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Enabling poor rural people  
to overcome poverty

## **IFAD Guidelines for Disaster Early Recovery**

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**For: Information**

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## Abbreviations and acronyms

COSOP	country strategic opportunities programme
CPM	country programme manager
EWS	early warning systems
FAO	Food and Agriculture Organization of the United Nations
IFI	international financial institution
OCHA	Office for the Coordination of Humanitarian Affairs
OSC	Operational Strategy and Policy Guidance Committee
PDR	project design report
PMD	Programme Management Department
QA	quality assurance
QE	quality enhancement
RR-CPMT	Rapid-Response Country Programme Management Team
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNISDR	International Strategy for Disaster Reduction
WFP	World Food Programme

## Executive summary

1. The IFAD Guidelines for Disaster Early Recovery have been developed to support IFAD staff in implementing timely and effective interventions in a post-disaster context. The Guidelines are designed to operationalize the existing IFAD Framework for Bridging Post-Crisis Recovery and Long-term Development (1998) and the IFAD Policy on Crisis Prevention and Recovery (2006), and are based on IFAD experience in disaster response and recovery programmes and projects. More specifically, the objectives of the Guidelines are to:
  - Clarify the principles of IFAD engagement in a post-disaster context.
  - Ensure that quality is not compromised by speed.
  - Broaden inter-agency coordination and cooperation.
  - Make more efficient use of existing human and financial resources.
  - Establish effective communication with all relevant stakeholders.
2. The Guidelines emphasize the need for IFAD involvement in early recovery to support the rehabilitation of rural livelihoods and ensure a swift transition from relief to long-term sustainable development.
3. Practical advice offered in the Guidelines is intended to assist IFAD staff in the following activities:
  - **Selection of finance instruments** that can be used to support IFAD interventions in a post-disaster context.
  - **Contingency planning** that highlights measures IFAD can implement in advance to support a rapid, timely and effective response to crisis/disaster events.
  - **Use of a step-by-step approach for disaster response** that promotes greater speed and coordination at the institutional level and details the actions to be taken in the event of a disaster.
  - **Support to operations** that identifies which mechanisms need to be in place to sustain IFAD's regional divisions during the disaster response planning and implementation stages.
  - **Monitoring** that assesses the early recovery process to ensure that implementation of activities proceeds smoothly and that problems/obstacles are effectively dealt with in a timely manner.
4. Additional gains can be achieved in the efficiency and timing of interventions through the proper selection of finance instruments and administrative solutions, as described in these Guidelines.

# IFAD Guidelines for Disaster Early Recovery

## I. Introduction

1. During recent decades the world has witnessed an upsurge in the incidence of disaster events, with increasing loss of life and significant social and economic consequences.<sup>1</sup> In developing countries, vulnerability to hazards is increasing as a result of poverty, population expansion in unsafe areas and environmental degradation.
2. Disasters undermine development progress, hinder economic growth and threaten food production while exacerbating existing poverty conditions. At the national level, it may take several years for developing countries to recover from a disaster and be able to invest resources in development.
3. The risk of disasters in developing countries is expected to rise in the future<sup>2</sup> as a result of higher levels of vulnerability in the population and increases in the intensity and frequency of hydro-meteorological events due to climate change. Poor people in developing countries have been affected disproportionately by these events because they are more exposed to natural and non-natural hazards and have less capacity to cope with the impacts.
4. Disasters will continue to affect vulnerable people in poor countries, particularly in fragile states,<sup>3</sup> often locking them into endemic poverty traps. These challenges cannot be ignored. While IFAD does not engage in relief operations, it does acknowledge the strong recursive relationship between poverty and disasters. Given IFAD's experience in supporting livelihoods in rural areas, the Fund is well positioned as an effective actor to support a swift transition from relief to recovery that is focused on building rural people's resilience to disasters.
5. The timely implementation of recovery and subsequent development activities is essential, and past IFAD policies have repeatedly advocated a more systematic approach and faster procedures to respond to emergencies of all types. However, IFAD's response is often protracted and continues to be organized on an ad hoc basis. Building on the experience of the Fund and other organizations, the IFAD Guidelines for Disaster Early Recovery advocate a more systematic and collaborative response anchored in a common disaster risk management framework.
6. The specific objectives of the Guidelines are to:
  - (a) Clarify the principles of IFAD engagement in a post disaster context.
  - (b) Ensure quality is not compromised by speed.
  - (c) Broaden inter-agency coordination and cooperation.
  - (d) Make more efficient use of existing human and financial resources.
  - (e) Establish effective communication with all relevant stakeholders.
7. The Guidelines are structured into three main parts:
  - (a) The first part (sections II and III) provides the theoretical background to the Guidelines, including an overview of IFAD policies and past experience in disaster response and an outline of the principles of engagement in a post-disaster context.

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<sup>1</sup> United Nations Development Programme (UNDP (2004); UNEP/GRID web reference: <http://maps.grida.no/go/graphic/trends-in-natural-disasters>.

<sup>2</sup> Oxfam (2009).

<sup>3</sup> Fragile states are countries "characterized by poor governance, limited institutional capacity, weak policy framework and civil or border conflict. (...) Rural poor people living in fragile states are especially vulnerable, as they lack the resources to contend with natural or other types of disasters." REPL.VIII/4/R.5.

- (b) The second part of the Guidelines (sections IV and V) presents the overall framework for early recovery interventions and the funding instruments available to IFAD to support early recovery.
- (c) The third part (sections VI to IX) offers practical guidance on how to improve the IFAD response to disaster by: (i) illustrating the steps that need to be taken at headquarters and in the field to prepare for and respond to a disaster; (ii) clarifying the role that different IFAD divisions can play in supporting the IFAD response; and (iii) highlighting the elements that are essential for effective monitoring of early recovery activities.

## II. Background

8. A crisis or emergency is a threatening situation, requiring urgent action that has a direct or indirect impact on people's livelihoods. The inability to prevent and/or respond to emergencies can result in a disaster of wider proportions.
9. Disasters are often sudden events that cause great damage, destruction and human suffering. Not all disasters, however, are brought about by abrupt or unforeseen events (e.g. famines are frequently the result of difficult socio-economic conditions and recurrent or long-term drought). A crisis or disaster can result from a natural or non-natural hazard, such as those arising from conflict and civil unrest.<sup>4</sup> Whatever their causes, what disasters have in common is that they result in serious disruption of the functioning of a community or society (regional/national levels), causing widespread human, material, economic or environmental losses that exceed the ability of the community or the society to cope using its own resources.<sup>5</sup>
10. While the attention of the media and the world at large tends to be focused on the impacts of large-scale disaster events, it is also the succession of lesser, but more frequent disaster events combined with partial or slow recovery that can severely undermine the coping capacity of people living in poverty and increase their vulnerability to shocks. Following a disaster or a series of shocks, it is not only poor people who are often forced further down the poverty line.<sup>6</sup> Many of the "near poor" are unable to recover and are forced into poverty after a disaster.<sup>7</sup>
11. The urgency to respond to immediate needs in the aftermath of a disaster frequently means that governments and international agencies divert resources from development to relief and emergency interventions, thus delaying investments that support the recovery of livelihoods and overall development.
12. Transition to recovery is often slow and can take years, in many cases resulting in increased dependency on aid.

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<sup>4</sup> Complex crises that linger over many years are not classed as disasters for the purposes of these Guidelines.

<sup>5</sup> From International Strategy for Disaster Reduction (UNISDR) Terminology on Disaster Risk Reduction.

<sup>6</sup> IFAD (2010) *Rural Poverty Report 2011*.

<sup>7</sup> In Honduras, the share of poor rural households increased from 69.2 per cent to 74.6 per cent as a consequence of Hurricane Mitch in October 1998, and the number of rural households living in extreme poverty rose by 5.5 per cent. These figures, based on labour force surveys, are probably an underestimate since they do not capture the income of smallholder farmers, who suffered the most as a result of Hurricane Mitch, and may not take into account the consequences that loss of assets has for future poverty. Populations at risk are also often underrepresented in labour force surveys (Morris, S. et al. 2002).

Disasters result from a combination of **hazards, vulnerability** and **exposure to risk**.

**Hazard:** A potentially damaging physical event, phenomenon or human activity that may cause the loss of life or injury, property damage, social and economic disruption or environmental degradation.

**Risk:** The probability of harmful consequences, or the expected losses (deaths, injuries, property, livelihoods, economic activity disrupted or environment damaged) resulting from interactions between natural or human-induced hazards and vulnerable conditions.

**Vulnerability:** The conditions determined by physical, social, economic and environmental factors or processes, which increase the susceptibility of a community to the impact of hazards.

*From UNISDR Terminology on Disaster Risk Reduction.*

## A. Key points of relevant IFAD policies

13. These Guidelines are based on the IFAD Framework for Bridging Post-Crisis Recovery and Long-term Development (1998) and the IFAD Policy on Crisis Prevention and Recovery (2006).
14. Both documents, which advocate closer inter-agency cooperation, aim to position IFAD as a bridge and a facilitator of the transition from relief to recovery. In particular, the two documents underscore the importance of:
  - (a) Development interventions following a crisis.
  - (b) Prompt involvement in post-emergency situations.
  - (c) Coordination with all partners involved in the disaster response to ensure complementarity.
  - (d) Focusing on restoring livelihoods (particularly through agricultural productivity) to jump-start resumption of development activities.
15. An emerging concern about the need to take a more proactive role and to adapt internal procedures to crisis situations is evident in the IFAD Policy on Crisis Prevention and Recovery, which recognizes that, among other things, it is necessary to:
  - (a) Mitigate the impact and manage the risks associated with natural disasters, violent conflict and state fragility.
  - (b) Develop crisis-sensitive operating procedures, supported by specific financing modalities and resource mobilization measures. Portfolio restructuring, reallocation of existing loan proceeds, supplementary funds, retroactive funding of loans under preparation combined with an intensive search for cofinancing solutions, are indicated as the primary financing options available to address post-crisis situations.
16. The IFAD Climate Change Strategy (2010) recognizes the importance of disaster risk management in building resilience to climate change, and the greater role that disaster prevention and recovery will have in the future. The strategy calls for improved risk management and preparedness and, like the two other policies, it acknowledges the importance of collaborating with other agencies, particularly the Food and Agriculture Organization of the United Nations (FAO) and World Food Programme (WFP).<sup>8</sup>
17. The new IFAD's Environmental and Social Assessment Procedures (EB 2009/96/R.7) also calls for continued support from the Fund and its partners in disaster and risk

<sup>8</sup> For example, by making greater use of FAO's analytical capacity and collaborating with WFP on disaster preparedness and early recovery.

reduction activities, including the undertaking of vulnerability assessments, in recognition of the fundamental role that ecosystems and natural resources play in risk reduction.

## **B. IFAD experience in disaster prevention and recovery**

18. IFAD's experience in disaster prevention and recovery programmes and projects<sup>9</sup> has not been systematically evaluated, but it is widely acknowledged that results have been mixed. An extensive consultation was undertaken with IFAD staff at headquarters and in the field,<sup>10</sup> which enabled the identification of lessons learned, challenges still to be faced and opportunities for IFAD to improve its effectiveness when operating in a post-disaster context.
19. Overall, the prevailing opinion is that IFAD needs to step up its response in post-disaster situations, but at the same time greater clarity is required with regard to the role of the Fund vis-à-vis governments and other agencies. Often when a disaster has occurred, the attention of a government remains focused on rehabilitating the affected areas for years after the event. It is important that IFAD support governments in their recovery efforts, while ensuring that IFAD interventions remain within the Fund's mandate. IFAD should focus on activities that support the restoration of rural livelihoods, particularly where it has a comparative advantage.
20. The following are some of the key issues identified by staff:
  - (a) Timing of interventions is crucial and IFAD needs to act quickly within a relatively short period of time to support the recovery of livelihoods.
  - (b) IFAD needs to work closely with other agencies and governments and make full use of the structure it has already in place in the country to deliver activities. government capacity may be weakened after a disaster and may not be sufficient to cope with the fast processing of a high volume of aid/funding. It is therefore important for IFAD to have a strong partner in-country and, particularly, to seek the involvement of grass-roots organizations and community-based organizations.
  - (c) It is essential to understand how prepared a country is to receive assistance (in terms of capacity) when defining IFAD interventions. Often there will be a need to invest in building up such capacity before and immediately after a disaster.
  - (d) Disaster risk reduction and contingency planning should be constituents of project design in countries with a high risk profile. If interventions aimed at supporting recovery after a disaster are already built into projects, together with funding to implement them, the country programme manager (CPM) will be in a position to respond immediately in the event of a disaster.
  - (e) It is necessary to have a CPM or proxy country presence officer in a post-disaster context to support in-country coordination and communication with different levels of government and other agencies, and to ensure continuous monitoring of activities implemented and the situation overall.
  - (f) If a new project is being developed, it is essential to keep the design as simple as possible with a maximum of two components, excluding the project management component.

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<sup>9</sup> The Framework for Bridging Post-Crisis Recovery and Long-term Development provides an overview of past IFAD programmes and projects related to post-crisis situations, including the Special Programme for Sub-Saharan African Countries Affected by Drought and Desertification (SPA), for a total of 58 loans (48 under the SPA). From 2000 to 2009, 18 loans addressing crisis prevention and recovery were approved by IFAD.

<sup>10</sup> Consultations were also held with FAO and WFP staff.



The Project for the Restoration of Earthquake-Affected Communities and Households (REACH) in Pakistan was developed in the aftermath of the major earthquake on 8 October 2005 and is considered to be a successful disaster response project. Immediately after the earthquake, IFAD agreed with the Government of Pakistan to reorientate two IFAD-supported projects in the area. In addition, IFAD designed the REACH project together with the World Bank. The project goal was to enable rural people to re-establish livelihoods and reduce vulnerability by assisting affected households in rebuilding their asset base. The project was approved by the Executive Board in April 2006 (six months later) and within 14 months of approval US\$24 million (out of a total of US\$26 million) had been disbursed by IFAD. The main reasons for the prompt disbursement and successful implementation of the project are:

- The design was extremely simple;
- The implementing partner was not a government institution (government capacity had been reduced by the disaster) but a highly professional rural development foundation;
- Upon approval of the loan, US\$16 million was transferred under an advance account arrangement, rather than a special account modality;
- Activities were implemented by the beneficiaries themselves, with each successive payment dependent upon successful utilization of the previous payment and implementation of activities; and
- Four supervision missions were carried out each year.

21. The main challenges identified by staff include:
- (a) Human resources and in-house technical expertise are limited.
  - (b) Decision-making roles and responsibilities within IFAD are unclear.
  - (c) Internal procedures and clearance processes are slow: fast-track procedures are needed to ensure the swift approval of interventions aimed at supporting recovery efforts, together with clear and structured implementation procedures.
  - (d) Collaboration among different divisions in-house is insufficient, leaving the CPM of the affected country responsible for responding to a disaster.
  - (e) Collaboration at the field level with other agencies, particularly with FAO and WFP, is limited.
  - (f) Long-term development projects may be compromised by shifting resources to support immediate recovery, if additional resources are not available.
  - (g) Preliminary, focused needs assessments are required, as results from country-level, multi-agency assessments may arrive too late to be useful.
22. In order to build the Fund's capability for faster, better coordinated and more development-oriented disaster recovery, IFAD staff will need to:
- (a) **Be prepared** to act quickly and in a coordinated way;
  - (b) **Profile countries** according to their exposure and vulnerability to disasters;
  - (c) **Collaborate proactively** with internal and external stakeholders;
  - (d) **Know what steps** must be taken in response to disaster situations; and
  - (e) **Communicate** effectively on what IFAD does in emergency situations.

### III. Principles of engagement

23. The IFAD Policy on Crisis Prevention and Recovery states that "IFAD engagement is premised on providing support for the development and restoration of livelihoods, particularly those based on agricultural and rural sectors. In doing so, it will support the recovery of the agricultural production capacity, enhance food security, and help build the capacity of poor rural people to cope with future crisis by rebuilding their asset base and social capital." IFAD's interventions in the immediate post-disaster

situation will therefore focus on assisting affected communities in making the transition from a relief-based existence to one in which normal livelihood conditions are restored, with a view to securing longer-term sustainable development.<sup>11</sup>

## **A. When should these Guidelines be used?**

24. The decision to intervene in early recovery activities will be taken by the Interdepartmental Disaster Response Task Force (a new body proposed in section VII), on the basis of the recommendations of the CPM of the affected country and the regional director concerned. Generally speaking, implementation of the more expeditious procedures detailed in these Guidelines will be called for in the case of:
- (a) Countries that are highly vulnerable to natural disasters and the effects of climate change (see annex).
  - (b) Crises/emergencies that require early recovery interventions to support rehabilitation of livelihoods that would otherwise be jeopardized by a more protracted response.

## **B. Conditions for IFAD engagement**

25. Generally, IFAD interventions will follow the declaration of disaster/state of emergency by the relevant government and a request for IFAD assistance. In other cases, IFAD may make an official offer of assistance to the affected government or may intervene in response to a United Nations appeal following a declaration of a state of emergency.
26. Early recovery interventions will be warranted when a disaster affects target groups of ongoing IFAD-funded operations and where IFAD has a field presence or an active programme in the country.
27. More specifically, situations that will prompt IFAD intervention include:
- (a) IFAD-funded projects have been severely disrupted by the emergency/disaster and reaching development objectives is no longer possible without investments in recovery.
  - (b) Livelihood opportunities for rural poor people have been severely hampered by the emergency/disaster event.
  - (c) The crisis/emergency has not had a direct impact on IFAD-funded projects but has had severe indirect repercussions on the IFAD target group, warranting intervention for livelihoods recovery.
  - (d) A crisis or emergency is imminent and a rapid response is necessary to avert or mitigate major human and economic impacts.
28. Caution should be exercised in the following situations:
- (a) IFAD has no field presence<sup>12</sup> in the disaster-stricken country.
  - (b) IFAD has a small-scale programme or there are no IFAD-funded projects under implementation in the affected areas.
  - (c) Countries are in arrears.<sup>13</sup>
  - (d) Access to the affected area(s) is not possible or not authorized for IFAD representatives and consultants.

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<sup>11</sup> The IFAD Framework for Bridging Post-Crisis Recovery and Long-term Development states that "IFAD's interventions in a post-disaster situation should be designed to assist the affected communities to move from a relief-based existence to restoring subsistence production, rebuilding their capital base and, from there, to longer-term sustainable development."

<sup>12</sup> No outposted CPMs or country presence officers.

<sup>13</sup> IFAD's Policy Framework for Managing Partnerships with Countries in Arrears, GC 21/L.7.

29. Generally, IFAD should engage in early recovery activities only where it has a comparative advantage and in close coordination with leading United Nations agencies or international financial institutions (IFIs).

### C. Principles of the IFAD approach in post-crisis situations

30. When intervening in a post-disaster context, the following principles must be upheld:
- (a) Interventions should be timely, flexible and simple.
  - (b) Responses should be speedy without compromising quality.
  - (c) The principle of "do no harm" should prevail.
  - (d) Avoid the restoration of unsustainable livelihoods.
  - (e) Synergies with other agencies and specialized (relief) organizations should be maximized and duplication of efforts avoided.
  - (f) National ownership should be supported and participation should be ensured in the development and implementation of early recovery activities.
  - (g) IFAD should not engage in peacemaking or peace-enforcing operations or in humanitarian relief operations.

## IV. Disaster risk management framework

31. Historically the focus of interventions after a disaster event has centred on relief and emergency operations. More recently, however, the importance of integrating disaster risk reduction into reconstruction and development activities has become clear in view of the unsustainable trends in disaster response and reconstruction expenditures. Consequently, the framework of intervention has shifted to a more integrated approach to disaster risk management that aims to link emergency relief with development.
32. Disaster risk management comprises a range of different activities aimed at avoiding or mitigating the negative impacts of hazards. Within a disaster risk management framework four main phases can be broadly identified: response, recovery, mitigation and preparedness.
33. These four phases are interrelated and actions can be taken at different levels, sometimes simultaneously, to plan for and reduce disaster-related losses. When adequate resources are invested in all four phases, disaster risk is effectively reduced.
34. While the main focus of these Guidelines is on increasing the effectiveness of IFAD interventions following a disaster, it will be necessary to implement activities that support the overall framework for disaster risk management in order to sufficiently strengthen the resilience of IFAD's operations.

**Response** (or **relief**) focuses on the provision of emergency services and public assistance during or immediately after a disaster with the aim of saving lives.

**Recovery** focuses on the restoration of facilities, livelihoods and living conditions of disaster-affected communities, including efforts to reduce disaster risk. The recovery process can take months or even years.

**Mitigation** activities are aimed at preventing or limiting damage when a disaster strikes.

**Preparedness** refers to those activities that are implemented in anticipation of an imminent, likely or potential disaster situation with the aim of ensuring the most effective and efficient response and recovery.

*Adapted from UNISDR Terminology on Disaster Risk Reduction.*

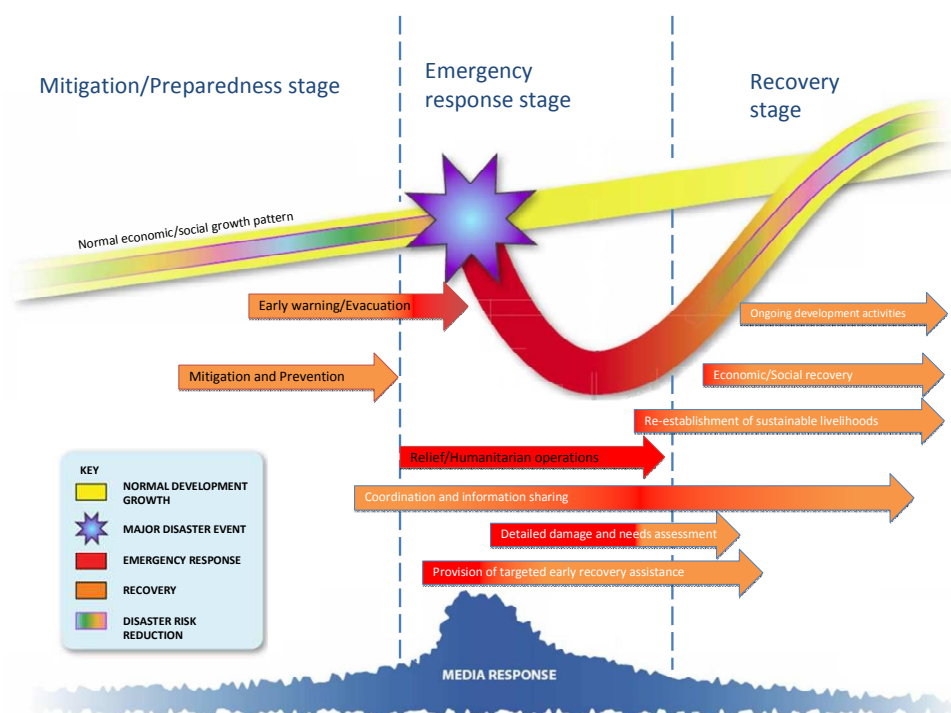
35. IFAD is already equipped with some strategies and tools<sup>14</sup> that can support the implementation of such a framework. Relevant activities must be effectively implemented, particularly in countries where natural and non-natural disasters have already affected the performance and sustainability of IFAD operations.
36. Activities undertaken during the response phase are usually focused on humanitarian and emergency needs and are not designed to address the underlying causes of disaster or promote rapid recovery. Agencies such as the Office for the Coordination of Humanitarian Affairs (OCHA), the Office of the United Nations High Commissioner for Refugees (UNHCR) and WFP have a greater comparative advantage in this area than IFAD. However, the reverse is true during the recovery phase, when the focus shifts from saving lives to restoring livelihoods and establishing the necessary conditions for development.
37. There is often a considerable lapse of time before implementation of recovery activities commences. The time required to carry out studies and assessments, reprogramming or design of new programmes and projects, negotiation and approval of loans, generates a gap between the initial response phase and the beginning of reconstruction activities, and a disconnect from development objectives. However, local communities begin to recover immediately after the disaster, often adopting strategies that reproduce the same risk conditions and increase their vulnerability to future shocks. It is at that time that it is important for IFAD to start engaging with local communities in order to understand what their needs are and begin developing effective strategies, in collaboration with local communities and local-level government, to support their recovery efforts.
38. Planning for early recovery activities should begin as soon as possible after a disaster event, generally from the very inception of the humanitarian response. Early engagement in recovery provides an opportunity to address underlying causes of risk and vulnerability in the planning process, promote the rapid resumption of affected project activities and ensure that recovery efforts contribute to, rather than delay, the achievement of longer-term development objectives.
39. Increasingly, development agencies (United Nations Development Programme [UNDP] in particular) and IFIs such as the Asian Development Bank, Inter-American Development Bank and World Bank are beginning to support early recovery interventions that aim to generate self-sustaining, nationally-owned and resilient processes for post-crisis recovery.<sup>15</sup> FAO and WFP are also dedicating more attention to supporting early recovery and the transition to development.

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<sup>14</sup> Such as the Multidimensional Poverty Assessment Tool, the Environment and Social Assessment Procedures, the Adaptation Checklist developed under the Initiative for Mainstreaming Innovation. In addition, a dedicated site on xdesk with references to existing tools and methodologies developed by other United Nations agencies and organizations is currently being developed.

<sup>15</sup> The Inter-Agency Standing Committee (IASC) Cluster Working Group on Early Recovery.

## The disaster risk management framework and relevance to IFAD<sup>16</sup>



40. Working in partnership with other agencies and local government, IFAD engagement in early recovery will strengthen initiatives intended to support rapid recovery of rural livelihoods. In addition, it will ensure that planning for initial recovery integrates risk reduction considerations and that decisions taken do not compromise the achievement of development objectives.
41. Engagement in early recovery activities will enable IFAD to:
- Bridge relief and development activities, thus effectively avoiding any period of discontinuity during which communities may take decisions that affect their capacity for long-term recovery.
  - Share relevant information about disaster risk at the community and district levels so that it can be integrated into spontaneous recovery initiatives.
  - Uphold the principle of 'build back better' to avoid the rebuilding of risk into recovery activities.
  - Ensure that rural poor people, especially those living in remote areas, are not excluded by post-disaster interventions and that knowledge of rural poverty and of factors influencing the vulnerability of rural poor people is taken into account in recovery programming.
  - Promote the early recovery of socio-economic activities by supporting self-reliance strategies already deployed by people.
  - Plan for long-term recovery and development through early needs assessments, participatory planning, strategic partnerships at the community and government levels, and capacity-building at the national and local levels.
42. IFAD interventions during early recovery will be concentrated on food security (and the agriculture, forestry and fisheries sectors), production systems, rural infrastructure, and restoration of rural markets (including financial markets) and people's access to them. During the early recovery stage, IFAD will support and,

<sup>16</sup> Diagram adapted from Chris Piper/TorqAid 2010 Disaster Risk Management Cycle (DRMC), version XIII.

when possible, take part in needs assessments together with relevant partners to identify priorities for the design of both short- and long-term development interventions to support the recovery of livelihoods.

## **V. Selection of finance instruments**

43. The IFAD rapid response should be adapted in form and scope to the circumstances of each emergency, the socio-economic context of the country (and how it has been changed by the disaster), the impact of the disaster on the IFAD target group and ongoing projects, government requests and the IFAD development strategy for the country concerned.
44. Attention should be given in the country strategic opportunities programmes (COSOPs) for the most exposed countries to the instruments that are to be preferred for financing disaster preparedness, prevention and recovery.
45. Possible options, based on currently available instruments, for IFAD interventions in a crisis/post-disaster context include:
  - (a) Project portfolio restructuring and/or reallocation of resources within existing projects.
  - (b) Small grants from regular resources and large grants funded through supplementary financing.
  - (c) Loans and large grants funded from IFAD regular resources.

### **A. Portfolio restructuring and loan reallocation**

46. In countries where IFAD has an ongoing portfolio of operations, particularly if there are projects in the affected area/region, a first option is to restructure or reorientate the existing portfolio to support early recovery activities. This is the fastest means of mobilizing resources and implementing early recovery activities, when resources are adequate.
47. Revision of the portfolio following an emergency should be carried out together with the government and should take into account the effects that such restructuring will have on the achievement of the programme/project goals.<sup>17</sup>
48. In evaluating whether portfolio restructuring is a feasible option, it will be necessary to take into account the following:
  - (a) Portfolio restructuring/reallocation should be consistent with ongoing development priorities and activities.
  - (b) Cases that should be considered first for possible restructuring are: projects unlikely to achieve their development objectives as a consequence of the disaster; projects having a relatively low economic/financial impact; projects with low implementation/disbursement levels<sup>18</sup> after an analysis of underlying causes of poor performance and existing opportunities for improvement.
49. Projects still at the design stage when a disaster strikes may be modified to include early recovery activities and disaster prevention/mitigation measures.

### **B. Small grants and large grants funded through supplementary financing**

50. When resources available for reallocation are inadequate or when the cost of reallocation is high in terms of loss of development results, portfolio restructuring should be of limited magnitude and combined with small grants (from IFAD regular resources) and/or large grants funded through supplementary funding.

<sup>17</sup> IFAD Policy on Crisis Prevention and Recovery (2006).

<sup>18</sup> However, caution should be exercised in the case of projects with a very high development impact.

### **Small grants**

51. There are limitations to the degree to which grants can support disaster recovery interventions. Given its focus on promoting pro-poor research on innovative approaches and building the pro-poor capacities of partner institutions, the revised IFAD Policy for Grant Financing<sup>19</sup> does not specifically address the issue of disaster recovery. However, there is definite scope for financing, for example, specific needs and impacts assessments and capacity-building efforts at the institutional and community levels within the context of disaster recovery.
52. Small grants (up to US\$500,000) entail a considerably shorter clearance process and approval period than large grants since they are approved by the President of IFAD on behalf of the Executive Board. Small grants could be used in the very early stages of recovery to provide funding for:
  - (a) Impacts and needs assessment at the household level in rural areas.
  - (b) Capacity-building at the institutional/community level to ensure that early efforts in reconstruction include disaster risk reduction measures and do not recreate vulnerabilities.
  - (c) Local capacity-building of relevance to project implementation.
53. Without fast-track procedures, small grant projects may take up to 4 or 5 months to be approved. With the approval of the more expeditious procedures proposed in these Guidelines (section VII), the time required could be reduced to 1 or 2 weeks.

### **Large grants funded through supplementary funding**

54. If foreseen in the agreement with the donor Member State, large grants can be used to finance early recovery activities and support the start-up phase of a recovery project if necessary.
55. Large grants funded through supplementary funding could be particularly suited to a post-disaster context since they follow the same procedures for approval as small grants, which reduces considerably the time frame of approval. Large grants funded through supplementary funding from donor Member States are approved by the IFAD President.
56. Depending on the existing country portfolio, the degree of exposure to risk and the potential impact a disaster could have on the IFAD target group, regional divisions are encouraged to explore in advance the potential for supplementary financing to ensure that there will be adequate resources to support early recovery activities and ensure the continuous implementation of development operations. This type of funding may therefore provide an adequate level of flexibility to support IFAD interventions in early recovery.
57. When supplementary funds are envisaged, it is advisable to establish a framework agreement (such as a memorandum of understanding) with the donors concerned detailing how the resources will be mobilized in the event of a disaster. It is widely recognized that countries that are most at risk of disasters are often those donors target for aid because of the strong poverty-disaster nexus. As a result, donors traditionally engaged in relief operations have an objective interest in early recovery activities that minimize the burden and risk of protracted relief efforts and the associated dependency on assistance. These agreements can be defined at the regional or country level according to the particular context.

### **C. Investment loans and large grants**

58. Depending on the country context (IFAD portfolio, security, access, etc.), the provision of a top-up loan and/or long-term investment loan, either as a follow-up to portfolio restructuring/grants or on its own, may be necessary. While a small

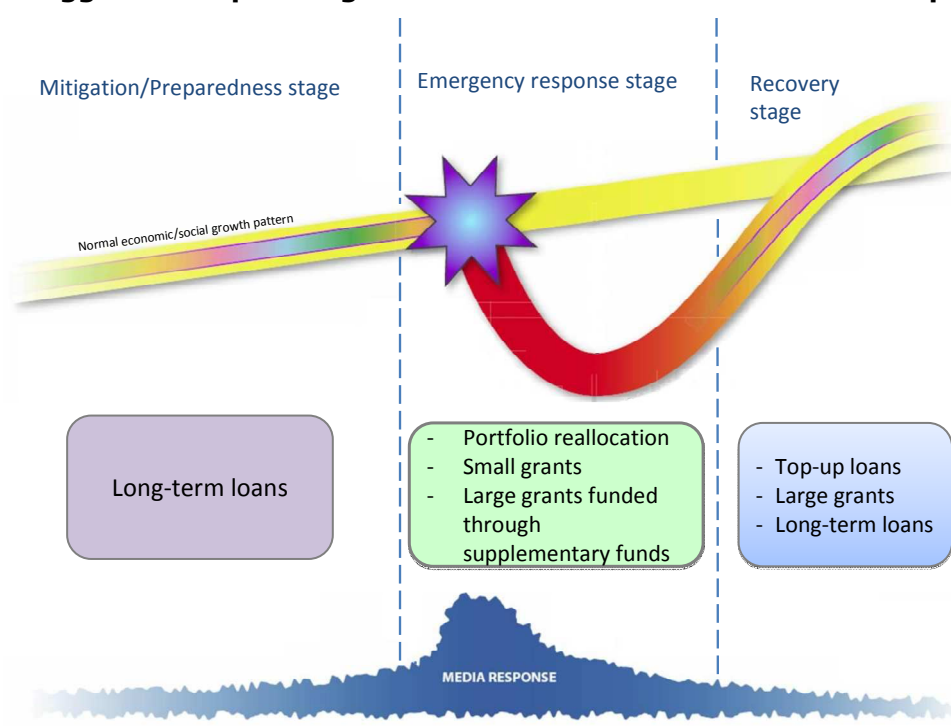
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<sup>19</sup> Document EB 2009/98/R.9/Rev.1

grant will generally focus on supporting the recovery capacities of target groups and their representative organizations, a large grant and/or top-up loan could cover the bulk of the needs of the transition from relief to recovery on a larger scale, followed by a regular investment loan to support the long-term development objectives in a post-disaster situation.

59. It is important to keep the design of the new project as simple as possible with a maximum of two components. Elements of disaster preparedness and disaster risk reduction need to be included (see section VI). The IFAD Policy on Crisis Prevention and Recovery provides for the possibility of retroactive funding, which can help, when warranted, bridge the gap between early recovery and recovery.
60. Appropriate sequencing of these instruments may help in building the momentum of IFAD interventions in disaster situations.

### Suggested sequencing of finance instruments in disaster response



### D. Activities eligible for financing

61. In responding to disaster events, no two situations will be the same because each event and each country will present its own set of challenges and opportunities, and interventions will need to be tailored to the specific country context and the impact the disaster has had.
62. While the available instruments and procedures (as detailed in section VII) will remain the same, the management of various risk situations, including the management of disaster response, will differ. IFAD will need to implement different strategies based on the probability of disasters occurring in the different countries.
63. In countries that present a high risk profile and are extremely vulnerable to hazards, for example Honduras, IFAD may need to develop a long-term financial strategy for early recovery and prevention. Honduras is extremely susceptible to damaging hurricanes and floods along the Caribbean coast and experiences frequent, but generally mild, earthquakes. The agricultural sector in particular suffers the greatest losses after a disaster. Without a long-term strategy to support recovery, it will be difficult to achieve IFAD poverty reduction and development objectives.



64. Possible strategies to support early recovery in countries that are highly exposed to risk include the establishment of contingency funds for frequent events (possibly to finance grants) and project components that are specifically aimed at early recovery interventions. In addition, it would be useful for IFAD to investigate whether an insurance strategy that takes into account the expected impacts of climate change could be established for the agricultural sector.
65. Interventions to support early recovery should be tailored to the local context and the specific needs of the affected rural population. Early recovery interventions that support the restoration of livelihoods and income include:
- (a) Conducting participatory early needs assessment, capacity assessments, planning and resource mobilization for the recovery of the affected rural population.
  - (b) Mapping the pre-disaster agriculture and environment situation.
  - (c) Identifying negative coping mechanisms and developing appropriate response measures, to ensure that recovery activities do not generate discrimination or secondary risks, in collaboration with local communities, local authorities and relevant stakeholders.
  - (d) Strengthening self-help initiatives and the capacities of the affected population, taking into account the different needs and capabilities of men and women.
  - (e) Fostering restoration of agricultural production and economic activities through, for example, input supply and recovery/rebuilding of assets, promoting improved land management techniques, promoting diversification of food crops and cash crops.
  - (f) Restoring minor rural infrastructure (such as rural roads) that is important to launch local recovery processes. At the same time, the focus should also be on building capacity in hazard-resistant construction methods.
  - (g) Establishing or preserving human, institutional and social capital, particularly that of vulnerable groups within communities.
  - (h) Pinpointing critical ecosystems that require restoration and promoting natural resources conservation (e.g. a landscape-based approach for sustainable natural resource management would be useful in identifying and mitigating risks and vulnerabilities linked to environmental degradation).
  - (i) Formulating and implementing measures to mitigate or avert the potential effects of other imminent/possible disasters.
  - (j) Promoting income diversification at the local level in order to strengthen resilience, using a gender-specific approach.
  - (k) Rehabilitating the financial systems and financial sector infrastructure (money transfer mechanisms).
  - (l) Supporting the recovery of microenterprises and small businesses (through training, access to microfinance schemes, etc.).
  - (m) Building capacity at the local level (community, government) for longer-term reconstruction and development (at the project and community levels) focusing on vulnerability and disaster risk reduction to promote greater resilience.
  - (n) Strengthening local grass-roots institutions, in terms of both effectiveness and inclusiveness.
66. When planning for early recovery it is important to ensure the mainstreaming of cross-cutting issues (gender, environment, age, disaster risk reduction, crisis

prevention) in all aspects and stages of early recovery interventions, including early assessments, implementation, monitoring and evaluation.

67. Early recovery interventions should actively support the participation of women and women's organizations in all aspects of planning and implementation. Of particular importance are capacity-building initiatives aimed at ensuring women's participation in early recovery and longer-term recovery and development.
68. Another important aspect that should be supported as much as possible by early recovery interventions is the promotion of national ownership through the engagement of national and local authorities in all aspects of planning and implementation. In particular, it is important to implement, where needed, activities aimed at strengthening the capacity of local authorities to plan and manage early recovery efforts, including coordination of activities. Training and capacity-building in mapping, geospatial analysis and geographic information systems (GIS) can also support local authorities in planning for recovery and disaster preparedness.

## **VI. Contingency planning**

69. Several measures can be put in place before a crisis or disaster to support a rapid, timely and effective response. By identifying in advance clear objectives, approaches and procedures to respond to post-crisis/disaster situations, IFAD is more likely to be successful in linking early recovery interventions with its long-term poverty reduction objectives in rural areas.
70. Contingency planning in the context of these Guidelines refers to those activities that can be implemented ahead of time by IFAD to anticipate and prepare for challenges brought about by a crisis or disaster. While contingency planning is recommended for all countries, it is particularly important for countries that are highly vulnerable to risks, where IFAD operations are most likely to be hampered by disaster events.<sup>20</sup>
71. Responsibility for contingency planning lies with the Programme Management Department, in other words the regional divisions. The process should be led by CPMs, supported by key staff at headquarters<sup>21</sup> and IFAD field staff.<sup>22</sup> If necessary, additional technical expertise should be made available during the planning process through the recruitment of experts or through a secondment programme.
72. Considering in advance what crises or disasters are likely to affect a country or a region within a country makes it possible to identify the potential impacts on rural poor people, bearing in mind existing differences in vulnerability<sup>23</sup> and the country context. Early recovery interventions should be planned in a way that ensures that they do not reproduce or reinforce vulnerabilities but rather strengthen people's existing coping capacities. They should also reduce any immediate risk by implementing activities that diminish threats to livelihoods and assets. Finally, they should support a longer-term recovery effort that enables people to retain or rebuild their assets and livelihoods.
73. The following sections identify actions IFAD can take before a crisis or disaster occurs to support better organizational preparedness.<sup>24</sup>

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<sup>20</sup> The annex presents an overview of countries that have been identified as being at high risk of natural hazards and future climate change by Maplecroft.

<sup>21</sup> In particular representatives from the security team, Controller's and Financial Services Division (CFS), Office of the General Counsel (LEG), Policy and Technical Advisory Division (PTA), Human Resources Division (HRD), Environment and Climate Division (ECD) and staff from other regional divisions with experience in disaster response/early recovery interventions.

<sup>22</sup> Where available, inputs from project staff are particularly relevant.

<sup>23</sup> Vulnerability is complex and shaped by the interaction of several factors such as: geographical location, age, gender, ethnicity, health, environmental degradation, access to natural resources, safety nets, etc.

<sup>24</sup> While some of these activities may support risk-proofing in IFAD operations, they do not form a comprehensive approach to disaster risk management, which is beyond the scope of these Guidelines.

## A. Vulnerability and risk assessments

74. The first step in contingency planning is constituted by an analysis of the risks faced by a country, region or target group. The analysis should identify hazards and assess vulnerabilities at the local level, while also taking into account the national and regional context. It should be supported by an evaluation of existing capacities to respond to and cope with a disaster event at the local, regional/district and national levels.
75. Understanding what makes the rural poor vulnerable and what coping strategies are used, will ensure that early recovery interventions do not reinforce existing vulnerabilities or interfere with existing coping strategies. Vulnerability assessments should seek to identify:
- (a) Factors contributing to the vulnerability of the rural poor (such as occupation, access to credit) and the impact of gender differences.
  - (b) Differences in vulnerability between groups (e.g. income groups, households headed by women/men, access to natural resources).
  - (c) Strategies already in use to cope with and recover from disaster events.
  - (d) Key constraints to recovery.
76. Other elements that should be considered include:
- (a) Past IFAD interventions aimed at reducing disaster risk, their impact on vulnerability and on people's capacity to cope.
  - (b) The impact of past disasters on levels and forms of poverty, particularly on people living just above the poverty line and how they move in and out of poverty, and changes in gender roles and entitlements.
  - (c) The implications of climate change, exploring the resilience of the rural poor to increasingly frequent and intense climatic events.
  - (d) Phenomena such as *El Niño* and *La Niña*.

### Activities

77. Activities that can be carried out as part of contingency planning include:
- (a) **COSOP design.** An in-depth disaster risk analysis should be included in the COSOP,<sup>25</sup> together with an overview of the national framework for disaster risk management and the national capacity to respond. Appropriate risk mitigation and preparedness measures should be identified and included in the COSOP, alongside possible early recovery interventions that are tailored to the local and national contexts and support coping capacities already present in the population. This should be reflected in an appropriate budget line.<sup>26</sup>
  - (b) **Project design.**<sup>27</sup> Projects should also include a risk and vulnerability analysis, which itself should complement any existing poverty, social and environmental analyses. Disaster preparedness and mitigation activities should also be incorporated, in addition to resources that can be allocated, if necessary, to the implementation of early recovery activities that are appropriate to the local and national contexts and support existing coping capacities.

<sup>25</sup> This would support existing environmental and climate change assessments, and could be included in the Strategic Environmental Assessment envisaged by the IFAD Environmental and Social Assessment Procedures (2009).

<sup>26</sup> For countries with a high risk profile, between 5 per cent and 10 per cent should be allocated for early recovery activities so that these resources can be mobilized immediately following a disaster.

<sup>27</sup> Risk and vulnerability assessments could complement the existing Environmental and Social Review Note and climate change checklists/screenings envisaged by the IFAD Climate Change Strategy (2010).

### **Steps in the hazards, vulnerability and risks analysis**

1. Ensure adequate technical capacity – staff or consultants must have the necessary technical capacity and experience to carry out the risk analysis. Capacity could be ensured through collaboration with regional/national, technical/scientific institutions (including universities) or with other United Nations specialized agencies.
2. Review secondary data – including existing studies and analyses of hazard/threats, vulnerabilities and risks prepared by technical or scientific institutions, other United Nations agencies, multilateral financing institutions or organizations with a country presence.
3. Carry out an analysis of hazards starting with available information on past emergencies, and taking into account the probability, frequency, location, magnitude, and potential direct and indirect consequences of disasters for the rural poor. The analysis should not only rely on historical data but also consider the possibility of extreme weather linked to climate change and major shifts in the geography of risk due to deforestation, environmental degradation, migration to fragile areas, conflict, etc.
4. Analyse the vulnerability of people exposed to a potential hazard/threat in rural areas, with a focus on understanding what strategies are used locally to minimize disaster risk and their implications (e.g. choice of crops).
5. Carry out a risk analysis combining hazard/threat and vulnerabilities.

*Adapted from the International Federation of the Red Cross (IFRC) (2007).*

## **B. Early warning systems (EWS)**

78. Timely information on the development of a crisis or on the probability or occurrence of a disaster is essential to any IFAD rapid response. By linking to existing systems for early detection and warning of impending crises/disasters, and any early warning networks at the country and regional levels, IFAD staff will be able to access relevant information.
79. Key partners for IFAD will be other United Nations agencies, such as FAO, OCHA, WFP and the World Meteorological Organization (WMO), all of which have developed efficient early warning systems. Protocols for information sharing should be developed at the country level to ensure that IFAD country presence and project staff are kept in the loop. In addition, it is important to link up with the Inter-Agency Standing Committee (IASC) Sub-Working Group on Preparedness established in 2001 to strengthen and promote inter-agency preparedness, contingency planning and early warning processes.
80. Identifying information flows beforehand is a critical part of contingency planning. In particular, it is important to know:
  - (a) Who is to be informed at IFAD headquarters and in the field.
  - (b) How and by whom IFAD will be informed of impending crises/disasters.
  - (c) What mode of communication will be used (e-mail, phone, radio, etc.).
  - (d) Where to find the necessary contact information.

### **Activities**

81. Activities that can be carried out as part of contingency planning include:
  - (a) Identify early warning systems at the country and global levels, and those operated by other organizations/agencies, and development of formal protocols for information sharing.

- (b) Identify relevant people both within IFAD and from other organizations as focal points for EWS, and maintenance of an updated list with their names, contact details and their alternates.
- (c) Ensure that all leave is entered into the existing Integrated Security Clearance and Tracking System (ISECT).
- (d) Provide EWS focal points at the country level with the necessary means of communication at all times (e.g. if travelling in areas where there is no internet or phone reception, they should have radios or satellite phones).

### **C. Collaborating with the government and other organizations**

- 82. During a crisis or in the aftermath of a disaster, many government ministries and agencies are involved in response operations. Depending on existing capacity at the country level, these activities may be coordinated by the government or they may be synchronized under the United Nations coordination system. IFAD interventions in a post-disaster context need to take into account the existing response structure to prevent unnecessary duplication of activities and support effective cost-sharing and information exchange with other agencies.
- 83. To this end, it is important that IFAD acquire an understanding of the context and develop partnerships and strategic agreements in advance to ensure that, in the event of a sudden disaster or recurrent crisis, IFAD interventions are an integral part of a more comprehensive response effort.
- 84. Government institutions, particularly those at the local level, are key partners for IFAD in the planning and delivery of early recovery interventions. As a first step, it is important to identify existing preparedness, response and coordination mechanisms at the national and local levels. Local authorities are usually the first to react in the aftermath of a disaster, and IFAD interventions to support early recovery or mitigate future risks need to sustain and complement initiatives already under way at the local level.
- 85. In addition, establishing links with relevant government institutions at the national and local levels helps to ensure government ownership and greater participation in the development of early recovery interventions.
- 86. In 2005, to improve coordination and strengthen the impact of humanitarian response, the Inter-Agency Standing Committee<sup>28</sup> agreed to use a cluster approach to guide interventions implemented by NGOs and United Nations agencies. Clusters<sup>29</sup> are formed when there is insufficient government capacity to coordinate the level of emergency response required by the magnitude of a given disaster. Clusters should be dismantled as soon as the government is able to take over, although this is not always the case.
- 87. It is important for IFAD to be informed of any decision to establish a cluster and to be included, since participation in the cluster mechanisms would give IFAD the opportunity to coordinate its interventions with those of others and to shape decisions on where funding should be directed (e.g. livelihoods recovery in rural areas). Of particular relevance to IFAD is the planned creation<sup>30</sup> of a cluster for food security that will also focus on agriculture and livelihoods and is expected to be jointly led by FAO and WFP.

<sup>28</sup> The primary mechanism for inter-agency coordination of humanitarian assistance.

<sup>29</sup> Generally, governments need to agree to have the cluster mechanism rolled out in-country to coordinate the response, although there have been exceptions.

<sup>30</sup> The option of creating a food security cluster has been extensively debated at the global level for some time. The recent IASC Cluster Approach Evaluation (phase 2) suggests that a cluster integrating the Agriculture Cluster should be created, since a merger of food and agriculture issues can help strengthen the early recovery perspective of local food aid clusters. In several countries (e.g. the Democratic Republic of the Congo and Uganda) combined clusters were created for food security and agricultural livelihoods with very positive results. In countries where clusters for food aid and agriculture existed side-by-side, by contrast, serious implementation problems emerged (e.g. Haiti and Myanmar).

88. Given IFAD's limited in-country presence and reduced capacity to attend the high number of coordination meetings usually held in the aftermath of a disaster, a better option may be to establish agreements with FAO/WFP at the country level to ensure IFAD representation. Through such agreements, IFAD would be kept informed of the issues discussed and would be able to work with FAO and WFP in putting forward a common agenda to support livelihoods recovery in rural areas. Agreements with FAO and WFP could also entail IFAD staff being kept informed on developments at the country level (e.g. before a disaster happens, during an ongoing crisis) through working briefs.
89. Another important area of collaboration between IFAD and FAO/WFP is that of post-disaster needs assessments. While several organizations within the cluster system (notably UNDP and World Bank) are usually tasked with undertaking needs assessments at the country level (with the support of other agencies), these can be quite general, lengthy and focused only on immediate needs. More accurate needs assessments with a focus on supporting early recovery and development in rural areas are required to inform early recovery interventions. It would be simpler for IFAD to jointly undertake such assessments with FAO/WFP or to financially support FAO/WFP in carrying out the assessments.

### **Activities**

90. Activities that can be carried out as part of contingency planning include:
- (a) Conduct an analysis of the context, and existing coordination and response mechanisms and capacities, especially of local and national actors.
  - (b) Identify focal points within government at the national and the local level responsible for disaster preparedness and response, and strengthen collaboration.
  - (c) Establish the role IFAD can perform in a post-disaster situation in terms of scope and level of involvement, and define IFAD's role in relation to other agencies and government.
  - (d) Identify focal points/contact people within IFAD (country-level, headquarters) and within other agencies. Contact details should be provided and updated regularly.
  - (e) Maintain close contact with United Nations agencies in-country and attend relevant meetings whenever possible so that knowledge of developments in disaster preparedness and any decisions about implementing the cluster system in a specific country is kept up-to-date.
  - (f) Ensure IFAD is included in inter-agency information-sharing modalities (e.g. attendance by IFAD staff at meetings, liaising at the local level with the United Nations humanitarian coordinator, e-mail distribution lists, regular updates).
  - (g) Develop formal protocols for mutual support/information exchange at the country level with relevant agencies, such as FAO and WFP, to:
    - (i) support/participate<sup>31</sup> in post-disaster needs assessments in rural areas and ensure that needs assessments reflect the livelihoods needs of poor rural people as well as issues related to food security and livelihoods based on agriculture, forestry and livestock/fisheries; (ii) ensure representation in relevant clusters (whenever IFAD does not have the capacity to attend); and (iii) be updated on the development of situations, particularly in continuing crisis contexts.

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<sup>31</sup> This information should be compared with that collected during the risk and vulnerability assessments (particularly data on impacts of previous recovery interventions).

- (h) Support the development/consolidation of an online aid map focusing on agricultural/rural development interventions.
- (i) Identify local or international NGOs with field presence that could support or establish a partnership with IFAD in the delivery of early recovery interventions.
- (j) Identify appropriate partners in national and local authorities and develop strategies for strengthening existing capacities in terms of preparedness, response and coordination mechanisms, and link with/complement them.
- (k) If needed, support the strengthening of government capabilities in coordinating post-disaster assistance.
- (l) Contribute to the development of online platforms at the national level to identify which agencies and NGOs are doing what and where in relation to agriculture and rural development. This information would then inform decision-making and support government in directing the flow of aid accordingly.

#### **D. Logistics, security and banking**

91. To facilitate rapid intervention by IFAD in a post-disaster situation, a series of logistical arrangements can be made ahead of time. These are further detailed in section VIII.

##### **Security and transportation**

92. To ensure that, following a disaster or crisis situation, IFAD staff/consultants are able to visit/reach project areas without delay, IFAD needs to make formal arrangements with agencies engaged in relief and emergency operations to use their security systems. While IFAD already has agreements in place with sister agencies, these are not always sufficient to ensure adequate access and mobility when the pressure on scarce resources is at a maximum in the aftermath of a disaster. In a situation where speed can be paramount, IFAD may have to compete with other agencies to obtain the necessary logistical support (travel authorizations, vehicles compliant with minimum operating security standards [MOSS], etc.) and access to the affected areas.
93. Currently, IFAD field presence is quite limited and communication is often difficult with rural remote areas where there is little or no connectivity. Further investments in communication equipment are needed to ensure the safety of IFAD staff in-country and staff/consultants who are travelling to affected areas following a disaster (see section VIII).

##### **Communications**

94. It is important to clarify in advance:
- (a) How communication will take place among IFAD staff and between IFAD and other agencies/government.
  - (b) What means will be used to communicate in-country during emergencies (for example, among United Nations agencies) and what information IFAD staff will need to communicate effectively.<sup>32</sup>
  - (c) Who are the in-country IFAD focal points for communication during emergencies.
95. Contingency planning should also be carried out at the field level (e.g. regular backing up of computers and important document) and staff should be aware of what action should be taken during an emergency.<sup>33</sup>

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<sup>32</sup> For example, if radio communication is to be used, IFAD staff in the field should have had adequate training. They should know which radio frequency will be used during emergencies, name code, etc. and be informed of any changes.

### **Banking**

96. Often after the approval of a loan directed at responding to an emergency, considerable delays can be experienced in-country, particularly in the disbursement of money. Arrangements should be made beforehand to expedite the release of funds as far as possible. The action that can be taken in advance will vary from country to country, but options may include: (i) establishing a government account in-country to be used only for money destined for early recovery operations; (ii) replenishing existing project accounts to support early recovery operations.

### **E. Human resources**

97. The implementation of early recovery activities may require additional resources, particularly relevant national expertise. Generally, in a post-disaster context it will be better for IFAD to tap into existing expertise in-country, rather than setting up missions and sending experts into the country. Contingency planning should identify what expertise may be needed for the design/implementation of early recovery activities and consider the following:
- (a) Is there any existing in-house expertise that could be mobilized during early recovery activities and what arrangements are needed for its release (e.g. for staff/consultants working in different divisions/countries)?
  - (b) Is any additional expertise needed? If so, it is essential to have a database of national or regional experts with a good understanding of the national context who could be rapidly mobilized. It would be useful to have standby agreements with other agencies and organizations (such as FAO Emergency Operations and Rehabilitation Division, United Nations Volunteers, Danish International Development Assistance, Canadian International Development Agency) allowing rapid access to their rosters of qualified professionals.
  - (c) Does sufficient capacity exist at the country level to support IFAD in implementing early recovery activities? If this is the case, it is important for IFAD, particularly in countries where there are few local entities that have the capacity to interact with international organizations, to establish formal agreements with local NGOs or community-based organizations as they can be overwhelmed by requests from international humanitarian actors coming into the country after a disaster. In addition, in the case of a sudden event, the capacity of IFAD partners in the field may be wiped out, so it would be useful to map existing capacity at the field level in advance and identify contact people.

### **Activities**

98. Activities that can be implemented in advance include:
- (a) Identify staff/consultants in-house with the necessary expertise and discuss their possible involvement during a crisis/after a disaster.
  - (b) Build the capacity of field-level staff to support the development of early recovery activities.
  - (c) Contact potential consultants, and after an initial screening, request necessary information (medical certificates, curricula vitae, banking details) and create a profile in PeopleSoft.
  - (d) Draft general terms of reference and retainer contracts to be tailored/released when needed.
  - (e) Where funding/supplementary funding is available from specific donors, explore the possibilities of developing agreements for the rapid deployment of professional staff to support IFAD, in particular with FAO.

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<sup>33</sup> A list of potential translators to be contacted during emergencies would also be useful.



- (f) Identify and validate possible partners in-country (such as local or international NGOs, community-based organizations) to support the design and implementation of early recovery activities and to act as grant recipients. If possible, obtain relevant documentation in advance and formulate agreements.

## **F. Country briefs**

99. The above information should be included in a disaster preparedness country brief and updated regularly (at least on a yearly basis). The brief should detail clearly what arrangements are in place with partners, what activities IFAD should focus on to promote early recovery, which people need to be contacted both within IFAD and in other agencies and what their responsibilities are. The inclusion of this information in country briefs would help maintain institutional memory over time and in the case of staff changes.

### **Questions to ask when preparing a contingency plan**

1. Is the programme or project area affected by natural or other hazards and, if so, where? What could happen and how severe are the events likely to be?
2. What would the impact be on IFAD beneficiaries? What actions would be required to support livelihoods recovery and what resources would be required?
3. Does IFAD have an overview of the situation, current country context and existing inter-agency coordination/contingency plans? Are arrangements in place for sharing information with other agencies? What level of coordination with other agencies is required and who is responsible for coordination?
4. Who are the key people with whom IFAD will need to communicate and who is responsible for communicating with them? What means of communication will be used (e.g. e-mail, radio, telephone, in person) and are these available to relevant IFAD staff in-country and at headquarters?
5. What arrangements are in place to ensure the safety and security of in-country staff (including consultants) during and after disaster events?
6. Are there administrative arrangements in place to support early recovery activities (staffing, vehicles, telecommunications, back-up of data, etc.), including access to affected areas?
7. Is there a roster of consultants at the national/regional levels who could be brought in after an emergency to support rapid needs assessments? Are there institutional arrangements with other agencies/organizations to mobilize professional expertise?

## **VII. Disaster response: a step-by-step approach**

100. IFAD's objective in engaging in early recovery interventions is to help the IFAD target group jump-start resumption of the development process, while enhancing their resilience to future crisis.<sup>34</sup> While the IFAD response will be significantly influenced by the extent of the disaster and the country context, greater speed and coordination at the institutional level are needed throughout the different stages of response.
101. The following sections detail the actions to be taken in the event of a disaster, emphasizing the need for the different divisions to adopt a more collaborative mode

<sup>34</sup> IFAD Framework for Bridging Post-Crisis Recovery and Long-term Development (1998); IFAD Policy on Crisis Prevention and Recovery (2006).

of working to support the conceptualization and development of IFAD early recovery interventions. In particular, it is proposed that an Interdepartmental Disaster Response Task Force and a Rapid Response Country Programme Management Team (RR-CPMT) be established. In both cases, the CPM remains the driving force of the overall process but members of these two bodies would be expected to assume a proactive and forthcoming attitude in supporting the delivery of activities. In particular, team members would be required to take on tasks such as gathering information, anticipating problems and proposing solutions to assist the CPM. Tasks should be carried out by the different members in parallel, rather than in sequence, to expedite the overall process.

102. Additional gains in efficiency and time will be obtained through the proper selection of instruments and administrative solutions, as described in these Guidelines.
103. In addition, it should be noted that some of the activities listed below may be redundant if they have already been carried out in the course of contingency planning.

#### **A. Initiation and planning of the IFAD disaster response**

104. Initiating the disaster response is the responsibility of the CPM and the director of the regional division. However, in view of the high level of media exposure, the regional division concerned must provide sufficient regular information to Senior Management and the Communications Division to help shape clear messages about what action IFAD is taking.
105. Within 48 hours of the disaster, the Associate Vice-President, Programmes (Programme Management Department [PMD]) will convene a meeting of the Interdepartmental Disaster Response Task Force to decide whether or not to declare an emergency for IFAD. While leadership of the overall response process remains with the CPM and the director of the regional division, staff from other divisions will be engaged in supporting and directly contributing to the development of the disaster response. Essentially, the Interdepartmental Disaster Response Task Force declares the emergency on behalf of IFAD.<sup>35</sup>
106. This section details what needs to be done in the case of an imminent emergency and what action should be taken within the first 48 hours of a disaster, together with the requirements for each of the finance instruments identified in the previous chapter.

#### **In the case of an imminent emergency/disaster**

107. The **CPM** should:
  - (a) Maintain regular contact and exchange information with the country presence officer, or equivalent IFAD field representative, and government authorities.
  - (b) Revisit contingency and security plans, gather all relevant available information, including past needs assessments, identify appropriate expertise in-house or on the roster of disaster response experts.
  - (c) Liaise with IFAD security staff.
108. IFAD **country presence staff** should:
  - (a) Closely monitor the evolution of the situation and stay abreast of the response plans of other partners.
  - (b) Familiarize themselves with United Nations emergency procedures.
  - (c) Make tentative arrangements for internal travel and communication with headquarters.

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<sup>35</sup> The Task Force is chaired by the head of IFAD operations (Associate Vice-President, Programmes) and composed of the heads of the following units or their representatives: regional divisions; relevant CPM, CFS, COM, ECD, HRD, ICT, LEG, PTA, SEC, Security Unit, resource person(s) as required.

- (d) Gather all useful secondary information to support future needs assessments.
- (e) Update the emergency directory of relevant contacts in-country.
- (f) Maintain a close dialogue with local partners (such as NGOs, grass-roots organizations already working with IFAD-supported projects) to ensure preparedness for a prompt impact and needs assessment in the aftermath of a disaster.

**In the event of a disaster (within the first 48 hours)**

109. The **CPM** should:

- (a) Verify the status of country presence staff and assess the situation in rural areas through established information systems.
- (b) Immediately report the emergency situation to the director of the regional division, and inform the Associate Vice-President, Programmes.
- (c) Activate existing contingency plans.
- (d) Alert relevant staff at headquarters, including administrative support staff and staff in divisions that will be involved in the planning, development and processing of the IFAD response.
- (e) Confirm with country presence staff, IFAD headquarters staff and other relevant staff which mechanisms will be used to share information, including modes and timing, and who will participate in meetings in-country with government, United Nations agencies and other stakeholders.
- (f) When IFAD country presence staff are directly affected by the disaster, assess the situation in conjunction with IFAD security staff and other United Nations agencies, particularly UNDP, to define a course of action. If deemed necessary, a team should be sent to the country to support the country team.

110. IFAD **country presence staff** should:

- (a) Communicate with headquarters staff as soon as possible to confirm that they are safe and provide information on the situation.
- (b) Liaise with designated disaster response staff (government, United Nations agencies, etc.) to develop a better understanding of the situation and how the response will be coordinated.
- (c) Liaise with IFAD project staff to make an initial assessment of the damage/impact.

111. The **Associate Vice-President, Programmes (PMD)** should:

- (a) Call an initial meeting of the Interdepartmental Disaster Response Task Force.

112. Following the meeting, the **regional director** concerned should:

- (a) Contact directors of all relevant divisions to identify staff who will collaborate on the disaster response.
- (b) Directors of support divisions are responsible for freeing adequate staff time to respond to the emergency and are expected to make contingency plans to be able to do so when such situations arise.

113. The **Communications Division (COM)** should:

Prepare a draft press release based on ongoing IFAD activities in the affected country and possible interventions, and share this with the CPM for his/her input and clearance. Where possible, this should be done within the first 24 hours of the disaster.

### **Following a formal declaration of a state of emergency**

114. When a state of emergency is declared by a government an appeal may also be issued for assistance from the international community and/or an appropriate United Nations agency. The decision to act is taken during the Interdepartmental Disaster Response Task Force meeting on the basis of input from the regional division.
115. The **CPM**, in consultation with the director of the regional division, should:
- (a) Send a memorandum to the Associate Vice-President, Programmes with a copy to the IFAD President, outlining the situation and the envisaged options for IFAD intervention and requesting a meeting of the Interdepartmental Disaster Response Task Force with the Operational Strategy and Policy Guidance Committee (OSC). A preliminary draft outlining the IFAD response (based on available information gathered by IFAD country presence staff and partner agencies) should be presented at the meeting so that the formal endorsement of the task force can be obtained.
  - (b) In collaboration with the Office of the Secretary, send an official letter to the government in response to any formal request for assistance or offering IFAD assistance in the absence of such a request.
  - (c) Convene a disaster response meeting with the country presence officer (teleconferencing) and relevant staff at IFAD<sup>36</sup> (in particular: Security Unit, Office of the General Counsel [LEG], Controller's and Financial Services Division [CFS], Human Resources Division [HRD], Communications Division [COM], Information and Communications Technology Division [ICT], Policy and Technical Advisory Division [PTA], Environment and Climate Division [ECD]) to discuss how to operationalize the proposed response plan endorsed by the Interdepartmental Disaster Response Task Force. The meeting(s) should be chaired by the regional director and should focus on:
    - (i) The type of interventions needed to support early recovery of the IFAD target group,<sup>37</sup> timing of IFAD interventions, how IFAD will support early recovery.
    - (ii) The financing instruments<sup>38</sup> that are most suitable to support recovery (early and long-term) in the specific post-disaster context.
    - (iii) Any additional field-based/headquarters staffing capacity that is needed, and related administrative/budgetary requirements.
    - (iv) The involvement of IFAD in any immediate damage/needs assessment and its role vis-à-vis other donors.<sup>39</sup>
    - (v) The type of support needed from other divisions,<sup>40</sup> and what tasks and responsibilities will be assigned.
    - (vi) The most suitable communication strategy.

<sup>36</sup> If necessary, additional disaster response experts at the national/regional level should be involved in supporting this.

<sup>37</sup> Interventions for IFAD-supported programmes/projects that are directly affected by the disaster or could be indirectly affected.

<sup>38</sup> See section V for details of the instruments.

<sup>39</sup> Such as providing funding, ensuring that issues related to the rural poor are taken into account, etc.

<sup>40</sup> Such as designation of IFAD staff to support fast processing of the IFAD response.

## **B. Mobilizing financing**

### **Portfolio restructuring and loan reallocation**

116. The **CPM** should:

- (a) Assess whether there are sufficient financial and human resources to implement early recovery activities or whether there is a need for additional expertise/funding.
- (b) Identify and recruit disaster risk reduction experts to support and build the capacity of the project management unit and local communities in planning and implementing early recovery activities that do not recreate or exacerbate existing vulnerabilities and are inclusive of risk reduction and preparedness measures.

### **Small grants**

117. The **CPM** will:

Convene an initial meeting of the RR-CPMT with staff from relevant divisions (in particular, CFS, ECD, the Grants Secretariat, LEG, PTA) to ensure their early involvement and support.

118. Under the lead of the CPM, the **RR-CPMT** will:

- (a) Review the options for organizing and participating in needs and impact assessments.
- (b) Support the development of the proposal and preparation of relevant documentation; if necessary, staff from LEG/CFS should take the lead in contacting the recipient and obtaining the necessary documentation.
- (c) Agree on the most efficient disbursement/reporting modalities. Preference in appointing grant recipients should be given to other United Nations agencies and simplified reporting modalities should be agreed upon/reviewed to enhance collaboration. Track records of different recipients should be discussed at this stage to avoid further delays in the clearance process.
- (d) Support fast-track clearance processes both before and after the proposal reaches the Grants Secretariat. A high priority note should be attached to the proposal.

119. The **Grants Secretariat** should:

- (a) Ensure that high priority is given to the processing of the small grant.
- (b) Ensure quality by identifying disaster risk reduction experts as reviewers.
- (c) Develop a roster of disaster risk reduction experts and standby agreements to facilitate their prompt involvement as reviewers.

### **Investment loans**

120. The **CPM** should prepare, together with the IFAD country presence officer and staff from relevant divisions, an initial concept note (a maximum of two pages) to be submitted to the OSC. The initial concept note, which should be discussed and agreed with the government, should:

- (a) Focus on recovery activities and linkages with the longer-term development objectives of the IFAD country programme.
- (b) Recommend activities IFAD should carry out to support the transition from recovery to longer-term development.
- (c) Be based on the analysis of the situation in-country including aspects such as: type of support requested by the government; debt sustainability; existing partnership and coordination arrangements between humanitarian and development agencies; IFAD programme strengths.

121. Following approval by the OSC, the **CPM** will:
- (a) Request the IFAD divisions that are most directly concerned to nominate staff (or confirm staff already involved in the preparation of the concept note) to be part of the RR-CPMT.
  - (b) Involve experienced staff<sup>41</sup> and/or identify consultants with appropriate skills and experience and, where possible, knowledge of the country/region.
  - (c) Set up the RR-CPMT with key staff nominated by the directors of other divisions, in particular CFS, ECD, HRD, LEG, PTA, Office of the Secretary (SEC) and Security Unit.
  - (d) Notify the quality enhancement (QE) and quality assurance (QA) secretariats of the development of the new project and the implementation of fast-track procedures for its review.
122. **PTA** subsequently establishes a timetable and identifies one or more reviewers with experience in disaster recovery and preparedness.
123. The **country presence officer** should:
- (a) Identify measures that can be adopted in-country to support rapid processing of the loan and early start-up of projects, such as agreeing with government offices to promptly approve/ratify the proposed project, and selecting project management staff with portfolio restructuring relevant expertise.
  - (b) Together with the IFAD Security Unit (lead), contact relevant field agencies (in particular those with whom IFAD has strategic partnerships) to arrange logistical support for country missions.
124. Under the lead of the CPM, the **RR-CPMT** will:
- (a) Base the design of the new project on the findings of the impacts and needs assessment.
  - (b) Ensure that the project design follows a simplified format, with a maximum of two components, and:
    - (i) Includes activities designed specifically to: enhance disaster risk mitigation/preparedness; rebuild the development capacity of IFAD's target group; promote local institutional development to support preventive measures; increase risk awareness.
    - (ii) Takes into account: specific risks present in the area; the current environmental, social and economic situation and any changes resulting from the disaster; initiatives already being implemented at the local level.
    - (iii) Mainstreams cross-cutting issues such as gender and environment, with particular attention given to the most vulnerable groups.
    - (iv) Focuses on longer-term recovery linked to IFAD development objectives for the country. Submission of a maturity assessment template will not be necessary.
125. The internal review of the project design report (PDR) will be organized by **PTA** (QE) and by the **QA secretariat**. In particular:
- (a) No pre-QE meeting will be needed and the CPM will be required to submit the PDR and RR-CPMT minutes to PTA four working days before the QE panel.

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<sup>41</sup> Since rapid and efficient response is often linked to previous disaster experience and knowledge of IFAD policies and procedures, adequate staffing support to early recovery operations is essential.

- (b) The reviewers' recommendation note (lead adviser) must be prepared, cleared and shared with regional division at least two days before QE panel.
  - (c) The QE panel must include a maximum of three reviewers, of whom at least one external reviewer.
  - (d) The CPM will receive the QE panel report from the lead adviser one day after the QE panel and will review the PDR accordingly. The draft PDR should be shared with the government concerned within two days.
  - (e) Once approval of the government is obtained, the PDR will be sent to the QA secretariat four days before the QA review. The CPM must provide a response, where possible, during the meeting or within three days.
126. Submission to the Executive Board will be expedited, where necessary, through the lapse-of-time procedure and by voting by correspondence (rules 23 and 24 of the Rules and Procedures of the Executive Board). If voting by correspondence is used, the President will dispatch the documents and determine the response period.

**Large grants:**

127. Following approval by OSC, the **CPM** will:
- Convene the initial meeting of the RR-CPMT.
128. Under the lead of the CPM, the **RR-CPMT** will:
- (a) Support the development of the proposal and prepare relevant documentation.
  - (b) Consider disbursement needs to determine the duration of the grant.
  - (c) Request a stand-alone QE review of the grant. A simplified format and evaluation criteria tailored to risk reduction and early recovery activities should be used.
129. The **Grants Secretariat** should:
- (a) Identify reviewers with experience in disaster risk reduction, preparedness and early recovery.
  - (b) Expedite the reviewing and processing of the grant proposal by giving it immediate priority.
130. To ensure rapid approval of the grant, the lapse-of-time procedure or voting by correspondence should be used.

## Simplified project design process

<i>Steps</i>	<i>Remarks</i>	<i>Responsibility</i>	<i>Output</i>	<i>Duration</i>
Preparation of project concept note	Discussed and approved by government	CPM	Memorandum	Within 1 week
OSC meeting	For any project not in the pipeline, as is the case of disaster response projects, an OSC meeting is called to verify its consistency with IFAD policies	OSC, CPM	Go ahead decision	Same day
Field assessment of disaster impact and immediate response	Decide whether it is best to respond jointly with other agencies or to send experts	RR-CPMT		3-4 weeks
Preparation of detailed PDR	Combined identification/preparation/mission: focus on immediate response to disaster and linkages with longer-term recovery/development activities.	RR-CPMT, government		2 weeks
Stand-alone, single QE panel meeting	Submission of documents to PTA four working days before QE panel. Panel to include a maximum of two reviewers, in line with simplified design	PTA, CPM	QE report produced	1 week
Host government review of draft PDR	Incorporating changes made to PDR in response to QE recommendations: analysis, negotiation and elaboration with government	RR-CPMT, government	Design completed	Variable, up to 4 weeks
Simplified QA process	Submission of project documents five days prior to QA	OPV, CPM		1 week
Preparation of President's report	Clearance of President's report by RR-CPMT/President	RR-CPMT, President	President's report	1 week
Preparation of draft financing agreement		LEG, CFS and CPM	Draft financing agreement	In parallel with President's report
Negotiations with government		LEG, CFS, CPM		Variable, 1 to 2 weeks
Submission of required documents to Executive Board for approval	Use of the most rapid procedure to submit/obtain Executive Board approval	SEC, CPM, LEG, CFS, President		3 weeks average
Signing of financing agreement		EB, President, government		N/A



### **Key questions**

1. How are you planning to assess the impacts on and needs of the IFAD target group? Have you identified appropriate assessment tools to determine the local community's needs and priorities?
2. What capacity-building is needed at the government level to support early recovery interventions?
3. How will IFAD collaborate with other agencies/government in drafting its early recovery interventions?
4. What other agencies/NGOs can support IFAD early recovery interventions?
5. On what basis will you select implementation partners and how will you determine whether they meet all necessary requirements?
6. How will logistics be organized in-country? What arrangements are there to facilitate transport and communication in-country? Do any arrangements need to be made from headquarters?
7. How will you involve local government/beneficiaries in planning and implementation?
8. How will the project support people in the transition from aid to self-sufficiency?
9. How will you monitor the impact of the project in the short (early recovery) and long term (development objectives)?
10. How will you draw and evaluate lessons learned from the preparation and implementation of early recovery activities?

## **VIII. Support to operations**

131. Effective mechanisms need to be in place at IFAD to support regional divisions in disaster response planning and implementation. In particular, it is necessary to:
  - (i) have available relevant expertise and be able to mobilize it quickly;
  - (ii) understand the local situations and existing challenges in the aftermath of a disaster; and
  - (iii) select the simplest and fastest existing procedures that are most appropriate to such situations.
132. To ensure a rapid response from IFAD it is therefore essential to identify staff at various levels of the organization who will be responsible for tasks related to initiating and leading the response, planning, coordinating and delivering.
133. The following sections suggest activities that can be implemented to expedite IFAD disaster response processes and highlight which existing procedures should be used.

### **A. Security**

134. IFAD security staff should be involved in all phases of the planning and implementation of the IFAD disaster response. The input of the Security Unit is essential both in ensuring the safety of staff/consultants and in supporting them in accessing countries/logistical arrangements.
135. Additional activities that facilitate the planning and implementation of early recovery activities include:
  - (a) Supporting CPMs in obtaining waivers to access countries/specific areas whenever needed.

- (b) Supporting CPMs in developing deployment protocols with FAO/WFP when most appropriate.
- (c) Making provision for security staff to join IFAD missions to post-disaster countries whenever needed to assist staff/consultants needing access to rural areas and to in-country logistical support.
- (d) Organizing and managing the stockpiling and maintenance of necessary communication equipment (satellite phones, portable radios) to ensure that IFAD staff/consultants have adequate means of communication at their disposal.
- (e) Organizing training courses for relevant IFAD staff/consultants in partnership with specialized agencies (such as UNHCR, WFP) providing training in emergency management, including behavioural stress tests.
- (f) Preparing brief training sheets (of a maximum of three pages) for staff/consultants joining a post-disaster mission who have not undertaken any previous training.

## **B. Human resources**

136. The recruitment of consultants to be involved in disaster response operations will be facilitated through the following:

- (a) Earmarking of consultants' contracts for priority processing, which should be reduced from five to two working days. The waiting period between approval (via PeopleSoft) and the actual commencement of duties should be no more than one working day.
- (b) Direct liaison, in consultation with the CPM, with consultants to determine and agree on their salary fee to avoid lengthy negotiations after contract issue.
- (c) Creation and management of a roster of early recovery/disaster experts. Suitable consultants should be identified in consultation with IFAD regional divisions and/or regional and international agencies.
- (d) In consultation with regional divisions and procurement officers, prior investigation of whether it is possible to have institutional arrangements already in place for collaboration with research/expertise centres at the national/regional levels.

## **C. Procurement**<sup>42</sup>

137. During the disaster response phase and in line with the IFAD Procurement Guidelines, procurement can be carried out through:

- (a) The Inter-Agency Procurement Services Office (IAPSO), enabling identification of pre-screened and approved organizations for the procurement of services/goods that have been already cleared and subsequent direct contracting and single sourcing.
- (b) NGOs and grass-roots organizations present in affected rural areas that have already been identified by IFAD as having a proven track record in the provision of technical assistance.
- (c) Procurement methods that comply with the IFAD Project Procurement Guidelines and are suitable for the delivery of urgently needed services.
- (d) Extension of contracts issued under existing projects for similar activities, by increasing their corresponding contract amounts.

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<sup>42</sup> Document EB 2010/100/R.27.

## **D. Finance**

138. The following measures will support the start-up and rapid disbursement of funds for early recovery:
- (a) In case of grant financing reducing to 50 per cent (from the standard 75 per cent) the ceiling for justification of funds to receive additional disbursements.
  - (b) Assisting the government in satisfying requirements related to necessary legal documentation, signatures and first disbursement (including through the provision of documentation templates).
  - (c) In the choice of counterpart agencies, by building on financial and procurement capacity assessments conducted by other development partners and United Nations agencies.

## **E. Legal aspects**

139. Staff from the Office of the General Counsel should be involved in the disaster response from the commencement of activities and support the process by:
- (a) Providing information on the legal aspects and assisting CPMs in obtaining the correct documentation.
  - (b) Reviewing/drafting and processing of documentation in an adequate and prompt manner.

## **F. Communications**

140. The identification of focal points within the Communications Division tasked with advance preparation and updating of country briefs would support a more streamlined approach to communicating information both internally and externally. Following a disaster, staff from the Communications Division should, in consultation with the CPM of the affected country, be ready to:
- (a) Draft, immediately after the disaster, a clear message outlining activities being implemented by IFAD and ways in which IFAD will support the country in recovering from the disaster and achieving its development objectives.
  - (b) Participate in the RR-CPMT meetings in order to develop an understanding of how rural people have been affected and what activities IFAD is putting in place to support their early recovery.
  - (c) Agree with the RR-CPMT on what information should be made public and develop a media strategy, including designating spokespeople and establishing clearance procedures for media reports.

## **IX. Monitoring the early recovery process**

141. While procedures will need to be simplified to support rapid implementation of early recovery activities, this could involve additional risks. To ensure that implementation of early recovery activities proceeds smoothly and that any problems are dealt with in a timely manner, provision should be made for additional monitoring.<sup>43</sup> This is particularly important in the case of additional investments by IFAD to support early recovery because in post-disaster contexts activities will be under greater public scrutiny and IFAD must be seen to be delivering the right services.

### **A. Enhanced supervision**

142. To support the rapid and efficient implementation of early recovery activities, field supervision will need to be strengthened, particularly during the initial period. It will be necessary to:

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<sup>43</sup> IFAD Policy on Crisis Prevention and Recovery (2006).

- (a) Provide additional support to promote a rapid start-up of initial activities, including rapid capacity-building if necessary.
- (b) Provide support for the start-up workshop.
- (c) Ensure that capacity is built at the local level for reporting on progress related to early recovery activities.
- (d) Carry out field supervision missions every three months during the first phase;<sup>44</sup> depending on the progress of implementation and the level of risk assessed, subsequent supervision missions should be conducted every four months.

## **B. Auditing**

143. Given that simplified procedures may be adopted in a post-disaster context, a fully-fledged audit should be undertaken once a year to confirm the eligibility of expenditures and compliance with procedures.

## **C. Development of specific disaster recovery indicators**

144. A comprehensive monitoring and evaluation (M&E) system should be defined during the final design stages of early recovery interventions. In addition to the monitoring of activities, it will be important also to monitor and assess early recovery objectives and priorities regularly. This will support prompt identification of problems (such as objectives that are not being met or are off-track) so that the necessary action can be taken.
145. In particular, the M&E system will need to ensure that:
- (a) Early recovery activities are underpinned by the principles of “do no harm” and “build back better”.
  - (b) Cross-cutting issues, such as environmental and natural resource management, climate change and gender, are also comprehensively addressed.
  - (c) Disaster risk reduction measures are mainstreamed in all activities.
146. Specific indicators<sup>45</sup> will need to be developed to assess the impacts of early recovery activities. Given the relatively short time-frame of early recovery activities, it is advisable to use more immediate, participatory approaches to evaluate the outcomes, such as after-action reviews and lesson-learning exercises.
147. Initially, it may also be prudent to monitor activities on a weekly or fortnightly basis, particularly if early recovery activities are set under way while emergency activities are still being carried out. Frequency of monitoring can shift to longer intervals of two or three months at a later date, depending on the type of activities under implementation.

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<sup>44</sup> Usually one year, but this depends on the country context and the progress achieved with recovery activities.

<sup>45</sup> Sample indicators were proposed for programmes and projects approved under the IFAD Policy on Crisis Prevention and Recovery.

**Checklist**

1. Have specific indicators been developed to monitor adherence to the “do no harm” and “build back better” principles in early recovery activities?
2. Have indicators been developed to monitor the effectiveness of early recovery interventions in promoting disaster risk reduction?
3. How will the effectiveness of inter-agency coordination of early recovery activities be monitored?
4. Have the indicators been developed in a participatory manner?
5. Have participatory monitoring systems been established to assess the impacts of early recovery activities?
6. Are there mechanisms in place to document early recovery activities from their inception?
7. Who will be responsible for gathering information on lessons learned, processes and outcomes, key decisions, coordination with other agencies, documenting the different phases with audio/video tools, and similar aspects?
8. What challenges have been encountered in implementing early recovery activities?
9. What should be done to avoid these challenges in the future?
10. What went well? What could be improved?
11. What was the level and quality of coordination with the government/other agencies?
12. What additional coordination is required? How could coordination be improved?

## Countries at extreme risk<sup>a</sup>

NDI 2010 <sup>(A)</sup>		CCVI 2011 <sup>(B)</sup>		Protracted crisis (1996-2010) <sup>(C)</sup>	
Country	Risk	Country	Risk	Country	No. of disasters
1. Bangladesh	Extreme	1. Bangladesh	Extreme	1. Afghanistan	15
2. Indonesia	Extreme	2. India	Extreme	2. Burundi <sup>b</sup>	15
3. Iran (Islamic Republic of)	Extreme	3. Madagascar	Extreme	3. Democratic People's Republic of Korea	15
4. Pakistan	Extreme	4. Nepal	Extreme	4. Democratic Republic of the Congo <sup>c</sup>	15
5. Ethiopia	Extreme	5. Mozambique	Extreme	5. Eritrea	15
6. Sudan	Extreme	6. Philippines	Extreme	6. Ethiopia	15
7. Mozambique	Extreme	7. Haiti	Extreme	7. Haiti	15
8. Haiti	Extreme	8. Afghanistan	Extreme	8. Iraq	15
9. Philippines	Extreme	9. Zimbabwe	Extreme	9. Liberia <sup>d</sup>	15
10. Colombia	Extreme	10. Myanmar	Extreme	10. Sierra Leone <sup>e</sup>	15
11. India	Extreme	11. Ethiopia	Extreme	11. Somalia	15
12. China	Extreme	12. Cambodia	Extreme	12. Sudan	15
13. Sri Lanka	Extreme	13. Viet Nam	Extreme	13. Uganda	14
14. Myanmar	Extreme	14. Thailand	Extreme	14. Congo <sup>e</sup>	13
15. Afghanistan	Extreme	15. Malawi	Extreme	15. Angola <sup>f</sup>	12
16. Peru	High	16. Pakistan	Extreme	16. Kenya	12
17. France	High	17. Kenya	High	17. Tajikistan	11
18. Italy	High	18. United Republic of Tanzania	High	18. Guinea <sup>e</sup>	10
19. Venezuela (Bolivarian Republic of)	High	19. Uganda	High	19. Zimbabwe	10
20. Turkey	High	20. Burundi	High	20. Chad	9
21. Honduras	High	21. Rwanda	High	21. Côte d'Ivoire <sup>e</sup>	9
22. Somalia	High	22. Lao People's Democratic Republic	High	22. Central African Republic <sup>e</sup>	8
23. Burkina Faso	High	23. Lesotho	High		
24. Viet Nam	High	24. Timor-Leste	High		
25. Spain	High	25. Benin	High		
26. Nepal	High	26. Guatemala	High		
27. Mexico	High	27. Indonesia	High		
28. Niger	High	28. Dominican Republic	High		
29. Nigeria	High	29. Nicaragua	High		
30. Ecuador	High	30. Nigeria	High		
31. Thailand	High	31. Swaziland	High		
32. Armenia	High	32. Comoros	High		
33. Eritrea	High	33. Sri Lanka	High		
34. Nicaragua	High	34. El Salvador	High		
35. El Salvador	High	35. Togo	High		

<sup>a</sup> The table provides a sample of countries considered by Maplecroft to be at extreme risk or high risk. It is provided for illustrative purposes only and does not include countries at risk. Various models have been used to measure the exposure of countries to risk, which may differ from the Maplecroft analysis. It is not the intention of the authors to exclude any particular country.

<sup>b</sup> 14 out of 15 disasters were human-induced only.

<sup>c</sup> For the Democratic Republic of the Congo and Sierra Leone, 15 out of 15 disasters were human-induced only.

<sup>d</sup> 14 out of 15 disasters were human-induced only.

<sup>e</sup> For the Congo, Guinea, Côte d'Ivoire and the Central African Republic, all disasters reported were human-induced only.

<sup>f</sup> 11 out of 12 disasters were human-induced only.

## Notes to the table

The table illustrates the top 35 countries that have been identified by Maplecroft as most prone to natural disasters (**Natural Disasters Index 2010 [NDI]**) and most vulnerable to the effects of climate change (**Climate Change Vulnerability Index 2011 [CCVI]**). The last two columns present 22 countries that are considered to be in a state of protracted crisis characterized by recurrent natural disasters and/or conflict, food crises, breakdown of livelihoods and insufficient institutional capacity to react to these crisis. Globally, about 10 per cent of total official development assistance is in the form of humanitarian assistance, but in countries in protracted crisis the share is much higher.

- A. The **Natural Disasters Index 2010** assesses the risk to human populations from all types of natural disasters, based on historical records between 1980 and 2010, and shows the global, long-term distribution of natural disasters and highlights countries where the population and business are most at risk. It incorporates data on geophysical, hydro-meteorological and biological disasters. The NDI is the central index of Maplecroft's Natural Disasters Series. Further information can be found at: [http://www.maplecroft.com/about/news/natural\\_disaster.html](http://www.maplecroft.com/about/news/natural_disaster.html)
- B. Maplecroft's **Climate Change Vulnerability Index 2011** (CCVI) evaluates the vulnerability of human populations to extreme climate-related events and changes in major climate parameters over the next 30 years. The CCVI combines the risk of exposure to climate change and related extreme events (drought, cyclones, landslides, flooding and sea-level rise), along with the degree of current human sensitivity to that exposure and the ability of the country to adjust to, or take advantage of existing or anticipated stresses resulting from climate change. Whilst the CCVI does not predict the exact location of future extreme events or changes to baseline climate parameters, it allows the user to identify broad patterns of vulnerability at a national and regional level, along with the ability to identify sub-national hotspots of greatest vulnerability. For further information see: <http://www.maplecroft.com/about/news/ccvi.html>
- C. A recent report by FAO and WFP<sup>1</sup> (2010) identifies 22 countries as being in protracted crisis. The countries included in the table above satisfy three main criteria: (i) longevity of crisis: the number of years that a country has reported a crisis (a disaster, a human-induced crisis or disaster, or a combination of the two) gathered by the FAO Global Information and Early Warning System;<sup>2</sup> (ii) the proportion of humanitarian assistance received by the country as a share of total assistance;<sup>3</sup> (iii) economic and food security status – countries in protracted crisis appear on the list of LIFDCs. However, since the countries included in the table have been in protracted crisis for 12 years or more, this does not include countries that may have been in a state of protracted crisis for a lesser period of time, e.g. Sri Lanka.

<sup>1</sup> The State of Food Insecurity in the World (2010).

<sup>2</sup> In this case a country was considered to be in protracted crisis if it appeared on the GIEWS list for 12 years or more between 1996 and 2010.

<sup>3</sup> Countries are defined as being in protracted crisis if they have received 10 per cent or more of their official development assistance as humanitarian aid since 2000.

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