United Nations Development Programme

UNDP Policy on
Early Recovery

22 August 2008

UNDP is the UN's global development network, advocating for change and connecting countries to knowledge, experience and resources to help people build a better life.

For questions or further information on this publication please contact
Miguel Bermeo
Senior Deputy Director
UNDP Bureau for Crisis Prevention and Recovery
at miguel.bermeo@undp.org
or
Jennifer Worrell
Chief, Early Recovery Team
UNDP Bureau for Crisis Prevention and Recovery
at jennifer.worrell@undp.org
or
visit **www.undp.org/cpr**

Contents

List of Abbreviations 4
Executive Summary 5
1 Situating the Policy 7
1.1 Defining Early Recovery 7
1.2 The Crisis Setting 8
1.3 Characteristics of Different Crisis Situations 8
1.3.1 Time-frame 8
1.3.2 National institutions 9
1.3.3 International institutional framework 9
1.4 The UNDP Institutional Context 10
1.5 Guiding Principles for Early Recovery Activities 11
1.5.1 National ownership 11
1.5.2 National capacity utilisation and support 11
1.5.3 Community-centred approach 11
1.5.4 Conflict prevention and risk reduction 12
1.5.5 Promoting gender equality 12
1.5.6 Transparency and accountability 12
2 Statement of UNDP Policy 13
2.1 General Framework and Approach 13
2.2 Country Level Roles and Responsibilities 14
2.2.1 Strengthened post-crisis governance functions 14
2.2.2 Effective local level early recovery 15
2.2.3 Coordinated early recovery planning 20
2.3 Headquarters Roles and Responsibilities 21
2.3.1 Substantive and operational support to UNDP country offices 22
2.3.2 Strategic partnership with OCHA 22
2.3.3 Leadership of UN system global processes on early recovery 22
2.4 Accountabilities 23
3 Policy Implementation 24
3.1 Corporate Support and Back-Up 24
3.1.1 UNDP's Standard Operating Procedures for Immediate Crisis Response 24
3.1.2 Fast-Track Operational Procedures 25
3.2 Human Resources 25
3.3 Financial Instruments 26
3.3.1 Funds under UNDP management 26
3.3.2 Other potential funding mechanisms 26
3.4 Fostering Partnerships 27
3.5 Knowledge Management 28
4 Annexes 29
4.1 Annex 1 - Early Recovery in Humanitarian and Development Contexts 29
4.2 Annex 2 - Early Recovery Coordination Mechanism 30
4.3 Annex 3 - Composition of the IASC Cluster Working Group on Early Recovery (CWGER) 31
4.4 Annex 4 - UNDP's Early Recovery Menu 32
4.5 Annex 5 - Global Cluster Leads 33
4.6 Annex 6 - Supplementary Reading 34

List of Abbreviations

AIDS	Acquired immune deficiency syndrome
BCPR	Bureau for Crisis Prevention and Recovery (UNDP)
CAP	Consolidated Appeal Process
CO	Country Office (UNDP)
CPR	Crisis prevention and recovery
CSO	Civil society organizations
CWGER	Cluster Working Group on Early Recovery
DAS	Development advisory services
DDR	Disarmament, demobilization and reintegration
DPA	Department of Political Affairs
DPKO	Department of Peacekeeping Operations
DRR	Deputy Resident Representative
DSS	Development support services
ECHA	Executive Committee for Humanitarian Affairs
EPES	Emergency Public Employment Services
HC	Humanitarian Coordinator
HIV	Human immunodeficiency virus
HQ	Headquarters
HRBA	Human Rights Based Approach
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
NGO	Non-governmental organization
OCHA	Office for the Coordination of Humanitarian Affairs
PBSO	Peacebuilding Support Office
PCNA	Post-Conflict Needs Assessment
PDNA	Post-Disaster Needs Assessment
RC	Resident Coordinator
RR	Resident Representative
SRSG	Special Representative of the Secretary General
TCPR	Triennial Comprehensive Policy Review
TRAC	Target for Resource Assignments from the Core
TTF	Thematic Trust Fund
UNCT	UN Country Team
UNDAC	UN Disaster Assessment and Coordination (team)
UNDOCO	UN Development Operations Coordination Office (previously UNDGO)
UNDP	United Nations Development Programme
UNFPA	UN Populations Funds
UNHCR	Office of the UN High Commissioner for Refugees
UNOSAT	UN Institute for Training and Research (UNITAR) Operational Satellite Applications Programme

Executive Summary

Crises erode development investments, challenge the capacities of vulnerable groups, and frequently overwhelm national authorities. They hamper poverty reduction efforts and stop or reverse progress towards the Millennium Development Goals. In the context of humanitarian situations, it is paramount for UNDP as a development actor to engage in early recovery activities, preventing local and national capacities from deteriorating further, and beginning to build foundations for longer-term recovery - even while humanitarian efforts are still unfolding. This document is the policy statement of UNDP roles and responsibilities in early recovery at both the country and global levels; it sets out the measures UNDP will execute to ensure that the policy translates into effective actions on the ground.

Section 1 defines early recovery as the application of development principles to humanitarian settings. Early recovery is the interface at which humanitarian, development and, possibly, peacekeeping partners co-exist and interact. It is the arena in which recovery planning and development programming are initiated early, thus minimizing the gap between the end of relief and the start of longer-term recovery. The policy is situated within the context of both conflicts and natural disasters, recognizing that different cases pose unique and different challenges. The policy is rooted in UNDP Executive Board decisions and the 2008-2011 UNDP Strategic Plan and establishes a clear institutional basis for UNDP engagement in early recovery.

Section 2 details responsibilities at the country and global levels regarding the UNDP programming role and its system-wide leadership role. At the country level (and depending on need), UNDP focuses on: (1) **strengthening post-crisis governance** by supporting and reinforcing government capacity at national and local levels to manage early recovery and to plan for full recovery; (2) **facilitating effective local level early recovery**, drawing from a menu of possible activities tailored to local circumstances; and (3) **supporting coordinated planning for early recovery** by strengthening the capacity of the Humanitarian Coordinator/Resident Coordinator (HC/RC) to undertake systematic early recovery assessment, analysis, coordination and planning. At the global level, UNDP supports country activities in two ways: first by providing **substantive and administrative backstopping** for UNDP country offices in support of the above policy; and second by supporting the Inter-Agency Standing Committee **Cluster Working Group on Early Recovery (CWGER)** with leadership and coordination and by advocating for resources in support of early recovery activities.

Section 3 outlines the organizational support and back-up that is needed for effective policy implementation. UNDP recognizes that implementation of this corporate policy on early recovery represents a significant challenge for the organization. UNDP support to early recovery in humanitarian settings cannot be 'business as usual'. UNDP needs to make substantial changes to the way it operates in crisis situations. An important framework for guiding the organization's implementation of this policy is provided by the SURGE project, which has established Standard Operating Procedures for Immediate Crisis Response. Furthermore, in order to implement this policy effectively, UNDP needs to address the following four key challenges:

Human resources. UNDP must further foster a culture for quick reaction within its organization in order to ensure that country office capacity is augmented through rapid deployment of appropriately qualified staff as soon as a crisis happens and assistance is requested. To this end, the organization has an expanding internal cadre of managers and practitioners (SURGE Advisors)

trained to respond at short notice. Supervisors are encouraged to allow staff temporary release from their current duties to support country offices during crises. As part of its system-wide leadership role for early recovery, UNDP, on behalf of the CWGER, deploys inter-agency support in the form of Early Recovery Advisors and specialists for assessments and information management as needed for conducting assessments, strategic planning and coordination of early recovery activities. Other mechanisms such as rosters of external consultants for either UNDP country office support or system-wide functions are in place or being reinforced.

Responsive operational procedures. To ensure that human, financial and procurement procedures are accelerated in the earliest phases of a humanitarian situation, including the possibility of providing fast track authority for the UNDP Resident Representative/Country Director/Deputy Resident Representative, UNDP has developed Standard Operating Procedures for Immediate Crisis Response.

Financial resources. Because unpredictable funding is a major impediment to rapidly rolling out early recovery programmes, UNDP does everything possible to mobilize adequate funding for early recovery activities, through both internal seed funding and external resource mobilization. All available funding mechanisms (including humanitarian reserves and country pooled funds), have been and can be used for strategic early recovery interventions. It has, however, been difficult to meet the full range of early recovery needs in most crises; this underscores the need to ensure timely and predictable early recovery resources.

Partnerships. National authorities are UNDP's primary partners. Partnerships are also in place with many parts of the UN system, including: (1) with the UN Office for the Coordination of Humanitarian Affairs for coherent support to the HC/RC; (2) with the members of the CWGER for coherent support to country teams; (3) with members of the UN Development Group / Executive Committee for Humanitarian Affairs Working Group on Transition to support recovery coordination; (4) with the UN Department of Political Affairs for integration of early recovery into political missions; (5) with the UN Department of Peacekeeping Operations for matters such as the integration of security sector reform, rule of law and disarmament, demobilization and reintegration; (6) with the Peace-Building Support Office for planning frameworks; (7) with the World Bank on matters such as developing and implementing joint approaches to post-crisis needs assessments; and (8) with non-governmental organizations (NGOs) on programmatic collaboration. UNDP will deepen the quality of its partnerships by pre-negotiating basic partnership agreements with relevant operational agencies and through regular, close liaison with international financial institutions including the World Bank and the applicable regional development banks, and with relevant actors at the country level.

1 Situating the Policy

1.1 Defining Early Recovery

Early recovery is the application of development principles to humanitarian situations in order to stabilize 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. Stabilizing and using these capacities in turn reduces the amount of humanitarian support required.

Life saving relief is undeniably the most important priority in a crisis situation. However, affected populations start looking for ways to rebuild their lives at the same time. Support that stabilizes 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 the 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 necessary for longer-term success.

Definition

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, CWGER, April 2008)

This can be achieved through distinct early recovery activities that help stabilize the immediate situation and efforts that identify opportunities for longer-term recovery and eventually development. In this sense, early recovery starts as early as possible during humanitarian action (see Annex 1). Doing this allows actors to bring development principles into the relief stage and to seize opportunities that go beyond saving lives and contribute to restoration of national capacity, livelihoods and human security.

Early recovery has three important characteristics:

- **It is not a separate stage in a sequential continuum between relief and recovery**. In most situations, different vulnerable groups and affected areas recover at different rates, so relief and recovery efforts may take place simultaneously. As a result, early recovery takes place parallel to and at the same time as the humanitarian relief programmes, giving strength and purpose to the overall recovery.

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

- While early recovery paves the way for future longer-term activities, **it is important 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 activities, service delivery and community security programmes. Recovery programmes, in turn, 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 based on a systematic, multi-dimensional needs assessment such as the Post-Conflict Needs Assessment or Post Disaster Needs Assessment.

1.2 The Crisis Setting

In recent years, the incidence of disasters requiring international humanitarian response has increased. Rapid population increase and urbanization mean more people are living in densely populated high-risk areas of the world. At the same time, countries continue to be overwhelmed by violent conflicts (especially civil wars) that threaten the lives and livelihoods of substantial populations. Many conflict-related situations are protracted affairs, condemning affected populations to live for prolonged periods in danger and without immediate prospects for 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, challenge the capacities of vulnerable groups, and frequently overwhelm national authorities. They hamper poverty reduction efforts and arrest or even reverse progress towards the achievement of the Millennium Development Goals. 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. Nevertheless, the continuing occurrence of disasters and conflict means that effective action is necessary to support early recovery wherever possible.

1.3 Characteristics of Different Crisis Situations

UNDP recognizes the unique challenges of each crisis and adjusts its assistance to the needs and demands of each country and situation. General policy must be adapted to take into consideration these differences. For example, because of their size and capacities, small island developing states may be completely devastated by a single disaster that totally disables national governance systems.

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

1.3.1 Time-frame

Following a sudden onset disaster such as an earthquake or a hurricane, while immediate humanitarian consequences 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 international financial institutions (IFIs), where they are involved, increasingly make their inputs early on. As a result, early recovery activities may occur in a relatively short time span and constitute a limited but very strategic range of activities.

Conflict-related situations and slow onset disasters such as droughts 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, and early recovery activities may represent their main hope for any return to a semblance of normality and stability to avoid falling back to crisis.

1.3.2. National institutions

UNDP's natural partner is the government at the national and local levels. However, it is also recognized that the capacities of government and systems of governance may be severely disrupted by crisis. Indeed, resolution of conflict often requires a renegotiation of institutional and systemic agreements; and significant adjustments in staffing and decision-making patterns can often overwhelm weakened structures and challenge their ability to keep pace with the demands of crisis response while also dealing with political settlement priorities. Early recovery action should recognize and adapt to these constraints and to sensitivities related to building confidence in a post-conflict setting. It should also be flexible so that it can effectively focus on local, community and civil society actors as important avenues of response.

1.3.3. International institutional framework

National and even local governments handle many medium- and small-scale disasters alone with limited external assistance from the Resident Coordinator (RC) and the UN Country Team. These situations may not require the cluster approach of the Inter-Agency Standing Committee, but UNDP still needs to provide relevant capacity and programmatic support.

In larger disasters, the international response mechanisms led by the Office for the Coordination of Humanitarian Affairs (OCHA), which involve the roll-out of the humanitarian cluster approach, may be activated. This includes a rapid assessment of the situation by an UN Disaster Assessment and Coordination team, and may entail the appointment of a Humanitarian Coordinator (HC, usually the RC), and reinforcement of the HC/RC's office by OCHA, UNDP and in some cases the UN Development Operations Coordination Office (UNDOCO, formerly DGO). Early recovery begins in this humanitarian set-up and coordinates closely with the humanitarian agencies, while also closely linking and cooperating with UNDOCO and the IFIs on longer-term recovery.

Early recovery is a multi-sectoral process that cuts across all of the humanitarian clusters and needs to be organized differently from responses in a closely-defined sector such as nutrition. At the same time, some core aspects of early recovery do not fit into the traditional humanitarian clusters and may require 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 2.)

International engagement in conflict-related situations brings in additional actors, including the UN's Department of Political Affairs (DPA) and potentially also the UN peacebuilding architecture. Where possible, early recovery in such situations can start even before a peace agreement is signed, operating in areas of relative stability or with specific groups, for example capacity-building efforts with groups in camps for internally displaced persons (IDPs).

When the UN deploys a peacekeeping operation, the Department of Peacekeeping Operations (DPKO) becomes a major partner, and the need to link the different dimensions of peacebuilding (political, development, humanitarian, and security) into a coherent support strategy becomes critical. In integrated missions, the Special Representative of the Secretary-General (SRSG) is responsible for coordinating the activities of the entire UN system in the field with the assistance of the Resident and Humanitarian Coordinator (RC/HC) who serves as Deputy SRSG, the principle interface with the UN Country Team, and leads the coordination effort for humanitarian, development and recovery activities, including early recovery.

Despite the fact that multidimensional UN peacekeeping operations often lack the programme funding and technical expertise required for early and long-term recovery efforts, they are often mandated by the Security Council to play a catalytic role in activities critical to implementing the peace agreement, including those related to early recovery in disarmament, demobilization and reintegration, mine action, security sector reform and other rule of law activities, and to support the restoration of state authority. Linkages between UNDP's early and longer-term recovery efforts and the UN peacekeeping activities are, therefore, critical, and can be facilitated by the Integrated Mission Planning Process, which is designed to promote the identification of shared objectives and strategy.

1.4 The UNDP Institutional Context

Crisis prevention and recovery has been an increasingly prominent dimension to UNDP's work, building on the clear mandate it received in 1997 from the **UN General Assembly** to operate in 'special development situations'.[1]

UNDP's Executive Board has also given its full support, with crisis prevention and recovery recognized as a practice area for the organization since 2001, when the Bureau for Crisis Prevention and Recovery (BCPR) was formally established. BCPR was charged with helping UNDP 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* recognizes 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 UNDP 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 upon 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 crisis. 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)

The *Triennial Comprehensive Policy Review (TCPR) of 2007* (A/C.2/62/L.63) recognizes the vital role of the UN development system in transitions from relief to development, requests that the system "strengthen interdepartmental and inter-agency coordination in order to ensure an integrated, coherent and coordinated approach to assistance at the country level" in these situations, and takes particular note of the role UNDP can play in building "support capacity for early recovery in situations from relief to development." The TCPR emphasizes the need to adapt to the specificities of each country setting, to respond to national demand and to focus on capacity development, and calls on countries to "provide timely, predictable and sustained financial contributions for the operational activities of the United Nations system for early recovery and long-term development for countries in transition from relief to development."

[1] General Assembly Resolution 46/182 of 19 December 1991 (annex, paragraphs. 9-10), General Assembly Resolutions 52/12A and B.

Within the UN system more generally, UNDP has worked closely with UN humanitarian agencies, both globally and at the country level. It is an active member of the **Inter-Agency Standing Committee (IASC)**, which brings together UN agencies, the International Red Cross and Red Crescent movement and international NGOs to strengthen humanitarian operations.

In 2005, the UN humanitarian system underwent a comprehensive reform process that 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 that capacity it leads the Cluster Working Group on Early Recovery, a group of 24 international agencies and NGOs with an interest in this subject. (See Annex 3 for the list of members.) This decision reflects the shared understanding by 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 that address the political dimensions of conflicts. UNDP works with DPA, DPKO and, more recently, with the Peacebuilding Support Office. UNDP also works closely with the IFIs and particularly with the World Bank as conflict and disaster situations stabilize 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.

1.5 Guiding Principles for Early Recovery Activities

The following general development principles are commonly regarded as being at the heart of early recovery thinking:

1.5.1 National ownership

National ownership is very important for successful early recovery efforts to stabilize the situation following a crisis. It is indispensable for the achievement of a more sustainable full recovery: international actors will come and go, but national actors remain. National ownership is not synonymous with government ownership; many other state and non-state actors are important to sustainability. This is a particularly important distinction when government institutions may have been weakened in conflict situations.

1.5.2 National capacity utilisation and support

National ownership cannot fully materialize 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. This includes important minority groups such as youth that have tremendous potential to act as agents of change towards peace and development.

1.5.3 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 take place. Community participation in decision-making, implementation and monitoring and evaluation of local programmes increases the appropriateness of the early recovery interventions.

1.5.4 *Conflict prevention and risk reduction*

A crisis can create opportunities to address conditions that led to 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.

1.5.5 *Promoting gender equality*

Promotion of gender equality and women's empowerment should be integrated as a cross-cutting issue in all early recovery activities and should be addressed beginning with the initial assessment and planning stages of early recovery. These efforts should build 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 *Security Council Resolution 1325 on Women and peace and security* adopted in 2000. In addition to addressing gender as a cross-cutting issue, in areas where severe gender inequality and discrimination exist, including gender based violence, early recovery programmes should also include specific components addressing gender equality and women's empowerment.

1.5.6 *Transparency and accountability*

Transparency and accountability must include 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 entails recognizing beneficiaries as active rights-holders at the centre of the recovery process, who are reached through information sharing, local grievance and redress mechanisms, and other forms of participation.

2 Statement of UNDP Policy

2.1 General Framework and Approach

UNDP promotes and supports early recovery from the onset of humanitarian operations. UNDP considers this approach to be essential for at least four reasons:

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

2. Early recovery can reduce the need for humanitarian programmes in the medium-term because it contributes to strengthening 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.

4. In post-conflict settings, if delivered in a timely fashion and distributed equitably, early recovery efforts can reduce the risk of a relapse into conflict by helping to meet expectations of a peace dividend and by building confidence in the peace process.

As a result, UNDP is 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 Inter-Agency Standing Committee (IASC)) and, where appropriate, within its peacekeeping/peacebuilding efforts including integrated mission planning and processes. In so doing, UNDP will, *inter alia*, contribute its experience in managing the Resident Coordinator system, as well as its distinctive programmatic expertise and insights. In particular, within the humanitarian cluster framework, UNDP will exercise leadership in the global Cluster Working Group on Early Recovery, while also participating in other clusters (such as protection) as appropriate. UNDP also promotes inclusion of recovery preparedness planning in the IASC contingency planning process.

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 will facilitate an enabling environment conducive to recovery, restoration of administrative and service delivery capacity, and training 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 is very conscious that it has no monopoly on early recovery activities, and, indeed, other agencies and each and every cluster have extensive experience and operational capacity in this area. UNDP 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 the overall performance by the UN system. It will encourage harmonization of various sectoral and cross-cutting early recovery activities so as to achieve increased coherence and effectiveness.

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

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

1. **Strengthen post-crisis governance** by supporting and reinforcing government capacity at the national and local levels 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 Coordinator/Resident Coordinator (HC/RC) to undertake systematic assessment, analysis, coordination and planning for early recovery activities.

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

1. **Provide substantive and administrative backstopping** for country offices (COs) in support of the above policy.

2. **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.

2.2 Country Level Roles and Responsibilities

The following menu of possible activities for UNDP at the country level is summarized as a table in Annex 4 and should be read keeping in mind the limits of what is possible in the context of early recovery. Early recovery must be quick, responsive and flexible, tailored to circumstances, needs and opportunities that often rapidly evolve.

2.2.1 Strengthened post-crisis governance functions [2]

UNDP will provide country-specific support as requested to ensure national management of the process, including restoring 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 to support early post-crisis resumption of governance functions to facilitate recovery. It will assist the authorities in strategizing, negotiating and engaging in dialogue with affected communities, as well as with national and international partners.

UNDP will place special emphasis on identifying 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, international financial

[2] 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 subsection stresses reasserting government leadership in the post-crisis situation, a central element of governance that is 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 2.2.2.

institutions such as the World Bank, the International Red Cross and Red Crescent Movement, and national and international NGOs.

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

2.2.1.1 Support and reinforce national policy and planning processes

UNDP will provide a number of forms of support and reinforcement for 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 a Post-Conflict Needs Assessment (PCNA) and a Post-Disaster Needs Assessment (PDNA) that places assets and vulnerability at the centre of its analysis and promotes integrated and comprehensive approaches that support 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 assess the situation 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, 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 support existing information systems established by the authorities or by the UN, particularly the Office for the Coordination of Humanitarian Affairs (OCHA), and, where deployed, UN peace operations, and migrate these to government-led information systems when possible. It will focus particularly on types of information that are critical for early recovery and full recovery.

- **Resource mobilization and aid coordination**. During the humanitarian phase, UNDP is committed to supporting post-crisis countries in mobilizing resources for early recovery and for setting up effective aid management mechanisms, in line with broadly accepted good practices. In this work, UNDP 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.

2.2.1.2 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 are 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 civil society organizations wherever possible.

2.2.2 Effective local level early recovery

Where appropriate, UNDP will initiate local level early recovery activities adapted to 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 partners, civil society organizations including NGOs and the International Red Cross and Red Crescent Movement,** and will aim for integration into a comprehensive local programme.

UNDP assistance will be provided so as to **facilitate local level early recovery**. This programme area will be founded on UNDP's extensive experience supporting local level development through area-based development programmes. It will provide an implementation platform for the delivery of UNDP support that combines rapid disbursement with full accountability for fund management.

UNDP engagement in the areas listed below will be undertaken only in full consultation with national authorities, the HC/RC and the country team and, where deployed, the Special Representative of the Secretary-General (SRSG) and UN peacekeeping operation. (See Annex 5 for a matrix of global cluster leads.) It will seek to harness UN system expertise and delivery capacity wherever possible. It will do so, however, understanding that in the context of early recovery, implementation depends upon rapidly changing priorities on the ground at different stages of early recovery. In order to ensure full accountability to beneficiaries, comparative advantage and proven capacity, rather than mandate alone, must inform the selection of UNDP implementing partners in early recovery.

The 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 country specificities including whether the response is in the context of conflict or natural disasters.

2.2.2.1 Reinforce local government capacity

This element represents the local expression of UNDP's support to post-crisis governance functions. Due to UNDP's established presence in countries before, during and after emergencies and its extensive experience with supporting governments to reinforce their capacity, UNDP is well placed to provide quality advice and assistance in this area. This may include:

- **Providing essential hardware**. This entails supplying 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.

- **Augmenting critical human resources**. This involves providing staff support where there may be technical knowledge and staffing gaps in foundational areas for recovery such as information management, aid coordination, financial management, and participatory planning. If local government capacities are so eroded that they cannot oversee the management of programmes on the ground, temporary capacity enhancement may be necessary.

- **Supporting information collection and management**. This entails support to pre-existing information systems of the authorities or the UN, particularly OCHA, and, when missing, helping to set up such systems for information critical to accelerate recovery processes such as loss/damage/needs assessment, beneficiary identification, and registry of land ownership. Information should be disaggregated by sex as much as possible.

- **Planning for longer-term recovery**. UNDP will use 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.

2.2.2.2. Improve community security and social cohesion

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

- **Community security, protection, access to justice and informal dispute resolution**. During early recovery, community security, protection and access to justice can be strengthened through public awareness and empowerment of legal professionals, paralegal civil society organizations, police and the judiciary – key structures for supporting the rule of law even during a conflict. Facilitation of access to justice by providing legal assistance and initial capacity development for legal professionals, law enforcement and courts enables local stakeholders and institutions to counter violations and address impunity.

- **Empowering informal, community level, dispute resolution processes**, including traditional ones, can complement efforts to enhance peaceful conflict resolution and confidence-building. Equally important, providing the public with information about their rights and establishing grievance committees to handle disagreements can be useful both in disasters and conflict situations.

- **Disarmament, demobilization and reintegration (DDR)**. While longer-term security sector reform must normally wait for a peace settlement, DDR planning must begin during early recovery in order to stabilize the situation, reduce insecurity and promote the 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 work can begin on sensitizing the population about the return of ex-combatants, as can labour intensive work integrating ex-combatants and civilian youths, and mapping reintegration opportunities.

- **Mine action**. As part 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 (such as hospitals, bridges, roads, electrical installations and railways), open major road networks, and secure refugee and IDP resettlement areas. Where UN peacekeeping operations are deployed, or in the context of humanitarian emergencies, the responsibility to coordinate such activities rests with the Mine Action Service of the Department of Peacekeeping Operations. UNDP will assist with the development of national mine action institutions and the legislative framework for implementation of activities in the affected country.

- **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 work will be quite limited and will stop short of full-scale reconstruction of housing or major infrastructure, which UNDP will not undertake. It will likely be confined to public works activities (such as rubble clearance, canal or embankment repair, waste disposal and very limited road repair) that can be undertaken mostly by the communities as cash for work projects or Emergency Public Employment Services as important employment opportunities in public works.

2.2.2.3 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 and in close cooperation with UNHCR and other members of the Cluster Working Group on 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 also recognized that targeted support for IDPs may be required due to the particular vulnerabilities of this group. UNDP support will include:

- **Strengthening local government capacity to prepare areas of return and reintegration**. UNDP will work to strengthen local government capacity to facilitate the resettlement and reintegration of IDPs. This may involve preparing return areas, including providing basic social services and governance functions, and rehabilitating community infrastructure. In addition, UNDP and its partners will support the resolution of land tenure issues and the creation of livelihood opportunities for IDPs, including efforts to address obstacles to viable employment. UNDP will also facilitate IDP participation in local and nationally led democratic processes.

- **Supporting 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.

- **Supporting peacebuilding and other social cohesion efforts**. This will include supporting the effective reintegration of IDPs by ensuring real participation in peacebuilding 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, security, access to justice and informal dispute resolution mechanisms, and the inclusion of host communities in reintegration support efforts.

2.2.2.4 Stabilizing livelihoods

Stabilizing livelihoods helps consolidate security and stability. While all activities in this area will strive 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, and the elderly. 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 creating short-term employment; 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 the International Labour Organization on 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 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 small-scale community infrastructure for the delivery of key public services.

- **Targeted livelihood and self-employment start-up grants**. These grants target those most affected by conflict. Cash grants help re-monetize and boost spending by providing the resources people need to develop livelihoods in sectors such as trade. The 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 often live in mine-affected areas. Livelihood activities can be more quickly restored if mine action activities target communities that heavily depend on agriculture.

2.2.2.5 Integrate relevant cross-cutting issues

Local level recovery programmes will integrate relevant cross-cutting issues from the onset of an operation. To ensure this, UNDP will work with partners such as the International Strategy for Disaster Reduction for risk reduction, the UN Population Fund (UNFPA) for gender equality, the UN Environment Programme for environmental protection, and Office of the High Commissioner for Human Rights for human rights.

- **Risk reduction**. A comprehensive risk reduction approach that requires institutional and legislative changes is not possible during early recovery. Activities need to be limited and achievable. They could include: information dissemination to the displaced and returnees after 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 for Action* and capacity development of local and national disaster management authorities.

- **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, or by reinforcing corruption or creating parallel systems and structures that undermine existing institutions). Particular attention will be placed on developing early recovery plans and priorities that take into account critical drivers of conflict, the ethnic or social diversity of societies, and that ensure sufficient inclusion and participation of key groups such as women, youth and minorities.

- **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.[3]

- **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 for 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 efforts in early recovery involves ensuring a continuum of HIV services throughout all phases of a humanitarian crisis, from relief to early recovery to development. These linkages need to be made soon after a crisis to ensure that humanitarian programming links up with national AIDS strategies and plans, while 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 a human rights based approach

[3] See *UNDP strategic vision on assistance to crisis-affected countries* for more information on how this agenda will be implemented.

(HRBA) in development cooperation, respect for human rights and fundamental freedoms 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 rights-holders must make in order 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.

2.2.3 *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 that stimulate and support early recovery, address all opportunities for early recovery, and 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. These personnel and assets will be placed at the disposal of the UN Humanitarian Coordinator/Resident Coordinator (HC/RC) to support the work of all UN partners 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 HC/RC.

In addition to reinforcing the HC/RC office, UNDP will also play an active role in the deliberations of the country team. This will include participating in country team's contingency planning to ensure that, where possible, planning for early recovery takes place prior to a crisis event. The UNDP Country Director/Deputy Resident Representative (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 its network of contacts with national players that results from its long-standing presence and operational activities. As mentioned previously,[4] 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.

In contexts where peacekeeping operations are deployed, UNDP will actively lead the planning and operational implementation of country team early recovery activities in coordination with peacekeeping activities that are critical to early recovery, including mine action, security sector reform, rule of law, and disarmament, demobilization and reintegration. UNDP will also foster the integration of early recovery objectives and activities into integrated mission planning processes and mechanisms at both headquarters and field level. It will also support the Deputy SRSG/HC/RC leadership function to strengthen the early recovery components in the planning and implementation of integrated missions.

4 "L-shaped" early recovery coordination architecture mentioned on page 9 and depicted in Annex 2.

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

2.2.3.1 Develop a coordinated approach to early recovery

- **Joint rapid assessment**. On behalf of the Cluster Working Group on Early Recovery (CWGER), UNDP will deploy a Needs Assessment Specialist at the earliest opportunity to participate in a rapid assessment together or concurrently with an **UN Disaster Assessment and Coordination 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, which will be led and coordinated by UNDP.

- **Analysis of early recovery opportunities**. A particular focus on analysis will underpin this coordination and facilitation role. 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, under the supervision of the HC/RC, 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**. An early recovery network with focal points in each of the humanitarian coordinating clusters (where they exist) will be needed to ensure that early recovery approaches are incorporated and implemented in humanitarian programmes wherever and whenever feasible. This network may be complemented by an additional cluster led by UNDP to cover the areas of early recovery not covered by other clusters. (See Annex 2.)

2.2.3.2 Lay the groundwork for long-term recovery

- **Information management**. UNDP will place technical staff support in the HC/RC office to work with the OCHA-led humanitarian information management system to help maintain its data and expand it to include elements important to early and full recovery. Support will also be provided to link this system with that of the national authorities, ensuring that the system complements and does not replace their work, and migrating the information to the national systems when possible.

- **Strategic planning for recovery**. Under the supervision of the HC/RC, the Early Recovery Adviser will **coordinate** the needs assessments and ensure the participation of appropriate technical staff in these assessments when they are activated in collaboration with the World Bank and/or other relevant actors.

2.3 Headquarters Roles and Responsibilities

UNDP's commitment to early recovery approaches and activities 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, the Bureau of Partnerships, the Bureau of Management, and the Regional Service Centres and/or sub-regional resource facilities. This commitment also includes the UN Development Operations Coordination Office insofar as the Resident Coordinator function is concerned.

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

supervises the work of the Resident Representative and the UNDP Country Director/DRR on a day-to-day basis. BCPR will work closely with all Regional Bureaux to ensure rapid, high quality support to country offices (CO) in crisis situations.

Headquarters backstopping of early recovery will have three strands:

2.3.1 *Substantive and operational support to UNDP country offices*

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

- **Programme support**. UNDP will provide COs with advice and technical support for the rapid development of early recovery programmes.
- **Deployment of surge capacity**. When requested**,** UNDP will augment CO capacity by ensuring that appropriately qualified staff are rapidly deployed to the COs in both capital and field locations 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**. Recognizing 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.

2.3.2 *Strategic partnership with OCHA*

OCHA represents UNDP's most important strategic partner, since early recovery is the bridge between humanitarian and development programmes. UNDP will enhance 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 UNDOCO 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 and nationally to further strengthen the ability of its humanitarian information system to capture early recovery needs and 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.

2.3.3 *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:

- **Developing norms and standards for early recovery**. This includes disseminating, consolidating and adapting relevant existing policies and, where necessary, developing new standards and policies.
- **Developing tools and guidelines**. This includes developing and adapting assessment, planning and programming tools and guidelines.
- **Building country team response capacity**. This entails developing and implementing training and learning activities for country teams. It will include developing lessons learned, identifying best practices, conducting staff exchanges and strengthening the early recovery community of practice.

- **Deploying technical support and expertise for strategic planning, coordination and implementation of early recovery**. On behalf of the CWGER, UNDP will rapidly deploy inter-agency support to the HC/RC and country team to support assessments, strategic planning and coordination of early recovery activities.

- **Supporting 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 CWGER will organize donor briefings and information meetings to promote donor awareness and response to early recovery needs.

2.4 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 UN Development Group and manager of the RC System, through the UNDP Regional Bureau Director in his capacity as Chair of the Regional Directors team; and

- The **UNDP Country Director/DRR** is accountable to the UNDP Resident Representative.

Within the country team, UNDP is the cluster lead for early recovery and, as such, is accountable to the HC/RC for providing 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 Cluster Working Group on Early Recovery works to support the HC/RC and country teams at country level. While each IASC global level Cluster Lead in 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 (HQ), in accordance with the *Standard Operating Procedures for Immediate Crisis Response*, in the event of a crisis, a country-specific HQ Management Team will be set up, led by the concerned Regional Bureau together with the BCPR and the Bureau of Management, to provide extensive support and technical back-up. In the event of a major crisis, the HQ Management Team will work under the direction of the Crisis Board chaired either by the Regional Bureau Director or by the Associate Administrator.

3 Policy Implementation

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

This will require concerted efforts in a number of areas. They are outlined below. This section is partly a statement of what already exists and partly a commitment to introduce changes to existing policies and practices.

The SURGE project, which has established *Standard Operating Procedures for Immediate Crisis Response*, provides an important framework for guiding UNDP implementation of its early recovery policy.

3.1 Corporate Support and Back-Up

Primary responsibility for the crisis response naturally rests with the UNDP Country Office (CO). However, in some cases it may not be possible to discharge this responsibility without extensive corporate support and back-up.

3.1.1 UNDP's Standard Operating Procedures for Immediate Crisis Response

When a crisis strikes, UNDP's *Standard Operating Procedures for Immediate Crisis Response* come into force. These procedures were approved by the Operations Group and have been tested both through simulations and in real crises. They call for the establishment of a Headquarters (HQ) Management Team to provide extensive support and technical back-up. The team is led by the relevant Regional Bureau, together with the Bureau for Crisis Prevention and Recovery (BCPR) and the Bureau of Management. In the event of a major crisis, the HQ Management Team will work under the direction of the Crisis Board, which is chaired by either the Regional Bureau Director or the Associate Administrator. The active engagement of the Regional Bureau in this mechanism is critical, because of its knowledge of the countries in its region and its oversight function of the Resident Representative/Resident Coordinator (RR/RC) and the CO. The HQ Management Team will also include other HQ units as necessary. The HQ Management Team will, *inter alia*:

- Ensure that maximum support and guidance is provided to the RR/RC and the CO, including surge support in staffing (including support for leadership positions) and operational procedures.
- Interface with departments of the UN Secretariat concerned with the crisis, especially the Office for the Coordination of Humanitarian Affairs (OCHA), the Department of Political Affairs (DPA) and the Department of Peacekeeping Operations (DPKO), and with the IFIs as necessary.
- In close cooperation with the UN Department of Security Services and the Bureau of Management, ensure that adequate security measures are in place for UNDP staff operating in a crisis.

The operational components of surge support include:

- **Key backstopping services**. Support will include the provision of key backstopping services. This will have a major impact on CO operations such as procurement, staffing, financial management, security, and IT and other communications.

- **Staffing**. A range of staffing resources will be available. These include 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. The RC can also request support for his/her system-wide leadership to help coordinate early recovery activities, including assessments and strategic planning.

- **Additional emergency funding**. This includes emergency funding from TRAC 3 and other resources UNDP may make available.

3.1.2 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 for the UNDP Resident Representative/Country Director/Deputy Resident Representative (DRR).

- **Execution arrangements**. UNDP will review existing execution modalities with the aim of simplifying and streamlining operational procedures for implementing early recovery projects and programmes.

3.2 Human Resources

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

- **UNDP is training an expanding cadre of managers and practitioners (SURGE Advisors)** who are prepared and able to respond to country-level needs at very short notice. They are supported by procedural and operational tools, and their supervisors are encouraged to allow for temporary release from their current duties to support COs in crisis. This effort is currently being pursued through the BCPR-led SURGE project.

- **Rosters of external experts (Early Recovery Advisors)** are at the disposal of the CO to support early recovery programmes and the disposal of the RC and Humanitarian Coordinator (HC, who is often also the RC) to support him/her in early recovery assessment, strategic planning and coordination.

- **All RR/RCs and UNDP Country Directors/Deputy Resident Representatives** are being trained in early recovery and surge policies, practices and implementation tools. Targeted training and learning activities are available for capacity-building of all UNDP staff, ranging from early recovery basics to more in-depth knowledge in particular areas of responsibility.

- **UNDP encourages all professional staff to seek experience in both development and humanitarian situations**. This rotation enables staff to bridge the gap between the two areas and, in so doing, to contribute to early recovery activities when the need arises.

3.3 Financial Instruments

Analyses of post crisis interventions have repeatedly shown that early recovery needs receive far less timely and predictable financial assistance than do humanitarian and development requirements. Indeed, while donors have funding mechanisms for humanitarian emergency situations and for development contexts, at the time of writing, no such funding mechanism exists for early recovery. Such funding needs typically encompass not just programme requirements for early recovery interventions, but also funding for minimum surge efforts to support the HC/RC and for establishing an early recovery presence outside the capital, at sub-national levels.

In the absence of a dedicated early recovery funding mechanism, UNDP and its partners have used an array of mechanisms to address early recovery needs (including existing humanitarian mechanisms) with limited success. Early recovery 'life-sustaining' projects receive low priority when they are forced to compete with 'life-saving' projects within humanitarian planning frameworks and funding mechanisms. As the time-scale of humanitarian projects is much shorter than for early recovery projects that apply development principles such as participation and relationship building, the latter do not always fit neatly into humanitarian funding timeframes.

Unpredictable funding for early recovery is a major impediment to rapidly rolling out early recovery programming. UNDP is doing everything possible to ensure adequate funding for early recovery activities. There are a variety of funding possibilities available. Some 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 predictable resources.

3.3.1 Funds under UNDP management

- **CPR Thematic Trust Fund (TTF)**. UNDP has established an early recovery window within the existing TTF for crisis prevention and recovery (CPR).

- **TRAC 1.1.3**. UNDP is currently using its own core funds for immediate crisis response for sudden response grants to support RC coordination efforts for crisis events and to provide seed funding for early recovery/recovery programming. Clear guidelines exist for the use of these funds, which, for example, can support the coordination of an effective response to sudden crisis.

- **TRAC 1 and 2 Resources**. UNDP is advocating for the use of country TRAC resources to address issues of early recovery, as well as disaster preparedness and mitigation in countries at high risk of frequent disasters.

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

3.3.2 Other potential funding mechanisms

Humanitarian Flash Appeals, Consolidated Appeals, the Central Emergency Response Fund, and Common Humanitarian Pooled Funds (in the Democratic Republic of the Congo and Sudan) have all provided avenues for limited early recovery funding on a selective basis. However, these mechanisms do not tend to provide a basis for predictable funding to early recovery needs

assessment, coordination and strategic frameworks (i.e., efforts beyond individual project interventions). Based on country examples, UNDOCO has developed guidance for UN Country Teams (UNCTs) on the use of transitional strategies and appeals as informal vehicles to provide coherence for UNCT transition plans and to mobilize resources (e.g., as a bridge before a Common Country Assessment or UN Development Assistance Framework is approved or revised). This approach has had some success in specific country situations.

UNDP will keep all of these instruments under review with a view to further strengthen support of early recovery and complementarity in the application of each mechanism. UNDP continues to advocate for the use of humanitarian financing mechanisms to cover the earliest start-up needs for early recovery during humanitarian crisis. UNDP will also continue to advocate at the international level for the application of streamlined assessments to identify needs at country level, and the establishment of predictable, flexible funding instruments to ensure that early recovery needs can be met quickly, strategically, and before the window of opportunity has closed.

3.4 Fostering Partnerships

UNDP will work closely with a wide variety of potential and actual partners at both the global and country levels.

The national authorities in the country concerned are first and foremost among these partners. **This relationship represents the cornerstone of UNDP's efforts in early recovery and 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**, on efforts such as coherent support to country teams, **and members of the UNDG / Executive Committee for Humanitarian Affairs Working Group on Transition**, including:

- **Office for the Coordination of Humanitarian Affairs (OCHA)** on coordinating support for HC/RC, including providing joint training and on integrated information management systems;
- **Department of Political Affairs (DPA)** on integrating early recovery in political missions;
- **Department of Peacekeeping Operations (DPKO)** on integrating early recovery in Integrated Mission Planning Processes, for example in the areas of security sector reform, rule of law, and disarmament, demobilization and reintegration;
- **Peacebuilding Support Office (PBSO)** on planning frameworks; and
- **Development Operations Coordination Office (UNDOCO)** on recovery financing and continuous support for recovery coordination from early recovery through to longer-term recovery.

UNDP will also liaise with the **international financial institutions (IFIs)**, including the World Bank on matters such as joint approaches to post-crisis needs assessments and pre-disaster recovery planning.

Other partners include:

- **Regional organizations**;
- **Bilateral donors** who may be interested in supporting early recovery activities financially and/or with human resources and expertise;

- **Civil society organizations, including but not limited to community-based organizations, journalists' associations, women's organizations, indigenous peoples' organizations, national and international NGOs, academia and faith-based organizations** for programmatic collaboration;

- **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, UNDP will also, where appropriate, **pre-negotiate basic partnership agreements** with relevant operational agencies.

3.5 Knowledge Management

UNDP recognizes that information and knowledge are central in supporting early recovery. UNDP will 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**. Led by UNDP, the Cluster Working Group on Early Recovery (CWGER) has already prepared a *Guidance Note on Early Recovery*, which will be supplemented by early recovery tools and guidelines in each of UNDP's applicable key result areas. Guidance will also be provided to COs 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 practices that could be replicated elsewhere, to compare experiences and draw out common issues and challenges, and to make our work more relevant, effective and accessible. From these exercises, UNDP will prepare case studies on early recovery planning and programming that it will share within the UN system and with other partners in the international community.

- **E-discussion groups**. UNDP has already established a network for the conflict prevention and recovery practice (CPRP-net) 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.

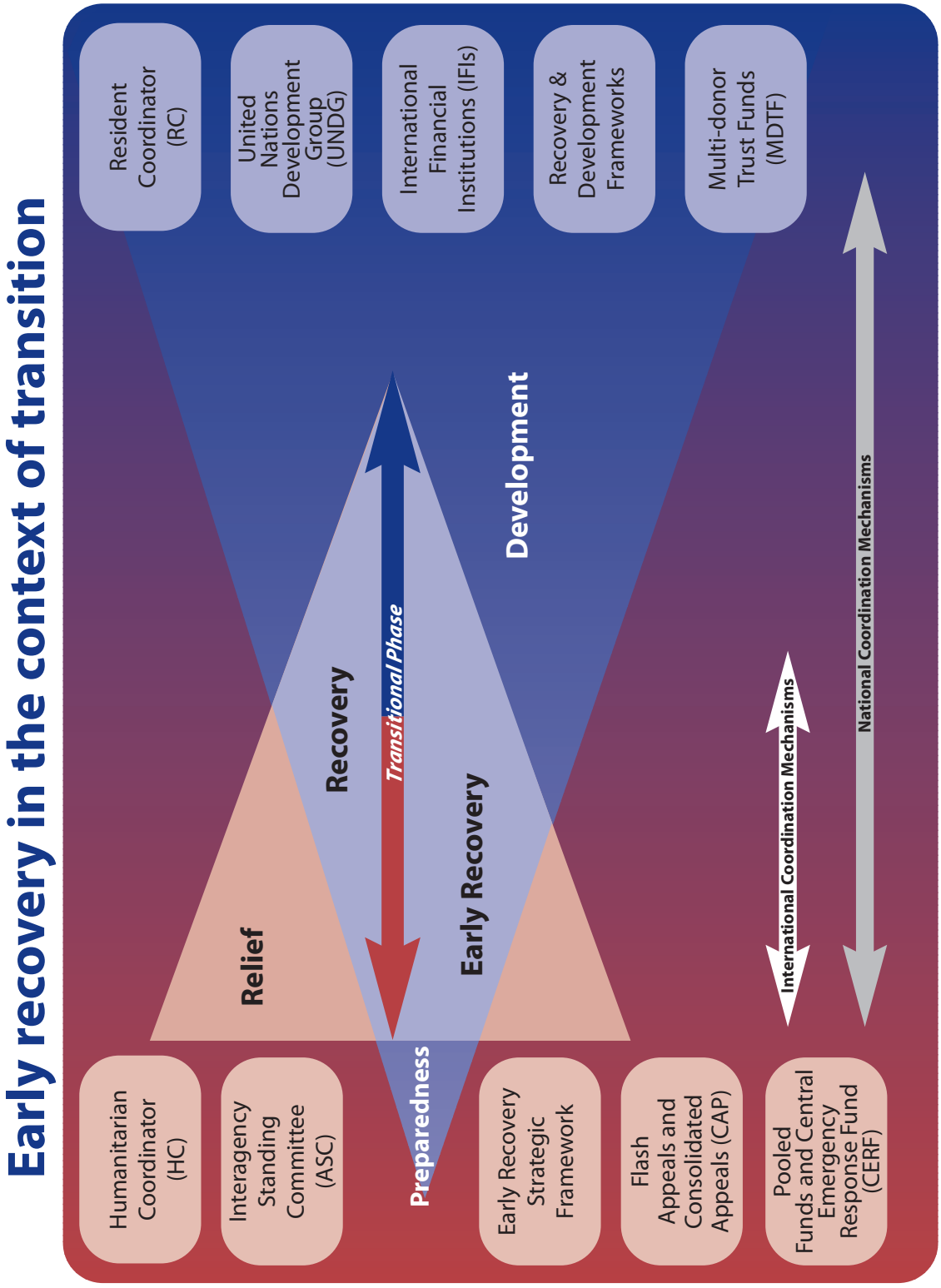
- **Advocacy and communication**. The specificities of early recovery need to be clarified with all the stakeholders in this process. In collaboration with the CWGER, UNDP will develop and implement an advocacy and communication campaign targeted at national actors, UN agencies, donors and NGOs.

- **Awareness**. UNDP will promote and support early recovery learning and capacity within UNDP in order to ensure a broad commitment to and understanding and application of its principles and practices.

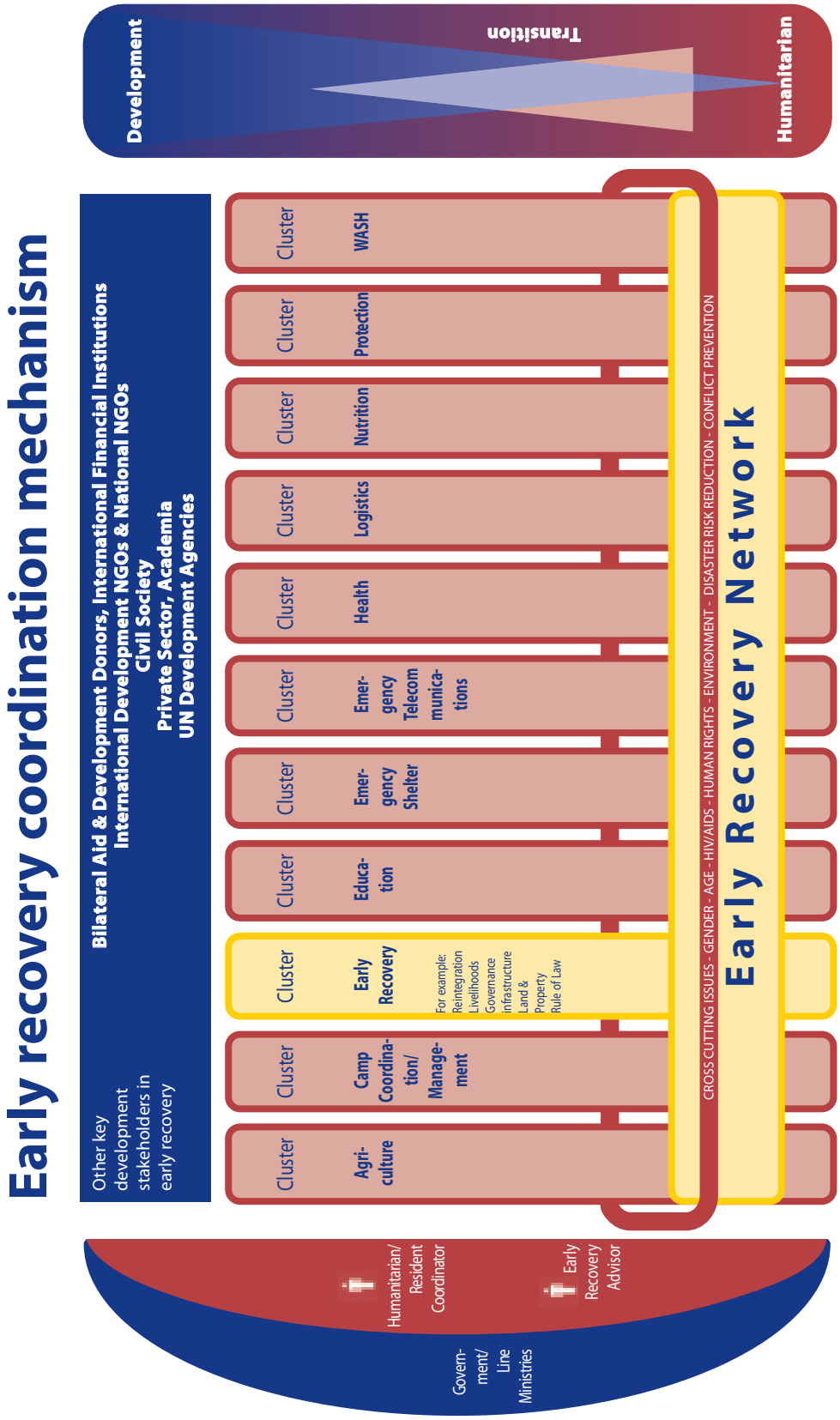
UNDP will ensure that information and knowledge management components are designed and costed into its programmes and projects from their inception.

4 Annexes

4.1 Annex 1 - Early Recovery in Humanitarian and Development Contexts



4.2 Annex 2 - Early Recovery Coordination Mechanism



4.3 Annex 3 - Composition of the IASC Cluster Working Group on Early Recovery (CWGER)

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 are full members of the CWGER:	
ActionAid	ActionAid International
Groupe URD	Groupe urgence réhabilitation développement
ILO	International Labour Organization
ISDR	International Strategy for Disaster Reduction
ProAct Network	ProAct Network
Mercy Corps	Mercy Corps
UN-HABITAT	United Nations Human Settlements Programme
UNDOCO	United Nations Development Operations Coordination Office
UNEP	United Nations Environment Programme
UNOSAT	United Nations Institute for Training and Research Operational Satellite Applications Programme
UNV	United Nations Volunteers
UNESCO	United Nations Education, Scientific and Cultural Organization
WSPA	World Society for the Protection of Animals
The following organizations are official observers of the CWGER:	
Caritas	Caritas Internationalis
InterAction	American Council for Voluntary International Action

4.4 Annex 4 - UNDP's Early Recovery Menu

Key Outcome	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 mobilization & aid coordination • Advocacy & public information
	Support and reinforce local level implementation capacity	• Providing essential hardware • Augmenting critical human resources • Information collection & management • Planning for longer-term recovery
Effective Local Level Early Recovery	Reinforce local administrative capacity for recovery management	
	Improve community security and social cohesion	• Community security, protection, access to justice and informal dispute resolution • Empowering informal, community level, dispute resolution processes • Disarmament, demobilization and reintegration (DDR) • Mine action • Restoration of critical basic infrastructure
	Reintegration of internally displaced persons	• Strengthening local government capacity to prepare areas of return and reintegration • Supporting IDP participation in service delivery and local and national processes • Supporting peacebuilding and other social cohesion efforts
	Stabilization of livelihoods	• Emergency temporary jobs • Targeted livelihood and self-employment start-up grants
	Integrate relevant cross-cutting issues	• Risk reduction • Conflict prevention • Gender equality • Environmental protection • HIV/AIDS • Human rights
Coordinated Early Recovery Planning	Develop a coordinated approach to early recovery	• Joint rapid assessment • Analysis of early recovery opportunities • Coordination
	Lay the groundwork for longer-term recovery	• Information management • Strategic planning for recovery
Headquarters Support	Substantive & operational support to country offices	• Programme support • Deployment of surge capacity • Financial resources • Responsive operational procedures
	Strategic partnership with OCHA	• Coordinated support for the HC/RC • Integrated information management system • Staff and training exchanges
	System-wide leadership on global processes on early recovery	• Developing norms and standards for early recovery • Developing tools and guidelines • Building country team response capacity • Deploying technical support and expertise for strategic planning, coordination and implementation of early recovery • Supporting resource mobilization

4.5 Annex 5 - Global Cluster Leads

(As agreed by the IASC Principals in December 2005)

Sector or Area of Activity		Global Cluster Lead
Technical areas:		
1. Nutrition		UNICEF
2. Health		WHO
3. Water/Sanitation		UNICEF
4. Emergency Shelter:	IDPs (from conflict) Disaster situations	UNHCR IFRC (Convener)*
Cross-cutting areas:		
5. Camp Coord/Management:	IDPs (from conflict) Disaster situations	UNHCR IOM
6. Protection:	IDPs (from conflict) Disasters/civilians affected by conflict (other than IDPs)**	UNHCR UNHCR/OHCHR/UNICEF
7. Early Recovery		UNDP
Common service areas:		
8. Logistics		WFP
9. Emergency Telecommunications		OCHA/UNICEF/WFP

* IFRC has made a commitment to provide leadership to the broader humanitarian community in emergency shelter in disaster situations, to consolidate best practices, map capacity and gaps, and lead coordinated response. IFRC has committed to being a 'convener' rather than a 'cluster lead'. In a memorandum of understanding between IFRC and OCHA, it was agreed that IFRC would not accept accountability obligations beyond those defined in its constitutions and policies and that its responsibilities would leave no room for open-ended or unlimited obligations. It has therefore not committed to being 'provider of last resort' nor is it accountable to any part of the UN system.

** UNHCR is the lead of the global Protection Cluster. However, at the country level in disaster situations or in complex emergencies without significant displacement, the three core protection mandated agencies (UNHCR, UNICEF and OHCHR) will consult closely and, under the overall leadership of the HC/RC, agree which of the three will assume the role of Lead for protection.

4.6 Annex 6 - Supplementary Reading

Early Recovery Guidance Note, prepared by the Cluster Working Group on Early Recovery, in cooperation with the UNDG/ECHA Working Group on Transition, April 2008 http://www.humanitarianreform.org/humanitarianreform/Portals/1/cluster%20approach%20page/clusters%20pages/Early%20R/ER_Internet.pdf

Key Documents on IASC Cluster Approach, including IASC Operational Guidance for New Emergencies, for Ongoing Emergencies, on the Concept of 'Provider of Last Resort', Terms of Reference etc. http://www.humanitarianreform.org/Default.aspx?tabid=420

TRAC 1.1.3 guidelines – Resources for Special Development Situations http://content.undp.org/go/userguide/finance/rsrc-plan-budget/resources-for-special-development-situations/?lang=en

Thematic Trust Fund for Crisis Prevention and Recovery http://www.undp.org/cpr/documents/whats_new/framework/framework_1.pdf

UNDP Strategic Plan 2008-2011, June 2008. http://www.undp.org/execbrd/word/dp07-43Rev1.doc

UNDP strategic vision on assistance to crisis-affected countries http://www.undp.org/execbrd/word/dp07-20Rev1.doc

UNDP Standard Operating Procedures for Immediate Crisis Response http://intra.undp.org/SURGE

Eight Point Agenda for Women's Empowerment and Gender Equality in Crisis Prevention and Recovery http://www.undp.org/cpr/we_do/8_pa.shtml

Employment Creation, Income Generation and Reintegration in Post-Conflict Settings, UN system-wide policy. (as per 25th August 2008 not yet available online)

Post-Conflict Needs Assessment – guidance and case studies http://www.undg.org/?P=147

The Needs Analysis Framework, IASC CAP Sub-Working Group, 2007. http://www.icva.ch/doc00002343.doc

Transitional strategies guidance note, UNDG/ECHA, 2007. http://www.undg.org/docs/8474/Transitional-Strategy-Guidance-Note—-FINAL.doc

Guidance note on transitional appeals, UNDG, 2007. http://www.undg.org/index.cfm?P=151

Multi-Donor Trust Funds & Joint Programmes http://www.undp.org/mdtf/overview.shtml

Pooled Funding Mechanisms – guidance and reviews http://www.undg.org/index.cfm?P=152

Common Inter-agency Framework for Conflict Analysis in Transition, UNDG, 2004. http://www.undg.org/archive_docs/5329-Common_Inter-Agency_Framework_for_Conflict_Analysis_in_Transition.doc

Triennial Comprehensive Policy Review (TCPR) of 2007 http://www.undg.org/docs/8538/TCPR-2008-final.pdf

Paris Declaration on Aid Effectiveness http://www.oecd.org/dataoecd/11/41/34428351.pdf

Security Council Resolution 1325 on Women and peace and security http://www.un.org/Docs/scres/2000/sc2000.htm

Hyogo Framework for Action http://www.unisdr.org/wcdr/intergover/official-doc/L-docs/Hyogo-framework-for-action-english.pdf

U N
D P