

Elements of the Resilience Results Framework.

VISION: A thriving dry lands economy with broad, resilient, sustainable, inclusive growth and improved health and well-being in the drylands of East Africa.

1. Resilience Programme Components.

Fourteen Intermediate Results (IR) are arranged around three objectives. The arrangement of IRs and objectives in the framework demonstrates that in addition to the hierarchical relationship between IRs, objectives and intermediate and top line goal, relationships exist between objectives and many IRs contribute to multiple objectives.

Each IR and Objective includes the concept of contributing to the goal of inclusive growth for populations combined with the concept of this growth being resilient. As the USAID and partners contribution to inclusive growth takes place in an environment where shocks (small, medium and large covariate shocks and idiosyncratic shocks) are a constant feature then it is essential that progress is resilient to the negative impacts of these shocks and stresses. Therefore, almost all IRs and objectives include a focus on a sustained,

viable, reliable or secure result of the activities contributing to that IR and objective. In this context this idea encapsulates the issue of sustainability but also includes resilience of the activities to shocks and stresses.

During the recent drought related crisis in Ethiopia partners found that increased access to financial services in an extremely vulnerable area and population resulted in increased resilience capacities yet when the crisis reached its peak the crisis environment accentuated administrative bottlenecks within the financial services mechanism developed with support of the USAID partner. The result was that at the peak of the shocks' impact on people's financial resilience access to financial services were no longer available. Based on this lesson learnt approaches are now being developed to ensure that as well as increasing access to financial services this access is also secure during any future shocks.

Objective 1. – Expanded and Viable Economic Opportunities.

USAID and its partners expand viable economic opportunities by supporting the development of **diversified**, and **intensified** livelihood opportunities to achieve sustainable and viable improvements in income, food insecurity, accumulation of assets and capacity to absorb and adapt to shocks and stresses. As a result USAID and its partners contribute to increased and sustained economic well-being. In a context where livelihoods in the arid lands are in an accelerating transition process, rural urban linkages, youth aspirations and women's empowerment issues need to be taken into account

in the balance of effort dedicated to support diversification and intensification of livelihood opportunities. A mix of efforts to support livelihoods that ensure flexibility in the advent of shocks and a range of risk informed options are necessary to promote resilient economic growth.

IR 1.1. Diversified, sustainable and resilient economic opportunities.

Diversifying livelihood options provide new sources of income and livelihood. For those with limited or no access to livestock or productive land these options provide a critical source of income and livelihoods thereby also increasing resilience capacity. For those with access to productive land and/or livestock diversifying livelihoods provide additional income and livelihoods to complement existing ones, allowing further diversification or reinvestment into existing livelihoods, thereby also increasing resilience capacity.

Many vulnerable households rely heavily on local labour opportunities for income. Supply and demand for labour is often climate sensitive e.g. harvest seasons cause high labour demand just when casual workers need to work on their own small scale harvest activities. On the other hand drought can result in very low farm related labour demand just at the moment when the most vulnerable urgently need casual labour income.

Ensuring diversified livelihoods include options that are less susceptible to climatic variability, drought and other significant sources of livelihood shock e.g. insecurity, will reduce the covariate risks of vulnerable communities relying on the same limited set of climate sensitive economic activities. Efforts to aid diversification of livelihood options should be context specific and aware of the enabling environment to take advantage of selected livelihood options. Diverse livelihood options, including less climate sensitive options, ensure increasing economic well-being is resilient and sustainable.

- **IR 1.2.** Intensified sustainable and resilient agricultural/livestock production and marketing.

Supporting the development of high potential livestock and crop value chains provide the foundation to **intensify** the positive contributions of agriculture and livestock to livelihoods. Expanded livestock and crop based economic opportunities for women and men are linked to approaches to improve access and management of multi-use water resources and contribute to the empowerment of women.

Women spend considerable time collecting water, improving sustainable access (in all seasons and throughout water related shocks) to multi-use water will empower women and contribute to the health, nutrition and economic status of their households and communities.

Ensuring that the selected value chains are developed using a **risk informed and shock responsive** approach ensure resilient and sustainable increases in economic well-being.

- **IR 1.3.** Increased and secure access to financial services.

Facilitating improved and secure access to financial services will provide the capital needed to actively contribute to intensified and diversified livelihood options described above.

Access to services including savings, credit, money transfer and insurance services allow populations, including the most vulnerable and with particular attention to women, provide households with more flexibility and options to absorb and adapt to idiosyncratic shocks such as illness in the household and reduce the risks of migration and urbanization. Reliable and secure access to these services even in the midst of a livelihood shock will further promote resilience of improvements in economic well-being.

➤ **IR 1.4.** Increased and secure access to market infrastructure (physical).

Improved physical market infrastructure such as roads and telecommunications are a critical part of the enabling environment to promote increasing economic well-being whilst at the same time contributing to transformation of the resilience capacities of households, communities and systems.

Objective 2. – Strengthened Institutions, Systems and Governance.

Facilitating development of effective and inclusive leadership and governance mechanisms and institutions, in particular for the management of natural resources, conflict, and safety nets and disaster risk contributes to improving economic well-being. Collaborative action through the use of a complementary balance in the roles and responsibilities of state, non-state actors and communities (civil society and community organisations) further contributes to this development process as well as helps to develop the resilience of the systems themselves.

Ensuring that the capacity to flexibly lead, govern and manage changing conditions and learning about what works in a changeable environment are an integral part of strategies used to develop capacity to lead and govern, at all levels, and will ensure resilient economic development processes.

➤ **IR 2.1.** Strengthened and sustained natural resource management.

Strengthening the capacity of communities, civil society and government in natural resource management (NRM). Facilitating the secure and equitable access to natural resources further expands economic well-being and links to objective 1. Inclusive and equitable NRM also contributes to IR 2.3. in reducing the drivers of conflict and increasing the incentives for collaboration.

NRM plans and capacity strengthening activities that include flexibility in the face of shocks, and capacity to learn about how to effectively manage natural resources will ensure that NRM approaches are resilient.

➤ **IR 2.2.** Strengthened disaster risk management.

Facilitating the development of disaster risk management plans at community and local level and strengthening the early warning and response capacity of local community and Government institutions will build the resilience capacities of households, communities and systems. These DRM systems link with IR 2.1. and IR 2.3. because climatic and non-climatic shocks are a major driver of conflict and strengthened NRM contributes to reducing the drivers of conflict, itself a common shock in the arid lands in East Africa..

➤ **IR 2.3.** Strengthened conflict management.

Strengthening the capacity of community based governance systems, civil society and government institutions to resolve conflicts, address grievances and reduce resource based conflict through development and implementation of conflict management plans. Effective conflict management will contribute to conditions for accelerated economic growth.

➤ **IR 2.4.** Strengthened institutional capacity and systems.

Strengthened local and national government institutions are essential for the leadership and governance of efforts by state and non-state actors contributing to all 3 objectives and associated IRs in the Resilience Results Framework. Equally leadership and government components of all IRs in the framework contribute to this IR.

➤ **IR 2.5.** Reliable Safety Nets.

Objective 3. – Improved and Sustained Human Capital.

Increased economic well-being (objective 1) and strengthened leadership and governance systems (objective 2) will result in improved human capital including increased availability, access and utilization of health, educational and WASH services. Equally, improved human capital contributes to objective 1 and 2. Support to access to and utilization of services which include approaches to reduce variability, as a result of stresses and shocks, in availability, access and utilization of health, education and WASH services will ensure that improvements in human capital are sustainable and contribute to resilient growth.

- **IR 3.1.** Increased & sustained availability, access and utilization of health services.
- **IR 3.2.** Improved and sustained Health, Nutrition and Hygiene Practices.
- **IR 3.3.** Improved & secure vocational skills (Workforce).
- **IR 3.4.** Improved and sustained educational attainment.
- **IR 3.5.** Increased and sustained availability, access and utilization of WASH service

2. Risk Informed and Shock Responsive Programming.

The resilience framework explicitly recognises that shocks and stresses are a persistent feature of the Arid Lands of East Africa. The resilience approach represents a move away from a focus on rare mega-crises to a recognition that chronic smaller scale shocks and stresses are keeping communities locked in a chronic cycle of poverty. Idiosyncratic shocks such as a death or illness in the family and covariate shocks affecting a group of households or larger wider geographical area e.g. droughts, floods, conflict, market disruptions and price peaks are examples of an environment of chronic variability and change. In many cases the constant variability and changes/transitions in livelihoods in the Arid Lands as a result of shocks and stresses is the defining feature of the context in the areas of East Africa targeted by the resilience approach. Including context specific risk informed and shock responsive approaches in the analysis, planning and implementation for each of the IRs and objectives described above is one of the key features of USAID Resilience approaches.

2.1. Risk Informed Programming.

A joint analysis of shocks and stresses and their related risks is an essential first step in risk informed programming. An understanding of context specific shocks then leads to including processes to prepare, prevent, respond and recover from the impact of the shocks into the planning and implementation of resilience activities across humanitarian and development programming. Risk informed programming recognises the perennial nature of shocks and in many cases the predictability of these shocks. Examples of risk informed humanitarian aid include optimum timing of distribution of additional resources to vulnerable communities based on an analysis of the timing of risks of predictable shocks such as floods, peaks in disease incidence or undernutrition or climate related conflict. Embedding humanitarian aid into wider resilience and development approaches can also contribute to resilience. For example embedding triggers for short term increases in direct assistance for livestock health issues into a development approach to intensifying livestock value chains can contribute to improved, resilient and sustained economic opportunities. Risk informed development programming is an essential feature of IRs for DRR, conflict management, NRM and safety nets and can also be applied across all of the IRs in the resilience framework.

2.2. Shock Responsive Programming.

As a defining feature of the arid lands shocks to livelihoods, health and well-being are constant and vary in intensity, scale and duration. Communities and systems in the arid lands are in the process of becoming more resilient and risk informed programming can help to build resilience capacities to predictable shocks but during this process some shocks will overwhelm capacities. Without direct assistance to respond and protect existing resilience capacities progress made in developing resilience capacities will be slowed or even reversed. Ensuring that the resilience approach has the flexibility to respond to the needs of communities and systems when their capacity is overwhelmed is therefore an essential component of a resilience approach. Whilst the timing of the need for shock responsive programming may not always be predictable it is essential that both humanitarian and development programming use a joint analysis of shocks and risks of capacities being overwhelmed and include approaches to respond to needs and protect resilience gains as an integral part of the planning and

implementation of programming for resilience in both development and humanitarian programming and their linkages.

2.3. Collaborative Action.

By working together better, USAID partners, activities, processes, and structures will increase the resilience of chronically vulnerable individuals, households, communities and systems. The assumption also suggests that **collaborative action** will result in a synergistic impact on resilience capacities. **Sequencing, layering and integration** is an operational expression of how collaborative action might be achieved.

The essentials of collaborative action for resilience starts with joint analysis and planning. Collaborative action should consider opportunities to sequence, layer and integrate interventions, funding streams and humanitarian and development programming as discussed above in the discussion on shock responsive programming. **Sequencing** describes the concept of the development of resilience capacities being a dynamic process where progress involves changes in the focus for support as the resilience capacities increase (or decrease) and the context and environment changes. Sequencing of development interventions and funding streams can also be linked to sequencing of humanitarian interventions and funding streams either as part of a continuum from emergency to development or as a shock responsive or risk informed humanitarian contribution to protecting livelihoods and lives. **Layering** describes the concept of the development of resilience capacities requiring a wide range and multiple layers of intervention and support. No one intervention or funding stream is capable to deal with the system wide issues related to resilience capacities. Based on the joint analysis layering involves targeting the same people and communities with several complementary interventions using the resilience approach. **Integration** represents the concept of bringing the components of a resilience approach together to more effectively and efficiently achieve the vision and objectives of the resilience approach.

3. Resilience Capacities

USAID views resilience in the face of recurrent crises as: the ability of people, households, communities, countries and systems to mitigate, adapt to and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth.

The ability or capacity to absorb and cope with shocks and stresses is described as **absorptive capacity**. For instance a household may temporarily reduce their number of meals per day to absorb the impact of a price shock on their income. **Adaptive capacity** is the ability of a person, household or system to adapt its behaviours or usual way of doing things as a response to shocks and stresses. For example using climate information to decide when to plant crops is an adaptive response to increasing variability in the climate. **Transformative capacity** involves the ability to fundamentally change the system. For example a farmer who migrates to an urban environment as a result of the climate stresses and shocks experienced in the arid land has transformed his livelihood. The three descriptions of resilience capacities are not mutually exclusive and can be happening at the same time, progress from one to the other and reinforce or weaken each other.

3.1. Resilience Capacities – Structures and Processes.

Structures and processes include informal and formal institutions that enable or inhibit development and resilience capacities. Governments at all levels, civil society, religious institutions, community customs, social norms, informal/traditional governance structures and policies and laws are all examples of structures and processes. In the case of the USAID support to development of resilience capacities **Objective 2 - Strengthened Institutions and Governance (formal and Informal)** summarizes some of the areas where USAID support to structure and processes is concentrated.

3.2. Resilience Capacities – Livelihood Assets.

Livelihood assets are tangible and intangible assets that allow individuals, households and communities to meet their basic needs. There are six assets or capitals: financial, physical, political, human, natural and social. Many assets are dependent on each other and assets can be lost, developed, improved or rebuilt. The aim of the resilience programme IRs, objectives and developing the resilience capacities of livelihood strategies, and structures and processes is to grow and improve the individual, household and communities livelihood assets. Greater and improved livelihood assets which are not resilient to shocks and stresses will increase the vulnerability and reduce the sustainability of these livelihoods. Equally, increased livelihood assets are the source of the resilience capacities discussed above.

Recent evidence from resilience programming in the arid lands of East Africa has demonstrated the importance and often intangible influence of social capital in the adaptive capacities of communities and their contribution to resilience. Social capital can be defined as being made up of three elements to describe how social capital can be seen as a social network;

- i. **Bonding social capital** – describes ties between people in similar situations
- ii. **Bridging social capital** – describes distant ties of like people such as friendships, work colleagues
- iii. **Linking social capital** – describes the development of links outside the immediate similar circumstances and people.

Evidence in resilience programming but also on a much wider scale emphasise the importance of these types of social capital in being the glue that binds the other types of livelihoods assets and adaptive capacities together. Simple examples already used in resilience and resilient development programming include market price information systems (linking) or table banking (bonding and bridging) or community development committees (linking, bonding, bridging).

4. Key Thematics.

Several themes that transcend sectors are important for a resilience and describe essential elements of how to programme for resilience.

4.1. *Collaborate, Learn and Adapt.*

The USAID Resilience approach highlights the need for learning. Learning is an essential element of resilience because the approach is new and involves learning about a process rather than an activity. Learning is also important because resilience approaches are used in areas where change is a constant characteristic of the environment and context and environment are key mediators of the outcomes and impacts of resilience approaches. Therefore, to be successful resilience approaches should be adapted to the context and environment i.e. finding local solutions to local problems. Because of the highly changeable environment learning about local solutions needs to be transferred into action using an adaptive management approach where context and change specific adaptations are made in an iterative fashion. The need for **collaboration, learning and adaptation** applies to individuals, households, communities, systems and to the USAID partners and collaborations being used to support development of resilience capacities.

4.2. *Gender, Youth and Aspirations.*

Gender is one of the most important mediators of how the context and environment interact with the resilience capacities of individuals, households and communities. For example exposure and sensitivity to a shock or stress is usually different according to gender so a context specific risk informed approach to an objective such as Objective 1 – Sustained Expanded Economic Opportunities will, require a specific analysis and adaptation of programming based on gender factors, including, but not exclusively, consideration of women’s empowerment..

Youth make up a significant proportion of the population in the arid lands and as they develop their resilience capacities they are particularly affected by the rapid and deep livelihood transitions that populations are experiencing in the arid lands. A focus on supporting their ability to build productive livelihood assets for this part of the population is assumed to have some of the most significant potential to rapidly achieve the vision of the resilience approach.

Recent research suggests that individual welfare and resilience is closely related to an individual **aspirations** for the future. Research has shown that positive aspirations are associated with greater resilience to shocks and stresses.

1. Resilience Outcome.

Increased resilience of chronically vulnerable individuals, households, communities and systems (Absorb, adapt and transform). This statement describes the ambition of the previous described elements of the framework. This outcome is then seen as the pathway through which the vision is attained.

2. Theory of Change

If we collaborate, use risk informed and shock responsive approaches and develop adaptive capacity in supporting community collective actions then resilience will be developed resulting in sustained reductions in humanitarian assistance needs, prevalence/depth of poverty, household hunger and acute/chronic undernutrition. The vision summarizes the theory of change of how previously described parts of the framework will contribute to development of resilience capacities. Through the development of resilience the vision suggests that a range of positive impacts will be achieved i.e. sustained reductions in humanitarian assistance needs, prevalence/depth of poverty, household hunger and acute/chronic undernutrition. These impacts are the high level indicators for the USAID resilience approach.