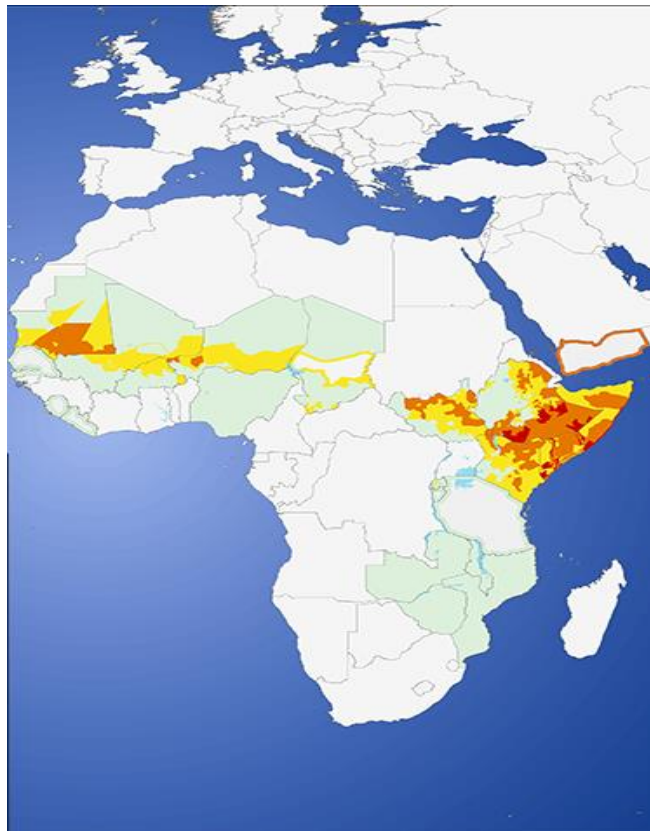


Exchange of Practices and Lessons Learnt on Resilience Building in the Horn of Africa and the Sahel Regions

Dakar, 2-3 July 2013

Workshop Report



1. Introduction

On 2-3 July 2013, OCHA's Regional Offices for East Africa (ROSEA) and West and Central Africa (ROWCA), together with UNDP, organized, in Dakar, Senegal, an exchange on practices and lessons learnt on resilience building within and between the Horn of Africa and the Sahel regions. Participants included representatives from national governments, UN agencies, NGOs, regional organizations and researchers/academics.

The concept of resilience is not new, but it has become central to the humanitarian and development discourse, particularly in contexts of chronic vulnerability. The resilience paradigm is driven by the recognition that emergency assistance alone cannot provide sustainable solutions to humanitarian crises. In 2011 and 2012, respectively, the Horn of Africa and the Sahel regions suffered from acute food security and nutrition crises with more than 30 million people affected across both regions. These regions have become the focus of the recent and increased attention placed on resilience as a guiding principle for humanitarian and development assistance.

The purpose of the workshop was to promote a cross-fertilization of experiences between the Horn of Africa and Sahel regions vis-à-vis resilience and highlight practices and lessons learnt in implementing resilience programming. The expected outcomes were three-fold: 1) to create an informal community of practice for exchange between the two regions; 2) to document the approaches being used to help formulate better guidance on resilience; and 3) to contribute to a report for the Inter Agency Standing Committee (IASC) on humanitarian assistance vis-a-vis resilience, including on how to improve linkages between humanitarian and development planning processes.

The agenda (*see agenda in annex*) was organized around the programme cycle, looking specifically at the topics of targeting, coordination, planning, programming and measurement/monitoring.

The workshop was officially opened by the Regional Humanitarian Coordinator (RHC) for the Sahel, Mr. Robert Piper. In his remarks, the RHC noted that despite some notable improvement in our response to disasters, a significant gap still existed in preparedness, risk reduction, early warning systems and analysis efforts, as well as in the institutions that manage disasters. He emphasized the importance of working together (humanitarian and development actors), noting that working in isolation is no longer an option- it has failed. He urged governments to develop a culture of "duty of care" for the welfare of their populations by investing in social safety nets. He concluded by saying that vulnerability needed to find a central place in development planning and investment programs.

2. General Conclusions

1. Business as usual in the way humanitarian and development action should be undertaken in both regions is not acceptable. Economic development has not been successful in helping the most vulnerable, and humanitarian assistance does not provide a long-term solution. A resilience-focused approach is a viable and useful alternative.
2. Governments supported by humanitarian and development actors as well as regional organisations need to lead in the building of the resilience of vulnerable communities to absorb shocks (i.e. related to drought, conflict and other hazards) and to benefit from development.
3. Where governments are unwilling and/or unable to take the lead on the resilience issue, a “coalition of the willing” should be put in place. At the same time, it is not necessary or desirable to establish a new architecture or institutions for promoting resilience.
4. Working more closely together and aligning efforts of various actors and sectors under a coherent, long-term strategy is critical to overcoming structural causes of vulnerabilities; duly critical is regional, national and local ownership and participation.
5. Promoting joint analysis, targeting and programming is essential for resilience programming.
6. There continues to be a lack of detailed understanding as to how to ‘operationalize’ a resilience-based approach. This gap needs to be tackled as a priority.

3. Targeting for Resilience

Programming for resilience needs to be based on better targeting of affected households, communities and institutions. While several tools already exist, particularly to target beneficiaries for emergency assistance, these may not always translate into ‘resilience programming’ indicators.

This session explored the question of how to identify people and communities that should benefit most from resilience building. The session panelists were:

1. Mark Gordon - Food security cluster coordinator, WFP Somalia.
2. Jerome Bernard – Regional Food Security Advisor for Save the Children, West and Central Africa.
3. Peter Gubbels – Regional Facilitator for West Africa, Groundswell International.

The panelists and subsequent discussion covered issues including: (i) whether resilience approaches were relevant only to arid lands, or also to other areas such as urban and peri-urban settings; (ii) different approaches to prioritize for resilience programming; (iii) processes and tools for targeting, information/data requirements for targeting.

Conclusions of the session included:

- The need to build resilience among the most vulnerable people is essential, in particular the very poor and “those who are repeat clients of humanitarian assistance”.
- In the Horn of Africa and Sahel regions, those living in arid lands and pastoralists/agro-pastoralists are priorities, although we need to recognize that there are vulnerable people in all areas and groups. Urban and peri-urban settings are increasingly important.
- The “most vulnerable” are not a homogenous group and the communities we deal with are dynamic. Therefore, we need to take into account the specific needs of individual communities, households and even individuals. Disaggregating the needs within the target group is critical.
- Geographical area will inevitably be an important entry point for targeting resilience. The district level is one that fits with government budgets and processes. However, we need to be cautious not to over simplify.
- While some argued that targeting should focus on the “most vulnerable”, others participants pointed out that resilience should be about “harnessing capabilities” and protecting developments gains then targeting should go beyond “targeting the most vulnerable” and build on the potential of communities.
- A targeting process should combine analysis of trends and underlying indicators of vulnerability, discussion with implementing partners and – critically – consultation with beneficiaries.
- Targeting needs to take into account factors such as livelihoods, seasonality, coping strategies, community power and dynamics. Gender-specific analysis is also critical.
- There needs to be a process/forum for ensuring that partners can jointly decide on how to ensure coverage and complementarity of programming across the targeted group.
- Supporting governments to improve collection and sharing of primary data is key. This will also help prevent “survey fatigue” (and in some cases, manipulation) among potential beneficiaries.
- Targeting is stronger in the humanitarian field. We need to improve the targeting of DRR, climate change adaptation, agricultural and economic development to make sure they also benefit the most vulnerable.

4. Coordination of Resilience Initiatives

To capitalize on the minimal funding available for resilience building, it is imperative that governments or regional bodies take a strong leadership role by convening and facilitating the development of strategic action plans to address chronic vulnerabilities in their respective territories. If governments are unwilling and/or unable to play this role, the UN is encouraged to assume a lead role and convene resilience actors-- a ‘coalition of the willing’-- to including relevant government entities.

This session explored how to coordinate resilience efforts, with a particular focus on the role of national governments and regional organisations. The session panelists were:

1. Morongei Sunya - Director of the Technical Department, National Drought Management Authority, Kenya.
2. Hassane Mamaoudou - Adviser to 3N High Commissioner, Niger.
3. John Patrick Kabayo –Drought Resilience Initiative, IGAD.

The panelists and subsequent discussion covered issues of: national leadership on resilience initiatives, strategic planning and resource mobilization, and the role of regional organisations.

The Kenyan example emphasized the importance of the government showing strong leadership by developing policies and putting in place institutional reforms such as the establishment and strengthening of relevant institutions to coordinate these efforts. The revised Kenyan Constitution (2010) includes a provision that calls for mainstreaming of a certain percentage of the government's revenue in planning and budgeting processes both at the national and local level (through the counties fund). This action is to support the achievement of sustainable development in the northern part of the country as well as other Arid Lands, which have been identified as the most vulnerable areas. Investment in infrastructure and human resource are key priorities of the government for the next 20 years.

The 3N Initiative “Les Nigériens nourrissent les Nigériens” underscored the importance of the government's role in creating a favourable environment for consultative processes around resilience - resulting in the development of the 3N Initiative's five year plan and the Social Protection Initiative. The latter emerged from pilot activities of UN agencies and international NGOs, including Save the Children, which eventually attracted the Government of Niger and World Bank to invest in the scale-up of these projects. From this example, we also note the government's commitment by including a budgeting element in the country's Constitution and setting aside of funds to kick start resource mobilization efforts.

The IGAD presentation highlighted the importance of regional solutions. Socio-economic & ecological aspects of the pastoral and agro-pastoral production systems in the Horn of Africa have converged to undermine the resilience to droughts and other shocks. The 2011 summit held in Nairobi resulted in a political declaration aimed at supporting a peaceful and prosperous region free from hunger, self-sustaining and resilient. A 15-year IGAD Drought Disaster Resilience and Sustainable Initiative (IDDRSI) has since been developed and institutional arrangements put in place for coordination. Additionally, a Regional Programming Paper and Annual Action Plan have been finalized and are currently being rolled-out at the country level through Country Programming Papers (CPP).

Conclusions of the session included:

- National governments should assume primary responsibility and leadership for coordination, with the support of regional organisations and partners.
- At the national level, nothing can be achieved without political commitment, and often policy, institutional and regulatory reforms are needed.
- National governments need a single strategy for resilience, which takes into account short, medium and long term actions. This strategy needs to be mainstreamed in the national budget.
- High-level political support/engagement is critical to ensure multi-sector or “whole-of-government” approach.
- There should be a participatory process in determining priorities. Local-level focus and capacity is very important. It may be necessary to invest in building the capacity of local authorities to develop proposals and manage programmes and funds.
- There should be a clear process of engagement with development partners, including through the identification of priority programmes with associated costs, which can be presented to partners as part of an overall strategy. This can support effective resource mobilization.
- Regional organisations can help share experiences and mobilize resources, and act as a forum for addressing regional and cross-border issues. They can support the development of effective national plans and strategies, where capacity is limited.

5. Planning for Resilience

Resilience building is a long-term process that requires a coherent and strategic planning tool which should provide complementarity across short, medium and long term interventions based on a common analysis of the situation. Humanitarian planning cycles are considered short term, usually one-year periods - hence not appropriate for resilience programming. At the same time, development planning cycle, such as the UNDAF, tend to be too static.

This session explored the question of how to plan effectively for resilience across multiple actors and sectors. In particular, it considered existing planning frameworks within the UN system and with international partners. The session panelists were:

1. Thomas Gutner. United Nations HC/RC Chad.
2. Jan Eijknaar. Technical Advisor on Sahel, ECHO.
3. David Alan Ratcliff. Sahel Regional Technical Officer, USAID.
4. Jose Lopez. Head of Programmes, FAO Somalia.

The panelists and subsequent discussion covered issues including: (i) national ownership and participation in planning processes; (ii) the importance of

overarching vision and strategy; (iii) synchronizing humanitarian and development planning cycles; and (iv) barriers to scaling-up joint planning.

Conclusions of the session included:

- Ideally, national and regional actors should take the lead in all relevant planning processes which involve many actors. It is vital that the respective planning processes of different actors and sectors identify synergies and, through strong leadership/coordination, ensure complementarity.
- In situations where the government might be weak or lacks political will to engage on resilience programming initiatives, several other models have been used. For example, in Chad, a local-level approach has been used; in Somalia, agencies have worked to develop a joint strategy. Where government is not taking the lead, it is important to (re)establish the link between authorities at the local level and communities.
- The success factor is having a common vision and long-term strategy, with division of labour between partners tasked according to their comparative advantage. The objective should not be merely about joint programming, but aligning actors around a joint vision.
- Planning needs to take into account existing processes and mechanisms to manage risk, as well as the capacity of authorities to manage said risk.
- It is necessary to harmonize the planning processes of government, and humanitarian and development agencies around a common cycle. Where this has successfully occurred, it has been the result of strong leadership and commitment from governments and other relevant actors (e.g. heads of agency, ministers, etc.).
- There are significant barriers to a joint planning approach. It requires significant investment from all actors involved, and addressing institutional reluctance to work together.
- Another fundamental challenge noted is the absence of dedicated capacity to support governments and/or other actors coordinating strategic planning processes; this gap exists within agencies as well.

6. Programming for Resilience

Activities that build resilience are poorly funded within humanitarian planning. Such resilience-building activities include emergency preparedness, DRR, livelihood diversification, management of eco-systems, setting policy measures to reduce vulnerabilities to external factors such as commodity prices, social protection and community empowerment.

This session explored what types of programming could contribute to enhanced resilience. The session panelists were:

1. Robert Dekker – Head of Programmes, WFP Senegal
2. Sophie Belay – Head of Resilience Programme, Oxfam, Ethiopia.

3. Odile Bulten – Emergency Specialist, UNICEF, Niger.
4. Yacouba Seybou – Programme Coordinator for COGERAT, UNDP, Niger.
5. Norbert Allale - Regional Disaster Risk Management Coordinator, IFRC, Sahel Office.

The panelists and subsequent discussion covered issues including: (i) programmatic priorities in relation to building resilience, (ii) new activities as compared to new programmatic approaches, and (iii) how planning and funding tools can better support programming for resilience.

The Rural Resilience Initiative (R4) from Ethiopia aims at stimulating sustainable rural development for the most at-risk individuals by providing a holistic risk management approach that (i) reduces risks through adaptation activities (e.g. improving natural resource management); (ii) transfers risk through insurance schemes; (iii) encourages productive risk-taking to increase production (e.g. accessing credit) and (iv) encourages and supports saving (e.g. risk reserves) to help households build sustainable and resilient livelihoods. In 2012, at least 76 villages were reached and a total of USD 322,700 distributed to 12,000 farmers.

UNICEF's presentation featured the promotion of key family practices (KFP) through a safety net programme for the most vulnerable. To be effective, the UN office in Niger is supporting six pillars for resilience building, by: (i) reducing the prevalence of chronic malnutrition; (ii) strengthening the effective coverage of basic social services; (iii) supporting the implementation of the National Social Protection Policy; (iv) promoting social and behavioural change; (v) operationalizing preparedness and prevention mechanisms (e.g. DRR, CCA, PB); and (vi) fostering strategic partnerships for resilience. Assessments have indicated an improvement in the health status of children and of social changes reinforcing collective self-efficiency and social cohesion. UNICEF initiative has fostered a strategic partnership with the World Bank.

The Projet de Cogestion des Ressources de l'Air et du Ténéré (COGERAT) supports eco-system restoration in the Agadez Region (a predominantly pastoral area) through activities aimed at conserving land and water resources. Such activities include sand silting, stone bundling, and other water resource management initiatives. There has been some notable improvement in the access of local communities to food safety: food and cash-for-work has resulted in the creation of animal feed banks and the establishment of cereal banks.

Through the African Risk Capacity (ARC) initiative, WFP Senegal has begun piloting the implementation of an insurance scheme similar to that used in Ethiopia. In addition, the agency, through partnership with NGOs, has supported Village Grain Banks (VGB) in eastern, central and Casamance regions, establishing over 600 cereal banks since 2009. The main objectives of the VGBs are: 1) to ensure access to food for a longer period; and 2) to stabilize local food prices during lean season. Community members put food in VGBs after harvest season which they can have then access during the lean season food for consumption or sale at reduced prices.

IFRC's presentation highlighted a program model used in Mauritania to build community resilience using the "TWIN-TRACK " approach. The food security program implemented in the region of Brakna and Moughata combined three phases-- emergency, early recovery and long term activities--with the most vulnerable being targeted in communities. As a result, households in the two regions of Mauritania were able to (i) increase food production by doubling agricultural production, (ii) reduce malnutrition through garden farming and (iii) increase their income. Several seed banks and community shops were also established and a good system of replenishment is in place to be managed by community members. The community shops facilitate access to basic household items (e.g. soap, food can, drink, and milk)

Conclusions of the session included:

- There was a consensus that programming is currently overly focused on emergencies and long-term economic development. There is a critical gap between the two that needs to be bridged over the 1-5 year timeframe.
- The following types of programming are important in building resilience: prevention of malnutrition, disaster risk reduction, climate change adaptation, social protection, natural resource management (e.g. of water and land), early action, conflict prevention, and livelihoods diversification.
- Resilience building efforts cannot be limited to supporting agro-pastoral communities. Given the current climate change and population dynamics in the Sahel, there is a need for an honest assessment of current approaches and an urgent need to define alternative sources of livelihoods other than agriculture in the Sahel
- Although these activities are already being undertaken in both regions, they need to be scaled-up and better targeted.
- Cash transfers risk transfers and sharing mechanisms (e.g. insurance and village grain banks) were seen as important components of resilience programming, especially when combined with other activities.
- There is already quite a lot of innovation taking place in resilience-building programming and should involve activities that holistically address risks and encourage new partnerships.
- Some common themes around programming were the need for sustainability, responding to demands of communities, building local capacity by providing equipment and training, and programming over longer time periods.
- The existing planning frameworks should be improved to support resilience programming which, to date, is insufficiently supported by the humanitarian or development planning cycles.

7. Measuring Resilience

This session explored how to measure the impact of resilience-strengthening efforts. The session began with a presentation by Dr. Katie Downie of International Livestock Research Institute. The subsequent discussion covered issues including: i) whether resilience indicators and methodologies differ from those already in use, (ii) what data is needed to support impact analysis, and (iii) the importance of common approaches and tools.

Measuring resilience is paramount given the multiplicity of actors, communities and institutional interests involved. However, to reach consensus on how to best assess or measure impact of resilience initiatives, a set of standards, “that rise above context” is crucial. Such standards would allow for comparison of results across national/regional levels, thereby enabling lessons learnt and justifying funding and “value for money” to donors.

Although indicators for success should ‘rise above the context’, for programming to be effective, resilience targeting, planning and programming must be context specific. Monitoring and evaluation of results need to be based on the specific types of initiatives undertaken—and such M&E needs to be anchored in a common conceptual framework of resilience measurement. One possible example of such a framework is the resilience index. This composite index needs to measure resilience at multiple levels, including household, community/village, district, and national levels. It needs to address absorptive capacity of households to withstand, manage, mitigate, and recover from major shocks. It also needs to measure adaptive capacity to diversify and strengthen livelihoods in relation to longer term trends and stresses. Finally, it needs to measure “transformative capacity” to address the policy and governance environment to enable and take to scale effective resilience initiatives. The aim of the framework to measure resilience should be to make achieving outcomes and impact “predictable”, such that it can be ascertained that a given level of investment will produce an accordant and predictable result.

Conclusions of the session included:

1. There is a clear need for an evidence base to understand the impact of resilience programming and help us with decision-making. However, it is very difficult due to the complexity of articulating indicators for success.
2. We need a common framework or basis to collect information on our collective activities so that information can help us understand our cumulative impact.
3. A systems approach – assessing how what we do affects resilience across economic, social and ecological systems – can be useful in understanding impact.
4. It is very important to discern those factors most critical to measure, as to not waste time collecting unimportant data. Data on its own is not knowledge, so we need to include qualitative information in our analysis.

5. Sharing data and information remains a big problem due to both technical challenges and institution biases towards information-hoarding. Improvements need to be made on both fronts.

8. Overall conclusions and next steps

Most of the useful initiatives undertaken across both regions (at regional, national, local level) had been to a certain extent *ad hoc*. There is still a long way to go before resilience is institutionalized or is supported in operational terms by the 'system'. However, we now have more information on how resilience will be mainstreamed by said 'system'.

In furthering a resilience approach, key issues to address are:

- How do we adapt our current systems (e.g. the CAP and UNDAF) to better support resilience?
- How does the multi-sector, holistic approach needed for resilience fit with our sector-based model of aid and coordination?
- How can governments be better supported to provide overall leadership and coordination?
- How do we create incentives for organizations to participate in a joint approach and resolve challenges around institutional mandates and "turf"?
- Do we need a new funding model or mechanism for resilience or can those that exist be adapted?

Participants agreed on a number of practical next-steps, including:

- To continue cross-regional exchange, including by convening a follow-up discussion in a one-day side event at the next IGAD annual planning meeting, scheduled for March 2014.
- To analyze how the CAP process could be adjusted to support resilience programming. Ideas included identifying countries with CAPs in both regions which may wish to adopt a longer term integrated planning approach, and support them as appropriate (OCHA)
- To establish a platform to capture and share resilience practices.
- To use the information gathered towards an IASC guidance note on how to plan and programme paying particular attention to synergies between humanitarian and development actors.

Annex 1

Exchange on Practices and Lessons Learnt on Resilience Building in the Horn and the Sahel

Novotel Hotel, Dakar, 2-3 July 2013

Agenda

Time	Session	Contributors
DAY 1		
09:00 – 10:30	Opening Remarks Presentation of the Agenda and Objectives An overview of resilience building in the Horn and Sahel regions	Robert Piper, Regional Humanitarian Coordinator for the Sahel Sophie Baranes, UNDP and Allegra Baiocchi, OCHA Francois Grunewald, Executive Director, Groupe URD (www.urd.org)
10:30– 10.45	Coffee break	
Session 1	Resilience planning for who? Sharing practices on Targeting for Resilience	
10:45-12:30	How to identify resilience ‘beneficiaries’? What are the type of data and analysis needed to inform the design of resilience programming?	Panel: Mark Gordon, WFP; Jerome Bernard, Save the Children and Peter Gubbels, Groundswell International Facilitator: Gabriella Waaijman, OCHA
12:30-13:30	Lunch	
Session 2	Resilience planning with who? Sharing practices on Coordination of Resilience Initiatives	
13:30-15:30	Exchange on National and Regional Initiatives	Panel: Morongei Sunya, Kenya; Hassane Mamaoudou, Niger; John Patrick Kabayo, IGAD Facilitator: Turid Laegrid, OCHA
15:30-15:45	Coffee break	
Session 3	Resilience planning on what? Sharing practices on Planning for Resilience	

Time	Session	Contributors
15:45-17:30	Exchange on resilience programming frameworks Presentation and discussion on the Chad Silla initiative, EU's Joint LRRD Framework, USAID's Joint Planning Cell.	Panel: Thomas Gutner, HC/RC Chad; Jan Eijknaar, ECHO; David Alan Ratliff, USAID Dakar and Jose Lopez, FAO Somalia Facilitator: Sophie Baranes, UNDP
17:30-18:00	Conclusion of day 1	Robert Piper
18.30	Cocktail	

DAY 2		
08:30-08:45	Welcome and summary of discussions of Day 1	
Session 4	Sharing practices on Programming for Resilience	
08:45-9:30	Presentation and discussions on findings from "Escaping the hunger cycle: pathways to resilience in the Sahel" (www.groundswellinternational.org/wp-content/uploads/Pathways-to-Resilience-in-the-Sahel.pdf)	Peter Gubbels, Regional Facilitator for West Africa, Groundswell International
09:30-11:00	Exchange on three core programmatic areas: 1. DRR and Climate Change Adaptation 2. Safety Nets and Social Protection 3. Early Recovery and Sustainable Livelihoods	Panel: Sophia Belay, Oxfam Ethiopia; Odile Bulten, UNICEF Niger; Yacouba Seybou, UNDP (COGERAT); Robert Dekker, WFP Senegal; and Norbert Allale, IFRC WA Region; Facilitator: Peter Gubbels
11:00-11:15	Coffee Break	
Session 5	Measuring resilience. Sharing practices on output and outcome monitoring, impact analysis, etc.	
11:15-12:30	Exchange of approaches being taken to measure resilience building	Panel: Katie Downie, ILRI Facilitator: Francois Grunewald
12:30-13:30	Lunch	

Session 6	Group Work	
13:30-14:45	Working group discussions on targeting, planning, programming and measuring resilience	Facilitators: Gabriella Waaijman, OCHA; Sophie Baranes, UNDP; Turid Laegrid, OCHA and Samuel Doe, UNDP
14:45-15:00	Coffee break	
15:45-17:00	Feedback and discussion from group work	Facilitator: Peter Gubbels and group rapporteurs
17:00-18:00	Conclusions Discussion on the way forward	Andrew Thow, OCHA Sophie Baranes, UNDP Gabriella Waaijman, OCHA