United Nations Development Programme

UNDP Policy on
Early Recovery

Bureau for Crisis Prevention and Recovery

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Contents

List of abbreviations

AIDS	Acquired immune deficiency syndrome
BCPR	Bureau for Crisis Prevention and Recovery (UNDP)
BDP	Bureau of Development Policy
BOM	Bureau of Management
BP	Bureau of Partnerships
CAP	Consolidated Appeal Process
CBO	Community based organizations
CCA	Common Country Assessment
CERF	Central Emergency Response Fund
CHAP	Common Humanitarian Action Plan
CHF	Common Humanitarian Pooled Funds
CO	Country Office
CPR	Crisis Prevention and Recovery
CSO	Civil Society Organizations
CWGER	Cluster Working Group on Early Recovery
DDR	Disarmament, Demobilization and Reintegration
DGO	UN Development Group Office
DPA	Department of Political Affairs
DPKO	Department of Peace Keeping Operations
DRR	Deputy Resident Representative
DSS	Development Support Services
EPES	Emergency Public Employment Services
ER	Early recovery
ERC	Early Recovery Coordinator
HC	Humanitarian Coordinator
HIV	Human immunodeficiency virus
HQ	Headquarters
IASC	Inter-Agency Standing Committee (UN)
ICRC	International Committee of the Red Cross
IDP	Internally displaced persons
IFI	International financial institutions
IFRC	International Federation of Red Cross and Red Crescent Societies
ILO	International Labour Organization
IPO	Indigenous Peoples' Organisations
NGO	Non-governmental organization
OCHA	Office for the Coordination of Humanitarian Affairs
PBSO	Peace Building Secretariat Office
PCNA	Post-conflict needs assessment
PDNA	Post-disaster needs assessment
RC	Resident Coordinator
RR	Resident Representative
SIDS	Small Island Developing States
SOP	Standard Operation Procedures for Immediate Crisis Response
SRFF	Standby Recovery Financing Facility
SRSG	Special Representatives of the Secretary General
SURF	Sub-regional resource facility
TRAC	Target for Resource Assignments from the core
TTF	Thematic Trust Fund
UN DGO	United Nations Development Group Office
UNCT	UN Country Team
UNDAC	UN Disaster Assessment and Coordination (team)
UNDAF	UN Development Assistance Framework
UNDG-ECHA	UN Development Group Executive Committee for Humanitarian Affairs
UNDP	United Nations Development Programme
UNOSAT	UN Institute for Training and Research (UNITAR) Operational Satellite Applications Programme
UNTFHS	United Nations Trust Fund for Human Security

1   Executive Summary

The increase in number of disasters worldwide, as well as the extent of conflicts that are a threat to development in the countries in which UNDP serves has reinforced the need of for an early recovery policy. The purpose of this document is to state UNDP's institutional policy on early recovery and to explain UNDP's roles and responsibilities, at both the country and global levels. The document also sets out the measures that UNDP will implement in order to ensure that the policy becomes an effective reality on the ground. It covers early recovery in both disasters and complex conflict-driven situations. It applies to large scale events as well as medium to small localized crises.

The *UNDP Policy on Early Recovery* is directed first and foremost towards UNDP staff in country offices and at headquarters. Since the success of the policy will also depend on the work of national authorities, as well as of many of UNDP's partners inside and beyond the UN System, it is also designed to explain UNDP's position on early recovery to these organizations.

Early recovery is the application of development principles in a humanitarian setting, these principles include: national ownership; capacity utilisation and support; and peoples' participation. It is the interface at which humanitarian and development partners co-exist and interact, thus allowing for the early initiation of recovery planning and key programming, thereby minimizing the gap between the end of relief and the onset of longer-term recovery.

Properly implemented, early recovery can stabilise a situation, prevent further deterioration in national capacity, as well as foreshorten the humanitarian phase. It can reduce the gap between humanitarian and full recovery programmes. Early recovery therefore represents an effective and an indispensable component of the response to crises.

UNDP views its involvement in early recovery as an integral part of its support for poverty reduction, sustainable human development and the achievement of the Millennium Development Goals in crisis affected countries.

At the country level, UNDP actions will consist of three inter-connected and mutually supportive parts:

1. **Strengthened post-crisis governance:** UNDP will support and reinforce the Government's capacity at the national and local level to stimulate early recovery and to plan for full recovery. This will:

   • Support and reinforce national policy and planning processes;

   • Support and reinforce local level implementation capacity.

2. **Effective local level early recovery:** UNDP will facilitate early recovery programmes at the local level, founded on local government coordination and management of early recovery activities. This will include as appropriate the following range of possible activities:

   • Reinforce local administration capacity for recovery management;

   • Improve community security and social cohesion;

   • Stabilization of livelihoods;

   • Integration of cross-cutting issues, such as risk reduction, conflict prevention, gender and environmental protection.

It will also include a locally-based management and implementation platform for the delivery of UNDP programmatic support. Other UN agencies will be able to advise as well as gain support from this platform which will also utilise the capacities of relevant international and national NGOs, CBOs and the private sector for implementation of its programmes where appropriate.

3. **Coordinated Early Recovery Planning:** By strengthening the capacity of the Office of the Humanitarian/Resident Coordinator to undertake systematic assessment, analysis, coordination and planning for early recovery activities, UNDP will enable:

- Development of a coordinated approach to early recovery;
- Establishment of foundation for a long-term recovery.

These activities are spelled out in greater detail in Section 3 of this Policy Paper. Annex 2 presents early recovery as a logical framework. In reviewing this menu of possible activities, however, it should be noted that it does not and cannot represent a full range of early recovery activities. By their very nature, early recovery activities require an acute sense of priorities, possibilities and sequencing. By definition, many activities at the stage of early recovery cannot easily aim for long-term sustainability, but for stabilization of the situation to avert further deterioration, as well as some consolidation of capacity for the future.

At the global level, UNDP will provide substantive and operational support to its country offices, by strengthening its surge capacity. This includes providing central leadership, nurturing partnerships and developing the human and financial resources and procedures to support the policy.

UNDP will deepen its strategic partnership with the UN's Office for the Coordination of Humanitarian Affairs (OCHA), other UN agencies and NGOs; it will enhance overall UN System performance in the area of early recovery by providing leadership to the IASC's Cluster Working Group on Early Recovery (CWGER) ; it will act as a global hub of knowledge management on early recovery; and it will advocate for increased resources in this important area.

This policy document will be supplemented and complemented by a variety of guidelines, good practice case studies and implementation tools, some of which are listed in this policy document and others will be developed as necessary.

2 Situating the Policy

2.1 Defining Early Recovery

Early recovery is the term used to describe the application of development principles to humanitarian situations. Its intention is to stabilise local and national capacities from further deterioration so that they can provide the foundation for full recovery and stimulate spontaneous recovery activities within the affected population. If such national capacities are used and strengthened, the amount of humanitarian support required will be reduced.

Life saving relief is undeniably the most important priority in a crisis situation, however simultaneously affected populations start looking for ways to rebuild their lives. Lending support to stabilise a situation can reduce further setbacks and pave the way towards eventual recovery. This requires that all actors focus not only on saving lives during the humanitarian operations, but also on stemming further loss of livelihoods and security that are fundamental to the survival of the affected population. From the outset it is vital to support, sustain, and begin to rebuild the essential national and local capacities that are necessary to overcome the situation in the longer term.

This can be achieved through distinct early recovery activities that stabilise the situation, while identifying opportunities for longer term recovery and eventually development. In this sense, early recovery starts as early as possible during humanitarian action (graphic representation in annex 1). It aims to bring development principles into the relief stage and seize opportunities to go beyond saving lives and contribute to restoration of national capacity, livelihoods and human security.

> ### Definition
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> Early recovery is a multidimensional process of recovery that begins in a humanitarian setting. It is guided by development principles that seek to build on humanitarian programmes and to catalyse sustainable development opportunities. It aims to generate self sustaining, nationally owned, resilient processes for post crisis recovery. It encompasses the restoration of basic services, livelihoods, shelter, governance, security and rule of law, environment and social dimensions, including the reintegration of displaced populations.
>
> (Extract from Guidance Note on Early Recovery prepared by the IASC Cluster Working Group, (October 2007)

There are three important characteristics of early recovery:

- **It is not an identifiable stage in a sequential 'continuum', between relief and recovery.** In most situations different vulnerable groups and affected areas recover over different time scales, hence various combinations of relief and recovery may take place simultaneously. For this reason early recovery takes place in parallel to the humanitarian relief programmes giving strength and purpose to the recovery.

- **In a humanitarian setting, the needs and opportunities for early recovery evolve over time and are subject to rapid change.** Situations may progress, creating new opportunities, or they may regress, stifling existing activities. There is therefore a continuous need for sensitivity and flexibility in implementing early recovery activities.

- While early recovery paves the way for future longer term activities, **there is a need to distinguish between early recovery and recovery programmes.** Early recovery programmes are foundational in nature. They restore and strengthen the capacities of governments at all levels to manage and lead the recovery process. They simultaneously facilitate the resumption of key

livelihood, service delivery and community security programmes. Recovery programmes build on these early foundations and restore the social, political and economic fabric of a society while addressing the root causes of the crisis. These programmes are longer term and are normally derived from a systematic Post Conflict Needs Assessment (PCNA) or a Post Disaster Needs Assessment (PDNA).[1] It is worth noting that while the PCNA as it currently exits is a tool for determining longer-term recovery needs the PDNA is applicable for both early and longer-term recovery assessments.

2.2   The Crisis Setting

In recent years, the incidence of disasters requiring international humanitarian response has increased. With rapid population increase and urbanisation more people are living in densely populated high risk areas of the world. At the same time, countries continue to be overwhelmed by human conflicts, especially civil wars, which threaten the lives and livelihoods of substantial populations. Many such conflict-related situations are protracted affairs, condemning affected populations to live for prolonged periods in danger and without immediate prospect of improving their lives. Environmental challenges, including those caused by climate change, are likely to exacerbate disaster losses and possibly increase tensions over scarce resources in the coming decades.

All of these situations represent a direct threat to, or a constraint upon, sustainable human development. Crises erode development investments and reduce the capacities of vulnerable groups, sometimes of the national authorities themselves. They hamper poverty reduction efforts and achievement of the Millennium Development Goals and therefore represent a direct challenge to UNDP's core mandates. To be sure, methods exist to map vulnerabilities to these threats, and national and international capacities are continuously being developed to reduce vulnerabilities through risk reduction and crisis prevention activities of UNDP and others. Nevertheless, the continuing incidence of disasters and prolonged conflict requires effective action to support early recovery wherever this is possible.

2.3   Characteristics of Different Crisis Situations

UNDP recognises the unique challenges faced in different crisis settings and adjusts its assistance to the needs and demands of each country. Application of a general policy must take into consideration the key characteristics that underline these differences. For example, Small Island Developing States (SIDS), due to their size and capacity may be completely devastated by a single disaster event totally disabling national governance systems.

Some of these characteristics can be differentiated under the following broad categories:

(a)   Time-frame

Following a sudden onset disaster such as an earthquake or a hurricane, while there will be immediate and even longer term humanitarian consequences that need to be addressed, planning for recovery can start soon after the event. Where appropriate in large scale disasters, international funding for longer term recovery can be mobilised relatively quickly and the IFIs, where they are involved, make their inputs increasingly early on. Early recovery activities may therefore occupy a relatively short time span and constitute a limited but very strategic range of activities.

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1   Both PCNA and PDNA are used here and elsewhere in this Policy Paper in a generic sense, irrespective of the methodology to be applied and to define the process of assessment and planning for full recovery. At some point – as early as is possible in the particular circumstances – the national authorities will wish to work with international agencies to assess needs systematically, as a basis for planning, and seeking finance for, full recovery. Such processes are indispensable to the transition from early to full recovery.

Slow onset disasters such as droughts and conflict-related situations can be more protracted. In conflict situations it may take the affected parties several years to arrive at a satisfactory political settlement. During this period it may be difficult to raise long-term funding for recovery and reconstruction. The humanitarian needs of the affected population however may persist, during which time early recovery activities represent their main hope for any return to a semblance of normality, as well as some stabilisation of the situation from falling back to crisis.

(b)   National institutions

UNDP's natural partner is the government. It will always seek to work with national authorities and local authorities, and to assist them in carrying out their responsibilities.

However, the legitimacy and efficacy of national and local institutions may be among the first victims of a conflict situation. Indeed, conflicts often originate from such tensions and peace settlements may seek to renegotiate some basic institutional issues. The ability to rely on national and local government during the protracted period of a conflict is therefore greatly diminished, no matter what their institutional capacity. For this reason, early recovery activities in such situations will necessarily be more focussed on communities and civil society actors at the local level.

In contrast, government legitimacy is seldom affected by the incidence of disasters. International actors, including UNDP, will therefore rightly be expected to work under the aegis of the national and local authorities no matter how weak they might be.

(c)   International institutional framework

Many medium and small scale disasters are handled by the national or even local governments alone, with limited external assistance from the Resident Coordinator and the UN Country Team. Such situations may not require an IASC cluster approach but UNDP still needs to provide relevant capacity and programmatic support.

In the event of larger disasters, the international response mechanisms led by OCHA may be activated involving the roll-out of the humanitarian cluster approach. This would include a rapid assessment of the situation by an UNDAC Team; it might include appointment of a Humanitarian Coordinator (usually the UNRC); and reinforcement of the HC/RC's office by OCHA, UNDP and in some cases DGO. Early recovery therefore begins in this humanitarian set up, in close cooperation and coordination with the humanitarian agencies, while also closely linking and cooperating with the DGO and the IFIs for the longer term recovery.

Early recovery is a multi-sectoral process which cuts across all of the humanitarian clusters and needs to be organized differently. At the same time there are core areas of early recovery which fall outside of the traditional humanitarian clusters which necessitate the establishment of a separate working group or cluster led and coordinated by UNDP. Depending on the circumstances, early recovery can therefore be represented both as a cross-cutting network and as a stand-alone cluster within the humanitarian architecture. This is sometimes referred to as the "L shaped" architecture. (see annex 5)

International engagement in conflict-related situations brings in additional actors, starting with the UN's Department of Political Affairs (DPA). Where peacekeeping is involved, the Department of Peace Keeping Operations (DPKO) becomes a major operational player on the ground. UN command structures become more complicated, with Special Representatives of the Secretary-General (SRSG) et. al. Increasingly, these operations are managed by integrated missions, where in some cases the

Resident and Humanitarian Coordinator (RC/HC) may be integrated into the mission management structure as a Deputy SRSG, thus performing a "triple-hatted" role[2]. Where possible, early recovery in such situations can start even before a peace agreement is signed, in pockets of geographical areas where the situation is relatively stable, or with specific groups in IDP camps such as women and youth to begin to plan for when there is peace.

2.4   The UNDP Institutional Context

Crisis prevention and recovery has been an increasingly prominent dimension to UNDP's work. In 1997 it received a clear mandate from the **UN General Assembly** to operate in 'special development situations'.[3]

UNDP's Executive Board has also given this its full support, as crisis prevention and recovery became a practice area for the organization in 2001, when the Bureau for Crisis Prevention and Recovery (BCPR) was formally established. BCPR was charged with helping UNDP to fulfil this mandate by supporting its efforts to reduce the impact of disasters and armed conflict and to assist in recovery from crisis when it occurs.

UNDP's Strategic Plan 2008-2011, approved by the Executive Board in September 2007, recognised that "the main human development challenges facing the global community today include: uneven growth, increasing inequalities and global health crises; deficit in democracy, participation and post-elections governance; environmental degradation and climate change; and conflicts and disasters". As a result, crisis prevention and recovery has been identified as one of the four focus areas for 2008-2011. The Strategic Plan also emphasises that UNDP's programmatic work should focus on the types of intervention that strengthen the coherence and impact of the UN system at the country level, in support of the strategy agreed with each country.

IASC Cluster Approach

"Effective humanitarian response is our common goal. Despite progress to date, this response is falling short in some circumstances of meeting the needs of all the people and communities affected by crises. We have carefully considered the current situation and proposed specific actions to improve the predictability, timeliness and effectiveness of a comprehensive response to humanitarian crises while also contributing to the foundation for recovery. The focus of these actions will be to strengthen leadership and accountability in key sectors of humanitarian response'.

Extract from the IASC Principals' Statement,

Within the UN System more generally, UNDP has worked closely with UN humanitarian agencies, both globally as well as at the country level. It is an active member of the **Inter-Agency Standing Committee (IASC)**, which brings together UN agencies as well as international NGOs with the purpose of strengthening humanitarian operations.

In 2005, the UN humanitarian system underwent a comprehensive reform process which clearly identified early recovery as a gap area and established it as one of nine original key clusters within the humanitarian architecture. UNDP was designated the cluster lead for Early Recovery, in which capacity it leads a Cluster Working Group on the subject comprising a group of 23 international agencies and NGOs with an interest in this subject (see annex 4 for the list of members). This decision reflects a shared understanding of the UN system and its partners of the close link between humanitarian, recovery and development interventions.

UNDP's early recovery engagement is complemented by its close collaboration with other UN bodies which seek to address the

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2   This is in itself an oversimplification of the management structure, since the same person may also be the Designated Official for UN Security, as well as the UNDP Resident Representative.

3   General Assembly resolution 46/182 of 19 December 1991, (annex, paragraphs. 9-10), General Assembly resolutions 52/12A and B.

political dimension of conflicts, without which long-term resolutions are unlikely. It thus works with the Department of Political Affairs (DPA), the Department of Peacekeeping Operations (DPKO) and, more recently with the Peace Building Secretariat Office (PBSO) and the Policy Committee of the Secretary General. UNDP also works closely with the IFIs and particularly with the World Bank, as conflict and disaster situations stabilise and evolve towards medium to longer-term recovery. For UNDP these partnerships are not separate from its development mandates but an integral part of them, as they contribute to strengthening human development.

2.5   Guiding Development Principles for Early Recovery Activities

The following are general development principles which are commonly regarded as being at the heart of early recovery thinking. They are very familiar to all UNDP development practitioners.

(a)   National ownership

National ownership is very important for early recovery efforts to stabilise the situation following a crisis. It is indispensable for the achievement of a more sustainable full recovery. International actors will come and go, while national actors remain. National ownership is not synonymous with government ownership, however, since there are many other state and non-state actors which are important to sustainability. This is a particularly important distinction when government institutions may have been compromised in conflict situations.

(b)   National capacity utilisation and support

National ownership cannot fully materialise if national actors and institutions do not have the required capacities to lead, manage and implement the process. There is always a danger that, in the urgent drive to save lives, humanitarian programmes will replace or substitute their own capacities for existing national capacities. Early recovery programmes should develop the capacities of the state and other duty-bearers to fulfil their main obligations and responsibilities towards the population. Additionally, affected populations should be seen as fundamental actors requiring capacities to drive the process of recovery and claim their rights.

(c)   Community-centred approach

National ownership and capacity development extend beyond the central government to include actors at all levels, especially that of the local community. This is the level at which some of the most meaningful early recovery activities are undertaken. Participation of communities in decision making, implementation and monitoring and evaluation of local programmes will increase the appropriateness of the early recovery interventions.

(d)   Conflict prevention and risk reduction

A crisis can precipitate opportunities for improvements in conditions that resulted in the losses and instability in the first place. Building back better aims to promote the restoration of services, systems and institutions to a more advanced state than before the crisis through the application of improved standards and policies.

(e)   Promoting gender equality

The promotion of gender equality and women's empowerment should be integrated as a cross-cutting issue in all early recovery activities and addressed from the initial assessment and planning stages of early recovery. This will be based on the *Eight Point Agenda for Women's Empowerment and Gender Equality in Crisis Prevention and Recovery* that reflects UNDP's commitment to the landmark

Resolution 1325 on women, peace, and security that was adopted by the Security Council in 2000. In addition to addressing gender as a cross-cutting issue, in areas where severe gender inequality and discrimination exist, specific components addressing gender equality and women's empowerment need to be developed as part of the early recovery programme.

(f)   Transparency and accountability

This comprises full accountability to beneficiaries, as well as to governments and donors. It includes a transparent recovery planning process, the sharing of good practices, and rigorous monitoring and evaluation. This also means putting beneficiaries as active rights-holders at the centre of the recovery process, through information, participation and local grievance and redress mechanisms.

3 Statement of UNDP Policy

3.1 General Framework and Approach

UNDP will promote and support early recovery from the onset of humanitarian operations. UNDP considers such an approach to be essential for at least three reasons:

1. Early recovery stabilises and prevents further deterioration in national capacities which are essential for ensuring the foundation for full recovery.

2. Early recovery can reduce the need for humanitarian programmes in the medium term, as they contribute to the self-reliance of affected people.

3. Early recovery activities, including longer-term planning, can effectively eliminate the danger of a gap between the scaling down of humanitarian programmes and the inception of longer-term transition or recovery programmes.

UNDP is therefore convinced that early recovery activities can make an indispensable contribution to humanitarian situations and the transition to longer-term recovery.

In all aspects of implementing this policy, UNDP will support and work within the UN System's humanitarian policies, as agreed by the IASC of which it is a member. In doing so, UNDP will inter-alia contribute its experience in managing the Resident Coordinator System, as well as its own distinctive programmatic expertise and insights. In particular, within the humanitarian cluster framework, UNDP will exercise leadership in the Early Recovery Global Cluster, while participating in other clusters as appropriate, such as that on protection. UNDP will also, promote the inclusion of recovery preparedness planning prior to emergencies in the IASC contingency planning process.

In fulfilling these obligations to the System as a whole, moreover, UNDP is very conscious that it has no monopoly of early recovery activities and, indeed, other agencies and each and every cluster have extensive experience and operational capacity in this area. It has no intention of replacing such capacity with its own but rather intends to build on what exists and to ensure that there are no gaps or shortfalls in overall system performance. It will encourage harmonisation of various sectoral and cross-cutting early recovery activities so as to achieve increased coherence and effectiveness.

Early Recovery in UNDP's Strategic Plan 2008-2011

- **Strengthening post-crisis governance functions:** In the immediate aftermath of a crisis, UNDP will provide country-specific support through preparation, planning and implementation of interventions to ensure national management of the development process, including restoring capacity for public service delivery and managing recovery aid coordination. In both natural disaster and post-conflict situations, UNDP support will facilitate an enabling environment conducive to recovery, restoration of administrative and service delivery capacity, and training of national stakeholders to strategize, negotiate and engage in dialogue with the aim of restoring post-crisis governance functions.

- **Restoring the foundations for local development:** Sustainable recovery in post-conflict and natural disaster settings requires the restoration of security and a revival of the local economy. This provides the conditions in which livelihoods can be rebuilt and damage to the social fabric repaired. In both post-conflict and natural disaster settings, UNDP will support the revival of sustainable economic activities at the national and sub-national levels.

UNDP's work in early recovery also contributes to the attainment of the relevant CPR outcome areas of the UNDP Strategy 2008-2011.

At the country level, UNDP will focus on three mutually supportive initiatives to advocate early recovery:

1. **Strengthen post-crisis governance** by supporting and reinforcing the government's capacity at the national and local level to manage early recovery and to plan for full recovery.

2. Facilitate **effective local level early recovery** by contributing to a range of programmes, drawing from a menu of possible activities tailored to local circumstances.

3. Support **coordinated early recovery planning** by strengthening the capacity of the Humanitarian/ Resident Coordinator to undertake systematic assessment, analysis, coordination and planning for early recovery activities.

At the global level, UNDP will support country activities in two ways:

i. Provide **substantive and administrative backstopping** for country offices in support of the above policy.

ii. Provide leadership and coordination to the IASC **Cluster Working Group on Early Recovery (CWGER)** and advocate for the allocation of resources in support of early recovery activities.

All of these elements are discussed in greater detail in the sections which follow. They are presented as a Logical Framework in annex 2.

3.2   Country Level Roles and Responsibilities

The following menu of possible activities for UNDP at the country level should be read with an understanding of the limits of what is possible in the context of early recovery. It must be quick, responsive and flexible, tailored to often rapidly evolving circumstances, needs and opportunities.

(a)   Strengthened post-crisis governance functions[4]

UNDP will provide country-specific support as requested to ensure national management of the process, including restoring its capacity for public service delivery and managing recovery aid coordination.

In both disaster and post-conflict situations, UNDP will provide support to national and local authorities directed towards an early post-crisis resumption of governance functions to facilitate recovery. It will assist the authorities to strategize, negotiate and engage in dialogue with affected communities, as well as with national and international partners.

In doing so, UNDP will place special emphasis on the identification of effective interventions to strengthen participation by the poorest and most marginalized social sectors, as well as by women and youth. It will work in close cooperation and in a complementary fashion with other UN agencies, IFIs, the International Red Cross and Red Crescent Movement, national and international NGOs.

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4   UNDP's broad definition of governance extends beyond government alone to embrace many other processes and institutions, both national and local, whereby decisions are deliberated upon, taken and then implemented in the context of international norms and standards. However, this sub-section puts the stress on reasserting government leadership in the post-crisis situation, a central element of governance and vital to successful and sustained recovery. Other aspects of governance, insofar as they can be addressed in the context of early recovery, are covered in sub-section 3.2. (b).

It will facilitate the strengthening of the post-governance functions in the following areas:

(i)   Support and Reinforce National Policy and Planning Processes

- **National policy formulation**: UNDP will help lay the groundwork for full-scale, crisis sensitive strategic planning for recovery. This planning process will eventually link with an overall assessment, such as PDNA and PCNA, that places assets and vulnerability at the centre of its analysis, and promotes integrated and comprehensive approaches in support of local capacities.

- **Capacity assessment and support:** UNDP will assist in an objective assessment of the national capacities available to meet recovery needs, to be undertaken as an early step to guide the formulation of a capacity support plan. However 'quick and dirty' it may have to be in the first instance, such an assessment can help analyse and recommend areas of intervention, through strategic capacity support initiatives and targeted quick impact actions. This will include strategies to support the role of non-state actors, including NGOs, Civil Society Organizations (CSOs), the media and local business.

- **Information collection and management**: National authorities are accountable to the public and donors for the management of information that underpins effective and equitable recovery. UNDP will uphold existing information systems established by the authorities or by the UN, particularly OCHA. In doing so, it will focus particularly on types of information that are critical for early recovery and full recovery.

- **Resource mobilisation and aid coordination;** During the humanitarian phase UNDP is committed to supporting post-crisis countries to mobilise resources for early recovery and for setting up effective aid management mechanisms, in line with broadly accepted good practices. In this it will be guided by the Paris Declaration on Aid Effectiveness.

- **Advocacy and public information:** Times of crisis require good public access to information and an informed explanation of rights, priorities and constraints. UNDP will strengthen the government's ability to fulfil these requirements.

(ii)   Support and reinforce local level implementation capacity

If the national level is where normative policies and programmes are designed, it is at the local level that they will be implemented. UNDP will therefore devote the bulk of its available resources to support effective local level recovery, led by the national government and managed by local government with the participation of CSOs wherever possible.

This leads into the second level of UNDP's support for early recovery activities (see 3.2. (b) immediately overleaf).

(b)   Effective local level early recovery

Depending on circumstances, UNDP will initiate local level early recovery activities which will be adapted to the local needs and conditions as well as the resources and capacities available. **These activities will complement the services and programmes that may be delivered by national stakeholders, other UN agencies, civil society organizations including NGOs and the International Red Cross and Red Crescent Movement,** and will aim to be integrated into a comprehensive local programme.

The operational framework within which UNDP assistance will be provided will take the form of

facilitation of local level early recovery. This programme area will be founded on UNDP's extensive experience with supporting local level development through area based development programmes. It will provide an implementation platform for the delivery of UNDP support, a platform which will combine rapid disbursement with full accountability for fund management.

UNDP engagement in any of the areas listed below will be undertaken only in full consultation with the HC/RC and the UN Country Team. It will seek to harness UN agency expertise and delivery capacity wherever possible. It will do so, however, in the full understanding that, in the context of early recovery, implementation depends upon rapidly changing priorities on the ground at different stages of early recovery. Comparative advantage and proven capacity, rather than mandate alone, must inform the selection of UNDP implementing partners in an early recovery phase, in order to ensure UN and UNDP full accountability to beneficiaries.

Following is the "menu" of possible activities from which UNDP's local level support programme will be drawn: (The applicability of these programmes will vary depending on whether the response is in the context of conflict or natural disasters).

(i)   Reinforce local administration capacity

This element represents the local expression of UNDP's support to post-crisis governance functions. It may include:

- **Provision of essential hardware:** Supply the local authorities with the basic infrastructure such as communications equipment, office supplies and logistical support required to carry out the most essential administrative tasks in managing early recovery and planning for recovery.

- **Augment critical human resources:** Provide staff support where there may be technical knowledge and staffing gaps in foundational areas for recovery such as information management, aid coordination, financial management, participatory planning, etc. Where local government capacities are eroded to a level that they cannot oversee the management of programmes on the ground then temporary capacity enhancement may become necessary.

- **Information collection and management:** Support existing information systems by the authorities or the UN, particularly OCHA, or help to set it up where it does not exist in areas of information that are critical to speed up recovery processes such as loss/ damage/needs assessment, beneficiary identification, registry of land ownership/titles/, ect. Information should be disaggregated as much as possible.

- **Planning for longer-term recovery**: UNDP will utilize its locally-based programme structure to lay the groundwork for the planning of full-scale crisis sensitive recovery, linking to the PCNA or the PDNA processes as they get underway. It will also leverage its local presence to inform the national plan with sensitivity to the local circumstances and constraints, as well as a nuanced understanding of the causes of the crisis.

(ii)   Improve community security and social cohesion

UNDP will initiate activities to create a more secure environment as a basis for the eventual economic, social and physical recovery of communities. These activities will include:

- **Protection, access to justice and informal dispute resolution**: During early recovery, protection and access to justice can be strengthened through public awareness and

empowerment of legal professionals, paralegal CSOs, police and the judiciary – key structures in addressing the rule of law even during a conflict. Facilitation of access to justice through provision of legal assistance and initial capacity development of legal professionals, law-enforcement and courts enables local stakeholders and institutions to counter violations and address impunity.

- In addition to the formal system, empowerment of informal, community level processes of dispute resolution, including traditional ones, can complement efforts to enhance peaceful conflict resolution and confidence-building. Equally, information dissemination to the public on their rights and establishment of grievance committees for disagreements would be useful both in disasters and conflict situations.

- **Disarmament, demobilisation and reintegration (DDR):** While longer term reform of the security sector must normally await a peace settlement, planning for DDR must be initiated during early recovery in order to stabilise the situation, reduce insecurity and promote protection of civilians at the community level. While planning needs to happen at central level where opposing parties can engage in dialogue, at community level, sensitization of the population on the return of ex-combatants, labour intensive work mixing ex-combatants and civilian youths, and mapping of reintegration opportunities can be initiated.

- **Mine action:** At the time of early recovery, mine action is essential to support the delivery of humanitarian aid to vulnerable populations and to facilitate the resettlement of refugees and IDPs. Mine action at this stage will also collect information from warring parties and communities to map mines and explosives. Survey and clearance activities will facilitate access to and rehabilitation of infrastructures that have been bombed or surrounded by mines (hospitals, bridges, roads, electrical installation, railways etc.), open major road networks, and secure refugee and IDP resettlement areas.

- **Restoration of critical basic infrastructure:** UNDP will support the restoration of basic public infrastructure that is critical to facilitate early recovery of the population. By its nature this kind of work will be quite limited and will stop short of full-scale reconstruction of housing or major infrastructure, which UNDP will not undertake. It is likely to be confined to public works activities such as rubble clearance, canal or embankment repair, waste disposal and very limited road repair, etc. that can be undertaken mostly by the communities as cash for work or Emergency Public Employment Services (EPES) as important employment opportunities in public works.

(iii) Reintegration of internally displaced persons

UNDP's support for the effective reintegration of IDPs will be within the context of UNDP's work on Local Level Early Recovery. UNDP will focus on supporting efforts for durable solutions for IDPs within areas of return or resettlement by addressing some of the key vulnerabilities of IDPs and other displaced populations. UNDP support to IDPs will be addressed throughout UNDP's early recovery programming however it is recognized that targeted support for IDPs may be required due to the particular vulnerabilities of this group. UNDP support will include the following:

- **Strengthening local government capacity to prepare areas of return and reintegration:** UNDP will work closely with UNHCR and other partners to strengthen local government capacity to facilitate the resettlement and reintegration of IDPs. This may involve the preparation of return areas including the provision of basic social

services, governance functions and rehabilitation of community infrastructure. In addition, UNDP and its partners will support the resolution of land tenure issues, the creation of livelihood opportunities for IDPs, including addressing obstacles to viable employment. UNDP will also facilitate the participation of IDPs in local and nationally led democratic processes.

- **Support to IDP participation in service delivery and local and national processes:** UNDP will work towards effective IDP participation in the identification of priority needs, planning, design and delivery of social services by supporting the participation of local organizations that are representative of IDPs and other displaced communities.

- **Support to peace building and other social cohesion concerns:** Support to the effective reintegration of IDPs by ensuring real participation in peace building processes including transitional justice mechanisms to address the root causes of displacement and /or the crisis. A key concern will be the linkages with reintegration programming for ex-combatants, protection, access to justice and informal dispute resolution mechanisms, and will look at ensuring the needs of local communities are also incorporated.

(iv)   Stabilisation of livelihoods

Stabilisation of livelihoods helps consolidate security and stability. While all activities will aim for sustainability, in the context of early recovery sustainable livelihood solutions may prove elusive. Emphasis should be placed on short-term or temporary jobs that provide quick access to income or a quick 'peace dividend'.

In conjunction with other UN agencies as appropriate, programmes will mainly target high risk groups such as youth, ex-combatants, returning IDPs and refugees, single-headed households, vulnerable women, the elderly etc. If they exist, social security or other protection institutions will be engaged to distribute cash payments, or to help aid organizations better target or broaden the scope of in-kind assistance. The private sector has a role to play in economic revival and short-term employment creation and together with civil society organizations they will be important partners in this work. Within the context of early recovery, UNDP will also work closely with ILO in the area of economic revival and short term employment creation as stipulated in the system-wide policy on Employment Creation, Income Generation and Reintegration in Post-Conflict Settings.

Key programmes in this area include:

- **Emergency temporary jobs:** Cash for work projects and Emergency Public Employment Services (EPES) involve small, rapidly implemented projects that deliver a quick peace dividend to target groups. Incomes allow people to start rebuilding their lives even as they help restore vital public services. EPES can also help match job seekers with vacancies in public works programmes for example. Short cycle skills training can help target vulnerable individuals and ensure that they benefit from these early temporary employment opportunities. One example of this may be the rapid restoration of minor community infrastructure for the delivery of key public services.

- **Targeted livelihood and self-employment start-up grants:** These are aimed at those most affected by conflict. Cash grants help re-monetize and boost spending providing livelihoods indirectly in the trade sector for example. Phasing out of food and other in-kind transfers in favour of cash payments should be tied to the recovery of local goods and services, markets and firms. Those most affected by conflict are often living

in mine-affected areas. Livelihood activities can be more quickly restored if mine action activities target those communities which are heavily dependant on agriculture.

(v) Integrate relevant cross-cutting issues

Local level recovery programmes will integrate relevant cross-cutting issues such as risk reduction and 'building back better', environmental protection, conflict prevention, gender equality, HIV/AIDS and human rights from the onset of an operation;

- **Risk reduction:** A comprehensive risk reduction approach that requires institutional and legislative changes will not be possible during early recovery. Activities need to be confined and achievable. These could include information dissemination to the displaced and returnees from disasters on measures to reduce disaster risks as they resettle; basic information to builders and households on identifying safe sites and resilient construction methods as they start rebuilding; and ensuring that recovery plans take into account disaster risk reduction in line with the *Hyogo Framework of Action.*

- **Conflict prevention:** As a minimum, early recovery interventions will be designed and implemented in a way that does not reinforce or further exacerbate conflict dynamics, for instance by: privileging some groups at the expense of others; reinforcing corruption or creating parallel systems and structures that undermine existing institutions, etc.; In this sense, particular attention will be placed upon developing early recovery plans and priorities that take into account critical drivers of conflict, the ethnic or social diversity of societies, and ensures sufficient inclusion and participation of key groups such as women, youth, minorities, etc.

- **Gender equality:** UNDP will work across practices and in partnership with other UN agencies on initiatives aimed at helping national partners to: (a) incorporate gender equality into early recovery assessments, activities and longer-term recovery planning; (b) reduce violence against women and girls and reduce the vulnerability of women and girls to HIV infection and the burden of care on them; and (c) expand women's participation in governance and decision-making processes and strengthen women's property and inheritance rights;. The UNDP *Eight Point Agenda for Women's Empowerment and Gender Equality in Crisis Prevention and Recovery* will guide the activities within this area[5].

- **Environmental protection:** Assessment of health, livelihood and security threats from environmental damage should be an integral part of recovery assessments and inform the planning process for environmentally sensitive approaches. Capacity support to environmental authorities towards environmental recovery should also be considered as part of broader capacity support. It is also worth noting that the protection of natural resources and the environment are crucial elements for both livelihood protection and prevention of natural disasters and this inter-linkage should inform early recovery programming.

- **HIV/AIDS:** Integrating HIV in Early Recovery corresponds to *ensuring a continuum of HIV services throughout all phases of the humanitarian crisis, from relief to early recovery to development.* These linkages need to be made early after a crisis to ensure that humanitarian programming links up with national AIDS strategies and plans, while

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5   See 'UNDP Strategic Vision' for more information on how this agenda will be implemented.

in a more stable setting, populations of humanitarian concern are included in longer-term development planning.

- **Human rights**: In keeping with the UNDP policy of integrating human rights into human development, and the UN common understanding on Human Rights Based Approach (HRBA) in Development Cooperation, respect for human rights and fundamental freedoms therefore features prominently in UNDP's approach to early recovery. The integration of human rights into early recovery actions should pay particular attention to the factors that create and perpetuate discrimination and social exclusion and hinder people from realising their potential. Early recovery actions should also ensure the meaningful participation of vulnerable groups such as minorities, indigenous peoples, the elderly, youth and persons with disabilities as well as the promotion of their fundamental human rights. Human rights values, standards and principles should be underscored during all phases of early recovery assessment programming and monitoring and evaluation. The value of a HRBA in early recovery particularly lies in the transformative potential of UNDP early recovery programming to alleviate injustice, inequality and poverty by ensuring the institutional and behavioural changes required from rights-holders to claim and exercise their rights and from the State and other duty-bearers to fulfil their obligations and responsibilities.

Special attention will be placed on monitoring the integration of cross-cutting issues into early recovery planning and programming.

(c)   Coordinated early recovery planning

UNDP will work with key partners to support a coordinated national strategy for early recovery. This is intended to ensure that there are effective operational programmes which stimulate and support early recovery; that these programmes address all possibilities for early recovery; and that they are supported by the government and the international community.

To this end and as deemed appropriate by the UN Resident/Humanitarian Coordinator and UNDP, the latter will mobilize its corporate support and back-up to augment early recovery capacity. This could range from simple technical backstopping to the deployment of an early recovery adviser with a full-fledged support team. Such personnel and assets will be placed at the disposal of the UN Resident / Humanitarian Coordinator to support the work of all UN agencies to reinforce the early recovery response and to enhance UN-system-wide coherence. The type, scope, and magnitude of this additional capacity will be determined and reviewed jointly by UNDP and the Resident / Humanitarian Coordinator.

In addition to reinforcing the HC/RC Office, UNDP will also play an active role in the deliberations of the UN Country Team. This will include participating in UNCT contingency planning activities to ensure that, where possible, planning for early recovery takes place prior to a crisis event. The UNDP Country Director/DRR represents UNDP in this forum and will advocate for the incorporation of development values and practices to the extent applicable in humanitarian programmes. In doing so, UNDP will naturally bring to the table its in-depth knowledge of the country and the network of contacts with national players which results from its long-standing presence and operational activities. As mentioned previously,[6]   UNDP may also be required to lead the coordination of a cluster dedicated to addressing the core areas of early recovery that fall outside of existing clusters. Within the context of this cluster UNDP will coordinate with relevant partners and bring to bear its experience in strengthening post crisis governance functions and restoring the foundations for local development.

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6   "L shaped" Early recovery coordination architecture mentioned on page 9.

UNDP's support for coordination will have two primary objectives, as set out below:

(i) **Develop a coordinated approach to early recovery**

- **Joint rapid assessment:** On behalf of the CWGER, UNDP will initially deploy a Needs Assessment Specialist at the earliest opportunity to participate in a rapid assessment together or concurrently with an **UNDAC Team to advocate for the inclusion of early recovery in the humanitarian assessment.** This initial assessment will form the basis for undertaking a more comprehensive inter-agency early recovery assessment.

- **Analysis of early recovery opportunities:** Underpinning this coordination and facilitation role will be a particular focus on analysis. This implies that existing UN needs assessments should pay due attention not only to beneficiary needs but also to existing capacities and opportunities for early recovery. On behalf of the CWGER, UNDP will deploy an Early Recovery Adviser who will coordinate the inter-agency early recovery assessment and lead the development of an Early Recovery Strategic Framework and Action Plan, resulting from the triangulation of needs, capacities and opportunities.

- **Coordination:** There will be an Early Recovery Network with focal points in each of the humanitarian coordinating clusters (where they exist). Maintenance of such a network is intended to ensure that early recovery approaches are incorporated and implemented in humanitarian programmes wherever and whenever feasible. This may be complemented by an additional cluster led by UNDP to address key gap areas in early recovery that fall outside of existing clusters. (See annex 5)

(ii) **Lay the groundwork for long-term recovery**

- **Information management:** UNDP will place technical staff support within the HC/RC Office, to work with the OCHA-led humanitarian information management system helping to maintain its data and expanding it to include elements of importance to early and full recovery. Support will also be provided to link this system with that of the national authorities and to ensure that the system complements and does not replace their work.

- **Strategic planning for recovery:** The Early Recovery Adviser will **coordinate** the Post Conflict Needs Assessments (PCNA) and Post Disaster Needs Assessments (PDNA) and ensure the participation of appropriate technical staff in these assessments when they are activated in collaboration with the World Bank and other IFIs.

3.3 Headquarters Roles and Responsibilities

UNDP's commitment to early recovery approaches and activities in humanitarian operations is an organization-wide commitment.

This means that, while the Bureau for Crisis Prevention and Recovery (BCPR) will provide substantive guidance and technical support, the entire organization will be engaged: the Bureau of Development Policy (BDP); the Bureau of Partnerships (BP); the Bureau for Management (BOM); and the Regional Service Centres and/or SURF's. This commitment also includes the Development Group Office insofar as the resident coordinator function is concerned.

Most importantly, it includes the Regional Bureaux, which have the overall responsibility for UNDP country operations, including those countries affected by crisis. In this capacity, a regional bureau

supervises the work of the RR on a day-to-day basis, as well as of the UNDP Country Director/DRR. BCPR will work closely with all regional bureaux to ensure rapid and high quality support to country offices in crisis situations.

Headquarters backstopping of early recovery will have three strands:

(a)   Substantive and operational support to UNDP country offices

UNDP will support and properly equip a country office to assume its responsibilities. This includes:

- **Programme support:**   UNDP will provide advice and technical support to UNDP country offices for the rapid development of early recovery programmes.
- **Deployment of surge capacity:** When requested**,** UNDP will augment country office capacity by ensuring that appropriately qualified staff is rapidly deployed to the country offices immediately following crisis events.
- **Financial resources:** UNDP will mobilise adequate resources from within and beyond its own system to support early recovery efforts.
- **Responsive operational procedures**: recognising that working in crisis situations calls for a UNDP approach that goes well beyond "business as usual", UNDP will ensure that human, financial and procurement procedures are fast-tracked in the earliest phases of the humanitarian situation.

(b)   Strategic partnership with OCHA

OCHA represents UNDP's most important strategic partner, since early recovery is the bridge between humanitarian and development programmes. It will inhance this relationship by establishing a dedicated capacity to work directly with OCHA on a day-to-day basis to ensure an integrated approach whenever possible. Areas of collaboration include:

- **Coordinated support for HC/RC**: UNDP will work with OCHA and DGO to ensure an integrated approach to staffing and other support for the HC/RC Office.
- **Integrated information management system**: UNDP will work with OCHA globally as well as nationally to further develop its humanitarian information system so as better to capture the needs of early recovery and to support national decision-making for early recovery.
- **Staff and training exchanges**: UNDP will promote staff exchanges between OCHA and itself, as well as reciprocal training programmes.

(c)   Leadership of UN system global processes on early recovery

Working in partnership with the IASC Cluster Working Group on Early Recovery (CWGER), UNDP will provide the following support to Country Teams.

- **Development of norms and standards for early recovery:** These include the dissemination, consolidation and adaptation of existing policies relevant to early recovery and where necessary the development of new standards and policies.
- **Development of tools and guidelines:** These include the development and adaptation of assessment, planning and programming tools and guidelines**.**
- **Build UNCT response capacity:** develop and implement training and learning activities for UNCTs. This will include the development of lessons learned and the identification of best practices, staff exchanges and strengthening of the early recovery community of practice.
- **Technical support and expertise for strategic planning, coordination and implementation of early recovery:** UNDP on behalf of the CWGER will rapidly deploy interagency support for

the UNCT for conducting assessments, strategic planning and coordination of early recovery activities.

- **Support for resource mobilization:** UNDP will provide technical support to Country Teams for developing the early recovery components of appealing instruments such as Consolidated Appeals and Flash Appeals. Additionally the Global Cluster will organise donor briefings and information meetings to promote donor awareness and response to early recovery needs.

3.4   Accountabilities

Managerially, the following accountabilities apply:
- The **Humanitarian Coordinator** is accountable to the UN Emergency Relief Coordinator;
- The **Resident Coordinator** is accountable to the UNDP Administrator in his capacity as Chair of the UNDG and manager of the RC System, through the UNDP Regional Bureau Director in his capacity as Chair of the Regional Directors team;
- The **UNDP Country Director/DRR** is accountable to the UNDP Resident Representative.

Within the UN Country Team, UNDP is the cluster lead for early recovery and, as such, is accountable to the RC/HC to provide early recovery expertise to support him/her in early recovery coordination, strategic planning and monitoring, preparedness, and advocacy.

At the global level UNDP, as the cluster lead, is accountable to the Emergency Relief Coordinator, and responsible for ensuring that the CWGER works to support the HC/RC and Country Teams at country level. While each global Cluster Lead in the sectors relevant to early recovery planning is responsible for addressing early recovery issues within its own sector, UNDP is responsible for ensuring that these activities are coordinated and integrated into the overall early recovery approach, in line with the agreed system-wide standards.

Within UNDP Headquarters, in accordance with the Standard Operating Procedures for Immediate Crisis Response, in the event of a crisis a country-specific HQ Support Team will be set up, led by the concerned Regional Bureau, together with the Bureau for Crisis Prevention and Recovery and the Bureau of Management providing extensive support and technical back-up. In the event of a major crisis, the HQ Support Team will be working under the direction of the Crisis Committee chaired by the Associate Administrator.

4 Policy Implementation

UNDP recognises that implementation of the Policy on Early Recovery which has been outlined above represents a significant challenge to the organization. UNDP's support to early recovery in humanitarian situations cannot be 'business as usual'. It requires substantial changes to the way in which UNDP currently conducts its business in crisis situations. Fortunately, UNDP has already accumulated extensive experience on how to gear up its organizational response to humanitarian crises, whether sudden or protracted. This now has to be mainstreamed predictably within the organization.

If this is to happen, there will have to be a concerted effort in a number of different areas. These are outlined below; details of each will however be found elsewhere. This section is partly a statement of what already exists and partly a commitment to introduce changes to existing policies and practices.

An important framework for guiding the organization's implementation of the policy is provided by the SURGE project which establishes Standard Operating Procedures for Immediate Crisis Response (SOP).

4.1 Corporate Support and Back-Up

Primary responsibility for the crisis response naturally rests with the Country Office. However there are cases where it may not be possible to discharge this responsibility without extensive corporate support and back-up.

When a crisis strikes UNDP's Standard Operating Procedures for Immediate Crisis Response call for a HQ Support Team to be set up, led by the concerned Regional Bureau together with thee Bureau for Crisis Prevention and Recovery and the Bureau of Management providing extensive support and technical back-up. In the event of a major crisis, the HQ Support Team will be working under the direction of the Crisis Committee chaired by the Associate Administrator. The active engagement of the Regional Bureau in this mechanism is critical, because of its knowledge of the countries within its region and its oversight function of the RR/RC and the UNDP country office. Such a Support Team will also include other headquarters units as necessary. Inter alia, this Support Team will:

- Ensure that the maximum support and guidance is provided to the RR/RC and to the UNDP Country Office, including surge support in staffing and operational procedures.

- Interface with other departments of the UN secretariat concerned with the crisis, especially OCHA, DPA and DPKO and with the IFIs as necessary.

The Surge support operational components are:

- **Provision of key backstopping services**: This will have a major impact on the functioning of a CO, e.g. those relating to procurement, staffing, financial management, security, IT/ telecommunications, etc.

- **Staffing mechanisms**: Such as SURGE Teams and Advisors, Roving Procurement Officers, UN volunteers and other systems for the fast deployment of staff or external consultants to support work in the field.

- **Additional emergency funding**: Including emergency funding from TRAC 3 and other resources the organization may make available.

4.2   Fostering Partnerships

Both at the global and the country level, UNDP will work closely with a wide variety of potential and actual partners.

First and foremost of these partners will be the national authorities of the country concerned. This relationship represents the keystone of UNDP's partnership strategy in early recovery, as in all other aspects of its country work.

Partnerships also extend to many parts of the UN System, including all the members of the **Cluster Working Group on Early Recovery, as well as members of the UNDG/ECHA Working Group on Transition, which includes the following partners that are not members of the CWGER**:

- **Department of Political Affairs (DPA)**

- **Department of Peace Keeping Operations (DPKO).**

- **Peace-Building Support Office (PBSO).**

- **Development Group Office (DGO)**

UNDP will also liaise with the **International Financial Institutions (IFIs)**, including the World Bank and the applicable regional development bank.

Other partnerships include:

- **Regional organizations;**

- **Bilateral donors** who may be interested in supporting early recovery activities, both financially but also by means of human resources and expertise;

- **Civil Society Organizations, including but not limited to CBOs, journalist associations, women's organizations, Indigenous Peoples' Organisations (IPOs), national and international NGOs, academia and faith-based organizations;**

- **International Red Cross and Red Crescent Movement;**

- **Private foundations and the not-for profit sector** which can play a significant role by linking up with their national counterparts; and

- **The private sector.**

In addition to working closely with all these actors on a situation-by-situation basis, where appropriate UNDP will **pre-negotiate basic partnership agreements** with relevant operational agencies. Some of the existing agreements are listed in annex 3.

4.3   Human Resources

A central element of UNDP's corporate support to early recovery is the quality and experience of its staff at the country level – and its ability to develop a 'quick reaction' culture within the organization. To this end:

- **UNDP will establish and train a cadre of managers and practitioners** who are prepared and able to respond to country-level needs at very short notice; they are supported by procedural and operational tools to match. This is currently being pursued by the BCPR-led SURGE project;

- **All RR/RCs and UNDP Country Directors/DRRs** will be trained on early recovery and surge policies, practices and implementation tools;

- **UNDP will encourage all professional staff to seek experience of both development and humanitarian situations.** Such a policy of rotation will enable staff to bridge the gap between the two and thus contribute to early recovery activities when the need arises.

- **Cross-training with OCHA:** To improve mutual understanding of the humanitarian and the developmental approach to early recovery.

4.4 Financial Instruments

UNDP will do everything it can to ensure adequate funding for early recovery activities. There are a variety of funding possibilities available. Some of these are within UNDP's control and can provide seed funding for essential early recovery programmes. Other mechanisms require more advocacy and amendment before they can become a predictable resource.

(a) Funds under UNDP management

- **CPR Thematic Trust Fund (TTF):** UNDP will establish an early recovery window for the existing TTF;

- **TRAC 1.1.3:** UNDP's own core funds for immediate crisis response are currently being utilized for sudden response grants which support RC coordination efforts for any crisis event and provide seed funding for early recovery/recovery programming.

- **TRAC 1 and 2 Resources:** UNDP will advocate for the use of country TRAC resources in frequent high disaster risk countries to address issues of early recovery, as well as disaster preparedness and mitigation

- **DSS/DAS:** The biennial budget provision for development support services in the UNDP office will be modified to include early response support to the UNDP Country Director/DRR.

(b) Other potential funding mechanisms

- **Humanitarian Flash Appeals:** Since early recovery issues should be addressed from the outset, UNDP will advocate for the inclusion of costs related to assessment, analysis, coordination and planning for early recovery in initial versions of flash appeals.

- **Humanitarian Consolidated Appeals Process (CAP):** This is the forum for seeking programmatic funds for early recovery, based on more detailed planning than is possible at the time of flash appeals.

- **Central Emergency Response Fund (CERF):** Although this relatively new mechanism focuses on life-saving humanitarian programmes, UNDP will advocate for the review of its criteria to include early recovery activities, since some activities can contribute to saving and sustaining life.

- **Common Humanitarian Pooled Funds (CHF):** CHFs are currently available in Sudan and DRC and can fund early recovery activities. Continued advocacy is needed to make sure early recovery activities are also considered as part of priority projects.

- **The Peace Building Fund (PBF):** The fund, which is managed by the UN Peace Building Support Office (PBSO) and administered by UNDP/MDTF Office, is designed to provide catalytic

support for stabilisation and peacebuilding initiatives directly addressing threats to peace. Through the PBSO's secretariat role to the Peace Building Commission and its outreach within the UN System, it seeks to raise awareness of funding needs beyond the catalytic contribution of the PBF to assure predictable and long-term funding to meet the full range of peacebuilding, recovery and development needs of the countries it supports.

- **Transitional Appeals:** Based on a number of country examples, the UNDG has developed guidance to UNCTs on the use of transitional strategies and appeals to identify and mobilize support for recovery needs in transitional settings (e.g., as a bridge while CCA/UNDAF are being prepared).

- **Early Recovery Fund:** UNDP will explore and engage in dialogue with donors, NGOs and UN agencies for the establishment of an early recovery fund to support the implementation of system wide early recovery activities at the country level.

- **World Bank's Standby Recovery Financing Facility (SRFF):** UNDP will support the use of these funds to lay the analytical groundwork for full recovery, in the context of early recovery activities.

- **UN Trust Fund for Human Security:** UNDP will advocate for the use of these funds for early recovery activities, and a simplification of the procedures to enable rapid disbursement for this purpose.

UNDP will keep all of these instruments under review with a view to possible improvements in support of early recovery, while ensuring that there is complementarity in the application of each mechanism.

4.5 Fast-Track Operational Procedures

As has been repeatedly stated, support to early recovery cannot be business as usual for UNDP. Nowhere is this more important than in operational procedures: recruitment, disbursements and procurement. The need to respond quickly and flexibly to changing needs and opportunities on the ground requires that administrative actions be accelerated, especially in the first weeks of a crisis.

- **Fast track authority:** In the early stages of a crisis and in accordance with UNDP's Standard Operating Procedures for Immediate Crisis Response, the Associate Administrator can approve Fast Track Authority to the UNDP Resident Representative/Country Director/DRR.

4.6 Knowledge Management

UNDP recognises that information and knowledge are central to its role in supporting early recovery. Bearing this in mind, UNDP will also put its extensive knowledge management tools at the service of the UN System in support of early recovery activities. By their nature, these tools are in a state of constant refinement and improvement:

- **Guidance notes:** UNDP has already led the preparation of a Guidance Note for the Cluster Working Group on Early Recovery. This will be supplemented by early recovery tools and guidelines in each of UNDP's applicable key result areas. Guidance will also be provided to country offices on integrating cross-cutting issues, such as risk reduction, conflict prevention, gender and human rights, into early recovery planning and programming.

- **Lessons learned and case studies:** UNDP will encourage and help facilitate lessons learned exercises to highlight good early recovery practice that could be replicated elsewhere, compare experiences and draw out common issues and challenges, and make our work more relevant, effective and accessible. From these exercises, UNDP will prepare case studies on early recovery planning and programming, to be shared within the UN system, as well as with other partners in the international community.

- **E-discussion groups:** UNDP has already established a CPR network with a network facilitator and conducted an early recovery e-discussion. UNDP will continue building a community of early recovery practitioners and ensure strong linkages with UNDP's Crisis Prevention and Recovery Network, and other networks.

- **Advocacy and communication:** The specificities of early recovery need to be clarified with all the stakeholders in this process. In collaboration with the CWGER UNDP will develop and implement an advocacy and communication 'campaign' targeted at national actors, UN agencies, donors and NGOs.

- **Capacity building:** UNDP will promote and support early recovery learning and capacity building within UNDP, to ensure a broad commitment to, understanding and application of its principles and practices.

UNDP will ensure that information and knowledge management components are designed and costed into its programmes and projects from their inception.

Annexes

Annex 1   Early Recovery in Humanitarian and Development Programmes

Early recovery in the context of transition
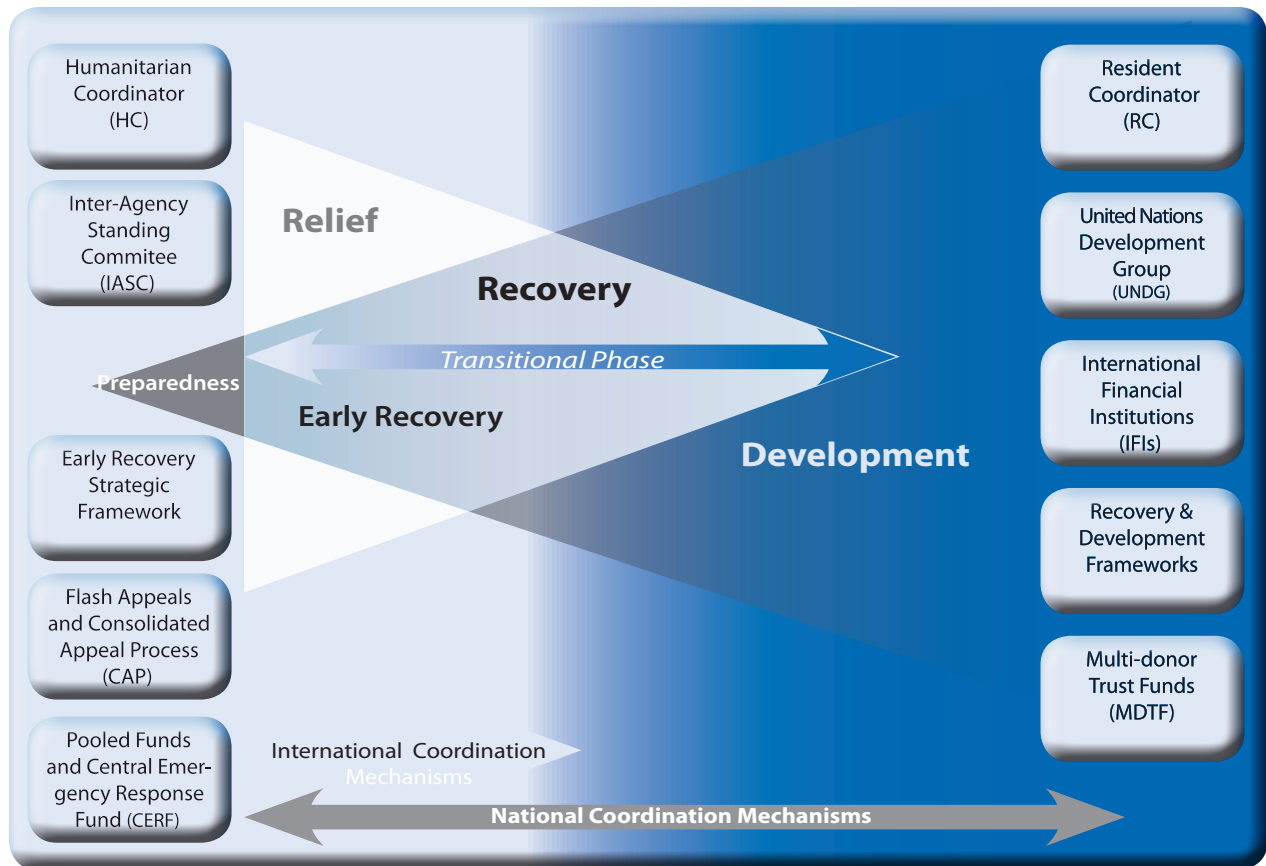
While early recovery is guided by development principles, it begins within the time frame of emergency intervention and must be integrated within humanitarian mechanisms. In practice, this means that early recovery coordination within the UN system falls under the overall responsibility of the Humanitarian Coordinator (or the Resident Coordinator, depending on the context), and early recovery activities should be integrated into humanitarian resource mobilization tools, such as flash appeals and consolidation appeal processes (CAPs). At the same time, in order to facilitate a smooth transition into longer-term development, early recovery needs to be situated in the context of development actors and processes. This figure suggests how early recovery can be integrated into relief and development contexts.

Annex 2   UNDP's Early Recovery Menu

Key Result Areas	Objectives	Menu of Possible Activities
Strengthened Post-Crisis Governance	❖ Support and reinforce national policy and planning processes	• National policy formulation • Capacity assessment & support • Information collection & management • Resource mobilisation & aid coordination • Advocacy & public information
	❖ Support and reinforce local level implementation capacity	• Provision of Essential hardware • Augment critical human resources
Effective Local Level Early Recovery	❖ Reinforce local administration capacity for recovery management	• Information collection & management • Planning for longer-term recovery
	❖ Improve community security and social cohesion	• Protection, access to justice and informal dispute resolution • Disarmament, demobilisation and reintegration (DDR) • Mine action • Restoration of critical basic infrastructure
	❖ Stabilisation of livelihoods	• Emergency temporary jobs • Targeted livelihood and self-employment start-up grants
	❖ Integrate relevant cross-cutting issues	• Risk reduction • Conflict prevention • Gender • Environmental protection
Coordinated Early Recovery Planning	❖ Develop a coordinated approach to early recovery	• Joint rapid assessment • Analysis of early recovery opportunities • Coordination across clusters
	❖ Lay the groundwork for long-term recovery	• Information management • Strategic planning for recovery
Headquarters Support	❖ Substantive & operational support to country offices	• Strategic policy support • Timely assignment of qualified staff • Commensurate financial resources • Responsive operational procedures
	❖ Strategic partnership with OCHA	• Coordinated support for HC/RC • Integrated information management system • Staff and training exchanges
	❖ Leadership of UN System global processes on early recovery	• Early recovery guidance notes • Joint management of staffing surge • Coordinated support for local level early recovery programmes

Annex 3   Supplementary Reading List on Early Recovery

1. **UNDP Strategic Plan** 2008-2011, June 2007.

2. **BCPR Bureau Strategy 2007-2011,** UNDP Bureau for Crisis prevention & Strategy, January 2007.

3. **Early Recovery Guidance Note**, prepared by the Cluster Working Group on Early Recovery, in cooperation with the UNDG-ECHA Working Group on Transition, October 2007.

4. **Memorandum of Understanding between UNOCHA and UNDP** on the relationship between UN Disaster Assessment and Coordination (UNDAC) Teams and UNDP/BCPR's Recovery Teams.

5. **Employment Creation, Income Generation and Reintegration in Post-Conflict Settings,** UN System-Wide Policy Paper.

6. **Towards a New Framework for Rapid Bank response to Crises and Emergencies,** World Bank, March 2007.

7. **Joint Guidance Note on Integrated Recovery Planning** using Post Conflict Needs Assessments and Transitional Results Frameworks, UNDGO/World Bank, September 2007.

8. **UNDP Capacity Assessment Practice Note**, Bureau of Development Policy, September 2007.

9. **Capacity Development Practice Note on Transitions**, Bureau for Development Policy, September 2007 **.**

10. **The livelihood assessment tool-kit**, Volume 1: Methodological and conceptual overview, FAO and ILO, 2007.

11. **The Needs Analysis Framework**, IASC CAP Sub-Working group. 2005, . http://www.reliefweb.int/cap/Policy/Needs Assessment/2005

12. **Guidance note on using the cluster approach to strengthen humanitarian response**, Inter-Agency Steering Committee, 2006.

13. **Inter-agency framework for conflict analysis in transitional situations**, UNDG. 2004.

14. **Practical guide to multilateral needs assessments in post-conflict situations**, joint project of the UNDP, World Bank and UNDG, 2004. http://www.undg.org/index

15. **Web pages on review of multi-donor trust funds**, UNDG, 2007.

16. **Guidance note on transitional appeals**, UNDG, 2007.

17. **Transitional strategies guidance note**, UNDG/ECHA, 2007.

18. **An operational note on transitional results matrices**, UNDG/World Bank, 2005.

19. **Employment Creation, Income Generation and Reintegration in Post-conflict Settings**, UN System-wide Policy Paper, draft October 2007.

Annex 4   Composition of the IASC Cluster Working Group on Early Recovery

FAO   Food and Agriculture Organization of the United Nations
ICRC   International Committee of the Red Cross
IFRC   International Federation of Red Cross and Red Crescent Societies
IOM   International Organization for Migration
OCHA   Office for the Coordination of Humanitarian Affairs
OHCHR   Office of the High Commissioner for Human Rights
UNDP   United Nations Development Programme
UNFPA   United Nations Population Fund
UNHCR   Office of the United Nations High Commissioner for Refugees
UNICEF   United Nations Children's Fund
WFP   World Food Programme
WHO   World Health Organization

In addition, though not members of IASC, but acknowledging their role in early recovery, the following organizations were invited to participate in the CWGER:

ILO   International Labour Organization
ISDR   International Strategy for Disaster Reduction
UN-HABITAT   United Nations Human Settlements Programme
UNDG(O)   (Office of the) United Nations Development Group
UNEP   United Nations Environment Programme
UNOSAT   United Nations Institute for Training and Research (UNITAR)
                   Operational Satellite Applications Programme
UNV   United Nations Volunteers
UNESCO   United Nations Education, Scientific and Cultural Organization
Mercy Corps   Mercy Corps
WSPA   World Society for the Protection of Animals
                   Charitas International
                   ActionAid
                   ProlAct
                   InterAction
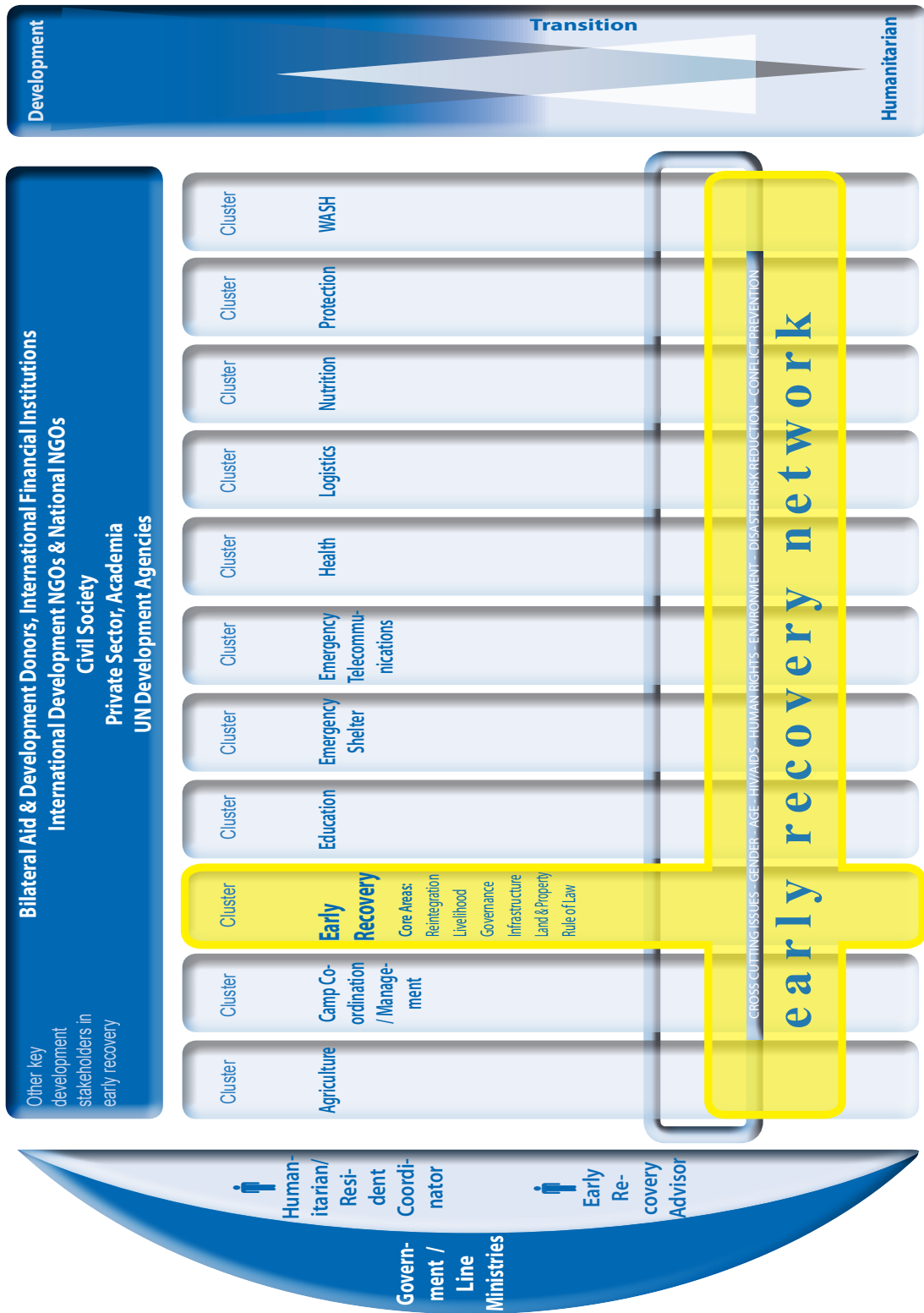
International support for early recovery coordination

Early recovery provides a unique opportunity for humanitarian and development actors to work together as early as possible in support of nationally-led recovery efforts. Early recovery coordination can be seen as an interface between the two communities, bridging the gap between humanitarian intervention and longer-term recovery. The main actors involved are:

1. First and foremost, early recovery should be owned and led by national actors. As far as possible, depending on the context, **government structures/line ministries** should lead coordination for early recovery;

2. Within the UN system, the **Humanitarian Coordinator/Resident Coordinator (HC/RC)** has the lead responsibility for coordinating the early recovery efforts of international organizations in cooperation with national actors. This responsibility translates into ensuring effective coordination and information-sharing on early recovery amongst the different sectoral groups; avoiding unnecessary duplication and overlap in early recovery; coherent strategic planning for early recovery across all sectors; and integrating cross-cutting issues such as age, environment, gender, HIV/AIDS and human rights in early recovery processes. An **Early Recovery Advisor** can be deployed from the CWGER In support of this inter-cluster early recovery function;

3. UNDP, in its role as the lead of the IASC Early Recovery Cluster, may set up and run a **cluster to cover the 'core areas' of early recovery**, such as for example, livelihoods, reintegration, land & property, infrastructure, governance, and the rule of law. The focus of the cluster will be determined by identifying the early recovery 'gaps' i.e. those areas of early recovery not covered by the other clusters.

4. However, early recovery is a multi-dimensional process (as opposed to a sector) and needs to be organized differently from other sector-based groupings. As a common concern it cannot be limited to the work of one cluster. Each of the other IASC Clusters on the ground - such as Health, Protection, Education, etc – needs to systematically plan and implement early recovery interventions within the context of their own specific areas of work. It is recommended, therefore, to establish a **network of early recovery focal points** in each of the other clusters, to work together on the integration, mainstreaming and coordination of early recovery issues;

5. A number of other players, in both the humanitarian and development spheres, also have a key role to play in the collective response and recovery effort. It is the responsibility of the network of early recovery focal points to reach out to these **key development stakeholders in early recovery**, such as the International Financial Institutions, Civil Society Organizations, international and national NGOs, the private sector, etc – and include them in the planning and implementation of early recovery interventions;

6. This same network of early recovery focal points shares responsibility with the HC/RC ensure that **cross-cutting issues**, such as gender, age, human rights, environment and HIV/AIDS, are taken into account and tackled in a coherent and integrated way throughout the early recovery process.

   • An **Early Recovery Advisor** works in support of the HC/RC to provide assistance with early recovery strategic planning and forging inter-cluster linkages on early recovery-related issues.

   • Depending on the scale and complexity of the early recovery situation, an **Early Recovery Cluster Coordinator** can also be deployed to support the facilitation of a cluster covering the 'core areas' of early recovery.

While the above model of early recovery coordination is recommended, other models are emerging from actual experiences on the ground.