UNITED NATIONS DEVELOPMENT PROGRAMME

PROJECT DOCUMENT
Global Project

Project Title: Strengthening Capacities for Post Disaster Needs Assessment and Recovery Preparedness (PDNA Roll Out II)

Project Number: N/A

Implementing Partner: DIM

Start Date: February 2017   **End Date:** 30 November 2019

PAC Meeting date: 9 January 2017

Brief Description
The key objective of the project for "Strengthening capacities for Post Disaster Needs Assessment and Recovery Preparedness" is to contribute to building resilience of countries following disasters/emergencies generated by natural hazards, by strengthening the capacities of regional organizations and national governments to assess, plan, implement and monitor recovery[1] processes. Building on a successful first phase of collaboration[2], this project will consolidate and increase the capacities for post disaster needs assessments and recovery planning, particularly for national governments in high-risk countries as well as for regional inter-governmental organizations. Geographical coverage will be expanded to ten additional countries and five additional regional inter-governmental organizations in this project over a period of three years.[3] The envisaged project outputs include:

1. Improved PDNAs conducted and completed with well-defined disaster recovery frameworks informed by a comprehensive assessment of human impacts and social issues.

2. Recovery processes are managed by national institutions and systematically implemented to reduce risks to future disasters.

3. Regional inter-governmental organizations have stand-by capacities to effectively advise and support member states in planning and implementing recovery;

4. Post Disaster Recovery processes are informed by international best practices and standard tools and guidelines.

Contributing Outcome (UNDAF/CPD, RPD or GPD):
• UNDP Strategic Plan Outcome 6
Indicative Output(s):
• UNDP Strategic Plan 2014-2017, Outputs
• 6.4 Recovery processes reinforce social cohesion and trust and enable rapid return to sustainable development.

Total resources required:[4]	USD 2,918,170	
Total resources allocated:	USD 2,038,320	
	UNDP:	392,220
	Donor:	1,646.100
	Donor:	
	Government:	
	In-Kind:	
Unfunded:	USD 879,850	

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[1] "Recovery" is defined as the restoration, and where appropriate, improvement of facilities, livelihoods, and living conditions of disaster-affected communities, including efforts to reduce disaster risk factors. While, "reconstruction" focuses primarily on the construction or replacement of damaged physical structures, and the restoration of local services and infrastructure. The term "recovery" in this guide encompasses both "recovery" and "reconstruction".

[2] Post Disaster Needs Assessment: Roll-out in disaster prone countries, Instrument for Stability (IFS)-RRM/2012/303-264, AAP 2011, IFS, Article 4.3

[3] The twelve countries covered in the first phase of the project were: Angola, Barbados, Bolivia, Burkina Faso; Cabo Verde, Cuba; Ecuador; El Salvador; Nepal; Niger; Rwanda and St Vincent & Grenadines. The Regional Intergovernmental organizations trained are: ASEAN; CDEMA, CEPREDENAC; IGAD; ECOWAS; SAARC.

[4] Exchange rate used to convert Euros to USD is 1.062 as per 15 December 2016 (UNORE) Total required 2,747.806 EUR, total allocated 1,860.000 EUR, UNDP TRAC 310.000 EUR, EU Donor 1,550.00 EUR.

Agreed by UNDP:

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Date: Feb 24, 2017

I. DEVELOPMENT CHALLENGE (POST DISASTER RECOVERY CONTEXT)

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 as a result of the disaster, the number of poor people would increase an additional 2.5 to 3.5 percent. This represents at least 700,000 people[5].

Increased exposure to 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[6]. 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 crisis:

It is now widely recognized that crises 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.

The Post 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.

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 on the affected

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[5] PDNA report Nepal,2015 www.npc.gov.np/images/download/PDNA_Volume_A.pdf.

[6] United Nations Economic and Social Affairs, (UN DESA). 2014.World *Urbanization Prospects: The2014 Revision.*

communities, and with little reference to special needs of vulnerable people. 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 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. The absence of a strong policy framework on post disaster recovery at the regional level also contributes to lack of concerted action at the country level. Whereas, most Regional Intergovernmental organizations already have stated goals to support member states in post disaster response and recovery, limited capacities and the lack of a concrete plan often relegates this to the background. With the exception of the Secretariat for Pacific Community (SPC) and Association for South East Asian Nations (ASEAN) the technical support to member countries in other regions of Africa, Asia and Europe and Arab States is limited.

- **Absence of Institutional Arrangements for 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 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 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 public infrastructure 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.

- **Lack of committed financial resources for 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. With the exception of the Asian Tsunami of 2004, Recovery and Reconstruction needs remain largely unmet leading to incomplete recovery. When recovery efforts are not well funded, the country or disaster affected region continues to suffer long after the disaster is over.

Assessment tools and practice

Additionally, a key gap in the need for a comprehensive tool for assessing recovery needs was addressed through an agreement with three agencies. In 2008, the World Bank (WB), the European Union (EU) and the UN Development Group (UNDG) signed an agreement committing the tripartite to "harmonize and coordinate post crisis response frameworks to enhance country resilience to crisis" and "strengthening the capacity of national institutions for effective prevention response and recovery". Since the signing of the agreement, the partners have developed joint protocols and guidelines for supporting national Governments in Post Disaster Needs Assessments (PDNAs) and jointly conducted over 50 assessments in response to requests from National Governments for assistance. For post-conflict situations, the agreement led to the development of the Post-Conflict Needs Assessment (PCNA) methodology and the organization of about 10 PCNAs during the same period.

The PDNAs have provided a credible basis for planning long-term recovery and allocating national and international resources. The partners have also worked jointly to develop capacities in the PDNA methodology, targeting national governments, regional inter-governmental organizations and staff within the agencies for capacity-building. PDNA is now a globally accepted tool for

assessing post disaster recovery needs. However, national government capacities in conducting these assessments are still limited and there is a high reliance on international experts for its organization.

The PCNA methodology on the other hand, was revised in 2015 that included adjustments to the methodology and partnership modalities, a change in its name and the establishment of a governance arrangement to guide its implementation. Recovery and Peacebuilding Assessment (RPBA) replaced the former Post Conflict (PCNA).

Gaps in the Practice of PDNAs:

While there has been a number of PDNAs conducted with successful outcomes, there are still areas which need improvement in the application of the assessment methodology. The assessments are still largely focused on impacts on infrastructure and the economy and very little on the social and human impacts of a disaster. There is a need to improve the methodology and capacity to assess the human impacts of the disaster and particularly to understand the needs of the vulnerable families. Furthermore, there has been very limited application of conflict sensitive approach to the PDNA even in countries which already have ongoing social and political tensions with the result that assessment and recovery needs are done without a reference to the conflict context. Not enough effort has been put into harnessing potential synergies between these two methodologies, the PDNA and the RPBA (former PCNA), in such settings.

Weak linkages between PDNAs and Recovery:

In addition to the above, PDNAs are sometimes viewed as an end in themselves and are not organically linked to the preparation of a recovery framework and its implementation. In fact, the assessment, which provides the recovery needs and costs, is a good basis to develop a recovery strategy and start a recovery process. Yet, this needs to be supported with a detailed plan for sectoral and area based recovery, including processes for fund disbursement, skilled personnel and materials for implementation and a strong mechanism for monitoring the progress of recovery.

To better support the process of recovery planning, the tripartite partners developed the Disaster Recovery Framework (DRF) guide in 2014 which was launched in the International Conference for Disaster Risk Reduction in Sendai. This guide provides information on four key aspects of recovery planning: Policy and Strategy Setting; Institutional Framework; Financing for Recovery; and Implementation Arrangements. The guide is still new and tools proposed in the guide has been piloted in four countries since its launch in 2015 with varying degrees of success. Based on these pilots, Governments can be trained in the use of the tools. To apply the DRF guide in countries and establish stronger recovery capacities in countries, each component of recovery planning must be supported with more detailed guidelines and information on recovery practices applied in various countries. These guidelines need to be complemented with training packages to disseminate the recovery guidelines to countries. The second phase of the project will build on the DRF guide and develop sector specific recovery guidelines and complementary training packages to build capacities of national government counterparts.

II. STRATEGY

Progress in the last decade in the practice of 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 Recovery:

A major step forward in the practice of recovery is the recognition of a 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 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 promoted through the humanitarian and peace nexus

As an outcome of the WHS, through the Commitment to Action1, UN agencies have taken steps towards delivering on the Secretary-General's Agenda for Humanity and the promise of the 2030 Agenda for Sustainable Development to "leave no one behind", by effectively putting those furthest behind at the forefront of their collective efforts and across the spectra of humanitarian, peace and development work. This new way of working will involve operating over multi-year timeframes and playing to the individual strengths of each agency and actor involved to achieve collective outcomes for the most vulnerable people. This commitment entails a significant increase of the sharing of data relating to vulnerability; undertake joint analysis of needs, response and future risks; and collaborate on planning and implementation. This opens up an opportunity for the PDNA to emphasize its inter-institutional and multi-sectorial approach as well as its flexibility to incorporate teams belonging to the national and local governments, the private sector, the academia and the community in the application of the methodology. Moreover, the "Grand Bargain" is about the need to work together efficiently, transparently and harmoniously with new and existing partners in a spirit of partnership and complementarity.

Lessons learnt and good practices

Post-disaster recovery has emerged as an important area of practice in the management of disasters due to rise in economic and social costs of disasters and an understanding of the consequences of poorly managed recovery processes. Countries facing recurrent disasters are now more amenable to investing in better standards and specifications and incur higher costs to protect the infrastructure and assets that are being rebuilt after the disaster.

UNDP has been providing leadership in the field of 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. UNDP is also mandated by the United Nations Emergency Relief Coordinator to lead Early Recovery Cluster and in this

role it has developed policy guidance on Early Recovery, guidelines for recovery programming and guidelines for gender and recovery.

Through its work, UNDP has contributed to social and economic recovery of affected communities and developed government capacities for implementing recovery. The overall objective of these recovery programmes has been to build resilience and restore countries to their development pathways. UNDP has worked very closely with Governments in implementing post disaster recovery programmes in partnership with regional intergovernmental organizations in each region.

Based on its experience in the practice of recovery and drawing upon the lessons of implementing the recent project on PDNA roll out, the preparedness for recovery in countries, UNDP has distilled the following lessons in recovery:

- **Recovery is a specialized practice area:** The technical and management skills for planning and implementing recovery are different from preparedness, response and long-term risk reduction. The guidelines and tools for undertaking recovery are very few and generic, in particular guidelines for implementing recovery for specific sectors. With the exception of housing sector, the practices in recovery are not well defined. There is also no training institution that offers courses on recovery. Most countries improvise as they implement recovery and then develop some processes and guidelines. Internationally accepted guidelines for recovery are yet to be developed.

- **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 is not a spontaneous activity. It requires careful planning, is driven by data, and peoples' needs. Governments undertake recovery without a full assessment of the impacts and understanding of the recovery needs of families affected by the disaster. This is due to the facts that governments do not have an established methodology and capacities to assess the impacts of the disaster. The PDNA methodology has gained acceptance and is now being widely used by governments in recent years but always with assistance from international experts. There is still a large capacity gap within national ministries capacities for doing assessments and following it up with a systematic plan for recovery.

- **Recovery is more efficient if institutional arrangements are set up prior to a disaster:** Recovery from a large scale disaster can take anytime between two years to a decade and it requires an enormous amount of financial resources as well as comprehensive planning. Established institutions with dedicated personnel and resources are critical for delivering recovery and reconstruction benefits to people in an effective and timely manner. It ensures quality, transparency, and accountability, which are key to a successful recovery programme. It is important that the institutions and mechanisms that govern recovery are set up prior to a disaster so that recovery and reconstruction assistance is predictable and can be implemented without delay when needed.

- **Recovery is multi-sectoral in nature and is a collective effort:** Recovery is multi sectoral in nature. It includes reconstruction of infrastructure, housing, restoration of livelihoods, and re-establishment of social and community services. This work requires the collective efforts of all governments' ministries, private sector actors, and national and international NGOs. While it is recognised that recovery should be implemented under the strong leadership of the national government, other partners such as regional inter-governmental organizations, international agencies, and the civil society can bring technical skills and experiences that will improve the quality of recovery. Governments need to set up coordination mechanisms to bring together the range of technical expertise required for recovery from the public, private, national and international agencies to provide sustained technical assistance to families for the long duration of recovery.

- **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 so that governments are able to efficiently deliver recovery assistance.

- **Financing for Recovery:** Recovery needs to be supported with financial resources. The costs for reconstruction of public infrastructure and housing can be very high. Aid for disaster is typically provided for humanitarian needs with few resources for longer–term recovery needs. Post Disaster Recovery and Reconstruction requires dedicated national and international financing mechanisms similar to funds available for emergency response. When recovery efforts are well funded, a country can rebuild better thus ensuring resilience to future disasters.

UNDP's role in coordinating PDNAs: As one of the signatories of the 2008 Tripartite agreement on Post-Crisis Recovery Planning and Assessment, UNDP has forged a strong partnership with the European Union, the World Bank and eight UN agencies, consistently supporting national governments in conducting post disaster needs assessments and recovery plans. UNDP on behalf of the UN system led the development of PDNA guidelines and conducted training for officials of the UN system and Governments in assessment methodologies. UNDP brings with it the expertise of eight UN agencies who have been partners in the drafting PDNA guidelines, developing training materials and delivering PDNA trainings jointly with the EU and the World Bank. UN agencies have also been part of the team deployed to support national governments in undertaking PDNAs. Through the partnership with EU, World Bank and UN, UNDP has established a network of recovery practitioners across several sectors in five regions. The network of practitioners include staff from UN agencies, World Bank and independent consultants in the regions with knowledge and linguistic skills of the region. With this pool of experts available to UNDP, it can implement the current project.

UNDP's experience in Recovery Preparedness: UNDP is implementing recovery preparedness projects in five countries in Africa. Through the project, UNDP has started developing tools and guidelines to inform recovery. Several countries are being assisted to develop the strategy for recovery preparedness, adapt the PDNA guidelines to the national context. UNDP has also assisted the Association for South East Asian Nations (ASEAN) to develop the Recovery Framework guide for the member countries. The development of this guide will be followed with support to selected member countries to develop their own recovery frameworks, draft PDNA guidelines and designate focal points for recovery. UNDP work in this area will complement the current project.

Theory of Change for the Project on Strengthening Capacities for Post Disaster Needs Assessment and Recovery Preparedness (PDNA roll-out –II)

Building on the above-mentioned initiatives, experiences and lessons learned, this second phase of the PDNA roll out project has been designed along the premise that the development of

capacities of national governments to assess, plan and monitor recovery process will result in "building back better and safer" thus contributing to building the resilience of countries.

The second phase of the PDNA roll out project will address gaps in assessment, develop tools and guidelines for sector based recovery and build capacities for recovery planning and implementation.

The project is being initiated at a time when UNDP is seeking to set up a high-level governance arrangement for the PDNA at the global level in order to improve communications between tripartite partners—World Bank, UN Development Group and European Union. The project may not have a direct relationship with the high-level governance arrangement; however, through its activities and support structure, the project will certainly strengthen the global protocol and communications.

The change expected through this project is that regional Intergovernmental organizations and governments will view recovery as an integral part of disaster risk management process and will set up institutions with dedicated personnel and resources to lead recovery. Governments will invest in building technical skills and enforce standards to improve physical infrastructure, social and economic conditions of communities while implementing post disaster recovery to reduce the levels of community's vulnerability to disasters. This will be achieved by strengthening capacities of the government to build back better and safer, equipped with knowledge, tools, and the necessary technical and financial resources required for undertaking recovery.

5-10-50 partnership framework for Disaster Risk Reduction: UNDP has launched a joint partnership programme 5-10-50 for disaster risk reduction. The 5-10-50 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. **The current project will contribute to pillar of resilient recovery.**

III.   RESULTS AND PARTNERSHIPS

PDNA roll out Project Phase 1: Since 2014, the EU invested EUR 1.1 million towards PDNA capacity building in selected countries and regional inter-governmental organisations. With a matching contribution of USD 1.2 million, UNDP systematically invested in streamlining the guidelines for PDNA methodology and tools for assessment, developing standard training packages and a roster of experts in PDNAs. The project has been successful in establishing strong awareness about the PDNA tools and methodology among national governments, regional inter-governmental organizations and partners and building partnerships with agencies participating in the capacity building process. The project has created a high demand for technical assistance from national governments. Such assistance is not only limited to needs assessment, but also supports planning and implementing recovery.

PDNA Roll out project Phase II: Building on earlier work, the 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. This second phase will enhance support to regional intergovernmental organizations to work with national governments to build capacities in conducting PDNAs and support them in developing recovery plans. 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 and five additional regional inter-governmental organizations over a period of three years.

Country selection: The ten countries will be selected from among the 50 highest risk countries shortlisted for the 5-10-50 partnership framework. The 50 countries include 15 countries in Africa, 15 in Asia & Pacific, 13 in Latin America and Caribbean, 4 in Europe and Commonwealth of Independent States, and 3 in Arab States. The 50 identified countries include 13 Small Island development States (SIDS) and 15 Fragile States. Of the 50 countries, twelve[7] are identified as the first set of countries for implementing each component of the 5-10-50 project in the first years. This project will to the extent possible, pending consultations and agreement with the Regional Bureaus, partners in particular the EU; will select from the list of 50 countries that can be supported through this project. Other countries that have high Government interest and willingness to invest their own resources to this work may also be included under this project. The 50 country selection process was determined by three principles of engagement based on exposure and vulnerability to disasters and climate change and enabling environment for disaster risk reduction. These principles were related to three indicators as presented in the table below.

Principle	Indicators
Exposure & Vulnerability **(Susceptibility to impact of disasters)**	• The INFORM[8] Index measuring three dimensions of risk: natural and human hazards & exposure; vulnerability; and lack of coping capacity. *Covering 191 countries*
	• The World Risk Index[9] calculates exposure towards natural hazards, susceptibility, coping capacities and adaptive capacities. *Covering 170 countries*
Climate vulnerability	• The ND Global Adaptation Index[10] combines a score for vulnerability to climate change across six sectors and a score for economic, governance and social readiness to improve resilience *Covering 177 countries*
Enabling Environment / DRR readiness	• DRR elevated as **national priority with high-level commitment to reduce existing and future risk level** (evidenced by official statements, and increased emphasis on seeking support)

Two areas of work: The project has four objectives, which can be divided into two broad streams of work. The first is the development of tools and guidelines for PDNA and Recovery planning and the second is training and capacity building activities for National Governments and Regional Intergovernmental organizations. The expertise of EU, the World Bank and UN agencies will be sought in the development of guidelines for enhancing the PDNA methodology and sector based guidelines on recovery. Sector based guidelines will be developed by agencies based on their technical focus. For example, UNDP would lead the development of guidelines for Human and Social Impacts, and the EU may lead the development of tools to undertake a conflict sensitive PDNA. Similarly, each UN agency would be entrusted with the responsibility of drafting a guideline for sector based recovery based on their technical expertise- UNICEF for education, WHO for health, etc. The development of guidelines and tools for integrating conflict sensitivity into PDNAs

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[7] Myanmar, Bangladesh & Solomon Islands (Asia & Pacific);   Dominican Republic, Haiti, Honduras (Latin America and Caribbean); Tajikistan and Kyrgyzstan (Europe and CIS); Djibouti (Arab States) Malawi(Africa).

8 The INFORM index report, is developed by the EU Joint Research Centre – OCHA, 2016 Report at http://www.inform-index.org

9 The World Risk Index is produced by the United Nations University-EHS and Alliance Development Work (Germany), 2015 report available at http://www.worldriskreport.org

10 The ND-GAIN Global Country Index is a project of the private University of Notre Dame (US), 2014 report at http://index.gain.org

will make appropriate linkages with current RPBA methodology and take into account current approaches.

The training materials for the modules of Recovery preparedness will be developed jointly with the UN agencies, the Bank and the EU. UNDP and World Bank have already started working on training materials and will revise the materials based on the feedback received from trainings delivered in four countries.

For the trainings, UNDP will develop a training calendar with a list of possible partners in the region. Each agency based on its comparative advantages including regional and country presence and agreements with regional intergovernmental organizations can support in organising the trainings. UNDP will seek the views of the partners in selection of the participants, the defining the course content and setting dates for the training. Through the first phase of the PDNA roll out project, UNDP has established partnerships with UN regional commissions in Asia and the Pacific, and with other regional organizations such as the Asian Disaster Preparedness Center. It will use these partnerships to organise country level trainings.

A. *Expected Results /Objectives*

The overall objective of the project is to contribute building resilience of countries by strengthening capacities of regional organisations and national governments to assess, plan, implement and monitor recovery processes.

The project envisages the following four output level results:

- **Output 1**Improved PDNAs conducted and completed with well-defined recovery frameworks informed by a comprehensive assessment of human impacts and social issues.
- **Output 2**Recovery processes are managed by national institutions and systematically implemented to reduce risks to future disasters.
- **Output 3**Regional inter-governmental organizations have stand-by capacities to effectively advise and support member states in planning and implementing recovery;
- **Output 4** Post Disaster Recovery processes are informed by international best practices and standard tools and guidelines.

B. *Indicative Activities*

Output 1: Improved PDNAs conducted and completed with well-defined recovery frameworks informed by a comprehensive assessment of human impacts and social issues

Rationale: As the practice of PDNAs is being expanded, the assessment methodologies continue to be refined after application in several PDNAs. It is in this context that the methodology for Human Impacts of the disaster on households and communities will be finalized based on its application in recent assessments. The PDNA methodology is also adopted and used in conflict context, for example, in Gaza and Yemen, and sometimes in countries with high social and ethnic tensions. Efforts will be made to develop guidelines for undertaking PDNAs following disasters in conflict contexts, taking into account the principles and methodologies of the RBPA and the PDNA. In addition, efforts will be made to systematically follow the outcomes of the PDNAs in those countries which have conducted them.

The activities proposed are as follows:

Activity 1.1. Refine the methodology for conducting human impact assessments with household level questionnaires, the guidelines for collecting information and the tools for analysing data. The focus of this activity will be to

- Develop guidelines which elaborate on the methodology for conducting an assessment on differentiated impacts of the disaster on members of the households, on their livelihoods, coping mechanisms, access to services, access to early warning and preparedness information, and their role in community disaster preparedness and response. It would also include the peoples' views on their priority needs for recovery.

- The guidelines and notes would include sets of questionnaires for the household and community level and key informant interviews with information on how to apply these tools in the short time frame of the PDNA.

- The guidelines will be based on the country-level experiences and results and will used for the application in PDNAs. It will be added to the training and learning activities.

Activity 1.2.: Develop tools for integrating conflict sensitivity into PDNA, based on existing tools and materials developed by UNDP and EU. The areas of work under this would include:

- Analysing the current RPBA approach and tools for undertaking a conflict analysis and adapting these tools for their use in a PDNA, in close consultation with the UN-WB-EU team dealing with these process. While all PDNAs aim to take into account the political economy of the country during the analysis of damages, losses and recovery needs and ensure the views of all stakeholders affected by the disaster are reflected in the PDNA, these tools would be particularly useful in guiding those PDNAs being conducted in conflict context. In fact, these tools will promote an inclusive process and also help plan recovery in a manner that dissipates tensions and promotes greater cohesiveness in communities. These tools will be integrated into the training package along with information on the Humanitarian and development nexus and information on the Grand Bargain.

Activity 1.3.: Review each PDNA conducted in the project life time to assess: if it resulted into a disaster recovery framework, the scope of the recovery framework and the amount of funds raised through the PDNA. The areas of work under this activity would include:

- Setting up a system in country with the partners to monitor the usefulness of the PDNA. Specific indicators to measure the success of a PDNA would include a) the development of a recovery framework; b) the resources allocated for recovery by government and international donors; and c) the number of projects and initiatives undertaken by the government ministries aligned to the recovery framework.

- Suggest a protocol through which the PDNA could be activated at the national level, and the communication between the government and its development partners could made more clear, standard and smooth.

- The monitoring could be done by the ministry leading the assessment with the support of the partners.

- The monitoring system will ensure a systematic follow up of each PDNA with concrete plans for recovery. It would also provide feedback on the usefulness of the process given the time and resources deployed by the government and partners to the effort.

Activity 1.4 Printing, Translation and Dissemination of the following

- The Human Impact assessment guidelines
- Tool for integrating conflict sensitivity in the PDNA

Activity 1.5.: Project office for technical oversight and implementation

- Capacities to provide technical and administrative support the implement the activities listed under each result.

Output 2: Recovery processes are managed by national institutions and systematically implemented to reduce risks to future disasters.

Rationale: The PDNA roll out project phase has increased the demand in countries for adapting the methodology and building national capacities and institutions for recovery. In support of this demand, ten additional countries will be supported to establish the systems and capacities needed for countries to be able to effectively manage recovery processes.

The proposed activities include:

Activity 2.1.: Organize PDNA and recovery trainings in 10 additional countries to develop capacities on assessment and recovery planning by

- Training government officials in ten countries on process and methodology for undertaking a PDNA and Recovery Framework. The training will be conducted for officials from all sector ministries, local staff from the partner agencies and interested consultants.
- Establishing a national pool of experts in the PDNA and Recovery to reduce dependence on external deployments for the assessment.

Activity 2.2: Provide technical assistance to adapt PDNA and DRF guidelines and tools to the national context in ten countries by:

- Formulating guidelines for assessment, establishing baseline data for sectors and developing templates for data collection and analysis for the PDNA.
- Establishing a central database for information in all PDNA sectors. This database will be housed within the Ministries of Disaster Management or Planning, or the Agency for Recovery and Reconstruction or other relevant ministry that is responsible for conducting the PDNA and coordinating the recovery process. The central database will have information on the standard unit of costs for public infrastructure, labour rates, rates of construction materials, etc. which will help in estimating the costs for reconstruction of all infrastructure.
- Developing standard operating procedures for conducting the assessment, designating the ministry or department leading the assessment and the agencies which need to support the exercise and methodology of collection of data for actual damages, losses and needs. Proposing a methodology for consulting government officials, community leaders and the affected people in conducting the assessment.
- Hiring a team of team of consultants to work with the relevant ministry in each of the 10 countries targeted for this activity.

Activity 2.3.: Provide technical assistance to strengthen institutional arrangements for recovery – including a monitoring mechanism for recovery in ten countries by:

- Working with national governments to review the existing institutional arrangements for recovery, finding the gaps in addressing long term recovery responsibilities and developing a pool of experts for specific roles in recovery. Refer to three important documents-- Guidance Note on National Post-disaster Recovery Planning and Coordination, Guide for

14

Developing Disaster Recovery Frameworks and ASEAN Disaster Recovery Reference Guide for improving recovery preparedness at the national level.

- Providing options for institutional arrangements according to the needs of the country. In certain high risk 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. Constituting a task force within the ministry to lead the work to propose an institutional structure for recovery. Partner with the national governments to support recovery planning and implementation at the level of local governments in certain countries. .

- Setting up a mechanism for monitoring recovery which can be implemented when a large scale disaster recovery programme is undertaken. The project will support the relevant ministry to track the progress of recovery for each sector against a broad set of indicators as well a more specific one for housing reconstruction.

Activity 2.4: Conduct workshops and consultations with key stakeholders to finalize and endorse the guidelines for assessments and institutional arrangements for recovery in ten countries by:

- Taking the PDNA guidelines and Institutional arrangements through a review process with all key stakeholders to seek their inputs, and seek approval of the government.
- Organizing a number of consultations at the technical level as well as at the senior government level to seek endorsement of the two documents. There will be a focus on ensuring that consultations are held at the sub national levels particularly in countries with a federal government system where Disaster Management is treated as a subject by states or provinces.
- Ensuring that consultations will result in a final draft of the PDNA guidelines and institutional arrangements which can be legalized to set up a fully functional unit for recovery funded by the national government.

Activity 2.5.: Project office for technical oversight and implementation

- Capacities to provide technical and administrative support to implement the activities listed under each result.

Output 3: Regional inter-governmental organizations have stand-by capacities to effectively advise and support member states in undertaking assessments and planning recovery.

Rationale: Recognizing that Regional Intergovernmental organizations have a compact and strategy to support member states in responding to disasters and supporting recovery, the capacities of regional intergovernmental will be developed to play its role effectively as advisors to the member states.

Proposed activities include:

Activity 3.1.: Conduct training on post disaster needs assessments and recovery preparedness for 5 regional inter-governmental organizations by:

- Partnering with UN regional Commissions, training institutes, and international organizations to organize training for staff of the Regional Intergovernmental organizations (RIOs) and government officials of member states. This training will focus on the PDNA methodology and add on a training module on Disaster Recovery framework.

- Augmenting capacities of inter-governmental bodies and of member states to undertake post disaster recovery assessments, integrate risks reduction measures in the post disaster recovery programmes, and mobilize resources for recovery, and strengthening international and regional roster of experts in PDNA and recovery Categorize the international and regional roster by specifying roles and subject matter expertise.
- Include innovative approaches to collection of data in PDNA trainings, which include greater use of satellite imagery, and collection of data on damage and loss through UAVs, particularly in remote and difficult to access areas.

Activity 3.2.: Technical assistance to regional inter-governmental organizations to develop plans and recovery frameworks to guide, facilitate assistance and cooperation between member states in the event of a disaster by:

- Drafting regional disaster recovery frameworks which include agreements to prepare for disasters with development of country-based guidelines.
- Establishing a pool of experts in assessment and recovery planning to facilitate conduct of assessments and implement disaster recovery processes, plans and programmes.
- Working closely with the World Bank and the EU in development of these strategies and linking it to existing projects of the EU with the League of Arab States (LAS), Caribbean Disaster Emergency Management Agency (CDEMA), the Caribbean Public Health Agency (CARPHA), and UNDP's work with the Association for South East Asian Nations (ASEAN). Wherever possible, establish partnership with private sector and information technology companies to strengthen the database for recovery.

Activity 3.3.: Project office for technical oversight and implementation

- Capacities to provide technical and administrative support to implement the activities listed under each result.

Output 4: Post Disaster Recovery processes are informed by international best practices and standard tools and guidelines.

Rationale: Recognizing that there is a gap in the knowledge and practice of recovery, this project will support activities to establish guidelines and monitoring frameworks for undertaking recovery of key sectors of the economy. Through these guidelines and systematic training in countries, recovery will be managed very effectively.

The proposed activities include:

Activity 4.1: Develop guidelines with benchmarks to inform and monitor recovery of key sectors of the economy by:

- Developing Indicators and benchmarks for all social, productive, infrastructure and cross-cutting sectors that are currently included in the PDNA guidelines. The guidelines for sector recovery will qualify what it means to reconstruct to disaster resilient standards. This tool will help in the monitoring of sector recovery. Link the indicators and benchmarks to the disaster loss and damage databases wherever available. Improving the existing methods of collecting and compiling data.
- Setting up a platform for monitoring and tracking progress of recovery based on the existing approach in the Disaster Recovery Framework (DRF) guide.

Activity 4.2: Develop a "handbook" for setting up recovery institutions by:

- Collecting case studies on recovery institutions across countries and based on the case studies propose options for institutional arrangements for recovery.
- Including in the handbook, job profiles of key personnel required for the institutions, notes on procedures for disbursement of funds and project approval, notes on procurement of materials, guidance for grievance redress mechanisms, and guidelines for communication with media, public and affected communities.
- Organizing a peer review of the handbook by consulting with a large group of recovery practitioners identified through the partners.
- Basing the handbook on best practices, case studies, and the institutional framework chapter of the Disaster Recovery Framework guide and working closely with the World Bank in the development of the Handbook.

Activity 4.3.: Develop guidelines for community and civil society participation in recovery processes by:

- Defining process which communities and civil society can support the national and local government in implementing recovery. This guide will propose measures to include women and youth voices in recovery projects, in decision making processes as well as in implementation.
- Working in collaboration with UN Women to develop the guidelines.

Activity 4.4.: Develop standard training modules on Post Disaster Recovery planning based on the Disaster Recovery Framework (DRF) guide by:

- Developing a training package for four modules of the Disaster Recovery Framework to complement the PDNA training package, working together with the World Bank and using the experience of the PDNA training modules. The training package for the DRF guide will have two modules: 1) a short introductory course,, and 2) a full course with each of four modules. The DRF training will be run together with the PDNA training. However, it should be noted that these two training packages would be distinct and could be also delivered separately if necessary.

Activity 4.5: Develop a compendium of case studies and best practices on recovery and disseminate them online through websites of IRP, UNDP and GFDRR by:

- Commissioning consultants to document best practices and lessons of past and ongoing recovery efforts from different regions, for both geophysical disasters as well as hydro meteorological disasters. It would include case studies on tsunami recovery, recovery from volcanic eruption, earthquake recovery, floods and landslides, typhoons and other disasters.
- Disseminating the compendium of lessons and best practices in training programmes and through the websites of the International Recovery Platform, UNDP and GFDRR.

Activity 4.6.: Project office for technical oversight and implementation

- Capacities to provide technical and administrative support the implement the activities listed under each result.

C. _Resources required to achieve the expected results of the project:_

Key inputs for the successful implementation of this project include adequate funding, knowledge generation and exchange, innovations and solid partnerships. The expertise available throughout

UNDP (BPPS, Crisis Response Unit), the UN System, EU, World Bank, IRP and a broader group of Recovery Practitioners that the first phase of the PDNA roll out project has nurtured will be channelled for the project. Additionally, the UN regional Commissions and Regional Intergovernmental organizations will also contribute significantly to the implementation of the project.

D. *Partnerships:*

UNDP will work with a range of partners and build up partners' comparative advantages in the area of recovery. One of the main assets driving the agenda on recovery has been the strong collaborative relationship between the various United Nations agencies, World Bank's Global Facility for Disaster Risk Reduction (GFDRR), the European Union, and the International Recovery Platform that have coalesced around its issues.

Partnership with the EU and the World Bank: UNDP has been collaborating with the World Bank and EU 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. The joint partnership between the EU, World Bank and UNDP extends beyond PDNAs and Recovery Frameworks. 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. Furthermore, the WB, EU and UN have worked closely on Post-Conflict Needs Assessments (PCNAs), and a recent review of the PCNAs has led to renewed commitment to such assessments and a renaming to Recovery and Peacebuilding Assessments (RPBAs). These partnerships can be harnessed to support the deliverables of this project.

Partnership with the World Bank: The key partner in the resilient recovery pillar of the 5-10-50 project is the World Bank. UNDP is already working with the Bank in several countries to develop Disaster Recovery Frameworks, jointly training national governments and setting up institutions for Recovery. A good example of this collaboration was 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. The current project will build on the work done jointly in Nepal to support the countries targeted through this project. The two projects will be mutually supportive and reinforce the practice of recovery. The tools and guidelines developed under this project will be shared and utilised to reach a larger audience and countries targeted through the 5-10-50 project.

Partnership with UN agencies: Several **UN Agencies, Funds and Programmes** (FAO, ILO, UNESCO, UNEP, UN HABITAT, UNICEF, UN WOMEN, 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 the capacity building activities and contribute to the development of sector based guidelines for recovery.

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 on recovery.

UNDP will also work with **regional training organizations** for delivery of trainings and with universities and think tanks to develop knowledge products and tools for recovery. The project will also provide opportunities to work with the civil society particularly to draft the guidelines for civil society and community participation in recovery.

E. *Risks and assumptions:*

Risks	Risk level (H/M/L)	Mitigating measures
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 guidelines	M	UNDP is developing 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.
Staff turnover, poor selection of officials within regional intergovernmental organizations (IGO) and national governments will undermine the results of the training efforts.	H	The selection of training participants will ensure critical participation of technical staff from Governments/IGOs since these staff are generally less affected by turnover due to political changes, which normally affects, in particular, senior management. Additionally, a set of criteria will be established to guide the selection of participants to ensure the quality of the process. The PDNA e-learning tool will also contribute to facilitate access to continuous learning and knowledge improvement.
Governments may not provide the space for regional intergovernmental organizations to provide technical support during a disaster.	M	UNDP will use IGOs' trainings also as an opportunity to facilitate dialogue and cooperation between IGOs and their respective member states by inviting a representative from each to participate. Additionally, a UNDP focal point in each country will be appointed to continue the facilitation of such dialogue as needed.
Lack of in-country coordination between the tripartite agencies can impede the implementation of country support components.	L	The tripartite partners (UN, WB, EU) regularly raise awareness of their country offices on the tripartite agreement and related procedures through the PDNA training, dissemination of PDNA brochures and bilateral discussion. Furthermore, the well-established coordination mechanism among partners at HQ level provides an effective back-up for information sharing and coordination should these fail at country level.
Lack of government resources/capacities to establish recovery coordination and monitoring structures in a timely fashion.	M	UNDP will provide timely and consistent technical assistance to support governments to undertake these functions and mobilise resources towards these ends. Concurrently, the in-country roster of experts planned by the project will be an additional resource for required capacities and such a mechanism would ensure the sustainability of the process and reduce the dependency of countries on external resources.

Assumptions
1. Regional inter-governmental organizations have existing strategies, staff and resources to assist national governments in post disaster recovery.   2. National Governments will have sustained interest and provide dedicated team of officials to pursue the development and application of post disaster recovery guidelines.   3. Continued cooperation at global and national level between the tripartite agencies to implement the project.

F. *Stakeholder Engagement:*

The primary stakeholders are national governments and regional inter-governmental organizations in selected high-risk countries/regions. Particular focus will be given to regional organisations having a disaster preparedness, response and recovery as a part of its strategy such as Caribbean Community (CARICOM), South Asia Association for Regional Cooperation (SAARC), Economic Community of West African States (ECOWAS), League of Arab States (LAS), and Secretariat for Pacific Community (SPC). Continued support will be extended to Association for South East Asian Nations (ASEAN), through the Bangkok Regional Hub and to CEPREDENAC through the Panama Regional Hub. If possible other regional entities in East Africa and Arab region may be invited to join trainings in nearby regions. Government officials will also benefit from the training in-country well as from other activities. The project will also include UN, WB and EU officials in trainings at the regional and national levels. The training materials, guidelines, and case studies will be disseminated to a large audience of international development partners.

G. *Knowledge:*

A number of knowledge products will be developed in the context of this project to inform the practice of recovery. Targeted efforts will be put 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:

- Guidance note on conducting Human impact assessments.
- Guidance note on undertaking conflict sensitive PDNA.
- Guidelines for implementing sector based recovery.
- Handbook on Recovery institutions.
- Compendium of case studies with lessons and best practices on 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.

H. *Sustainability and scaling up:*

The project will support sustainability at three levels: within and across UNDP's programmes,projects, and overall disaster recovery portfolio; at the regional intergovernmental level; and at the national level with national governments.

UNDP will link project results to the overall multi-partner DRR programme 5-10-50 and other going projects on recovery preparedness in countries. The documents, guidelines and best practices developed through this project will be disseminated to UNDP country offices for broader application across countries. UNDP will include the PDNA and Recovery preparedness

programme components within ongoing country level Disaster Risk Reduction projects. UNDP has established a network of recovery practitioners, which it will foster through continuous training and deployments for PDNAs.

At the regional level, emphasis will be placed on transferring learning and training modules to regional organizations. It will focus on institutional capacity development of regional entities including regional intergovernmental organizations, UN regional commissions and training institutions, and strengthening the network of recovery practitioners. To the extent possible, PDNA and Recovery Preparedness will be included in the strategies and work plans of regional intergovernmental organizations.

At the country level, systems for conducting assessments and planning recovery will be strengthened. A detailed database as well as interactive and dynamic tools to support policy and programming in the areas of recovery will be supported. Recovery capacities will be institutionalised making it a part of the Government's approach to post disaster recovery. The projects activities will be linked to the National DRR strategies and government's reporting of the commitments to Sendai Framework for Disaster Risk Reduction.

The outputs of this project will also inform and contribute to the results of Priority 4 of the Sendai Framework for Disaster Risk Reduction. 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. A separate communication and visibility plan is developed (ref annex 2) for the project.

The PDNA Rollout Phase II will also contribute to the development of practical linkages between the PDNA and the RPBA methodologies

IV. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)

Cost efficiency and effectiveness achieved through complementarity:

The strategy of project is meant 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 being undertaken by the UNDP, EU, and the World Bank.

In particular, this project will take into account the following programmes/policies

1. ***Development of Post-Conflict and Post Disaster Needs Assessments (PCNA/PDNA) capacity and tools" project implemented by the EU through Particip:*** The project will collaborate with Particip members in seeking their technical assistance in development of guidelines and training packages for recovery planning. The project will consult the EU and Particip members to ensure that the project objectives are aligned with the EU's commitment to crisis response and recovery. Additionally, the project will endeavour to engage EU delegations in country activities to ensure sustainability and linkages with ongoing EU country programmes.

2. ***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.

3. ***Strengthening Crisis Response Capacities of the League of Arab States (LAS) member countries:*** The proposed project aims to build capacities of regional inter-governmental organizations to support countries in post disaster recovery. The project will work with LAS and the UNDP regional office in Amman to ensure that specific modules for

PDNAs and recovery planning are tailored to the regional context and all tools and guidelines disseminated through LAS to its member countries.

4. ***Pre-disaster Recovery Preparedness in Africa:*** The proposed project will contribute to and build on existing Pre Disaster Recovery Preparedness programme implemented in five countries in Africa. The project aims to reinforce recovery management capacities through the revision and strengthening of the institutional, policy and financial frameworks and mechanisms for disaster recovery with institutions. It will also build national and local capacities in the use of PDNA methodology. The pre disaster recovery preparedness project has developed training modules on recovery preparedness which will be further developed under the proposed project.

5. **5-10-50 Project**: The proposed project complements the **5-10-50** flagship program on Disaster Risk Reduction which aims to support 50 countries covering five thematic areas over a period of ten years. One of the five themes of work is "resilient recovery". The project will partner with a number of donors, technical and research institutions to implement its programme on resilient recovery. Efforts will be made to harmonise support to national governments using the tools and guidelines developed by the proposed project to support recovery processes in countries. Additional resources may be leveraged through this programme to complement this project and ensure wider coverage.

6. **Index for Risk Management Initiative**: The proposed project will also align with the Index for Risk Management Initiative (INFORM), a collaborative project of 20 organizations including UNDP and GFDRR with technical contributions from the European Commission's Joint Research Centre(JRC) and financial support from EU's Directorate General for Humanitarian Aid and Civil Protection (ECHO). INFORM global, sub-regional and sub-national risk data mapping and analysis initiatives could serve as a useful secondary data source for the implementation of the PDNA process, particularly in the Latin America and Caribbean region. Synergies between the two projects could also be made in the PDNA capacity building activities.

7. **The Global Crisis Response Support Programme covering the OAS / CARICOM regions:** The project will complement the Global Crisis Response support programme focused on enhancing the early warning of both regional organisations and specifically to strengthen detection and prevention mechanisms such as analytical and early warning systems, the establishment of joint civil defence response plans involving IMPACS, the Regional Security System (RSS), CDEMA, the Caribbean Public Health Agency (CARPHA) and other critical stakeholders.

8. This proposed project is consistent with the aims of the **EC Action Plan for Resilience in Crisis Prone Countries, 2013-2020** Priority interventions 1 (Action 411) as it aims to enhance capacities of ACP governments at national and sub-national levels, and of regional organizations to conduct PDNAs efficiently and to plan, implement and manage post-disaster recovery in a way that promotes risk reduction and builds resilience.

9. The proposed project is also aligned with the **EU Strategy for Supporting Disaster Risk Reduction in Developing Countries**. The activities under this project will contribute to improved preparedness and response by ensuring that countries have the technical capacities and support they need to undertake response and recovery processes (Communication Item 4.5 Strengthen disaster preparedness for effective response at all levels). The proposed project will also contribute to 'Communication Item 4.1. Ensure that DRR is a national and local priority with a strong institutional basis'.

10. The project will ensure strong linkages with ongoing capacity building activities and programmes implemented in countries through the **Global Facility for Disaster Risk**

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[11] "Disaster Resilience in Africa, Caribbean and Pacific" through "Recovery frameworks are delivered following Post Disaster Needs Assessments allowing for improved national development strategies".

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.

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 team also anchors the role of the secretariat for the UNDG's engagement on collaboration with the EU and the World Bank in post-disaster needs assessments. in close liaison with the Crisis Response Unit (CRU) of UNDP The CDT existing project team for the PDNA Roll-Out I (Project Manager and Project Assistant) will continue to manage the project. At regional level, the project will work through the CDT regional teams across the five regions. In-country, UNDP Country Offices will provide the necessary support to the conduct of the trainings. Overall, the project will work in collaboration with staff from UN agencies, the EU and the World Bank at all levels.

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

V. RESULTS FRAMEWORK

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework: Effective recovery processes address underlying disaster and climate change risks and restore pathways to sustainable development

Strategic Plan Outcome - Countries are able to reduce the likelihood of conflict and lower risk of natural disasters including from climate change.
6: Early Recovery and rapid return to sustainable development pathways are achieved in post conflict and post disaster situations

Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:

Applicable Output(s) from the UNDP Strategic Plan:
Output 6.4 Recovery processes reinforce social cohesion and trust and enable rapid return to sustainable development.

V. Result Framework

Expected Outputs	Output Indicators [disaggregated by sex as appropriate and when available]	Data Source and Means of Verification	Base Line 2015	Target 2019	Year 1	Year 2	Year 3	Data Collection, Methods and Risk
Output 1 Improved PDNAs conducted and completed with well-defined recovery frameworks informed by a comprehensive assessment of human impacts and social issues.	1.1 Methodology for conducting human impacts assessments reinforced with tools and guidelines for data collection, conducting household level surveys and analysing data and applied in PDNAs after its completion.	PDNA reports and guidance available on UNDP website	0	1	1			Risks Identified relate to the following issues and are further described in section E of this document, including mitigation actions: • National Governments do not maintain interest in developing and sustaining PDNA capacities and upholding the expert roster. • National Governments do not provide dedicated team of officials to pursue development and application of post disaster
	1.2. Tools for undertaking a conflict sensitive PDNA developed, disseminated and applied in PDNAs	PDNA reports and guidelines available on websites	0	1	1			
	1.3. PDNAs reviewed to evaluate effectiveness against two indicators: Recovery frameworks, and the number of Recovery Interventions.	Government Recovery frameworks and UN documents	0	1			1	

								recovery guidelines.
	1.4 Guidelines and other knowledge products printed, disseminated and used by governments and partners to plan and implement recovery.	IRP and UNDP websites	0			1	1	
	1.5 Technical oversight for [12]implementation provided.	Progress and financial reports	0	3	1	1	1	
Output 2 Recovery processes are managed by national institutions and systematically implemented to reduce risks to future disasters.	2.1. Number of countries trained in PDNA methodologies and Recovery frameworks and conduct assessments with minimal international support..	Training reports	12	22	4	4	2	
	2.2. Number of countries develop guidelines and tools for PDNAs and recovery frameworks and conduct PDNAs confirming to guidelines and tools.	Guidelines and tools available, financial support	10	20	3	4	3	
	2.3 Number of countries assisted to set up recovery institutions and monitoring mechanisms for recovery.	Reports from countries	10	20	3	4	3	
	2.4 Number of countries /governments that endorse PDNA guidelines and institutional arrangements for recovery.	Reports from countries	10	20	2	4	4	
	2.5 Technical oversight for implementation provided.	Progress and financial reports	0	3	1	1	1	
Output 3 Regional inter-governmental organizations have stand-	3.1. Number of Regional Intergovernmental organizations trained to conduct PDNAs and have recovery preparedness plans/recovery frameworks.	UNDP Training reports	6	11	1	2	2	• Regional inter-governmental organizations do not have existing strategies, staff and resources to assist national governments in post

12 Requirement by EU to include technical oversight as an activity and budget for project management costs under this activity. Repeated against each output.

by capacities to effectively advise and support member states in conducting assessments and planning - implementing recovery	3.2. Number of Regional Intergovernmental organizations with recovery framework to guide and facilitate cooperation between member states in the event of a disaster.	Strategy documents of Regional Intergovernmental organizations	0	5	1	2	2	disaster recovery.
	3.3 Technical oversight for implementation provided.	Progress and financial reports	0	3	1	1	1	
Output 4 Post Disaster Recovery processes are informed by international best practices and standard tools and guidelines.	4.1 Guidelines and benchmarks developed to monitor progress against key sectors of the economy (3 social sectors, 1 productive sector; 3 cross cutting sectors).	UNDP & UN agencies reports and websites	0	1			1	• Reduced cooperation at global and national level between the tripartite agencies to implement the project.
	4.2 Handbook for setting up institutions for recovery drafted and launched.	Handbook available and disseminated	0	1			1	
	4.3 Guidelines on community and civil society participation in PDNA and recovery processes developed, launched. Increased participation of Civil society groups in PDNAs	Guideline available and disseminated	0	1	1			
	4.4 Standard training modules developed on the basis of four modules of the Disaster Recovery Framework (DRF) guide.	WB and UNDP make use of the training package	0	1	1			
	4.5 Compendium of case studies and best practices on recovery documented and disseminated through websites of UNDP, IRP and GDDRR.	Websites of UNDP, IRP and GFDRR	0	1			1	
	4.6 Technical oversight for implementation provided.	Progress and financial reports	0	3	1	1	1	

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/ log frame 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.

The European Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the European Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

In accordance with the programming policies and procedures outlined in the UNDP's National Implementation Modality Manual, the programme will be regularly monitored through the following:

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Pogress 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.	Report on progress done twice a year	- Progress data against results indicators in the RRF will be collected and analysed. - Slower than expected progress will be addressed by project management.	UNDP partners (Country Offices, relevant BPPS teams, Global Centres, Regional Bureaus, Regional Hubs, Evaluation Office, Human Development Report Office, others as required)	Project Management Team
Monitor and Manage Risk	- 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.	Ongoing, at least quarterly	- Risks will be 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. - Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	UN partners: IANYD members, UNCTs, DOCO, and others as relevant. External partners will also be consulted as deemed necessary by project team and project board.	Project Management Team

	Description	Frequency	Expected Action	Partners (if joint)
Learn	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.	Ongoing, at least annually	Relevant lessons are captured by the project team and used to inform management decisions.	Project Management Team, BPPS Recovery Advisor and Program Analyst
Project Quality Assurance	Assess the quality of the project 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 the overall quality of project performance.	Project Management Team, BPPS Recovery Advisor and the Recovery Team
Review and Make Course Corrections	Make use of internal review of data and evidence from all monitoring actions to inform decision making throughout project lifetime.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	Project Management Team, BPPS Recovery Advisor and the Recovery Team
Project Report	Present a progress report to the Project Board and key stakeholders, including progress data showing the results	Twice a year and at the end of the project (final report)	A progress report will be presented to the project board and other stakeholders, which will consist 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.	Project Management Team
Project Review (Project Board)	Oversee and ensure the quality of the project and of results achieved, to ensure realistic budgeting and to promote project results/lessons learned.	Annually	The project board will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to	Project Management Team, BPPS Recovery Advisor and

	the Recovery Team
	- 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.
	- 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

Evaluation Title	Related Strategic Plan Output	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
End of project evaluation	5 and 6	December 2018	UNDP HQs, Regional Teams and country teams UN partners: UN agencies, EU, Global Facility for Disaster Risk Reduction (GFDRR World Bank) National Governments and Regional Intergovernmental organizations directly benefiting from the project.	EUR 20K Source: Project Funding

VII. MULTI-YEAR WORK PLAN

RESULTS	ACTIVITY	Account Code	Budget Description	Budget in USD			TOTAL Budget
				year 1	year 2	year 3	
Result 1: Improved PDNAs conducted and completed with well-defined recovery frameworks informed by a comprehensive assessment of human impacts and social issues:	1.1 Refine human impact assessments (household questionnaires, guidelines for data collection and tools for data analysis;)	71200	**International Consultants** (3.5 months of a senior international consultant @EUR 10k/month)	37,170.00	-	-	37,170.00
	1.2 Develop tools for integrating conflict sensitivity into PDNA, based on existing tools and materials developed by UNDP and EU.	71200	**International Consultants** (3.5 months of a senior international consultant @EUR 10k/month)	37,170.00	-	-	37,170.00
	1.3. Review PDNAs conducted in project lifetime to assess: if it resulted in a DRF formulation, scope of DRF and amount of funds raised through PDNA.	71200	**International Consultants** (2 months of a senior international consultant @EUR 10k/month)	-	-	21,240.00	21,240.00
		71600	**Travel** (5 missions for the consultants in 1.1, 1.2 & 1.3 to meet/consult with partners and evaluate selected PDNAs on the ground @ EUR 2700 per mission)	-	-	14,337.00	14,337.00
	1.4 Printing, translation and dissemination	74210	**Printing** (the guidelines, tools and sound practices from 1.1, 1.2 & 1.3 @ EUR 5k/each)	-	15,930.00	-	15,930.00
		74220	**Translation** (Translation into Spanish and French of the guidelines, tools and sound practices from 1.1, 1.2 & 1.3 @ USD 5k/each)	-	15,930.00	-	15,930.00
	1.5 Project Office: Technical oversight and implementation	71100	**Project Staff** (25% of a Project Manager and a Financial Assistant for an estimated of 10.6 months)	66,633.36	-	-	66,633.36
Total Result 1				140,973.36	31,860.00	35,577.00	208,410.36

Result 2: Recovery processes in countries are managed by national institutions and systematically implemented to reduce risks to future disasters:					
2.1. Organize PDNA and DRF trainings in 10 additional countries to develop capacities on assessment and recovery planning.	71200	**International Consultants** (a five day training including daily fees for 3 int. consultant for 10 countries: 5 days * EUR 500/day * 10 countries * 3 consultants)	31,860.00	31,860.00	15,930.00	79,650.00
	71300	**Local Consultants** (a five day training including daily fees for 3 Nat'l. consultant for 10 countries: 5 days * EUR 300/day * 10 countries * 3 consultants)	19,116.00	19,116.00	9,558.00	47,790.00
	71600	**Travel** (3 international consultants per training in 10 countries @ EUR 2000/consultant including DSA)	25,488.00	25,488.00	12,744.00	63,720.00
	72100	**Contractual services** (5 day training for 40 participants on average @EUR 35/day in 10 countries: 5 days*EUR 40*35/day *10 countries)	29,736.00	29,736.00	14,868.00	74,340.00
	72500	**Stationary and Supplies** (considering 4 Wksps in years 1 and 2; and 2 Wksps in year 3 according to the action plan) EUR 1000/Wkshp	4,248.00	4,248.00	2,124.00	10,620.00
2.2. Provide technical assistance to adapt PDNA and DRF guidelines and tools to national context in 10 countries.	71200	**International Consultants** (30 days *EUR 500/day *10 countries; 3 countries in years 1 and 3; and 4 countries in year 2 according to the action plan)	47,790.00	63,720.00	47,790.00	159,300.00
	71300	**Local Consultants** (30 days *EUR 300/day *10 countries; 3 countries in years 1 and 3; and 4 countries l year 2 according to the action plan)	28,674.00	38,232.00	28,674.00	95,580.00

Budget Code	Description				
71600	**Travel** (one international consultant per country @ EUR 2200 on average including DSA; 3 countries in years 1 and 3; and 4 countries l year 2 according to the action plan)	23,364.00	7,009.20	9,345.60	7,009.20
72100	**Contractual services** (1 day consultation for 40 participants on average @EUR 35/day in 10 countries : **1 day*40 participants*EUR 35/day *10 countries**; 3 countries in years 1 and 3; and 4 countries l year 2 according to the action plan)	14,868.00	4,460.40	5,947.20	4,460.40
72500	**Stationary and Supplies** (considering 3 countries in years 1 and 3, and 4 countries in year 2, according to the action plan)	10,620.00	3,186.00	4,248.00	3,186.00
74210	**Printing** (nationalized PDNA and DRF guides will be published and shared estimated @EUR 5000 per country; 3 countries in years 1 and 3, and 4 countries in year 2, according to the action plan)	53,100.00	15,930.00	21,240.00	15,930.00
71200	**International Consultants** (a one month consultant fees per country; 30 days *EUR 500/day *10 countries)	159,300.00	47,790.00	63,720.00	47,790.00
75700	**Contractual services** (1 day consultation for 40 participants on average @EUR 35/day in 10 countries: **1 day*EUR 40*35/day *10 countries**)	14,868.00	5,947.20	5,947.20	2,973.60
71100	**Project Staff** (25% of a Project Manager and a Financial Assistant for an estimated of 10.6 months)	-		-	66,633.36

2.3. Provide technical assistance to strengthen institutional arrangements for recovery – including the M&E mechanisms in 10 countries.
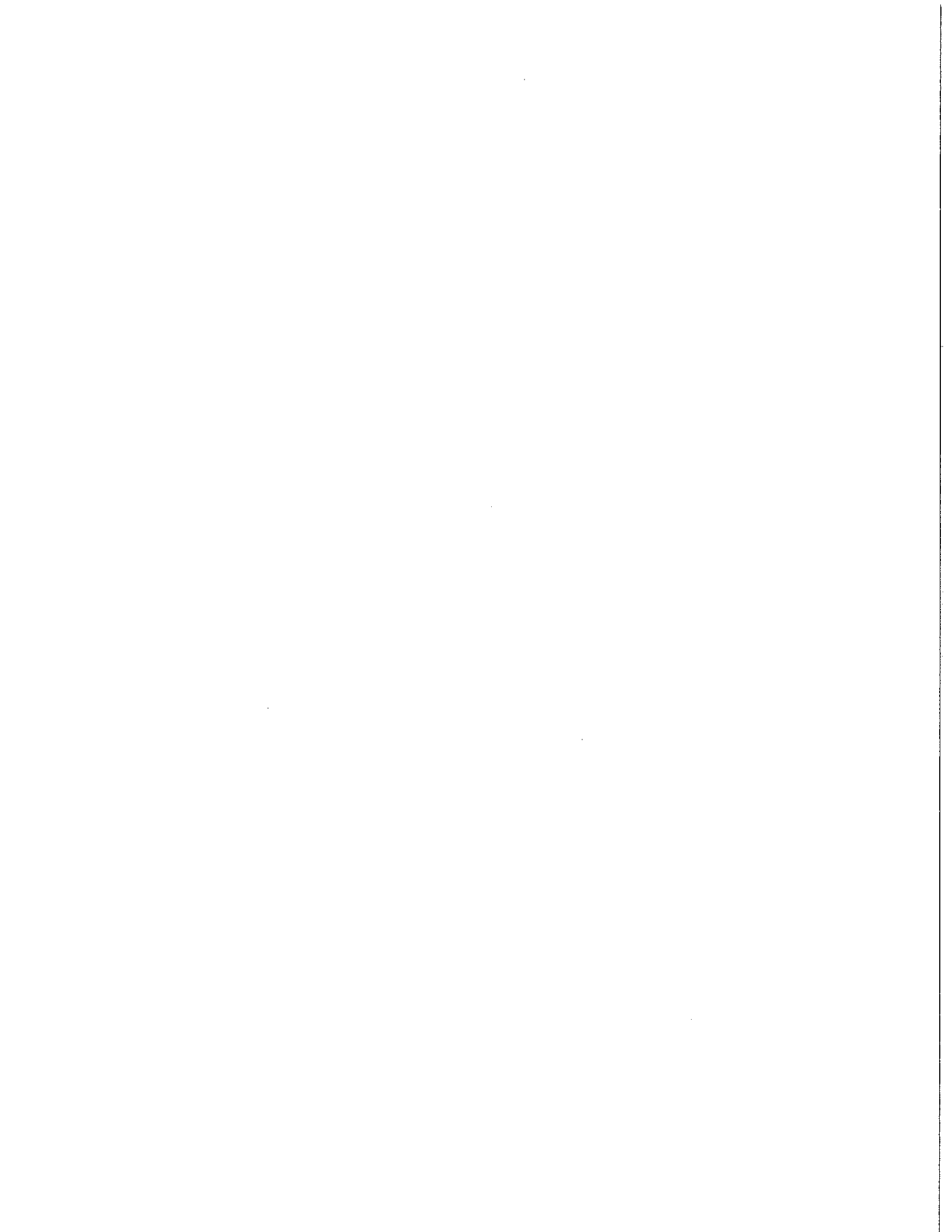
2.4 Conduct workshops and consultations with key stakeholders to finalize and endorse the guidelines for assessments and institutional arrangements for recovery in 10 countries.

2.5 Project Office: Technical oversight and implementation

Result 3: Regional inter-governmental organizations have stand by capacities to effectively advice and support member states in planning and implementing recovery.			334,894.56	322,848.00	216,010.80	873,753.36
Total Result 2						
3.1. Conduct training on post disaster needs assessments and recovery preparedness for 5 regional inter-governmental organizations; participants to the training are delegates from the member states belonging to the specific IGO, local participants are members of the Secretariat of the IGO, for example 12 countries in UNASUR, XX countries in CEPREDENAC, XX counties in ASEAN, etc.)	71200	**International Consultants** (a five day training including daily fees for 3 int. consultant for 5 IGOs: 5 days * EUR 500/day * 5 IGOs * 3 consultants; 1 IGO in the first year and 2 in years 2 and 3)	7,965.00	15,930.00	15,930.00	39,825.00
	71300	**Local Consultants** (a five day training including daily fees for 3 national consultant for 5 IGOs: 5 days * EUR 300/day * 5 IGOs * 3 consultants; 1 IGO in the first year and 2 in years 2 and 3)	4,779.00	9,558.00	9,558.00	23,895.00
	71600	**Travel** (35 participants per training for each IGO @ EUR 1000/travel: 35 participants * EUR 1000/participant * 5 IGOs, this includes delegates from member states and the IGO secretariat; 1 IGO in the first year and 2 in years 2 and 3)	37,170.00	74,340.00	74,340.00	185,850.00
	72100	**Contractual services** (5 day training for 35 participants on average @EUR35/day in 5 IGOs: 5 days*EUR 35*35/day *5 IGOs; 1 IGO in the first year and 2 in years 2 and 3)	6,504.75	13,009.50	13,009.50	32,523.75
	72500	**Stationary and Supplies** (considering 1 IGO in year 1; 2 IGOs in year 2 and 2 IGOs in year 3 as per the action plan) EUR 1000/Wkshp	1,062.00	2,124.00	2,124.00	5,310.00

Activity / Output	Account	Budget Note				
3.2. Provide technical assistance to regional IGOs to facilitate assistance and cooperation between member states in the event of disasters. (build on existing cooperation strategies and plans.)	71200	**International Consultants** (1 month of a senior international consultant per IGO @EUR 10k/month; 1 IGO in the first year and 2 in years 2 and 3)	10,620.00	21,240.00	21,240.00	53,100.00
	71300	**Local Consultants** (1 month of a senior national consultant per IGO @EUR 6k/month; 1 IGO in the first year and 2 in years 2 and 3)	6,372.00	12,744.00	12,744.00	31,860.00
	71600	**Travel** (5 international consultants traveling to the IGO's Secretariat location @ EUR 2700/trip; 1 IGO in the first year and 2 in years 2 and 3	2,867.40	5,734.80	5,734.80	14,337.00
3.3 Project Office: Technical oversight and implementation	71100	Project Staff (25% of a Project Manager and a Financial Assistant for an estimated of 10.6 months)	66,633.36	-	-	66,633.36
Total Result 3			143,973.51	154,680.30	154,680.30	453,334.11
Result 4: Post Disaster Recovery processes are informed by international best practices and standard tools and guidelines;						
4.1. Develop guidelines with benchmarks to inform and monitor recovery of key sectors of the economy. PDNA comprises 18 sector specific guides that need to be further developed to monitor recovery implementation in support of the DRF.	71200	**International Consultants** (In this initial phase, 5 key sectors will be completed. One consultant per sector working **34 effective days of work.**	-	45,135.00	45,135.00	90,270.00
4.2. Develop "Handbook" for setting up recovery institutions.	71200	**International Consultants** (1 international consultant for 2 months with experience in Governance/Institutional Setting and Coordination @ EUR 10k/month)	-	-	21,240.00	21,240.00
4.3. Develop guidelines for community and civil society participation in recovery processes.	71200	**International Consultants** (1 international consultant for 2 months with experience in CB processes @ EUR 10k/month)	21,240.00	-	-	21,240.00

Activity	Budget Code	Total			
4.4. Develop standard training modules on Post Disaster Recovery planning based on the DRF guide.	71200	**International Consultants** (1 international consultant for 2 months with experience in CB processes @ EUR 10k/month)	21,240.00	-	21,240.00
4.5. Develop a compendium of case studies and best practices on recovery and disseminate them online through websites of IRP, UNDP and GFDRR.	71200	**International Consultants** (2 international consultants for 2 months with experience in recovery @ EUR 10k/month)	42,480.00	42,480.00	-
	74220	**Translation** (Handbook, guidelines, training modules, case studies from 4.1, 4.2, 4.3, 4.4, 4.5 need to be translated into Spanish and French and disseminated)	26,550.00	13,275.00	13,275.00
Visibility and Communication	71200	**International Consultants** (a 2 month international consultant with experience in CB processes @ EUR 10k/month)	21,240.00	10,620.00	5,310.00
Project Evaluation	71200	**International Consultants** (a 2 month international consultant with experience in CB processes @ EUR 10k/month)	21,240.00	21,240.00	-
4.6 Project Office: Technical oversight and implementation	71100	**Project Staff** (25% of a Project Manager and a Financial Assistant for an estimated of 10.6 months)	66,633.37	-	66,633.37
Total Result 4		332,133.37	153,990.00	63,720.00	114,423.37
Total Direct Costs		1,867,631.21	560,258.10	573,108.30	734,264.81
Total Indirect Costs (7% of total eligible costs)		107,688.79	35,896.27	35,896.26	35,896.26
Grand Total		1,975,320.00	596,154.37	609,004.56	770,161.07

VIII. 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;

- **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 on Strengthening Capacities for PDNA and Recovery Preparedness. UNDP will be solely accountable to the donors for the project. The project will be implemented jointly (DIM) by UNDP's Bureau for Policy and Programme Support (BPPS) and Crisis Response Unit (CRU) in HQ, in consultation with donors and other partners. 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) and senior suppliers (main donor, CRU, UNDP regional focal points). 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 Manager, and the oversight of the BPPS Chief of Profession for Climate Change and Disaster Risk Reduction Cluster.
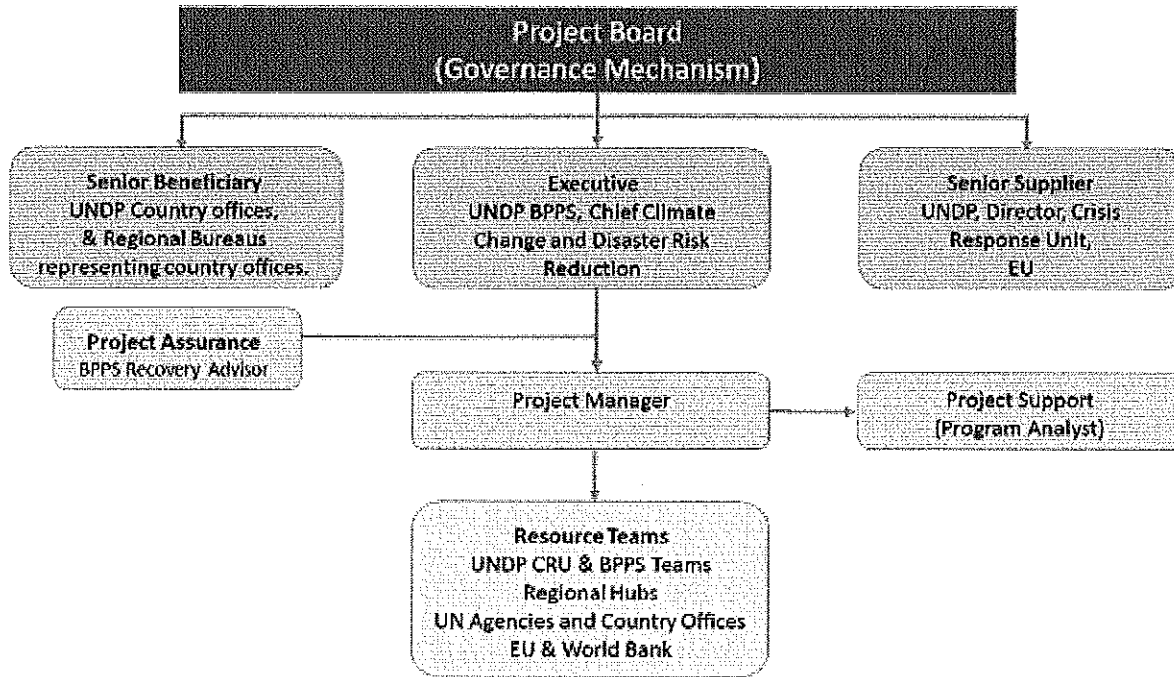
Policy, programming, and knowledge management will be delivered by the Recovery Team of the CDT Cluster. The Recovery team of CDT cluster together with CRU will also liaise on country-level support with the regional specialists in the Regional Service Centres/Hubs. Regional support will be delivered through the respective Regional Bureaux and/or Hubs of UNDP: the Regional Bureau for Africa, the Regional Bureau for Asia and the Pacific, the Regional Bureau for Arab States, the Regional Bureau for Europe and CIS and the Regional Bureau for Latin America and the Caribbean. 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 Manager.

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 Manager 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 Bureaus to support the trainings as and when required.

In addition to UNDP's internal management arrangements, the Steering Committee (SC) established for the PDNA Roll Out I will continue to provide oversight of the current phase II of the project. The SC, which

comprises representatives from the three partners, will be responsible for decisions related to all joint activities to be undertaken through the project. Bi-annual meetings of the SC would be held to review the project progress.

Project Board
(Governance Mechanism)

Senior Beneficiary
UNDP Country offices,
& Regional Bureaus
representing country offices.

Executive
UNDP BPPS, Chief Climate
Change and Disaster Risk
Reduction

Senior Supplier
UNDP, Director, Crisis
Response Unit,
EU

Project Assurance
BPPS Recovery Advisor

Project Manager

Project Support
(Program Analyst)

Resource Teams
UNDP CRU & BPPS Teams
Regional Hubs
UN Agencies and Country Offices
EU & World Bank

- A Project Steering Committee (PSC) with representatives from the European Union and the World Bank will guide the project implementation as required. The Chief of Profession CDT will represent UNDP in the Project Steering Committee.
- The PSC meets virtually once every six months to assess progress and road blocks of the project.

IX. LEGAL CONTEXT AND RISK MANAGEMENT

LEGAL CONTEXT

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 SBAAs 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 the United Nations Development Programme (UNDP) 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

1. The responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. The Implementing Partner shall: (a) 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; (b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan. 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 this agreement.

2. The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document 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. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

3. Consistent with UNDP's Programme and Operations Policies and Procedures, 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. The Implementing Partner shall: (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.

X. ANNEXES

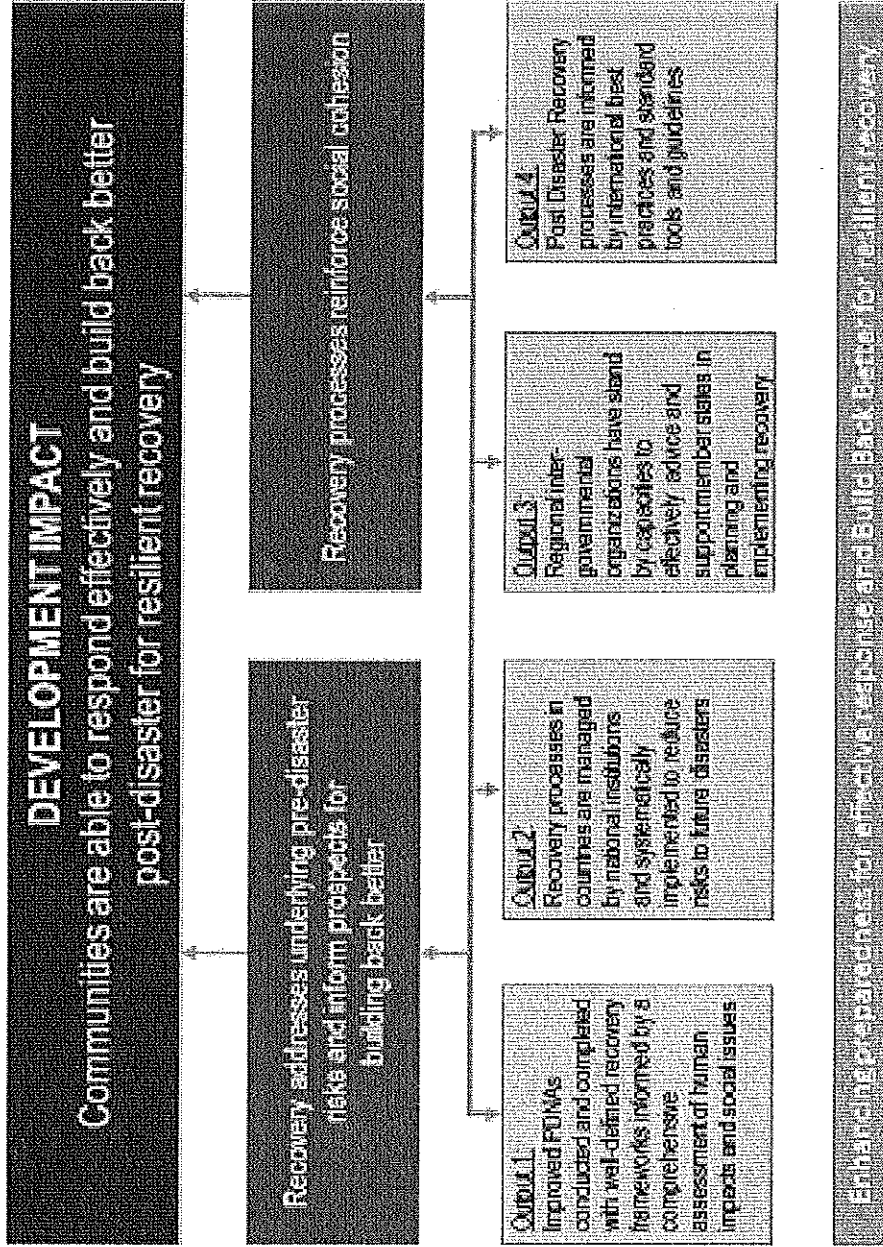Annex 1 – Theory of Change Diagram
Annex 2 – External Communication and Visibility Plan
Annex 3 – Social, Environmental Screening Template
Annex 4 – Risk Log

Annex 1

THEORY OF CHANGE – Diagram

DEVELOPMENT IMPACT

Communities are able to respond effectively and build back better post-disaster for resilient recovery

Recovery addresses underlying pre-disaster risks and inform prospects for building back better

Recovery processes reinforce social cohesion

Output 1
Improved PDNAs conducted and completed with well-defined recovery frameworks informed by a comprehensive assessment of human impacts and social issues

Output 2
Recovery processes in countries are managed by national institutions and systematically implemented to reduce risks to future disasters

Output 3
Regional inter-governmental organizations have stand by capacities to effectively advance and support member states in planning and implementing recovery

Output 4
Post Disaster Recovery processes are informed by international best practices and standard tools and guidelines

External Communication and Visibility Plan

1. Objective

The overall communication objective for the External Communication and Visibility Plan is to provide appropriate visibility to the project and accurately communicate the project's objectives and progress, to a diverse range of groups which include Regional Intergovernmental organizations, National Governments, the World Bank, UN agencies and a range of stakeholders both public and private that are engaged in post disaster recovery. The communication and visibility plan also aims to reach out to European Union Delegation in the countries. The Communication and Visibility plan will pay due attention to regional differences, gender and linguistic representation of audiences. For each major event, communications consultant will be hired to ensure that consistent efforts are made to reach out to all target audiences with key messages on the project efforts.

For the purpose of this project, the target groups for the External Communication and Visibility Plan have been broadly categorised as follows:

i. *End Beneficiaries*, ie National Governments, Regional Intergovernmental organizations with the objective of being informed of the main objectives, progress and outcomes of the project that is funded by EU;
ii. *Opinion Makers* (regional and international stakeholders including the media, key influencing people in the Governments, parliamentarians, CSOs), with the objective of being informed of the context, result areas and activities for the project, as well as EU support in the sector to promote and strengthen post disaster recovery assessment, planning, implementation capacities in high risk countries;
iii. *Key Stakeholders* (national and International), to be informed of key results and the impact of the EU support together with the successes and best practices emanating from the project; and
iv. *Development community and donors* with the intention of highlighting key achievements of the project made possible through the support of the EU.

2. Communication Activities

The main set of activities proposed to be carried out under the External Communication and Visibility Plan are:

a. Press releases: In support of key activities and milestones of the project, i.e. training programmes the project will issue press releases to mainstream media outlets. It will be uploaded in the implementing agencies' websites and social media pages which have an outreach to the relevant department's Government websites.

b. Social Media: In addition to the press releases, UNDP will use twitter and its facebook pages to widely disseminate the news about ongoing PDNA and training exercises. In regular intervals, UNDP will request relevant country staff to write blogs on the successful application of the training in countries with the support of regional intergovernmental organizations. UNDP twitter messages reach a wide range of audiences and professionals engaged in disaster response, recovery, climate change adaptation, bio diversity. UNDP has established a LinkedIn group for the PDNA practitioners. It will use this platform to share and disseminate information on PDNAs and the practice of recovery.

c. Information and Communication Materials: The project will produce a number of new guidelines and a handbook for establishing institutions for Recovery. All documents produced through the project will be launched and disseminated widely through international conferences and workshops. EU logo will be prominently displayed in all publications and communication materials. A note acknowledging the financial support of EU in production of the document will be included in all publications. Communications materials will include brochures or flyers to promote the guidelines and handbook.

d. Website: UNDP will share project results, documents and information on events on their websites at the country level and in the global level. It will be displayed in multiple webpages of UNDP (Crisis Response and Recovery page, Climate and Disaster team webpage, UNDP's Recovery Portal) to facilitate easy access to UNDP and UN country and other stakeholders for use. All materials will also be displayed in the IRP website. These sites will be used to highlight the project's successes and support from the EU. The project will undertake production and dissemination of multiple case studies and best practices on recovery and disseminate online through UNDP, IRP and GFDRR websites. These case studies would also be available as part of the project's formal reporting process. These case studies and best practices will serve international target audiences, including the development community and donors.

e. Integration with project implementation: The external communication and visibility will be closely linked with key stages in project intervention so that project activities and initiatives are regularly feeding into its contents and material development. UNDP will draft key messages around the project activities and share with implementing countries for dissemination.

No	Activity	Output	Key Audiences	Timeline
1.	Issue of a press release in trainings at the regional and country level. Sharing information through twitter and on websites.	One press release, national media	Government officials, international agencies and donors.	During trainings and workshops.
2.	Production and dissemination of multiple case studies and best practices in recovery through websites and social media of UNDP, IRP and GFDRR.	A total of 10 postings, on UNDP websites and IRP websites	PDNA and Recovery practitioners. International agencies and donors.	At different stages of the project
3.	Production and dissemination of one factsheets, brochures and promotional materials through the websites of UNDP, IRP and GFDRR.	Two factsheets and two brochures produced in the duration of the project.	Development partners CSOs Government counterpart	At different stages of the project

No	Activity	Output	Key Audiences	Timeline
4.	Launch of guidelines for human impacts, integration of conflict sensitivity in PDNA, planning and implementing sector recovery and handbook on institutional arrangements for recovery in international conferences that are organised through the 3-year duration of the project.	Four guidelines and one handbook to be launched. Information on the launch will be widely disseminated through press releases, and in social media.	NGOs & CSO's Media Governments Regional Intergovernmental organizations	Two launches and media campaign around it.
**Total Cost EUR 20 K**			

ANNEX 3. SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE

Project Information

Project Information	
1. Project Title	STRENGTHENING CAPACITIES FOR POST DISASTER NEEDS ASSESSMENT AND RECOVERY PREPAREDNESS
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 and regional capacities for the assessment of recovery needs and the formulation of recovery processes that contribute to building resilience of the affected populations. This approach emphasizes the need of analysing the short, intermediate and long term consequences of these damages in the provision and access to basic services to the affected populations, in order to assure a recovery process that reduces the existing vulnerabilities and enhances resilience capacities of the communities.

In this regard, the in planning of recovery strategies, the key underlying principles promoted are protection of vulnerable communities and adherence to core humanitarian principles of impartiality and neutrality, the rights of the communities affected are addressed.

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

The project will develop a number of new guidelines on post disaster recovery. In the development of the guidelines, gender issues will be clearly addressed in the guidelines to ensure that post disaster assessments and recovery planning promote the active participation of women and men in their differentiated capacities.

In each PDNA training, a separate session on undertaking a gender analysis is organised, with expertise from UN Women contributing to the sessions. The standard training modules have incorporated gender issues in all the materials. This emphasis has already resulted in each PDNA having a separate gender analysis in addition to addressing it as one of the cross cutting issue in each sector assessment.

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

The project seeks to build national and regional capacities to assess environmental impacts in disasters. Environment is one of the important cross cutting issue which is addressed in the PDNA. Therefore, each PDNA training includes a session on conducting an environmental impact assessment and how post disaster reconstruction can be undertaken in an environmentally sensitive manner.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? _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._	QUESTION 3: What is the level of significance of the potential social and environmental risks? _Note: Respond to Questions 4 and 5 below before proceeding to Question 6_			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)?
Risk Description	**Impact and Probability (1-5)**	**Significance (Low, Moderate, High)**	**Comments**	_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._
Risk 1: ….	I = P =			
[add additional rows as needed]				

QUESTION 4: What is the overall Project risk categorization?		
"No Risks Identified"	Select one (see SESP for guidance)	
	Low Risk	X
	Moderate Risk	☐
	High Risk	☐

QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
Check all that apply		**Comments**
Principle 1: Human Rights	X	This project mainly focuses in developing regional, national and local government capacities to undertake post disaster needs assessment (PDNA) and develop recovery plans. Having a capacity building and knowledge management focus, the project will not have any direct "physical" benefits to deliver to communities.
Principle 2: Gender Equality and Women's Empowerment	X	
1. Biodiversity Conservation and Natural Resource Management	X	

2. *Climate Change Mitigation and Adaptation*	X	In its training strategy however, it will invest highly in sensitizing the government officials in addressing the issues of gender, human rights, environment, displacement, etc.. The training modules of the project will strengthen national and local government capacities to undertake assessment in each sector where issues of gender, environment, cultural heritage, human impacts on communities including their participation, rights and entitlements are discussed. One module of the PDNA training is on planning recovery strategies. This module makes sure that these issues taken into consideration when planning recovery strategies.
3. *Community Health, Safety and Working Conditions*	X	
4. *Cultural Heritage*	X	
5. *Displacement and Resettlement*	X	
6. *Indigenous Peoples*	X	
7. *Pollution Prevention and Resource Efficiency*	X	The project does not have components that implement any large infrastructure construction, nor does it work directly with communities.

45

Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		**Answer (Yes/No)**
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? [13]	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?	NA
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	NA
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	NA
Principle 2: Gender Equality and Women's Empowerment		
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?	NA
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? *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*	NA
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	NA

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[13] 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.

	For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes	
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 proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	NA
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)	NA
1.4	Would Project activities pose risks to endangered species?	NA
1.5	Would the Project pose a risk of introducing invasive alien species?	NA
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	NA
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	NA
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	NA
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	NA
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	NA
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? *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.*	NA
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant[14] greenhouse gas emissions or may exacerbate climate change?	NA
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	NA
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)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	NA
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	NA
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)?	NA
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)	NA
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes,	NA

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[14] In regards to CO_2, '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.]

		subsidence, landslides, erosion, flooding or extreme climatic conditions?	
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)?	NA
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?	NA
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)?	NA
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)?	NA
Standard 4: Cultural Heritage			
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)	NA
4.2		Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	NA
Standard 5: Displacement and Resettlement			
5.1		Would the Project potentially involve temporary or permanent and full or partial physical displacement?	NA
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)?	NA
5.3		Is there a risk that the Project would lead to forced evictions?[15]	NA
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?	NA
Standard 6: Indigenous Peoples			
6.1		Are indigenous peoples present in the Project area (including Project area of influence)?	NA
6.2		Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	NA
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)? *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.*	NA
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?	NA
6.5		Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	NA
6.6		Is there a potential for forced eviction or the whole or partial physical or economic displacement of	NA

[15] 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.

	indigenous peoples, including through access restrictions to lands, territories, and resources?	
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	NA
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	NA
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?	NA
Standard 7: Pollution Prevention and Resource Efficiency		
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?	NA
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	NA
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? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	NA
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	NA
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	NA

Final Sign Off

Signature	Date	Description
QA Assessor		Krishna Vatsa, Recovery Advisor.
QA Approver		Jo Scheuer, Director, Climate Change and Disaster Team
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

Annex 4: Risk Log

Project Title:	Strengthening Capacities for Post Disaster Needs Assessment and Recovery Preparedness (PDNA Roll Out II)	Award ID:		Date:				

#	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.	23-10-2016	Strategic	Governments may not appreciate the need for recovery preparedness and may not dedicate staff to develop recovery guidelines P=2; I=4	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 Manager and Administrative assistant			
2	Staff turnover, poor selection of officials within regional intergovernmental organizations ((GO) and national governments will undermine the results of the training efforts.	23-10-2016	Operational Financial	National teams may not be available to undertake post disaster needs assessment and additional resources may be needed to train new comers. P=5; I=5	Selection of training participants will ensure critical involvement of technical staff from Governments/IGOs since these staff are generally less affected by turnover due to political changes, which normally affects, in particular, senior management. A set of criteria will be established to guide the selection of participants to ensure quality of the process. The PDNA e-learning tool will also contribute to facilitate access to continuous learning and knowledge improvement.	Project Manager and Administrative assistant			
3	Governments may not provide the space for regional intergovernmental organizations to deliver technical support during a disaster.	23-10-2016	Strategic Operational	IGOs can help promote harmonized assessment procedures and methodologies, lack of acceptance from member countries could delay the process as additional dialogue and advocacy may be required. P=2; I=3	UNDP will use IGOs' trainings also as an opportunity to facilitate dialogue and cooperation between IGOs and their respective member states by inviting a representative from each to participate. A UNDP focal point in each country will be appointed to continue the facilitation of such dialogue as needed.	Project Manager and Administrative assistant			
4	Lack of in-country coordination between the tripartite agencies can impede the implementation of country support components.	23-10-2016	Organizational	Country Offices from the UN and other development partners may not have a full understanding of the procedures and mechanisms available for a joint response to the countries, which may delay launching of agreed procedures. P=1; I=4	The tripartite partners (UN, WB, and EU) regularly raise awareness of their country offices on the tripartite agreement and related procedures through the PDNA training, dissemination of PDNA brochures and bilateral discussion. A well-established coordination mechanism among partners at HQ level provides an effective back-up for information sharing and coordination should these fall at country level.	Project Manager and Administrative assistant			

| 5 | Lack of government resources/capacities to establish recovery coordination and monitoring structures in a timely fashion. | 23-10-2016 | Operational Financial | Setting up institutional frameworks and coordination structures within countries tend to be lengthy and require additional human and financial resources not contemplated.

P=2.5; I=5 | UNDP will provide timely and consistent technical assistance to support governments to undertake these functions and mobilise resources towards these ends. Concurrently, the in-country roster of experts planned by the project will be an additional resource for required capacities and such a mechanism would ensure the sustainability of the process and reduce the dependency of countries on external resources. | | | Project Manager and Administrative assistant | |