

## USAID Resilience Framework for Somalia

### Why a Somalia-specific Resilience Framework?

The 2010-2011 drought in the Horn of Africa impacted all countries in the region; however, Somalia was the most affected with resulting famine and severe food insecurity that took the lives of an estimated 258,000 people. The 2011-2012 famine in Somalia resulted in a collective recognition that treating the protracted and complex crisis in Somalia as a series of recurrent acute emergencies was not an appropriate approach, not to mention unsustainable and extremely costly. Somali assistance actors advocated for multi-year and multi-sectoral comprehensive approaches that not only addressed urgent needs, but also enabled households, communities, and systems to better mitigate and manage recurrent shocks. Somali assistance actors also recognized the need to fundamentally change the way that humanitarian and development institutional processes work to better jointly analyze, set objectives, plan, design activities and learn about what works in the complex Somali context. *This USAID Resilience Framework for Somalia will illustrate the benefits that can be achieved through a collaborative and comprehensive approach to USAID humanitarian and development support to Somalis.*

Somalia is one of the eight USAID resilience focus countries. At present, the USAID portfolio in Somalia consists of roughly 60 percent humanitarian and 40 percent development funding, including three multi-year resilience programs jointly funded by USAID's humanitarian and development offices. The jointly-funded resilience programs, valued at \$13.5 million in total, will come to an end in September 2017. *This USAID Resilience Framework for Somalia will lay the foundation for USAID's potential future resilience investments in Somalia.*

From 2012-2016, the USAID Horn of Africa Resilience Network (HoRN) was guided by a Regional Resilience Framework 1.0 which guided regional resilience investments. Informed by evidence and learning over the last four years and as a demand driven product, the Regional Resilience Framework 2.0 (RRF 2.0) was developed and will serve as a common reference for resilience efforts throughout the region. During the process of consultation for the development of the RRF 2.0, USAID Somalia team requested support to adapt the new regional framework to reflect the unique circumstances in Somalia and build on the current USAID Somalia resilience programs' lessons learned and work of other USAID and international partner investments in Somalia. *This USAID Resilience Framework for Somalia will build upon on the RRF 2.0, articulating for both USAID and its partners the unique challenges and opportunities of the Somali context.*

### Resilience and the USAID Strategy in Somalia

The overarching goal of the USAID Strategic Framework for Somalia (2017-2019) is to **build durable foundations for a more stable, democratic and prosperous Somalia**. The strategy highlights the need to explore further possibilities for layering, sequencing and integrating humanitarian and development efforts using a resilience lens across the emergency, humanitarian and development portfolio.

Somalia is an environment often defined by complex and compound risks, including climatic shocks, conflict and fragility. The World Bank's Natural Hotspots Study identified 43 percent of Somalia's land area as being exposed to flooding and droughts. Fifty-four percent of the population is highly exposed to extreme weather and natural risks. Drought not only imposes costs on individuals but undermines the economic growth of the country. The impact of these events is amplified by extreme chronic levels of

poverty and conflict and insecurity, which work together to create a latent risk of catastrophe as was evident in 2011. Currently, Somalia is ranked 165th out of 170 countries on its human development index. Nearly 40 percent of the population or five million people are still classified as a humanitarian caseload.

As a complement to the USAID Strategic Framework for Somalia, this USAID Resilience Framework for Somalia will describe the recurrent shocks and stresses, coupled with significant vulnerability, that have the potential to impact the implementation and achievements of USAID's investments in Somalia.

### **Building on USAID Agency-wide Resilience Guidance**

While the RRF 2.0 serves as an immediate reference point for this USAID Resilience Framework for Somalia, the Somalia Framework is also informed by the range of agency-wide guidance on resilience.

Both the agency wide guidance on resilience<sup>1</sup> and the RRF 2.0 emphasize USAID's commitment to ensure that humanitarian and development assistance are well coordinated throughout planning, project design, procurement and learning. Through this collaboration USAID *“aims to identify ways for our humanitarian assistance to seek out more opportunities to reduce vulnerability and lay the foundation for longer term development while continuing its primary focus on saving lives and for our development assistance to undertake longer-term programming in chronically vulnerable communities and be sufficiently flexible in higher risk areas as a means to build resilience and facilitate inclusive growth.”*

The USAID Resilience Framework for Somalia adopts the Agenda for Operational Change defined in the USAID Policy and Program Guidance to build on opportunities to use a resilience lens to further develop collaboration between humanitarian and development action.

### **Agenda for Operational Change.<sup>2</sup>**

- ✓ **Joint problem analysis and objective setting** so the USAID Somalia team and partners have a common understanding of the underlying causes of recurrent crisis and strategies to develop Somali resilience to these crises.
- ✓ **Intensified, coordinated strategic planning around resilience** to ensure that risks, vulnerabilities and adaptive capacities are jointly recognized and taken into account by humanitarian and development assistance defining long term investments to develop resilience.
- ✓ **Mutually informed project designs and procurements** to enable the layering, sequencing and integration of the USAID Somalia team and partner's assistance.
- ✓ **Robust learning** so the USAID Somalia team, partners and Somali communities can learn about context specific solutions to absorb, adapt and transform livelihoods.

### **Supporting Somali Government Focus on Resilience**

In 2016 the Somalia Federal Government developed the first National Development Plan (SNDP) in 30 years<sup>3</sup>. The Resilience Chapter entitled “Building Resilience Capacity” is a critical pillar of the document that promotes a shift from a reactive approach to a proactive one ensuring that developmental actions are risk informed. The issues of the Resilience Chapter cut across the priorities and strategies of all the

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<sup>1</sup> Building Resilience to Recurrent Crisis, USAID Policy and Program Guidance, December 2012.

<sup>2</sup> *ibid*

<sup>3</sup> The Somalia National Development Plan (SNDP) – Towards Recovery, Democracy and Prosperity, 2017 – 2019.

other SNDP chapters. USAID's contribution to the SNDP is described in the USAID Strategic Framework for Somalia Development Hypothesis which strongly emphasizes the need to strengthen state-society relations through more effective, participatory and accountable governance institutions.

**USAID Strategic Framework  
Development Hypothesis.**  
Inclusive governance, improved social service delivery and economic growth are critical factors in solidifying Somalia's trajectory towards a more stable, cohesive, democratic and prosperous nation.

The USAID Resilience Framework for Somalia will contribute to the USAID support of the objectives of the SNDP by providing a framework to facilitate collaboration between USAID and partners humanitarian and development actions. The resilience framework encourages using a risk informed and shock responsive approach to USAID's support to the SNDP.

As discussed above the 2011 famine prompted paradigm shift in approach to humanitarian and development aid in Somalia was a collective shift involving the Government and their development partners. As a result USAID

resilience approaches as described in this framework aim to link with other development partners resilience actions in Somalia.

**Agenda for Operational Change for USAID Somalia Resilience Activities**

**1. JOINT PROBLEM ANALYSIS**

To better coordinate, collaborate and increase efficiency and effectiveness of programs, the USAID Somalia team and partners will ensure that humanitarian and development assistance programs are informed by the same problem analysis and use this joint analysis to define joint objectives for their programs. This coordinated, complementary and joint evidence based analysis will then be used to inform joint strategic planning efforts.

**2. COORDINATED STRATEGIC PLANNING**

Through a joint understanding of risks, vulnerability and capacities USAID Somalia team will coordinate strategic planning across mechanisms. In this way humanitarian assistance will develop a stronger focus on reducing vulnerability and development assistance will ensure that gains achieved during humanitarian response are consolidated and sustained.

**3. MUTUALLY INFORMED PROJECT DESIGNS**

A joint problem analysis and coordinated strategic planning will make it possible for project designs to be better adapted to the context, taking into account the effects of recurrent shocks on project objectives. Mutually informed project design will also facilitate linking of activities and projects though consideration of how activities might be best sequenced, layered and integrated to promote a dynamic interdependent set of activities that deliver durable growth.

**4. ROBUST LEARNING**

The USAID Somalia team and partners will use strong monitoring, evaluation and learning agendas. The learning agenda will ensure that programs learn what works to build resilience. They will also allow interventions to respond to the dynamic shock context thereby allowing activities to adapt to real conditions and build on what works. Fostering a collaborative approach to learning will allow innovations to scale up and scale out and contribute to avoidance of negative consequences of program investments.

**Resilience in USAID Strategic Framework.**

The USAID Somalia Strategic Framework identifies three primary objectives to guide investments over the 2016-19:

- Transition Objective 1:** Systems and Processes that Enable Inclusive Governance Strengthened,
- Transition Objective 2:** Service Delivery Improved,
- Transition Objective 3:** Inclusive Economic Growth Expanded.

The objective of the USAID Resilience Framework for Somalia is to demonstrate how a resilience approach can be woven into the strategic framework guided by the agency-wide resilience policy and guidance and RRF 2.0.

The RRF 2.0 resilience objectives and intermediate objectives closely mirror the USAID Somalia objectives:

- Objective 1:** Expanded and Viable Economic Opportunities.
- Objective 2.** Strengthened Institutions and Governance (Formal and Informal).
- Objective 3:** Improved and Sustained Human Capital.

The achievement of the transitional objectives is predicated on security, ongoing political commitment on the part of state actors and citizens’ perceptions of the legitimacy of their governing institutions. The foundations required for political stability, sustainable growth and poverty reduction include inclusive political institutions that ensure the accountability, responsiveness and legitimacy of the state; economic institutions that encourage creative individual initiative, efficient mobilization of labor, public/private partnerships, and the allocation of resources to their most productive uses; and education and health service institutions that expand all Somalis’ abilities and opportunities to contribute to and benefit from development progress and to counter violent

*extremism.*

The USAID Somalia Resilience Approach entails applying two key overarching principals to ongoing Development and Humanitarian objectives. USAID Somalia and partners contribution to building durable foundations for a more stable, democratic and prosperous Somalia 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 this transition is resilient to the negative impacts of these shocks and stresses. Therefore, all actions need to be **risk informed**<sup>4</sup> and **shock responsive**.

**Risk Informed Programming.**

Risk Informed programming is programming that reduces risk, including possible impacts of shocks and stressors on individuals well-being, their communities and systems, contributing to resilient development, by addressing root causes and drivers of risk, including vulnerabilities and lack of capacities.

<sup>4</sup> Regional United Nations Development Group (R-UNDG), Eastern and Southern (ESA) and Western and Central Africa (WCA), Strategic Framework to Support Resilient Development in Africa (Final Draft)

Secondly as discussed above the USAID Somalia resilience approach intends to operationalize its commitment to strategically coordinate its humanitarian response and longer term development assistance. Both humanitarian and development assistance intervene in most if not all of the areas described in the intermediate results, only the objectives and methods of intervention differ. A strategic collaboration between the two modalities requires humanitarian assistance to seek more opportunities to reduce vulnerability and lay the foundation for longer term development and development assistance to focus its longer term programming in chronically vulnerable communities and use intervention designs that are sufficiently flexible to build resilience and facilitate inclusive growth in a complex context of recurrent shocks.

### **USAID Development and Humanitarian Objectives.**

It should be noted that whilst USAID humanitarian objectives are different than their development objectives, FFP and OFDA actions in Somalia overlap with development actions embedded in the 3 transition objectives above. For instance OFDA and FFP support to humanitarian health and nutrition programmes overlap with USAID Somalia's overarching transitional objective of Improved Service Delivery (TO2). Other examples include USAID's Economic Growth (TO3) actions to promote climate smart technologies such as improved drought resistant seed varieties overlap with USAID humanitarian actions to protect livelihoods.

USAID uses **sequencing, layering and integrating** as an operational description of how collaborative action might be achieved. Collaborative action should consider opportunities to sequence, layer and integrate analysis, planning, interventions, funding streams and humanitarian and development programming as discussed above in the discussion on shock responsive programming.

**Sequencing, Layering and Integration.**

**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.

## **Resilience for Who and Where?**

In defining how USAID Somalia team will further apply its resilience approach the following areas of focus have been defined.

### **A. RECURRENT CRISIS**

Crisis in Somalia is characterized as being chronic and recurrent. Within Somalia evidence shows that certain places and population groups can be described as being ‘hot spots’ for risk of crisis. It can be observed that it is these areas and for these groups that there are recurrent high needs for humanitarian assistance overlaid on significant chronic vulnerabilities. USAID will focus its resilience approach on these risk hot spots.

### **B. VULNERABILITY**

Vulnerability defined in terms of chronic poverty, historic high levels of acute undernutrition, persistent highest levels of humanitarian caseloads, and highest exposure to climatic and conflict risks can also be observed to occur in geographic and demographic hot spots. USAID will focus its resilience approach on these vulnerability hot spots.

### **C. EQUITY**

In determining focus areas and groups consideration of equity is especially important in Somalia. Historical and cultural factors, as well as the impact of the chronic crisis and conflict and insecurity, have resulted in the exclusion of particularly vulnerable groups with high risks of being affected by recurrent shocks and with low adaptive capacities. Insecurity has resulted in some of the most vulnerable and high shock risk areas and groups having very limited access to humanitarian and development assistance as well as approaches to support the development of resilience. Elite capture, through mechanisms such as gatekeepers and historic institutional modalities reinforcing negative power dynamics in the delivery of assistance have often resulted in minority groups, women and groups with poor social capital being excluded from assistance mechanisms. Whilst the enabling environment may not always allow USAID assistance to reach all of these areas and groups USAID will use a consideration of equity to guide where and for who resilience interventions will be targeted.

### **D. COMPARATIVE ADVANTAGE**

In recent years a large part of USAID assistance to Somalia has been humanitarian. The resilience approach promotes collaboration between humanitarian and development assistance and will focus on areas and groups of people where USAID has the comparative advantage of having existing programs. In line with points A – C above, it is likely that as new development programs are initiated they will use existing humanitarian focus areas and groups as a starting point in decision making whilst recognizing the legislative and policy constraints of each funding mechanism.



## USAID Resilience Framework for Somali Components

### *Transition Objectives (TOs).*

#### **TO 1: Systems and Processes that Enable Inclusive Governance Strengthened.**

This transitional objective focuses on strengthening state-society relations, promoting inclusive processes and establishing governance mechanisms. As discussed above actions to address these objectives will take place within a highly volatile and complex environment where a weak social contract is a major determinant of state fragility. Therefore, applying a resilience approach involves building in a risk governance approach, at both national and sub-national levels. Establishing a resilient state-society contract will involve ensuring that actions establishing and strengthening governance mechanisms use a risk informed approach based on an analysis of the vulnerabilities and capacities of the mechanisms and how the major risks to good governance might impact on them.

#### **Sub- TO: 1.1: Create Enabling Conditions through Stabilization of Key Communities.**

The Office of Transition Initiatives aims to provide quick impact programming to provide immediate assistance and public assets in the months following successful military operations. Applying a risk informed approach to identifying, planning and implementing these projects would ensure that their impact on development dividends will be resilient. A risk informed consideration of local governance of quick impact projects, use of equitable participatory approaches to identification, implementation and governance of the projects with a particular focus on ensuring equitable access to the project outputs will considerably reinforce their impact and resilience.

USAID will follow up on these initial interventions with a consensus based community –driven approach that prioritizes equitable participation in decision making and management of projects. Through the construction and/or rehabilitation of vital community infrastructure USAID aims to build citizen confidence in governing institutions and address critical local level needs. A resilience approach would build on the participatory, consensus building approaches used by applying a risk informed lens to the selected actions. A participatory approach to examining the vulnerabilities and capacities of the concerned communities and ensuring that local solutions are found to locally identified risks will ensure that the process strengthens resilient state –society relations and governance mechanisms. These activities also contribute to the objectives of TO 2: Improve Service Delivery. As discussed above USAID Humanitarian and Development actions support the achievement of TO 2. A risk informed rehabilitation of a health clinic, for example, could ensure that staff quarters are also rehabilitated and community governance mechanisms for the clinic are established so that in times of humanitarian response human resource capacity and community support to respond to an emergency are already in place prior to the impact of the shock.

#### **Sub-TO: 1.2: Strengthen Effective, Accountable, and Representative Governance.**

Interventions in this Sub-TO will *focus on supporting core Federal Government executive functions such as intra-governmental communications and coordination, developing informed plans, policies, and legislation, and putting in place systems to improve the management of public resources. USAID will focus*

*on economic governance, including strengthening revenue management and the capacity of the Central Bank, negotiating the framework for intra-governmental fiscal arrangements, and public financial management to build transparency, integrity, and effectiveness in the management of public resources.* These actions can contribute to building a resilient state through ensuring that all development plans, fiscal instruments, policies, strategies and legislation are risk sensitive. The Resilience chapter of the SNDP calls for the establishment, where necessary and strengthening of disaster and climate risk governance mechanisms at national and sub-national levels. Ensuring that disasters and climate risk, preparedness, planning, response and financing is coordinated will build the resilience of governance systems and contribute to the strengthening of the state - society contract. The inclusion of contingency budgets in national and sub-national budgeting systems will ensure that affected populations access to essential services supported in TO2 will continue in times of crisis.

*USAID will increasingly focus on supporting decentralization frameworks and implementation. Building on investments and approaches developed under TO 1.1, efforts will focus on the ability of the states to legitimize governance through service delivery, as well as through creating more inclusive decision-making processes. Defining the roles and functional responsibilities of the district administrations; the frameworks for district council formation; conducting capacity development for public administration core functions, and service delivery are foundational for the success of Somalia's federalist democratic system.* In addition to ensuring that the decentralization frameworks and defined roles and responsibilities of the district administrations are risk informed to strengthen their resilience, these decentralization processes represent an opportunity to more effectively layer and sequence humanitarian and development actions. Ensuring that system strengthening at district level includes consideration of disaster management mechanisms for preparedness, coordination, financing and managing humanitarian responses. These disaster management mechanism create a risk informed approach to decentralized systems strengthening and provide a framework for the linking of humanitarian and development actions.

#### **TO2: Improve Service Delivery.**

*USAID will build on lessons learned from humanitarian assistance and development activities to improve access to equitable and quality education and health services in communities throughout Somalia. In areas where there is relative stability (such as Somaliland and Puntland) programs will focus on strengthening institutions to improve the quality of service delivery. In newly recovered or less stable areas, the focus may be on direct service delivery and linking humanitarian and development interventions, with a greater shift towards improving quality and institutional strengthening as these areas become more stable.* Even in communities where there is relative stability access to services are affected by regular shocks, climatic, economic and security related. In less stable areas these shocks may last longer or have deeper impacts but close examination of service utilization and access data demonstrate the negative access, utilization and quality impacts of shocks in both areas. The constant fluctuation in pressure on the capacity of the service to deliver quality services also negatively impacts on system strengthening efforts. A risk

informed approach can use a participatory approach to identify a services vulnerabilities, risks and capacities. Using this analysis phased plans for additional resources can be designed and agreed.

### **Sub-TO: 2.1: Increase Equitable Access to Basic Services. And**

### **Sub-TO: 2.3: Improve Quality of Service Delivery**

Access and quality of education and health services have been undermined by years of conflict and violence. Fragile and weak institutions, social and clan discrimination and livelihood and social norms all negatively influence access and quality of education and health services. Strategies to increase sustainable access and quality of these services must take into account how the context is one of constant change. For instance the programme intends to incorporate a special focus on increasing girls, enrolment, retention and recruitment, and training and retention of female paraprofessional teachers from local communities. Each of these foci is strongly influenced by climatic, economic and security shocks. Retention of female para and professional teachers is affected by season and by larger shocks such as drought. Developing risk informed strategies to make recruitment and retention risk informed has potential to considerably reduce fluctuations in USAID key focus areas such as retention of teachers.

Constant shocks have deep systematic long term negative impacts on the health and education system and damage many of the system strengthening efforts being supported by USAID. Staff retention, service quality and utilization of the services all depend on how services function during a shock. The resilience of the services depends on how the services absorb, adapt and transform in response to the highly variable context in all parts of Somalia. Furthermore using specific shock responsive strategies layering emergency responses with the longer term objectives of the services strengthening programme support the resilience of the systems. Examples include the use of the surge approach in health systems and the possibility of adapting the surge approach to education systems strengthening.

### **TO 3: Inclusive Economic Growth Expanded.**

The Somali livestock, agricultural and fisheries sector contribute significantly to the economic growth of Somalia, contributing to roughly 60% of the GDP<sup>5</sup>. 80% of exports are livestock and Somalia is the world's largest exporter of livestock with an estimated value of 360 mUSD and exports account for roughly 14% of GDP. *Crop based agriculture and fishing will also play a significant role in driving growth. USAID will address constraints to inclusive economic growth and capitalize on Somalia's assets through a two-pronged approach that both strengthens the enabling environment for growth through systemic interventions and expands economic opportunities through targeted sectoral interventions. Sectoral interventions will focus on value chains with the highest potential for growth within field crop, horticulture, livestock, fisheries, and renewable energy sectors.*

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<sup>5</sup> SNDP

The expansion of economic activities through a focus on value chains with the highest potential for growth can promote resilient growth through the use of a risk aware approach both to the systemic interventions and targeted sectoral interventions.

**Sub-TO: 3.1 – Strengthen Enabling Economic Environment.**

*To strengthen the business enabling environment and unleash Somalia’s growth potential, USAID will work to remove or reduce economy-wide barriers to economic growth that affect multiple sectors and industries, and businesses of all sizes. Such systemic activities are expected to promote competition in Somalia’s economy and benefit startup firms, SMEs, and women- and youth-owned businesses that, unlike large, more established companies, lack the relationships and resources to overcome barriers in other ways. Key constraints to be addressed include access to finance, and support to policy and regulation, and provision of business development services.*

The Somali private sector is entrepreneurial and willing to take risks in an extremely unstable environment. Systemic efforts to enable the full potential of the Somali private sector will require a risk informed approach taking into account the risks of insecurity, climatic and economic shocks and how they might create barriers to economic growth. Start-ups and women and youth owned businesses are likely to face specific risks from these major shocks.

**Sub-TO: 3.2 – Expand Economic Opportunities.**

*USAID will introduce low-cost technology, promote increased investment, expand access to financial services, and carry out small-scale infrastructure activities to reduce the risks of business start-up and expansion.*

**Access to Financial Services**

*Savings groups are important safety nets, but recurrent shocks may weaken their impact. Programming should continue to support savings groups as providers of safety nets, and savings groups need additional resources to provide emergency support and to be able to invest in community assets in the face of repeated shocks.*

Enhancing Resilience and Economic Growth in Somali Program – Baseline Survey.

Somali remains highly vulnerable to climate shocks and climate change. Sustainable water access is crucial to efforts to improve production, employment and incomes in key value chains especially for livestock and agriculture. In addition to more efficient irrigation, improved seed varieties and a focus on perennial crops a resilient approach will require a sustainable water access oriented risk informed approach.

Fisheries around the world are expected to be heavily impacted by climate change and any activities to jointly protect and rehabilitate depressed natural capital of marine resources along the Somali coast needs to ensure that the risks of climate change are factored into

USAID approaches to improving coastal livelihoods.