled and other vulnerable groups.

### **Reasons for ineffective recovery processes**

The ad hoc responses by Governments to recovery are largely due to four reasons. The first is a lack of public policies on recovery; the second is an absence of an institution mandated to lead the recovery process; the third is a lack of tools and guidelines to plan and implement recovery; and the fourth, a lack of committed resources for recovery.

- **Lack of public policies on disaster recovery**

Most countries have disaster risk reduction policies and preparedness plans to address disaster risks, but these policies make just cursory references to recovery processes, mentioning it along with response and relief, whereas these are very different processes in terms of planning, investment, results and time-frame. Governments do not feel obligated to support long-term recovery in the absence of direct and explicit reference to their role in recovery. The absence of policy guidance also means that governments do not devote resources to prioritizing the sectors of recovery, planning different types of interventions and ensuring the quality of interventions. A recovery policy would also clarify the beneficiaries, particularly, the Government's support to the most vulnerable, who are affected by the disasters and the interventions needed to reduce their vulnerability. The lack of any support in the absence of a policy makes these groups even more disadvantaged after a recovery.

- **Absence of institutional arrangements for disaster recovery**

Linked to the issue of policy guidance on recovery, is the absence of an institutional mandate of a specific ministry or department to lead post disaster recovery process. Governments generally have a ministry or department or agency to manage emergency response. Typically, it is the department of civil contingencies in the Ministry of Interior or Home. There may be a Ministry of Disaster Management which plans and implements disaster risk reduction programmes with no mention of post-disaster recovery. In some cases, it has been noted that following a large disaster, the Government appoints the Ministry of Planning or the Ministry of Finance to coordinate post disaster recovery. These are ad hoc arrangements, as these ministries have neither the experience nor the mandate to work in recovery. Additionally, sector ministries who directly implement recovery programmes are unprepared and overstretched to take on the additional responsibility of recovery and reconstruction. It is critical that there is an institutional mechanism set up prior to a disaster with clearly defined roles and policies, dedicated personnel and resources for implementing recovery. Such a mechanism will support the delivery of recovery assistance to people in a timely manner and the implementation can start without time lost in decisions on assigning roles and responsibilities during the crisis.

- **Lack of tools and guidelines for disaster recovery**

The third reason for the unplanned and incomplete recovery is the lack of knowledge, tools and guidelines to plan and implement recovery. Recovery is a long-term engagement. It would be implemented over a time-frame of two to five years, and sometimes even up to a decade. Interventions that go over such a long duration require a certain precision in planning. A good recovery programme requires a comprehensive analysis of short, medium and long-term needs of communities and sectors of economy. It also requires systems for large scale procurement of goods and services for recovery and reconstruction, technical skills, processes for disbursement and accountability of funds, and mechanisms to monitor and track the progress of recovery. However, more than often, governments develop systems on the go, and they improvise and adapt each time there is a disaster. Often seen as an extension of emergency response, recovery is undertaken with a quick analysis of the need of the people. The tools for assessing long term post disaster recovery have not evolved enough to provide a comprehensive view of the needs across all the sectors and groups of people. The assessments are largely focused on damage of infrastructure and physical assets with no systematic assessment of economic losses incurred at the household level which push back poor households into debt and deeper levels of poverty.

Similarly, the tools and skills for planning recovery are not available widely. With the exception of housing, there are very few guidelines on recovery in other sectors. There have been some recent efforts in codifying knowledge on recovery by certain governments and international agencies. However, as the practice of recovery is fairly new, the global best practices and lessons from past recovery experiences are not disseminated as much as the materials on disaster preparedness and response.

### **Gaps in the practice of Post Disaster Needs Assessments (PDNAs)**

The PDNA methodology now provides a harmonized framework for planning long-term disaster recovery. It has gained acceptance and is now increasingly used by governments. Yet, there is still a large capacity gap within national ministries capacities for doing assessments and following it up with a systematic plan for recovery. PDNAs are still always carried out with assistance from international experts.

- **Lack of committed financial resources for disaster recovery**

Recovery is not supported by adequate financial resources. Aid for disasters is typically provided for immediate humanitarian relief with few resources for longer term recovery needs. In the absence of a budget for recovery, governments divert resources from development funds to meet recovery needs. Governments also rely on international assistance for meeting the costs of recovery and reconstruction. Despite international

assistance and private sector partnerships, there is a serious paucity of funds. When recovery efforts are not well funded, the country or disaster affected region continues to suffer long after the disaster is over. In addition, maintaining transparency in fund management and disbursement during recovery may prove challenging if adequate financial management systems and procedures are not in place.

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## II. STRATEGY

### Progress in the last decade in the practice of disaster recovery

In the recent decade, there have been some significant changes in the availability of knowledge and practice of recovery. Following the 2005 Indian Ocean Tsunami, governments such as Indonesia made substantial efforts to share lessons and best practices in managing recovery. In 2009, the Government of Indonesia published a document titled “10 Management lessons for Host Governments Coordinating Post Disaster Reconstruction”. Similarly, due to the joint effort of the governments in the five most tsunami affected countries, the lessons from tsunami recovery titled “Tsunami Legacy: Innovation, Breakthroughs and Change” was published. These documents were widely disseminated and referred to by other countries.

- **Building back better in disaster recovery**

A major step forward in the practice of recovery is the recognition of recovery as a separate priority in the Sendai framework for Disaster Risk Reduction (SFDRR). The priority four of the Sendai Framework for DRR “Enhancing disaster preparedness for effective response, and to Build Back Better<sup>10</sup> in recovery, rehabilitation and reconstruction” emphasises using recovery as an opportunity to address underlying risks. Governments have signed to the commitment of “Building Back Better” (BBB) but do not necessarily have a common understanding of its application in recovery. In the absence of a standard definition of BBB, each government has interpreted it differently as the study done by Lillian Fan titled “Disaster as opportunity? Building back better in Aceh, Myanmar and Haiti” has suggested. Therefore, the term BBB should be deconstructed to simple actionable points so that Governments are able to implement it.

- **New Ways of Working, NWOW, promoted through the humanitarian and development nexus**

Following the World Humanitarian Summit, the international donor community, Governments, NGOs and UN agencies committed to a New Way of Working (NWOW). The New Way of Working is an agenda that takes its starting point in adapting to and responding to the real challenges collectively, working collaboratively across institutional boundaries based on comparative advantage, and seizing synergies to achieve the Sustainable Development Goals. The NWOW calls for delivering on collective outcomes for people at the country level, to measurably reduce needs, risks and vulnerabilities. These collective outcomes provide the predictability and focus required to reduce humanitarian need overall by building resilience and extending development gains to the most vulnerable, including those affected by fragility, conflict and displacement. This proposed project promotes a multi-stakeholder agenda, aligning to the NWOW, by actively engaging all stakeholders: national governments, local authorities, national and international civil society, bilateral and multilateral partners, humanitarian actors, development practitioners and peacebuilders.

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<sup>10</sup> The concept of “building back better” was first used after the 2004 Indian Ocean Tsunami (IOT) by the UN Special Envoy for the Recovery: “We need to make sure that this recovery process accomplishes more than just restoring what was there before”<sup>10</sup>. This has become a guiding principle promoted by different international organizations, in particular the UNDP to look for comprehensive recovery processes that aim at rebuilding lost assets directly affected by the disaster, but also the capacity of institutions and improved governance; expand access to basic services such as water and sanitation, health and education; reduce poverty and inequalities, protect livelihoods; advance gender equality; empower and promote civil society participation in the decision making processes.

## Lessons learnt and good practices in post-disaster recovery

UNDP has been providing leadership in the field of disaster recovery for many years due to the mandate given by the UN General Assembly (A/RES/52/12B, paragraph 16, December 1997) to conduct operational activities for disaster mitigation, prevention and preparedness. Through its work, UNDP has contributed to social and economic recovery of affected communities and developed government capacities for implementing recovery. Based on this experience and drawing upon the lessons of implementing the recent projects on “building capacity for resilient recovery” and “PDNA roll out”, UNDP has distilled the following lessons in recovery:

- **Disaster recovery presents the opportunity for introducing change:** The post-disaster recovery context presents a short window of opportunity for making the right development decisions through better reconstruction and recovery programs and build resilience against future disasters. For example, this period affords the opportunity to build safer structures by enforcing disaster resilient construction standards; to support vulnerable groups through insurance and social protection measures; to empower women and disadvantaged groups; and to improve and expand basic services.
- **Disaster recovery is efficient if institutions, policies and financial mechanism for recovery are set up prior to the disaster:** Established institutions with dedicated personnel and resources clearly defined roles and policies for implementing recovery are critical for delivering recovery benefits to people in an effective and timely manner. It is important that the institutions, policies and financial mechanisms for recovery are set up prior to a disaster so that recovery assistance is predictable and can be implemented without delay.
- **Disaster recovery is better planned if informed by strong data.** For more effective and efficient post-disaster needs assessment and consequently of well-informed recovery strategies, the existence of baseline data, the collection and analysis of data on the sectors that get most affected in the country and risks analysis to develop damage scenarios that could help anticipate the impact of a given disaster is key.
- **Disaster recovery must balance social needs with demands for reconstruction of infrastructure:** In a recovery program, there are competing priorities related to the reconstruction of infrastructure, housing, as well as restoration of livelihoods, social services, and markets. A good recovery program ensures that resources are proportionately allocated to address both infrastructure needs as well as needs to rebuild houses, restore social services and livelihoods.
- **Disaster recovery is a collective effort:** Given the complex and multi-sectoral nature of the recovery, it is not possible for one agency or institution to deliver recovery. While the government leads the recovery and reconstruction efforts, international agencies, civil society, the private sector and the affected community play a crucial role in supporting recovery efforts. The role of the government is to coordinate the interventions of these various actors so that resources are optimized and assistance is equitably distributed among the affected population.
- **Disaster recovery must be participatory and inclusive:** Recovery programs must be based on the needs and priorities of people affected by the disaster, therefore it is critical to engage the affected population in determining their needs and priorities. Through local NGOs and Civil Society groups, the government can create opportunities for active and meaningful participation of the communities through all phases of the recovery program. Recovery must be inclusive, fair and equitable, non-discriminatory, and address the needs of all disadvantaged groups.
- **Recovery needs to be undertaken on the basis of systematic analysis of the impacts of the disaster:** Recovery planning is based on comprehensive assessment of damages, losses and needs. It requires careful planning, is driven by data, and peoples’ needs. The PDNA methodology has gained acceptance and is now increasingly used by governments.



Yet, there is still a large capacity gap within national ministries capacities for doing assessments and following it up with a systematic plan for recovery and PDNAs are still always carried out with assistance from international experts.

- **Financing for recovery must be sustained:** The costs for reconstruction of public infrastructure and housing can be very high. National budgets do not normally foresee a dedicated window of funding for recovery. Aid for disaster is typically provided for humanitarian needs with few resources for longer-term recovery needs. It is essential that governments identify the funding sources (national and external) for supporting recovery and establish procedures in resource mobilization and associated management to ensure adequate and sustained financial availability to implement the full spectrum of a recovery program. When recovery efforts are well funded, a country can rebuild better thus ensuring resilience to future disasters.
- **Monitoring and maintaining transparency and accountability are important elements for management of recovery:** Setting up monitoring mechanisms for recovery interventions is critical to ensure that progress towards the intended objective is made and that a process to address gaps and take corrective action is established. National governments allocate national resources and receive international funds for recovery. In addition to financial resources, governments procure huge quantities of materials for reconstruction, and they award contracts to companies, make payments to beneficiaries etc. It is critical that in all these processes, transparency is maintained and information shared widely with the affected population and national and international community. To this end, formal mechanisms for aid management and related procedures should be envisaged. To do so, governments need to set up a mechanism to receive and disburse funds, develop procedures to hire people and companies to execute works for reconstruction and track the progress of implementation. It is critical that a comprehensive system for monitoring all the various elements of recovery is set up at national and local level so that governments can efficiently deliver recovery assistance.
- **The private sector has an important role to play in recovery:** The private sector can invest capital in new technologies, infrastructure and networks, deliver goods (eg. building materials) and services (eg. banking, insurance, rubble removal, drainage) to affected communities, and apply innovation to solve sustainable development challenges. Private entities can help improve the efficiency of both public and private sector recovery by helping governments understand private sector priorities and providing expert assistance with recovery and reconstruction (engineers, agriculturalists, and educators etc.). The private sector actors generally have limited time to engage in recovery planning, unless their function is clearly defined and has been discussed in advance. Hence, protocols for private sector participation should ideally be negotiated in advance and governments should support private sector initiatives to participate in disaster recovery and creating incentives for the private sector to apply minimum standards and comply with regulatory and safety requirements.

## Post Disaster recovery in target countries

- **Gaps, challenges and opportunities for recovery in Burkina Faso and Niger**

Significant progress has been made in recent years by Burkina Faso and Niger in the areas of preparedness and emergency response in particular with regard to drought management and food security crises. These countries have well-established Disaster Risk Management Agencies, the *Conseil National de Secours et d'Urgences (CONASUR)* under the «*Ministère de la Femme, de la Solidarité Nationale et de la Famille*» in Burkina Faso, and the *Dispositif National de Prévention et de Gestion des Catastrophes et des Crises Alimentaires (DNPGCCA)* under the Prime Minister's Office in Niger. The agencies have gained significant experience in disaster preparedness and response. At local level, these structures are also well represented with operational arms operating at decentralized levels (CORESUR/CODESUR in Burkina Faso; OSV/SCAPRU in Niger).

While DRM policies and frameworks in Burkina Faso and Niger are increasingly shifting from a response) to prevention and preparedness, the focus is still mostly on disaster response. There is a need to better clarify respective roles and responsibilities of all stakeholders, across sectors, within the existing institutional arrangement for recovery. No institutions are clearly mandated to lead on recovery process and sectoral ministries do not have any legal or policy obligation to plan and implement recovery. While sub-national governments are at the forefront of recovery efforts, they have reduced capacities to provide timely and effective support for recovery.

In addition, the countries still need to finalize and operationalize their policy or legal frameworks, which will define the consensual vision, strategic objectives and modalities of recovery. The practice of recovery is still relatively new and is often limited to early recovery interventions, which do not adequately address the long-lasting impacts on housing, livelihoods and social services, especially on the most vulnerable. Governments have no standard tool or system to monitor the progress of recovery, particularly at the level of the households. Global disaster risk financing strategies or centralized financing mechanisms for Disaster Management with predictable resources are still to be put in place.

Finally, while the first phase of the project contributed to building acceptance of the PDNA methodology, increased institutionalization and adaptation of the methodology at the country level and further capacity-building efforts to facilitate robust assessment processes and systematic follow up by a comprehensive recovery plan are still needed.

- **Gaps, challenges and opportunities for disaster recovery in Myanmar**

Aiming to promote systematic and effective risk reduction as well as preparedness and response, the Disaster Management Law, enacted in 2013, provides a definition of disaster in the country and sets the overall institutional framework for DRM, whilst the rules lay out the roles and responsibilities of different ministries and bodies under the Law. The country's Disaster Management Law mandates the Relief and Resettlement Department (RRD) under the Ministry of Social Welfare, Relief and Resettlement (MSWRR) to coordinate DRM activities in the country. Despite having the mandate, the RRD has limited financial and human resources, which combined with lack of inter-ministerial convening power and limited presence below State /Region level make it challenging for the Department to perform these wide-ranging responsibilities and coordinate the work of line ministries

In response to the floods in 2015, the Government of Myanmar constituted the Recovery Coordination Committee (RCC) under the National Disaster Management Committee to oversee recovery planning and implementation. The key functions of RCC covered disaster Recovery Needs Assessment, Recovery Planning, Recovery Implementation, Monitoring, Information Management and Communications, Partnerships and Coordination. While this represents a stride in the institutionalization of recovery processes, all the functions in the original structure were not established leading to critical gaps in recovery implementation and monitoring. Despite its continuous experience in assessment, a common methodology has not yet been locally adopted, neither are there internal capacities for assessment. There is a high reliance in international experts for any assessment.

Myanmar as an active member of the ASEAN, has provided financial and technical support to develop the ASEAN Disaster Recovery and Reference Guide (ADRRG). Drafted with assistance from UNDP, the Guide helps governments to prepare for disaster recovery by recommending the key arrangements (policies, financial arrangements, implementation processes, monitoring systems) that should be in place prior to a disaster to support recovery. Myanmar has committed to rolling out the ASEAN Disaster Recovery Reference guide in the country.

- **Gaps, challenges and opportunities for disaster recovery in Laos**

Since 2011, disaster management is under the responsibility of the National Committee for Disaster Prevention and Control (NCDPC) which is chaired by the Deputy Prime Minister and Minister of Defense. The Ministry of National Planning and Investment (MPI) provides the leadership on recovery. Guidelines for Recovery are enunciated in a "Handbook for Post Disaster Recovery and

Reconstruction Planning” which also includes guidelines for conducting Post Disaster Needs Assessment. Monitoring and Evaluation of Recovery is jointly conducted by the MPI and Ministry of Finance (MOF) with a well-established procedure by which provincial implementing agency reports periodically on the progress. A Monitoring Committee is set-up for specific recovery programmes, for example, the Monitoring Committee for Flood Recovery and Production Promotion was established to monitor the implementation of 2011 cyclone Haima/Nok-Ten recovery activities. As a member state of the ASEAN, Laos is committed to adopt Recovery systems as presented the ASEAN Disaster Recovery Reference Guide.

Despite all the progress done in Lao PDR in recovery and specifically on post disaster needs assessment, planning and implementation of recovery remains ad hoc; capacities are still nascent. Getting baseline information and data is a challenge for PDNAs. There are no standards and guidelines for recovery and roles and responsibilities for recovery are still to be clearly defined. Moreover, the Disaster Management architecture is currently in transition, with roles and responsibilities remaining to be clarified.

### **Preparedness for Resilient Recovery- Project Achievements**

From September 2014 to June 2017, with funding from the Governments of Japan (USD 2 million) and Luxembourg (USD 886,000 USD), UNDP supported five African countries (Angola, Burkina Faso, Cabo Verde, Niger and Rwanda) through the project “Preparedness for Resilient Recovery” to strengthen their capacities in recovery management. The final objectives of this project were that disaster-prone target countries: a) reduce the additional social and economic consequences of disasters due to poorly managed recovery processes; b) avoid increasing risk of future disasters; and c) restore the path to development with enhanced resilience by “building back better.”

After three years of project implementation, the Governments of target countries are now more prepared to plan and implement sustainable recovery processes. National Governments not only increased their level of awareness on the importance of well managed recovery processes but also significantly enhanced the levels of political commitment and investments in recovery. Countries have reinforced institutional capacity, developed national recovery frameworks (already approved in Burkina Faso under approval in Niger) and recovery guidelines, and identified possible financing mechanisms for recovery. Fully cognizant of the Post Disaster Needs Assessment (PDNA) methodology, these countries are also equipped to identify recovery needs and design long-term comprehensive recovery plans.

In the 2 countries targeted for the second phase, namely Burkina Faso and Niger, specific achievements in the first phase include:

- Strengthened national and subnational capacities on PDNA and Preparedness for Disaster Recovery of 300 officials in Burkina Faso and Niger. The training helped in expanding the pool of technical expertise available and facilitating timely provision of required expertise;
- Conduct of a small-scale PDNA and development of a cross-sectoral recovery strategy for the Province of Ingall affected by floods in Niger;
- Consolidated knowledge on recovery practices by conducting an includes a baseline study on livelihoods in disaster affected areas and a comprehensive diagnosis of existing capacities, gaps and challenges in recovery in Niger and undertaking a study on community practices for recovery and feasibility study on community funds for post disaster recovery in Burkina.
- Consolidated information on baseline risk and vulnerability to facilitate informed decision-making in two regions of Burkina Faso and in 24 communes of Niger (drought and flood community vulnerability/risk maps);
- Improved urban disaster preparedness through the formulation of Ouagadougou Preparedness Plan for response and recovery and two regional Contingency Plans in Burkina Faso;
- Enhanced disaster resilience at community-level through the implementation of early recovery activities in Niger (establishment of livestock food banks; cash for work initiatives for eco-system regeneration and restoration of community infrastructures);

- Strengthened risk information and early warning mechanisms in Niger, through the reinforcement of local capacities in risk and vulnerability analysis (creation of 11 Vulnerability Monitoring Observatories (OSV) and 24 Community Structures of Early Warning and Responses to Emergencies (SCAPRU); development of a local flood early warning system for four pilot communes bordering the Niger River, connected to the flood early warning system developed for Niamey city;
- Strengthened policy framework for recovery through the development of national recovery strategies/frameworks aiming to define the institutional, legal, financial frameworks and mechanisms to plan and manage post disaster recovery processes in two countries.

Renewed support from the Government of Luxembourg will contribute to consolidate the results achieved in these two countries in the first phase of the project. In fact, while both Burkina Faso and Niger have set the basic key elements for improved recovery management, there is now the need to expand on these elements, implement the recovery frameworks formulated by the two countries by supporting them in establishing the provisions contained in the frameworks and strengthen national and local government's capacity to this end. Additionally, as building capacity for recovery management is a long-term process, it is essential that the momentum created by the first phase of the project is sustained.

The positive results achieved by the first phase of the project also prompted the interest in expanding support and technical assistance for resilient recovery to two additional countries in need, namely Myanmar and Laos. The selection of countries was done in consultation with the donor. It is based on the list of countries the Government of Luxembourg has prioritized for support in the two regions.

## Theory of Change

The change expected through this project is that governments are prepared to manage future recovery processes in an effective, sustainable and inclusive way. Strengthened capacities and systems to plan and manage recovery processes will enhance the resilience of countries and communities' resilience in the face of disasters through "building back better and safer" and swift return to sustainable development pathways.

This will entail a clarification of roles and responsibilities for leading and managing recovery; the development of sound policy and legal frameworks setting out the blueprint for transparent recovery processes; the development and dissemination of technical skills, knowledge, tools and procedures for disaster assessment, recovery planning and implementation; the establishment of financial modalities for recovery; the empowerment of vulnerable and affected people to participate in recovery; and the promotion of gender equality and women's empowerment in recovery processes.

This project will help meet the increasing demand from countries for technical assistance to strengthen the institutional, policy and financial frameworks for resilient recovery, conduct post-disaster needs assessments and plan and implement comprehensive recovery processes at all levels, while promoting innovation as a cross-cutting element. The project will promote at all times a conflict sensitive approach by promoting the consideration of issues related conflict/fragile situations when building capacity for the conduct of needs assessment, formulation of recovery interventions and recovery strategies as well as establishing institutional arrangements and policies for recovery.

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## III. RESULTS AND PARTNERSHIPS

### Expected Results/Objectives

The overall objective of this project is to contribute to building the resilience of countries in the face of disasters by strengthening national capacities to plan and manage recovery processes in a sustainable and inclusive manner ("Build Back Better").

This objective will be achieved through four main outputs:

- **Output 1.** Strengthened national policy, institutional and financial frameworks and mechanisms to plan and implement sustainable recovery processes
- **Output 2.** Enhanced technical capacities in Recovery Planning and Implementation
- **Output 3.** Enhanced national capacities for implementing recovery at community-level
- **Output 4.** Improved knowledge products, technological applications and South-South exchange for recovery management

### Indicative activities

Indicative activities which will be implemented across the four target countries are listed below. These activities will be adjusted to each country specific context and, for those countries which benefited of phase I of the project, the activities will build on the achievements and mostly aim to address gaps and needs identified during this first phase. Country-level strategies in line with the overall objectives of the project have been tailor-made in close consultations with country governments and all relevant stakeholders to address different country needs and fit national priorities.

### **Output 1. Strengthened national policy, institutional and financial frameworks and mechanisms to plan and implement sustainable recovery processes**

#### Global Indicators

- 1. # of countries which conducted reviews of existing institutions and policies on recovery**
- 2. # of countries that developed/revised policies to support recovery processes**
- 3. # of countries that have established institutional arrangements, financing mechanisms, M&E procedures and/or partnerships for recovery**

*Activity: Review existing institutional arrangements, policies and practice for recovery.*

- The project will support a comprehensive review of recovery in the target countries. Dimensions under review may include: policy and legal frameworks for recovery (including the extent to which recovery is considered in the existing DRR policy); institutional arrangements for recovery; existing capacities for recovery; practices and arrangements including roles of the national and local governments in recovery implementation; financial sources and mechanisms for recovery. This review will provide a baseline for the strengthening existing institutional systems and policies.

*Activity: Support the development of a policy for recovery based on the review of the recovery situation*

- The project will support the development of a policy which outlines recovery assistance of the government to the affected households in the event of a disaster. The policy will embody the common vision, strategic objectives and modalities of recovery. It could delineate *inter alia* the areas of support, the criteria for selection of beneficiaries, a comprehensive package of support, the role of national and local Government officials, the NGOs, private sector partners and other in delivering recovery assistance; dispute resolution, transparency & accountability mechanisms. The policy will also emphasize the need for establishing multiyear work plans for recovery and resilience building of the most vulnerable communities. The policy would be aligned with the principles of the NWOW.

*Activity: Strengthen institutional arrangements for recovery based on the review.*

- As noted earlier, there are established institutional arrangements for Disaster Risk Reduction in all the four countries, though they lack any specific focus on Recovery. However, with frequent disasters, the countries have gained a certain level of experience in managing recovery programmes. Based on the review of current institutional arrangements for recovery and analysis of gaps, the project will help in defining and, where already defined, enforce roles and responsibilities for recovery among central government entities (ex. Ministry of Planning, Ministry of Disaster Management, sectoral Ministries) and between national and sub national levels. Defining the institutional framework will also help in establishing the leadership and coordination roles as well as increase accountability for recovery. Options for institutional arrangements will differ depending on needs and realities of the country. In some

countries, a separate institutional arrangement maybe required; in others, a small unit with recovery included as a “normal” task of officials working in National Disaster management ministries and in the sector ministries may suffice.

*Activity: Support the setting up of financing mechanisms, instruments and strategies for recovery.*

- The project will support the establishment of an earmarked fund from the national budget for supporting recovery. Similar to funding arrangements for emergency response, the project will propose the allocation of funds for recovery and reconstruction. Instead of relying only on funds from the National budget, the project will help establish processes to access funds from International agencies, the private sector and National NGOs. The separate allocation from national budget and off budget resources towards recovery will provide the Government funds to address long term recovery needs of housing, livelihoods and infrastructure repair after a disaster. The project will also support the national government to explore a range of options to finance post disaster recovery. These could include among others insurance coverage, promoting micro credit institutions, and additional taxes and loans from International Financial Institutions. In addition, Governments will be supported to set up systems to monitor the use of funds and track its allocation.

*Activity: Develop monitoring systems for Recovery*

- Monitoring has often been found to be weakest link in the management of recovery. To address this issue, the project will work closely with national governments in developing an indicator based monitoring framework for social and economic sectors. The monitoring framework will have indicators to track progress of recovery at the household level for livelihoods, housing and other assets as well as for public infrastructure. In addition to tracking the progress, a monitoring framework to track the impact of recovery programmes in the country over a period will also be established. The monitoring framework will draw on the success of Indonesia Government which has established a Disaster Recovery Index using 20 variables to track social and economic recovery of households. It will also use the Sendai Priority 4 indicators to track the progress of recovery. Furthermore, the project will help to identify methodologies for monitoring which could use a range of tools from mobile technology to social audits, online tracking systems as well as surveys and studies. The options will allow the government to establish a system which is suitable to the local context and can be adopted by local government.

*Activity: Develop and implement a partnership strategy for Recovery*

- Recognizing that Recovery cannot be done by the Government alone, the project will support countries to develop partnerships with the private sector, academic institutions, insurance companies, mobile phone operators and construction companies to harness their resources and technical capacities for disaster recovery. The partnership strategy will help in defining the contribution of each entity to a common recovery plan developed by the Government after the disaster. The financial and technical contribution of the partners will help in optimizing resources, time and expanding the options for recovery assistance.

## **Output 2. Enhanced technical capacities in Recovery Planning and Implementation.**

### **Global Indicators:**

- 1. # of PDNA/DRF of rosters of experts available and ready to be deployed**
- 2. # of countries with PDNA/DRF guidelines and tools developed, refined and/or adapted and tested**
- 3. # of PDNA sectoral guides developed per participating country**
- 4. # of countries that have adapted simplified procurement procedures for post disaster recovery**

*Activity: Organize trainings on PDNA and recovery frameworks to develop capacities on assessment and recovery planning.*

- In each of the four countries, at least one training will be conducted for officials from all sector ministries, local staff from the partner agencies, NGOs, academic institutions, private sector and interested consultants. As all four countries have already conducted PDNAs, the trainings will use case studies of past PDNAs conducted to review the efficacy of the methodology and the gaps and challenges in the PDNAs. For Burkina Faso and Niger, it will be ensured that the trainings will target a different audience than the one targeted in previous trainings. A refresher training for those already trained will be also organised in each country. The use of the self-paced online PDNA training course which is currently being developed by UNDP will be launched by December 2017, will be also utilized to expand the pool of PDNA experts in each country. All the trainees will be included in a national roster of recovery experts to facilitate their deployment for disaster recovery programmes and reduce dependence on international experts.

*Activity: Adapt PDNA and Recovery Framework guidelines to the national context in the target countries.*

- Myanmar, Niger, Laos have already initiated the adaptation of the PDNA guidelines to the national context. While Myanmar has conducted PDNAs, there is no standard methodology approved by the national government for assessing recovery needs. The project will support the adoption of the PDNA methodology by a) consolidating baseline data for all sectors, including data on standard cost units and labor rates; b) developing standardized templates for data collection and analysis, including using mobile technology; c) Establishing a central database for information in all PDNA sectors; d) Developing standard operating procedures for conducting the assessment and defining roles and responsibilities; and e) Adapting guidelines for specific disasters such as droughts which has a different approach to assessments for floods and cyclones. In Laos, the PDNA methodology has already been established; therefore, the focus will be on developing specific methodologies for assessing the Human Impacts, Gender and other cross cutting issues. In Laos and Myanmar, the PDNAs databases will be linked to disaster loss databases already established with UNDP support. Conflict sensitivity analysis will be promoted and incorporated in the guidelines.

*Activity: Conduct dry-run/small scale post-disaster needs assessments exercises and develop recovery frameworks, based on the adapted guidelines and tools*

- This activity will include conducting assessments for small disaster events using the guidelines to enable officials at the national and sub national level practice their skills on assessing disaster impacts and developing recovery plans. Based on these exercises, the sector guidelines and protocols for conducting PDNAs and Recovery Frameworks will be updated in each country. Conflict sensitivity analysis will be promoted and incorporated in the guidelines.

*Activity: Develop country specific sectoral guidelines for recovery*

- This activity will include development of guidelines for recovery in selected sectors of the economy. Depending on national priorities and the typically most affected sectors, guidelines could focus on: housing, health, education, water & sanitation, agriculture and irrigation. The guidelines will include housing design options for strengthening disaster resilience, information on costs, and best practices in implementation recovery for the specific sectors and a list of resources/reference material for sector recovery. These guidelines would set standards for disaster resilient recovery.

*Activity: Adopt simplified procurement procedures for the purchase of goods and services during recovery*

- Given the large volumes of materials that is procured for implementation of recovery, the project will help establish systems to procure goods and services fast and in transparent manner. This would include establishing list of qualified contractors and signing of Long Term Agreements with companies for procurement of materials, agreed tender processes and timelines for fast procurement. It would also include guidelines for quick approval processes and standard terms of contracts for procurement of goods and services with appropriate checks and balances in place to prevent corruption or misappropriation of funds.

### **Output 3. Enhanced national capacities for implementing recovery at community-level.**

#### **Global Indicators:**

- 1. # of countries with community level post disaster recovery plans**
- 2. % of women and youth, out of total number of participants, trained in resilient construction technologies per training**
- 3. # of countries with established funds to support community level recovery**

*Activity: Training of communities in recovery and disaster resilient construction technologies.*

- This activity is designed to prepare communities to play an effective role in recovery and reconstruction. The activities undertaken to build capacities of communities will be to train them in developing community based recovery plans and developing the skills of youth and women among them masons, construction workers and other skilled labour in disaster resilient construction technologies. The local youth and women will be organized into groups and based on their interest will be trained in various skills required for construction. This could include masonry, carpentry, plumbing, etc. The purpose of these trainings is to provide income generating opportunities to vulnerable households but more importantly to use the skills to support the recovery of their communities in a disaster event. At least 100 youth and women will be trained from selected communities over the project period. Additionally awareness programmes will be held for urban planners on use of risk assessments for landuse planning. The project will partner with local academic institutions and vocational training institutes to conduct the trainings. The curriculum will include training in disaster resilient building techniques, techniques and processes for rehabilitation/reconstruction of community infrastructure, skills in carpentry, masonry and plumbing.

*Activity: Establish a community level recovery fund to support household level recovery.*

- The purpose of this activity is to set up a revolving fund in selected communities to facilitate low interest loans for socio-economic recovery of vulnerable households including women, elderly, people with disabilities after a disaster.
- Based on priorities defined by the entire community, the fund may also be used to finance community-based risk reduction and recovery activities such as repairing of village roads, bridges, community centers, health posts, schools, community markets, small irrigation channels, environmental protection, replacement of lost livelihood assets to most vulnerable families etc. Local communities will be organized to prioritize the needs for repairs and maintenance of community infrastructure which are used and beneficial to the entire community.
- To increase the chances of future replication by communities without project support, the interventions will be low-cost and use local skills and locally available materials. The interventions should also be environmentally friendly.

### **Output 4. Improved knowledge products, technological applications and South-South exchange for recovery management**

#### **Indicators:**

- 1. # of knowledge products developed and disseminated including lessons learned**
- 2. # of South-South exchanges promoted among participating countries and/or different regions**
- 3. # of in country-tailored mobile applications to support post disaster needs assessments and recovery monitoring**

*Activity: Development of case studies, document lessons learned and best practices*

Recognizing that there is a gap in the knowledge and practice of recovery, this project will support activities including the collection of case studies and best practices on recovery from the four countries. Various knowledge products from each country could include; a) Case studies and lessons Learnt; b) Infographic on Recovery with information from each country; and c) video on Recovery experiences. The target audience will be mostly recovery practitioners from government and civil society or the international community who would benefit of additional knowledge on recovery. Visibility documents such as project brochure and photo essays on success stories on recovery will also be developed for donors and the general public.



*Activity: Develop Guidelines for floods and droughts recovery*

This activity will support the development of a set of guidelines for recovery from droughts and floods, the two most frequent disasters in four target countries.

- Drought guidelines would include information on monitoring droughts, water management for drinking, for livestock and for irrigation, land and natural resources management and sustainable agricultural practices. The guidelines would define roles for national government, and community level recovery.
- The flood recovery guidelines will include aspects of repairs and reconstruction of community infrastructure, individual households, replacement of livelihoods assets and floods preparedness at community level.

*Activity: Support to South-south collaboration*

This activity will facilitate knowledge sharing on recovery across regions and across target countries.

This will be done by

- Facilitating Cross-country study visits of Government officials and UNDP recovery practitioners.
- Joint workshops between countries to share experiences and best practices.
- Sharing of guidelines and policies on recovery.

*Activity: Development and pilot-testing of a country-tailored mobile application for recovery*

This activity will capitalize on recent partnership between UNDP and Microsoft Innovation Center after the earthquake in Nepal which consisted of the development of a mobile application, promoting the use of free and open-source tools to support cash transfer for debris removal, monitoring and tracking housing recovery on ground. The app could be tailored to diverse country needs and have several functionalities like:

- Building data collection forms or surveys for post disaster needs assessment;
- Real time data collection on damages as well as ongoing recovery and reconstruction work
- Collecting and aggregating post-disaster information received via SMS (crowdsourcing component)
- Collecting information on progress of recovery by each family for housing reconstruction and livelihoods restoration work.
- Automatically aggregating the collected data on a server, extract it in useful formats (maps, datasets, reports) and consolidate it on a centralized digital platform.

Practical applications could include data collection, analysis and consolidation for PDNAs; creation of maps showing real-time progress of recovery efforts; mapping of recovery projects; monitoring of funding; beneficiaries' enrolment and tracking system; cash grant payment system; and recovery assistance feedback mechanism, etc.

***Resources Required to Achieve the Expected Results***

Key inputs for the successful implementation of this project include human resources and solid partnerships. In-house expertise (BPPS, Crisis Response Unit, Regional Bureaus) as well as within the UN System at large, the EU, the World Bank, GFDRR, IRP and a broader group of Recovery practitioners will be harnessed for project implementation. In addition, UNDP will rely on its pool of international and national consultants to provide technical assistance when required. National UNVs will be hired to support the activities of implementation at the sub-national level. A Project Manager will be appointed to coordinate and monitor project implementation, provide oversight and technical assistance, carry out reporting tasks and facilitate information-sharing on the project between COs, Regional Bureaus and HQs. At country-level, the project implementation will be undertaken jointly by national governments and respective UNDP Country Offices under the leadership of international and national UNDP DRR/Resilience advisors.

***Partnerships***

UNDP will work with a range of partners, capitalizing on their respective comparative advantages in the area of recovery. One of the main assets driving the agenda on recovery has been the strong collaborative relationship between various United Nations agencies, World Bank's Global Facility for

Disaster Risk Reduction (GFDRR), the European Union, and the International Recovery Platform. These partnerships can be harnessed to support project delivery.

- **Partnership with the EU, the World Bank and GFDRR:** The World Bank, UNDP and EU have been collaborating for conducting PDNAs and preparing recovery frameworks for more than seven years. The European Union and GFDRR have engaged in recovery and reconstruction in 40 disaster-affected countries, building governments' capacity to conduct their own post-disaster assessments and develop resilient recovery frameworks, and supporting the implementation of large reconstruction programs. European Union has provided financing and expertise in the conduct of PDNAs and preparation of recovery frameworks through the Africa, Caribbean and Pacific (ACP) unit. For the past two years, the three partners have been organizing the World Reconstruction conference providing thought leadership to the practice of recovery globally. In the lead up to the World Conference on Disaster Risk Reduction in Sendai in 2014, the joint advocacy efforts of the tripartite members led to the inclusion of Recovery as one of the four priorities of action for disaster risk reduction. This has helped bring recovery to the attention of Government and international partners.

A good example of this collaboration also includes the drafting of the Recovery Framework in Nepal, following the earthquake in April and May 2015. The two agencies are now supporting the National Reconstruction Authority with technical expertise for implementing recovery. Another good example of the collaboration between UNDP and the World Bank is the case of Niger where the partners jointly implemented several activities within the framework of two projects "Building Capacity for Disaster Recovery" and The "Niger Disaster Risk Management and Urban Development Project". The current project will build on the work done jointly in these countries and seek to pursue collaboration wherever possible throughout this project.

- **Partnership with UN agencies:** Several UN Agencies, Funds and Programmes (FAO, ILO, UNESCO, UNEP, UN HABITAT, UNV, UNICEF, UN WOMEN, and WHO) have contributed to the PDNAs by deploying expertise for sectoral assessment. In addition, they have supported formulation of recovery frameworks and strategies, and the implementation of actual recovery programmes at the country level. The agencies will continue to support capacity building activities around the PDNA methodology and will contribute to the development of sector based guidelines for recovery.

Building on the past collaboration under the "preparedness for resilient recovery" project in Niger and Burkina Faso, the partnership with **UNV** will continue to be harnessed at country-level to ensure that volunteerism is built into recovery interventions. UNV's participation will be especially instrumental to support the implementation of activities at the community-level and facilitate the use of online volunteerism in project delivery. Examples include field data collection and analysis for post-disaster needs assessments; monitoring of recovery programmes, promotion of community participation in recovery; development and promotion of recovery-related mobile application. Strong interactions will be sought with the UNV Regional Offices in Bangkok and Dakar, particularly with their DRR regional experts.

- **Partnership with Microsoft Innovation Center in Nepal:** Following the earthquake in Nepal, Microsoft Innovation Center, Nepal hosted by Unlimited Technology Pvt Ltd (MIC Nepal) and UNDP Nepal signed an MoU to use innovation to digitalize various aspects of recovery and reconstruction work. This partnership resulted in the development and the rollout of a real-time mobile application to use in UNDP's debris management, demolition and livelihoods work. The project will capitalize on this experience and the existing MOU with Microsoft to replicate the application, adapting it to the different needs of respective countries. This effort will contribute to making innovation a cross cutting and central element of the project.
- **Partnership with International Recovery Platform:** The International Recovery Platform (IRP) has supported the dissemination of knowledge on recovery. IRP hosts a webpage on

Post Disaster Needs Assessment and Recovery which has all the guidelines and PDNA reports. This webpage reaches out to a global audience of recovery practitioners seeking information on recovery. IRP can contribute to this project by disseminating lessons and best practices in recovery.

- **Partnership with the Connecting Business Initiative:** The project will also connect its partners to the *Connecting Business Initiative (CBI)* which seeks to strengthen the strategic engagement of the private sector in disaster risk reduction, emergency preparedness, response and recovery and connecting private sector networks and platforms with country-based structures. CBI will provide access to tools, resources and mechanisms that will build the capacity of private sector networks at global, regional and national level and enable them to improve the resilience of the businesses, especially the micro, small and medium sized companies (MSMEs).

### **Risks and Assumptions**

(See Full risk log attached in annex)

<b>Risks</b>	<b>Risk level (H/M/L)</b>	<b>Mitigating measures</b>
Post-disaster recovery is not given attention until a major disaster takes place. Governments may not appreciate the need for recovery preparedness and may not dedicate staff to develop recovery policies, systems, procedures or guidelines	M	UNDP is developing a series of advocacy, knowledge products and South-South exchanges around recovery preparedness to enhance government understanding on this subject. The products are being widely disseminated and such concepts integrated into regular DRR (disaster risk reduction) and recovery programming activities.
Staff turnover within national governments and internally (COs, HQ and regional Bureaus level) will undermine capacity-building efforts and slow down project implementation.	H	Internally, funding to cover project coordination costs at global and country-level will be allocated over the full course of the project to ensure continuous implementation and minimize risks of staff turnover  Close working relationships will be established on a day to day basis with technical staff from Governments, who are generally less affected by turnover due to political changes.
Risk of misuse or misappropriation of funds.	L	In compliance with rules and regulations under DIM modality, rigorous monitoring of fund utilization, with heavy emphasis on field validation of outputs, beneficiary interviews and surveys, and review of financial expenditure.
Lack of government resources/capacities to deliver on the project	M	UNDP will provide timely and consistent technical assistance to support governments to deliver against expected results and will allocate financial resources and technical expertise towards this end. Capacity-building and mentoring will be continuously harnessed during the project. In-country roster of experts will be set up to expand the pool of experts available at the country-level and reduce the dependency of countries on external assistance.
Occurrence of disaster causes new loss and diverts attention from preparedness to recovery to humanitarian response	M	It is possible that natural hazards affect target countries in the implementation period. While working to strengthen capacities in recovery planning and management, a firm focus will be maintained on disaster preparedness and risk reduction. In case a disaster affects the country, this will constitute the opportunity to test the policy frameworks, tools and systems developed with support from the project aiming to Build Back Better. Awareness raising efforts during the course of the project on the need to

		bridge the gap between relief, recovery and development will also likely contribute to government and partners paying due attention to medium and long-term recovery needs.
Political instability	M	Given the nature of work, the political instability may not affect this specific project activities. If, however, there is a very high level of political unrest affecting all UNDP programmes, consultations with the local government partner and donor will be held to postpone project activities till the situation is stable and work can resume.
<b>Assumptions</b>		
<ol style="list-style-type: none"> <li>1. Support provided by UNDP on Preparedness for Disaster Recovery project is complemented by a DRR component in each country</li> <li>2. UNDP COs have sufficient human resources in place (recovery practitioners) throughout the course of the project to support implementation</li> <li>3. National Governments will have sustained interest and provide a dedicated team of officials who will support project implementation and build their capacities in recovery.</li> </ol>		

### ***Stakeholder Engagement***

The primary stakeholders are national and sub-national governments in selected high-risk countries/regions. The national governments of each country have been closely engaged in the design process of the project and the definition of the result and resource frameworks. National Governments, with UNDP's support will be the key implementing partners of project activities. In every country, a national coordination mechanism to monitor project progress will be set up and ensure key stakeholders remain engaged throughout the project. At the community level, target groups will be selected from most at-risk localities, in close collaboration with sub-national authorities.

The project will make an effort to promote the dialogue and interaction between the national and local governments, and the latter with most vulnerable communities. Since recovery requires a multi sectoral and inter-agency approach, the engagement of different Line Ministries, the Academia and the private sector will always be promoted. Attention will be given to the organized communities, CBOs and NGOs, in most vulnerable areas.

### ***South-South and Triangular Cooperation (SSC/TrC)***

The project will foster knowledge sharing on recovery across regions and target countries. This will be done by facilitating cross-country study visits of Government officials and UNDP recovery practitioners. Joint workshops between countries to share experiences and best practices will also be organized. For Myanmar and Laos, who are members of the Association of South East Asian Nations (ASEAN), there will be learnings from the experiences of other member countries that have advanced the practice of recovery such as Indonesia and Philippines.

### ***Knowledge Management***

Several knowledge products will be developed in the context of this project to inform the practice of recovery. Targeted efforts will be made towards the development of cutting-edge methodological tools and guidance notes to enhance policy and programming in countries as well as generation of knowledge and lessons learned drawn from implementation of recovery across regions and countries.

At a minimum, the following knowledge products will be developed and disseminated:

- Drought guidelines, which would include information on monitoring droughts, water management for drinking, for livestock and for irrigation, land and natural resources

management, and sustainable agricultural practices. The guidelines would define roles for national government and community level recovery.

- Recovery guidelines which will include aspects of repair and reconstruction of community infrastructure, individual households, replacement of livelihoods assets and floods preparedness at community level.
- Systematization of Best Practices in Public-private partnerships on implementing effective recovery and compendium of best practices on technological innovation for recovery:
- Financing options for Recovery

Knowledge platforms, communities of practitioners and social media will be harnessed. UNDP is already anchoring a LinkedIn group for recovery practitioners; this group will be used to *review and discuss the knowledge products*. Additionally, the workspaces for each knowledge product will be created on the IRP webpage enabling a broader discussion on all the proposed documents.

### ***Sustainability and Scaling Up***

The project has adopted a differentiated approach for implementation of project activities depending on the country context and needs. The level of engagement and inputs against each indicative activity outlined in the project document will differ from country to country so that the project builds on existing practices and processes rather than recreate new systems. The current project will be linked to ongoing Disaster Risk Reduction initiatives in the countries to incrementally improve the overall system for disaster risk reduction and recovery. The project will contribute to national commitments to deliver on Priority 4 of the Sendai Framework for Disaster Risk Reduction.

Emphasis will be placed on institutional capacity development, knowledge transfer and dissemination. A series of capacity-building workshops on post disaster needs assessment and recovery management will be organized in each country. UNDP will also support the establishment of national and regional networks of recovery practitioners, and to expand the pool of human resources available to support recovery processes. Documents, guidelines and best practices developed through this project will be disseminated to other UNDP country offices for broader applications. The results of the project will be communicated to partners and stakeholders. The IRP portal and social media tools and platforms will be instrumental in featuring progress and partnerships, and practices and successes.

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## **IV. PROJECT MANAGEMENT**

### ***Cost Efficiency and Effectiveness***

The project approach is to enable the delivery of maximum results with available resources, making the best of the ongoing partnerships in the regions and projects in countries. Activities under the proposed project will take into consideration other ongoing projects and programmes.

In particular, this project will build on the following programmes

1. **PDNA Roll out project Phase II 2017-2019:** Building on earlier work, this project will consolidate and deepen the capacities for post disaster assessments and recovery planning, particularly for national governments in high risk countries as well as for regional inter-governmental organizations. It will also develop regional networks of expertise and lead to a much greater sharing of experience among the countries in the same region. Inter-governmental organizations are keen to support the PDNA as a tool and methodology to assess recovery needs and develop recovery plans. The project will expand its geographical coverage to ten additional countries (Jamaica, the Dominican Republic, Bangladesh, Tajikistan, Kyrgyzstan, Kenya, Uganda, Vietnam/Cambodia, Laos/Myanmar, Fiji-Regional) and five additional regional inter-governmental organizations over a period of three years. It will be jointly funded by the European Union and the UNDP. Most of the tools and guidelines produced through the PDNA Roll out project Phase II will be used for implementation of the Recovery project. The PDNA roll out project will also include trainings on PDNA, all materials

developed under this project will be utilised by the Recovery project. The project board and project Manager for the PDNA rollout II and the Recovery project will be the same, maximising the use of resources, knowledge products, technical assistance missions and operational costs.

2. **5-10-50 partnership framework for Disaster Risk Reduction:** The proposed project complements the 5-10-50, which is a global partnership between multilateral actors designed to deliver risk-informed development in the context of the Sendai Framework for Action, the Sustainable Development Goals (SDGs) and the 2030 Agenda. This joint programme aims to pool partners' resources, knowledge and practices and leverage each other's comparative advantage to achieve sustained progress in disaster risk reduction. The 5-10-50 will offer a comprehensive range of services to at least 50 most at-risk countries over 10 years, in 5 mutually reinforcing thematic areas: (i) actionable risk information; (ii) integrated risk governance; (iii) early warning and preparedness; (iv) resilient recovery; and (v) local action. Additional resources may be leveraged through the 5-10-50 partnership to complement efforts made through this project under the pillar of resilient recovery which maybe added into the global component to complement technical work done under the project.
3. The project will ensure strong linkages with ongoing capacity building activities and programmes implemented in countries through the **Global Facility for Disaster Risk Reduction (GFDRR)**. In line with the protocols for cooperation, UNDP will jointly work with GFDRR and the World Bank in conducting assessments and developing recovery frameworks. Training modules and guidelines will be developed jointly with technical inputs from GFDRR and Bank counterparts in the region.
4. **The ASEAN/EU Emergency Management Programme (AEEMP)** which supports ASEAN to develop a more cohesive, coordinated and effective emergency response and early warning/situational awareness capability in order to facilitate timely and efficient response and preparedness for emergency situations (natural or man-made disasters), as well as cooperation with other regional and international organisations. It also contributes to the work programme of AADMER (2016-20) on recovery, through which UNDP will support development of best practices on recovery with UN agencies. UNDP will ensure that the project initiatives build on the ASEAN emergency management project.
5. **Links with the NNOW initiative:** The proposed project will be informed by global policies and tools used to implement the commitments made under the NNOW initiative to reduce vulnerabilities and build resilience of communities. Output 1 of the proposed project will contribute directly to the agenda of the NNOW initiative.
6. **CADRI:** The proposed project will draw on the capacity gap analysis and support provided through the CADRI to disaster prone countries. Efforts will be made to maximize on available information on the countries and use it in development of policies and institutions for recovery. However it is important to note that CADRI is not exclusively focused on post disaster recovery, nonetheless, some tools and approaches for capacity building could be shared between both initiatives, .

### ***Project Management***

The project will be directly implemented by the Climate Change and Disaster Risk Reduction Team (CDT) of the Bureau for Policy and Programme Support (BPPS) of UNDP based in New York. The Recovery Sub-team will provide continuous quality control, technical oversight and administrative support for the implementation of proposed activities. A Project Manager will be appointed to coordinate and monitor project implementation, carry out reporting tasks and facilitate information-sharing on the project between COs, Regional Bureaux and HQs. At country-level, the project implementation will be undertaken jointly by national governments and respective UNDP Country Offices under the leadership of UNDP DRR/Resilience advisors. UNDP regional

centers in Bangkok and Addis through the Regional Advisors and DRR and Recovery Specialists will provide close technical support. Missions will be undertaken to countries to support the implementation. In addition, UNDP will rely on its pool of international and national consultants to provide technical assistance when required. In accordance with UNDP rules, a project board will be appointed to provide oversight and quality assurance to the project. The Project Board will meet annually to review the progress of the project.

Additional information on the project management is provided in Section VII.

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## V. RESULTS FRAMEWORK<sup>11</sup> GLOBAL PROGRAM

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<sup>11</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.



**Intended Outcome as stated in the Global Programme Results and Resource Framework:**

3. Strengthen resilience to shocks and crisis

**Outcome indicators as stated in the Global Results and Resources Framework, including baseline and targets:**

3.2 Direct disaster economic loss in relation to global gross domestic product (GDP), disaster damage to critical infrastructure and disruption of basic services, attributed to disasters

**Applicable Output(s) from the UNDP Strategic Plan:**

3.3.1. Evidence-based assessment and planning tools and mechanisms applied to enable implementation of gender-sensitive and risk-informed prevention and preparedness to limit the impact of natural hazards and pandemics and promote peaceful, just and inclusive societies

**Project title and Atlas Project Number: Building Capacities for Resilient Recovery-Phase 2<sup>12</sup>**

EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>13</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1	Year 2	Year 3	TOTAL		
<b>Output 1</b> Strengthened national policy, institutional and financial frameworks and mechanisms to plan and implement sustainable recovery processes. <b>Gender marker 2</b>	<i>global</i>									
	1. # of countries with baseline information on recovery practice useful to enhance institutional arrangements and policies for recovery	DRM Systems, Planning and Finance Ministries	0	2017	2				2	Countries' project progress report, Government sources and publications <b>Risk:</b> recovery information is limited and not always capture despite frequent disasters
	2. # of countries that developed/revised policies that are gender-sensitive to support recovery processes and are aligned with the NWOW	DRM Systems reports, Official Journals publications, Media coverage	1*	2017				3	4	Collection of information from project reports, Government reports and publications <b>Risk:</b> policy/guideline/procedure approval processes could be lengthy; full ownership and leadership of the government counterpart is needed.  <i>*Niger has drafts DRF and DRR Framework</i>

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<sup>12</sup> Base line values for 2017 were re-assessed based on further consultation with the CO(s) and revisiting the final reports of phase I sent to the donor. While the first phase of the project has a good number of achievements, building capacity for disaster recovery is a long-term process that needs to be sustained. Also, the high turnover of government staff requires continued support until a strong critical mass for recovery is established.

<sup>13</sup> It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

	3. # of countries that have established institutional arrangements, financing mechanisms, M&E procedures and/or partnerships for recovery	DRM Systems reports, Planning and Finance Ministries, Official Journals publications, Media coverage	2*	2017	0	1	1	4	Collection of information from project reports, media, Government reports <b>Risk:</b> policy/guideline/procedure approval processes could be lengthy; full ownership and leadership of the government counterpart is needed.  <u>* Burkina and Myanmar have done some previous work on recovery finance and micro-insurance</u>
<b>Output 2</b> Enhanced technical capacities in recovery planning and implementation. <b>Gender marker 2</b>	<b>global</b>								
	1. # of PDNA/DRF 10 experts available and ready to be deployed	Workshops reports, List of experts with CVs	335	2017	10	10		740*	Through training activities, senior experts identify potential candidates and engage them in capacity building activities. Consolidated rosters available  <i>*In all the four countries</i>
	2. # countries with PDNA/DRF guidelines and tools developed, refined and/or adapted and tested.	DRM System, Planning and Finance Ministries, Sector Ministries	3*	2017	1	2	1	4	Countries' project progress report, Government sources and publications <b>Risk:</b> policy/guideline/procedure approval processes could be lengthy; full ownership and leadership of the government counterpart is needed.  <u>*Laos, Niger and Myanmar have draft guides to be revised and updated, one additional country engaged</u>

	3. # of PDNA sectoral guides that reflect gender issues and conflict sensitivity, developed per participating country.	DRM System, Planning and Finance Ministries, Sector Ministries	0		1	1	1	3	Countries' project progress report, Government sources and publications <b>Risk:</b> policy/guideline/procedure approval processes could be lengthy; full ownership and leadership of the government counterpart is needed.
	4. # of countries that have adapted simplified procurement procedures for post disaster recovery.	DRM System, Planning and Finance Ministries, Sector Ministries	1*	2017		1		2	Countries' project progress report, Government sources and publications <b>Risk:</b> policy/guideline/procedure approval processes could be lengthy; full ownership and leadership of the government counterpart is needed. <u>*Niger has worked on decentralized DRM structures, Laos will be the additional country to work on this issues.</u>
<b>Output 3</b> Enhanced national capacities for implementing recovery at community-level.	<i>global</i>								
<b>Gender Marker 3</b>	1. # of countries with community level post disaster recovery plans that differentiates women's needs	Workshops conducted with communities	0	2017	1	1	1	3*	Plans available and in use. <b>Risk:</b> Difficulty at the community level to dedicate time for this type of trainings, incentives can be considered to motivate participation.
	2. % of women & youth construction workers, masons and other skilled worked out of total number of participants, trained in resilient construction technologies per training	List of participants classified by gender and age	One country with less than 20% (Burkina)	2017	50% in each training	50% in each training	50% in each training	50% in each training	Women and young people participating in trainings and actual recovery interventions. <b>Risk:</b> Cultural considerations may prevent women to participate in this type of trainings.

	3. # of countries with established funds to support community level recovery	Ministry of Finance reports, Project reports, Other partners' reports	1*	2017		1	1	2	Specific funds designed and in use.  <b>Risk:</b> It has been difficult to establish this type of funds; nonetheless there are successful programs implemented in Asia and LAC that could serve as a model.  <u>Burkina's existing one would be revised or increase size of the fund, 1 additional country to be engaged on this type of work</u>
<b>Output 4</b> Improved knowledge products, technological applications and South-South exchange for recovery management.  <b>Gender Marker 2</b>	<b>global</b>								
	1. # of knowledge products developed and disseminated including lessons learned, gender-sensitive case studies, best practices, guides to address specific hazards, particularly floods and droughts.	Meetings, workshops, consultancy's reports.	0	2017	4	4	4	12	Publications available and in use.  <b>Risk:</b> Lack of information available despite frequent recovery interventions. No systematic effort to systematize previous experiences.
	2. # of South-South exchanges promoted among participating countries and/or different regions	Workshops or other types of exchanges organized. Project records.	1*	2017	1	2	1	4	Project reports  <b>Risk:</b> N/A  <u>*Niger has been engaged in S-S exchange</u>

	3. # of in country-tailored mobile applications to support post disaster needs assessments and recovery monitoring while keeping in mind women's specific needs	Project reports, Workshops conducted, Software developed	0	2017			2	2	Project reports, Workshops conducted, Software developed, media coverage.  <b>Risk:</b> Difficulties is hardware and software availability, lack of interest of the authorities.
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## VI. MONITORING AND EVALUATION

The day-to-day technical and financial monitoring of the implementation of this project will be a continuous process and part of the UNDP's responsibility. To this objective, UNDP will establish a permanent internal, technical and financial monitoring system for the activities and prepare regular progress reports (not less than annual) and final reports. Every report will provide an accurate account of implementation of the activities, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the results framework matrix (for project modality) or the list of result indicators (for budget support). The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the project. UNDP will prepare a final report, both narrative and financial, covering the entire period of the project.

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Track results progress</b>	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
<b>Monitor and Manage Risk</b>	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		

<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		10,000
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		
<b>Project Report</b>	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)			
<b>Project Review (Project Board)</b>	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e., at least annually)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		



**Evaluation Plan<sup>14</sup>**

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
End of project evaluation				June 2020	UNDP HQs, Regional Teams and country teams UN partners: UN agencies, EU, Global Facility for Disaster Risk Reduction (GFDRR World Bank) National Governments directly benefiting from the project.	10,000 USD Source: Project Funding

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<sup>14</sup> Optional, if needed

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**ANNEX 1 RESULTS FRAMEWORK DETAILED PER COUNTRY AND BUDGET DETAILED PER COUNTRY**

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**VII. RESULTS FRAMEWORK - DETAILED PER COUNTRY**

<b>Intended Outcome as stated in the UNDP Strategic Plan:</b> Strengthen resilience to shocks and crisis									
<b>Outcome indicators as stated in the UNDP Strategic Plan, including baseline and targets:</b> 3.2 Direct disaster economic loss in relation to global gross domestic product (GDP), disaster damage to critical infrastructure and disruption of basic services, attributed to disasters									
<b>Applicable Output(s) from the UNDP Strategic Plan:</b> 3.3.1. Evidence-based assessment and planning tools and mechanisms applied to enable implementation of gender-sensitive and risk-informed prevention and preparedness to limit the impact of natural hazards and pandemics and promote peaceful, just and inclusive societies									
<b>Project title and Atlas Project Number: Building Capacities for Resilient Recovery-Phase 2</b>									
EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	TOTAL	
<b>Output 1</b> Strengthened national policy, institutional and financial frameworks and mechanisms to plan and implement sustainable recovery processes <b>Gender marker 2</b>	<b>Burkina</b>								
	One Model Agency for Disaster Management (including recovery)	Agency Statutes, project report, media	0	2017	0	1	0	1	Collection of information from project reports, media, Government reports Risk: policy/guideline/procedure approval processes could be lengthy; full ownership and leadership of the government counterpart is needed.
	One Law on Disaster Management revised (including recovery)	Journal Officiel, project report, media	0	2017	0	1	0	1	Collection of information from project report, media, Government reports Risk: policy/guideline/procedure approval processes could be lengthy; full ownership and leadership of the government counterpart is needed.

	<u># of new micro-insurance products developed and tested by insurance and microcredit providers.</u>	Reports of consultations with insurance providers, demand survey reports,	1	2017	0	1	1	3	Collection of information from project report, media, insurance companies, beneficiaries and private sector partners Risk: if demand for such products is not strong enough, insurance companies may not offer products tailored to local needs
<b>Niger</b>									
	<u>Validation of National Recovery Framework</u>	Activity reports from DNP-GCA	1	2017	1			1*	Review of project's activity reports, from DGPC, MAH and DNP-GCA Framework developed in phase 1 will be validated  <u>*Validation of the draft prepared</u>
	<u>National framework for Disaster Risk Reduction and Recovery revised and adopted</u> by the IASC cluster for the reinforcement of humanitarian/development nexus	Activity report from Early Recovery Working Group	1	2017	1			1*	Collection of information from project report and from ERWG  <u>*It is a revision of the existing document to include Humanitarian Development Nexus</u>
	One national plan for recovery financing drafted	Activity report from DNP-GCA	0	2017	1			1	Collection of information from project report, DNP-GCA, DGPC, MAH/GC
	<u># of new micro-insurance products developed and tested by insurance and microcredit providers.</u>	Reports of consultations with insurance providers, demand survey reports,	0	2017			2	2	Collection of information from project report, media, interviews with insurance companies, beneficiaries and private sector partners Risk: if demand for such products is not strong enough, insurance companies may not offer products for local communities
<b>Laos</b>									
	One baseline survey for strengthening the existing institutional systems and policies completed and published	MLSW, MONRE	0	2017	1 (baseline completed)	1 (baseline published)		1	Desk review and key performance interview  Risk: scattered information and quality of local consultant may pose risk to completion of the data collection and analysis.

	Policy, guideline and/or procedure for coordination and management recovery implementation drafted.	MLSW MONRE	0	2017	-	1		1	Draft Recovery policy/guidelines.  Risk: Identification of policy/guideline/procedure and approval process could be lengthy and it is required full ownership and leadership of the government counterpart.
	Document on Institutional arrangements for recovery drafted	MLSW MONRE	0	2017		1		1	Draft document on institutional arrangements  Institutional arrangement is under control of the government, the project may have limited influence in final approval of the document.
	Document outlining options to finance post disaster recovery with indicative amount funding arrangement for emergency response/recovery.	MLSW MONRE	0	2017	1			1	Documents with financing options for recovery.  Risk: Lack of experienced person to develop a document proposing options for financing recovery.
	Monitoring systems framework for recovery established	MLSW MONRE	0	2017		1		1	Monitoring framework established  Risk: engagement of stakeholder and process to ensure all stakeholder group to use the monitoring system framework.
	# of new partnerships for recovery developed	MLSW MONRE	0	2017	1	1	1	3	Partnership agreements with organizations.  Risk: engagement of private sector, NGOs and INGOs needs official agreements to fulfil any partnership roles, if the procedure for signing agreements are cumbersome, partners may lose interest.
<b>Myanmar</b>									

	Draft report on existing practices existing institutions and arrangements for recovery (baseline survey) and draft institutional arrangements developed.	Project reports and documents	0	2017	2			2	Collection of information from project report & draft document on institutional review Draft document on recovery institutions
	Draft Recovery Policy drafted in consultations with various government ministries	Reports on consultative workshops and project reports	0	2017	1			1	Draft document on Recovery Policy
	Draft National recovery framework.	Government reports and project reports.	0	2017			1	1	Draft of the Recovery Framework
	<u>Document outlining options to finance post disaster recovery with indicative amount funding arrangement for emergency response/recovery.</u>	Project reports and government report	1 (national DM Fund is in place)	2017			1	2	Documents with financing options for recovery.
	Monitoring system for recovery	Government report/news	0	2017			1	1	Document on monitoring framework
<b>Output 2</b>	<b>Burkina</b>								
Enhanced technical capacities in recovery planning and implementation at national and local level.	<u># of people trained in PDNA and Pre-DRP</u>	Workshop report Activity report from SP/CONASUR	135	2017	70	70		275	Collection of information from project progress report, SP/CONASUR activity report, media
<b>Gender marker 2</b>	# of PDNA simulation exercises conducted	Project progress report, Activity report from SP/CONASUR	0	2017	0	0	1	1	Collection of information from project progress report, SP/CONASUR activity report, media

	<b>Niger</b>								
	<u># of people trained in PDNA and Pre-DRP at the national and local level</u>	Workshop report Activity report from DNP-GCA	200	2017	70	70		340	Collection of information from project report, DNP-GCA, DGPC, MAH/GC
	<u># of PDNA tools (data collection forms, guidelines) adapted to Niger context</u>	DNP-GCA Activity report DNP-GCA	0	2017	3	2		5	Collection of information from project report, DNP-GCA, DGPC, MAH/GC
	<u># of decentralized disaster management structures, operational for early warning and emergency response</u>	DNP-GCA Activity report DNP-GCA	24	2017	6	6		36	Collection of information from project report, DNP-GCA, DGPC, MAH/GC
	<u># of lessons learned exercise /after action reviews on recovery processes conducted</u>	DNP-GCA Activity report DNP-GCA	1	2017	1	1		3	Collection of information from project report, DNP-GCA, DGPC, MAH/GC
	<u># of sectoral guidelines for recovery adopted</u>	DNP-GCA Activity report DNP-GCA	0	2017	1	1	1	3	Collection of information from project report, DNP-GCA, DGPC, MAH/GC
	<b>Laos</b>								
	<u># of people trained in PDNA and Pre-DRP at the national and local level</u>	MLSW	0	2017	30	30	30	90	Evaluation training assessment/survey and analysis.  Risk: identification of target expert and engaging them at the beginning is required.

	Standard specific PDNA methodology for assessing the Human Impacts, Gender, conflict and other cross cutting issues adopted by key stakeholders  #PDNA database available.	MLSW MONRE	0	2017		1	2	3	Desk review, interview, cross checking database.  Risk: Willingness of the government (MONRE and MLSW) to link database with existing Laos Dibi .
	<u>Updated version of guidelines and protocols for conducting PDNAs and Recovery Frameworks adopted</u>	MLSW	1	2017		1		1	Document review of guidelines and protocols.  Risk: this output indicators is depending on progress of activity 2.2. In case the activity 2.2 delay. Progress of this indicator will be delay.
	# of sectoral recovery guidelines drafted	MLSW	0	2017	1	1	2	4	4 sector guidelines for recovery
	Draft document outlining procurement procedures for systematic, transparent and accountable of purchasing goods and services during recovery.	MLSW	0	2017			1	1	Document on procurement procedures review.  Risk: Approval, adoption and enforcement of the procedures.
	<b>Myanmar</b>								
	# of people trained (trainees) in PDNA and RF methodologies at the national and local level	Project training report	0	2017	35			35	Collect information from workshop report
	<u># of guidelines tailored PDNA and recovery framework guidelines in local languages</u>	Government work report/news	1 (recovery guideline is in place)	2017		2	2	5	Validate information from guidelines used by ministries/agencies
	# of dry-runs/simulations in localities	Project report	0	2017		1	1	2	Reports of videos, photos and project report



	Draft of Housing sector guidelines	Project report	0	2017		1		1	Draft guidelines from Ministry of Housing
<b>Output 3</b> Enhanced national capacities for implementing recovery at community-level.  <b>Gender Marker 3</b>	<b>Burkina</b>								
	# of people trained in disaster resilient technology	Project report, SP/CONAS UR activity report	0	2017	40	40	40	120	Collection of information from project report, SP/CONASUR, media
	<u># Community level infrastructures rebuilt through cash for work or grants (HIMO)</u>	Project report, SP/CONAS UR activity report	8	2017		4		12	Collection of information from project report, SP/CONASUR, media
	<u># of micro-enterprises/entrepreneurs supported for socio-economic recovery after disasters.</u>	Project report, SP/CONAS UR activity report	500 people	2017	100		100	700	Collection of information from project report, SP/CONASUR, media
	<b>Niger</b>								
	# of people trained in disaster resilient technology	Project report	0	2017	40	40	40	120	Collection of information from project report, DNP/GCA, media
	<b>Laos</b>								
	# of villagers/people including youth and women (masons and construction workers) able to support recovery and disaster resilient construction, include training in disaster resilient building techniques, techniques and process for rehabilitation/ reconstruction of community infrastructure, skills in carpentry and plumbing.	MLSW	0	2017		50	50	100	Training evaluation analysis/survey.  Risk: engaging local community to volunteer themselves and registered themselves to support rehabilitation reconstruction.

	# of communities supported have funds available for recovery and reconstruction needs.	MLSW	0	2016		1	1	2	Beneficiary Survey on testing practical and understanding in accessing o the fund Risk: ensuring functioning, accountability and transparency of the community recovery fund for household level recovery.
	<b>Myanmar</b>								
	# of community-based recovery action plans at target site	Project report	0	2017		2	2	4	Project reports and copies of community plans
	# of people (households) benefited from the implementation of the community-based projects	Project report	0	2017			200	200	Project reports and community visits
<b>Output 4</b>	<b>Burkina</b>								
Improved knowledge products, technological applications and South-South exchange for recovery management.	# of evidence based and communication materials for knowledge sharing experience on recovery	SP/CONAS UR	0	2017	2	2	2	6	Interview, desk review. Media cross check. Risk: ensuring application and tracking how communication/knowledge produces have been used has to be addressed.
<b>Gender Marker 2</b>	# of South-South Cooperation missions	SP/CONAS UR	0	2017	1			1	Project report
	<b>Niger</b>								
	# of evidence based and communication materials for knowledge sharing experience on recovery	DNGPCA	0	2017	1	1	1	3	Rapports d'activités du projet, du DNGPCA, du DGPC et du MAH/GC
	<u># of South-South Cooperation missions</u>	DNGPCA	1	2017		1		2	Project report
	# of mobile application developed and tested for recovery projects	DNGPCA	0	2017		1		1	Survey, observation, media Risk: willingness of the government and mobile telecom in partnership this initiative.

<b>Laos</b>									
# of evidence based and communication materials for knowledge sharing experience such as Case studies and lessons Learnt; b) Photo essays on success stories; c) Infographic on Recovery with information from each country; d) video on Recovery experiences.	MLSW	0	2017	2	2	2	6	Interview, desk review. Media cross check.  Risk: ensuring application and tracking how communication/knowledge produces have been used has to be addressed.	
# of guidelines for recovery (e.g. from droughts and floods)	MLSW	0	2017	2		2	4	Document review of the guidelines for floods and droughts.  Risk: Government unwilling to adapt the guidelines.	
# of SSC mission	MLSW	0	2017	1	2		3	Document review, photos of missions.  Risk: ensuring strategic plan, designing of the SSC need to be addressed to ensure application of knowledge.	
# of mobile applications developed and tested for recovery projects	MLSW	0	2016			1	1	Survey, observation, media  Risk: willingness of the government and mobile telecom in partnership this initiative.	
<b>Myanmar</b>									
# publications, documentations of good practice and lessons, and learning events	Project report	0	2017		2	2	4	Collect information from project report	
# of people benefited from S-S exchange	Project report	0	2017		10	10	20	Collect information from project report, media reports and photos	

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VIII.

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## IX. MULTI-YEAR WORK PLAN DETAILED PER COUNTRY

### I. Multiyear work plan

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (USD)			Responsible party		
		Y1	Y2	Y3		Budget Description	Amount in USD
Output 1 Strengthened national policy, institutional and financial frameworks and mechanisms to plan and implement sustainable recovery processes	BURKINA FASO						
	1.1 Creation of the Single Agency for Disaster Management including recovery line with ECOWAS guidelines	8,330	11,900		SP/CONASUR	Training, Workshop and conf.	5,950
						Consultant	5,950
						Travel	5,950
						Audio visual and Print	2,380
	<b>Sub-Total</b>						<b>20,230</b>
	1.2 Revision of the legal framework for Disaster management (including recovery)		14,280		SP/CONASUR-Agency	Training, Workshop and conference	5,950
						Consultant	5,950
						Audio visual and Print	2,380
	<b>Sub-Total</b>						<b>14,280</b>
	1.3 Feasibility study on possible insurance options for low income communities. Consultations with the private sector partners and other stake holders on insurance options.		-	17,850		Training, Workshop and conference	5,950
						Consultant/Contractual services	11,900
	<b>Sub-Total</b>						<b>17,850</b>
	1.4 Improvement and development of SP/CONASUR telephone assistance for disaster response and Recovery (hotline)	4,760	4,760		UNDP	Contractual services	8,330
Audio visual and Print						1,190	
<b>Sub-Total</b>						<b>9,520</b>	
<b>Sub-total Output 1 Burkina Faso</b>						<b>61,880</b>	

NIGER						
1.1 Validation of National Recovery Framework Document (developed in phase 1)	5,950			DNPGCA	Training, Workshop and conference	5,950
<b>Sub-Total</b>						<b>5,950</b>
1.2 Series of workshops on the humanitarian-development nexus in Niger	2,380	3,570		GTRP	Training, Workshop and conference	5,950
<b>Sub-Total</b>						<b>5,950</b>
1.3 Development and adoption of financing mechanism for recovery	3,570	8,330		DNPGCA	Consultant	8,330
					Training, Workshop and conference	3,570
<b>Sub-Total</b>						<b>11,900</b>
1.4 Feasibility study on possible insurance options for agro-pastoralists and assets of low income communities. Consultations with the private sector partners and other stake holders on insurance options.		17,850	0	DNPGCA	Training, Workshop and conference	3,570
					Feasibility study	8,330
<b>Sub-Total</b>						<b>11,900</b>
<b>Sub-total Output 1 Niger</b>						<b>35,700</b>
LAOS						
1.1 Review existing institutional arrangements, policies and practice for recovery	14,280	2380		MSLW	Local consultant	7,140
					Training, Workshop and conference	5,950
					Supply, Printing, Translation	3,570
<b>Sub-Total</b>						<b>16,660</b>
1.2 Support the development of a policy and guidelines for recovery e.g. guideline and procedure for coordination and management recovery implementation.	4,760	4,760	5,355	MSLW	Local consultant	7,140
					Training, Workshop and conference	5,950
					Supply, Printing	3,570
<b>Sub-Total</b>						<b>16,660</b>
1.3 Review institutional arrangements, policies and practices on recovery and strengthen institutional arrangements for recovery.	12,495	12,495		MSLW	Sundry	1,190
					Workshops and consultancies Project equipment	23,800
<b>Sub-Total</b>						<b>24,990</b>

1.4 Support the setting up of financing mechanisms, instruments and strategies for recovery	8,330	8,330	10,948	MSLW	Local Consultant	5,950
					Supply, Printing	1,190
<b>Sub-Total</b>						<b>7,140</b>
1.5 Develop monitoring systems for Recovery	5,950	4,760	5,355	MSLW	Local consultant	7,735
					Meeting/workshop	5,950
					Supply, Printing, Translation	5,950
<b>Sub-Total</b>						<b>19,635</b>
1.6 Develop a partnership strategy for Recovery	1,190	1487.5	1487.5	MSLW	Meeting/consultations	2,975
					Sundry	1,190
<b>Sub-Total</b>						<b>4,165</b>
<b>Sub-total Output 1 Laos</b>						<b>89,250</b>
<b>MYANMAR</b>						
1.1 Review institutional set-up and mandates to define options for streamlining institutional arrangement and mandates of related agencies for recovery.	11,900				Local consultant	7,140
					Workshop/consultations	3,570
					Supply, Printing	1,190
<b>Sub-Total</b>						<b>11,900</b>
1.2 Undertake policy and practices analysis to identify gaps and needs for development of recovery policies.	11,900				Contractual services	5,950
					Workshop/consultations	5,950
<b>Sub Total</b>						<b>11,900</b>
1.3 Support the development of national recovery framework for Myanmar		11,900	11,900		Contractual services	11,900
					Workshop/consultations	11,900
<b>Sub Total</b>						<b>23,800</b>
1.4 Support for the setting up of financing mechanisms, and instruments for sustainable finance for recovery.		8,925	8,925		Contractual services	11,900
					Workshop/consultations	5,950
<b>Sub Total</b>						<b>17,850</b>
1.5 Support the development of national monitoring system for recovery.			23,800		Contractual services	11,900

					Workshop/consultations	5,950	
	Sub total					17,850	
	Sub-total Output 1 Myanmar						83,300
	<b>Sub-Total for Output 1</b>						<b>270,130</b>
<b>Output 2</b> Enhanced technical capacities in recovery planning and implementation.	<b>BURKINA FASO</b>						
	2.1. PDNA training at national level with simulation exercise/assessment in one province	5,950	5,950	7,140	PNUD/SP CONASUR	Training, Workshop and conference	9,520
						Travel	5,950
						Audio visual and Print	2,380
						Supplies	1,190
	<b>Sub-Total</b>						<b>19,040</b>
	Sub-Total Output 2 Burkina Faso						<b>19,040</b>
	<b>NIGER</b>						
	2.1 Two PDNA trainings and Preparedness for Disaster Recovery training workshops at national and regional level	14,280	11,900		DNP GCA	Training, Workshop and conference	17,850
						Travel	7,140
						Audio visual and Print	1,190
	<b>Sub-Total</b>						<b>26,180</b>
	2.2 PDNA guidelines adaptation and simulation exercises, based on adapted tools	7,140	7,140		DNP GCCA	Training, Workshop and conference.	8,330
Materials and goods						5,950	
<b>Sub-Total</b>						<b>14,280</b>	
2.3 Capacity-building workshops for decentralized Disaster management structures (emergency operations centers at city and village level) set up during phase 1 on early warning, post crisis needs assessment and recovery (11 Observatoires de Suivi de la Vulnérabilité,(,) 25 Structures Communautaires d'Alerte Précoce et des Réponses aux Urgences )	11,900				DNP GCCA	Training, Workshop and conference 11,900	



<b>Sub-Total</b>						<b>11,900</b>
2.4 Set up and reinforcement of decentralized Disaster management structures (emergency operations centres that support relief and recovery) in new localities (4 Observatoires de Suivi de la Vulnérabilité, 8 Structures Communautaires d'Alerte Précoce et des Réponses aux Urgences SCAPRU)	17,850	11,900			DNPGCCA	11,900
						17,850
<b>Sub-Total</b>						<b>29,750</b>
2.5 Development and adoption of PDNA sectoral guidelines for recovery: Agriculture, Employment, Housing	7,140	2,975				7,140
						2,380
						595
<b>Sub-Total</b>						<b>10,115</b>
Sub-Total Output 2 Niger						<b>92,225</b>
<b>LAOS</b>						
2.1 Organize trainings on PDNA and recovery frameworks to develop capacities on assessment and recovery planning.	9,520	9,520	9,520		MLSW	11,900
						8,330
						3,570
						3,570
						1,190
<b>Sub-Total</b>						<b>28,560</b>
2.2 Adapt PDNA and Recovery Framework guidelines to the national context in the target provinces	17,850	17,850	19,873		MLSW	11,900
						5,950
						3,570

<b>Sub-Total</b>							<b>21,420</b>
2.3 Conduct dry-run/small scale post-disaster needs assessments exercises and develop recovery frameworks, based on the adapted guidelines and tools.	3,570	3,570	2,975	MLSW	Travel	2,975	
					Workshops /consultations I	2,975	
					Consultancy for writing, editing and consolidation of assessment report	4,165	
<b>Sub-Total</b>							<b>10,115</b>
2.4 Develop country specific sectoral guidelines for recovery	7,140	8,330	7,140	MLSW	Local consultants	11,900	
					Workshops /consultations	4,165	
					Rental	2,975	
					Supply, printing, translation	3,570	
<b>Sub-Total</b>							<b>22,610</b>
2.5 Adopt simplified procurement procedures for the purchase of goods and services during recovery	1,190	1,190			Consultations and workshops	1,190	
					Sundry	1,190	
<b>Sub-Total</b>							<b>2,380</b>
<b>Sub-Total Output 2 Laos</b>						<b>85,085</b>	
<b>MYANMAR</b>							
2.6 Organize trainings on recovery and to develop capacities on assessment and recovery planning, in collaboration with the Disaster Management Training Centre (DMTC), building on existing materials developed by UNDP.		23,800			Training/workshops	11,900	
					Training consultants	5,950	
					Travel & supplies	5,950	
<b>Sub- Total</b>							<b>23,800</b>
2.7 Tailor PDNA and recovery Framework guidelines for application in Myanmar.	20,825				Consultants	14,280	
					Workshops and consultations	6,545	

Sub- Total							<b>20,825</b>	
2.8 Conduct dry-run/small scale post-disaster needs assessments exercises and develop recovery frameworks, based on the adapted guidelines and tools.	14,280					Assessment workshop and travel	8,330	
						Consultancy for writing and consolidation of reports	5,950	
Sub Total							<b>14,280</b>	
2.9 Develop recovery guidelines for housing and other infrastructure (construction sector) sector including consultations to validate the guidelines.	29,750					Consultants	23,800	
						Workshops and consultants	5,950	
Sub Total							<b>29,750</b>	
Sub-Total Output 2 Myanmar							<b>88,655.00</b>	
<b>Sub-Total for Output 2</b>							<b>285,005.00</b>	
<b>Output 3</b>  Enhanced national capacities for implementing recovery at community-level.	<b>BURKINA FASO</b>							
	3.1 Training of communities (youth and women masons construction workers and artisans) in disaster resilient construction technologies	5,950	7,140	5,950		UNDP	Training, Workshop and conference	2380
							Travel	2,380
							Materials and goods	11,900
							Rental	2,380
	<b>Sub-Total</b>							<b>19,040</b>
	3.2 Reconstruction of community level infrastructures by vulnerable people particularly women affected by disasters through cash for work and support to micro-enterprises recovery with generated earnings		17,850	17,850		UNDP/SP CONASUR	Workshops, trainings	5,950
							Material and goods	5,950
Grant							23,800	
<b>Sub-Total</b>							<b>35,700</b>	

3.3 Develop guidelines for use of revolving fund and set up of one Revolving Fund for Disaster Recovery		22,610			UNDP/SP CONASUR	Community fund	22,610
<b>Sub-Total</b>							<b>22,610</b>
Sub-Total Output 3 Burkina Faso							<b>77,350.00</b>
<b>NIGER</b>							
3.1 Training of communities (women and Youth masons, construction workers and artisans) in disaster resilient construction technologies.	11,900	11,900				Travel	17,850
						Materials and goods	5,950
3.2 Micro-projects to support post-disaster livelihoods recovery	8,925	8,925				Grant	23,800
Sub Total							<b>47,600</b>
Sub-total Output 3 Niger							<b>47,600</b>
<b>LAOS</b>							
3.1 Training of communities (women and youth masons, construction workers and artisans) in recovery and disaster resilient construction technologies.	11,900	11,900	11,900		MLSW	Local consultant	5,950
						Trainings	5,950
						Supply, printing, translation	3,570
<b>Sub-Total</b>							<b>15,470</b>
3.2 Funds for community recovery activities	22,610	29,750				Funds for community level use	52,360
<b>Sub-Total</b>							<b>52,360</b>
Sub-total Output 3 Laos							<b>67,830</b>
<b>MYANMAR</b>							
3.1 Support to develop a bottom up community-based recovery-action plan (same site as in activity 2.2), with a focus on resilient housing reconstruction.	11,900	11,900				Workshops consultations at community level	23,800

	3.2 Provide financial and technical support the implementation of the community-based action plan to benefit to 200 people (40 households developed in activity 3.1)		23,800	41,650		Develop guidelines for use of funds	5,950	
						Funds for community recovery	59,500	
	<b>Sub Total</b>						<b>89,250</b>	
	Sub-total Output 3 Myanmar						<b>89,250</b>	
	<b>Sub-Total for Output 3</b>						<b>282,030</b>	
<b>Output 4</b> Improved knowledge products, technological applications and South-South exchange for recovery management.	<b>GLOBAL</b>							
	4.1 Knowledge management, development of case studies, lessons learned and best practices, communication material	7,140	7,140	15,470		UNDP	Contractual service	17,850
							Audio Visual &Print Production Costs	11,900
	<b>Sub-Total</b>							<b>29,750</b>
	4.2 Two regional workshops in Asia and Africa on Recovery Preparedness and best practices	20,825	20,825			UNDP	Trainings and workshops costs	35,700
							Audio Visual &Print Production Costs	5,950
	<b>Sub-Total</b>							<b>41,650</b>
	Sub-Total Output 4 Global						<b>71,400</b>	
	<b>BURKINA FASO</b>							
	4.1 Development of guidelines for floods and droughts recovery ("Aide-Memoire"), case studies and fact sheets on recovery		9,520			UNDP	Consultant	11,900
							Audio visual and Print	2,380
	<b>Sub-Total</b>							<b>14,280</b>
4.2 South-South cooperation (Knowledge exchange visit to Niger)	9,520				UNDP	Travel	9,520	
<b>Sub-Total</b>							<b>9,520</b>	
Subtotal Output 4 Burkina Faso						<b>23,800</b>		
<b>NIGER</b>								

4.1 Development and pilot-testing of a country-tailored mobile application for recovery		11,900			UNDP	Contractual services/consultant	11,900
<b>Sub-Total</b>							<b>11,900</b>
4.2 South-South cooperation (knowledge sharing on recovery across target regions and across countries)		11,900			UNDP	Travel	11,900
<b>Sub-Total</b>							<b>11,900</b>
4.3 Development and dissemination of communication Plan and materials on recovery		6,545			DNPGCCA	Consultant	6,545
<b>Sub-Total</b>							<b>6,545</b>
Subtotal Output 4 Niger							<b>30,345</b>
<b>LAOS</b>							
4.1 Development of case studies, lessons learned and best practices	8,330	9,520	10,353		MLSW	Printing, Publication	3,570
<b>Sub-total</b>							<b>3,570</b>
4.2 Develop Guidelines for floods and droughts recovery	5,950	3,570	2,380		MLSW	Local consultant	5,950
						Workshop and Consultations	3,570
						Supply, printing, translation	2,380
<b>Sub-Total</b>							<b>11,900</b>
4.3 Support to South-South cooperation	3,570	3,570	4,165		MLSW	Travel	9,520
						Sundry	1,785
<b>Sub-total</b>							<b>11,305</b>
4.4 Development and pilot-testing of a country-tailored mobile application for recovery	2,380	3,570	3,213		MLSW	Local consultant/Firm	7,973
						Sundry	1,190
<b>Sub-total</b>							<b>9,163</b>

						Sub-total Output 4 Laos	35,938	
<b>MYANMAR</b>								
4.1 Development of case studies, document lessons learned and best practices.		7,735	7,735			Contractual services/consultant	15,470	
4.2 Support to South-south collaboration – visit to Nepal- technology.	9,520	11,305				Travel and workshops	20,825	
							36,295	
						Sub-total Output 4 Myanmar	36,295	
<b>Sub-Total for Output 4</b>							<b>197,778</b>	
<b>Project Management support</b>					Global coordination	Project coordinator at HQ or regional level (50% 3 years @9K per month [1])	193,706	
						Travel-Project Coordinator 6 travels per year @ EUR 2222 on average including DSA	17,850	
						Communications	5,950	
						Evaluation Cost Consultancy	17,850	
						Technical support missions from HQ or Regional Bureaus (DPC)	23,800	
	<b>Sub-Total Project management Global</b>							<b>259,156</b>
					Burkina Faso	National Advisor	59,500	
						UNV or Admi-finance assistant	27,370	
						Technical support missions from HQ or Regional Bureaus (DPC)	6,522	
	<b>Sub-Total Project management Burkina Faso</b>							<b>93,392</b>

	Niger	National Advisor (NOA)	42,840
		36 months @1,000 EUR month	
		Technical support missions from HQ or Regional Bureaus (DPC)	26,754
<b>Sub-Total Project management Niger</b>			<b>69,594</b>
	Laos	rental, travel, premises, supply, communication	11,900
		Project staff and other management costs including DPC	95,645
<b>Sub-Total Project management Laos</b>			<b>107,545</b>
	Myanmar	National Advisor (NOA)	42,840
		3 x years@ x EUR 1000 a month	
		Technical support missions from HQ or Regional Bureaus (DPC) including Monitoring and other MGMT	45,308
<b>Sub-Total Project management Myanmar</b>			<b>88,148</b>
<b>Sub-Total for Project Management Support</b>			<b>617,835</b>
<b>TOTAL DIRECT COSTS</b>			<b>1,652,778</b>
<b>General Management Support (8% of TOTAL DIRECT COSTS)</b>			<b>132,222</b>
<b>GRAND TOTAL</b>			<b>1,785,000</b>



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## X. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The management arrangements for implementing the project will comprise of the following:

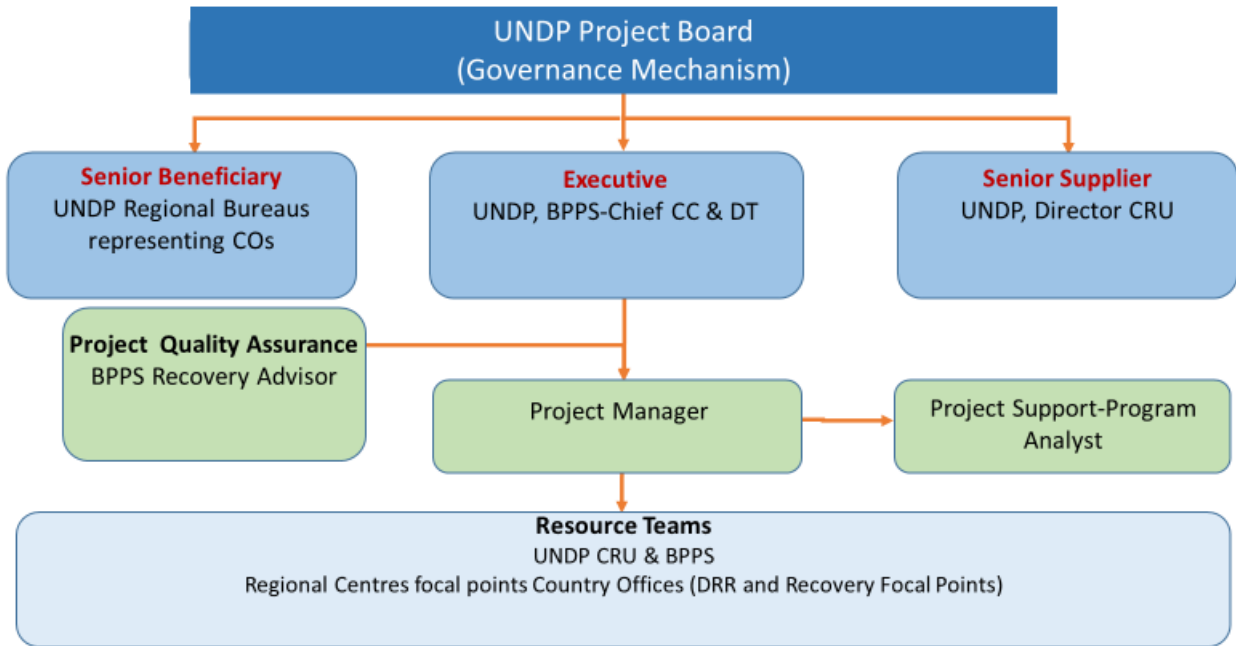
- **Global Project Board** to provide overall policy and strategic guidance; The Project Board will meet annually to review the progress of the project.
- **Global Project Management Unit** (Strengthening capacities for Post Disaster Needs Assessment and Recovery Preparedness Project Management and Support team), housed in the UNDP BPPS Climate Change and Disaster Risk Reduction Cluster, that will be responsible for the day-to-day management of the project;
- **Project responsible parties**, in charge of the implementation of the project;

UNDP will be the executing entity and administrative authority for Project. UNDP will be solely accountable to the donors for the project. The project will be implemented by UNDP's Bureau for Policy and Programme Support (BPPS) under a DIM modality for both, the global component and country components, unless otherwise requested by the respective CO and the respective national government partner. The Global Project Board will be chaired by the Chief of Profession/Director of the BPPS Climate Change and Disaster Risk Reduction Cluster, and composed of project beneficiaries (Regional Bureaux and Country Offices). The main role of the Board will be to provide guidance and direction to the Project Management Unit to facilitate the effective and efficient implementation of the project. The Project Management Unit will be based in the BPPS Climate Change and Disaster Risk Reduction within the Recovery Team. Implementation will be done under the overall management of the Project Coordinator, and the oversight of the BPPS Chief of Profession for Climate Change and Disaster Risk Reduction Cluster.

Policy, programming, and knowledge management will be delivered by the Recovery Team of the CDT Cluster. The Recovery team of CDT cluster will also liaise on country-level support with the regional specialists in the Regional Service Centres/Hubs. Regional support will be delivered through the respective Regional Bureaux and/or Hubs of UNDP: the Regional Bureau for Africa, the Regional Bureau for Asia and the Pacific. Activities implemented at national level will be delivered by the respective UNDP country offices, in consultation and collaboration with their Regional Bureaux and the HQ based Recovery team and the Project Coordinator.

The Project will closely coordinate and exchange knowledge with relevant advisors in the areas of Disaster Risk Reduction and Recovery and the relevant projects implemented in the countries. The Chief of Profession, Climate Change and Disaster Risk Reduction Team, BPPS and Director, Crisis Response Unit, will ultimately be accountable for the results of the project. The Project Manager will be responsible for day-to-day management and decision-making under the supervision of the Recovery Advisor and the Chief of Profession, CDT who will ensure compliance with the required standards of quality and within the specified limits of time and cost. The Project Manager will also be responsible to liaise with other relevant projects and initiatives, with networks, and relevant stakeholders and partner entities.

The project will have two full time positions -a Project Coordinator and a Programme Analyst. International and national consultants will be recruited as part of the support team. Two Programme Specialists from the Recovery sub team will provide technical expertise for development of the knowledge products and assist in training when necessary. The project will also draw up on other BPPS experts and other Bureaux to support activities when required.



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## XI. LEGAL CONTEXT AND RISK MANAGEMENT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the [Supplemental Provisions](#) attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

### RISK MANAGEMENT STANDARD CLAUSES

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]<sup>15</sup> [UNDP funds received pursuant to the Project Document]<sup>16</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
  - a. Consistent with the Article III of the SBAA [*for the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
    - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

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<sup>15</sup> To be used where UNDP is the Implementing Partner

<sup>16</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

- ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
- b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
- c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- g. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract

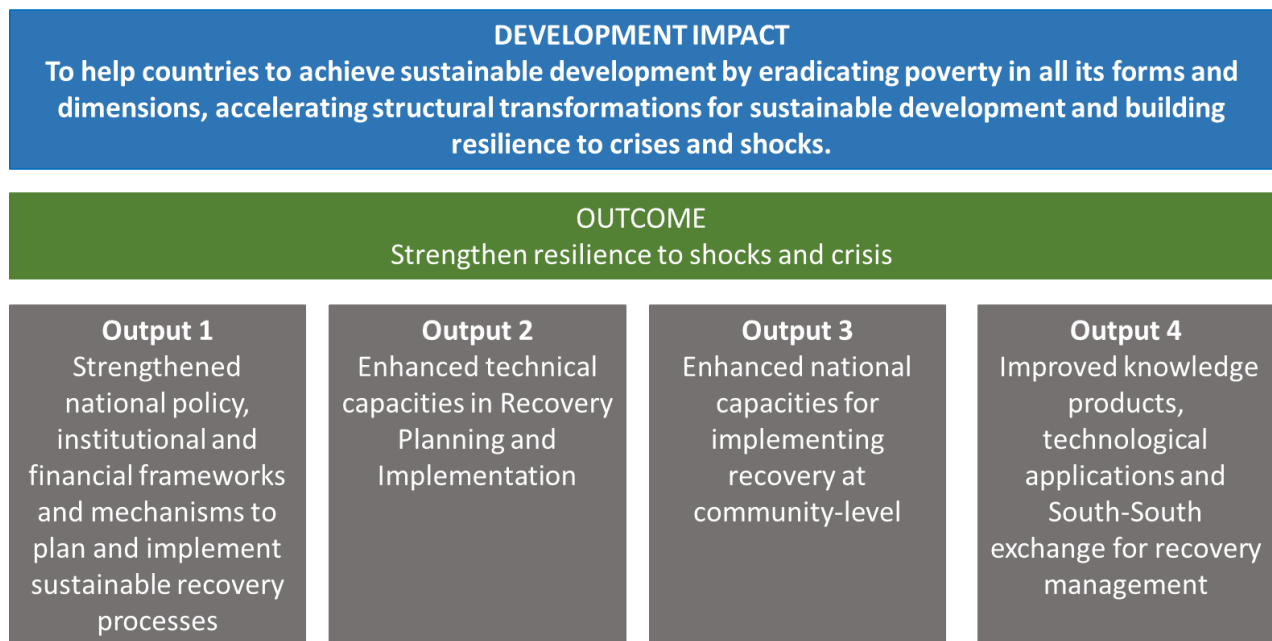
execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

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## ANNEXES

### ANNEX 1 Theory of Change Diagram



## ANNEX 2 Social and Environmental Screening

### Project Information

<b>Project Information</b>	
1. Project Title	BUILDING CAPACITIES FOR RESILIENT RECOVERY-PHASE 2
2. Project Number	NA
3. Location (Global/Region/Country)	GLOBAL

### Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

#### **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?**

##### ***Briefly describe in the space below how the Project mainstreams the human-rights based approach***

The project aims at building national capacities to plan and manage recovery processes in a way that contributes to building resilience of the affected populations. It aims to support countries in applying the “Build Back better” principle in recovery and address the needs of affected people in the short, medium and long term. BBB entails reducing existing risks and vulnerabilities. Not only does it encompass reconstruction to safer standards, but also stronger governance systems, more equitable access to essential services, diversified and sustainable livelihoods, enhanced gender equality and better social protection mechanisms for vulnerable families. In that sense, the project adheres to core humanitarian principles of impartiality and neutrality and addresses the rights of affected communities, in particular the most vulnerable.

##### ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment***

The project will support countries to foster the active participation of women and men in their differentiated capacities in post disaster assessments and recovery planning. The promotion of gender equality and women empowerment in recovery processes will also be at the center of capacity-building and policy development efforts. The Post Disaster Needs methodology, promoted through the project, is based on the collection of gender disaggregated data to assess special needs of women, children, disabled and other vulnerable groups. During each PDNA training, a separate session on undertaking a gender analysis will be organised. Finally, women and youth will be the primary beneficiaries of community-level income generating activities for recovery. Women will have a direct role in planning and implanting recovery preparedness projects in their communities.

##### ***Briefly describe in the space below how the Project mainstreams environmental sustainability***

Through PDNA trainings, national capacities to assess environmental impacts of disasters and to mainstream environment and sound Natural Resource Management in recovery processes will be strengthened. Environmental sustainability is a key component of the Build Back Better Principle. It is a cross cutting element of policy and legal frameworks for recovery which will be developed across the target countries. Finally, community-level activities will all be screened against the environmental sustainability criteria. Some of these activities aimed at regenerating ecosystem in recovery will directly benefit environment

## Part B. Identifying and Managing Social and Environmental Risks

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			<b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b>
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b>
	I = P =			
“No Risks Identified”	<b>QUESTION 4: What is the overall Project risk categorization?</b>			
	Select one (see <a href="#">SESP</a> for guidance)			<b>Comments</b>
	Low Risk	<input checked="" type="checkbox"/>		
	Moderate Risk	<input type="checkbox"/>		
High Risk	<input type="checkbox"/>			
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>			
	Check all that apply			<b>Comments</b>
	<b>Principle 1: Human Rights</b>	<input checked="" type="checkbox"/>	This project mainly focuses in developing national and local government capacities to undertake post disaster needs assessment (PDNA), develop recovery plans and manage recovery processes. It will mostly focus on	
	<b>Principle 2: Gender Equality and Women’s Empowerment</b>	<input checked="" type="checkbox"/>		

	<b>1. Biodiversity Conservation and Natural Resource Management</b>	X	<p>capacity building, policy development and knowledge management, which do not pose direct social or environmental risks.</p> <p>On the contrary, the trainings will aim at sensitizing government officials on the importance of addressing the issues of gender, human rights, environment, displacement, etc. in recovery planning and policy development. The project will support the development of sectoral guidelines for recovery, including on relocation and environment.</p> <p>All community-level activities (output 3) will be screened against environmental sustainability criteria. Some of these activities aimed at regenerating ecosystem in recovery will directly benefit environment.</p>
	<b>2. Climate Change Mitigation and Adaptation</b>	X	
	<b>3. Community Health, Safety and Working Conditions</b>	X	
	<b>4. Cultural Heritage</b>	X	
	<b>5. Displacement and Resettlement</b>	X	
	<b>6. Indigenous Peoples</b>	X	
	<b>7. Pollution Prevention and Resource Efficiency</b>	X	

1. **Risk Analysis.** Use the standard [Risk Log template](#). Please refer to the [Deliverable Description of the Risk Log](#) for instructions
2. **Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)
3. **Project Board Terms of Reference and TORs of key management positions**



## Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		
<b>Principles 1: Human Rights</b>		<b>Answer (Yes/No )</b>
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	NO
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>17</sup>	NO
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	NO
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	NO
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	NO
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	NO
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	YES
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	NO
<b>Principle 2: Gender Equality and Women’s Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	NO
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	NO
3.	Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	NO
4.	Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	NO
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	NO
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas	NO

<sup>17</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	NO
1.4	Would Project activities pose risks to endangered species?	NO
1.5	Would the Project pose a risk of introducing invasive alien species?	NO
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	NO
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	NO
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	NO
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	NO
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	NO
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	NO
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>18</sup> greenhouse gas emissions or may exacerbate climate change?	NO
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	NO
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	NO
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	NO
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	NO
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	NO
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	NO
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	NO
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	NO
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	NO

<sup>18</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)?	NO
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	NO
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	NO
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	NO
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	NO
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	NO
5.3	Is there a risk that the Project would lead to forced evictions? <sup>19</sup>	NO
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	NO
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	NO
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	NO
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	NO
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	NO
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	NO
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	NO
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	NO
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	NO
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	NO
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		

<sup>19</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	NO
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	NO
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	NO
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	NO
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	NO

## Annex 4: Risk Log

<b>Project Title: Building Capacities for Resilient Recovery-Phase 2</b>	<b>Award ID:</b>	<b>Date:</b>
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt. response	Owner	Submitted, updated by	Last Update	Status
1	Post-disaster recovery is not given attention until a major disaster takes place. Governments may not appreciate the need for recovery preparedness and may not dedicate staff to develop recovery policy or legal documents, systems or guidelines.		Strategic	P=2; I=4 Risk Level=M	UNDP has a series of advocacy and knowledge products on recovery preparedness to enhance government understanding on this subject. The products are being widely disseminated and such concepts integrated into regular DRR (disaster risk reduction) and recovery programming activities.	Project Coordinator and Administrative assistant			
2	Staff turnover within national governments and internally (COs, HQ and regional Bureaus level) will undermine capacity-building efforts and slow down project implementation.		Strategic Operational	P=4; I=4 Risk Level=H	Internally, funding to cover project coordination costs at global and country-level will be allocated over the full course of the project to ensure continuous implementation and minimize risks of staff turnover. Close working relationships will be established on a day to day basis with technical staff from Governments, whom are generally less affected by turnover due to political changes.	Project Coordinator and Administrative assistant			
3	Misuse or misappropriation of funds.		Strategic Operational	P=1; I=5 Risk Level=L	In compliance with rules and regulations under DIM modality, rigorous monitoring of fund utilization, with heavy emphasis on field validation of outputs, beneficiary interviews and surveys, and review of financial expenditure.	Project Coordinator and Administrative assistant			
4	Lack of government resources/capacities to deliver on the project		Organizational	P=3; I=3 Risk Level= M	UNDP will provide timely and consistent technical assistance to support governments to deliver against expected results and will allocate financial resources and technical expertise towards this end.	Project Coordinator and Administrative assistant			

					Capacity-building and mentoring will be continuously harnessed during the project. In-country roster of experts will be set up to expand the pool of experts available at the country-level and reduce the dependency of countries on external assistance.				
5	Occurrence of disaster causes new loss and diverts attention from preparedness to recovery to humanitarian response		Natural	P=3; I=3 Risk level=M	Given the risk profiles of target countries, it is possible that natural hazards affect target countries in the implementation period. While working to strengthen capacities in recovery planning and management, a firm focus will be maintained on disaster preparedness and risk reduction. In case a disaster nevertheless affects the country, this will constitute the momentum to test the policy frameworks, tools and systems developed with support from the project aiming to Build Back Better. Awareness raising efforts during the course of the project on the need to bridge the gap between relief, recovery and development will also likely contribute to government and partners paying due attention to medium and long term recovery needs.	Project Coordinator and Administrative assistant			
6	Political Instability		Institutional	P=3; I=3 Risk level=M					