

# Chapter 6

## Coordination in Post-Conflict Situations and Post-Natural Disasters

Efforts towards greater system-wide coherence and UN reform implementation are of particular importance in crisis and post-conflict contexts, when transaction costs for nascent or fragile governments and national partners must be minimized. In 2006, through tools such as the Post-Conflict Needs Assessment (PCNA) and the transitional strategy, UNCT work focused on supporting peace consolidation efforts, building sustainable institutions, and creating the necessary preconditions for development. Over the past year UNCTs also continued to provide critical planning and coordination support for natural disaster recovery and reconstruction as well as avian influenza preparedness.

### Post-Conflict Needs Assessments

In recent years the PCNA methodology has been developed jointly by UNDG and the World Bank to help national actors undertake a systematic, conflict sensitive and inclusive assessment of priority needs. The PCNA has been used in Iraq (2003), Liberia (2003-2004), Haiti (2004), Sudan (2004-2005), Somalia (2005-2006), and Darfur (2006). The methodology includes needs assessment, costing, and a prioritization of results in an





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## Somalia and Sudan – Undertaking Joint Needs Assessments

Since late 2005, in an effort to support Somali-led efforts to deepen peace and reduce poverty, the Somalia UNCT has been undertaking the Somali Joint Needs Assessment (JNA). The JNA seeks to assess needs and develop prioritized reconstruction and development initiatives. The Reconstruction and Development Programme (RDP) was prepared in late 2006, based on the JNA findings. The RDP lays out national priorities with a fully costed results-based matrix for the next 5 years, including national and regional plans for Somaliland, Puntland, and South-Central. The final rounds of consultations were organized in early 2007 to create a platform for additional national inputs. Moreover, they provided the opportunity for further national ownership of the JNA and RDP. Serving as the foundation for the UNCT's Transition Plan for 2008-2009, the final RDP volumes are expected to be finalized in mid-2007.

In June 2006 in Sudan, as mandated in the Darfur Peace Agreement (DPA), the Darfur Joint Assessment Mission (D-JAM) began to identify key early recovery and long-term reconstruction and development needs for Darfur. The D-JAM process was led by the parties to the DPA, the Government of National UNITY, and the Sudanese Liberation Movement. Co-coordinated by the UN and World Bank, D-JAM also received support from the international and regional community, particularly the African Development Bank (AfDB). For the D-JAM a multi-track approach was adopted, based on two mutually re-enforcing tracks. The first track (Track I) focused on immediate priority needs for internally displaced persons (IDPs) and refugees who return to areas of choice and re-establish their livelihoods. The second track (Track II) focused on post-conflict economic recovery, reconstruction, and development needs to achieve the MDGs. Urgent priorities in Darfur, agreed to by the parties in the D-JAM, are focused on restoring peace, security, and social stability; establishing the physical, institutional, and social infrastructure required by IDPs, refugees, and conflict-affected Darfuris to re-establish their livelihoods; and strengthening civil administration to perform their basic functions. Initial recovery efforts should lay the foundation for, and speed up the transition from, relief to development. In late 2006 the D-JAM came to a temporary halt due to the prevailing insecurity in Darfur, and remains pending.

accompanying Transitional Results Matrix (TRM). One of the overall aims of the PCNA is to help governments develop nationally defined priorities. Another is to identify the interventions and financial requirements necessary for establishing peace and to lay the groundwork for essential recovery and reconstruction activities. Led by national authorities and co-coordinated by the UN and World Bank, the process includes wide-ranging collaboration and consultations with national and international stakeholders.

The PCNA is focused on supporting the fragile peace through selective near-term action, building capacity in communities and institutions for state and non-state actors, and supporting economic stabilization and recovery. The value of the PCNA lies not only in the outcome, but in the nature of the participatory process itself. While strengthening or creating strategic recovery partnerships, the process promotes peace-building, confidence building, and capacity building.

The PCNA is also an excellent example of UN reform in action. The process helps ensure that all UN agencies and the World Bank work closely together with national and international partners to create a common, and nationally-driven, vision for peace-building and recovery in a country emerging from conflict. To better support these multilateral exercises in the future, the UN Development Group Office (DGO) established in 2006 a Joint Programme agreement for the UNDG and the World Bank. The agreement will facilitate joint coordination of future PCNAs, allowing donors to contribute financing through one easily-activated mechanism.

## Lessons Learned: The UN/WB PCNA Review

A joint review of PCNAs began in 2006 to consolidate global PCNA lessons learned and improve existing tools and practices. This information will form the basis for more structured plans, commitments, and guidance surrounding the PCNA. It will also offer an opportunity to better institutionalize past lessons learned and improve PCNA preparations, conduct, implementation, and follow-up.

Phase One included the production of 5 PCNA Case Studies, two comparison cases, and the Sudan JAM lessons learned. Phase Two, conducted with additional field missions, outreach, and analysis, focused on 5 key themes that emerged from Phase One: operational, strategic, state-building, peace-building, and security. The review and its multilateral validation workshop led to numerous recommendations to improve process operations, substance, implementation, monitoring, and transparency.

The recommendations seek to improve upon the executable transitional results matrices and nationally owned strategies for post-conflict reconstruction, which come out of the PCNA/TRM. Additional recommendations for the PCNA/TRM exercise include to:

- clearly articulate the stabilization and transformation measures to avoid reversal and reestablish the foundation for the MDGs;
- more explicitly address ownership, sequencing, prioritization, accountability, integration, and legitimacy challenges;
- strike a balance between urgency and comprehensiveness, inclusiveness, and national ownership;
- entail a pre-assessment phase to include scenario planning, analysis of state and non-state institutions and capacity, and to identify critical cross-cutting issues and assure adequate resourcing from the outset;

- entail an initial conflict/risk analysis, in pre-assessment phase, to establish the prioritization of the peace-building stabilization and transformation measures;
- ensure that prioritized TRM results constitute the most critical actions around which international resources and efforts are aligned;
- ensure that the TRM is embedded with an implementation platform with results and resources monitoring/tracking systems, governance structures, and communications strategies;
- enhance UN and World Bank in-house capacity to carry out PCNAs more efficiently and strengthen partnerships.

Present DGO and World Bank efforts are further refining the PCNAs practical tools and guidance for all stakeholders. In addition, to assure better support for future exercises, efforts are being aimed at strengthening internal UN and World Bank policies, operational practices, and linkages with political, security, and humanitarian actors. For more information, visit [www.undg.org/pcna](http://www.undg.org/pcna).



## The Recovery Framework in India

The UN Recovery Framework is the 'one' programme that outlines the expected results and the combined UN systems' efforts in Tsunami recovery for the period of January 2005 to December 2008. The Recovery Framework is made up of 10 projects. Lead agencies have been identified for each of the projects; and Joint Annual Work-plans (AWPs) have been developed for each project, outlining the annual outputs, activities, and the division of work among agencies. The office also supports a number of cross-cutting programme areas on social equity, communication, and monitoring and evaluation. During the months of August and September 2006, a comprehensive mid-term review of tsunami recovery programmes was undertaken by the government of Tamil Nadu and its key partners, with the UN playing a lead role in this exercise. The comprehensive discussion on achievements, constraints, lessons learned, and recommendations of the recovery work is the basis for a currently ongoing update of the UN Tsunami Recovery Framework 2005 - 2008. At the end of 2006, UN agencies, including the World Bank and the Asian Development Bank, completed a joint progress report on Tsunami Recovery in India. Based on this report and the analysis on the way forward, joint annual work plans have been developed for 2007. Apart from 'one programme' and 'one joint UN office', the UN Team for Recovery Support created a system of common operational services with a 'pooled funding' modality.

## Transitional Strategies and Response to Crises

In countries that have experienced conflict or natural disasters, UNCTs have developed specific strategies aimed at focusing the UN presence on the transition from relief to longer-term development. Guided by the OECD Development Assistance Committee (DAC) principles for Good International Engagement in Fragile States, these strategies focus on alignment with national priorities, full government ownership and leadership as well as capacity development for designing, implementing, and monitoring transitional strategies. In places where the entire country has been affected by a crisis, transition strategies have replaced the more development focused UNDAF. While based on the same planning principles as the UNDAF, transitional strategies are usually of shorter duration to account for the greater uncertainty and rapid changes. They seek to achieve a balance between responding to immediate needs and establishing the foundations for longer-term development and reconstruction, including a strong emphasis on capacity building. In 2006 such overarching transition strategies were either being developed or already operational in places such as Cote D'Ivoire, Haiti, Iraq, Lebanon, Somalia, and Sudan. In cases such as Burundi and Sierra Leone, existing UNDAFs were reviewed and re-designed to adapt to changing realities on the ground. Such UNDAFs focus the UN's activities supporting national authorities around critical peace-building objectives. Many were developed and informed by previous experiences in other countries, captured in the recently finalized UNDG/Executive Committee on Humanitarian Affairs (ECHA) Working Group on Transition's "Guidance Note on Transition Strategies."

Significant efforts have been made to ensure consistent and coherent responses between the UN and other international actors. In some cases such efforts have resulted in complete harmonization. In Cote d'Ivoire the UN's response to the protracted humanitarian, security, and development crisis was articulated around 5 sectoral notes, providing the programmatic basis for a number of other partners, including the World Bank. In the Democratic Republic of Congo the UNCT has played a leading role in the development of a common programmatic framework, the Country Assistance Framework (CAF). The UN, the World Bank, and 19 bilateral donors, representing over 95 percent of ODA to the country, have chosen to participate in the framework, expected to be implemented in 2007.

In other countries where a crisis is restricted to specific geographical areas, UNCTs have usually developed localized responses within the larger framework of a development UNDAF. UNCTs have chosen this approach both in the case of natural disasters — as was the case with the Peru floods, Indonesia tsunami, and Java earthquake — and man-made crises. The latter include the targeted response and appeal for Somali refugees in Kenya, the UNCT assistance to the Lebanese in Syria, and the humanitarian initiatives in southern Philippines. In Pakistan, in support of the 2005 earthquake recovery and reconstruction efforts, the RCO led the creation of a joint Government-UN Early Recovery Plan. Helping overcome the difficult transition period, the plan achieved even closer coordination between the government and humanitarian operations. The plan was extended at the end of 2006 at the request of the Pakistani authorities.

In those cases, UN transition strategies or crisis focused strategies supplement regular programming. In the Maldives for example, the outputs from the Tsunami Recovery Strategy were integrated with the annual UNDAF outcomes and the national development plan, while UN agencies continue to implement recovery programmes.

### *Coordination*

In a number of countries the UNCTs have chosen to coordinate their responses to crisis through the Cluster Approach, promoted by the Office for the Coordination of Humanitarian Affairs (OCHA) through the Inter-Agency Standing Committee (IASC). This approach ensures that agencies and other partners come together under thematic groups. These groups align and coordinate programmes and interventions under the leadership of a designated agency. Experience has shown that the effectiveness of the cluster approach — used for Iraq, Sudan, Somalia, and the cholera outbreak in Uganda, among others — can often be dependent on the coordination skills of cluster leaders. Steps are being taken to strengthen the implementation of the cluster approach.

### *UN Country Team response to the avian influenza epidemic*

In response to the growing threat of the avian influenza epidemic, a vast system-wide effort was undertaken to mobilize UNCTs contingency planning and support to national partners. Showcasing quick response capacity, 134 out of 140 UN country teams drafted a pandemic preparedness plan following a request from the UN Secretary-General. These preparedness plans focused on: (1) staff health and safety, (2) operational continuity, and (3) support to the pandemic preparedness

and response capacity of national authorities. The overall efforts were coordinated by the Office for UN System Influenza Coordination (UNSIC). UNSIC also prepared guidance for UNCTs on how to conduct simulation exercises that helped to test assumptions of and identify gaps in national and UN preparedness plans. While focused on pandemic contingency planning, these efforts have also informed overall UN work on crisis preparedness.

### *Finance Mechanisms for UNCT in Post-Crisis Settings.*

Funding flows during the transition from relief to development remain a challenge and constitute one of the main characteristics of the transition 'gap'. There is compelling evidence of the linkages between risk reduction and development. Still, it is much easier to mobilize support for relief efforts and even longer-term development than for recovery activities. In the post-crisis context, these funding constraints can be articulated around two challenges: (1) how to increase both the amounts and the flexibility of resources mobilized, and (2) how to adapt funding flows and instruments to national absorptive and implementation capacities. To answer those challenges, UNCTs in 2006 have used a number of approaches.

In particular, the UN system has had to make increased use of the appeal approach. The scope of appeals has thus expanded to include funding for activities designed to bridge the transition from relief to development. Building on lessons learned, in 2006 the UNDG developed specific guidance on how to incorporate

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### **Cambodia – Preparing National Partners, UN Staff and Families for Avian Influenza**

The Avian Influenza Joint Programme has shown that the UN working together is greater than the sum of its parts. Since Cambodia has been a front-line state in the struggle with avian influenza, a UNCT joint programme (JP) concentrated on avian influenza surveillance (human and animal) nationwide, advocacy campaigns, and pandemic preparedness. This UN JP of nearly \$20 million was fully funded by a number of donors. Likewise, the huge common effort in preparing UN staff and their families for a possible pandemic has helped the UNCT bond around a common purpose. The advances in Cambodia have further entailed a technical exchange with the Nigeria and Egypt UNCTs to support their establishment of effective avian and human influenza coordination mechanisms.

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## The UNDG Iraq Trust Fund

The UNDG Iraq Trust Fund window of the International Reconstruction Fund Facility for Iraq (IRFFI) continued to provide the main source of funding for UNCT activities in Iraq. The fund is complemented by core and bilateral programmes and projects of several UN agencies, including UNDP, UNICEF, UNHCR, and WHO. Cumulative donor deposits to the UNDG ITF reached \$1.1 billion for the May 2004 to December 2006 period. As of December 2006 cumulative approvals amounted to about \$886 million for 116 programmes and projects executed by the 16 participating UN organizations within the UNCT 7 clusters.

The UNDG Iraq Trust Fund (UNDG-ITF) is the largest single MDTF, with deposits amounting to \$1.1 billion in support of Iraq's recovery, reconstruction, and development. The trust fund contributed significantly to the strengthening of the cluster approach, the agreed UNCT coordination model.

recovery activities in appeals beyond the traditional humanitarian focus. This guidance informed the development of such "transitional" appeals in Haiti, for example. However, more traditional appeals issued by OCHA, including such "Flash Appeals" as the one launched in Kenya for Somali refugees — where humanitarian activities are predominant — also included recovery interventions. Overall, UNCTs launched 22 country or region-specific appeals in 2006 through the formal Consolidated Appeals Process (CAP), for a total of over \$5 billion and a 67 percent funding rate. In addition, UNCTs such as Haiti also developed and presented transitional appeals to donors.

In addition, various UNCTs have used appeals to fund transition activities, including coordination capacities. In many cases UN humanitarian assistance was extended in the post-crisis phase, when greater access often translates into increased opportunities for relief. Such assistance was also provided through global thematic funds, such as the Human Security Funds. This fund channeled resources to a broad range of sectors and needs, such as the response to the floods in Venezuela.

There was also, among a number of UNCTs in post-crisis settings, an increased understanding and use of Multi-Donor Trust Funds (MDTF). In 2006, drawing on the Iraq experience by which UNDG has managed a UNCT-member Trust Fund since 2004, new mechanisms were established for Lebanon and Somalia. And plans to establish an MDTF were initiated in Liberia, Nepal, and Southern Sudan. At the global level, a

UNDG Trust Fund was established to channel resources to UNCTs involved in emergency avian flu responses. UNCTs also accessed resources through a number of World Bank-managed MDTF, notably in Afghanistan, the Great Lakes Region, Indonesia (for the Tsunami recovery efforts), and Sudan.

The development of UNDG managed Multi-Donor Trust Funds was informed by a number of assessments and lessons learned exercises. Notably, the UNDG/ECHA Working Group on Transition commissioned a review that confirmed the potential that such instruments have in ensuring greater aid coherence and national alignment. A number of weaknesses, both within the UN system and the UN-World Bank partnership, were also highlighted.

Finally, in many places, even in the absence of a Multi-Donor Trust Fund, UNCTs opted for the pass through funding modality to finance joint programmes for both conflict and natural disaster responses. This modality, where external financial assistance is pooled and managed by one designated UN agency and transferred to other participating agencies, allows for a reduction of donor and recipient transaction costs. It also increases transparency and focus.

Still, despite the development of new tools, resources made available to UNCTs in post-crisis situations often remained limited in size and scope. Predictable and adequate funding remains an acute obstacle in supporting countries transitioning from relief to development.

## Conclusion

- In post crisis, UNCT activities must be aligned under a single imperative of peace consolidation and stabilization. This often implies a shift in approaches, scope, methodologies, and timeframes.
- Coordination capacity for resident coordinators in transition remains under-addressed and under-funded. Surge capacity should be provided early on and for a sustained period.
- Successful coordination in transition is dependent on alignment and handover from humanitarian structures. Joint recovery/humanitarian coordination support offices can facilitate alignment and help leverage comparative advantage.
- To bring coherence to their presence, UNCTs must focus programmes on nationally defined priorities. Needs assessments help forge broad consensus around these priorities and mobilize resources.
- Joint Programmes also streamline coherence, reduce transaction costs, and focus UNCT resources on key interventions. However, the use of JPs in transition remains limited; greater sensitization, training, and regional and headquarter-level support is required.
- Stronger donor advocacy would ensure more adequate and timely resources for a country's transition from emergency response to recovery and development. Funding requests must be strategic, disciplined, and focused on key interventions where the UN has a demonstrated track record, expertise, and appropriate systems to guarantee success.



## UNDG/ECHA Multi-Donor Trust Fund Review

In 2006 the UNDG/ECHA Working Group on Transition commissioned a review of Multi-Donor Trust Funds to assess their effectiveness in providing adequate and timely support to national recovery efforts. The review was completed in June 2006 and led to the following main findings:

- MDTFs provide a coherent vehicle for donors to finance a national recovery plan and reduce transaction costs for governments.
- MDTFs offer a structure to engage with a nascent government and allow a larger numbers of donors to participate in transition.
- MDTFs can improve complementarities and coordination among donors and within the UN Country Team as well as the UN-World Bank strategic partnership.
- MDTFs suffer overall from significant delays and therefore may not be able to contribute to early recovery needs.
- Government and national involvement in the governance structure of MDTFs needs to be systematic.

- MDTFs should not replace or skew existing coordination mechanisms.
- The UN and the World Bank are strategic partners in a country's recovery phase; therefore, their collaboration on MDTF-related issues needs to be strengthened.
- To manage MDTFs or participate in MDTFs more effectively, UN agencies, funds, and programmes need to further harmonize their policies and procedures, and increase their collective oversight/quality assurance mechanisms for MDTFs.

In response, the UN system has strengthened its capacity to participate in and manage such pooled funding mechanisms through the creation or strengthening of dedicated expertise within agencies. At the inter-agency level, systems and procedures, including standard agreements, have been established to reduce both transactions costs and the time required for the UN to establish an MDTF in which agencies can participate and channel resources to transition activities. The review is accessible at [www.undg.org](http://www.undg.org).

