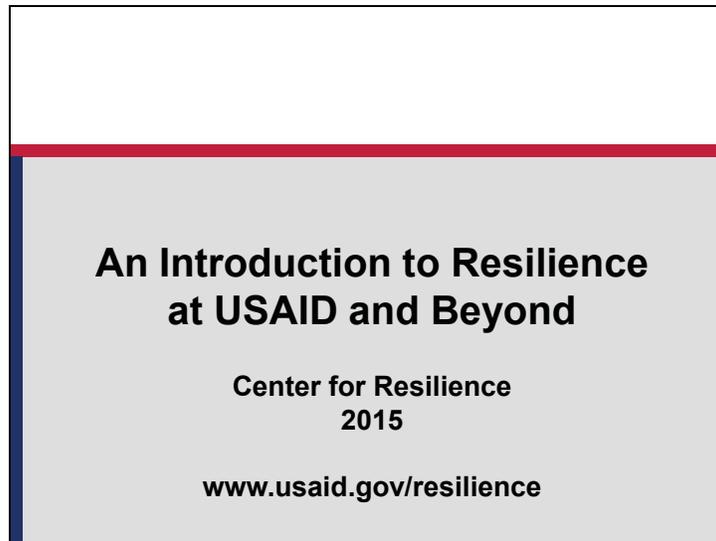


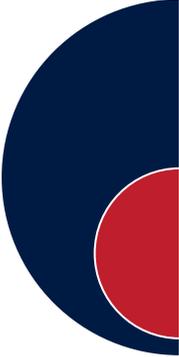
Slide 1: An Introduction to Resilience at USAID and Beyond



Welcome to this course entitled An Introduction to Resilience at USAID and Beyond. My name is Greg Collins, I'm the Deputy Coordinator for the Center for Resilience in USAID.

Slide 2: Objectives

OBJECTIVES



This course introduces learners to the basics of resilience as an analytic, programmatic and organizing concept and discusses USAID's resilience work to date.

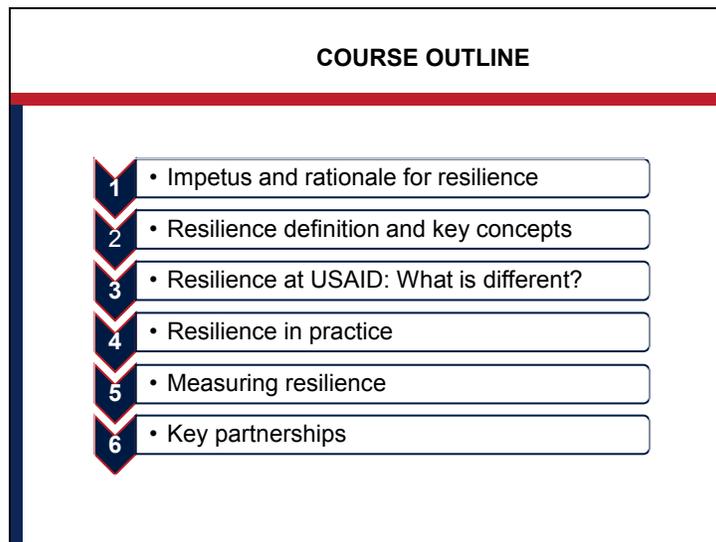
Learners will know:

- Rationale for resilience
- Concept of resilience
- Where and how USAID is implementing resilience strategies and programs
- Basics of resilience measurement
- Importance of partnerships for resilience

This course is designed to introduce you to the basics of resilience as an analytic, programmatic and organizing concept. In it we will also discuss USAID's resilience efforts to date. We will cover:

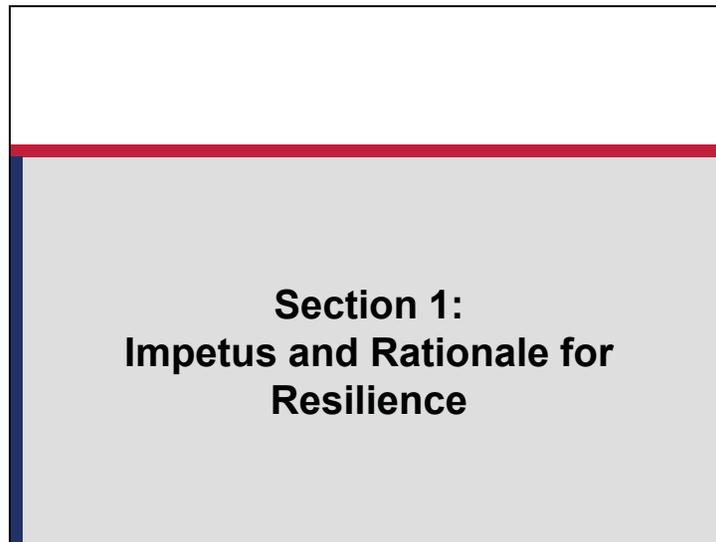
- The rationale for resilience investments
- Key concepts and definitions
- Where and how USAID is implementing resilience strategies and programs
- The basics of resilience measurement, and
- Key partnerships that are helping to advance our resilience efforts

Slide 3: Course Outline



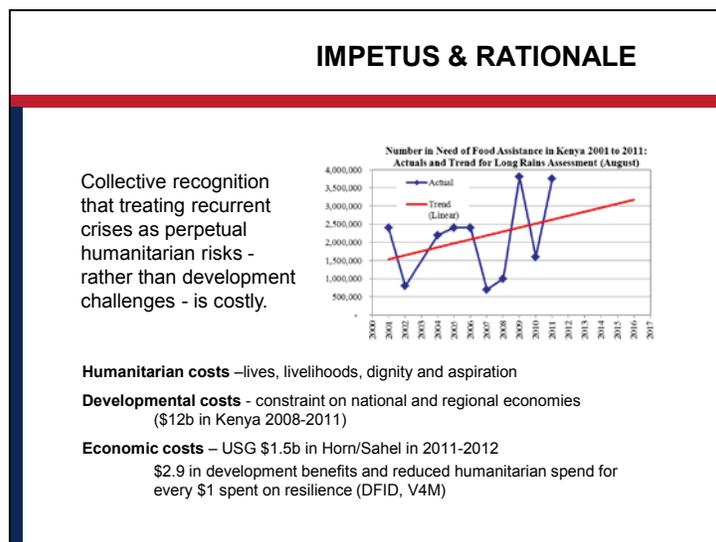
The course is divided into six sections that align with these learning objectives. You will also have the opportunity to take four short quizzes along the way.

Slide 4: Section 1: Impetus and Rationale for Resilience



Section 1: Impetus and Rationale for Resilience

Slide 5: Impetus & Rationale



Let's start by examining the reason behind the renewed interest in resilience as an analytic, programmatic and organizing concept for addressing recurrent crises.

This renewed interest stems from the large-scale, humanitarian emergencies in the Horn of Africa and Sahel in 2011 and 2012. It reflects the collective recognition by governments, regional institutions, USAID, other donors and a wide array of humanitarian and development partners that continuing to treat people and places subject to recurrent crises as a perpetual humanitarian risk – rather than a development priority – is extremely costly. This cost is expressed in a number of ways. Together they form the rationale for investing in building resilience to recurrent crises.

First, recurrent crisis has a substantial **humanitarian cost**, expressed in terms of lost lives, livelihoods, dignity and aspiration. The 2011 Famine in Somalia during which a quarter of a million people lost their lives provides a particularly devastating example.

Second, recurrent crises have a substantial and far-reaching developmental cost, in terms of constraining national and regional economies and eroding household assets and incomes. For example, the unfettered impacts of drought in Kenya between 2008 and 2011 on the livestock and other sectors are estimated to have cost the Kenya economy over 12 billion dollars. This not only impedes growth, but initiates or accelerates a downward spiral of divestment among vulnerable households that is characterized by the failure to recover between drought episodes and ultimately ends in destitution and a chronic reliance on humanitarian assistance. Finally, recurrent crises have a substantial and **recurrent economic cost** in the form of humanitarian spending. For example, the US government spent over 1.5 billion dollars responding to drought

emergencies in the drylands of the Horn of Africa and Sahel in 2011-12 alone, and many times this over the last several decades. Looking more broadly at the economic cost of recurrent crisis, it is estimated that international donors spent 90 billion dollars responding to emergencies in just nine countries over the past decade. This accounts for almost 50% of humanitarian assistance during this period.

The graph on this slide shows the cyclical ebb and flow of humanitarian assistance needs in drought-prone areas of Kenya over the last ten years. It speaks to both the recurrent and growing nature of these crises *and* their associated costs.

Conversely, research by DFID on the value-for-money of investing in resilience in Ethiopia and Kenya suggests that we can expect 2.9 dollars in development benefits and reduced humanitarian spending for every dollar spent on resilience. A PDF version of this graph is available in your resource tab.

Slide 6: Key Features of USAID Resilience Efforts

**KEY FEATURES OF USAID
RESILIENCE EFFORTS**

1. Developmental focus on people and places subject to recurrent crisis
2. Shocks/stresses more explicitly recognized as perennial features (not anomalies). Concurrent investment to:
 - Reduce and manage risk - [absorptive capacity](#)
 - Build adaptive capacity - [adaptive capacity](#)
 - Facilitate inclusive growth - [transformative capacity](#)
3. Joint humanitarian and development analysis, planning and implementation

As a starting point, it is important to recognize that most of USAID's development work and humanitarian recovery and rehabilitation programs contribute to the resilience of the people, households, communities with whom we work. So what's really different as a result of the renewed interest in – and application of - the concept of resilience following the drought emergencies in the Horn and Sahel?

First and foremost is the developmental focus on people and places subject to recurrent crises. As noted on the previous slide, this represents a significant shift from responding to large-scale humanitarian emergencies every few years, only to see any gains made slide back when the next shock occurs, to a sustained and comprehensive effort to address the resilience and developmental deficits that underlie the vulnerability of people, households, and communities in these places.

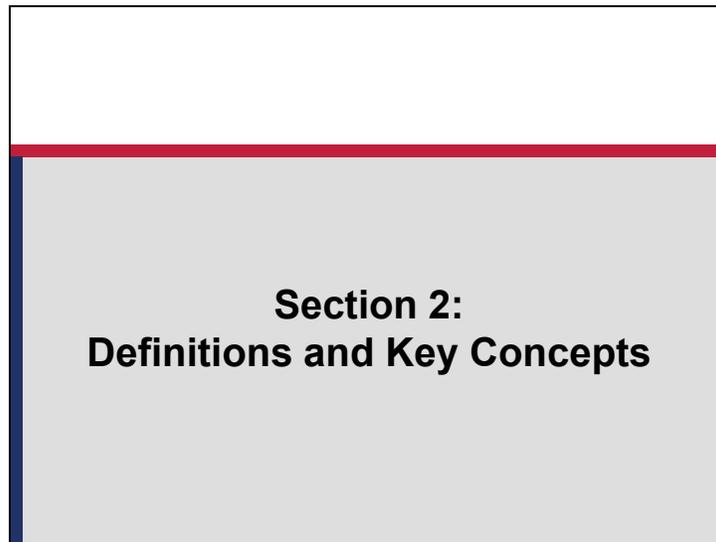
To date, the agency's resilience efforts have focused on people and places where recurrent shocks and stresses have translated into recurrent, large-scale humanitarian emergencies. Both the humanitarian and economic rationales for investing in resilience outlined in the previous slide are a reflection of this. However, the concept of resilience and the developmental rationale for investing in it has much broader utility and are relevant anywhere people, households, communities face recurrent or persistent risk. The Overseas Development Institute's work on sustainable poverty escapes, and the risk of a return to poverty that shocks and stresses pose, provides a compelling example of this broader utility. ODI's 2014 Chronic Poverty report is available in your resource tab.

The second aspect of what's different is the far more explicit recognition that shocks and stresses – such as drought in the Horn of Africa and Sahel, or floods in the hills and mountains of Nepal – are perennial features of these landscapes - *not* anomalies. In turn, this demands that we not only invest in efforts to facilitate inclusive growth, but also reduce and manage risk, and build adaptive capacity.

In program design terms, this is akin to removing the all-too-common assumption that no major shock – be it a drought in Kenya or a flood in Nepal – will occur during a project's lifecycle and instead assuming, based on historical patterns, that they will. In turn, this ensures that investments reflect both risk *and* the need to build resilience as a means of helping to put vulnerable people, households and communities on a sustainable and resilient pathway out of poverty. The terms absorptive, adaptive and transformative capacities provide a useful means of breaking down resilience capacities and thinking about the range of investments needed to build resilience. We will revisit these terms in the slides ahead.

A third aspect of what's different is the extent to which USAID's resilience efforts have been jointly undertaken by the humanitarian and development sides of the agency, as well as the many offices and bureaus within the development and humanitarian domains. This entails joint analysis by multi-sectoral, humanitarian and development teams to define and unpack the underlying causes of recurrent crisis in a given context, joint planning to bring the range of USAID's humanitarian and development resources to bear on the problem of recurrent crisis, and finally, joint implementation through the sequencing, layering and integration of humanitarian and development programs. This will be discussed in greater detail in the coming slides.

Slide 7: Section 2: Definitions and Key Concepts



Section 2: Definitions and Key Concepts

Slide 8: Defining Resilience

DEFINING RESILIENCE

USAID defines resilience as:

the ***ability*** of people, households, communities, countries and systems (social, economic, ecological) to mitigate, adapt to and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth

Initial focus on recurrent crises at *the intersection* of chronic poverty and exposure to shocks and stresses

USAID defines resilience as the ability of people, households, communities, systems and countries to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth. This definition can be found in the agency's Policy and Programming Guidance on Building Resilience to Recurrent Crisis, which is available through your resource tab.

This definition is a mouthful, but it is also extremely useful in terms of underscoring the need to conceive of *and* measure resilience as a set of capacities at multiple scales. This will be discussed in more detail in the section on resilience measurement.

The lack of specificity in terms of which shocks and stresses not only ensures the definition is broadly applicable, but reflects the multi-causal nature of recurrent crisis. Even the large-scale, humanitarian emergencies in the Horn of Africa and Sahel in 2011 and 2012 were not the result of a drought shock alone, but rather a confluence of factors including population pressure, poor governance, climate change and variability, as well as cyclical droughts and floods and the downward spiral of asset divestment associated with them.

These factors and the more proximate causes of vulnerability they influence – such as indebtedness, conflict over resources, and the inability of some households to meet their food and other needs solely through livestock keeping or crop agriculture – have collectively eroded the ability of households and communities to manage through drought. In this sense, the 2011-2012 droughts in the Horn of Africa and Sahel are best understood as exposing moments, or tipping points. Examples of these multi-causal dynamics in the Horn of Africa and Sahel will be revisited later in this presentation.

Finally, the definition outlines, in broad terms, the outcomes of interest we hope to influence by building resilience capacities – namely, reducing chronic vulnerability and facilitating inclusive growth. The indicators used to capture progress on these outcomes are discussed in a subsequent slide.

USAID’s policy and programming guidance also states that the focus of USAID’s resilience efforts is on people and places caught at the intersection of chronic poverty and exposure to shocks and stresses.

As noted earlier, the initial focus of the agency’s resilience efforts has been on places where this intersection translates into repeat, large-scale humanitarian emergencies. This is where the humanitarian and economic rationales for investing in resilience cited earlier are the most compelling.

However, the developmental rationale for investing in resilience and the utility of the concept extend well beyond these obvious cases to the much broader set of people and places caught at this intersection – in other words, anywhere risk, hazards and vulnerabilities constrain, threaten or otherwise undermine sustainable poverty escapes.

Slide 9: Defining Resilience Beyond USAID

DEFINING RESILIENCE BEYOND USAID

- **DFID** - Disaster resilience is the **ability** of countries, communities and households to manage change, by maintaining or transforming living standards in the face of shocks or stresses - such as earthquakes, drought or violent conflict – without compromising their long-term prospects

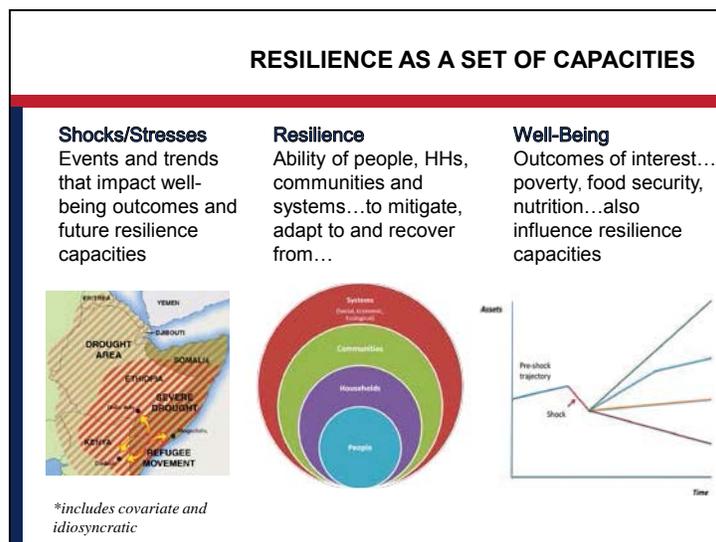
- **OECD** - the **ability** of households, communities and states – layers of society – to absorb and recover from shocks, whilst positively adapting and transforming their structures and means for living in the face of long-term, changing and uncertain impacts of stresses

There are a variety of resilience definitions out there. Some view this as problematic and have argued for the need for a common definition shared by a wide array of actors engaged in this work.

It is true that each definition reflects differing degrees of emphasis on various aspects of resilience. For example, USAID's definition stresses the link between resilience and facilitating inclusive growth. Still, there is a far greater degree of similarity among definitions than there are differences. Moreover, the substantial challenge of getting all agencies working on resilience to agree to a word-for-word common definition would likely sap energies that could be well put to use on other aspects of resilience, including ensuring alignment and complementarity between our resilience investments.

This slide gives two examples of the many definitions out there. What is most important and, in fact, shared between these and most definitions of resilience is that resilience is defined as a set of capacities at various levels or scales, realized in relation to shocks and stresses, and indexed against outcomes of interest. Leaving nuances aside, this shared conceptualization of the term provides more than enough common ground for shared understanding and measurement.

Slide 10: Resilience as a Set of Capacities



This slide presents a graphic that captures the shared understanding of resilience as a set of capacities at multiple levels or scales, realized in relation to shocks and stresses, and indexed against outcomes of interest.

Let's explore each of these domains a little further.

On resilience as a set of capacities, it's essential to recognize that these capacities exist at multiple levels or scales. USAID's definition identifies these as "people, households, communities, systems and countries."

One highly relevant example of **community or systems resilience capacities** is social capital, or the ability to lean on others during times of stress. Individuals or households may vary in terms of the social capital they are able to call upon during times of stress. However, it is also true that the state of social capital and social networks at community and systems levels influences their ability to do so.

Similarly, natural resource or **ecological systems** and market or **economic systems** operate at a level above individuals, households and even communities, and the resilience of these systems can either expand or constrain the options available to individuals, households and communities.

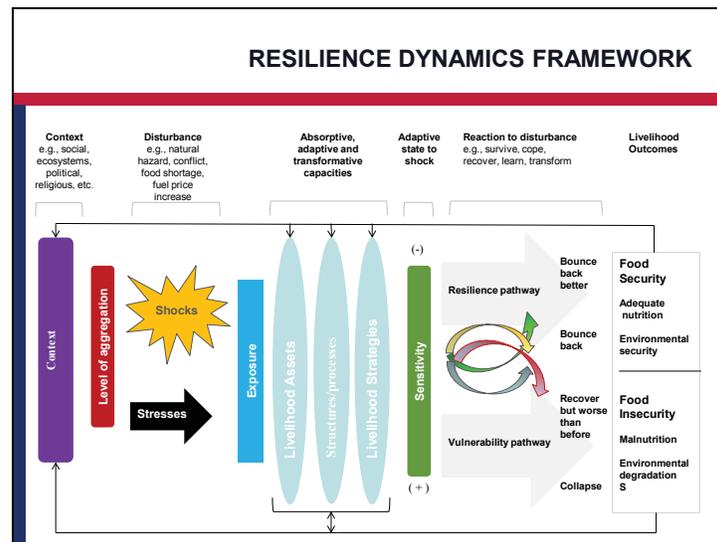
From an analytic, programmatic, and measurement perspective, it is also critical to understand **the role of various shocks and stresses**, as these are the factors against which resilience capacities are tested and realized. Stresses include longer-term dynamics such as population pressure and climate change and variability. By

contrast, shocks are time-bound events – be it a slow-onset drought, rapid-onset flooding, or even market shocks such as those experienced during the 2008 food price crisis.

It's also important to distinguish between co-variate shocks such as drought that impact many or most households and communities in a given geographic area versus idiosyncratic shocks that impact an individual household or class of households. Examples of idiosyncratic shocks include illness, loss of job, or death within an individual household.

The final domain is **outcomes of interest**. For USAID, poverty, nutrition and food security represent important outcomes of interest, as will be discussed in relation to the agency's top line outcome indicators for resilience. It is also important to note that some outcomes of interest – such as poverty – influence resilience capacities.

Slide 11: Resilience Dynamics Framework



There has been an explosion of resilience frameworks in the last few years, including a somewhat dated framework that can be found in the 2012 USAID Policy and Programming Guidance on Building Resilience to Recurrent Crisis. As with definitions of resilience, the vast majority of these frameworks share a lot in common.

The framework on this slide was co-developed by USAID, DFID, and the World Bank, with the assistance of TANGO International. It is particularly useful in that it captures the dynamic nature of resilience as a set of capacities realized in relation to shocks and stresses, and indexed against outcomes of interest.

It also disaggregates resilience capacities into absorptive, adaptive and transformative capacities. This is useful for thinking about how different types of investment help build different types of resilience capacities. It's also useful in terms of identifying indicators for resilience measurement.

Absorptive capacity covers the coping strategies that individuals, households, or communities use to moderate or buffer the impacts of shocks and stresses on their livelihoods and basic needs.

Adaptive capacity is the ability to learn from experience, adapt and adjust short, medium and longer-term responses to changing external conditions.

Transformative capacity is the capacity to create a fundamentally new system when ecological, economic, or social systems make the existing system untenable.

We will discuss the measurement aspects of these overlapping resilience capacities in more detail in an upcoming slide.

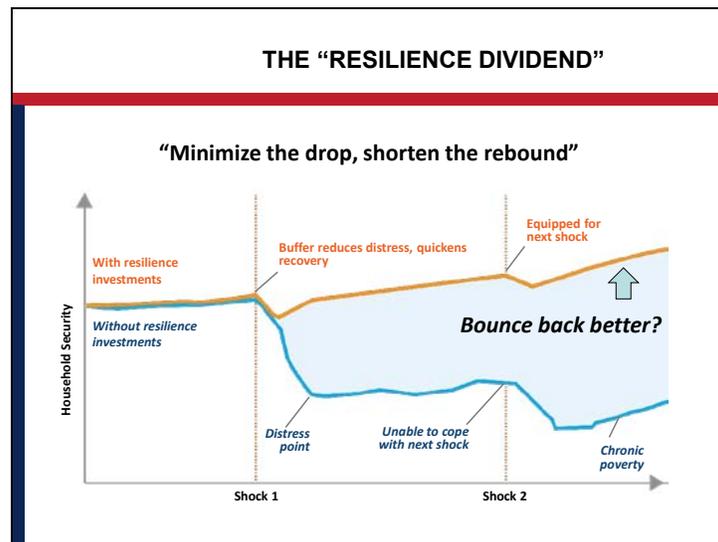
Another useful aspect of this framework is the extent to which it captures variation in experience and realized resilience capacities as pathways – namely, resilience and vulnerability pathways. This variation can exist between regions and communities, but it can also exist within communities and regions.

Those on a resilience pathway are able to manage through shocks and stresses as a result of their absorptive, adaptive, and transformative capacities.

Those on a vulnerability pathway are caught in a downward spiral of divestment leading to destitution that is characterized by a failure to recover between shock episodes.

In areas where recurrent shocks and stresses result in repeat, large-scale humanitarian emergencies, many households and communities are clearly on a vulnerability pathway. Our investments in resilience aim to help change this.

Slide 12: The “Resilience Dividend”



Another way to think about resilience is in terms of the dividend we can expect from investing in it. As with the previous framework, this graphic from the Rockefeller Foundation does well to capture the dynamic nature of resilience as a set of capacities realized in relation to shocks and stresses, and indexed against an outcome of interest.

This resilience dividend can be conceived of in at least three ways:

- “Minimizing the drop” or impact of a shock event on household well-being
- “Speeding the rebound or recovery” following a shock event
- “Adapting and transforming” to ensure an upward trajectory is both initiated and sustained in the face of recurrent shocks and stresses

This graphic also usefully captures the fact that many households and communities at the intersection of chronic poverty and exposure to shocks and stresses are on a downward trajectory, or – as described in the previous slide – a vulnerability pathway.

Their and our challenge is to stop and reverse their current trajectory and to ensure an upward trajectory that is resilient in the face of recurrent shocks and stresses.

Slide 13: Quiz Question 1

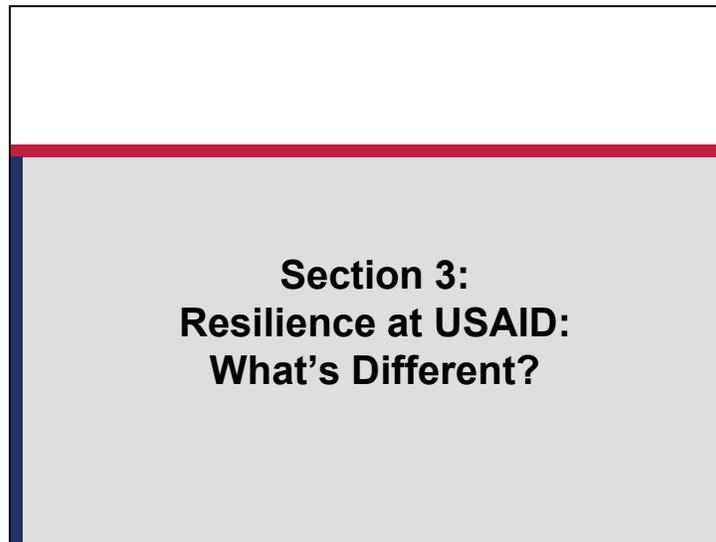
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So, how do we at USAID define resilience?

- A. A set of capacities
- B. An outcome
- C. A process
- D. A vulnerability
- E. All of the above

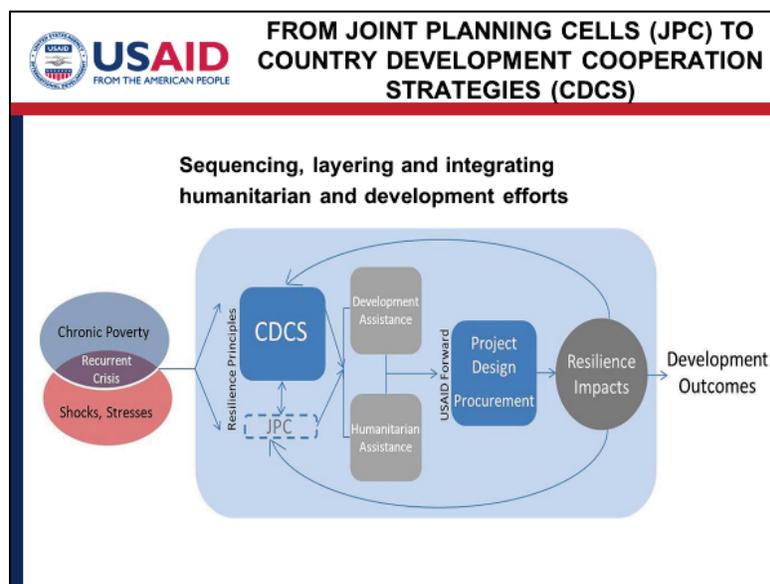
The answer is: a set of capacities. As described in previous slides, resilience is a set of capacities realized in relation to shock and stresses and indexed against outcomes of interest. By the USAID definition, this is the set of capacities to mitigate, adapt to, and recover from shocks and stresses.

Slide 14: Section 3: Resilience at USAID: What's Different?



Section 3: Resilience at USAID: What's Different?

Slide 15: From Joint Planning Cells (jpc) to Country Development Cooperation Strategies (cdcs)



As noted earlier, USAID's initial resilience efforts in the Horn of Africa and Sahel were born of the drought emergencies in these two regions in 2011 and 2012. As such, there was a sense of urgency to quickly bring our humanitarian and development teams together to conduct joint analysis and planning, almost as a joint humanitarian and development response to those devastating crises.

To do so at an accelerated pace, we established Joint Planning Cells in both the Horn and the Sahel. Examples of the shared understanding of the dynamics of change and underlying causes of recurrent crisis that emerged from joint analyses in the Horn and Sahel are available in your resource tab.

Now, we are seeking to regularize our approach to joint analysis, planning and implementation for building resilience to recurrent crisis by embedding it in project design and the development of Country Development and Cooperation Strategies or CDCSs.

The current draft Country Strategies for Mali and Nepal stand out as examples of how resilience and joint analysis, planning and implementation can be in-built into USAID's standard strategy and program cycle. Beyond USAID, we are also partnering with other donors, partners and governments themselves, in support of country-led resilience efforts. A good example of this is Kenya's Ending Drought Emergency Strategy, which lays out a common programming framework for government and all donors, including USAID. You can click on the link to access Kenya's EDE common programming framework.

Importantly, this is breaking new ground in terms of involving humanitarian perspectives and investments into what were previously conceived of as largely or solely development strategies. In doing so, we are:

- Taking full advantage of the substantial and sustained footprint of humanitarian actors in countries subject to recurrent shocks and stresses, and
- Addressing the need to embed future responses to recurrent shocks within longer-term development strategies to protect and accelerate resilience and development gains.

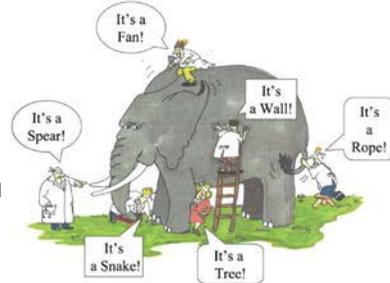
Slide 16: Systems thinking in an ear-marked world

**SYSTEMS THINKING IN AN
EAR-MARKED WORLD**

Joint analysis, planning and implementation across humanitarian and development divides (and the divides in each)

Key attributes:

- Joint problem definition
- Joint analysis to identify types of resources needed
- Systems thinking to engage complexity



One of the key attributes of joint analysis and planning for resilience by diverse sets of humanitarian and development professionals that span sector-defined bureaus and offices within the agency is the extent to which this joint analysis and planning has defined the resources required to build resilience to recurrent crisis in a given context.

This is of course tempered by the reality of how USAID funding works, and the extent to which USAID funding is earmarked for various initiatives and uses – be it health, nutrition, food security, agriculture, economic growth, conflict, climate change or disaster risk reduction. However, the agency's focused resilience efforts are based on the fundamental premise that joint problem identification and analysis should define the resources needed, rather than the type of resources available defining the parameters of analysis. Each funding stream identified contributes to the shared aim of building resilience to recurrent crisis, but does so by delivering on its own mandate within the broader context of a shared understanding of the multi-causal, multi-sectoral nature of resilience deficits and recurrent crisis.

Unpacking the underlying and proximate causes of recurrent crises – and doing so jointly with diverse teams in a way that transcends sectors and development and humanitarian boundaries – demands that we:

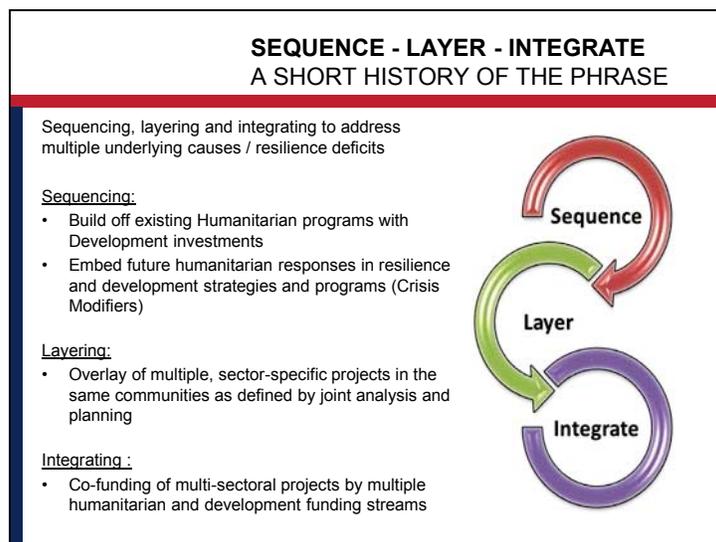
- Engage complexity
- And employ systems thinking

Systems thinking refers to set of analytic approaches and associated tools that seek to understand how systems behave, interact with their environment and influence each

other. Common to all of these approaches is a conviction that particular actions and outcomes are best understood in terms of the interactions between elements in the system. The focus should be on the system as a whole: the actors, their interrelationships and the incentives that guide them.

More information on systems thinking and the principles for engaging local systems can be found in a 2014 USAID document entitled *Local Systems: A Framework for Supporting Sustained Development*. This document is available in your resource tab.

Slide 17: **Sequence - Layer – Integrate:** A short history of the phrase



A catch-phrase that has been used to describe how we are bringing our various humanitarian and development funding streams together to build resilience is SEQUENCING – LAYERING AND INTEGRATING.

Sequencing refers to the need and opportunity to build off existing humanitarian recovery and rehabilitation programs with development investments aimed at addressing the underlying and proximate causes of recurrent crisis. It also refers to the need to assume a shock—if not several shocks—will occur during the lifetime of our efforts to build resilience to recurrent crisis, and to embed future humanitarian responses to these shocks in longer-term strategies to protect and advance resilience and development gains. The aim, of course, is to reduce the need for large-scale humanitarian responses in the future. However, in the short to medium term, appropriate and timely humanitarian response will still be required.

A classic example of a failure in this regard occurred during the 2012 drought emergency in the Sahel, when free seed distribution by humanitarian organizations undermined prior development investment in private sector seed markets. Conversely, USAID’s efforts to help facilitate commercial livestock off-take through traders in Ethiopia during the 2011 drought not only provided an efficient means of responding to an emergent crisis; it built on and help strengthen the livestock value chain in which we were also investing.

One mechanism USAID has used to embed future humanitarian response in longer-term resilience and development programs is known as a **Crisis Modifier**. A crisis modifier provides small grants to partners implementing an existing development

program in the event of a shock or localized disaster. It enables partners to respond quickly to address humanitarian needs, while doing so in a way that is fully cognizant and in line with the aims of the development program. In the Horn of African and Sahel, this type of early and appropriate action is an essential part of effective drought cycle management.

Layering refers to the intentional overlay of projects in the same communities to address multiple resilience deficits. Joint analysis and planning are used to determine and implement layered projects. Both layering, and to some degree sequencing, requires collaboration among a wide range of humanitarian and development partners working in the same space. This isn't easy. It demands a shift in the role of USAID staff from managing individual projects to collectively managing the relationships between multiple projects and partners.

Finally, **integrating** refers to the co-funding of projects by multiple funding streams within the agency. This includes combining humanitarian and development funding, as well as the many sector-specific funding streams found within each of these domains. Again, each funding stream identified contributes to the shared aim of building resilience to recurrent crisis, but does so by delivering on its own mandate, within the context of a shared understanding of the multi-causal, multi-sectoral nature of resilience deficits and recurrent crisis. The crisis modifiers mentioned earlier also constitute a form of integration, in that they are in-built into existing development programs.

Slide 18: Adaptations and Innovations Analytic & Programmatic Starting Point

ADAPTATIONS AND INNOVATIONS
Analytic & Programmatic Starting Point

Examples from the Sahel

Farmer Managed Natural Regeneration (FMNR) and water harvesting

- 5m hectares 're-greened' via organic expansion

Seasonal migrant labor

- Drought-tolerant income source

Moringa production and harvesting

- Nutrition and value chain

Informal safety nets, risk management strategies

- Habbanae - animal loan
- Warantage - debt trap of selling low and buying back high

Another feature of USAID's resilience efforts is the extent to which we have made 'adaptations and innovations already underway' an analytic and programmatic starting point. What do I mean by this? Simply put, these are the ways in which households and communities are already adapting and innovating to better manage through recurrent shocks and stresses. They offer a starting point in the sense that they provide a deeper understanding of dynamics of change, as well as an opportunity for identifying ways to accelerate, scale-up and build upon adaptations and innovations that work.

Some examples from the Sahel help illustrate the point.

The first is a set of agro-forestry practices known as Farmer Managed or Farmer Assisted Natural Regeneration. In Niger, for example, FMNR began on a small scale over 30 years ago. Through a combination of NGO-facilitated assistance and organic expansion, it now accounts for the re-greening of over 5 million hectares. In addition to the technical lessons learned and the foundation this provides for value chain investments, there is much to learn from the FMNR experience in terms of how and why it expanded as a practice the way it did.

A second example is seasonal migration for labor. For many households in Niger, the strategic choice to send a family member to the coast for seasonal employment is a response and adaptation to recurrent crisis. Seasonal employment not only affords households a degree of livelihood diversification, it represents a livelihood source that is not subject to the same risks and shocks as crop agriculture and livestock. In this sense, it affords a degree of independence from climate risk.

A third example is the conversion of a highly nutritious green known as Moringa from a locally available famine food consumed during times of stress into to a full-blown value chain and important source of both nutrition and income.

A final example is the informal safety nets, risk strategies and social capital that all households and communities in shock-prone areas have developed over many hundreds of years. Understanding the role these play in how households and communities have long managed shocks and stresses is critical – first to avoid undermining them, and second to leverage them in support of efforts to build resilience to recurrent crisis.

Slide 19: Quiz Question 2

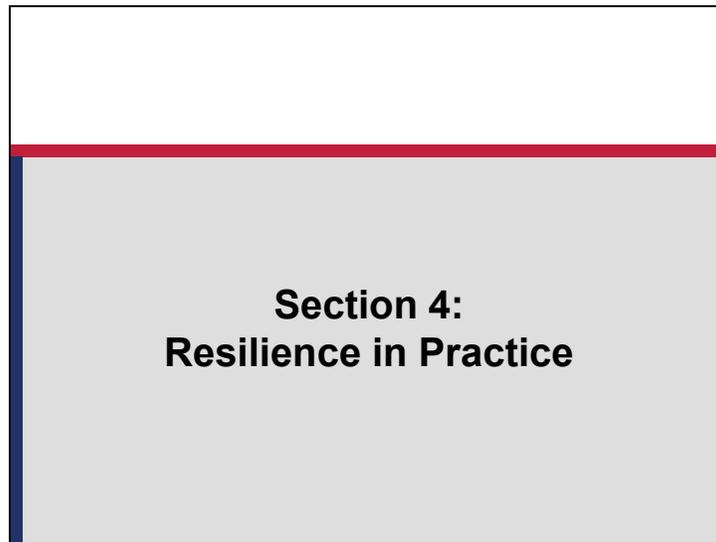
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How does USAID fund resilience programs?

- A. New funding sources dedicated to resilience
- B. Development funding only
- C. Humanitarian funding only
- D. Existing development and humanitarian funding streams

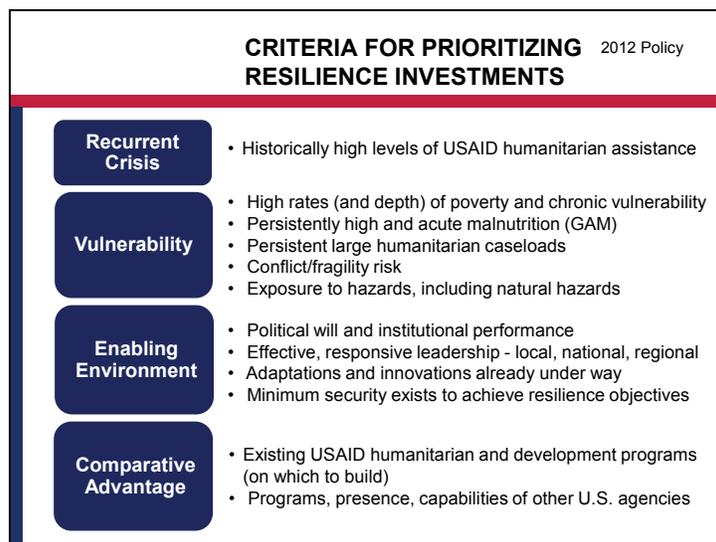
The correct answer is existing development and humanitarian funding streams. We will show some examples of the array of humanitarian and development funding sources brought to bear on the shared challenge of building resilience to recurrent crisis in the coming slides.

Slide 20: Section 4: Resilience in Practice



Section 4: Resilience in Practice

Slide 21: Criteria for Prioritizing Resilience Investments



The 2012 Policy and Programming Guidance on Building Resilience to Recurrent Crisis, available in your resource tab, lays out the criteria that USAID has identified for prioritizing resilience investments.

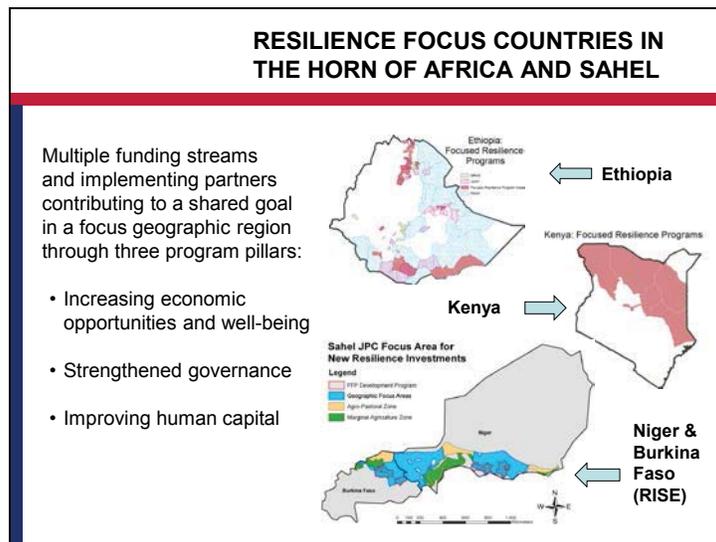
These include looking at recurrent crisis, in other words where are the people and places where we have historically gone back year after year with large-scale humanitarian assistance programs.

A second set of criteria looks closely at vulnerability, both risk and exposure.

The third looks at enabling environment, in the extent to which we have on the ground governments and other partners to work with in building resilience to recurrent crisis. Enabling environment also includes adaptation and innovations already underway as described in a previous slide.

The final set of criteria are comparative advantage: USAID's comparative advantage. This includes looking at what humanitarian and development programs are already on the ground, that can be built on as part of a comprehensive resilience effort. Comparative advantage also includes looking beyond USAID at the programs, presence, and capabilities of other US government agencies.

Slide 22: Resilience focus countries in the Horn of Africa and Sahel



This slide highlights our flagship resilience efforts in the Horn of Africa and Sahel. In each case, joint analysis, planning and strategy development have resulted in multiple funding streams and implementing partners contributing to the shared aim of building resilience to recurrent crisis.

Each of these flagship efforts is built around three pillars of investment.

The first pillar is expanding economic opportunities. This includes intensified crop agriculture and livestock, as well as economic opportunities tied to these value chains, including formal and informal labor. It also includes diversifying economic opportunities, increasing access to finance and improved productive and market infrastructure.

The inclusion of off-farm, non-agricultural opportunities as part of diversification is critical, as these livelihood sources afford a degree of livelihood independence from climate risk that crop agriculture and livestock-based livelihoods do not. As noted earlier, migration for labor opportunities in cities or at the coast offer a prominent and growing example.

It's also important to recognize the heterogeneity within communities and the multiple, resilient pathways out of poverty that are available to them.

- For some households, intensifying production and strengthening links to market for crop agriculture and livestock represent a resilient pathway out of poverty.

- For others – including those with limited assets and land holdings – stepping out to diversify into other livelihoods makes sense, both to increase income and manage risk
- For still others, moving out of crop agriculture and livestock entirely may make sense, or may not be a matter of choice.

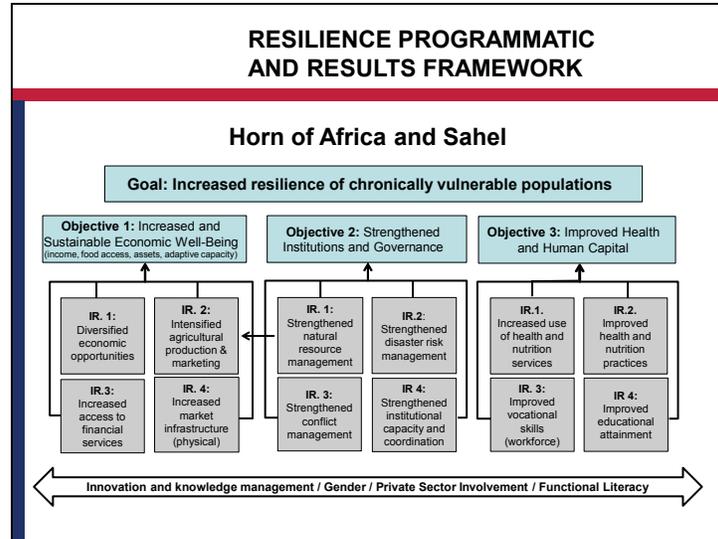
Expanding economic opportunities requires investing across these multiple pathways in recognition of both this heterogeneity as well as the positive feedback loops between earnings , spending and re-investment between different sectors of rural economies.

A second programmatic pillar is strengthening governance. This includes natural resource management, conflict management, disaster risk management, and the interplay between formal and informal governance institutions. It also includes broader institutional capacity – and even more broadly, improved state-society relations – in recognition of the fact that the agency’s focused resilience efforts are on areas that are characterized by weak governance.

A third programmatic pillar is health and human capital. This includes health system strengthening, maternal and child health, nutrition, education, and water and sanitation. Water investments in the form of multi-use water systems for productive and domestic use provide an example of how a single investment cut across these programmatic pillars.

You can access more details on the implementing mechanisms, indicators and top line well-being outcome targets for each of these flagship resilience efforts by clicking on the map for each country.

Slide 23: Resilience Programmatic and Results Framework



This slide provides an example of the type of common programming frameworks that have emerged out of the flagship resilience efforts in the Horn of Africa and Sahel. These common programming frameworks have been an essential part and product of the joint analysis and planning processes described earlier. They provide a shared means of mapping current investments against a common theory of change that emerged through joint analysis. They also provide a shared means of identifying programmatic and analytic gaps as part of joint planning.

These frameworks feed into to country-owned strategies and frameworks, such as Kenya's Ending Drought Emergencies or Niger's Nigeriens Nourish Nigeriens. The ultimate goal is to consolidate USAID and other donor investments alongside government investment in a single, country-led framework.

Nevertheless, this type of intermediary tool has proven extremely useful in helping USAID consolidate and articulate its own investments as a precursor to country-led frameworks being developed.

Slide 24: Emergent Resilience Efforts in the Horn, Sahel and Asia

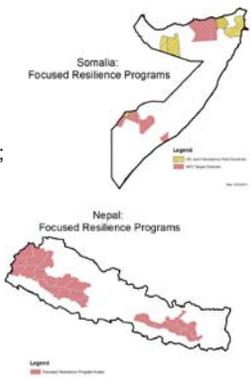
**EMERGENT RESILIENCE EFFORTS
IN THE HORN, SAHEL AND ASIA**

Somalia – support to flagship UN resilience strategy (FAO, WFP, UNICEF); SomRep; joint OFDA-FFP mission resilience APS

Nepal – layering of GCC/CDF-funded FFP development program with FTF Kisan and GH Suahara; community resilience program; DRR and expansion eastern hills

Uganda – resilience as a framework for organizing USAID and other donors' investments in Karamoja

Mali – resilience as an organizing concept for the CDCS and resilience focus zone (northern Mopti) identified

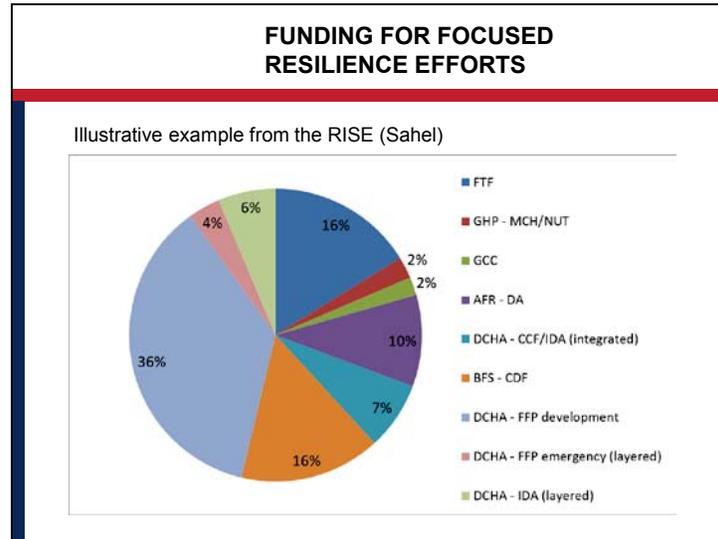


We also have a number of emergent resilience efforts. The addition of Somalia and Uganda strategically expands our efforts in the Horn of Africa. The sub-national focus of these efforts on dryland areas and the geographic contiguity with our resilience focus zones in Kenya and Ethiopia is opening up new opportunities for cross-border programming. Cross-border conflict and trade loom large as inherently regional challenges. A regional joint planning cell with representatives from USAID missions in all of these countries helps to ensure collaboration and learning across borders.

Similarly, focused resilience efforts in the northern Mopti region of Mali expand our resilience efforts in the Sahel. As noted earlier, Mali has incorporated both the focused resilience efforts in Mopti region and the use of resilience as a lens across its portfolio into its CDCS.

Finally, Nepal represents the first of the agency's focused resilience efforts in Asia. As elsewhere in Asia, these efforts link the substantial investment already being made in disaster risk reduction to investments in climate change adaption and agriculture-led inclusive growth. These investments are complemented by a new Food for Peace resilience program aimed at – among other things – diversifying economic opportunities among asset-poor households and communities.

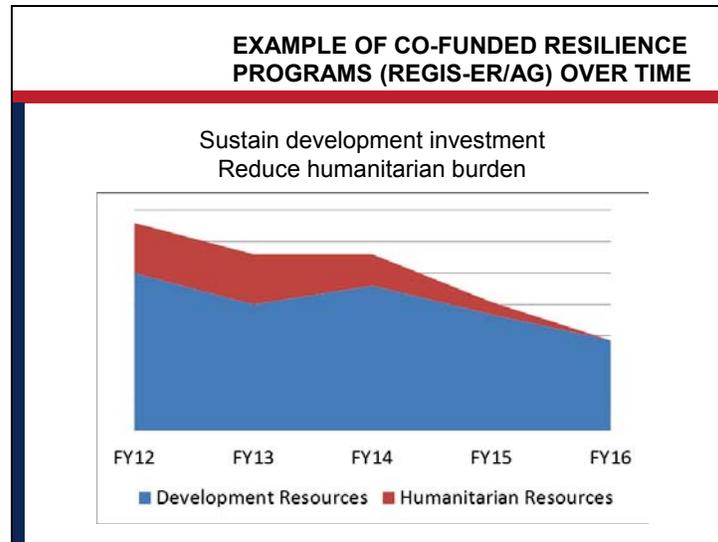
Slide 25: Funding for focused Resilience Efforts



As noted earlier, USAID's resilience efforts in these focus countries draw upon a breadth of funding streams available in the agency, and do so through a process of joint analysis, planning and implementation. This pie chart depicts the contribution of various humanitarian and development funding streams to the Resilience in the Sahel Enhanced (RISE) program in Niger and Burkina Faso. These investments are challenged through a combination of sequenced, layered and integrated projects.

The sheer number of funding streams is daunting from a reporting and program management perspective. However, it is also a compelling reflection of the need for collective action and collaboration to address the daunting challenge of recurrent crisis. Finally, it is a compelling example of the power of harnessing the various humanitarian and development resources and mandates within USAID for a common purpose in a shared geographic zone.

Slide 26: example of co-funded resilience programs (REGIS-ER/AG) over time



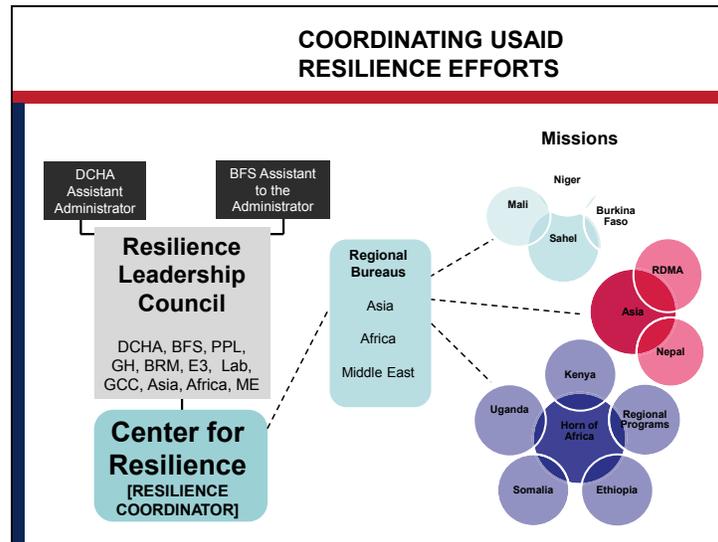
This slide illustrates the projected contribution of humanitarian and development funding streams to two of the core projects that contribute to the Resilience in the Sahel Enhanced {RISE} program in Niger and Burkina Faso.

It illustrates how investments shift from a shared burden to primarily a development burden.

This is not to suggest that humanitarian funding will not be needed in Niger and Burkina Faso should another drought or shock occur. Recall earlier, we assume this will happen and have tailored our investments and have ready-made mechanisms like Crisis Modifiers to ensure we are able to respond in a way that protects and advances development gains.

It does, however, underscore the need to free up humanitarian assistance to respond to new emergencies globally, while at the same time sustaining investment in resilience as a development priority. Recall also that one of the ultimate aims of this combination of humanitarian and development investments is to reduce future humanitarian needs.

Slide 27: Coordinating USAID Resilience Efforts



It should be clear by this point, resilience efforts require a significant degree of coordination and collaboration. To achieve this, we have established a number of institutions in the agency that are responsible for facilitating that coordination and collaboration. This includes the Resilience Leadership Council, co-chaired by the DCHA and Bureau for Food Security Assistant administrators.

It also includes the establishment of a Center for Resilience to support the work streams identified by the Resilience Leadership Council. It includes regional bureau focal points in Asia, Africa and the Middle East, and of course it includes the resilience efforts described earlier in this presentation in Mali, Niger and Burkina Faso in the Sahel, Nepal in Asia, Kenya, Ethiopia, Somalia and Uganda in the Horn of Africa.

These coordination structures are designed to drive forward a whole-of-agency approach to building resilience to recurrent crisis.

Slide 28: Priorities: Center for Resilience and Leadership Council



This slide outlines the priority work streams identified by USAID’s Resilience Leadership Council for the Center for Resilience.

- The first is institutionalizing resilience in USAID. This includes a robust training strategy for building a cadre of professionals in the agency who are knowledgeable on the subject. It also includes examining the red tape and disincentives that constrain our ability to work across offices, across sectors, and across humanitarian and development divides.
- The second is delivering and measuring results in the Horn of Africa and Sahel. These efforts are well underway, and early returns on investment are already being seen. We will discuss measuring the results of these efforts in more detail in the coming slides.
- The third is to expand the agency’s resilience efforts in Asia. Nepal is an early case, but missions in Cambodia, the Philippines, Bangladesh, and elsewhere in Asia are exploring the relevance and utility of the concept for their portfolios as well.
- The fourth and fifth work streams focus on partnerships and the essential role they play in helping us achieve our goal of building resilience to recurrent crisis. These will be discussed in more detail in the coming slides.

- Finally, we will pursue a robust communications campaign within and beyond the agency to provide clarity on USAID's resilience efforts and its links to other agency initiatives and priorities such as Feed the Future and Ending Extreme Poverty.

Slide 29: Quiz Question 3

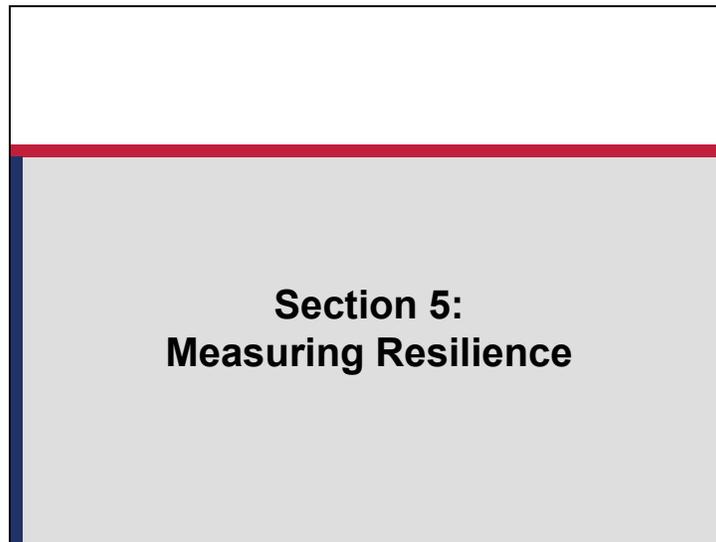
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What are the USAID criteria for prioritizing resilience investment?

- A. Recurrent crisis
- B. Vulnerability
- C. Enabling environment
- D. Comparative advantage
- E. All of the above

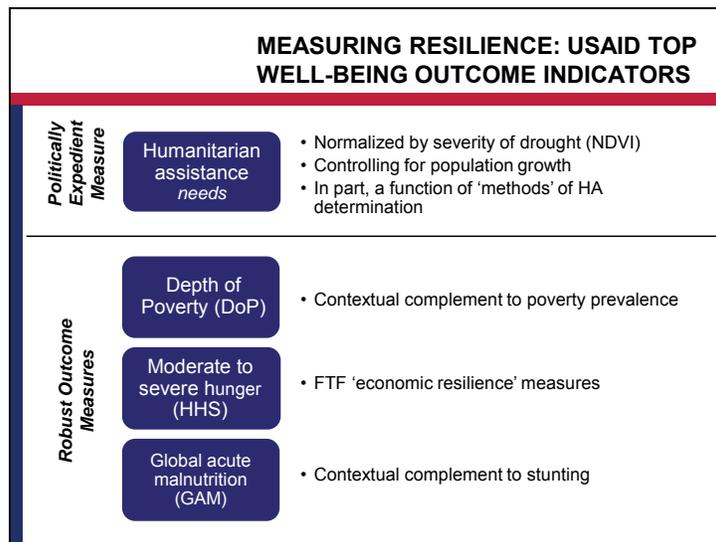
The correct answer is all of the above. You can click on the resource tab to access to the 2012 Policy and Programming Guidance that provides these criteria.

Slide 30: Section 5: Measuring Resilience



Section 5: Measuring Resilience

Slide 31: Measuring Resilience: USAID Top Well-Being Outcome Indicators



USAID has identified four top line well-being outcome indicators for tracking the progress of our resilience efforts in the Horn, Sahel and Nepal.

These include humanitarian assistance needs, Depth of Poverty, Moderate to Severe Hunger, and Global Acute Malnutrition or wasting.

The first, humanitarian assistance needs, speaks to both the humanitarian and economic rationales for investing in resilience. However, it also has a number of challenges and should not be used in isolation.

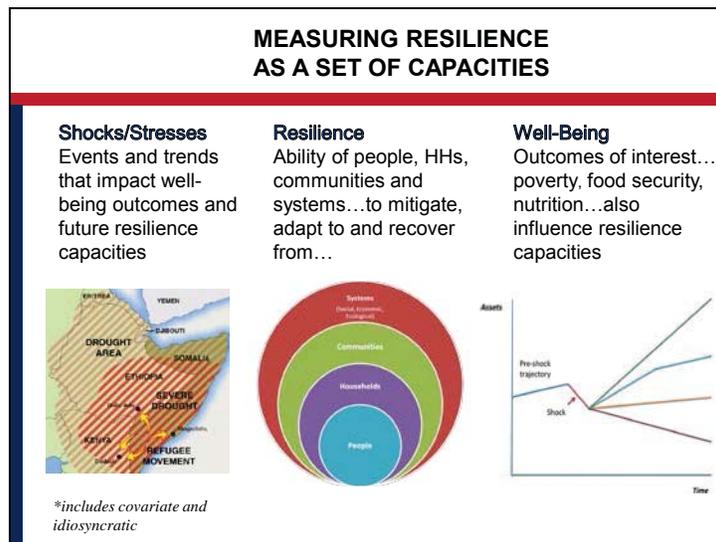
First, reductions in humanitarian assistance needs must be normalized by severity of drought, to make targets set in relation to the 2011 and 2012 droughts in the Horn and Sahel meaningful. We have made significant progress on this front and can now use various climate data and their relationship to food security outcomes to determine what humanitarian assistance needs would have been absent investments in resilience. Second, the methods for determining humanitarian assistance needs vary between countries, and even within the same country over time. They are subject to politics and may be over- or understated intentionally.

Depth of Poverty provides a robust complement to humanitarian assistance needs, as well as a contextual complement to Feed the Future's poverty prevalence indicator. It is used in conjunction with poverty prevalence, but has the chief advantage of being sensitive enough to detect change occurring below the poverty line. Given that many households living in areas subject to crisis live well below prevailing poverty thresholds, Depth of Poverty is a sensitive and essential measure of progress.

Moderate to Severe Hunger is measured by the Household Hunger Scale and is already Feed the Future's Economic Resilience indicator. It is an experiential measure of deprivation and has proven to be a sensitive indicator for food security, particularly at the extreme ends of the spectrum

Finally, Global Acute Malnutrition or Wasting is a contextual complement to Feed the Future's top line nutrition indicator, chronic malnutrition or stunting, in the same way Depth of Poverty complements poverty prevalence. It also reflects the fact that areas beset by recurrent crisis in the Horn, Sahel and Nepal have highly elevated acute malnutrition rates in excess of 'critical emergency' thresholds defined by the WHO, even in good seasons and good years. In this sense, acute malnutrition or wasting is a distinct nutritional feature of these landscapes.

Slide 32: Measuring resilience as a set of Capacities



The previous slide outlined the top line well-being outcomes associated with the agency's focused resilience efforts in the Horn of Africa, Sahel and Nepal. Recall earlier that the USAID definition – and, in fact, most definitions, define resilience as a set of capacities realized in relation to shocks and stresses and indexed against well-being outcomes of interest.

From a measurement perspective, this demands that we go beyond outcomes to measuring resilience as a set of capacities. It also demands that we measure these capacities at multiple scales. This is an emergent area of measurement and we will go over some of the early examples of how this is being done in the next slide.

The agency definition also demands that we capture shocks and stresses as part of resilience measurement. In doing so, we are able to empirically and statistically assess the relationship between resilience capacities, shocks and stresses, and outcomes of interest.

More information on how thinking about resilience measurement has evolved over the last few years is available in your resource tab. This includes a brief on measuring resilience in USAID, and key documents from the Food Security Information Network's Technical Working Group on Resilience Measurement.

Slide 33: Measuring Resilience Capacities (from Ethiopia)

MEASURING RESILIENCE CAPACITIES (FROM ETHIOPIA)		
Absorptive capacity	Adaptive capacity	Transformative capacity
<ul style="list-style-type: none"> • Bonding social capital (within community) • Shock preparedness and mitigation • Access to informal safety nets • Availability of hazard insurance • Household ability to cope with/recover from shocks (see Kenya) 	<ul style="list-style-type: none"> • Human capital • Bonding social capital • Bridging social capital (outside community) • Exposure to information • Diversity of livelihoods (by risk profile) • Access to financial resources • Asset ownership • Aspirations and confidence to adapt (see Kenya) 	<ul style="list-style-type: none"> • Access to formal safety nets • Availability telecoms networks • Access to markets • Access to infrastructure • Access to basic services • Access to communal natural resources • Conflict mitigation and management institutions • Access to livestock services • Bridging social capital • Linking social capital (to government info and services)

One way we have attempted to disaggregate and measure resilience capacities is through the use of absorptive, adaptive, and transformative capacity indexes. This slide shows an example of this approach used in Ethiopia.

Within each index, there are a variety of indicators ranging from measures of social capital and assets, to access to various services, and the presence or absence of community institutions. These indicators are captured at both the household and community levels, using both qualitative and quantitative methods. Note that some indicators are found in more than one of these indexes, meaning the indexes are not mutually exclusive.

A link to a webinar on these and other resilience measures used in the baseline survey for our resilience efforts in Ethiopia is available through your resource tab.

In Kenya, we have also used measures of self-perception to assess a household’s absorptive capacity linked to social capital and the ability to ‘lean on others’ during times of stress. For example, were you able to lean on other households in this community during the last drought? Will you be able to do so in the future?

These measures reflect the fact that people living in areas characterized by recurrent crisis are well aware of their social capital and ability – or inability – to ‘lean on others’ during times of stress. As a complement to this, we have also developed measures to capture proactive adaptations to livelihood activities in response to changing weather patterns as a means of gauging adaptive capacity.

In our work in the Sahel, we are delving deeper into systems-level resilience measures. This includes innovative work with the US Geological Service to map and track tree

density as a proxy ecological systems resilience measure linked to our Farmer Managed Natural Regeneration efforts there.

Slide 34: Quiz Question 4

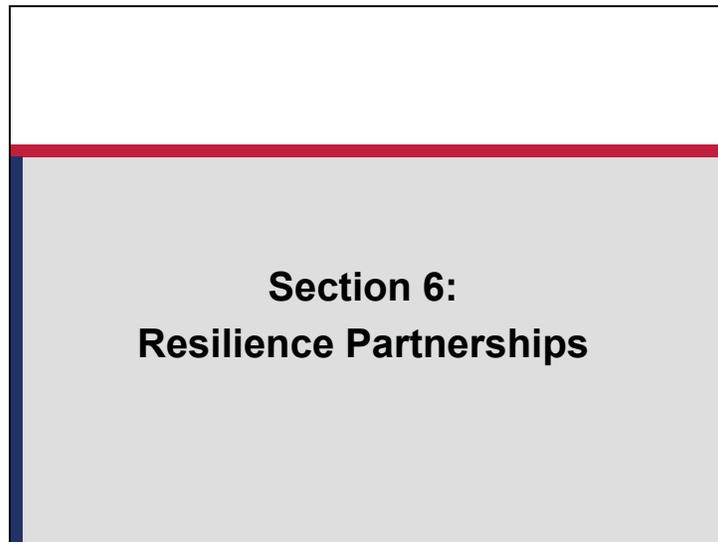
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What are the top line outcome measures for USAID's focused resilience efforts?

- A. Level of humanitarian assistance needs
- B. Depth of poverty
- C. Moderate to severe hunger
- D. Global Acute Malnutrition
- E. All of the above

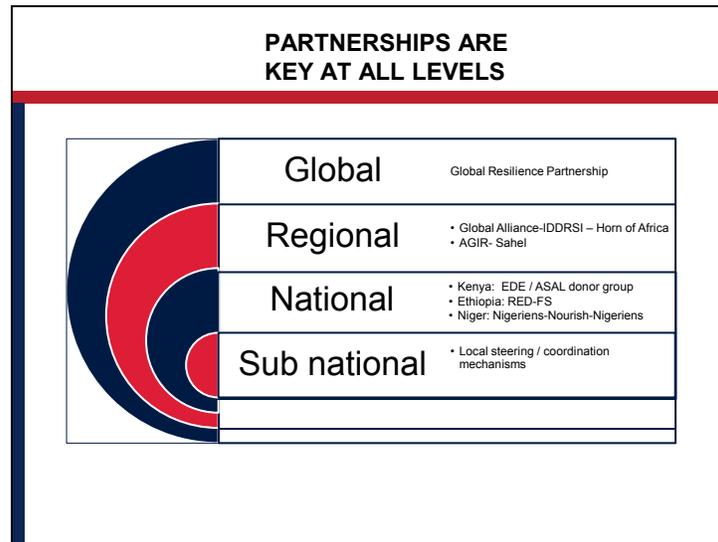
The correct answer is all of the above. Recall that these outcome measures are used alongside resilience capacity measures, but do not constitute measures of resilience themselves.

Slide 35: Section 6: Resilience Partnerships



Section 6: Resilience Partnerships

Slide 36: Partnerships are key at all levels



Partnerships are a critical aspect of our resilience efforts. These partnerships exist in multiple levels:

At the global level, a key example being the Global Resilience Partnership with the Rockefeller Foundation and Swedish Sida; regional partnerships that I will describe on the next slide; national partnerships that align our investments behind country-led efforts, examples include the Ending Drought Emergencies strategy in Kenya, and the 3N or Nigerians Nourish Nigeriens strategy in Niger. Partnerships are also critical at the sub national level.

It is also important to realize that these partnerships at various levels are interconnected or nested. For example, partnerships at county level in Kenya connect up to each other through the Ending Drought Emergencies strategy and work of the Arid and Semi-arid Lands Donor Working Group. Through this, we insure that partnerships happening in Nairobi connect back to partnerships on the ground in counties and also connect up to the regional partnerships through the Global Alliance for the Horn of Africa and IGAD.

Slide 37: Aligning Donor Support with Country-Led And regional Resilience Plans

ALIGNING DONOR SUPPORT WITH COUNTRY-LED AND REGIONAL RESILIENCE PLANS	
A Global Alliance initiative to support resilience in Africa	
Horn of Africa Global Alliance for Action for Drought Resilience and Growth <ul style="list-style-type: none">• An informal network of development partners working to support drought resilience agenda in the Horn of Africa.• USAID has served as Secretariat of the Global Alliance since its creation in 2012 in response to the Nairobi Summit Communiqué.• Supporting country and regional drought resilience frameworks and aligning donor priorities and programs on resilience.	The Sahel Global Alliance For Resilience - Sahel and West Africa (AGIR) <ul style="list-style-type: none">• Network of technical and financial partners working to support drought resilience in the Sahel.• Launched in 2012 it aims at improving synergy, coherence, and effectiveness of resilience initiatives in the region.• Operates under the political and technical leadership of regional institutions: ECOWAS, UEMOA, CILSS.

One critical set of partnerships relates to the Global Alliance initiative to support resilience in Africa. This includes the Horn effort, in which the Global Alliance, made up of an informal network of development partners, work to support the drought resilience at both regional and country level. USAID has served as the Secretariat for the Global Alliance since its creation in 2012 following the Nairobi summit.

In the Sahel, AGIR operates under the political and technical leadership of regional institutions including ECOWAS, UEMOA and CILSS, with the support of a network of technical and financial partners, including USAID, working to support drought resilience.

These regional efforts connect down to country-led efforts in various countries within these two regions.

You can click on AGIR to access more information about that effort.

Slide 38: Global Resilience Partnership

GLOBAL RESILIENCE PARTNERSHIP

- Aims to help vulnerable people in the Sahel, the Horn of Africa, and South and Southeast Asia better adapt to shocks and chronic stresses and invest in a more secure future.
- Initial total commitment of \$150 million from USAID, the Rockefeller Foundation, and the Swedish International Development Cooperation Agency (Sida).
- Global Resilience Challenge—the Partnership's first activity (launched in September 2014)—is a three-stage grant competition focused on identifying barriers and developing locally driven, high-impact, scalable solutions that build resilience in the three focal regions.



GLOBAL
RESILIENCE
PARTNERSHIP

Another critical partnership is the Global Resilience Partnership between USAID, Swedish Sida and the Rockefeller Foundation.

The Partnership's specific goals include:

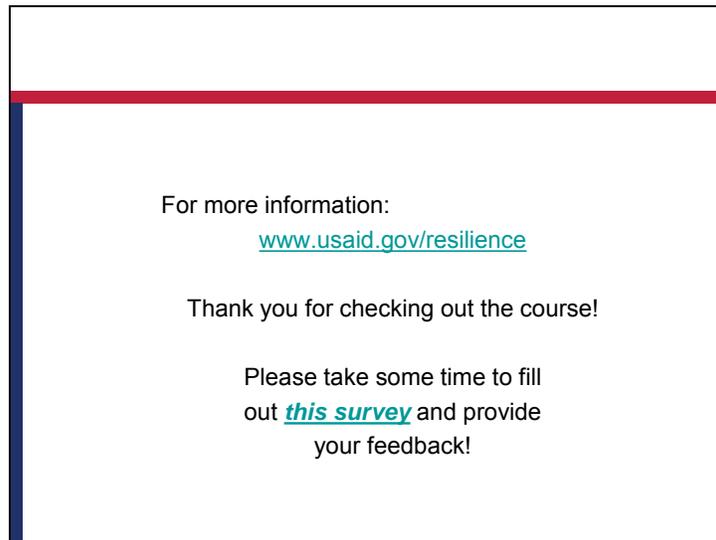
- Developing new models for accessing, integrating, and using data and information
- Advancing evidence-based tools and approaches to help prioritize and scale up the most promising resilience investments and innovations, and
- Promoting more effective integration of development and humanitarian resources.

The intent is to support regional efforts, country-led efforts, and local efforts through this Global Resilience Partnership.

The Global Resilience Challenge is a three-stage grant competition focused on identifying barriers and developing locally driven, high-impact, scalable solutions that build resilience in three focal regions.

For more information about the Resilience Partnership and Challenge, click on the logo to visit <http://www.globalresiliencepartnership.org/>

Slide 39: Conclusion



For more information:
www.usaid.gov/resilience

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