

**STRATEGIC FRAMEWORK  
OF THE  
SUDAN RECOVERY FUND  
FOR SOUTHERN SUDAN  
(SRF-SS)**

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## **STRATEGIC FRAMEWORK OF THE SUDAN RECOVERY FUND FOR SOUTHERN SUDAN**

### **1. INTRODUCTION**

Following the endorsement of the Government of Southern Sudan (GOSS) of the Sudan Recovery Fund for South Sudan (SRF-SS), it was agreed to develop a strategic strategy for SRF-SS to provide a substantive framework for the SRF. This resulting strategic framework of the SRF-SS has been consulted closely with the GOSS, United Nations NGOs, donors, and other partners.

### **2. TRANSITION FROM RELIEF TO RECOVERY - RATIONALE FOR A RECOVERY FRAMEWORK**

Southern Sudan has made impressive strides as it emerges from decades of civil war. These include setting in place a governance structure and system throughout the region, and achievement of some early and dramatic development results (e.g. the increase in Primary School enrollment from 300,000 in 2005 to 1.3 million in 2007). At the same time, Southern Sudan remains a region of deep poverty, considerable isolation, and continuing violence and conflict, placing the hard won peace at risk.

In the three years since the CPA was signed, international assistance in Southern Sudan continues to be largely humanitarian in orientation, with interventions funded through short-term humanitarian mechanisms still accounting for significant spending in South Sudan. While acute humanitarian needs will persist, there is an acknowledgement within the international community that assistance needs to transition from a relief-orientation to one focused on recovery and longer term development. At the same time, while the Multi-Donor Trust Fund (MDTF) has is focusing on longer-term reconstruction and development, the initiatives being supported are longer-term in nature, and results may take some time to be demonstrated.

There is also a very real concern that, given the extent to which local services to communities in sectors such as health and education are supported by NGOs through relief and humanitarian funding sources, as funds for relief continue to diminish, and while longer term development initiatives are coming on line, access to basic services may in fact decrease at this critical stage in the peace process.

There is hence a need, on the one hand, to facilitate a transition from humanitarian assistance to recovery, with an attendant shift in approach of international actors in Southern Sudan, while on the other hand expediting the achievement of peace dividends and quick recovery impacts. The overarching purpose of the strategic framework is thus to define the programmatic priorities of the SRF-SS, with a focus on quick delivery of recovery results that directly benefit people afflicted by war and poverty with visible 'peace dividends' and opportunities, based on increasing capacities of Government and partners and active participation and empowerment of communities, thereby laying the foundations for sustainable development and building the confidence for a lasting peace.

### **3. GUIDING PRINCIPLES FOR RECOVERY**

As indicated in the Terms of Reference for the SRF-SS, the definition "early recovery" touches on factors that are critically important at this juncture in Southern Sudan. First, it seeks to build on the results of humanitarian actions. Second, it is guided by development principles of national ownership, capacity utilisation and support, and peoples' participation to catalyse sustainable development opportunities. Third, it aims to generate self-sustaining, nationally owned, resilient processes for post-crisis recovery,

thereby aiming to address the underlying causes of the crisis, and reducing the risks of a re-emergence of conflict and improving the prospects of a lasting peace.<sup>1</sup>

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

**Table 1: Recovery Principles**

<b>Strengthen National Ownership</b>	National ownership is very important for early recovery efforts to stabilise the situation following a crisis. It is indispensable for the achievement of a more sustainable full recovery. International actors will come and go, while national actors will remain. National ownership is not synonymous with government ownership, however, since there are many other state and non-state actors which are important to sustainability. This is a particularly important distinction when government institutions may have been compromised in conflict situations.  This includes the transfer of accountability, capacity and responsibility from the international community under humanitarian action to Government. Recovery work needs to factor in Government ownership and management in a phased way and complement the ongoing efforts of GOSS towards creating a decentralised system of government.
<b>National Capacity Utilisation and Support</b>	National ownership cannot fully materialise if national actors and institutions do not have the required capacities to lead, manage and implement the process. There is always a danger that, in the urgent drive to save lives, humanitarian programmes will replace or substitute their own capacities for existing national capacities. Affected populations should be seen not merely as beneficiaries but as actors fundamental to driving the process of recovery.
<b>Community-Centered Approach</b>	National ownership and capacity development extend beyond the central government to include actors at all levels, especially that of the local community. This is the level at which some of the most meaningful early recovery activities can be undertaken. Participation of the communities in decision making and implementation of local programmes will increase the appropriateness of the early recovery interventions.
<b>Conflict Prevention &amp; Risk Reduction</b>	A crisis can precipitate opportunities for improvements in conditions that resulted in the losses and instability in the first place. Building back better aims to promote the restoration of services, systems and institutions to a more advanced state than before the crisis through the application of improved standards and policies.
<b>Promoting Gender Equality</b>	Gender sensitivity and empowerment should be a cross-cutting issue in all early recovery activities, and will be based on the landmark Resolution 1325 on women, peace, and security that was adopted by the Security Council in 2000.
<b>Transparency and Accountability</b>	This comprises full accountability to beneficiaries, as well as to governments and donors. This includes a transparent recovery planning process, the sharing of good practices, and rigorous monitoring and evaluation. This also means putting beneficiaries at the centre of the recovery process, through information, consultation and local grievance mechanisms.

#### **4. AID ARCHITECTURE FOR RELIEF, RECOVERY AND DEVELOPMENT**

Currently, pooled multi-donor funding mechanisms exist in Southern Sudan that cover both humanitarian assistance (i.e. the Common Humanitarian Fund (CHF)) and longer-term reconstruction and development (i.e. the Multi-Donor Trust Fund (MDTF)). However, As the DFID Sudan paper on transition principles articulates, the aid architecture for Southern Sudan has demonstrated gaps in the middle ground between humanitarian and development, with the “net effect being that services, infrastructure and support to livelihood systems are not being delivered at sufficient pace and scale.” Similarly, the split of funding mechanisms between short-term humanitarian and longer-term reconstruction and development, has in part resulted in an under-investment in critical areas, such as conflict transformation, reconciliation, peace-building, including

<sup>1</sup> See the Guidance Note on Early Recovery prepared by the IASC Early Recovery Cluster Working Group, October 2007. Also DFID Sudan has prepared a paper outlining the principles to underpin the transition from relief to early recovery in South Sudan. While the principles relate to the Sudan Recovery Fund (SRF), they are not exclusive to the SRF and also underpin bi-lateral support to recovery. See “FROM RELIEF TO RECOVERY IN SOUTH SUDAN”, Joanne Raisin, DFID Sudan.

community security and access to justice – areas that are fundamental to securing the peace in Sudan and mitigating risks of new conflict.

The SRF-SS would seek to fill this gap. On the one hand, CHF planning and project implementation is short-term, and has light government ownership in planning, formulation and appraisal. On the other hand, the MDTF has high government ownership, but also a much longer term time frame for planning and delivery. The SRF would seek to fill the middle ground by building on and deepening the results of humanitarian initiatives, whilst highlighting a stronger and more structured engagement with national actors (Government and civil society), and thereby laying the groundwork for the longer-term initiatives being supported through the MDTF.<sup>2</sup>

**Table 2: Proposed Aid Architecture – Major Pooled Funding Mechanisms**

Relief	Recovery	Reconstruction and Longer-Term Development
<p><b>Common Humanitarian Fund (CHF)</b></p> <p><u>Purpose:</u> Humanitarian and emergency activities; urgent needs and rapid response  <u>Ownership:</u> Light/Medium  <u>Planning Horizon:</u> One Year via UN and Partners Work Plan; quick turn-around funding process  <u>Time Frame:</u> Short Term (&lt;12 months)  <u>Funding Level:</u> Small projects (average USD 200,000)</p>	<p><b><u>Sudan Recovery Fund (Southern Sudan) (SRF-SS)</u></b></p> <p><u>Purpose:</u> Quick delivery of recovery and peace dividends; foundations for sustainable development  <u>Ownership:</u> High  <u>Planning Horizon:</u> 1-3 years based on GoSS annual and rolling three year plan; quick turn-around funding process  <u>Time Frame:</u> Medium Term (18 months to 3 years)  <u>Funding Level:</u> Medium-sized projects (USD 500,000 to USD 3,000,000)</p>	<p><b><u>Multi-Donor Trust Fund (Southern Sudan) (MDTF-SS)</u></b></p> <p><u>Purpose:</u> Longer term reconstruction, sustainable development and capacity building  <u>Ownership:</u> High  <u>Planning Horizon:</u> CPA period  <u>Time Frame:</u> Longer-Term (typically 3-5 years); longer gestation period for formulation and appraisal  <u>Funding Level:</u> Large sized projects (USD 3 million to USD 250 million)</p>

At the same time, there are a number of other funding mechanisms in place that do work in the middle phase between relief and longer-term reconstruction and development, although there are a number of distinguishing features which highlight the funding gaps which the SRF seeks to fill.

**Table 3: Comparison with other Funding Mechanisms**

Fund Mechanism	Distinguishing Features
<b>Basic Services Fund (BSF):</b>	<ul style="list-style-type: none"> <li>Currently, not a pooled mechanism – funded by a single donor (UK-DFID).</li> <li>Covers basic services only, and not covering other key elements of recovery, such as security, peace building, livelihoods and economic activity, etc.</li> <li>Accessible to NGOs only, not by relevant UN Agencies.</li> </ul>
<b>Recovery and Rehabilitation Programme (RRP):</b>	<ul style="list-style-type: none"> <li>Currently, not a pooled mechanism – funded by a single donor (EU).</li> <li>Limited geographic coverage (5 States and 7-8 Counties only)</li> <li>Covers basic services, livelihoods and capacity building, and some peace-building work, but not other key elements of recovery, such as security, etc.</li> <li>Accessible to NGOs only, not by relevant UN Agencies. Current partnership arrangements fixed.</li> </ul>
<b>UNDP Strategic Partnership:</b>	<ul style="list-style-type: none"> <li>Pooled funding mechanism, but focused specifically on medium term capacity building of Governance and Rule of Law.</li> <li>Principally funds UNDP projects only, and while these work in partnership with a range of actors, other organizations and agencies do not have direct access.</li> </ul>

<sup>2</sup> It is important to note that while the MDTF-SS is primarily oriented towards longer-term reconstruction and development, it has included an element of recovery support (for example: emergency roads, pharmaceuticals, bed nets, labour-intensive public works, vocational training), much of which will continue into the next phase of the MDTF-SS and thus will require a high degree of coordination.

<b>Capacity Building Trust Fund (CBTF):</b>	<ul style="list-style-type: none"> <li>• Focuses on direct Government support.</li> </ul>
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These mechanisms have demonstrated good results, and have filled some of the gap between relief and longer-term development assistance. However, they remain single-donor (such as the BSF and RRP), focused on specific implementing partners, and/or a more limited range of sectors and thematic areas. Accordingly, the SRF-SS would seek to deepen the thematic areas of coverage, the potential geographic coverage, as well as the range of implementing partners. At the same time, it would seek to provide opportunities to expand best practice models implemented through these funds with new donors into additional areas, including learning lessons from their implementation (e.g. improved linkages with the States and Counties and overall national ownership).

In order to ensure strong national ownership over the SRF-SS, it is important that the operation of the SRF-SS be fully aligned with the GoSS Aid Strategy. The GoSS Aid Strategy articulates six basic principles, and the following table defines how the SRF will align itself with these principles.

<b>GoSS Aid Strategy Principles</b>	<b>SRF-SS Measures to Address</b>
<b>1. Alignment;</b> of donor assistance with Government priorities	<ul style="list-style-type: none"> <li>• In order to ensure the SRF-SS operates within a Government led framework, the priorities of the SRF-SS are to be fully aligned with the GoSS recovery and development priorities for Southern Sudan.</li> <li>• The GOSS has now developed a three-year rolling budget sector plan, including sector priorities and planned activities across ten sectoral clusters, as well as an Expenditure Priorities document that sets out the expenditure priorities and funding needs of the Government of Southern Sudan for the period 2008-2011. As discussed in the next section (Section 5), these GoSS documents serve as the basic reference for the SRF-SS.</li> </ul>
<b>2. Co-ordination;</b> of aid delivery with Government programmes, to avoid duplication, concentration or neglect	<ul style="list-style-type: none"> <li>• It is imperative that programmes and projects funded by the SRF-SS be fully coordinated with and supportive of Government programmes, support the Government's planning process, addresses gaps in priority areas, and do not duplicate ongoing activities.</li> <li>• In order to do so, as described in the TOR for the SRF-SS, the project cycle for the SRF-SS will work through the established GoSS Budget Sector Working Groups, which serve as a key GoSS planning mechanism with a broad base of membership, as well as approval through the GoSS Inter-Ministerial Appraisal Committee (IMAC). The BSWG and IMAC are instrumental mechanisms in coordinating donor support, ensuring alignment with GOSS priorities and articulating priorities broadly across sectoral areas.</li> <li>• A preliminary consultation with the Director Generals of Planning for the GoSS Budget Sector Groups has already been undertaken, and the results are summarized in Annex 1.</li> </ul>
<b>3. Predictability;</b> of the volume and timing of aid flows	<ul style="list-style-type: none"> <li>• As the GoSS Aid Strategy notes, aid commitments must be matched as far as possible to the Government's three year Budget Sector Plans to enable predictable planning.</li> <li>• As described earlier in this section, the SRF-SS seeks specifically to address the current gap in fund predictably for recovery initiatives in Southern Sudan, through putting in place a pooled funding mechanism for recovery that is soundly situated within the framework of GoSS priorities and the GoSS Ad Strategy. The SRF-SS is hence formulated as a means to significantly improve aid predictably for recovery in Southern Sudan.</li> </ul>
<b>4. Harmonisation;</b> of donor activities and programmes	<ul style="list-style-type: none"> <li>• The GoSS Aid Strategy notes that proliferation of aid channels places additional management burden upon GoSS, straining its institutional capacity, and thus encourages development partners to harmonise their delivery of development aid through joint mechanisms wherever possible.</li> <li>• Accordingly, the SRF is intended as a mechanism specifically to harmonize fund flows for recovery through establishing a GoSS-led pooled mechanism for recovery initiatives, within a common strategic framework in line with GoSS priorities.</li> </ul>

<p><b>5. Institutional Development;</b> using aid to enhance Government capacity</p>	<ul style="list-style-type: none"> <li>• As defined above in the previous section, a key principle of the SRF-SS is to support national institutional capacities. This is intended as a design feature of the architecture of the SRF-SS, which seeks to engage and strengthen GoSS systems and processes, both in the operation of the fund, as well as a result of the initiatives to be supported by the fund.</li> <li>• Projects will be vetted through the BSWG and IMAC in order to ensure compatibility with Government institutional arrangements.</li> <li>• Capacity development is also a selection criteria for initiatives to be supported by the fund; the fund will thereby prioritize initiatives with a strong capacity development orientation.</li> </ul>
<p><b>6. Mutual Accountability;</b> between Government and donors</p>	<ul style="list-style-type: none"> <li>• In the Aid Strategy, the GoSS recognizes the importance of providing accountability to development partners, and notes the expectation that development partners will provide full and regular accountability to Government on the performance of their development aid programmes.</li> <li>• In line with this expectation, by pooling funding for recovery within a common fund, with a structured reporting mechanism to GoSS (as defined in the TOR for the SRF-SS), the SRF-SS seeks to provide a structured mechanism for reporting and strengthening accountability to GoSS on recovery results.</li> </ul>

It is proposed that, in order to assess issues of complementarity and coordination of the SRF-SS within the broader aid architecture for relief, recovery and development in Southern Sudan, in line with the GoSS Aid Strategy, an independent evaluation be undertaken after the first year of operation of the fund. The decision on such an evaluation, and its Terms of Reference, would be taken by the SRF-SS Steering Committee.

## 5. STRATEGIC PRIORITIES FOR RECOVERY

Given the recovery challenges currently facing the region, the SRF-SS seeks to serve as a means of restoring the people's hopes and confidence, and engaging them in a process that makes change real and meaning to their lives. In order for the Strategic Framework for the SRF-SS to address these issues, it must do so within clear priority guidelines that ensures Government ownership and leadership.

The GOSS has now developed a three-year rolling budget sector plan, including sector priorities and planned activities across ten sectoral clusters.<sup>3</sup> Additionally, GOSS is preparing for the Sudan Consortium, to take place in May 2008 in Paris, an Expenditure Priorities document that sets out the expenditure priorities and funding needs of the Government of Southern Sudan for the period 2008-2011. These documents serve as the basic reference for the SRF-SS strategic priorities, although the SRF-SS will hone in on key recovery priorities in line with the principles established above.

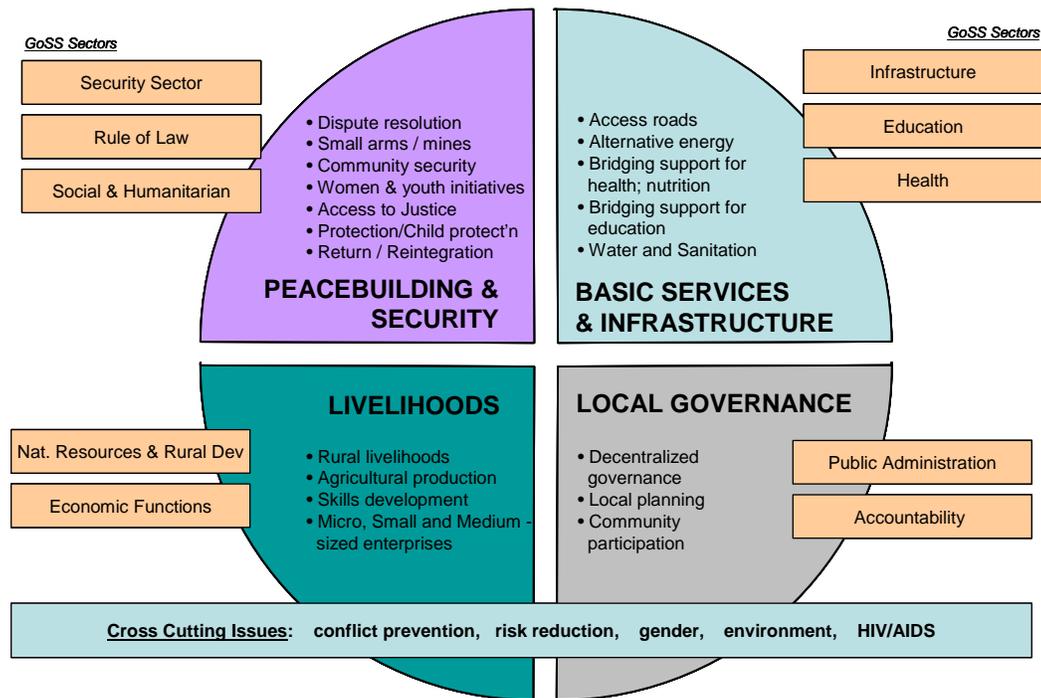
In order to elaborate the key priorities for recovery, a series of consultations were undertaken, including a plenary workshop with Directors General of planning for GoSS ministries,<sup>4</sup> as well as consultations and inputs from the donor community and international and national partners. These consultations highlighted a series of potential activities, within the framework of the GoSS sector plans. (See [Annex I](#) for a full list of objectives of the GOSS Sector Plans, and details per sector of indicative recovery activities.)

The results of these consultations cluster around four major areas of concentration as key recovery priorities: Peacebuilding and Security; Basic Services and Infrastructure; Livelihoods; and Local Governance. Fundamentally, the areas defined above are critical

<sup>3</sup> (i) Security (ii) rule of law (iii) public administration (iv) accountability (v) infrastructure (vi) natural resources (vii) economic functions (viii) education (ix) health (x) social and humanitarian affairs.

<sup>4</sup> The consultation with the GoSS Directors General of Planning was held at the Accountancy Training Centre on 7 March 2008. The full list of indicative recovery activities is included as Annex I.

**Figure 1: Clusters of Recovery Priorities**



to consolidate the recovery process and demonstrate increased peace dividends, by addressing four major sets of challenges facing Southern Sudan, as follows:

i. **Peacebuilding and Security:**

- In the recovery process, there is need to set a high priority on conflict transformation and peace building. Ways and means of stabilizing local security need to become an integral part, rather than a separate undertaking, of recovery. Conflict transformation is a key to the establishment of a safe and secure enabling environment – without which the foundation for recovery, sustainable development, poverty reduction and the implementation of the CPA cannot be effectively realized.
- Sudan's interlocking conflicts derive (in part) from and contribute to an environment where conflict management mechanisms are weak, proliferation of arms is high and where individuals, communities and returnees suffer ongoing insecurity and lack of access to justice. If Southern Sudan is to break free from poverty it is critical that conflict issues are addressed and that the rule of law is established. Security and access to justice is a prerequisite for investment – essential for sustainable recovery and development.
- The return of up to 4 million IDPs/refugees, and other migratory changes in Southern Sudan, will inevitably stretch the already limited resources of the area, so the management of these movements and subsequent reintegration processes will be a key factor in maintaining a peaceful and secure basis for social development.
- Conflict transformation will also directly support increased respect for human rights across southern Sudan and make a key contribution in the development of a social contract between GOSS and its people.
- Of equal importance to establishing a secure enabling environment for recovery will be early and effective ways of disarming, demobilizing and reintegrating ex-combatants and all those currently holding arms. While the DDR process itself will

be funded through a separate initiative than the SRF-SS, there will be a need for strong linkages between the on-going DDR process and the broader recovery process, including notably reduction in the proliferation of small arms in the hands of civilians.

ii. **Enhanced Basic Services Delivery and Critical Infrastructure:**

- While progress in some social sectors has been impressive (especially primary school enrollment), the fact is that most Millennium Development Goals (MDGs) in Southern Sudan have fallen far and seriously short of their targets: e.g. Poverty incidence is 90%; overall literacy is 24% (female literacy 12%); maternal mortality 2054/100,000, one of highest in the world; prevalence of child malnutrition is 48%, and acute child malnutrition 21%; under-5 mortality rate is 135/1000, and infant mortality rate is 150/1000.
- These lowest basic indicators of peoples' life situation cannot be allowed to persist, and provision will be made for supporting effective basic education, health, water and sanitation services, as well as initiatives to combat micronutrient deficiency and treat malnutrition, as high priority interventions under the SRF. While major MDTF initiatives are coming on line to address longer-term service delivery needs, there is also a very real concern that as funds for relief continue to diminish, and while longer term development initiatives are coming on line, access to basic services may in fact decrease at this critical stage in the peace process. As a result, the SRF would be positioned to mitigate the potential of any reduction in services, while facilitating a gradual transition and transfer of accountability, capacity and responsibility from the international community under humanitarian action to Government for service delivery.
- Similar priority will go to rehabilitating and establishing basic infrastructure in the rural areas, particularly access roads and bridges, enabling mobility of people to services and markets for restarting economic life.

iii. **Stabilization of Livelihoods:**

- The restart of economic life is still a goal of many people in the rural areas. Reestablishing agricultural production is fundamental to the recovery process, including the introduction and increasing use of modern technologies. Also, skill training and access to grants and eventually credit, will enable many to initiate micro and small enterprise thereby providing a much needed new income earning window for the poor.
- However, given the dire poverty of most rural areas in Southern Sudan, and the high levels of unemployment and underemployment, amongst host communities and returnees, major emphasis could be given in the early recovery stage to the creation of employment based programmes linked to public works creation. This would be intended to provide quick access to income or a quick 'peace dividend', and simultaneously assist with the delivery of essential basic services' infrastructure.

iv. **Capacity Building for Decentralized and Democratic Governance:**

- In order for recovery work to become sustainable, it must be carried forward by the governmental institutions entrusted to serve the well-being of the people. The build up of governmental capacities for planning, coordination and implementation of recovery and development activities is therefore essential. Particular emphasis will be given to strengthening decentralized government roles and responsibilities for recovery, with special focus on building local administrative skills for management and implementation of recovery programming.
- Cross-cutting across all these issues is also the critical need to mobilise communities, including returnees, and illustrate to them the benefits of development and peace and their own roles in creating these. Activities that build the capacities of communities to facilitate delivery of services, and to reinforce

this with their own complementary development initiatives, will be supported to underpin recovery at local levels.

In summary, the key recovery challenges and priorities that the SRF would be indicatively positioned to support are as follows:

**Table 4: Key Recovery Challenges and Priorities**

Cluster	Summary Challenges	Summary Priorities
<b>Peacebuilding and Security</b>	<ul style="list-style-type: none"> <li>Continued insecurity facing communities and returnees across Southern Sudan – violent conflict, small arms, prevalence of landmines and UXOs.</li> </ul>	<ul style="list-style-type: none"> <li>Stabilizing local communities, reducing their risk to conflict and other threats, and enhancing local community security and rule of law</li> </ul>
<b>Basic Services and Infrastructure</b>	<ul style="list-style-type: none"> <li>Inadequate access to basic services – health, nutrition, education and water supplies</li> <li>Poor infrastructure mitigates access to both services and economic opportunities</li> </ul>	<ul style="list-style-type: none"> <li>Ensuring there is no reduction, but rather continued increase in access to basic services, and a gradual transition and transfer of accountability, capacity and responsibility from the international community under humanitarian action to Government for service delivery</li> </ul>
<b>Livelihoods</b>	<ul style="list-style-type: none"> <li>Depressed opportunities for sustainable livelihoods, lack of inputs, low skill base.</li> </ul>	<ul style="list-style-type: none"> <li>Increasing access to livelihoods opportunities in order to empower households and communities with sustainable livelihoods and income opportunities</li> </ul>
<b>Local Governance</b>	<ul style="list-style-type: none"> <li>Weak governance systems, with little if any outreach of local governments to communities</li> </ul>	<ul style="list-style-type: none"> <li>Strengthening capacity and outreach of local government to better interact with and engage communities</li> <li>Supporting communities to be active participants in their own recovery and development</li> </ul>

**6. PRIORITIZATION OF RECOVERY INITIATIVES; CRITERIA FOR DECISION MAKING:**

In order to ensure that recovery activities are genuinely unique from humanitarian relief on the one hand and longer-term development on the other, it is crucial to the integrity of the recovery window that a process for clearly identifying specific recovery activities is established and consistently followed. An agreed set of criteria for determining recovery activities is essential so as to provide a filter through which a wide range of activities along the relief-recovery-development spectrum can be sifted and selected as uniquely “recovery” in nature. The following ten (10) criteria are proposed for this purpose:

1. Direct relevance to GoSS development priorities;
2. Focus on early / quick delivery, impact and ‘peace dividends’ for people while laying the foundations for sustainable development;
3. Areas historically underserved or experiencing local insecurity will be a consideration;
4. Address communities affected by high levels of return, reintegration, and other vulnerable groups;
5. Decentralized Planning, Coordination, and Implementation, including Leadership / Support Role of States and Counties, and Promotion of Partnership & Joint Programming among GoSS / UN Agencies / NGOs / CBOs;
6. Community Engagement and Community-Driven Initiatives;
7. Mainstreaming of Gender, Environment and HIV/AIDS;
8. Build Capacities for development;
9. Duration of 18-36 Months;
10. Funding level of USD 500,000 to USD 3,000,000.

Note that the proposed durations and funding levels are benchmarks; the SRF Steering Committee may decide there is need for flexibility at either the upper or lower thresholds.

As defined in the TOR for the SRF-SS, decision making over SRF-SS prioritization and allocations will lie with the SRF-SS Steering Committee. The main facilitators for filtering clearly identifiable and fundable recovery activities, using the above criteria, will be the GOSS Budget Sector Working Groups.

Given that recovery needs will likely far exceed the initial amounts of funding available through the SRF-SS, the Steering Committee may consider a phased approach, with more limited targeted geographic and sectoral coverage in the first year, with expansion of coverage to other geographic areas and sectors in the second and third years.

The initial stages could for instance concentrate in selected pilot areas. These may be the size of a County or several identified and clustered Payams/Bomas within a County. The coordinating role of the State Governments, and under their support the County Governments, will be crucial in identifying the appropriate areas and facilitating good working relations and support to the area. In some well performing areas, large integrated area recovery programmes could be considered and supported based on well designed proposals, and a demonstrated increasing management capacity of the participating States and Counties.

Similarly, in the first year of the SRF, funds could be focused on specific clusters / sectors, at the decision of the Steering Committee, rather than the targeting the complete set of clusters and GoSS sector priorities. This will provide a sharper focus to the recovery effort, facilitate greater initial coherence, and enable the recovery initiative to be launched within an early timeframe. Expansion to additional Sector priorities will be considered in the remaining two years, again depending on performance.

As defined in the TOR for the SRF-SS, the Steering Committee will decide on the criteria and strategy for allocation of SRF-SS funds, provide strategic guidance for the identification and ranking of current priorities, and set global allocations for sectors within the available quarterly and annual funding envelopes. Allocation of funds to geographic and sectoral areas, based on pledges received, will be proposed in the form of Allocation Policy Papers, to be drafted by the Technical Secretariat, and reviewed and agreed by the Steering Committee. These Allocation Policy Papers will additionally propose breakdown of resources between categories of implementing partners (i.e., NGOs, UN agencies).

In order to ensure complementarity with other funding sources and programmes, and avoid overlap, these Allocation Policy Papers will have as background documentation analysis of other funding, activities and gaps within the sector (including funding from other fund sources from the CHF and MDTF-SS, as well as major bilaterally funded initiatives). Decision on prioritization of states and counties will also take into account distribution of other major state or county based programmes, such as for instance the Recovery and Rehabilitation Programme (RRP). Further, it will be a role of the BSWG to technically review and vet individual project proposals to ensure they are complementary with other initiatives.

## **7. IMPLEMENTATION STRATEGIES TO OPERATIONALIZE RECOVERY PRINCIPLES**

The efficiency, effectiveness and sustainability of the above priority recovery interventions will depend to a large degree on how they are implemented. In order to

operationalize the principles noted earlier in this paper, the SRF-SS will adopt the following implementation strategies that are considered particularly significant to ensuring successful returns on the recovery investment. Note that these implementation strategies are intended as principles to guide project formulation, however the ultimate decisions on how to implement them will be taken by the Steering Committee.

These implementing strategies could be funded, when necessary, by the SRF-SS as distinct projects, and their aim will be to ensure that all recovery initiatives undertaken will be manageable and sustainable through sufficient build up of capacities to carry them forward into development. These implementing strategies are highlighted here as a guidance for how the critical projects that will support them will need to be carried out.

i. **Strengthening National Ownership and Utilizing National Capacities For Recovery:**

- If recovery activities are to make an early but sustainable impact on people's lives, they need to be led and efficiently planned, coordinated, managed and implemented by Government. The most critical challenge is the actual delivery of recovery services and interventions with a 'sense of urgency' and continuity. Up to the present, however, more than 60% of all basic services are being delivered by non-governmental actors. While this support will remain crucial for some time, it is essential that capacities at all levels of Government are enhanced to assume these roles and responsibilities.
- As noted by donors: *"While it is recognized that non-state delivery is probably necessary in the interim period, it ultimately detracts from national state building capacity in the longer run, if there is no clear exit strategy or transition to Government ownership. Any strategy will therefore need to outline the mechanisms and time-frame and means by which state capacity is enhanced."*<sup>5</sup>
- GOSS is committed to building these capacities by focusing sharply on achieving quick results through the most efficient systems of administration of recovery planning and implementation, as distinct from capacity building for longer term development. The SRF-SS will facilitate this process through the provision of technical advisory services on a timely and as needed basis.
- The SRF-SS could make available – both through the SRF Technical Secretariat, although principally through projects supported through the Fund – technical advisors, both national and international, to provide both management and technical advice and training as the specific needs become clear at all levels of Government.
- In particular, while service delivery to communities is the responsibility of the State and County Ministries and Technical Departments, performance of these service departments has been low due to poor infrastructure and inadequate human resources. Nonetheless, their mandates are clear and there is need to build their capacities while immediate services are provided. Initiatives supported through the SRF-SS could be tailored to review of current capacities to determine which and how selected quick-recovery interventions and delivery systems could be implemented while routine services are building up. Such initiatives could, for instance, also provide training in skills to enable State technical services to impart similar planning, coordination, management and technical capacities for recovery to the Counties.
- Special emphasis will be given to effective coordination of all actors, and management of partnerships for early results. Technical assistance through project initiatives could therefore be aimed at enhancing governmental capacities at State and County levels for leading and facilitating the recovery process, through enhancing capacities for partnership coordination and management.
- Additionally, local government could be facilitated to work with international partners to build the recovery capacities of local NGOs/CBOs who must interface directly with the communities. A priority programme initiative to be supported through the SRF-SS would be the capacity building and training of local NGOs and CBOs in management

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<sup>5</sup> 'Transitioning from Emergency Relief in Southern Sudan' by Joanne Raisin, DFID Sudan.

and technical skills relevant to quick recovery initiatives. Projects funded through the SRF-SS could additionally involve NGO Consortia, whereby an international NGO heading the consortia will guide and mentor the local NGOs/CBOs.

ii. **Community-Centered Approach: Community Engagement & Empowerment In Recovery:**

- The recovery process will engage the people as active partners rather than as passive recipients of top down service delivery. Community people will share their ideas for the effective delivery of services and other interventions, and will facilitate achievement of results.
- Beyond this important partnership role, however, the people who have been marginalized for so long need an opportunity to build their confidence to gradually lead their own recovery and development efforts. They have a need to take initiatives that demonstrate their own capacities and responsibilities, to pursue development in their own sustainable way, and to gain a sense of ownership in building their future with continued Government support. The people in this manner will contribute directly to the achievement of GOSS priorities based on sound local wisdom and knowledge and a buildup of skills.
- The SRF-SS provides a unique opportunity to enable people to do this. Empowered by such a community-driven recovery and development process, people will feel a part of the wider challenge of building a more secure and prosperous Southern Sudan and contributing to its peace.
- The process will not create an impediment to service delivery. On the contrary, besides facilitating Government/partner delivery of services at the earliest stage, the communities will supplement these efforts with their own "community delivery" of activities critical to their everyday lives.
- Accordingly, projects should be prioritized that support community engagement and empowerment, including engagement and trust building with traditional leaders, supporting communities to organize, undertaking participatory rapid appraisal processes, and community monitoring. Existing models of community participation, including existing NGO supported programmes, the UNIFEF Integrated Community Recovery and Development (ICRD) strategy, and the NGO-executed Recovery and Rehabilitation Programme (RRP), can be used as a base of experience and lessons. Community Development Committees (CDCs), which are in the process of being established according to the Local Governance Act (draft) will play a key role in mobilizing the communities for the community driven development projects.
- The participating communities, following many years of trauma and isolation, are without any meaningful resources to initiate small recovery or development activities. In order to catalyze their efforts, a small grant window, or Quick Impact Facility (QIF), could potentially be set up, to support recovery-type projects identified by communities and managed by Consortia of NGOs in partnership with local NGOs and CBOs. In this manner and as noted, communities will actually realize their own self-reliant "delivery" of quick recovery activities. Such QIFs should be supported by Consortia of local NGOs/CBOs under leadership of a larger national or international NGO.

iii. **Mainstreaming Conflict Prevention and Risk Reduction:**

- In order to ensure that the recovery process is also used as an opportunity to build a more sustainable peace, a conflict prevention mainstreaming approach will be utilized in the project formulation, appraisal and implementation process. A technical advisor on peace and development will be attached to the SRF-SS Technical Secretariat for this purpose. An operational note on mainstreaming of conflict prevention within the SRF-SS will be prepared, based on a customization of existing tools and processes for conflict mainstreaming. Additionally, customized trainings will be provided to implementing partners on conflict sensitive approaches to planning, implementation and monitoring.

- Furthermore, disaster risks will be considered as an essential part of the appraisal process of projects to be supported by the fund, in order to support the further transformation from a response and relief environment toward a risk reduction culture. This support will seek to operate at decentralized levels, so that local Governments and partners in the formulation of initiatives will be better positioned to assess disaster risks; in areas subject to specific hazards such as floods as well, technical assistance could also be provided to implementing partners to help build community resilience and their capacity to identify and manage risk.
- iv. **Promoting Gender Equality:**
- While specific gender related initiatives may be supported as projects within the SRF, gender sensitivity and empowerment will also be a cross-cutting issue, and will be one of the selection criteria for projects to be supported to the fund. As is the case with conflict mainstreaming above, the technical secretariat will include technical capacities on gender mainstreaming, in order to assist with project formulation, appraisal and monitoring.
- v. **Transparency and Accountability:**
- In addition to the monitoring and reporting mechanisms defined in the SRF-SS TOR, a number of complementary initiatives will be supported in order to ensure, not only transparency and accountability to GOSS and donors, but to local governments and beneficiary communities. Projects funded through the SRF-SS may be required, for example, and depending on the nature of the project, to put in place community level accountability mechanisms, such as complaint registers or other feedback mechanisms, where members of the community can provide feedback. Community participation will be essential at all stages of the project implementation cycle to ensure this “downward accountability”.
  - In order to ensure that the recovery services and interventions are effectively delivered to people in the pilot areas, and that early results in terms of benefits are realized, the SRF-TS will organize regular and frequent field visits to the pilot areas. Key GOSS, State/County, UN, NGO and Donor representative will be invited to participate in these visits, out of which specific recommendations for follow up actions to enhance delivery will be reported for wide circulation by the SRF-TS for follow up review and affirmation in the next round of visits.
  - In addition, application of the recovery principles outlined above (such as national capacity strengthening, efficacy of the community centered approaches applied, conflict mainstreaming, gender equality) will be areas for assessment by the monitoring and evaluation framework for the fund as a whole.

**Annex I: Potential / Indicative Recovery Activities resulting from GoSS Consultative Meeting, Mapped against GoSS Sector Objectives:**

<b>SECTORS</b>	<b>GOSS SECTOR OBJECTIVES</b>	<b>INDICATIVE TYPES OF RECOVERY ACTIVITY</b>
Security	<ul style="list-style-type: none"> <li>• Safeguard peace and security with an effective and efficient armed forces;</li> <li>• Free Southern Sudan and transitional areas from Land Mines and explosive remnants of war</li> <li>• Effective disarmament, demobilization, and reintegration of ex-combatants</li> </ul>	<ul style="list-style-type: none"> <li>• Demining: Enhancing the capacities of local NGOs to assist and facilitate demining campaigns; Rehabilitation and vocational training of mine victims</li> <li>• Support to community security and arms control</li> </ul>
Rule of Law	<ul style="list-style-type: none"> <li>• Build and sustain efficient and effective accountable institutions, which promote and guarantee access to justice for all, and protect human rights for all in Southern Sudan</li> </ul>	<ul style="list-style-type: none"> <li>• Support for livelihoods and vocational training at prisons</li> </ul>
Public Administration	<ul style="list-style-type: none"> <li>• Establish functional and viable systems and structures of government, through which the people can be effectively and efficiently served and developed</li> <li>• Establish strong, inclusive policies, systems and oversight that foster responsive, transparent and accountable public administration at all levels of government</li> <li>• To promote the exercise of good governance</li> </ul>	<ul style="list-style-type: none"> <li>• Building capacities of governance systems, especially at the County level</li> </ul>
Accountability	<ul style="list-style-type: none"> <li>• Ensure the government is accountable to the people of Southern Sudan:</li> <li>• Mobilise and manage resources efficiently and allocate them equitably for sustainable service delivery and socio-economic development</li> <li>• Ensure timely accountability, transparency and zero tolerance to corruption</li> <li>• Ensure the public access to information in a timely manner on the use of public resources</li> </ul>	<ul style="list-style-type: none"> <li>• Support for initiatives related to enhancing interaction of communities and government, and linking of community participation into government planning systems</li> </ul>
Infrastructure	<ul style="list-style-type: none"> <li>• Rehabilitate and provide infrastructure to stimulate investment, leading to poverty reduction and enhanced economic growth</li> </ul>	<ul style="list-style-type: none"> <li>• High priority access roads projects, not targeted by other funds, to increase accessibility in pilot areas: <ul style="list-style-type: none"> <li>◦ Clearing and rehabilitation of small feeder roads to markets</li> </ul> </li> <li>• Alternative energy sources for communities, such as: <ul style="list-style-type: none"> <li>◦ Solar energy equipment</li> <li>◦ Etc.</li> </ul> </li> </ul>
Natural Resources and Rural Development	<ul style="list-style-type: none"> <li>• To improve livelihoods and income, and ensure food security for all the people of Southern Sudan, through sustainable use of natural resources and the environment</li> <li>• To increase access to land, safe water and improved sanitation for all</li> </ul>	<ul style="list-style-type: none"> <li>• Build capacities of communities to resolve disputes over natural resources, e.g. land, cattle, etc.</li> <li>• Urgent supply of 'Input Packages' ( seeds, tools, etc.) for returnees, to support their efforts to restart agricultural production and earn income. To include: <ul style="list-style-type: none"> <li>◦ Training: capacity building for leadership and self-reliance, and to change attitudes to become more open to innovations for agriculture</li> <li>◦ Agro-Processing and Marketing: focus on support to quick processing technologies</li> <li>◦ Capacity building linking local indigenous knowledge to new</li> </ul> </li> </ul>

SECTORS	GOSS SECTOR OBJECTIVES	INDICATIVE TYPES OF RECOVERY ACTIVITY
		<ul style="list-style-type: none"> <li>scientific-based information/approaches <ul style="list-style-type: none"> <li>o Integration of package supply with other relevant activities (e.g. rural water), and the coordination of all actors</li> </ul> </li> <li>• Economic recovery at the community level in the form of livelihoods initiatives, aimed at improving people's skill levels and employment opportunities (e.g. by means of life skills training, vocational training or on-the-job training), especially for the benefit of women-headed households</li> <li>• Water supply; Provision of water supply to prevent local conflict</li> <li>• Developing local craft industries</li> </ul>
Economic Functions	<ul style="list-style-type: none"> <li>• To balance and accelerate the balanced and sustainable economic development of Southern Sudan, with clearly delineated roles for the public and private sectors</li> <li>• To provide the citizens with the necessary tools, infrastructure and information to participate effectively in political and economic development</li> </ul>	<ul style="list-style-type: none"> <li>• Support to micro, small, and medium sized enterprises</li> </ul>
Education	<ul style="list-style-type: none"> <li>• Promote equitable access and deliver quality education services for sustainable development</li> </ul>	<ul style="list-style-type: none"> <li>• Bridging support to ensure maintenance of educational services from humanitarian assistance through to full scale education systems development through MDTF</li> <li>• Initiatives around education systems and service delivery, not excluding community driven initiatives to renovate learning spaces</li> </ul>
Health	<ul style="list-style-type: none"> <li>• Establish and maintain a decentralized, accessible, affordable and quality health system based on primary healthcare, to improve the health status of people in Southern Sudan</li> <li>• Establish and strengthen mechanisms and institutions for scale-up response against HIV spread and Aids impact mitigation in Southern Sudan</li> </ul>	<ul style="list-style-type: none"> <li>• Bridging support to ensure maintenance of health services from humanitarian assistance through to full scale health systems development (through MDTF), including provision of medicines, basic training of health workers and contracting out of health services;</li> <li>• Provision of comprehensive health services in returnee areas</li> <li>• Provision of Long Lasting Insecticide Treated Bed Nets, essential medicines and vaccine supplies;</li> <li>• Capacity building of County Health Departments and strengthening of health systems</li> <li>• Training of mid-level health staff; eg. clinical officers and midwives</li> <li>• Mainstreaming of HIV awareness into projects</li> </ul>
Social and Humanitarian Affairs	<ul style="list-style-type: none"> <li>• Build a society that is inclusive, equitable and peaceful</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity building of communities for conflict resolution</li> <li>• Complementary support to formal Disarmament, Demobilization, Reintegration (DDR) process <ul style="list-style-type: none"> <li>o Awareness and motivation campaigns for ex-combatants</li> <li>o Vocational skill training for those who have disarmed</li> </ul> </li> <li>• Monitoring and assessing conflict risk</li> <li>• Women's participation in recovery</li> <li>• Vocational training for youth</li> <li>• Priority in all recovery to the special needs of the vulnerable groups, i.e. landmine victims, disabled veterans, etc.</li> </ul>