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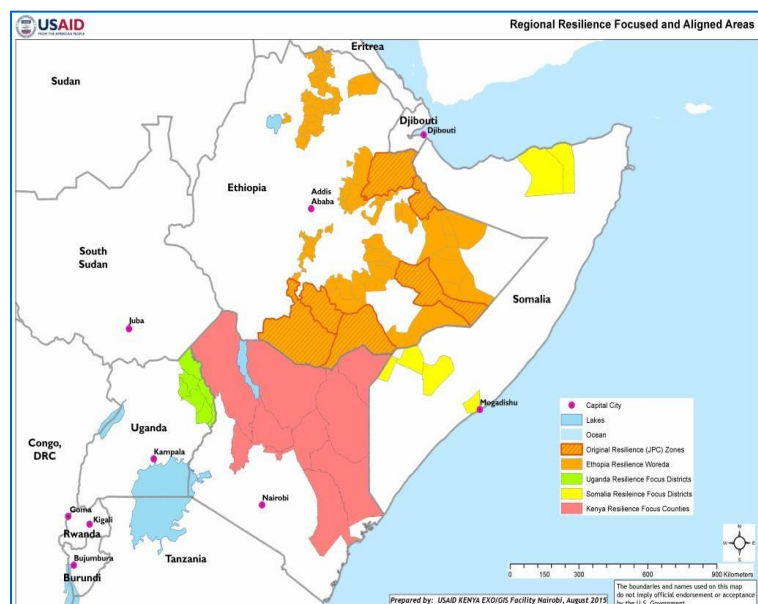


THE HORN OF AFRICA RESILIENCE NETWORK (HoRN) REGIONAL RESILIENCE FRAMEWORK 2.0

NOVEMBER 2016

The Horn of Africa Resilience Network (HoRN) supports USAID’s mission to end extreme poverty and promote resilient, democratic societies. The HoRN comprises USAID missions and offices in Kenya, Ethiopia, Uganda and Somalia and from the regional office. The HoRN also consists of USAID implementing partners with programs operating in the resilience-focused and aligned zones of influence.

The HoRN includes national governments and regional institutions such as the Intergovernmental Authority on Development (IGAD), development partners and other donors. The objective of the HoRN is to strengthen regional and cross-border collaboration and improve evidence-based learning.



From 2012 to 2016, the HoRN used the Regional Resilience Framework to guide resilience investments. Informed by evidence and learning over the last four years and as a demand-driven product, the Regional Resilience Framework 2.0 will serve as a common reference for resilience programming throughout the region. It will inform program design to ensure that they are risk-informed and shock-responsive. The framework has real value only if USAID missions and partners understand the kinds of activities, objectives and goals that resilience programming strives to achieve. The following narrative elaborates the framework. We anticipate that it will generate critical thinking that leads to action

for those who wish to use resilience as a lens through which to positively impact vulnerable individuals, households, communities and systems.

The Regional Resilience Results Framework 2.0

VISION: People, households and communities in the Horn of Africa drylands escape poverty and chronic vulnerability and are resilient in the face of recurrent shocks and stresses.

Outcome: Increased resilience of chronically vulnerable individuals, households, communities and systems (absorb, adapt and transform).

If we collaborate; use risk-informed and shock-responsive approaches to strengthen and leverage social capital, women’s empowerment, youth and aspirations to expand viable economic opportunities; strengthen institutions, systems and governance; and improve and sustain human capital, then vulnerable households and communities will be more resilient in the face of shocks and stresses. The vision suggests achievement of a range of positive impacts, such as sustained reductions in humanitarian assistance needs, prevalence/depth of poverty, household hunger and acute/chronic undernutrition. These impacts are the high-level indicators for the USAID resilience approach.

COVER PHOTO: Traders negotiate the sale of livestock at a newly built livestock market in Isiolo County, Kenya. The market was built with funding from the U.S. Government Feed the Future initiative and benefits 11,000 households. Since its construction in 2015, market days have increased from once every two weeks to once a week. **CREDIT:** USAID • RANELLE SYKES



Women engage in preparation of hay bales at Mlima Chui fodder production demonstration site. Livestock is a major source of income for pastoralist families in Northern Kenya. However, cycles of drought make it difficult for them to provide sufficient pasture for their animals. Cultivating land that is well-suited for grazing helps these communities keep their herds healthy by restoring grass cover in dry areas. CREDIT: USAID • ERIC ONYIEGO

I. Resilience Program Components

Fourteen intermediate results (IRs) are arranged around three objectives. The arrangement of IRs and objectives in the framework demonstrates that in addition to the hierarchical relationship between IRs, objectives and intermediate and topline goals, relationships exist between objectives. Many IRs contribute to multiple objectives.

Each IR and objective includes the concept of contributing to the goal of inclusive growth for populations. Each also contributes to building the resilience capacities (assets, resources and strategies) that enable growth and other well-being outcomes to be achieved and sustained in the face of shocks and stresses common to the risk environments in the drylands of the Horn of Africa. As USAID and partners contribute to inclusive growth in an environment where shocks (small, medium and large covariate shocks and idiosyncratic shocks) are a constant feature, it is essential that progress is resilient to the negative impacts of these shocks and stresses. Therefore, almost all IRs and objectives include a focus on a sustained, viable, reliable or secure result of the activities contributing to that IR and objective. In this context, this idea encapsulates the issue of sustainability, but also includes resilience of the activities to shocks and stresses.

During the 2016 El Niño-induced drought crisis in Ethiopia, partners found that increased access to financial services in an extremely vulnerable area and population resulted in increased resilience capacities. Yet when the drought reached its peak, the crisis environment accentuated administrative bottlenecks in the financial services mechanism developed with support of the USAID partner. The result was that at the peak of the shocks' impact on people's financial resilience, access to financial services was no longer available.

Based on this lesson learned, the mechanism was adapted mid-course to ensure that in addition to increasing access to financial services, this access is also secure during any future shocks.

Objective I. – Expanded and Viable Economic Opportunities

USAID and its partners expand viable economic opportunities by supporting the development of **diversified**, and **intensified** livelihood opportunities to achieve sustainable and viable improvements in income, food insecurity, accumulation of assets and capacity to absorb and adapt to shocks and stresses. As a result USAID and its partners contribute to increased and sustained economic well-being. In a context where livelihoods in the arid lands are in an accelerating transition process, rural urban linkages, youth aspirations, employment and women's empowerment issues need to be taken into account in the balance of effort dedicated to support diversification of livelihood risk profiles and intensification of livelihood opportunities. A mix of efforts to support livelihoods that ensure flexibility in the event of shocks and a range of risk-informed options are necessary to strengthen resilience capacities, facilitate inclusive and economic growth and achieve sustainable improvements in well-being.

➤ IR 1.1. Diversified, sustainable and resilient economic opportunities.

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

Ensuring diversified livelihoods includes options that are less susceptible to climatic variability, drought and other significant sources of livelihood shock (for example, insecurity) will reduce the covariate risks of vulnerable communities relying on the same limited set of climate-sensitive economic activities. Efforts to aid diversification of livelihood options should be context-specific and aware of the enabling environment to take advantage of selected livelihood options. Access to diverse livelihood options, including less climate-sensitive options, ensures that increasing economic well-being is sustainable. These options also include employment, both in and beyond the agriculture and livestock sectors and in both rural and urban settings.

Many vulnerable households rely heavily on local labor opportunities for income. Supply and demand for labor is often climate-sensitive. For example, harvest seasons cause high labor demand at the same time that casual workers need to work on their own small-scale harvest activities. On the other hand, drought can result in very low farm-related labor demand just as the most vulnerable urgently need casual labor income.

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

Livestock is a major source of livelihood among poor households in the Horn of Africa. The sector requires support to improve market access and private sector initiatives to reduce the pressure on the fragile environment, create jobs for the youth and improve nutrition, particularly for mothers and children. Favorable policies and investments that facilitate access to grazing areas, enhance market access, expand regional trade and related infrastructure, well-planned water sources and capacities to transform livestock into high-value products are likely to improve the performance of the sector and well-being of poor households. Also, control

of transboundary and trade-limiting livestock diseases, harmonization of approaches between countries and support to export trade are likely to increase the contribution of livestock to the economies of the region. Supporting the development of high-potential livestock and crop value chains provide the foundation to **intensify** the positive contributions of agriculture and livestock to livelihoods. Expanded livestock and crop-based economic opportunities for women and men are linked to approaches to improve access to and management of multi-use water resources and contribute to the empowerment of women.

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

Facilitating improved and secure access to financial services will provide the capital needed to actively contribute to the intensified and diversified livelihood options described above. Access to services such as savings, credit, money transfer and insurance — including for the most vulnerable and with particular attention to women — provides households with more flexibility and options to absorb and adapt to idiosyncratic shocks such as illness in the household and reduces the risks of migration and urbanization. Reliable and secure access to these services, even in the midst of a livelihood shock, will further promote capacities.

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

Improved physical market infrastructure pieces such as roads, telecommunications and related processing facilities are a critical part of the enabling environment to promote increasing economic well-being while contributing to transformation of the resilience capacities of households, communities and systems.

Objective 2. – Strengthened Institutions, Systems and Governance

Facilitating development of effective and inclusive leadership and governance mechanisms and institutions, in particular for the management of natural resources, conflict and safety nets and disaster risk, contributes to improving economic well-being. Collective impact through the use of a complementary balance in the roles and responsibilities of state, non-state actors and communities (civil society and community organizations) helps develop the resilience capacities of the systems themselves, further contributing to economic growth and well-being and ensuring sustained growth and well-being gains in the face of recurrent shocks and stresses.

➤ **IR 2.1.** Strengthened and sustained natural resource management (NRM).

Sustainable NRM optimizes the use of resources to meet current livelihood needs while maintaining and improving the stock and quality of resources to enable future generations to meet their needs. Strengthening the capacity of communities, civil society and government in NRM is an important element of building resilience. Facilitating the secure and equitable access to natural resources further expands economic well-being and links to Objective 1. Inclusive and equitable NRM also contributes to IR 2.3 by reducing the drivers of conflict and increasing the incentives for collaboration.

➤ **IR 2.2.** Strengthened disaster risk management (DRM).

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

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

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

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

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

➤ **IR 2.5.** Reliable safety nets.

Safety nets include both **formal safety nets**, such as the Productive Safety Nets Program (PSNP) in Ethiopia and the Hunger Safety Nets Program (HSNP) in Kenya, and **informal safety nets**, such as gifts, borrowing and remittances. Informal safety nets have strong links to social capital (discussed elsewhere in the narrative) and their contribution to resilience capacities. The development of reliable formal and informal approaches to cushion the impact of shocks and stresses is essential in the strengthening of resilience capacities.

Objective 3. – Improved and Sustained Human Capital

Increased economic well-being (Objective 1) and strengthened leadership and governance systems (Objective 2) will result in improved human capital, including increased availability of, access to and utilization of health, educational and water, sanitation and hygiene (WASH) services. Improved human capital contributes equally to objectives 1 and 2. Studies in the Horn of Africa and elsewhere have demonstrated that human capital is as important in the development of resilience capacities and economic growth as objectives 1 and 2 in the resilience framework.

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

➤ **IR 3.1.** Increased and sustained availability of, access to and utilization of health services.

The impact of health services on resilience capacities, economic growth and well-being depends on the availability of health services at the community and facility levels. But — crucially — it also depends on the population's access to and utilization of the services, which rely on the physical context but also many other “softer” issues, such as gender, women's empowerment, social capital, inclusiveness and quality of services and satisfaction with the services. The ability to access and utilize services in a chronic shock environment in the arid lands requires flexibility in how the service is made available and options for households and communities to utilize the services.

➤ **IR 3.2.** Improved and sustained health, nutrition and hygiene practices.

Individual, household and community health, nutrition and hygiene practices are the foundation of well-being related to health. Health-related idiosyncratic and covariate shocks also result in Objective 1 being constrained in its potential to contribute to economic growth. The success of the health system and its contribution to human capital is built on the preventative and promotive behaviors of the users of the health system.

➤ **IR 3.3.** Improved and secure vocational, entrepreneurship and employment skills (workforce).

To take advantage of the expanded economic opportunities promoted in Objective 1, members of the arid lands workforce need a variety of skills. Vocational and entrepreneurship skills can provide more ways to diversify livelihood options, but not all will have the aptitude or aspiration to take advantage of these opportunities. Therefore, employment is a significant livelihood option for inhabitants of the arid lands, particularly youth and those migrating to urban areas. Soft employment skills that are required to make this livelihood option successful and sustainable are essential elements of the IRs that support the development of

resilience capacities. Support for the enhancement of workforce skills needs to ensure that a context-specific analysis of risk profiles — particularly climate-related risks — of the options offered are taken into account.

➤ **IR 3.4.** Improved educational attainment.

Evidence clearly demonstrates that educational attainment at all levels is a key underlying factor in developing resilience capacities and economic growth and well-being. Access to education opportunities is improving, but remains severely constrained in the arid lands. Without a focus on ensuring access to and utilization of sustainable education services, the vision of USAID’s resilience approach will not be attained.

➤ **IR 3.5.** Increased and sustained availability of, access to and utilization of WASH services.

In the arid lands, availability of, access to and utilization of water are key mediators of most of the other IRs and objectives of the framework. For instance, conflict related to water resource management is common. As women are the principal utilizers of water for household use, analysis of issues related to their sustainable access to and use of water is also important. Clearly, intensification and diversification of agriculture and livestock production-related livelihoods also require a secure, sustained access to and utilization of water services. As discussed for health services above, access to and utilization of WASH services are related to a wide range of issues discussed in the resilience framework and not only to availability of or physical access to WASH services.

Sanitation and hygiene (discussed above) are key mediators of health-related well-being, including undernutrition. Household and community health-related shocks have an equally negatively impact on realization of the full benefits of increased economic opportunities (Objective 1).



USAID’s partners in the field use WATEX and iGens technology to locate sites suitable for the development of water schemes—including this one near Waji, a village in Ethiopia’s Somali Region. When the Waji scheme is finished, its 6 kilometers of pipeline will deliver water to three water points and four animal troughs and serve more than 12,000 people in six communities. CREDIT: USAID • KELLY LYNCH



Member Hodan Kahin received 10,000 Birr in credit when the Hartisheik Rural Savings and Credit Cooperative (RUSACO) gave out its first round of loans. Hodan used the money to diversify the goods she was selling in her shop. Seeing how the RUSACO's members had prospered, other women from the community asked to join them. Hartisheik RUSACO now has 48 active members. CREDIT: USAID • KELLY LYNCH

2. Risk-Informed and Shock-Responsive Programming

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

2.1 Risk-Informed Programming

A joint analysis of shocks and stresses and their related risks is an essential first step in risk-informed programming. An understanding of context-specific shocks then leads to including processes to prepare for, prevent, respond to and recover from the impact of the shocks into the planning and implementation of

resilience activities across humanitarian and development programming. Risk-informed programming recognizes the perennial nature of shocks and, in many cases, the predictability of these shocks. Examples of risk-informed humanitarian aid include optimum scheduling to distribute additional resources to vulnerable communities, based on an analysis of the timing of risks of predictable shocks such as floods, peaks in disease incidence and undernutrition or climate-related conflict. Embedding humanitarian aid into wider resilience and development approaches can also contribute to resilience. For example, embedding triggers for short-term increases in direct assistance for livestock health issues into a development approach to intensifying livestock value chains can contribute to improved, resilient and sustained economic opportunities. Risk-informed development programming is an essential feature of IRs for DRM, conflict management, NRM and safety nets, but should also be applied across all of the IRs in the resilience framework.

2.2 Shock-Responsive Programming

As a defining feature of shocks to livelihoods in the arid lands, health and well-being are constant and vary in intensity, scale and duration. Communities and systems in the arid lands are becoming more resilient, and risk-informed programming can help build resilience capacities to predictable shocks. But during this process, some shocks will undoubtedly occur and overwhelm these capacities. Without direct assistance to respond and protect existing resilience and development gains, any progress will be slowed or even reversed. Therefore, an essential component of a resilience approach is ensuring that humanitarian and development programs that make up the resilience portfolio in each country have the flexibility to respond to the needs of communities and systems when their capacity is overwhelmed. While the timing of the need for shock-responsive programming may not always be predictable, the likelihood of a shock occurring in the program cycle is high and should be assumed. It is therefore essential that both humanitarian and development programs are flexible enough to respond to prominent shocks such as droughts and that this need for flexibility is built into process of the design, planning, contracting and implementation.

2.3 Sequencing, Layering, Integration and Collective Impact

By working together better, USAID partners, activities, processes and structures will increase the resilience of chronically vulnerable individuals, households, communities and systems. **Sequencing, layering and integration** is an operational expression of how to do this. The assumption is that **collective impact** will be promoted and result in a synergistic effect on resilience capacities. The “sequencing, layering and integration” formulation is not intended to imply that development of resilience capacities is possible only through one of these approaches. Resilience capacities are relevant to all IRs and objectives and are a necessary condition to achieve all outcomes in a complex risk environment. Evidence suggests that working across and transcending sectors can develop resilience capacities more effectively and efficiently.

Sequencing, layering and integration starts with joint analysis and planning. Opportunities to sequence, layer and integrate should be considered in analysis and planning, interventions, funding streams and humanitarian and development programming, as discussed above in the section on shock-responsive programming. It should also be considered across levels: community, sub-regional, regional and national.

Sequencing describes the development of resilience capacities as 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 development of resilience capacities requiring a wide range and multiple layers of intervention and support. No single 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.

[Collective impact](#) is a framework to tackle deeply entrenched and complex social problems. It is an innovative and structured approach to making collaboration work to achieve significant and lasting social change. The principles of collective impact (a common agenda, consistently measuring results, mutually reinforcing activities, continuous communication and a backbone organization) can be promoted to strengthen resilience efforts. Collective impact can be utilized at community, sub-national, national or regional levels.

Resilience Capacities

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

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



TOP: Angela Lokinei enjoys tending to her kitchen garden with her children in Isiolo County, Kenya. The garden produces enough spinach and kale for consumption at home. “The kitchen gardens have helped improve health of my children, who enjoy well-cooked meals with vegetable. Previously our diet mainly consisted of meat,” she said. CREDIT: USAID • ERIC ONYIEGO

LEFT: Livestock traders Sofia Mohamed and Abdi Gursum discuss a sale at the livestock market in Jigjiga in Ethiopia’s Somali Region. Sofia has been working to support her family since her husband lost his job. Abdi is an established trader, working with large amounts of capital.

CREDIT: USAID • KELLY LYNCH



A community member in Isiolo County, Kenya, prepares grass seeds for planting animal fodder at Mlima Chui fodder production demonstration site. Livestock is a major source of income for pastoralist families in Northern Kenya. However, cycles of drought make it difficult for them to provide sufficient pasture for their animals. CREDIT: USAID • ERIC ONYIEGO

3. Key Thematics

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

3.1 Collaborate, Learn and Adapt

The USAID resilience approach highlights the need for learning — an essential element of resilience because the approach is new and involves learning about a process and requires a systems thinking approach rather than an activity-based approach. Learning is also important because resilience approaches are used in areas where change is a constant characteristic of the environment and context and environment are key mediators of the outcomes and impacts of resilience approaches. Therefore, to be successful, resilience approaches should be adapted to the local culture, context and environment — that is, finding local solutions to local problems. Because of the highly changeable environment learning about local solutions needs to be transferred into action using an adaptive management method where context and change specific adaptations are made in an iterative fashion. The need for **collaboration, learning and adaptation** applies to individuals, households, communities and systems, as well as to USAID, partners and networks that are supporting development of resilience capacities. A resilient community needs to have the capacity to learn about what works, understand what the risks of each option are, have the skills to choose the best strategy for the given circumstances and

learn how to further adapt that strategy to changing local conditions. The same is true of the arid lands livelihood systems and a USAID partner's program intervention.

3.2 Social Capital, Gender, Youth and Aspirations

Social capital: Recent evidence from resilience programming in the arid lands of East Africa has demonstrated the importance and often-intangible influence of social capital in the adaptive capacities of communities and their contribution to resilience. Three elements describe how to view social capital as a social network:

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

Evidence in resilience programming — but also on a much wider scale — emphasizes the importance of these types of social capital as the glue that binds the other types of livelihoods assets and resilience capacities. Simple examples already used in resilience and resilient development programming include market price information systems (linking) or table banking (bonding and bridging) or community development committees (linking, bonding and bridging). The resilience approach should systematically include consideration of existing social capital, how social capital can be developed and what the best combinations of social capital are for the circumstances and context of the arid lands of East Africa.

Gender is one of the most important mediators of how the context and environment interact with the resilience capacities of individuals, households and communities. For example, exposure and sensitivity to a shock or stress usually differs according to gender, so a context-specific, risk-informed approach to an objective — such as Objective 1: Sustained expanded economic opportunities — will require a specific analysis and adaptation of programming based on gender factors that include consideration of women's empowerment..

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

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



Kenyan women in Oldonyiro, Isiolo County, make and sell their elaborate beadwork as an alternative source of income for their families, in addition to livestock keeping. To be resilient in Northern Kenya, where droughts are striking more frequently, families need adequate resources to fall back on in times of need. CREDIT: USAID • RANELLE SYKES

Regional Resilience Framework 2.0

