

Sectoral Recovery Capacity Assessment Implementation Guidelines



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Acronyms

BBB	Build Back Better
CDEMA	Caribbean Disaster Emergency Management Agency
CDM	Comprehensive Disaster Management
CCA	Climate Change Adaptation
CRF	Canada-Caribbean Resilience Facility
DRM	Disaster Risk Management
GDP	Gross Domestic Product
GFDRR	Global Facility for Disaster Reduction and Recovery
HR	Human Resources
M&E	Monitoring and Evaluation systems for projects
NGO	Non-governmental Organization
PDNA	Post-Disaster Needs Assessment
PWD	Persons living with disabilities
RCI	Recovery Capacity Index
SRCA	Sectoral Recovery Capacity Assessment
SIDS	Small Island Developing States

Acknowledgements

This document was prepared by a World Bank team composed of Clara Ariza (Senior Disaster Risk Management and Climate Adaptation Specialist, Consultant), Roberto Mendez (Senior Disaster Risk Management Specialist, Consultant) and Francesco Varotto (Disaster Risk Management Specialist, Consultant), with overall guidance from Naraya Carrasco (Senior Disaster Risk Management Specialist) and Suranga Kahandawa (Senior Disaster Risk Management Specialist). The team is grateful to the Caribbean Disaster Emergency Management

Agency (CDEMA) for its active involvement in the pilot phase of the Sectoral Recovery Capacity Assessment (SRCA) methodology and for its insights on key methodological and practical aspects to be detailed in this document. The SRCA methodology development and its implementation in six Caribbean countries was financed by the Canada-Caribbean Resilience Facility, a single-donor World Bank-executed trust fund managed by the Global Facility for Disaster Reduction and Recovery.

01

Introduction

The Caribbean region is highly prone to disasters, including hurricanes, earthquakes, droughts, flooding, and landslides. Higher temperatures, changing precipitation patterns, more frequent, intense, and extreme weather events, and sea level rise (SLR) resulting from climate change, further exacerbate disaster risk in the region. Major hazard impacts destroy infrastructure and property, result in losses from foregone output and incomes, and escalate costs as individuals and businesses are forced to work around disruptions. Disasters jeopardize hard-won national development gains and growth prospects, erode fiscal cushions, and disproportionately impact the wellbeing of the poor.¹ Caribbean countries lost an average of 3.6 percent of aggregate Gross Domestic Product (GDP) per year Between 2000 and 2019 to damages related to natural hazards, compared to 0.3 percent in all emerging markets and developing economies (World Bank, 2021²). Indeed, the economic cost of disasters in the Caribbean region is so high that it often exceeds the size of the economy of the countries affected (Ötger and Srinivasan, 2018³).

More timely and inclusive recovery efforts and, consequently, better reconstruction, can lower social and economic burdens and allow a more

rapid recovery of pre-disaster development levels.

This critically depends on strong public systems that can rapidly coordinate and cost-effectively mobilize resources, reconstruct infrastructure, deliver services, and enable the rebuilding of local economies in the aftermath of disasters. Confronted with recurrent extreme weather conditions and the prospect of more frequent and intense hydrometeorological events with climate change, resilient recovery planning and investments have become a priority for the Caribbean region.

Preparing for recovery entails strengthening ex-ante the capacity of national governments to recover from losses and damages, define and reinforce institutional and financial systems that support the recovery process, and obtain the political commitment

A better understanding of capacity gaps and a focus on strengthening existing recovery capacity of the development sectors most affected by disasters can increase the efficiency and effectiveness of recovery investments.

¹ Marginalized groups and individuals that do not have equal access to societal and economic resources are disproportionately represented among the poor. This often includes women, girls, and the gender diverse; people living with disabilities; those that are geographically isolated; and ethnic and religious minorities

² World Bank. 2021. Global Economic Prospects, January 2021. Washington, DC: World Bank.

³ Ötger, I. and Srinivasan, K. 2018. Bracing for the Storm: For the Caribbean, Building Resilience is a Matter of Survival. Finance and Development 55 (1): 49-51.

necessary for the development of recovery policies and programs (GFDRR, 2020⁴) more rapidly.

This is particularly important in the Caribbean Small Island Development States (SIDS), where long-standing and pervasive human-resource constraints and country-specific technical-capacity gaps, both at the national government level and in all sectors, represent major obstacles for planning and implementing timely and efficient disaster-recovery operations. Consequently, a better understanding of capacity gaps and a focus on strengthening existing recovery capacity of the development sectors most affected

by disasters in these countries can increase the efficiency and effectiveness of recovery investments.

Joining forces for a more efficient resilient recovery. To assist Caribbean governments better prepare for the timely, efficient, and effective implementation of inclusive and resilient recovery projects well before disasters strike, the Canada Caribbean Resilience Facility⁵ partnered with the Caribbean Disaster Emergency Management Agency (CDEMA) to develop the Sectoral Recovery Capacity Assessment (SRCA).

⁴ Global Facility for Disaster Reduction and Recovery (GFDRR). 2020. Disaster Recovery Framework Guide. Revised Version March 2020.

⁵ The Canada Caribbean Resilience Facility (CRF) is a single-donor World Bank-executed trust fund administered by the Global Facility for Disaster Reduction and Recovery (GFDRR), whose objective is to achieve more effective and coordinated gender-informed climate-resilient preparedness, recovery, and public financial management practices in nine Caribbean countries. The CRF provides technical and implementation support to accelerate the implementation of recovery projects and overall resilience-building efforts across the Caribbean.

02

The Sectoral Recovery Capacity Assessment

The SRCA is a methodology, including a semi-quantitative assessment tool, that evaluates the capacity of key development sectors to take the necessary actions to prepare for and undertake timely, effective, and coordinated climate-resilient, gender-responsive and disability-inclusive disaster recovery projects.

The SRCA:

- » Can be applied to any development sector.
- » Focuses on the capacity needed to plan, develop, and boost the implementation of resilient recovery projects after disasters strike.
- » Determines capacity gaps, weaknesses and challenges that limit the timely and efficient implementation of recovery projects.
- » Facilitates the identification of solutions to recovery capacity limitations (at policy, strategic, planning and operational levels), which can be financed with national resources as well as by bilateral and multilateral development partners.

- » Supports the identification of opportunities to implement the solutions.

Benefits: Results emerging from the implementation of a SRCA serve as planning instruments and benefit national governments, sectoral stakeholders, national DRM agencies, and CDEMA in their efforts to enable a timely and effective recovery in the aftermath of disasters. Additionally, they allow donors to identify and align their contributions to the sectoral needs and priorities of the country.

The SRCA tool is part of CDEMA's Comprehensive Disaster Management (CDM) Audit Tool, which is periodically applied in CDEMA's member countries and covers all phases of the Disaster Risk Management (DRM) cycle (figure 1). The CDM Audit Tool is an Excel tool, includes a tab for the national (cross-sectoral) recovery component and a tab for the SRCA, which complements the assessment made through the national (cross-sectoral) recovery component.

FIGURE 1

Disaster Risk Management cycle.

Adapted from Swiss Federal Office for Civil Protection (2020)⁶. Asterisks indicate the phases of the DRM cycle that are most relevant for the SRCA. These are the recovery phase and the preparedness phase, where the necessary actions for recovery need to be implemented.



⁶ Swiss Federal Office for Civil Protection (FOCP). 2020. National Risk Analysis Report. Disasters and Emergencies in Switzerland 2020. FOCP, Bern.

03

About this document

This document has been prepared to guide and facilitate the implementation of a SRCA in any country and development sector. It is based on the experience gained from the initial application of the SRCA methodology in six Caribbean SIDS⁷ and three sectors – agriculture, housing, and tourism. Inputs provided in June 2023⁸ by representatives from national disaster management offices in Caribbean countries are also reflected in an optimization of the SRCA tool and process and presented here.

In the following sections, guidance and advice are provided to agencies in charge of disaster and emergency management and to technical officers working in key sectors and wishing to lead a SRCA.

To facilitate the understanding of the SRCA process and guide leading agencies across all aspects of its implementation, these guidelines introduce a generic case study depicting a fictitious yet typical Caribbean SIDS context. The background of the case study is presented in Annex 1.

⁷ Antigua and Barbuda, Dominica, Grenada, Guyana, Saint Lucia and Saint Vincent and the Grenadines.

⁸ Inputs were provided during the CDEMA and CRF “Sectoral Recovery Capacity Assessment (SRCA) Training” conducted in Kingston, Jamaica between the 27 and 29 of June, 2023.

04

Before engaging in the implementation of a SRCA

Before engaging in the implementation of a SRCA, the following issues need to be addressed:

1. **Coordination with CDEMA for the implementation of the SRCA as part of the CDM Audit process.** CDEMA is the regional agency in charge of the coordination and implementation of the CDM Audit Tool in its member States, has been trained in the application of the SRCA tool and has partnered in the pilot implementation of the SRCA in six countries. Therefore, national sectors interested in the SRCA can take advantage of the CDM Audit process in their country and gain the required support from CDEMA.
2. **Identification of a development sector for SRCA application.** The sector is to be selected based on national criteria, priorities and needs, and the selection should be conducted in agreement with national programming ministries and agencies, including for example, the Ministry of Finance, the Ministry of Planning and the national office in charge of disaster management.
3. **Establishing a lead agency for the SRCA.** This is usually the institution with responsibility for managing the sector. When two or more agencies share such responsibility, it must be clear from the start which institution is the lead agency or – if the lead will be shared – what will be the specific arrangements. All relevant agencies must agree with this decision.
4. **Engaging the National Disaster Management Office in the SRCA process from the start.** As the key player in disaster management, the National Disaster Management Office should be well informed and engaged from the beginning in the implementation of an SRCA.
5. **Appointment of a sectoral focal point within the lead agency.** The appointment of a sectoral focal point at the lead agency is key. This person will oversee the coordination, administration and completion of the SRCA tool by all relevant stakeholders. The sectoral focal point and an external consultant can team up for a more rapid implementation and finalization of the assessment. In that case, the sectoral focal point will: a) support the consultant in the identification of relevant stakeholders and invite them to consultations; b) review and offer feedback on draft reports delivered by the consultant, and c) establish contacts and set up in-person and virtual meetings between the consultant and key sectoral and technical experts. A specialized consultant can provide useful inputs and help accelerate the SRCA process, but it is not indispensable. A good consultant for a SRCA should have, at least, enough experience in analysing and consolidating information from multiple sources, a good notion of DRM and climate change issues, and experience in report writing.
6. **The implementation of a SRCA requires a sufficient level of resources,** mainly to cover the costs of in-person consultations. A typical SRCA will require one consultation and one validation workshop, although for some sectors workshops with additional stakeholders may be needed to ensure inclusion. When resources are scarce, online consultations can be considered as an option, and can work well if it is ensured that all stakeholder groups in the sector are well represented.

05

SRCA framework structure

The SRCA framework consists of:

- » **Three main and interrelated components:** (i) Governance, (ii) Competencies, and (iii) Resources and Tools. The main components are relevant at the policy-making level.
- » **Key elements:** Complementary areas covered by each of the main components. Key elements are relevant at the strategic and programmatic levels.
- » **Sub elements:** Topics covered by each Key element. Sub elements are relevant at the operational level.
- » **Crosscutting themes:** The SRCA framework includes three cross-cutting themes, namely *Gender*, *Disability inclusion*, and *other vulnerable/marginalized groups*. The latter cross-cutting

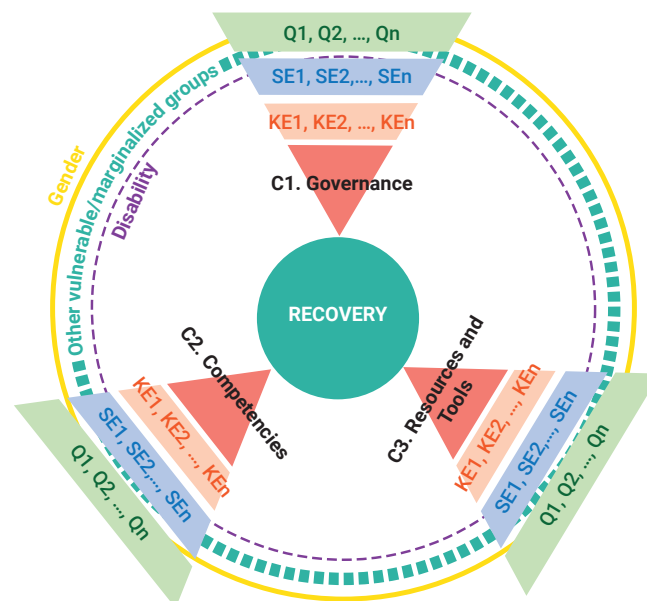
theme is to be defined according to national circumstances and refers to one additional group, for example children/youth, elderly, indigenous peoples, people living in extreme poverty, and migrants.

The assessment structure establishes a relational cascade between the main components and their key and sub elements, which allows addressing key enabling factors for recovery at each level of the framework (figure 2).

The information required for the analysis of main components, key elements and sub elements is provided by answers to a set of questions per sub element included in the SRCA assessment questionnaire (Annex 2).

FIGURE 2

The SRCA framework structure. Components 1 (C1), 2 (C2), and 3 (C3) are the main and inter-related components of the assessment, each consisting of a set of key elements (KE) and their respective sub elements (SE). The letter Q (1, 2, 3, etc.) represents the questions per sub element. The yellow, aquamarine and purple circles denote the crosscutting themes: gender, disability inclusion and inclusion of other vulnerable/marginalized groups.



06

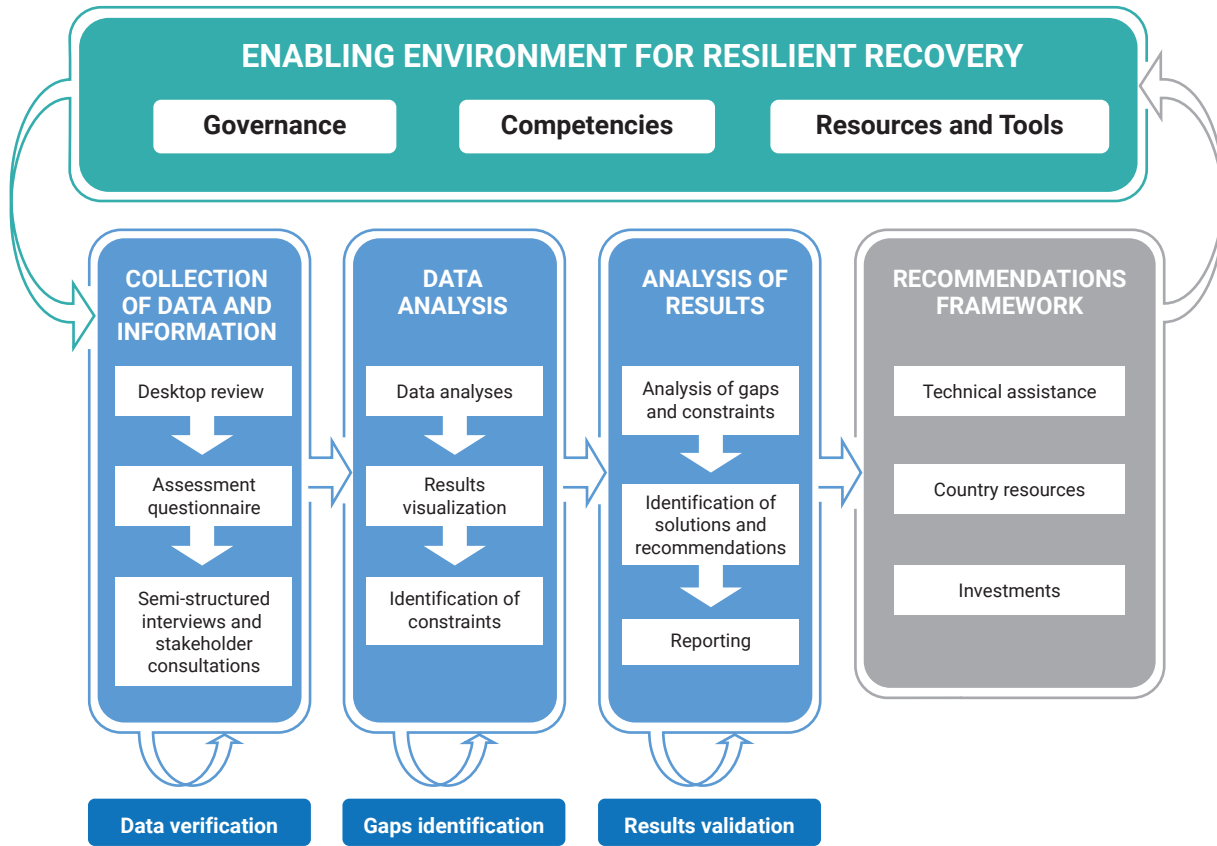
Methodological process

Implementing a SRCA is a process consisting of four main stages:

- 1. Collection of data and information** to provide clear narrative answers to all questions in the SRCA questionnaire. This stage includes:
 - a. An in-depth desk review.
 - b. Stakeholder consultations.
 - a. Key informant interviews.
- 2. Data analysis and scoring.** This is the application of a semi-quantitative approach to translate the narrative, qualitative information previously collected into numerical values within established ranges.
- 3. Analysis of results.** This stage includes a comparative overview of qualitative answers and indexes to establish recovery capacity strengths, weaknesses and gaps at the different levels of the assessment. Based on the analysis of results, solutions to bridge gaps, as well as actions and investments to strengthen recovery capacity are provided.
- 4. Recommendations framework.** Following the SRCA results analysis, specific recommendations can be extracted from the stakeholders' responses to the questionnaire, as well as from inputs received during additional consultations with sectoral experts. Wherever possible, potential funding sources are assigned to specific recommendations.
- 5. SRCA report elaboration, validation and approval.** A draft SRCA report is elaborated as information is generated during the previous stages and includes a curated list of recommendations. The draft report is to be validated by sectoral stakeholders, their inputs included in a final version of the report, which is to be submitted to government authorities for review and approval.

Each of the stages of the assessment process (figure 3) will be elaborated in the following sections.

Diagrammatic representation of the assessment process



07

Stage 1: Collection of data and information

The SRCA involves a desk review, stakeholder consultations, key informant interviews and sectoral expert opinion as sources of information to respond to the questions in the SRCA questionnaire.

In practice, a good approach to collect the data and information required for the assessment would be to:

1. Review and familiarize yourself with the SRCA questionnaire in detail.
2. Conduct a desk review of all relevant national and sectoral documentation that can help answer the SRCA questions.
3. Pre-fill the SRCA questionnaire with the information obtained from the desk review (this should be done in Column I of the SRCA tool).
4. Tackle this task on a component-by-component basis.
5. Hold one consultation per component with the sectoral focal point and, if necessary, a resource person from the national disaster management agency, to add information to the pre-filled responses to the SRCA questionnaire or clarify doubts.
6. Hold a broader sectoral consultation session with all major sectoral stakeholders to discuss the answers to the three components of the questionnaire and include additional information and views as needed.
7. Conduct some verification steps, including:
 - a. Ensuring that the questionnaire is complete, and the responses offer a sector-wide perspective.
 - b. Confirming that the information received from the stakeholders respond to the questions in the SRCA questionnaire and that all questions were well understood by respondents.
8. Consult experts on issues that may remain unclear (semi-structured interviews are recommended for this step).

TIPS



- 1 *The success of the SRCA depends on the level of detail and quality of the narrative answers to the questions in the SRCA questionnaire. Therefore, ensuring a good and detailed narrated answer to each question is essential. Simple yes or no answers should be avoided.*
- 2 *Ensure stakeholders propose recommendations to recovery limitations discussed for each component and key element. During consultations stakeholders can also provide valuable information on opportunities to address limitations (including those opened by upcoming processes).*

In addition to data and information for responding to the SRCA questionnaire, the desk review and information-gathering exercise should also provide other background information necessary to complete the SRCA report.

This includes background information on:

- » Sectoral contributions to the economy (e.g., contribution to GDP and workforce).
- » Climate change and projected impacts on the country and sector.
- » Impact of previous disasters on the country and sector.
- » Key sectoral infrastructure and investments, both at the national and multilateral levels, and key gaps and needs in terms of sectoral infrastructure.
- » Gender issues, including:
 - > Consideration of gender issues in DRM, sectoral and national policies.
 - > Gender balance in access to jobs and services in the sector and country.

TIP



Discussing preliminary findings with government agencies and organizations in charge of promoting gender equality can be helpful for the analysis and to complete the SRCA report.

- > Gender-specific vulnerabilities to disaster impacts and expected climate change impacts.
- > Additional information regarding the current context of gender issues in the country and sector.
- » Inclusion of persons living with disabilities (PWD) and other vulnerable/marginalized groups (for example migrants, people living in extreme poverty, the elderly, children, indigenous groups, and specific minorities, as appropriate to the national context), including:
 - > Details on the consideration of PWD and other vulnerable groups in national and sectoral policy and action.
 - > Access to jobs and services in the sector and country.
 - > Differentiated vulnerability of PWD and other vulnerable groups to disaster impacts and expected climate change impacts.
 - > Additional information regarding the current issues faced by PWD and other vulnerable/marginalized groups in the country and sector.

TIP



Discussing preliminary findings with government agencies and organizations in charge of supporting PWD and other vulnerable/marginalized groups can be of good help for analysis and to complete the SRCA report.

08

Stage 2: Data analysis

Data analysis takes place once all questions in the SRCA questionnaire have been completed in Column I of the SRCA tool, and the information verified.

Scoring

At this stage, the responses received for each question in the questionnaire are to be scored using the following scoring system.

TABLE 1.

Scoring system for the quantitative evaluation of qualitative responses to questions in the SRCA questionnaire.

Score	Type of response to the question				Evidence
4	A qualified YES	Minor problem / no problem	No need for action or measure	Yes	Adequate
3	In progress (> 75 percent completed)	Moderate problem	Need for action and measure	Partially	Acceptable
2	In progress (> 50 percent completed)	Major problem	Need for action and measure	Partially	Scarce
1	Planned or started with minimum actions	Severe problem	Immediate action and acute measure	No	Minimum
0	A definitive NO	Catastrophic problem	Immediate action and acute measure	No	None

The scoring process translates narrative responses into quantitative values, which enables the SRCA tool to calculate the indexes that evaluate the level of

capacity for each key element, sub element and main component in the SRCA.

Practical examples - Based on the case study introduced in Annex 1, the following practical example shows how information and data that answers to each

question are recorded in Column I and how scores are assigned in column K of the SRCA tool.

Column G		Column I	Column K
Question		Sectoral perspectives, additional comments, evidence and remarks	Score of the answer (according to the scoring system, 0 to 4)
1	Is there a National Disaster Risk Management (DRM) policy that includes clearly defined institutional mandates for DRM and evidence of its use or practice?	The DRM Policy of 2012 is the main DRM document available at caribiapolicies.car . It dedicates a section to the national institutional DRM structure in the country, designates the National DRM Committee as the main multisectoral mechanism to lead all phases of DRM in the country, and sets out clearly identified mandates. There is evidence of the use of the policy in disaster preparedness, including awareness raising activities conducted as part of the <i>Caribia Hurricane Preparedness Week</i> this year.	4
2	Is there a main sectoral development policy that addresses climate change adaptation and DRM and integrates recovery considerations, as well as evidence of its use or practice?	The 2030 Tourism Development Strategy is the main policy guide for the sector and includes a section integrating gender aspects, biodiversity considerations and climate change adaptation. However, while some DRM considerations are made in the Strategy, there are no references to recovery. Evidence of use of the Strategy includes the creation of the Office for Innovation in Coastal Tourism at the Ministry of Tourism last year. This office was included as a priority in the Strategy.	3

In this case, the response to the first question indicates that: a) there is a National Disaster Risk Management Policy, b) the policy clearly designates institutional mandates and c) there is evidence of its use. Therefore, according to the scoring system (Table 1), the response is a qualified yes and the corresponding score should be a 4.

The response to the second question shows that there is progress, as: a) there is a guiding sectoral policy document (even if it is a strategy and not a policy), b) the guiding policy document includes climate

change adaptation considerations and DRM and, c) it is used. However, this document does not include recovery-specific issues. Therefore, the response only partially fulfils the requirements of the question, and according to the scoring system the score should be a 3.

The scoring system provides options for the different types of responses expected to the questions in the SRCA questionnaire. However, the scoring process sometimes requires the person scoring to make some logical decisions. See the following example:

	Column G	Column H	Column I	Column K
30	Are there sufficient DRM specialists in the sector to ensure that each project is overseen by at least one DRM specialist?		There are no DRM specialists in public or private institutions of the country's tourism sector. However, some efforts have been made in the private sector to generate some DRM capacity through consultants.	1.5

The response to question 30 in the case study shows there is a severe problem. The response does not qualify for a score of 0 because some efforts have been made by the private sector to address the issues in the question. These efforts are more than the minimum efforts that would qualify the response for a score of 1, but still less than the efforts or progress that would qualify the response for a score of 2. Therefore, the person scoring this response opted for a score of 1.5.

Note: Column H in the tool may show responses provided by national stakeholders to very similar questions when filling the cross-sectoral tab of the CDM

Audit. When available, these responses can offer a cross-sectoral view on a specific issue, but do not necessarily reflect the sectoral view. For example, at the national (cross-sectoral level) the response to a question on the existence of hazard maps may be positive, as these maps exist, but the sectoral response (Column I) may explain that the maps are at a scale that is irrelevant to the sector and therefore not utilized.

An important step to complete the scoring process is to fill columns L (Explanation for the score) and M (evidence), as these will justify the score provided. See the following example.

	Column G	Column I	Column K	Column L	Column M
	Question	Sectoral perspectives, additional comments, evidence and remarks	Score of the answer (according to the scoring system, 0 to 4)	Explanation for the score	Evidence
1	Is there a National Disaster Risk Management (DRM) policy that includes clearly defined institutional mandates for DRM and evidence of its use or practice?	The DRM Policy of 2012 is the main DRM document available at caribiapolicies.car . It dedicates a section to the national institutional DRM structure in the country, designates the National DRM Committee as the main multisectoral mechanism to lead all phases of DRM in the country, and sets out clearly identified mandates. There is evidence of the use of the policy in disaster preparedness, including awareness raising activities conducted as part of the <i>Caribia Hurricane Preparedness Week</i> this year.	4	There is a DRM Policy with clear designated mandates and there is evidence of its use. For example in awareness raising activities.	DRM Policy of 2012, available online at: www.caribiapolicies.car/DRM Policy 2012 . Evidence of use: Hurricane Awareness Week - Brochures for the public including key steps to prepare for the hurricane season and sources of reliable information and responsible agencies, all of which is included in the DRM Policy. Brochures are available at: www.NEMA.ca/brochures_hurricane_preparedness_week.pdf

Calculation of the Recovery Capacity Index

Upon completion of the scoring exercise, the SRCA tool automatically:

- » Calculates the Recovery Capacity Index (RCI) for each sub element, key element, main component in the SRCA framework, as well as for cross-cutting issues and the overall sector.
- » Categorizes RCI values according to a traffic light system (Table 2).
- » Creates spider charts for the RCI values obtained at each level of the assessment.

This is a major, automatic, and effective step in the SRCA methodology, because:

- » RCI values describe the extent to which the considerations necessary for effective recovery have been integrated at each level of the SRCA framework.
- » The traffic light system and the spider charts provide a rapid, visual overview of both the areas where recovery capacity is strong, and where major challenges exist and action is urgently needed, which simplifies the analysis of results.

TABLE 2

Traffic light system used to categorize Recovery Capacity Index (RCI) values.

RCI value range	Appreciation of the extent to which recovery considerations are integrated in the sector
Low or absent integration 0–24	Absent integration of recovery considerations across the sector due to specific limiting elements. Low level of awareness and knowledge about the importance and added value of recovery integration for sectoral development.
Basic or incipient integration 25–49	Incipient integration of recovery considerations takes place at different levels of the sector. Some elements are under development, with a certain level of incidence to generate an institutional culture. There is a certain level of awareness and knowledge about the importance and added value of recovery integration for sectoral development.
Moderated integration 50–74	Evident integration of recovery considerations takes place at the majority of levels in the sector. An institutional culture that supports and updates recovery factors and includes them in sectoral planning processes is identified. A good level of awareness and knowledge about the importance and added value of recovery integration for sectoral development exists.
Advanced integration 75– 89	Evident integration of recovery considerations takes place at most levels in the sector, as it is part of sectoral strategic planning processes. Adaptation tools are available to enable the continuity of operations during contingencies, in a coordinated, practical, and documented way. There is also a high capacity to value the impact and contribution of recovery integration to the sector development , and to programmatic efficiency and efficacy.
Full integration 90–100	Integrating recovery considerations at all levels is a working principle , managed as part of the sector’s organizational culture. Tools and protocols for the continuous improvement of the sector’s performance and impact are available.

HIGH

CAPACITY BUILDING NEEDS

LOW

In practice,

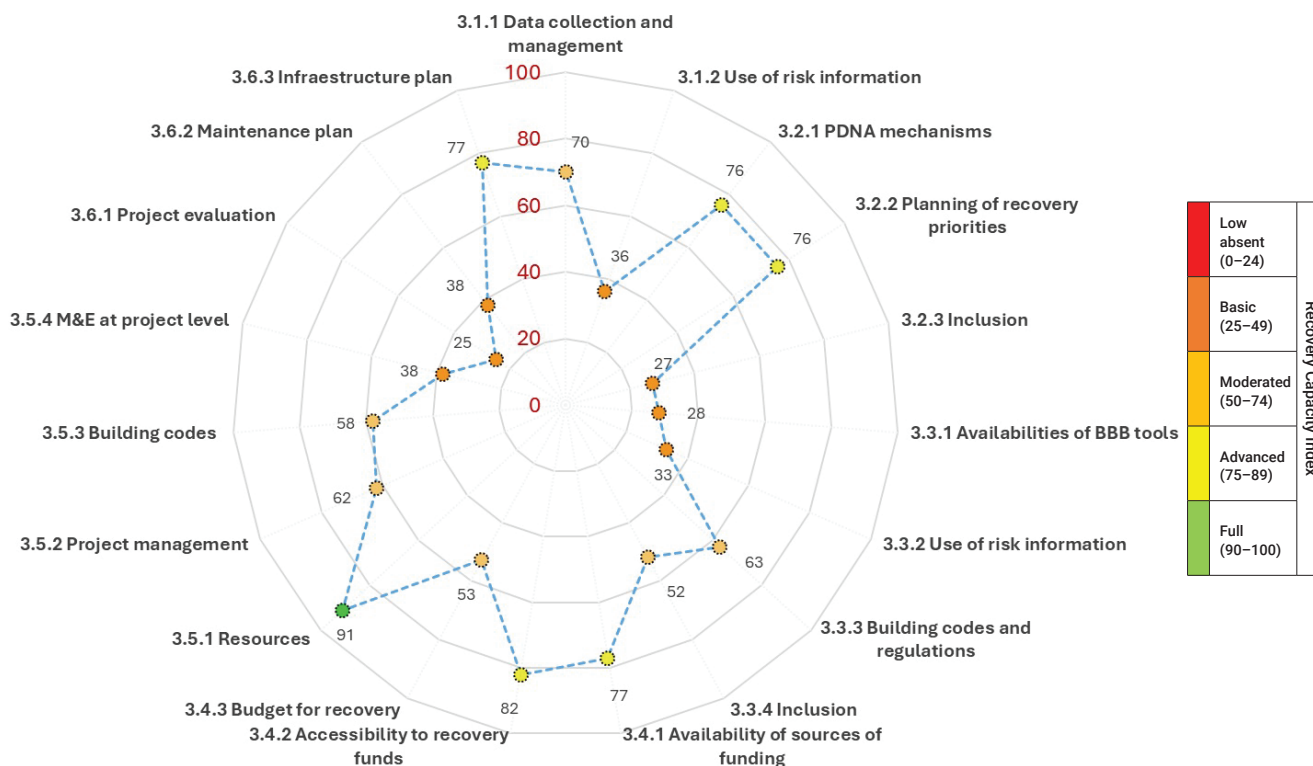
1. RCI values for each level of the assessment will automatically appear, with their traffic light

system color classification, in columns AE to AP in the SRCA tool, as shown for the Caribia example in the figure below.

Column AE		Column AH		Column AK		Column AN	Column AO	Column AP	
Components	Index (RCI)	Key elements	Index (RCI)	Sub elements	Index (RCI)	Index (RCI)			
						Gender	Disability	Other vulnerable group (Migrants)	
1. Governance	60.58	1.1 Policies and Legal Framework	66.35	1.1.1 Policies	87.50	1. Governance	62.50	66.67	45.00
2. Competencies (operational capacity) and Skills	41.45	1.2 Strategies and Plans	50.00	1.1.2 Legal Framework	56.25	2. Competencies (operational capacity) and Skills	37.50	31.25	15.00
3. Resources and Tools	60.08	1.3 Institutions and Coordination	57.81	1.1.3 Foundations for recovery	68.75	3. Resources and Tools	50.00	37.50	38.50
		<i>Continues for the key elements in components 2 and 3</i>		<i>Continues for all remaining sub elements in the SRCA framework</i>					

2. The spider charts will appear in columns BA to EC of the SRCA tool. Please always click the “Coloring markers of all graphs” button in column BA or the “Coloring bookmarks” button for each individual spider chart in the tool to ensure the traffic light system is applied to the RCI values automatically (see Annex 3).

The following is the example of the spider chart the tool produced for the sub elements of the Resources and Tools key element in the case study.



In this example, the chart allows to rapidly visualize that for one sub element (3.5.1. Resources) there is full integration of recovery considerations, and no action is needed, while for others (which obtained RCI values between 25 and 49) the level of integration of the required considerations (in other words, the recovery capacity) is basic or incipient and action is needed, as per the traffic light system (Table 2).

Once the scoring process has been completed, the RCI values calculated, and the spider charts created the person or team in charge of the SRCA will be well placed to analyze the results and start drafting the SRCA report.

09

Stage 3: Analysis of results

The recommended steps to approach the analysis of results are the following:

1. Make an initial analysis at the level of the three main components:
 - a. Describe the general results, highlighting first which component shows the highest and the lowest RCI values.
2. Focus on Component 1 (Governance):
 - a. Analyze the results obtained at the level of sub elements, identifying the highest and lowest RCI values and describing the reason for these values (as per the responses to the questions in Column I). This analysis will show the strengths but also the gaps and constraints that recovery planning and implementation face at the operational level. If connections or causal relationships are detected between the responses and the scores, these should also be described. Also take note of any opportunity identified for bridging gaps or strengthening capacity mentioned or validated by stakeholders (for example, upcoming policy or program reviews, ongoing or upcoming projects, etc.).
 - b. Analyze the results obtained at the level of key elements, identifying the highest and lowest RCI values and identifying the reasons for these values at this level. This analysis will show the strengths but also the gaps and constraints that recovery planning and implementation face at the strategic and programmatic levels. Describe if the high or low RCI values of a key element level are related to the RCI values of specific sub-elements. Also take note of all recommendations made by stakeholders to bridge gaps and strengthening capacity in the issues addressed by the key elements.
 - c. Analyze the results obtained at the level of main components, identifying which key elements contribute the most to the component RCI value, and where main weaknesses and strengths exist. Highlight strengths and limitations identified at this level (policy and decision-making level).
 - d. Check that the results obtained at the level of main components are supported by the results at the key element level and that results at the key element level are in turn supported at the sub element level. This will provide a good understanding of the current capacity context at the main component, key element and sub element levels (policy, strategic and planning, and operational levels, respectively).
3. Focus on Component 2 (Competencies)
 - a. Repeat the steps described for Component 1.
4. Focus on Component 3 (Resources and Tools):
 - a. Repeat the steps described for Component 1.
5. Focus on cross-cutting issues (gender, disability and vulnerable group inclusion):
 - a. Repeat the steps described for Component 1.
6. Return to the initial analysis made for the three main components in Step 1, and complement the analysis with the findings made at the key element level for each component (Step 2c).

10

Preparation and validation of the SRCA report

Upon finalizing the analysis of results:

- » Prepare a complete draft of the SRCA report. The SRCA reports published by the World Bank for the Tourism Sector in Dominica⁹ and Saint Lucia¹⁰, for the agriculture sector in Antigua and Barbuda¹¹, Guyana¹² and Saint Vincent and the Grenadines¹³ and for the housing sector in Grenada¹⁴ provide good examples to follow in the drafting of the report.
- » Circulate the draft SRCA report among sectoral and national stakeholders for discussion and inputs.
- » Prepare a report validation workshop with key sectoral stakeholders, as well as with independent experts on the sector.
- » Prepare a final version of the SRCA report.
- » Submit the final SRCA report for Government approval and endorsement.

⁹ The SRCA report for the Tourism sector in Dominica is available at: <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/099020124172530437/p17125619706840d9192601b4fccfc5918e>

¹⁰ The SRCA report for the Tourism sector in Saint Lucia is available at: <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/099755411302267028/p171256107cb0d08819d681a1ea6e5192ea>

¹¹ The SRCA report for the Agriculture sector in Antigua and Barbuda is available at: <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/099020124172541831/p171256178621c003180671e6ece62ae41f>

¹² The SRCA report for the Agriculture sector in Guyana is available at: <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/099755311302237754/p17125615a10af0211a39a117235f892b6d>

¹³ The SRCA report for the Agriculture sector in Saint Vincent and the Grenadines is available at: <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/099020124173018289/p171256157f354059183cb164bfe198fc3>

¹⁴ The SRCA report for the Housing sector in Grenada is available at: <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/099020124173033296/p1712561dcdbb307f188ba1b507900d3f98>

Annex 1

Case study - Background

The imaginary Small Island Developing State of Caribia is located in the Western Caribbean region and faces significant challenges as it grapples with its exposure and vulnerability to natural disasters and the adverse impacts of climate change. The nation's unique geographical location makes it prone to hurricanes, tropical storms, and floods, as well as to earthquakes and landslides. Climate change is already negatively affecting the country, through phenomena such as coastal erosion, sea level rise, and weather events becoming increasingly frequent and extreme.

Caribia encompasses a diverse range of landscapes, including coastal areas, low-lying islands, and mountainous regions. Its coastal regions, with their sandy beaches and coral reefs, are not only beautiful but also essential for the nation's tourism industry. However, these same coastal areas are highly vulnerable to erosion and inundation due to rising sea levels. The country's economy heavily relies not only on tourism, but also on agriculture, including fisheries, all of which are profoundly impacted by climate change.

Caribia's location within the hurricane belt exposes it to frequent and intense tropical cyclones during the Atlantic hurricane season. These storms bring heavy rainfall, strong winds, storm surges, and flooding, causing significant damage to infrastructure, property, and livelihoods. For instance, Hurricane Matthew in 2016 caused unprecedented devastation, with heavy losses in terms of lives and livelihoods, and extensive damages of property and infrastructure. 10 percent of the population was displaced or made homeless; infrastructure, including roads, bridges, buildings, and utilities such as power and water systems, are still being reconstructed; transportation, communication,

businesses, and access to essential services were substantially disrupted, and it is taking a significant amount of time and resources to rebuild and recover.

Climate change is exacerbating existing vulnerabilities. Rising sea levels threaten coastal communities, resulting in coastal erosion, loss of land, and the intrusion of saltwater into freshwater sources. The Intergovernmental Panel on Climate Change (IPCC) projects that sea levels in the Caribbean region could rise by up to one meter by the end of the century, amplifying the risks faced by Caribia. Higher temperatures contribute to heatwaves, adversely affecting human health and productive sectors such as tourism, as well as freshwater availability. Changes in rainfall patterns impact agriculture, leading to crop failures and food insecurity.

Recognizing the urgent need for action, the government of Caribia has prioritized resilience-building and climate change adaptation as crucial policy objectives. The country has been working towards the integration of mitigation measures against the impacts of natural disasters and climate change, including investments in early warning systems, emergency preparedness, response mechanisms to enhance resilience and reduce the loss of life and property during disasters, infrastructure development, natural resource management, and climate change adaptation.

Caribia is actively studying ways to more systematically engage in international cooperation and partnerships to enhance its resilience to natural disasters and climate change impacts. The country currently collaborates with regional organizations such as the Caribbean Disaster Emergency Management Agency

(CDEMA) and the Caribbean Community (CARICOM) to share best practices, exchange information, and access financial resources. It is also seeking support from other international institutions, including the World Bank and the United Nations Development Programme (UNDP), for capacity building, technical assistance, and funding.

Despite its efforts, Caribia faces several challenges in addressing the impacts of natural disasters and climate change. These include:

- » Constrained resources: Caribia's financial, technical and human resources are currently limited, making it especially challenging to design and implement large-scale resilience-building and recovery projects and initiatives.
- » Data and information gaps: Accurate and up-to-date data on climate change impacts, vulnerability assessments, and risk mapping are essential for informed decision-making. However, Caribia faces challenges in accessing and utilizing such data and information.
- » Socioeconomic inequalities: Vulnerable communities, such as those living in informal settlements or with limited access to resources, are disproportionately affected by natural disasters

and climate change impacts. Ensuring equitable resilience-building efforts and addressing socioeconomic disparities are crucial, particularly for women and people living with disabilities.

Despite these challenges, Caribia has several opportunities to enhance its resilience:

- » Knowledge sharing and collaboration: By actively participating in regional and international networks, Caribia can learn from the experiences of other countries facing similar challenges. Sharing knowledge, best practices, and lessons learned can enhance the effectiveness of resilience-building efforts.
- » Innovative financing mechanisms: Exploring innovative financing mechanisms, such as climate funds, public-private partnerships, and insurance schemes, can help mobilize resources for resilience-building projects and initiatives.
- » Community engagement and empowerment: Involving local communities in decision-making processes, promoting awareness, and building capacity at the grassroots level can enhance the effectiveness and sustainability of resilience-building measures.

Annex 2.

SRCA questionnaire

COMPONENT 1: GOVERNANCE			
Key elements	Sub elements	Questions	
1.1 Policies and Legal Framework	1.1.1 Policies	1	Is there a National Disaster Risk Management (DRM) policy that includes clearly defined institutional mandates for DRM and evidence of its use or practice?
		2	Is there a main sectoral development policy that addresses climate change adaptation and DRM and integrates recovery considerations, as well as evidence of its use or practice?
	1.1.2 Legal framework	3	Do national DRM laws and regulations define institutional roles and mandates for recovery?
		4	Are recovery considerations integrated in sectoral laws and regulations?
	1.1.3 Foundations for recovery	5	Is there an official document that clearly defines the government's vision for recovery? (for example national/centralized; sectoral/decentralized, focused on a specific sector; focused on building back better, etc.)
		6	Is there any sectoral policy, law, regulation, program or project that addresses the simultaneous impact of multiple hazards (such as an epidemic and a hurricane)?
	1.1.4 Mainstreaming DRM&CCA	7	Do government agencies in charge of the sector participate in the elaboration of DRM or recovery policies and legal frameworks?
		8	Do the private sector, academia, NGOs, local communities, and statutory organizations participate in the elaboration/review of DRM policies and/or legal frameworks?
		9	Do DRM policies and legal frameworks currently require sectoral ministries to formulate and implement sectoral resilient recovery strategies and/or plans? including for non-traditional and emerging hazards such as epidemics/pandemics, sargassum, etc.?
	1.1.5 inclusion	10	Do the most relevant national policies, laws and regulations for recovery consider gender-based recovery needs?
		11	Do the most relevant national policies, laws and regulations for recovery take into account the differentiated recovery needs of persons with disabilities?

COMPONENT 1: GOVERNANCE

Key elements	Sub elements	Questions	
1.1 Policies and Legal Framework (cont.)	1.1.5 inclusion	12	Do the most relevant national policies, laws and regulations for recovery take into account the differentiated recovery needs of other vulnerable/marginalized groups? <i>(Please note that this relates to maximum one additional vulnerable/marginalized group identified or prioritized according to national circumstances, for example, youth, elderly, migrants, or another selected group).</i>
	1.1.6 Building codes and regulations	13	Do most constructions - in all sectors- conform with building codes regulations?
		14	Are there mechanisms for enforcing compliance with building codes currently in place?
Recommendations: What would you recommend to improve the integration of recovery factors into sectoral policies and legal frameworks? Are there visible or upcoming opportunities for updating policies, strategies, plans at the national or sectoral level to strengthen recovery readiness?			
1.2 Strategies and Plans	1.2.1 Strategies and plans	15	Does the sector currently have a recovery strategy and/or plans in place?
		16	Are there financing mechanisms for recovery in place (e.g., recovery funds)?
	1.2.2 Build Back Better (BBB)	17	Do sectoral strategies and/or plans specifically call for the application of multi-hazard, climate resilience measures and the Build Back Better approach?
	1.2.3 Inclusion	18	Do recovery strategies and plans take into account gender-differentiated recovery needs and capacities?
		19	Do recovery strategies and plans take into account the differentiated recovery needs and capacities of persons with disabilities?
		20	Do recovery strategies and plans take into account the differentiated recovery needs and capacities of other vulnerable/marginalized groups? <i>(Please note that this relates to maximum one additional vulnerable/marginalized group identified or prioritized according to national circumstances, for example, youth, elderly, migrants, or another selected group).</i>
Recommendations: What would you recommend to strengthen recovery strategies and plans in the sector? Are there visible or upcoming opportunities for developing, or improving existing recovery strategies and plans?			

COMPONENT 1: GOVERNANCE

Key elements	Sub elements	Questions	
1.3 Institutions and Coordination	1.3.1 Institutions	21	Is the development of recovery plans and strategies at the sector level led by one or more institutions with authority and autonomy?
		22	Are there clearly defined roles and responsibilities for the implementation of recovery plans within the sector?
	1.3.2 Coordination	23	Is there a coordination mechanism (formal or informal) between sectors to implement national recovery plans?
		24	Are there specific recovery activities being coordinated between the sector and the National Disaster Management agency?
	1.3.3 Building codes and regulations	25	Within national laws and regulations, are there stakeholders who are responsible, accountable and liable for ensuring compliance with building-related legislation?
		26	Is there a sufficient budget approved for enforcing building codes?
	1.3.4 Inclusion	27	Are there mechanisms in place used for the coordination of recovery actions amongst the DRM agencies, gender agencies, women's networks and youth groups and network?
		28	Are there mechanisms in place used for the coordination of recovery actions between the DRM agency and public institutions and NGOs involved in supporting persons with disabilities?
		29	Are there mechanisms in place used for the coordination of recovery actions between the DRM agency, public institutions and NGOs involved in supporting other vulnerable/marginalized groups? <i>(Please note that this relates to maximum one additional vulnerable/marginalized group identified or prioritized according to national circumstances, for example, youth, elderly, migrants, or another selected group).</i>

Recommendations: What would you recommend to improve institutional coordination issues for the timely effective and efficient recovery in the sector? Are there visible or upcoming opportunities for implementing the suggestions?

COMPONENT 2: COMPETENCIES				
Key elements	Sub elements	Questions		
2.1 Workforce	2.1.1 Workforce	30	Are there sufficient DRM specialists in the sector to ensure that each project is overseen by at least one DRM specialist?	
		31	Is there sufficient technical staff to implement the sector's current portfolio of projects, and for potentially implementing recovery projects?	
		32	Do technical teams have the necessary working conditions to fulfil their tasks (e.g. connectivity, equipment, software, etc.)?	
	2.1.2 Inclusion	33	Is there a sufficient number of gender specialists to fill the needs of the sector?	
		34	Is there a sufficient number of disability inclusion specialists to fill the needs of the sector?	
		35	Is there a sufficient number of specialists in the inclusion of other vulnerable/marginalized groups to cover the needs of the sector? <i>(Please note that this relates to maximum one additional vulnerable/marginalized group identified or prioritized according to national circumstances, for example, youth, elderly, migrants, or another selected group).</i>	
	2.1.3 Private sector	36	Does the sector have an adequate number of qualified contractors based in the country?	
		37	Do in-country contractors implement most recovery projects in the sector?	
	Recommendations: What would you recommend to strengthen workforce issues for resilient recovery in the sector? Are there visible or upcoming opportunities for implementing the suggestions?			
	2.2 Capacity (knowledge and skills)	2.2.1 Skills	38	Are there sufficient professionals in the sector with expertise to implement resilient recovery projects?
39			Are there sufficient experts in the sector with knowledge of DRM methods and tools such as integrating hazard risks, geo-referenced information management systems (GIS, remote sensing, etc.)?	
2.2.2 Training activities		40	Are there frequent opportunities to enhance the technical skills required to ensure resilient reconstruction of physical infrastructure/buildings?	
		41	Are technical persons trained on gender responsiveness?	
		42	Are technical persons trained on disability inclusion?	
		43	Are technical persons trained on inclusion of other vulnerable/marginalized groups? <i>(Please note that this relates to maximum one additional vulnerable/marginalized group identified or prioritized according to national circumstances, for example, youth, elderly, migrants, or another selected group).</i>	

COMPONENT 2: COMPETENCIES

Key elements	Sub elements	Questions	
2.2 Capacity (knowledge and skills)	2.2.2 Training activities	44	Is there currently a mentoring and advising program/process for Building Back Better?
	2.2.3 Proven capacity	45	Are there sufficient professionals with the technical capacities to implement Project Cycle Management (PCM) activities, with a climate resilience focus, in the sector? <i>NOTE: PCM includes at least the following activities: management of sector portfolio; execution of Public Financial Management (PFM) procedures; project management; M&E; mainstreaming climate and disaster resilience into projects; coordinating recovery activities with other relevant sectors; performing quality control projects and inspections of building codes compliance during and after design and construction of buildings and infrastructure.</i>
		46	Do technical persons in the sector currently have the capacity to translate Post Disaster Needs Assessment (PDNA) results into actionable projects?
		47	Do technical persons in the sector understand the basics of DRM and are able to interpret and use hazard maps?
		48	Do technical persons have the knowledge and necessary training to formulate quality Terms of Reference for project implementation?
Recommendations: What would you recommend to strengthen the knowledge and skills of people in the sector to undertake resilient recovery projects? Are there visible or upcoming opportunities for implementing the suggestions?			
2.3 Human Resources (HR), Profile Suitability	2.3.1 Human resources (HR), profile suitability	49	Is there a Human Resources recruitment plan that includes recovery activities?
		50	Are there currently Terms of Reference for recovery-related positions?
Recommendations: What would you recommend to improve human resources-related issues in the sector to ensure recovery projects in the sector can take place in a timely, efficient and effective manner? Are there visible or upcoming opportunities for implementing the suggestions?			

COMPONENT 3: RESOURCES AND TOOLS

Key elements	Sub elements	Questions	
3.1 Natural hazard Data and Risk Information	3.1.1 Data collection and management	51	Are there mechanisms in place for the collection and management of natural-hazard data and risk information, including an online repository for risk data and information?
		52	Is the existing risk data and information accessible to technical people in the sector?
	3.1.2 Use of risk information	53	Are there up-to-date multi-hazard risk maps available in the country?
		54	Does the sector currently use risk and multi-hazard risk maps?
<p>Recommendations: What would you recommend to improve the generation and management of natural hazard data and risk information in order to have reliable and useful data for risk-informed project planning? Are there visible or upcoming opportunities for implementing the suggestions?</p>			
3.2 PDNA and Project Portfolio Planning	3.2.1 PDNA mechanisms	55	Is there currently an efficient and effective PDNA coordination mechanism?
		56	Does the PDNA methodology used in the country include the formulation of recovery plans for the sector?
		57	Are there focal points with clearly defined roles and responsibilities assigned within the sector to carry out a PDNA?
	3.2.2 Planning of recovery priorities	58	Does the government currently have criteria to define priority sectors for recovery support?
		59	Has the government used the results of PDNAs to prioritize recovery projects?
	3.2.3 Inclusion	60	Does the PDNA methodology require the collection of (pre and post disaster) gender disaggregated data?
		61	Does the PDNA methodology require the collection of (pre and post disaster) disability disaggregated data?
		62	Does the PDNA methodology require the collection of (pre and post disaster) disaggregated data for other vulnerable/marginalized groups? <i>(Please note that this relates to maximum one additional vulnerable/marginalized group identified or prioritized according to national circumstances, for example, youth, elderly, migrants, or another selected group)</i>
<p>Recommendations: What would you recommend to enhance the integration and use of recovery considerations in PDNA mechanisms and project portfolio planning in the sector? Are there visible or upcoming opportunities for implementing the suggestions?</p>			

COMPONENT 3: RESOURCES AND TOOLS

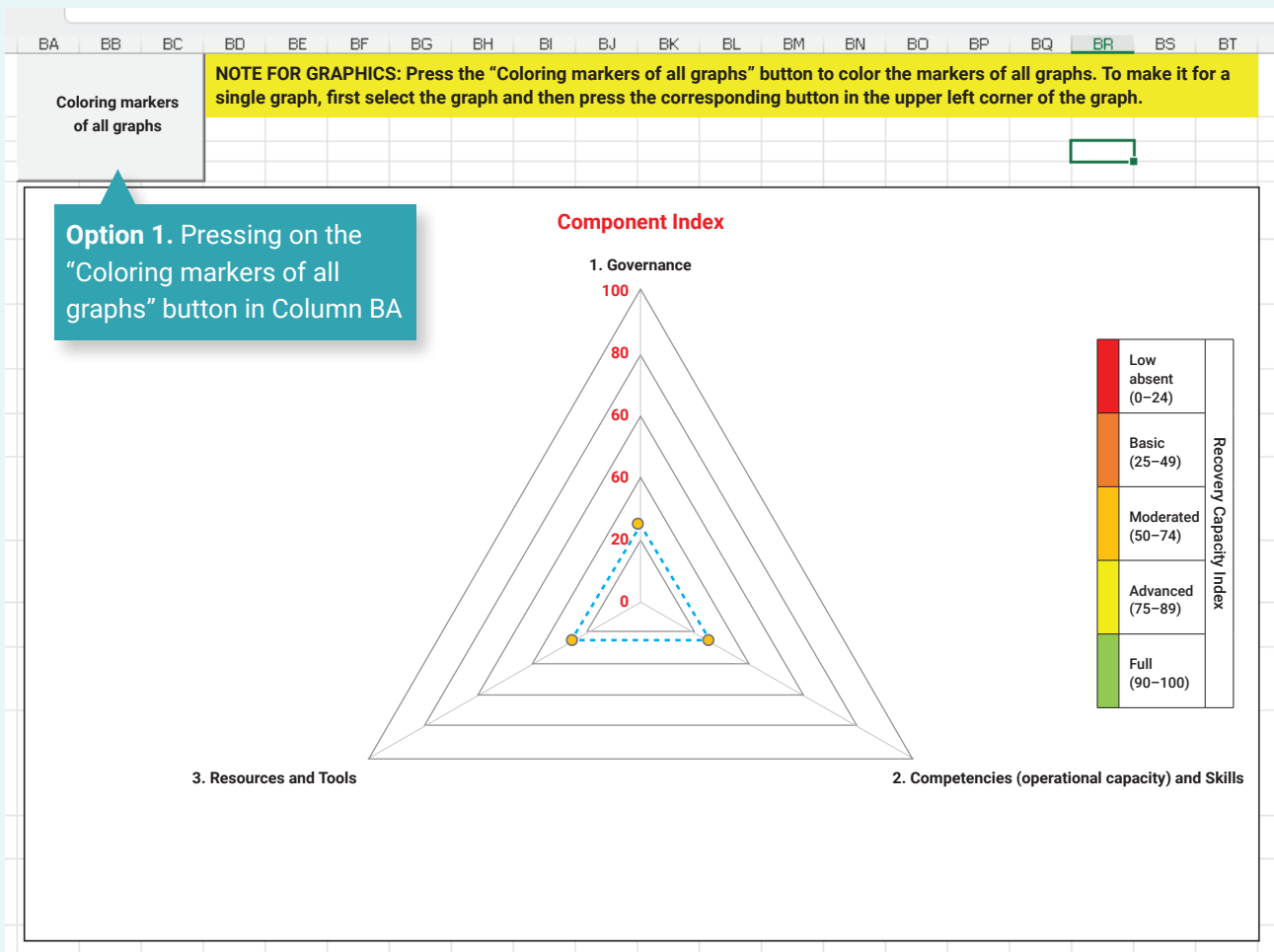
Key elements	Sub elements	Questions	
3.3 Resilient Recovery Project Design	3.3.1 Availability of BBB tools	63 Does the sector currently have access to the necessary tools (e.g., best practices, software, check lists, cost-benefit analyses for resilience measures, etc.) available to ensure project designs incorporate the Build Back Better approach?	
	3.3.2 Use of risk information	64 Does the sector currently use risk information to design resilient recovery projects?	
		65 Is the risk information currently available at the resolution and geographic coverage required for sectoral project planning and implementation?	
	3.3.3 Building codes and regulations	66 Are building codes and land use planning guidelines currently integrated into project design in the sector?	
	3.3.4 Inclusion	67 Do project designs in the sector take into account gender considerations?	
		68 Do project designs in the sector take into account the basic needs of persons with disabilities?	
		69 Do project designs in the sector take into account the basic needs of other vulnerable/marginalized groups? <i>(Please note that this relates to maximum one additional vulnerable/marginalized group identified or prioritized according to national circumstances, for example, youth, elderly, migrants, or another selected group).</i>	
	Recommendations: What would you recommend to improve the design of resilient projects, including the design of resilient recovery projects in the sector? Are there visible or upcoming opportunities for implementing the suggestions?		
	3.4 Financing	3.4.1 Availability of funding sources	70 Are there identified and accessible funding sources for recovery interventions in the sector (e.g., national, multilateral development banks, bilateral partners, others)?
71 Are the mechanisms for accessing funding for recovery actions clear and widely known to people working in the sector?			
3.4.2 Access to recovery funding		72 Is it easy to access recovery funding (e.g., National multilateral, bilateral, others)?	
		73 Do the eligibility criteria for recovery funding reflect the PDNA results for the most affected sectors?	
3.4.3 Budget for recovery		74 Is there a national mechanism for rapid budget reallocation for recovery after disasters?	
		75 Does the sector currently have a sufficient actual or estimated annual budget for recovery?	
Recommendations: What would you recommend to improve recovery financing in the sector? Are there visible or upcoming opportunities for implementing the suggestions?			

COMPONENT 3: RESOURCES AND TOOLS

Key elements	Sub elements	Questions	
3.5 Project Implementation	3.5.1 Resources	76	Is there an inventory of qualified contractors relevant for the sector's operations?
		77	Is there an efficient procurement process in place for goods and services to implement recovery projects?
	3.5.2 Project management	78	Does the sector (or reconstruction projects) have access to and properly use project management tools?
	3.5.3 Building codes	79	Are there mechanisms in place to ensure that the construction materials used in recovery projects meet accreditation standards (e.g., strength, testing, quality, etc.)?
		80	Does the sector currently have the resources and tools to comply with building codes?
	3.5.4 M&E at project level	81	Does the sector currently have in place and actively use a monitoring and evaluation (M&E) system for projects?
Recommendations: What would you recommend to improve project implementation in the sector? Are there visible or upcoming opportunities for implementing the suggestions?			
3.6 Resilient infrastructure investments	3.6.1 Project evaluation	82	Have climate and disaster vulnerabilities of critical infrastructure for the sector been evaluated?
	3.6.2 Maintenance plan	83	Is there an infrastructure maintenance plan and budget currently in place?
	3.6.3 Infrastructure plan	84	Is there a long-term resilient infrastructure plan (including retrofitting of existing infrastructure)?
Recommendations: What would you recommend to improve the resilience of critical infrastructure for the sector? Are there visible or upcoming opportunities for implementing the suggestions?			

Annex 3.

Options to enable the automatic application of the traffic-light system in the coloring of points in the spider charts.

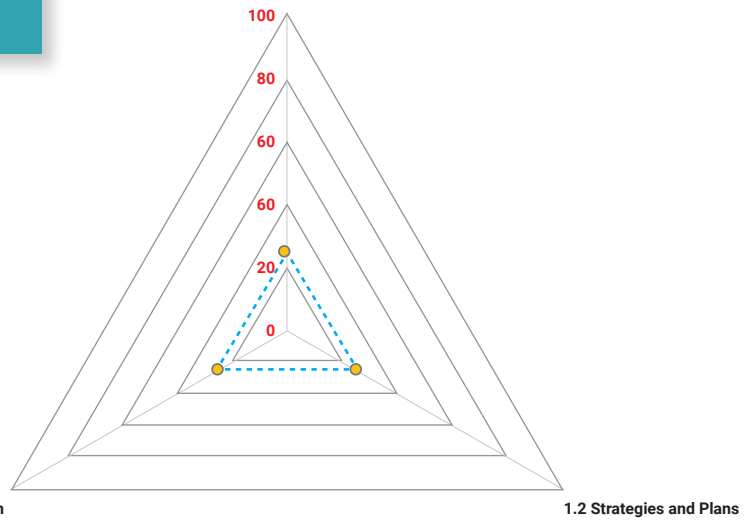


Coloring bookmarks

Option 2. Pressing on the “Coloring bookmarks” button for each selected spider chart

Key elements Governance

1.1 Policies and Legal Framework





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