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EU Approach to Building Resilience to Withstand Food Crises in African Drylands (Sahel and Horn of Africa) 2007-2015

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Evaluation team members having contributed to this report:

Nick Maunder (Team Leader)

Victoria De Bauw

Dr. Katherine Downie

Dr. Dylan Hendrickson

Dr. Henri Leturque

Dr. Ritha Sukadi Mata

Cover picture:
EU Ethiopia (ECHO)

Table of contents

List of Annexes in Volume II:

List of acronyms

AGIR	*Alliance Globale pour l'Initiative Résilience-Sahel;* Global Alliance for the Sahel Resilience Initiative
BS	Budget Support
CAADP	Comprehensive African Agriculture Development Programme
CILSS	*Comité permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel,* Permanent Interstates Committee for Drought Control in the Sahel
CPP	Country Programming Paper
CRP	Country Resilience Priorities
CSP	Country Strategy Paper
DCI	Development Cooperation Instrument
DEVCO	European Commission Directorate-General for International Cooperation and Development
DG	Directorate General
DfID	Department for International Development in the UK
DNPGCCA	*Dispositif National de Prévention et de Gestion des Catastrophes et des Crises Alimentaires* National Device for Prevention and Management of Disaster and Food Crises
DNSA	*Dispositif National de Sécurité Alimentaire* National Food Security Management System
DRR	Disaster Risk Reduction
EC	European Commission
ECHO	European Commission Humanitarian aid and Civil Protection department
ECOWAP	ECOWAS Agricultural Policy
ECOWAS	Economic Community of West African States
EDE	Ending Drought Emergencies
EDF	European Development Fund
EEAS	European External Action Service
EQ	Evaluation Question
EU	European Union
EUD	European Union Delegation
EUTF	European Union Emergency Trust Fund for Africa
EWS	Nutrition Early Warning System
FAO	Food and Agriculture Organization of the United Nations
FF	Food Facility
GBS	General Budget Support
GDP	Gross domestic product
HCI3N	*Haut Commissariat à l'Initative 3N: les Nigériens Nourrissent les Nigériens* High Commission to the 3N Initiative : Nigerians Feed Nigerians
HEA	Household Economy Analysis
HH	Household
HIP	Humanitarian Indicative Plan
IcSP	Instrument contributing to Stability and Peace

IDDRSI	IGAD Drought Disaster Resilience Sustainability Initiative
IDPS	International Dialogue on Peace-building and State-Building
IGAD	Intergovernmental Authority on Development
IPC	Integrated Food Security Phase Classification
IDS	In-depth studies
IT	Information Technology
JC	Judgement Criteria
JHDF	Joint Humanitarian Development Framework
LRRD	Linking Relief, Rehabilitation and Development
MS	Member States
NDMA	National Drought Management Authority
NGO	Non-Governmental Organization
NIP	National Indicative Plan
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
PRIME	Pastoral Resilience Improvement and Marketing Programme
PRORESA	Pr*ogramme de renforcement de la sécurité alimentaire au Mali* Programme for strenghtening of food security in Mali
PRP	*Priorités Resilience Pays* Country Resilience Priorities
PSNP	Productive Safety Net Programme in Ethiopia
RAP	Resilience Action Plan
RAU	Resilience Analysis Unit
RESET	Resilience building programme in Ethiopia
RIMA	Resilience Index Measurement and Analysis Model
RPCA	*Réseau de prévention des crises alimentaires* Food Crises Prevention Network
SBS	Sector Budget Support
SDG	Sustainable Development Goal
SHARE	Supporting the Horn of Africa's Resilience
SomRep	Somalia Resilience Programme
SUN	Scaling Up Nutrition
SWAC	Sahel and West Africa Club
TANGO	Technical Assistance to NGOs
TF	Trust Fund
ToC	Theory of Change
ToR	Terms of Reference
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Emergency Fund
US	United States
USAID	United States Agency for International Development
WFP	World Food Programme

Executive Summary

Objectives

The evaluation assesses the strategic application of the European Union's (EU) approach to building resilience to withstand food crises in African Drylands (Sahel and Horn of Africa) during the period 2007-2015. It is joint evaluation between EuropeAid and ECHO (respectively the European Commission's Directorates-General for International Cooperation and Development [DEVCO] and for European Civil Protection and Humanitarian Aid Operations [ECHO].

Context

Several events have contributed to triggering the development of regional and national strategic approaches. The most important were: the Niger crisis in 2005, the 2007/2008 world food prices crisis, the 2009/2010 pastoral crisis in the Sahel, and most significantly the 2011/2012 food crisis in the Horn and the Sahel. More recently there have been the instability in the Sahel, the migrant crisis in Europe, and El Niño in 2015/2016.

The EU's 2012 Communication on the EU Approach to Resilience: Learning from Food Security Crises defines resilience as '*the ability of an individual, a household, a community, a country or a region to withstand, to adapt, and to quickly recover from stresses and shocks*'. It aims at "*more effective EU collaborative action, bringing together humanitarian assistance, long-term development cooperation and on-going political engagement … leading to a reduction in humanitarian needs and more sustainable and equitable development gains*". Its operationalisation includes: (i) adapting financing instruments, (ii) understanding the underlying causes of food security, (iii) comprehensive and collaborative EU political-development-humanitarian action, (iv) coordinated, multi-sectoral action, (v) measurement of resilience outcomes, and (vi) national ownership. The EU approach is a shared inter-service responsibility of DEVCO, ECHO and the European External Action Service (EEAS).

Methodology

This is a theory based evaluation, informed by an analysis of EU policies, strategies and documentation on the main programmes, an inventory of EU funding, a database analysis, 250 interviews with EU and external stakeholders, a survey of 50 selected EU Delegation and ECHO field staff, and field visits to six focus countries: Mali, Burkina Faso and Niger in the Sahel; and Ethiopia, Kenya and Somalia in the Horn of Africa. The evaluation faced several challenges, which related notably to the complexity of a multi-sector inter-service approach, a wide scope, an evolution over time in the approach and in its operationalisation, the political sensitivity of the subject matter, and data availability. The methodological approach aimed at addressing these challenges.

Evolution of funding

DEVCO and ECHO commitments related to the EU resilience approach to food crises in the Horn and Sahel are estimated to total about five billion Euro over the period 2007-2015 according to an inventory exercise conducted as part of this evaluation: 2.2 billion by DEVCO (excl. €687m global budget support) and 2.6 billion by ECHO. DEVCO commitments varied considerably on a yearly basis, with peaks in 2009 (launch of the Facility for rapid response to soaring food prices) and in 2013 (just after the EU Communication on Resilience was issued). ECHO resilience-related contracts grew slowly from 2007 with a peak in 2012.

Main findings

Shaping the EU approach

The EU approach to building resilience to food crises has evolved markedly over the evaluation period. Three periods can be distinguished over the timeframe covered by the evaluation: i)

development of the policy building blocks (2006-2011); (ii) formalization of a consolidated resilience approach (2012-2014); and (iii) the broadening of the approach and the rise of the migration agenda (as of 2015).

EU field staff have regarded the EU resilience approach as a direct and appropriate response to the increasing frequency and magnitude of food crises in the Sahel and the Horn. Political orientations led by EU headquarters have also been influential in shaping the resilience approach. Recently the building of resilience to food crises has been brought together with the demand for better-managed migration under the EU Emergency Trust Fund for Africa.

Relevance to addressing the needs of beneficiaries and authorities

The scope of EU supported causal analyses of food insecurity to inform the design of its resilience actions generally remained narrow with little attention to conflict and political drivers, and more generally to the root causes of food crises. These left strategies weakly adapted to addressing the causes of conflict-driven protracted emergencies, and the linkages between building resilience to food crises and managed migration were not sufficiently developed. EU resilience programmes were principally focused on mitigating the impact of shocks, rather than on longer-term trends such as climate change and demographic trends.

The EU approach to building resilience has been largely coherent with partners' policy priorities, and the EU has worked with national institutions to strengthen their capacity for resilience-building. However, differences have continued to exist between countries; Government priorities in some cases were less focussed on targeting vulnerable populations or had not yet broadened the approach from food and agriculture to a multi-sector approach.

Operationalisation by and collaboration between DEVCO, ECHO and EEAS

While the approach was a shared inter-service responsibility, the respective mandates of DEVCO, ECHO and EEAS implied differing levels of responsibility for building resilience to food crises. It became an increasingly prominent objective for DEVCO due to its mandate for poverty reduction and food security. This asymmetrical responsibility was reinforced by the differing capacities and instruments available to ECHO and EEAS. Building resilience to food crisis has not become a key priority for the EEAS, their focus being rather on priorities such as human rights, peace-building and State-building. There is a perception from field level staff that building resilience to food crises is losing prominence at senior levels of ECHO with a focus on acute emergencies.

Nevertheless, DEVCO and ECHO have collaborated well on building resilience to withstand food crises at headquarters level, sharing political and technical leadership in developing the resilience approach, and developing and disseminating a range of tools and guidance materials. Their collaboration at field level has varied widely between focus countries. In several countries there has been a transition in primary responsibility for building resilience to food crises from ECHO to DEVCO. Where collaboration between the Services occurred, evidence of synergies and complementarities were found, contributing added value. Nevertheless, the Joint Humanitarian Development Frameworks (JHDFs) was weakly articulated with EU country strategies and programming, accountability frameworks were weak, and differing mandates and procedures between ECHO and DEVCO have hampered inter-service collaboration.

Coordination and EU Added Value

The EU approach to building resilience to food crises appears to have been broadly coordinated with both development partners and governmental authorities at the strategic level, but operational coordination on programming has differed considerably at country level. There was limited evidence of alignment around a common resilience agenda at the level of the EU and Member States in focal countries.

EU financing instruments and modalities

The EU drew primarily on established financing instruments to build resilience to food crises, including the EDF, DCI and Humanitarian Implementation Plans. The EU improved its instruments progressively over time, notably with the introduction of flexible financial procedures that increased the timeliness of the support in times of crisis. Moreover, the EU introduced new financing mechanisms more specifically devoted to financing resilience activities[1]. However, although EU financing instruments permitted some budget modifications in the event of an unforeseen crisis, the degree of flexibility in relation to other donors remained limited. Moreover, the use of the humanitarian instrument was not well fitted to supporting long-term efforts to build resilience. EU's policy dialogue in support of building resilience to food crises has had an important but contrasting role in the two regions: it built on existing processes in the Horn while it initiated a new policy initiative (AGIR) in the Sahel.

Operationalising the approach

Following the introduction of the EU approach, building resilience to food crises has been integrated as a core objective of EU external strategies by both ECHO and DEVCO. Agriculture and food security has been uniformly included as a focal sector in the 11th EDF for key countries. Resilience was a priority for all areas of humanitarian aid in the Humanitarian Implementation Plans, but ECHO budgets have not generally predetermined the sectors of expenditure.

The impact of the EU approach on the objectives and design of programmes was harder to determine. It was most visible in terms of 'flagship' programmes. ECHO has institutionalized a mechanism for assessing and monitoring the extent to which funded actions are resilience-sensitive with the introduction of a resilience marker. An equivalent mechanism has been lacking at DEVCO, which makes portfolio analysis difficult.

The EU does not yet have a standardized approach to measuring resilience outcomes at programme or project levels. Established food security indicators were used to signal short-term progress, but fell short of being able to explain changes in latent capacities to manage future shocks. Nevertheless, there has been some evidence of significant improvements in long-term food security in the Sahel and Horn, and some of this evidence suggested a correlation with EU programming.

Visibility and lesson learning

The EU did communication efforts on its resilience approach but these remained ad hoc and were not part of an EU level resilience communications strategy. They have had limited effects in creating a common understanding among EU staff of the approach to building resilience to food crises. Awareness on the part of Member States and external stakeholders as regards the EU approach was limited; EU resilience-related programmes such as AGIR were the main channels contributing to the EU's visibility.

Cost-effectiveness

Operationalizing the EU approach has increased transaction costs at multiple levels (e.g. among DEVCO and ECHO staff at field level; among implementing partners), owing notably to its collaborative inter-agency and inter-sectoral nature. In the absence of empirical evidence on the additional benefits of the approach it was difficult to determine whether these costs were justified.

Institutionalization of the approach

The EU was found to be a major supporter of developing regional and national strategies for building resilience to food crises – most prominently in the Sahel region. Progress has been made in building up the capacity of national institutions to undertake analyses in support of

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[1]   These concern SHARE, which is a political initiative, Pro-Act, a methodology for (GPGC and other) funds allocation and the EU emergency Trust Fund for Africa, which is a cooperation instrument.

policy development. However, action on these strategies has been limited and variable, notably due to institutional limitations, limited financial resources, and the extent to which these approaches favour political interests. National ownership was clearest in countries where donor-government dialogue and financing has been sustained over several decades.

Conclusions

Relevance

Conclusion 1: The EU approach to building resilience was well adapted to situations where recurrent food emergencies were driven by weather-related or economic shocks and where there was effective governance, such as in Kenya, Ethiopia, Niger and Burkina Faso. **However, the approach was less well adapted for complex emergencies in fragile states,** where food insecurity was primarily driven by conflict.

Effectiveness

Conclusion 2: The EU approach prompted a strategic shift with a shared commitment between DEVCO and ECHO to the goal of building resilience. This commitment has been translated into the allocation of resources towards building resilience at global, regional and country levels. Development budgets have prioritized support for food security and agriculture in support of building resilience to food crises. Resilience building has been generally mainstreamed within ECHO programmes.

Conclusion 3: Analyses of the root causes of food crises have increasingly been carried out and this is at least in part directly related to the EU approach. However, these analyses were of variable quality and not clearly used for decision-making on programming in part due to poor timing.

Efficiency and Effectiveness

Conclusion 4: The EU approach has contributed to new and adapted financing instruments and mechanisms. Innovative combinations of country programmable and thematic instruments provided timely, flexible and predictable funding to contribute to building resilience to food crises. As a consequence, development financing instruments were no longer found to be a significant constraint on EU action in building resilience to food crises. Examples of new instruments and mechanisms more specifically devoted to financing resilience activities are PRO-ACT, SHARE and the EU Emergency Trust Fund for Africa. The evaluation did not find compelling evidence to support the creation of a specific mechanism for funding resilience to food crises – such as a Trust Fund for Building Resilience.

Coherence, Coordination and Complementarity

Conclusion 5: DEVCO, ECHO and the EEAS provided specific advantages in building resilience to food crises, and synergies have been achieved from linking EU development and humanitarian action. However, collaboration was limited by differing mandates and priorities, and hampered by a lack of clarity in terms of division of responsibilities and roles. While inter-service collaboration was advantageous to building resilience, it was not a necessary precondition.

Conclusion 6: The EU has struggled to implement multi-sectoral approaches in building resilience to food crises: such approaches were highly dependent on the capacity to coordinate with other development partners with a view to covering the different sectors. Within DEVCO the resilience approach has been closely associated with the agriculture and rural development focal sector but this sectoral contribution has not been adequately coordinated with action by other development partners to provide the full range of complementary sectoral interventions. The EU Joint Programming process offers a potential – but underused – mechanism for developing an integrated and comprehensive approach.

Conclusion 7: The interlinkages of building resilience to food crises with the EU migration agenda are complex and are not yet clearly established. Managed migration has recently become a top policy priority for the EU as reflected in the Valletta summit (2015). The policy commitment to building resilience to food crises has been brought together with the migration agenda, for instance in the EU Emergency Trust Fund for Africa. The assumption is that the food crises and migration share the same root causes and solutions. However, research evidence indicates that the interrelationships are not straightforward. The drivers of migration at an individual level are complex, and only partially related to risks or stress. Studies highlight that migration is an important coping strategy that contributes positively to building resilience to food crises. In the short-to-medium term migration is shown to be facilitated through development – to which resilience-building contributes - rather than reduced by it.

> Impact

Conclusion 8: As part of the EU approach, progress has been made in developing resilience measurement tools. However, these tools are geared towards supporting strategy and policy development rather than measuring the contribution of specific programmes and projects to building resilience.

> Sustainability

Conclusion 9: The EU has been an advocate for, and partner in, developing national resilience strategies, but national ownership remained limited.

Recommendations

R1. The approach to building resilience to food crises should be adapted to the specifics of different contexts. Specifically, senior managers of DEVCO, ECHO and EEAS should acknowledge that different contexts will lead to differentiated approaches and differentiated levels of responsibility for building resilience to food crises. This should include clarifying the respective roles of DEVCO, ECHO and the EEAS in operationalizing the approach to building resilience depending on the root causes, while taking into account their different mandates. DEVCO, EEAS and ECHO should also clarify the relevance of the EU approach to building resilience to food crises as a contribution to managed migration.

R2. The EU should strengthen the process for developing collaborative, inter-service, country-level EU strategies to build resilience to food crises. Headquarters should clarify the approach to, and accountability for, joint analysis of the root causes of food insecurity. In-country staff could prepare Joint Humanitarian Development Frameworks, with clear and transparent linkages between these analytical processes and the EU Country Strategies. They should also improve routine interaction between EU services in the field.

R3. The EU should further strengthen the monitoring and evaluation of, and lesson-learning from, its contribution to building resilience to food crises. It could therefore usefully develop an accountability framework within the joint country strategy that defines monitoring indicators and reporting arrangements on actions by the three Services in implementing key elements of the approach. DEVCO and EEAS (in relation to the IcSP) could develop resilience markers for monitoring progress in integrating resilience perspectives into programming (as did ECHO). At the same time DEVCO, ECHO and EEAS could develop and implement a common learning strategy.

R4. EU services and Member States should improve inter-donor coordination, with specific attention to coordination between Member States, in building resilience to food crises. It could for instance develop a coordinated approach to covering the priority sectors of intervention necessary to build resilience to food crises within the framework of the Joint Programming process.

Résumé

Objectifs

L'évaluation porte sur l'application stratégique de l'approche de l'Union européenne (UE) pour le renforcement de la résilience aux crises alimentaires dans les régions arides de l'Afrique (Sahel et Corne de l'Afrique) au cours de la période 2007-2015. Il s'agit d'une évaluation conjointe entre EuropeAid et ECHO (respectivement la Direction générale pour la Coopération internationale et le Développement de la Commission européenne [DEVCO] et la Direction générale pour l'aide humanitaire et la protection civile de la Commission européenne [ECHO]).

Contexte

Plusieurs événements ont contribué au développement d'approches stratégiques régionales et nationales, les plus importants étant : la crise au Niger en 2005, la crise mondiale des prix des denrées alimentaires en 2007/2008, la crise pastorale de 2009/2010 au Sahel et surtout la crise alimentaire de 2011/2012 dans la Corne de l'Afrique et au Sahel. Plus récemment, il y a eu l'instabilité au Sahel, la crise de la migration en Europe et El Niño en 2015/2016.

La Communication de la Commission de 2012 intitulée « L'approche de l'UE sur la résilience: tirer les leçons des crises de sécurité alimentaire » définit la résilience comme « *la capacité d'une personne physique, d'un ménage, d'une communauté, d'un pays ou d'une région à résister, à s'adapter et à récupérer rapidement à la suite de crises et de chocs* ». Elle vise à « *une action concertée plus efficace de l'UE, regroupant l'aide humanitaire, la coopération au développement à long terme et l'engagement politique en cours (...) qui entraîne la réduction des besoins humanitaires et des gains pour un développement plus durable et plus équitable* ». Son opérationnalisation comprend : (i) l'adaptation des instruments financiers, (ii) la compréhension des causes sous-jacentes de la sécurité alimentaire, (iii) une action plus globale et collaborative entre les actions à caractère politique, de développement et humanitaire, (iv) une action multisectorielle coordonnée, (v) la mesure des résultats en termes de résilience, et (vi) l'appropriation nationale. L'approche de l'UE est une responsabilité partagée entre DEVCO, ECHO et le Service européen pour l'action extérieure (SEAE).

Méthodologie

Il s'agit d'une évaluation axée sur la théorie (« theory based »), étayée par une analyse des stratégies et des politiques de l'UE, la documentation sur les principaux programmes, un inventaire des financements de l'UE, une analyse de base de données, 250 entretiens avec des parties prenantes au sein de l'UE et externes, une enquête auprès d'une sélection de 50 membres du personnel d'ECHO et des délégations de l'UE sur le terrain, ainsi que des visites de terrain dans six pays, à savoir : le Mali, le Burkina Faso et le Niger pour le Sahel ; l'Éthiopie, le Kenya et la Somalie pour la Corne de l'Afrique. L'évaluation a fait face à un certain nombre de défis liés notamment à la complexité d'une approche interservices multisectorielle, à l'ampleur du champ couvert, à l'évolution au fil du temps de l'approche et de sa mise en œuvre, à la sensibilité politique du sujet et à la disponibilité des données. L'approche méthodologique suivie avait pour but de relever ces défis.

Évolution du financement

Les engagements de DEVCO et ECHO liés à l'approche de l'UE sur la résilience aux crises alimentaires dans la Corne de l'Afrique et au Sahel sont estimés à un total d'environ 5 milliards d'euros pour la période 2007-2015, selon l'inventaire réalisé dans le cadre de cette évaluation, dont 2,2 milliards par DEVCO (hors 687 millions d'euros d'appui budgétaire général) et 2,6 milliards par ECHO. Les engagements de DEVCO ont varié considérablement d'année en année, avec un pic en 2009 (lancement de la facilité de réponse rapide à la flambée des prix

alimentaires) et en 2013 (juste après la communication de l'UE sur la résilience). Les contrats d'ECHO relatifs à la résilience ont été en lente augmentation depuis 2007 avec un pic en 2012.

Principaux constats

Elaboration de l'approche de l'UE

L'approche de l'UE pour le renforcement de la résilience aux crises alimentaires a évolué considérablement au cours de la période couverte par l'évaluation. On peut distinguer trois périodes dans cette évolution: i) le développement des éléments constitutifs des politiques (2006-2011) ; (ii) la formalisation d'une approche consolidée de la résilience (2012-2014) ; et (iii) l'élargissement de l'approche et l'importance accrue de la thématique de la migration (à partir de 2015).

Le personnel de l'UE sur le terrain a également considéré l'approche de l'UE pour le renforcement de la résilience comme une réponse directe et appropriée face à la fréquence et à l'ampleur des crises alimentaires au Sahel et dans la Corne de l'Afrique. Les orientations politiques données par le siège de l'UE ont aussi influencé l'approche de la résilience. Récemment, le renforcement de la résilience aux crises alimentaires a été lié à la demande pour une meilleure gestion de la migration dans le cadre du fonds fiduciaire d'urgence de l'UE pour l'Afrique.

Pertinence pour répondre aux besoins des bénéficiaires et des autorités

Les analyses causales de l'insécurité alimentaire menées par, ou avec le support de l'UE pour la conception de ses actions de résilience couvraient généralement un champ étroit, avec peu d'attention portée aux causes des conflits et aux moteurs politiques, et plus généralement aux causes fondamentales des crises alimentaires. En conséquence, les stratégies étaient mal adaptées pour aborder les causes des situations d'urgence prolongées dues à un conflit et les liens entre la résilience aux crises alimentaires et la gestion des migrations n'étaient pas suffisamment développés. Les programmes de résilience de l'UE se sont principalement axés sur l'atténuation de l'impact des chocs plutôt que sur les tendances à plus long terme, comme le changement climatique et l'évolution démographique.

L'approche de l'UE pour le renforcement de la résilience a été largement cohérente avec les priorités des politiques des partenaires et l'UE a collaboré avec les institutions nationales pour renforcer leurs capacités en matière de résilience. Toutefois, des différences ont subsisté entre les pays. Dans certains cas, les priorités du gouvernement étaient moins axées sur le ciblage des populations vulnérables ou n'avaient pas encore élargi l'approche de l'alimentation et de l'agriculture à une approche multisectorielle.

Opérationnalisation et collaboration entre DEVCO, ECHO et le SEAE

Même si l'approche était une responsabilité partagée entre les services, les mandats respectifs de DEVCO, d'ECHO et du SEAE supposent implicitement différents niveaux de responsabilité pour renforcer la résilience aux crises alimentaires. L'objectif est devenu de plus en plus important pour DEVCO en raison de son mandat portant sur la réduction de la pauvreté et la sécurité alimentaire. Cette responsabilité asymétrique a été renforcée par les différences en termes de capacités et d'instruments disponibles pour ECHO et le SEAE. Le renforcement de la résilience aux crises alimentaires n'est pas devenu une priorité essentielle pour le SEAE, centré davantage sur des priorités telles que les droits de l'homme, la consolidation de la paix ou le renforcement de l'État. Le personnel sur le terrain a l'impression que le renforcement de la résilience aux crises alimentaires perd de l'importance aux échelons supérieurs d'ECHO, avec une focalisation sur les situations d'urgence aiguës.

Néanmoins, DEVCO et ECHO ont eu une bonne collaboration au niveau du siège sur le renforcement de la résilience pour résister aux crises alimentaires. Ils ont partagé le leadership politique et technique dans l'élaboration de l'approche de la résilience et ont développé et

diffusé une gamme d'outils et de documents d'orientation. Leur collaboration sur le terrain a largement varié d'un pays à l'autre. Dans plusieurs pays, la responsabilité principale pour la résilience aux crises alimentaires est passée d'ECHO à DEVCO. Quand il y a eu une collaboration entre les services, des éléments attestent l'existence de synergies et de complémentarités, contribuant ainsi à une valeur ajoutée. Néanmoins, les cadres communs action humanitaire et développement (JHDF) ont été faiblement articulés avec les stratégies pays et la programmation de l'UE, les responsabilités n'étaient pas clairement définies et les différences de mandats et de procédures d'ECHO et de DEVCO ont nui à la collaboration.

Coordination et valeur ajoutée de l'UE

L'approche de l'UE pour le renforcement de la résilience aux crises alimentaires semble avoir été largement coordonnée avec les partenaires de développement et les autorités gouvernementales au niveau stratégique, mais la coordination opérationnelle de la programmation a présenté des variations considérables au niveau des pays.

Peu d'éléments attestent de l'alignement autour d'un agenda commun pour la résilience de la part de l'UE et des États membres dans les pays cibles.

Instruments de financement communautaires et modalités

Pour le renforcement de la résilience aux crises alimentaires, l'UE a principalement employé des instruments existants, y compris le FED, l'ICD et les Plans de mise en œuvre humanitaire. L'UE a progressivement amélioré ses instruments au fil du temps, notamment avec l'introduction de procédures financières flexibles qui augmentent la rapidité de la prise en charge en temps de crise. En outre, l'UE a introduit de nouveaux mécanismes de financement plus spécifiquement destinés aux activités de renforcement de la résilience[2]. Cependant, même si les instruments de financement de l'UE permettaient certaines modifications budgétaires en cas de crise imprévue, l'UE a continué à être considérée comme relativement moins flexible. En outre, l'utilisation de l'instrument humanitaire n'a pas été adéquate pour soutenir les efforts à long terme pour renforcer la résilience. Le dialogue sur les politiques de l'UE pour contribuer à renforcer la résilience aux crises alimentaires a eu un rôle important mais contrasté dans les deux régions : il s'est appuyé sur les processus existants dans la Corne de l'Afrique, tandis qu'il a lancé une nouvelle initiative de politique (AGIR) au Sahel.

Opérationnalisation de l'approche

Suite à l'introduction de l'approche de l'UE, le renforcement de la résilience aux crises alimentaires a été intégré comme un objectif central des stratégies externes de l'UE par ECHO et DEVCO. L'agriculture et la sécurité alimentaire ont été uniformément incluses en tant que secteur prioritaire dans le 11ème FED pour les pays cibles. La résilience a été une priorité pour tous les domaines de l'aide humanitaire dans les Plans de mise en œuvre humanitaire, mais ECHO n'a généralement pas défini en amont dans ses budgets les secteurs d'interventions. L'impact de l'approche de l'UE sur les objectifs et la conception des programmes a été plus difficile à déterminer. Il a été plus visible en termes de programmes « phares ». ECHO a introduit un mécanisme – un marqueur de résilience – pour l'évaluation et le suivi de la sensibilité des actions financées à la résilience. Il n'y a pas eu de mécanisme équivalent pour DEVCO, ce qui rend difficile toute analyse de portefeuille.

L'UE n'a pas encore d'approche standardisée pour mesurer les résultats de la résilience au niveau des programmes ou des projets. Les indicateurs de sécurité alimentaire existants ont été utilisés pour identifier les progrès à court terme, mais ils ne sont pas en mesure de fournir des informations sur les changements en termes de capacités de gestion de chocs futurs. Néanmoins, certains éléments montrent des améliorations significatives de la sécurité

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[2] Il s'agit de SHARE, une initiative politique, Pro-Act, une méthodologie pour l'affectation des fonds (GPGC et autres) et le fonds fiduciaire d'urgence pour l'Afrique, un instrument de coopération.

alimentaire à long terme au Sahel et dans la Corne de l'Afrique, suggérant dans certains cas une corrélation avec la programmation de l'UE.

Visibilité et enseignements tirés

L'UE a fait des efforts de communication sur son approche de la résilience, mais ces efforts sont demeurés *ad hoc* et n'ont pas fait partie d'une stratégie de communication sur la résilience au niveau de l'UE. Ils ont eu des effets limités quant à l'établissement d'une compréhension commune parmi le personnel de l'UE sur l'approche pour renforcer la résilience aux crises alimentaires. La sensibilisation des États membres et des parties prenantes externes à l'approche de l'UE a été limitée ; les programmes de l'UE relatifs à la résilience, comme AGIR, ont été les principaux canaux contribuant à la visibilité de l'UE.

Rapport coût/efficacité

L'opérationnalisation de l'approche de l'UE a augmenté les coûts de transaction à plusieurs niveaux (par exemple parmi le personnel de DEVCO et d'ECHO sur le terrain et entre les partenaires de mise en œuvre) en raison notamment de sa nature collaborative interservices et multisectorielle. En l'absence de données empiriques sur la valeur ajoutée de l'approche, il a été difficile de déterminer si ces coûts étaient justifiés.

Institutionnalisation de l'approche

L'UE s'est avérée un important partisan de l'élaboration de stratégies régionales et nationales pour renforcer la résilience aux crises alimentaires, surtout au Sahel. Des progrès ont été accomplis dans le renforcement des capacités d'analyse des institutions nationales pour l'élaboration de politiques publiques. Toutefois, l'action sur ces stratégies a été limitée et variable, vu les contraintes institutionnelles et financières et les intérêts politiques. L'appropriation nationale a été plus grande dans les pays où le dialogue gouvernement-bailleurs de fonds et le financement sont soutenus depuis plusieurs décennies.

Conclusions

Pertinence

Conclusion 1 : l'approche de l'UE pour le renforcement de la résilience a été bien adaptée aux situations où les crises alimentaires récurrentes étaient dues à des crises économiques ou climatiques et quand il y avait une gouvernance efficace, comme au Kenya, en Éthiopie, au Niger et au Burkina Faso. **Toutefois, l'approche était moins bien adaptée aux situations d'urgence complexes dans les États fragiles,** où l'insécurité alimentaire était principalement due à des conflits.

Efficacité

Conclusion 2 : l'approche de l'UE a induit un virage stratégique avec un engagement commun à DEVCO et ECHO de renforcer la résilience. Cet engagement s'est traduit par l'affectation de ressources au renforcement de la résilience à l'échelle mondiale, régionale et nationale. Les budgets du développement ont priorisé le soutien à la sécurité alimentaire et à l'agriculture pour renforcer la résilience aux crises alimentaires. L'objectif de renforcement de la résilience a été généralement intégré dans les programmes d'ECHO.

Conclusion 3 : des analyses des causes profondes des crises alimentaires ont été effectuées de plus en plus souvent et ceci est, au moins en partie, directement liée à l'approche de l'UE. Toutefois, ces analyses ont été de qualité variable et n'ont pas été clairement utilisées dans la prise de décision sur la programmation, en partie à cause d'un mauvais timing.

Efficience et efficacité

Conclusion 4 : l'approche de l'UE a contribué à des mécanismes et instruments de financement nouveaux et adaptés. Des combinaisons innovatrices d'instruments pays géographiques et thématiques ont fourni un financement rapide, flexible et prévisible pour contribuer à renforcer la résilience aux crises alimentaires. En conséquence, les instruments de financement du développement ne sont plus une contrainte importante à l'action de l'UE pour renforcer la résilience aux crises alimentaires. Parmi les nouveaux instruments et mécanismes plus spécifiquement consacrés au financement des activités relatives à la résilience, citons par exemple Pro-ACT, SHARE et le fonds fiduciaire d'urgence de l'UE pour l'Afrique. L'évaluation n'a pas trouvé d'éléments probants pour appuyer l'idée de la création d'un mécanisme spécifique pour le financement de la résilience aux crises alimentaires (comme un fonds fiduciaire pour le renforcement de la résilience).

Cohérence, coordination et complémentarité

Conclusion 5 : DEVCO, ECHO et le SEAE ont chacun leurs avantages spécifiques en matière de renforcement de la résilience aux crises alimentaires et des synergies ont été atteintes en mettant en lien l'action humanitaire et la coopération au développement. Cependant, la collaboration a été limitée par les différences de mandats et de priorités, ainsi que par le manque de clarté concernant la répartition des rôles et des responsabilités. Si la collaboration interservices a été favorable à la résilience, elle n'était pas une condition préalable.

Conclusion 6 : l'UE a eu des difficultés pour mettre en œuvre des approches multisectorielles pour le renforcement de la résilience aux crises alimentaires. Ces approches sont fortement tributaires de la capacité de coordination avec d'autres partenaires du développement en vue de couvrir les différents secteurs. Au sein de DEVCO, l'approche de la résilience a été étroitement associée à l'agriculture et au secteur prioritaire du développement rural, mais cette contribution sectorielle n'a pas été adéquatement coordonnée avec les actions des autres partenaires de développement pour fournir la gamme complète des interventions sectorielles complémentaires. Le processus de programmation conjointe de l'UE offre un mécanisme potentiel, mais sous-utilisé, pour l'élaboration d'une approche intégrée et globale.

Conclusion 7 : les liens entre le renforcement de la résilience aux crises alimentaires et l'agenda de l'UE pour la migration sont complexes et ne sont pas encore clairement établis. La migration contrôlée est récemment devenue une priorité politique pour l'UE, comme en témoigne le sommet de La Valette (2015). L'engagement politique de renforcer la résilience aux crises alimentaires a été lié avec l'agenda de la migration, par exemple dans le cas du fonds fiduciaire d'urgence pour l'Afrique. L'hypothèse est que les crises alimentaires et les migrations partagent les mêmes causes profondes et ont les mêmes solutions. Cependant, la recherche montre que les corrélations ne sont pas toujours évidentes. Les déterminants de la migration au niveau individuel sont complexes et seulement partiellement liés aux risques ou au stress. Des études mettent en évidence le fait que la migration est une stratégie d'adaptation importante qui contribue positivement au renforcement de la résilience aux crises alimentaires. À court et à moyen terme, la migration est facilitée, et non réduite, par le développement auquel contribue le renforcement de la résilience.

Impact

Conclusion 8 : dans le cadre de l'approche de l'UE, des progrès ont été accomplis dans l'élaboration d'outils de mesure de la résilience. Toutefois, ces outils visent à soutenir le développement de politiques et de stratégies plutôt qu'à mesurer la contribution des programmes et des projets à la résilience.

<u>Durabilité</u>

Conclusion 9 : l'UE a promu le développement de stratégies nationales pour la résilience et y a participé comme partenaire, mais l'appropriation nationale est restée limitée.

Recommandations

R1. L'approche pour le renforcement de la résilience aux crises alimentaires devrait être adaptée aux spécificités de chaque contexte. Plus précisément, le management de DEVCO, d'ECHO et du SEAE devrait reconnaître que des contextes différents requierent des approches et des niveaux de responsabilité différenciés pour le renforcement de la résilience aux crises alimentaires. Il conviendrait notamment de clarifier les rôles respectifs de DEVCO, d'ECHO et du SEAE dans l'opérationnalisation de l'approche pour renforcer la résilience en fonction des causes profondes, tout en tenant compte de leurs mandats différents. DEVCO, ECHO et le SEAE devraient aussi préciser la pertinence de l'approche de l'UE pour renforcer la résilience aux crises alimentaires en tant que contribution à la gestion des migrations.

R2. L'UE devrait renforcer le processus d'élaboration de stratégies pays collaboratives et interservices pour renforcer la résilience aux crises alimentaires. L'administration centrale devrait préciser l'approche et la responsabilité de l'analyse conjointe des causes profondes de l'insécurité alimentaire. Le personnel dans le pays pourrait élaborer des cadres communs action humanitaire et développement, avec des liens clairs et transparents entre ces processus analytiques et les stratégies pays de l'UE. Une interaction systématique entre les services de l'UE sur le terrain devrait également être mise en place.

R3. L'UE devrait renforcer le suivi et l'évaluation, ainsi que les enseignements tirés de sa contribution au renforcement de la résilience aux crises alimentaires. Elle pourrait, au sein d'une stratégie pays commune, utilement élaborer un cadre de responsabilisation, qui définit des indicateurs de suivi et des modalités de production de rapports sur les actions menées par les trois services pour mettre en œuvre les éléments clés de l'approche. DEVCO et le SEAE (concernant l'instrument de l'Union européenne contribuant à la stabilité et à la paix, l'IcSP) pourraient développer des marqueurs de résilience pour suivre les progrès de l'intégration des perspectives de résilience dans la programmation (comme l'a fait ECHO). Dans le même temps, DEVCO, ECHO et le SEAE pourraient développer et mettre en œuvre une stratégie commune pour tirer les enseignements.

R4. Les services de l'UE et les États membres devraient améliorer la coordination entre les bailleurs de fonds en matière de renforcement de la résilience aux crises alimentaires, avec une attention particulière à la coordination entre États membres. Par exemple, ils pourraient envisager de développer une approche coordonnée qui couvre les secteurs prioritaires d'intervention nécessaires pour renforcer la résilience aux crises alimentaires dans le cadre du processus de programmation conjointe.

1. Introduction

This Evaluation of the European Union (EU) approach to building resilience to withstand food crises in African drylands (Sahel and Horn of Africa) was commissioned by the EuropeAid Evaluation Unit. It is a joint evaluation between EuropeAid and ECHO (respectively the European Commission's Directorates-General for International Cooperation and Development [DEVCO] and for European Civil Protection and Humanitarian Aid Operations [ECHO]).

The evaluation's Main Report is organised as follows:
- Section 1 summarizes the objectives and scope of the evaluation, and the evaluation process and methodological approach;
- Section 2 provides the findings and evidence for each Evaluation Question;
- Section 3 presents the Conclusions drawn to these findings; *and*
- Section 4 presents the Recommendations.

The Main report is accompanied by an Annex volume which provides further information, notably on the methodology, the inventory, the in-depth studies (IDS), the survey, the sources for the findings, the quality of the evidence, the financing instruments used to finance resilience, and the lists of persons met and documents collected.

1.1 Objectives and Scope

The main focus of the evaluation is to assess the strategic application of the approach to building resilience to withstand food crises in the Sahel and the Horn of Africa during the period 2007-2015 (hereunder referred to as the "EU approach" or the "approach").

The primary **intended users** of the knowledge generated by this evaluation are EuropeAid and ECHO senior management and geographical directors. Other intended users are thematic, geographical and policy units of EuropeAid and ECHO, along with EU Delegations and ECHO field offices. They should be able to use the evidence and information from the evaluation for adjusting practice in the Horn and Sahel, and in the longer term for informing any policy adjustments. The evaluation should further be of interest to EU Member States, Governments and other internal stakeholders of the countries of the Sahel and Horn, development partners, wider EU staff, and the wider development community concerned with food security.

For the purposes of this evaluation, **resilience** is understood to be in line with the EU's 2012 Communication on the EU Approach to Resilience: Learning from Food Security Crises[3]. This Communication defines resilience as '*the ability of an individual, a household, a community, a country or a region to withstand, to adapt, and to quickly recover from stresses and shocks*'. A joint instruction letter[4] defined the goals of the resilience approach as "*more effective EU collaborative action, bringing together humanitarian assistance, long-term development cooperation and on-going political engagement … leading to a reduction in humanitarian needs and more sustainable and equitable development gains*". The main elements of operationalizing the EU approach, as outlined in the 2012 Communication and 2013 Council Conclusions, include: (i) adapting financing instruments, (ii) understanding the underlying causes of food security, (iii) comprehensive and collaborative EU political-development-humanitarian action, (iv) coordinated, multi-sectoral action, (v) measurement of resilience outcomes, and (vi) national ownership.

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[3] COM(2012) 586, October 2012
[4] Issued by the Directors General for Development and Humanitarian Aid of the European Union Member States and of the European Commission, and the Chief Operating Officer of the European External Action Service on 11th October 2013.

The **thematic scope** of the evaluation consists of activities in a range of sectors that contribute to the goal of *improved resilience to food crises.* Specifically, the evaluation assesses the strategic application of the *EU's approach to building the resilience of households to the shocks and stresses which lead to food crises in the African Drylands.* The evaluation seeks to analyse how relevant sectors have been brought together to create synergistic effects to strengthen resilience to food crises. The subject of the evaluation lies **at the interface of humanitarian and development aid**, where there is a shared interest in, and responsibility for, reducing risk and vulnerability.[5]

The evaluation assesses the approach of **EuropeAid**, **ECHO** and the European External Action Service (**EEAS**) and pays attention to assessing the relationships and interactions between these institutions at both strategic and programme levels in building resilience, through both funding and non-funding activities.

The primary **geographic scope** of the evaluation is the Sahel and Horn of Africa. The ToR defined the scope as 26 countries which are members of the Economic Community of West African States (ECOWAS) and the Intergovernmental Authority on Development (IGAD), plus Chad and Mauritania, with a focus on a subset of nine countries and the respective regional organizations (see figure below).

Figure 1 – Geographical scope of the evaluation
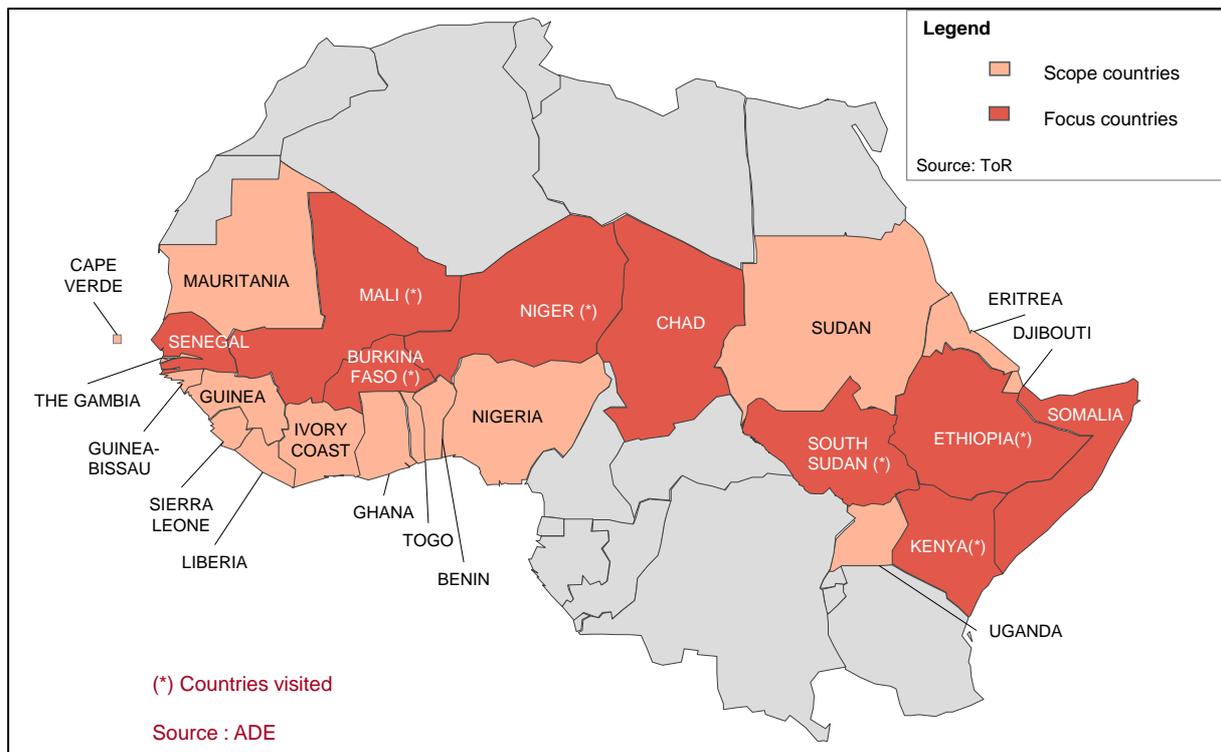
The **temporal scope** of the evaluation is the period 2007-2015. This evaluation period encompassed two budgetary periods for development assistance (2007-2013 and 2014-2020) which neatly fall either side of the point at which a systematized approach to building resilience was adopted in 2012/13.

The **core instruments** used for funding resilience to food crisis in the relevant regions over the evaluation period included the European Development Fund (EDF) and DCI-Food for DEVCO, and ECHO Humanitarian Implementation Plans (HIPs). The Box below provides a

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[5]   The evaluation was not intended to assess as such the EU's overall response to food and nutrition security (including aspects of chronic food insecurity and malnutrition), nor humanitarian aid in response to immediate needs in the event of a food crisis.

brief overview of the EU funding related to the resilience approach in African drylands over the evaluation period. The full inventory is provided in Annex C.

Box 1. EU funding related to the resilience approach in African drylands[6]

DEVCO and ECHO commitments related to the EU resilience approach in the Horn and Sahel totalled about **five billion Euro** over the period 2007-2015: 2.2 billion by DEVCO (excl. €687m GBS) and 2.6 billion by ECHO.

DEVCO commitments varied considerably on a yearly basis, with peaks in 2009 (launch of the Facility for rapid response to soaring food prices) and in 2013 (just after the EU Communication on Resilience was issued). Two thirds of total commitments related to Agriculture (36%) and Food and nutrition assistance (32%). Nine out of the 25 countries accounted for 83%: Burkina Faso, Kenya, Somalia, Niger, Mali, Ethiopia, Chad, South-Sudan and Senegal. More in-depth analysis on those nine countries shows that resilience-related decisions were focused in about 75% of cases on sudden onset climate shocks and less on longer-term changes. It also shows that a high number of decisions related to agricultural production (70%), followed by food and nutrition assistance (26%) and health and nutrition (22%).

ECHO resilience-related contracts grew slowly from 2007 with a peak in 2012. The share of humanitarian aid directed to the Sahel has grown significantly and consistently over the period. This is associated with a strategic decision to invest in addressing chronic malnutrition and vulnerability, as outlined in the 2010-2014 ECHO Sahel strategy. This has aligned ECHO programming in this region to a resilience objective. Over the entire evaluation period, aid directed to the Sahel region amount to almost a third (31%) of the 2.6 billion contracted by ECHO; more than 60% related to the Horn of Africa region. The pattern of expenditure appears to broadly follow patterns of humanitarian needs. The two main sectors supported were Food and nutrition assistance and Health and nutrition. The World Food Program, UNICEF and Save the Children are the three most important partners, accounting for 64% of the total contracted amount. The share of NGOs increased in recent years.

In terms of **countries**, the top-10 beneficiary countries are largely the same for DEVCO and ECHO, albeit with differences in order. Ethiopia received by far the most funding from DEVCO with €422m, followed by Niger with €151m and Kenya with €148m. For ECHO, Sudan was the largest beneficiary with €537m, followed by Ethiopia with €326m; Somalia, Niger and South Sudan also received more than €250m each.

The full inventory is provided in Annex C.

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[6] A major difficulty in assessing resilience-related EU funding is that there is no separate funding instrument for resilience, nor is resilience defined as an aid category in the EU databases. The approach agreed with EU services was to estimate the use of funds by constructing an inventory based on interventions with 'resilience' in the title or on one or more of 71 resilience-related key words (e.g. food security, nutrition, drought, or emergency). This was complemented by screening of DEVCO action documents for nine major countries.

1.2   Evaluation methodology

1.2.1   Design, process, and challenges

The methodology used follows EuropeAid methodological guidelines and ADE good practice developed for strategic evaluations. The evaluation methodology is presented in detail in Annex B. Its main features are as follows: the evaluation has applied a theory-based non-experimental design, using Theory of Change analysis as the basis for formulating Evaluation Questions (EQs), relating Judgment Criteria (JC) and Indicators, and clarifying underlying assumptions. A set of evaluation tools was used to inform the evaluation (see below). Based on the findings in response to these Evaluation Questions and the framework of the Theory of Change, the team derived a series of overall Conclusions and Recommendations. The evaluation followed a sequential process consisting of an Inception Stage, a Desk Study Stage, a Field Phase, a Synthesis Phase, and finally a Dissemination stage. The process was managed by the EuropeAid Evaluation Unit and followed by an InterService Group (ISG) consisting of representatives of all concerned services in the Commission and EEAS.

The evaluation faced several challenges, which related notably to the complexity of a multi-sector inter-service approach, a wide scope, evolution over time in the approach and in its operationalisation, political sensitivity of the subject matter, data availability, and the budget for the evaluation. The methodological approach aimed at addressing these challenges.

1.2.2   Theory of Change

As there was no predefined Theory of Change (ToC) (nor even explicit intervention logic) for the EU resilience approach, the team constructed a ToC for the purposes of the evaluation. This was presented in the early stages of the evaluation and was later refined. The summary ToC is shown in Figure 2 below[7]. The evaluation EQs and JCs can be mapped on to the ToC as shown below.

Figure 2 – Theory of Change with associated Judgement Criteria

Source: ADE
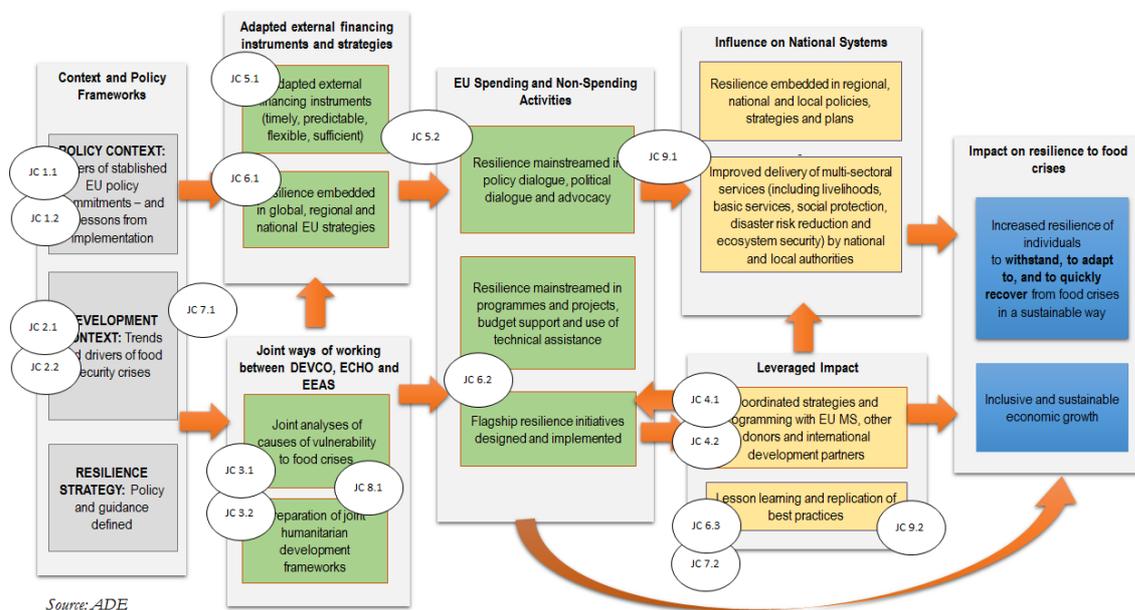
1.2.3   Evaluation Questions

To provide focus to the evaluation, nine Evaluation Questions (EQs) were formulated in the ToR and refined during the desk phase of the evaluation. They have been detailed with their corresponding Judgement Criteria (JC) in an evaluation matrix, provided in the Annexes volume.

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[7]   The full ToC expanding on the causal chains and linking assumptions provided in Annex B.

1.2.4 Evaluation tools

The team combined the following tools to collect and analyse data for the analysis: (i) **document review**; (ii) **inventory** of EU funding; (iii) **database** analysis; (iv) about 250 **interviews** with EU headquarters, EU Member States (MS) headquarters, and country-level staff (European Union Delegations [EUD], ECHO, MS and other donors, national authorities, etc.); (v) a **survey** among EU Delegations and ECHO field staff[8]; and (vi) a series of **field visits** to six focus countries. In addition, five **in-depth studies** were conducted, to further inform the evaluation. These tools allowed provision of a combination of information at global strategy/portfolio and programme/country-specific levels, at headquarters and field levels, and of quantitative and qualitative data from written and oral sources and from a variety of stakeholders. Details on the tools used are provided in the Annexes volume.

1.2.5 Country visits

Field missions were conducted to **six countries** (Mali, Burkina Faso and Niger in the Sahel; and Ethiopia, Kenya and Somalia in the Horn of Africa) between 10 and 30 September 2016. The countries for field visits were selected based on a number of criteria[9]. Stakeholders consulted during the field missions included EU staff (DEVCO, ECHO and EEAS), donors (Member States and others), representatives of national authorities, implementing partners (United Nations [UN] agencies and Non-Governmental Organizations [NGOs]) and others (including researchers). The country missions informed the evaluation with field-level experience and specific data and views at country and regional levels.

2   Evaluation Findings

This section presents the main findings[10] on the EU's approach building resilience to food crises. These findings are organized by Evaluation Questions (EQs) and Judgement Criteria (JC). Further details on the evidence supporting key JCs is presented through in-depth studies included in Annex D.

EQ1 Evolution of the Approach

> **To what extent has the institutional development pathway of the EU's current approach to building resilience to withstand food crises, and its relative priority on the EU development agenda, been driven by internal influences and to what extent by external influences?**

The starting point for the evaluation is an analysis of the development of the "EU approach to building resilience to withstand food crises". This is done in two steps. We first describe the main conceptual and operational evolutions of the EU approach between 2007 and 2015; then we analyse the key drivers in the evolution of the approach.

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8   The entire survey was completed by 25 respondents (45%) from the 56 target persons in ECHO and DEVCO offices in the 25 countries included in the scope of the evaluation. This does not allow for representativeness but still provide indications on 25 cases. See Annex E.

9   Country selection criteria: Equal representation of Horn and Sahel, presence of regional organisations, and variation in fragility situations, in magnitude of EU funding, and in EU aid modalities.

10   The evidence underpinning these findings comes from the information sources referenced in Annex F, which also provides an assessment of the confidence level in each finding, based on the quality of the supporting evidence.

EQ1 on the evolution of the Approach - Answer Summary Box
The EU approach to building resilience to food crises has evolved markedly over the evaluation period, with three key periods: i) development of the policy building blocks (2006-2011); (ii) formalization of a consolidated resilience approach (2012-2014); and (iii) the broadening of the approach and the rise of the migration agenda (as of 2015).

Almost all the key conceptual features of the current approach had already been developed in various policy documents, prior to its formalization in new policy documents in 2012 and 2013. The EU approach defined the concept and outlined a set of principles to inform the development of a programming approach.

The approach and its relative priority on the EU development agenda has been shaped by both internal and external influences. Brussels-led political orientations have been influential in shaping the approach – both in contributing to political visibility for the EU and adapting the resilience agenda to the political priority of managed migration. The approach was also shaped by drawing lessons from the operationalisation of previous EU policies, such as on LRRD.

However, the development of the EU resilience approach has also been a result of external influences. Most EU staff met explained that they saw it as a direct response to the increasing frequency and magnitude of food crises in the Sahel and the Horn – and not just as a political initiative. The EU approach to building resilience has been largely coherent with the approach adopted by other actors.

The respective mandates of the different services implied differing levels of responsibility for building resilience to food crises. While this was a shared inter-service responsibility, building resilience became an increasingly prominent objective for DEVCO. This asymmetrical responsibility for building resilience to food crises was reinforced by the differing capacities and instruments available to the different services. This limited the EEAS capacity to establish building resilience to food crisis as a key priority, while ECHO was seen to remain focussed on responding to acute emergencies. |

Main evolution in the EU approach to building resilience to food crises over the reference period[11] *(JC 1.1)*

Figure 3 below presents an overview of the evolution of the EU resilience approach to withstanding food crises over the period since 2001, in conjunction with major contextual events. Each phase is further described below.

The first period (2006–2011) was characterised by the development of the policy's building blocks. This involved LRRD and food security policy orientations (respectively in 2001 and 2006). Similarly, the European Consensus on Development (2006)[12] and the Agenda for Change[13] (2011) include reference to the concept of resilience. The key conceptual features

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[11] Detailed evidence supporting the findings presented under JC 1.1 is presented in Annex D, In-Depth Study 1 (Assessment of the evolution of the EU resilience approach and its application in different countries).

[12] Council, EP and COM (2006) 'The European Consensus on Development', Joint statement by the Council of the EU, European Parliament and European Commission, 2006/C 46/01, Brussels, 24 February 2006. Para 22: "Some developing countries are particularly vulnerable to natural disasters, climatic change, environmental degradation and external economic shocks. The Member States and the Community will support disaster prevention and preparedness in these countries, with a view to increasing their resilience in the face of these challenges".

[13] European Commission, *Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions on Increasing the impact of EU Development Policy: an Agenda for Change*, 13 October 2011, COM(2011) 637 final. Section 5: "In situations of fragility, specific forms of support should be defined to enable recovery and resilience, notably through close coordination with the international community and proper articulation with humanitarian activities. The aim should be to maximise national ownership both at State and local levels so as to secure stability and meet basic needs in the short term, while at the same time strengthening governance, capacity and economic growth, keeping State-building as a central element".

of the current approach to building resilience to food crises had already been developed in policy documents, prior to the adoption of the EC Communication on Resilience in 2012, *viz.*:

- **Targeting the vulnerable**: the Agenda for Change (2010) underlines a specific EU commitment to support neighbouring countries including sub-Saharan Africa, addressing vulnerability and Fragile States.
- **Thematic scope**: the EU Resilience Approach presents itself at the intersection of Disaster Risk Reduction (DRR), climate change adaptation, and food security, issues on which the EU had developed or revisited policies between 2007 and 2012.
- **Attention to learning, innovation, and evidence** have been a focus of all thematic policies, and specific innovation or learning challenges have been highlighted in resilience policy papers.
- **Humanitarian - development interface**: the first EU communication on LRRD dates from 1995. Joint Humanitarian – Development Strategic Planning was introduced in Communication (2006) - 21: A thematic Strategy for Food Security. The *contiguum* concept was introduced in the 2010 Communication on Food Assistance.
- **Commitments to support country ownership and coordination** have been reaffirmed repeatedly since the Paris Declaration and are prioritised in both the European Consensus on Development (2006) and the Agenda for Change (2010).
- **The multidimensional nature of resilience** has built on pre-existing policy commitments, such as for example the increasing recognition of the complexity of the Food Security challenges and its interlinkages with nutrition issues, widely acknowledged in the 2006 EU Food Security Strategy.

Figure 3 – Evolution of EU approach to resilience from 2007 to 2015
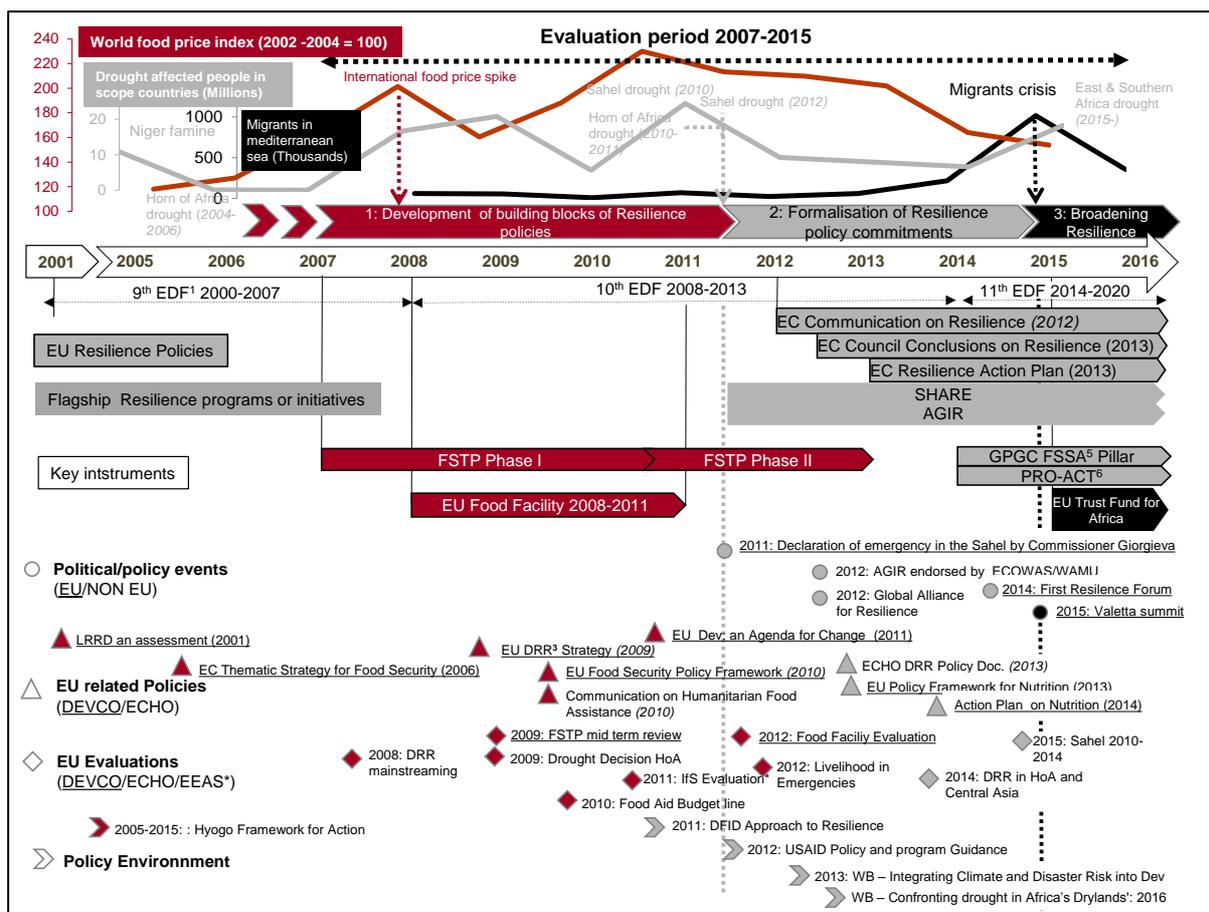
Source: ADE

DRR, food security and nutrition, and climate change adaptation were mainstreamed in each Department, but beyond a commitment to LRRD there was no real inter-Service approach specific to building resilience to food crises. Two key regional initiatives Alliance Globale pour

l'Initiative Résilience-Sahel (**AGIR**) and Supporting the Horn of Africa's Resilience (**SHARE**) were launched during this period (see Box 2 below).

Box 2. EU Regional Approaches to Building Resilience

AGIR is the EU's regional resilience programme in the Sahel and West Africa. It supports 14 countries in strengthening the resilience of the most vulnerable. It is a policy tool that aims at bringing together regional and international stakeholders to coordinate on a common results framework. It was launched in 2012 at the initiative of the EU, with the support of the Sahel and West Africa Club (SWAC/OECD). It is now (2016) under the technical and political leadership of the Permanent Interstates Committee for Drought Control in the Sahel (CILSS), ECOWAS, and the West African Economic and Monetary Union. The EU leads the group of Technical and Financial Partners, composed of key donors and UN agencies.

AGIR aims to achieve 'Zero Hunger' by 2032, through a focus on four strategic pillars: (i) livelihoods and social protection for the most vulnerable; (ii) health and nutrition of vulnerable households; (iii) agricultural and food productivity, access to food of vulnerable households; (iv) better governance for food and nutrition security. The Regional Roadmap adopted in 2013 sets indicators for monitoring progress with a view to reducing chronic malnutrition by more than half, reducing acute malnutrition by more than two-thirds, generalizing access to basic social services, and decreasing the child mortality rate.

AGIR is also used as a framework for designing Country Resilience Priorities (CRP). Since the adoption of the Regional Roadmap all 17 countries in Sahel and West Africa have launched the process of discussing and designing their CRP. By 2016 eight countries had adopted a CRP (Burkina Faso, Cabo Verde, Chad, Côte d'Ivoire, Gambia, Mali, Niger, and Togo) and three were in the process of adopting it (Guinea Bissau, Mauritania, and Senegal).

The operationalization of AGIR has been supported through various EU instruments (11th EDF [European Development Fund], Global Public Goods and Challenges, ECHO's Humanitarian Implementation Plan [HIP], Instrument contributing to Stability and Peace [IcSP], PRO-ACT, EU Emergency Trust Fund for Africa, etc.)

Launched in 2012 by the EU, **SHARE** is a strategy that aims at "breaking the vicious cycle of crises in the region". SHARE tries to improve coordination and information exchange between humanitarian and development assistance through a common framework of intervention and analysis. It combines national-level interventions with a regional approach.

SHARE focuses on the lowlands and drylands, and pays attention to the role of pastoralism and livestock, and of natural resources management in livelihoods. It also uses an integrated food security approach that incorporates nutrition, food production and market development. SHARE supports the IGAD's Drought Resilience and Sustainability Initiative (IDDRSI) in its effort to coordinate and help with the drafting of Country Programming Papers (CPP). All IGAD Member States (Djibouti, Ethiopia, Kenya, Somalia, Sudan, South Sudan and Uganda) have drafted a CPP.

During the second period (2012–2014) the EU formalised its policy commitments to building resilience to food crises and launched key resilience-oriented initiatives. The EU published three key policy orientation documents in 2012 and 2013.

Communication 586 of 2012 presents the main lessons learned from the EU's experience and outlines the characteristics of the EU approach, building on AGIR and SHARE. It defines the concept of resilience as '*the ability of an individual, a household, a community, a country or a region to withstand, to adapt, and to quickly recover from stresses and shocks'*. The joint instruction letter[14] defines the goals of the resilience approach as "*more effective EU collaborative action, bringing together humanitarian assistance, long-term development cooperation and on-going political engagement … leading to a reduction in humanitarian needs*

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[14] Issued by the Directors General for Development and Humanitarian Aid of the European Union Member States and of the European Commission, and the Chief Operating Officer of the European External Action Service on 11th October 2013.

and more sustainable and equitable development gains". The key elements of the approach underline the importance of:

- resilience as a political and development priority, integrating DRR, adaptation to climate change and the food and nutrition security agenda under a common umbrella;
- a joint humanitarian-development analysis of problems and integrated programming to address the causes of food insecurity, and give attention to measuring outcomes;
- breaking down institutional barriers between humanitarian and development actions, between sectors and between stakeholders (the joint nature of ECHO-DEVCO-EEAS action is an important feature of these policy documents);
- multi-agency coordinated approaches under national leadership.

The **Council Conclusions of 2013** highlight a gender- and child-sensitive approach, recognising the distinct rights, needs, capacities and coping mechanisms of women, girls, boys and men, and the crucial role of women in building resilience in households, communities and countries affected by crises. Following the resilience commitments, the EU has also adopted related policy orientations on nutrition[15] and social protection[16], both with a multi-sector dimension, leading to attention to governance and coordination in EU policy commitments.

The Council Conclusions and the **Resilience Action Plan (RAP) of 2013** develop the key features of the EU resilience approach in a structured manner. They broaden the thematic (from a focus on food crisis to a wider focus on inclusive and sustainable growth) and geographical scope (from an implicit focus on African drylands to a wider coverage) of the resilience approach. The Action Plan also further develops the attention given in the Council Conclusions to measuring outcomes. Commitments to better humanitarian-development cooperation are constant, but the Council Conclusions place more emphasis on complementarities between the Services.

In parallel to the broadening of the resilience approach there has been a shift in leadership responsibilities in DEVCO. The Rural Development Unit was responsible for the coordination of the Communication preparation process, while responsibility has been handed over to the Conflict and Fragility Unit for the Action Plan preparation process.

Since 2013 policy developments have mostly focused on developing guidance for implementation and on the adaptation of instruments. The Food Facility, conceived in reaction to the 2007/2008 world food prices crisis, has not been renewed in 2012 and open ended trust funds such as the EU Emergency Trust Fund for Africa have been developed since 2015. The FTSP has been replaced by the GPPGC, which aims at prioritising more strategic investments than the former scheme. PRO-ACT, now prioritised through The Global Network for Food Insecurity, Risk Reduction and Food Crises Response analyses, is aiming at making more strategic and coordinated allocation of the DEVCO food crises response and mitigation funds. The multi-sectoral and multi-stakeholder dimension of the approach has been affirmed in subsequent presentations[17] of the EU approach to building resilience to food crises.

A third period (as of 2015) is characterised by a broadening of the resilience approach and the rise of the migration agenda. The growing importance of managing migration within the EU policy agenda has been formalised with the La Valletta summit in 2015 and the launch of the EU Emergency Trust Fund for Africa. In this context building resilience to food crises is often understand as addressing one of the root causes of migration. The Trust Fund supports all aspects of stability and contributes to better migration management as well as addressing the root causes of destabilisation, forced displacement, and irregular migration, by promoting resilience, economic and equal opportunities, security and development, and addressing of

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[15] EU Communication: Enhancing Maternal and Child Nutrition in External Assistance: an EU Policy Framework, SWD (2013) 72; EU Council conclusions on Food and Nutrition Security in external assistance, 2013; EU Action Plan Nutrition 2015-2025: Reducing the Number of stunted children under five by 7 million by 2025, 2015.

[16] Social Protection in European Union Development Cooperation COM 2012 446.

[17] GFDRR Fall 2013 Consultative Group Meeting Washington DC, November 13-14, 2013.

human rights abuses. Objective 2 specifically relates to building resilience to food crises[18] and includes the Sahel and the Horn as focus regions.

Finally, it is useful to note that the 2016 EU Communication on Forced Displacement and Development[19] highlights the need for a new, coherent and collaborative policy framework that draws on the strengths of the EUs approach to resilience to "*harness the productive capacities of refugees and IDPs by helping them to access education, housing, land, productive assets, livelihoods and services, and by supporting interaction between them and their host community*". This links resilience programming to improving the service provisions and livelihoods of refugees, IDPs and host communities. The most recent policy developments[20] indicate that EU commitments to the SDGs are moving the EU resilience approach towards a broader agenda, more explicitly including resilience to climate change, State and society resilience, and urban resilience.

The influence of technical, context and political drivers in the evolution of the EU approach to building resilience to food crises[21] *(JC 1.2)*

The food security context, lessons from past policies and programs, and political drivers have been key influences in the development and evolution of the approach.

The development of the EU resilience approach can be viewed as a direct response to the food security context. This view was largely shared by stakeholders interviewed within and outside the EU[22], who referred in this regard to the increasing frequency and magnitude of food crises in all countries of the Sahel and the Horn. Several events have contributed to triggering the development of regional and national strategic approaches. The most important were: the Niger crisis in 2005, the 2007/2008 world food prices crisis, the 2009/2010 pastoral crisis in the Sahel, and most significantly the 2011/2012 food crisis in the Horn and the Sahel. More recently the approach has continued to be influenced by contextual changes (instability in the Sahel, the migrant crisis in Europe), while local attention has been boosted by El Niño in 2015/2016.

The EU approach of resilience to food crises as formulated in 2012/2013 was not only a response to political imperatives, but was also largely considered as relevant by country-level staff. It was also influenced by the regionally-developed initiatives AGIR and SHARE. There has been a consensus that there is a high risk of future large-scale food crises in large areas of both the Horn and Sahel. EU staff in the focal countries agreed that this required a new approach and longer-term perspective. Given the decentralization of aid decision-making, several country-level stakeholders perceived the local context to be the primary driver of strategy development, with Brussels-level policy directives seen as having limited influence on local-level decision-making. Indeed, regional approaches to resilience to food crises preceded the 2012/2013 policy. SHARE (2011) and AGIR (initiated in 2011 and taking shape in 2012), although strongly supported by the headquarters, were rooted in regional dynamics.

The EU approach has also drawn on lessons from the operationalization of previous EU policies:
- It has built on the LRRD approach through (i) less emphasis on sequencing (*continuum*) and more on joint strategic planning and complementarity (*contiguum*); (ii) stressing

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18 European Commission, *The European Union Emergency Trust Fund for Stability and Addressing roots causes of irregular migration and displaced persons in Africa, strategic orientation document*, February 2016. Objective 2: "Strengthening resilience of communities and in particular the most vulnerable, as well as refugees and displaced people Supporting resilience in terms of food security and of the wider economy, including basic services for local populations, and in particular the most vulnerable, as well as refugees and displaced people, including through community centres or other means of providing them with food and nutrition security, health, education and social protection, as well as environmental sustainability."
19 SWD (2016) 142 final - Lives in Dignity: from Aid-dependence to Self-reliance.
20 SWD (2016) 390 - Next steps for a sustainable European future: European action for sustainability
21 Detailed evidence supporting the findings presented under JC 1.2 is presented in Annex D, In-Depth Study 1.
22 Including stakeholders working at country, regional and global levels.

prevention more than response (whereas in LRRD the focus on the post-crisis is stronger); (iii) stressing the need to develop outcome measures of resilience.

- ECHO and DEVCO strategic evaluations organised over the period highlighted the need for further coordination efforts and attention to strengthening governance and national ownership, which is reflected in the approach for building resilience to food crises. A lesson drawn from the Food Facility evaluation is that non-country-specific programmable instruments are largely ineffective in delivering sustainable outcomes.

The evolution of the approach reflects several political drivers.
- The AGIR initiative, originally driven by DG ECHO, was initially launched as an EU initiative, and progressively[23] embedded in established regional coordination mechanisms. Interviews with EU staff suggested that AGIR was, at least in part, a political response by the EU to the USAID leadership in the Horn[24], where the IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI) was launched in 2012 with USAID support through the Global Alliance for Action for Drought Resilience and Growth.
- In addition to strengthening the EU leadership in response to the 2012 Sahel crisis, the call for a reduction in the volume of EU Humanitarian Aid was another other key political factor that influenced the resilience approach. In 2011 more than 50% of EU aid to the evaluation focus countries took the form of humanitarian aid.

As noted above, **addressing the drivers of irregular migration is providing a new direction to EU efforts on building resilience to food crises.** This was repeatedly referred to by EU staff met during the evaluation as the dominant policy priority for the EU. In the Sahel the principal driver of overall EU policy appears to have been stability, as demonstrated in the Sahel strategy[25], while to some extent building resilience to food crises has been recast as a contribution to stability and reduced migration objectives (see EUTF strategic framework)[26]. The argument has been that food crises and migration are closely interlinked, because the root causes are common. Demographic influences, poverty, climate change, climatic shocks, economic and political crises, and conflicts can all cause people to lose their livelihoods and escape from threats through internal migration to areas with better opportunities. This then is the first step in long-range migration and emigration.

However, evidence shows that there is a complex relationship between migration and food crises:
- The idea that conflict is a major driver of forced displacements has been unchallenged and, to the extent that building resilience to food crises may contribute to reduced conflict, the agendas have been clearly aligned.
- The idea that environmental changes may lead to large-scale migration has been widely shared in policy circles but the exact relationship is debated in research circles[27]. Migration causes and motives at individual level are diverse, and not necessarily related to risks or stress[28][29]. Research work conducted in the Sahel and the Horn has determined that environmental factors (land degradation, drought) were not dominant drivers of migration in these regions (Figure 4), and that a lack of means of subsistence was a key motive for about only 5% of migration decisions. Recent major population displacements (Somalia,

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[23] AGIR initiative officially launched at the 2012 RCPA annual meeting in Ouagadougou after Lomé and Brussels preparation meetings, AGIR Cell hosted by CILSS since end of 2014.

[24] Some EU staff perceived that the publication for the EU Communication on resilience, prior to the US policy and guidance note, was an objective in itself.

[25] EEAS, 2013: Strategy for Security and Development in the Sahel.

[26] The European Union Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa: strategic orientation document, 2015.

[27] Estimates of environmentally displaced people (Adamo 2008: 6, Foresight 2011: 28).,in micle working paper no. 1, 2012).

[28] "People will only migrate if they perceive better opportunities elsewhere and have the capabilities to move", De Haas, H. (2011). The determinants of international migration: Conceiving and measuring origin, destination and policy effects. DEMIG/IMI Working Paper 32. International Migration Institute, University of Oxford.

[29] EU staff experience in Delegation support these research results, reminding us that *"migrants are not necessarily most vulnerable populations nor coming from vulnerable areas"*.

Mali, Lake Chad Basin) have been induced primarily by political factors rather than environmental factors.

▪ Other studies highlight that migration has been an important coping strategy that has contributed positively to building resilience to food crises and can be the most viable and desirable livelihood strategy for some individuals or communities.[30] There are risks associated with immobility and an absence of opportunities to migrate. Addressing migration pressures by cutting off these opportunities may do more harm than good. [31]

▪ At a macro level, in the short-to-medium term migration has been shown to be facilitated through development – to which resilience-building contributes[32] - rather than reduced by it. Research results at country level shows that emigration increases with development up to an approximate threshold of US$7,000 *per capita* - which is much higher than *per capita* GDP in most, if not all, focus countries[33],[34].

Figure 4 – Main drivers behind migration in the Sahel[35]
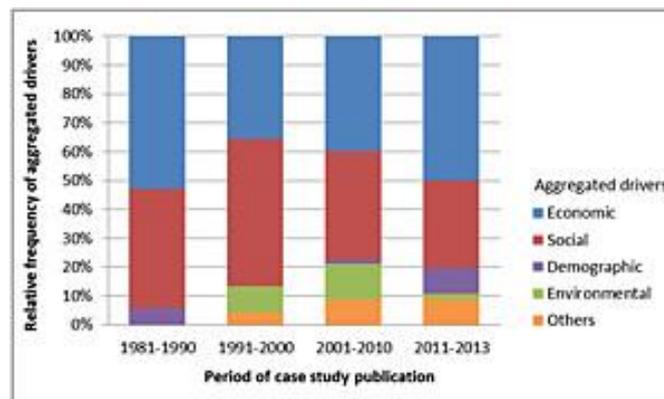
Source: Neuman K., Hernman F. 2017, "What Drives Human Migration in Sahelian Countries? A Meta-analysis"

The respective mandates of the different services implied differing levels of responsibility for building resilience to food crises. While this was a shared inter-service responsibility, building resilience became an increasingly prominent objective for DEVCO:

▪ Risk and vulnerability have gained progressive prominence in EU development strategies. DEVCO had primary responsibility for poverty reduction, approached through the objective of economic growth. However, working with vulnerable populations to build their resilience was reaffirmed by the EU as a fundamental part of poverty reduction in the Agenda for Change (2011). In 2010, the EU framed its food security policy[36] around the four dimensions of food security, including stability over time, which is related to occurrence of food crises because of a temporary disruption.

▪ ECHO have the responsibility for delivering humanitarian aid which has the objective of providing needs-based emergency response with the scope of assistance, relief and protection operations during and in the immediate aftermath of the emergency.[37] ECHO

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[30] Scheffran, J., Marmer, E., and Sow, P. (2011). "Migration as a resource for resilience and innovation in climate adaptation: Social networks and co-development in Northwest Africa. Journal of Applied Geography".

[31] Boswell, 2016; EUTF Research Facility, 2016.

[32] "*In the poorest countries, especially (such as the sub-Saharan African countries which are the target of much international aid), any take-off development is likely to lead to accelerating take-off emigration for the coming decades, which is the opposite of what 'development instead of migration' policies implicitly or explicitly aim to achieve*"; de Haas, H. 2007, 'Turning the Tide? Why Development Will Not Stop Migration', Development and Change, 38 (5), 819–841.

[33] A literature review recently commissioned by the EU concluded "poverty not a key driver of migration, rather a factor that constrains mobility".

[34] "Migration transitions: a theoretical and empirical inquiry into the developmental drivers of international migration," International Migration Institute, Working Paper 24., Michael Clemens. 2014. "Does Development Reduce Migration?", CGD Working Paper 359. Washington, DC: Center for Global Development.

[35] Neuman K., Hernman F. 2017, "What Drives Human Migration in Sahelian Countries? A Meta-analysis", Popul. Space Place.

[36] COM (2010)379.

[37] Council, EP and COM (2006) 'The European Consensus on Development', Joint statement by the Council of the EU, European Parliament and European Commission, 2006/C 46/01, Brussels, 24 February 2006.

has a strong commitment to building resilience – as means to reduce the frequency, scale and severity of food crises – but it has not been a core operational responsibility.

▪ As the European Union's diplomatic service, the EEAS had a supporting role in supporting EU development and humanitarian aid through its' political instruments – with a prominent role in promoting human rights and building peace and security.

Furthermore ECHO was orientated towards working with sudden onset shocks, including; extreme weather events, other natural disasters, conflicts and – to some extent – market failures. In contrast, DEVCO was better placed to address longer term risks and vulnerabilities, such as the effect of demographic growth on food system stability, the consequence of natural and productive resources depletion on future agricultural outputs and the long-term effects of climate change.

An asymmetrical responsibility for building resilience to food crises was reinforced by the differing capacities and instruments available to the different services. Resources constraints and other priorities, limited the EEAS capacity to establish building resilience to food crisis as a key priority. The EEAS was only established in 2011 and typically there are only one or two EEAS staff per Delegation in the Sahel and Horn.

Consensus exists about the necessity to institutionalize the response to recurrent food crisis. Here DEVCO has a comparative advantage in long term approaches which builds on country ownership and address the underlying causes of the problem, not just the consequences. ECHO in turn sees its responsibility more in the short run with a progressive handover of the responsibility.

Interviewees from the EU explained that building resilience to food crises was perceived to be a lower priority for ECHO at HQ level. This reflected ECHO's priority to use resources to respond to immediate needs as opposed to longer-term support to building resilience. In addition, the emergence of new policy priorities, such as Education in Emergencies for ECHO, further displaced attention from building resilience to food crises. Changes in the leadership of the respective Directorates-General (DGs) often give rise to fresh policy agendas. It was also noted that interest in longer-term approaches to food security follows a cyclical pattern, peaking in the immediate aftermath of crisis and waning in the run-up to the next crisis. The survey results (albeit from a limited sample) also indicated that building resilience to food crises has generally been a higher priority in the field than in Brussels[38].

There has been strong convergence with other key donors in strategic orientations associated with the resilience concept to drought-related risks and African drylands. The USAID approach to building resilience has put a similar emphasis on joint humanitarian-development programming. The EU, the UK Department for International Development (DFID) and USAID[39] approaches all insisted on attention to evidence, coordination access sectors, and local and country ownership. As the UK approach was formalised earlier it may have contributed to influencing the EU approach. However the UK approach has aimed to reduce vulnerability to broader aspects of human security, rather than food security specifically. The US approach was concomitant with that of the EU and, as mentioned above, was largely convergent.

The USAID and DFID operational strategies have been more focused on direct service provision while the EU has been more engaged in institutional development and policy dialogue, especially in West Africa. The World Bank policy framework has also been dual, developing the resilience approach in a broad risk management framework[40], as well as developing a specific vision for resilience-building in relation to drought-related risks and in the African Drylands[41]. Finally, most EU Member States have not formalised a specific strategic approach to building resilience to food crises.

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[38] Indeed, 18 out of 25 respondents from the field (or 72%) stated that it was a high priority, while only 12 out of 25 from Headquarters (42%) did (the survey did not allow further detailing this information by type of unit).

[39] See IDS1 for a more detailed analysis of the USAID, WB, and DFID approaches to building resilience.

[40] World Development Report 2014: Risk and Opportunity—Managing Risk for Development, The World Bank.

[41] World Bank, 2016, Confronting Drought in Africa's Drylands, Opportunities for Enhancing Resilience.

EQ2 Relevance to needs, contexts and capacities

<table>
<tr><td>**To what extent does the current EU approach to building resilience to food crises match the needs, context and capacities on the ground in the Sahel and the Horn to enable governments and populations to withstand food crises?**</td></tr>
</table>

This question first examines the extent to which the approach identifies and addresses the key causes of food insecurity in different contexts, and the extent to which it targets appropriate beneficiaries and uses appropriate partnerships for implementation. We then review the extent to which the EU approach to building resilience to food crises has been aligned with the differing national and regional priorities and supports institutional capacities.

<table>
<tr><td>**EQ2 Relevance to needs, contexts and capacities - Answer Summary Box**</td></tr>
<tr><td>The EU has supported a range of causal analyses of food insecurity to inform the design of its resilience actions. However, the scope of these analyses generally remains narrow with little attention to conflict and political drivers, and more generally to the root causes of food crises. The limitations of the analyses leave strategies weakly adapted to addressing the causes of conflict-driven protracted emergencies, and the linkages between building resilience to food crises and managed migration have been inadequately elaborated. EU resilience programmes have still been principally aligned on mitigating the impact of shocks rather than addressing longer-term trends such as climate change and demographic trends. While some good practice examples are emerging on linking causal analyses to decision-making, implementing partner know-how has still often been the main determinant of programmatic choices.

The EU's approach to building resilience has been largely coherent with partners' policy priorities. Approaches and strategies for building resilience have been widely developed and incorporated into the corpus of national policies in the focal countries. However, differences exist at country level; Government priorities in some cases have been less focussed on targeting vulnerable populations or have not yet broadened the approach from food and agriculture to a multi-sector approach. Policy positions in relation to migration management constitute one of the challenges to alignment. The EU has worked closely with the national institutions responsible for leading resilience-building, in particular to strengthen their capacity. National investment plans for building resilience to food crises have not always been well defined, making gaps hard to identify and fill.

In addition to working with national authorities, the EU has had a strong and differentiated implementing partnership network for building resilience to food crises. However, challenges have included the following: building institutional capacity; managing the involvement of a multiplicity of sectors and partners involved in resilience-building priorities; and the need for new partnerships to work in urban settings and with the private sector.</td></tr>
</table>

Extent to which the EU approach to building resilience has been pitched and scoped appropriately - conceptually and operationally[42] *(JC 2.1)*

Analyses to identify the causes of food insecurity

To appropriately scope its approach to building resilience, the EU supported a range of causal analyses of food insecurity, conducted by partners using different methods. The EU approach identifies the need for sound risk and vulnerability assessments as the basis for developing national resilience strategies, as well as for designing specific projects and programmes. Such analyses have increasingly been carried out; this is at least in part directly related to the EU approach. In the Sahel, the roll-out of AGIR includes a shared diagnostic on

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[42] Detailed evidence supporting the findings presented under JC 2.1 is presented in Annex D, In-Depth Study 1 and In-Depth Study 2 (The integration of conflict and security issues into the resilience agenda).

the main causes of vulnerability which was conducted across the region. Moreover, the support to the formulation of Country Resilience Priorities (CRP) has encouraged the conduct of multi-year vulnerability analyses. Other concurrent processes have encouraged the production of causal analyses. However, the approach to causal analyses remained more *ad hoc* in the Horn.

The Scaling-Up Nutrition (SUN) movement has helped motivate the production of nutrition causal studies in the region – for example in Somalia and Ethiopia[43]. In Mali, a methodological framework for vulnerability causal analysis at national scale has been developed, based on available national datasets.

The scope of many of the food security assessments remained relatively narrow. In particular, underlying political drivers of risk and vulnerability were not comprehensively analysed. In the Sahel, ECHO and DEVCO staff considered underlying analyses of governance issues conducted as part of CRP formulation processes and their ability to track governance progress was weaker than other elements of the analysis. This weakness reflected both the difficulty of such exercises, and the limited skills within the EU and its partners to conduct governance-related analyses. Food security analyses were still largely based on historical events or previous crises – consequently giving limited attention to food security trends. Interviewees, including DEVCO staff at HQ and country levels, stakeholders in CRP processes, and independent observers, considered forward-looking food security analysis to be lacking until recently[44], and then rarely[45] conducted at country level.

Moreover, causal analyses did not take sufficient account of existing conflict analyses. The survey shows that the Joint Humanitarian Development Frameworks (JHDFs) often considered a range of analyses covering food availability and access, nutrition causal analysis, and gender analysis, but less systematically covered conflict analyses. Interviewees confirmed this and explained it was due to the limited availability of these studies and the lack of methodological and resource capacities for conflict analyses[46]. Moreover, EEAS-led conflict analyses and State-building strategies in Somalia[47] were not integrated into the joint analyses for developing strategies of resilience to food crises.

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[43] Conducted through UNICEF in Ethiopia together with 14 EU MS under the EU+ Joint Programming on nutrition.

[44] The recent World Bank "Confronting Drought in African Drylands", supported by the EU, includes such analyses. RPCA, *Les enjeux alimentaires face aux défis démographiques, urbains, migratoires et sécuritaires* Maps & Facts, no 2, septembre 2016.

[45] The analysis supported by the EU in Ethiopia is a counter-example.

[46] See Q8 and Q9, and comments to Q9 of the survey. Questions 8 to 10 were conditional to the country having an ECHO office. Therefore only 13 respondents answered those questions.

[47] The EU (as well as 13 EU Member States) endorsed the New Deal for engagement in fragile states, one of the main Building Blocks of the 4th High Level Forum on Aid Effectiveness in Busan in November 2011. The EU is already very active in the New Deal implementation in Somalia, this support brought about the first New Deal Compact for Somalia (The Federal Republic of Somalia, 2013), endorsed in Brussels in September 2013. The Somali example shows the importance of working together with the international community and aligning to the "'one vision one plan" determined by the partner country (European Commission, 2012).

Figure 5 – Evolution of the drivers of food crises targeted (Evaluation focal countries)
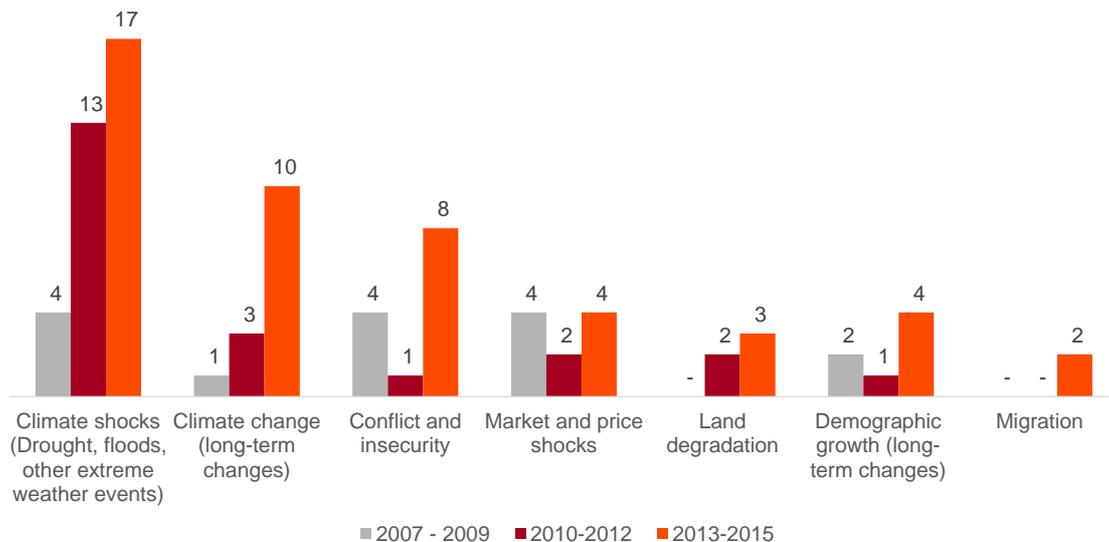
Analysis on 46 DEVCO resilience-related decisions in the nine countries
Source: ADE based on CRIS database and decisions' action documents

Figure 5 provides an analysis of the number of resilience related decisions (out of 46) that concerned a specific type of crisis[48] in the nine focal countries for the evaluation over three periods of time, namely 2007-2009, 2010-2012, and 2013-2015. It shows that 34 decisions out of 46 (i.e. 74%) were related to sudden onset climate shocks, whereas longer term changes such as climate change or demographic growth concerned respectively 14 and 7 decisions (i.e. respectively 30% and 15% of the decisions[49]). A closer analysis shows that the emphasis on short term shocks remained important, but there was an improvement over time (e.g. climate change became more important over time (from 17% to 38% in terms of number of decisions).

While the causal analyses helped at drawing up lists of the causes of vulnerability and a menu of possible response options, they did not provide solid grounds for prioritising between options in a specific context. CRP diagnoses in the Sahel were mostly based on participatory consensus-building around key causal factors, but the method used lacked the methodological rigour that would allow a robust prioritisation of issues to be addressed. Since the scope of the analyses determined the scope of the responses, focusing on the immediate causes of food insecurity *de facto* led to design responses aimed at helping households withstand and cope with the immediate effects of shocks, while deeper analyses of the root causes could have helped inform transformative actions.

Figure 6 presents an analysis using the same logic as the one displayed in figure 5 above, but focussing on the areas supported by Resilience building decisions. It shows that over the three periods considered, the bulk of the decisions concerned agricultural production (32 decisions out of 46, i.e.70%), food and nutrition assistance (12 decisions, i.e. 26%), and, though to a lesser extent, health and nutrition (10 decisions, i.e. 22%)[50]. The relative weight of the two latter increased in the last period. There is limited evidence of innovative 'transformative' approaches to building resilience to food crises.

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[48] One decision may concern different drivers of food crises.

[49] When examining the amounts concerned, the percentages become respectively 85%, 28%, and 18%, which does not change the magnitude.

[50] These percentages do not add up to 100% as decisions can be associated with more than one sector. In terms of financial weight, these figures are comparable (respectively 67%, 30%, and 20%).

Figure 6 – Evolution of Areas Supported by Resilience Building Decisions (Evaluation focal countries)
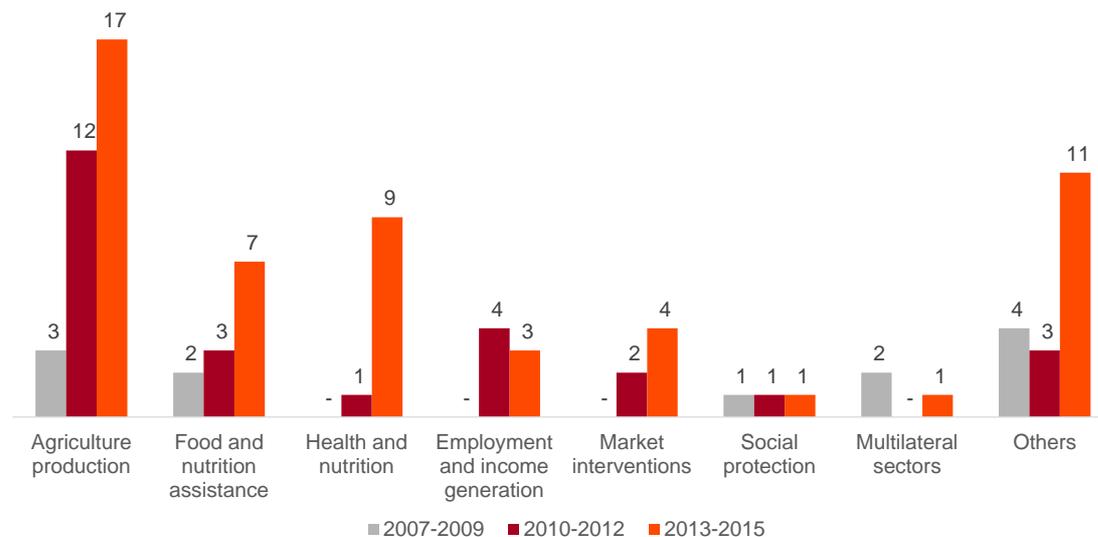
Others include for instance roads, energy and water/sanitation
Analysis on 47 DEVCO resilience-related decisions in the nine countries visited
Source: ADE based on CRIS database and decisions' action documents

The integration of conflict sensitivity into the programming strategy often remained insufficient. While it has been factored into the programing strategy in Mali and Somalia, it has been limited to "do no harm", with little consideration of how programming could contribute to conflict reduction. The EU programmes examined during this evaluation largely considered conflict, security and fragility as elements requiring adaptation of operational models, but they were not considered as factors that may shape the strategic planning and programming objectives of the approach to building resilience to food crises. Some good practices were found, including: the increasing attention to and planned investment in addressing livestock migration routes; and securitisation through structural programmes in West Africa.

However, good practices were identified: the EU-commissioned food security analysis in Ethiopia[51] was an innovative example of an analysis of root causes including climate change, demographics, and technological, policy and governance factors. This analysis was then factored into programming priorities, including family planning as part of the RESET+ portfolio and link rural youth to large-scale urban employment generation programmes.[52] [53]

Targeting appropriate beneficiaries

The EU played a key role in supporting the development of systems allowing geographical- and household-level targeting decisions.
▪ The EU has played a critical role in strengthening Food and Nutrition Early Warning Systems (EWS) in Africa, hereby enhancing the availability, regularity and quality of information on the incidence of food insecurity and malnutrition. This information is a strong basis for geographical- and household-level targeting decisions, including gender-disaggregated targeting:
  o DEVCO has been a major supporter of the development and roll-out of the Integrated Food Security Phase Classification (IPC)[54] methodology nationally, regionally and globally. Initially developed in Somalia, the EU (ECHO and DEVCO since 2011) has supported the institutionalization of the IPC methodological approach in both regions.

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[51] EU Delegation to Ethiopia, Addressing the root causes of recurring food insecurity in Ethiopia, 18th May 2016.
[52] See "Building Resilience to Impacts of El Niño through Integrated Complementary Actions to the EU Resilience Building Programme in Ethiopia (RESET Plus)"
[53] For example, backed by Chinese funding Ethiopia is developing large-scale urban industrial schemes. The first one is coming on stream with a reported 60,000 employment opportunities. Analyses suggest that rural youth are poorly equipped to transition to these new urban employment schemes.
[54] IPC is an analytical framework for EWS

- o The EU has also consistently supported the roll-out of the Household Economy Analysis (HEA) in both the Sahel and the Horn[55].
- o ECHO has helped fill other key data gaps, including SMART (Standardized Monitoring and Assessment of Relief and Transitions) nutrition surveys in the Sahel, and essential information for nutrition programming and EWS.
- o With INFORM, the EU is now investing in global analysis of risks, taking a closer look at global risks and imbalances.

- ▪ Building on household-level targeting approaches developed in the humanitarian sector (e.g. HEA-based approached for targeting) the EU has played an active role – often coordinated between ECHO and DEVCO - in strengthening national targeting systems for food crisis prevention and management[56]. The EU also engaged in active co-ordination with other actors on the targeting of approaches, including with the World Bank on social protection programmes in the Sahel[57].

The EU covers diverse targeting priorities, reflecting the differences in the core mandates of the DGs involved in resilience:
- ▪ ECHO field staff indicated that their clear priority was to target the most vulnerable and food-insecure areas, prioritizing emergency assistance in line with its core mandate;
- ▪ DEVCO[58] (and national authorities), primarily concerned with impact and sustainable outcomes on target groups, may target areas with minimal prospects for enhancing livelihoods. In Ethiopia, there was a debate on the feasibility of transforming the livelihoods in the poorest RESET clusters where the average income was below the poverty line. Concerns were raised that in such an environment it would require an unrealistically large investment for any sort of sustainable livelihood development.
- ▪ Geographical targeting of EU Trust Fund programmes aiming at resilience-building has prioritised targeting on migration and stability grounds rather than on the grounds of vulnerability to food crises.

Building appropriate partnerships

The breadth of the resilience agenda has led the EU to explore multi-actor partnerships and engagement for building resilience to food crises. EU staff and partners referred to the comparative advantages of the different Services in facilitating broad alliances for building resilience to food crises. The main partners engaged include:
- ▪ *National authorities:* DEVCO has strong partnerships with specific national institutions including the National Food Crises Management systems in West Africa, Productive Safety Net Programme (the PSNP in Ethiopia, and National Drought Management Authority (NDMA) in Kenya. However, partnerships with other ministries relevant to the resilience approach (ministries of agriculture, livestock, social affairs) often have a more limited recent track record.
- ▪ *Regional organisations:* The partnership with regional organisations is more prolific in West Africa (e.g. CILSS supported with multiple programmes, support to RCPA, ECOWAS food reserve project, etc.) than in eastern Africa (e.g. IGAD).
- ▪ *International organizations:* Scepticism was expressed by EU staff on UN effectiveness and efficiency and contributes to reduced operational partnerships. UN partners are sometimes seen as either ECHO or DEVCO partners, when their scope of work actually covers both mandates, which can compromise operational partnerships. The EU also partners with the OECD/CSA to support the roll-out of AGIR in West Africa.

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[55] The HEA approach is a livelihoods-based methodology for vulnerability analysis, initiated in the early 2000's by Save The Children and the Food Economy Group, of which the development as consistently been supported by the EC in bot region, and which is now used as a reference methodology by most international actors and which has been adopted by some countries as an approach for vulnerability analysis and targeting (e.g. Burkina Faso)

[56] Examples: HEA approach used for targeting by the Food Security Commission in Burkina Faso and Niger, Post Distribution Monitoring introduced in Niger.

[57] Concordance between WB and HEA targeting approaches studied in Niger, Burkina Faso, and now other countries in the region.

[58] Particularly C1

▪ *NGOs:* NGO consortia, often initiated by ECHO, for building resilience to food crises have become commonplace and may add value in terms of innovation and advocacy.
▪ *Private sector organisations:* Private sector organisations have been involved in the AGIR processes in West Africa. This tradition is inherited from the ECOWAS Agricultural Policy (ECOWAP)-related processes and therefore mostly covers agriculture and livestock organisations. The EU is also collaborating with the private sector on developing index-based insurance products. Stakeholders noted that EU tools and instruments for private sector partnerships are generally weak and therefore noted an EU comparative disadvantage compared to donors such as USAID and the Netherlands.

Several partnership challenges are reported, including: creating synergies between the agencies of community-based civil society organisations and decentralised national services; coordinating the engagement of a multiplicity of partners involved in resilience-building priorities; the mono-sector institutional anchorage of building resilience to food crises in the Ministries of Agriculture, and; the need for stronger partnerships to work in urban settings and with the private sector.

A detailed analysis of DEVCO's resilience related decisions in the nine evaluation focal countries indicates that national and local governments are the partners most used (used for 32 decisions out of 46, i.e. 70%), followed by civil society organisations (used for 22 decisions our of 46, i.e. 48%) and international NGOs (19 decisions out of 46, i.e. used for 41% of the decisions), whilst less decisions were related to UN agencies (13 decisions out of 46, i.e. 28%), the private sector (9 decisions out of 46, i.e. 20%) and multi-lateral institutions (6 decisions out of 46, i.e. 13%). The financial weight is comparable, except for multilateral institutions, which shows that they concern relatively larger interventions.[59]

Figure 7 – Evolution of Partners used (Evaluation focal countries)
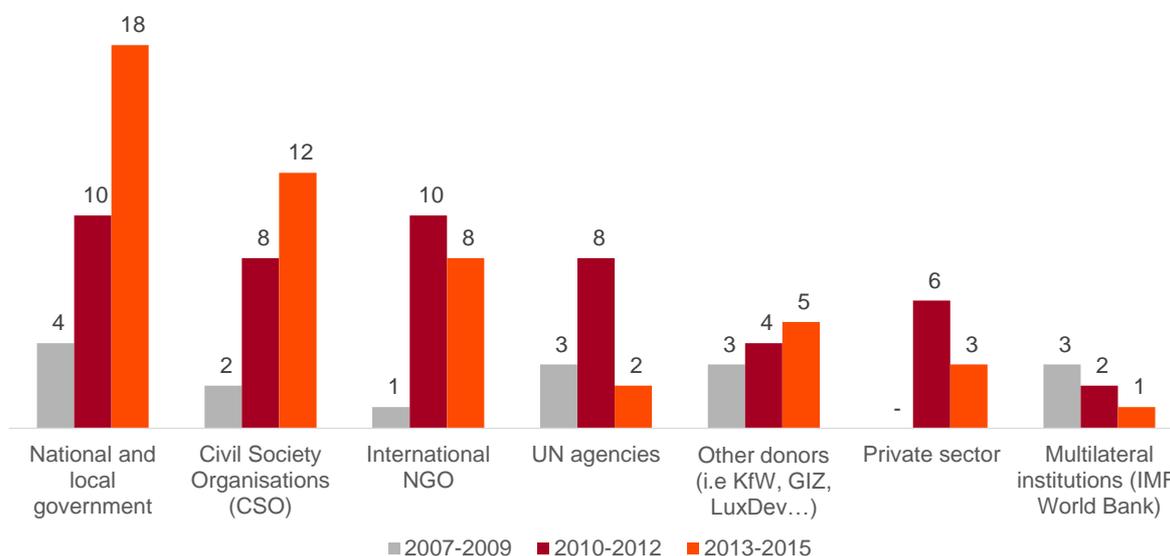
Analysis on 46 DEVCO resilience-related decisions in the nine countries
Source: ADE based on CRIS database and decisions' action documents

ECHO is legally limited to working with pre-agreed partners - essentially the UN, Red Cross Movement and European NGOs. The list of the top ten partners overall for ECHO is presented in the figure below. It shows that the World Food Program, UNICEF and Save the Children are the three most important partners. These top ten partners account for 64% of the total contracted amount.

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[59] The financial weight over the period is as follows: Governments: 76%; CSO 56%; international NGOs 41%; UN 33%; private sector 19%, and multilateral institutions 29%.

Figure 8 – ECHO Resilience related contracts by Partners (2007-2015)

Partner	Contracted amount
WFP-IT	859 M€
UNICEF-US	242 M€
STC-UK	120 M€
FAO-IT	89 M€
OXFAM-UK	86 M€
ACF-FR	80 M€
IRC-UK	74 M€
ACF-ES	65 M€
UNHCR-CH	57 M€
Total	1,672 M€
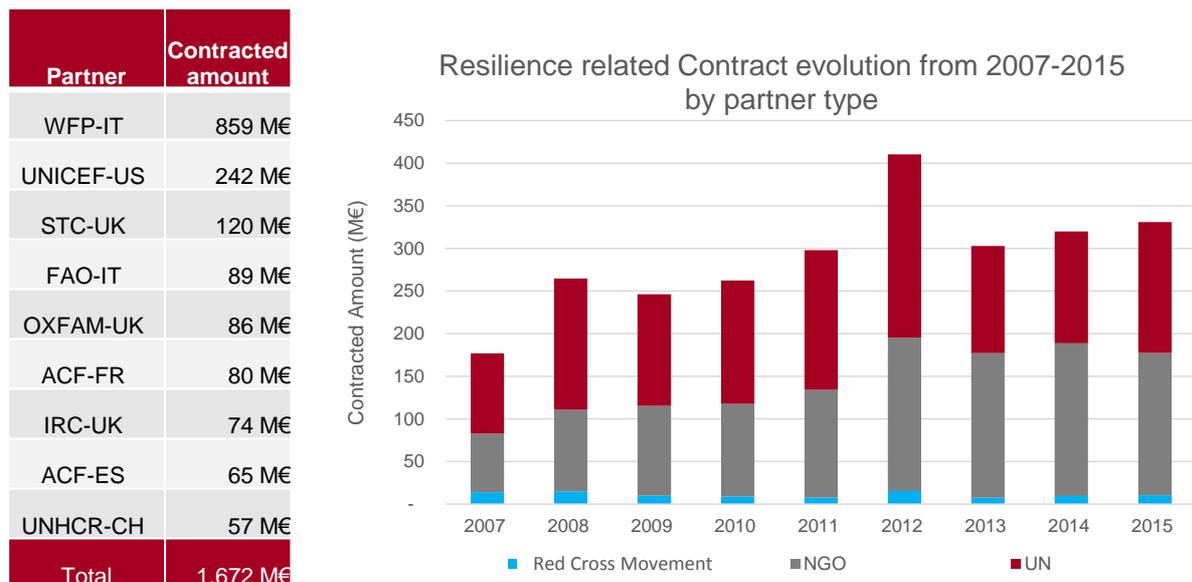
Source: ADE based on HOPE database

Extent to which the operationalization of the EU approach to building resilience to food crises has been aligned with national and regional priorities and capacities *(JC 2.2)*

There has been broad policy alignment between the EU resilience approach and the partners' policies in support of resilience.

▪ The Communication and Council conclusions both stress the importance of national ownership of the resilience-building agenda. The first principle of the communication is that *"The starting point for the EU approach to resilience is a firm recognition of the leading role of partner countries. The EU will align its support with the partner's policies and priorities, in accordance with established Aid Effectiveness principles".*
All the focal countries visited have developed national strategies and policies for building resilience[60]. Two regional processes have supported the development of national resilience strategic plans: the Country Resilience Priorities (CRPs) in West Africa (supported by ECOWAS and CILSS) and the Ending Drought Emergencies programme papers (EDEs) in the Horn of Africa (supported by IGAD). In addition, resilience is incorporated in a variety of sectoral policies and national development plans[61].

▪ The EU Resilience approach has been broadly aligned with these regional and national policies. An analysis of national policies in focal countries (see IDS5 for the details of this analysis) found the core elements of the resilience approach to be coherent with a range of sectoral policies including food security, nutrition, DRR and climate change policies.

Partners' strategies have been unevenly used across countries to inform EU programming. Given that the EU has been closely associated with the development of these strategies (see findings on EQ9) – including the CRPs supported under the AGIR process and the EDE paper in Kenya – there has been a general *de facto* commitment to using these frameworks. At country level the effective use of partners' strategies has varied. In countries such as Mali, Burkina Faso and Kenya they have been used. The Commission used the CRP as a basis for the design of the EU emergency Trust Fund for Africa programming in West Africa (Mali and Burkina Faso). In Kenya the EUD reported that they used the EDE as a programming framework. In other countries such as Ethiopia partners' strategies were not a source of inspiration for policy design. The EUD in Ethiopia reports that policy alignment with

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[60] Not yet formally adopted in Mali.
[61] In Somalia, the IGAD led EDE has been rejected by the Federal Government. However, the key reference document is the National Development Plan which includes a resilience pillar.

the Ethiopian EDE papers rather reflects a formality described as a tick-box process in which projects are listed against the pillars of action[62].

Moreover, areas of policy divergence and specific difficulties in terms of alignment have also been encountered.

▪ Lack of coherence between partners' and EU's interests on migration: National authorities have not demonstrated a clear or consistent position on migration policy. When migration management has been mentioned in national development strategies, priorities related to rural-urban migration (Niger, Kenya), valorisation of remittances (Mali), or immigration control (Kenya). Whenever emigration management objectives were mentioned, they related to brain drain mitigation (Kenya). Migration has not been addressed by the national development strategies of Ethiopia and Burkina-Faso. EU staff often expressed a general perception that domestic and EU interests may lack coherence on migration.

▪ Sensitivity on resilience: Actual Government priorities have been less resilience-sensitive - in the sense of being targeted on vulnerable populations and multi-sectoral approaches - than policy documents may suggest. Food security has typically remained anchored in the agriculture sector within Government systems.

▪ Existence of national investment plans: National investment plans for building resilience to food crises have not always been well-defined, making gaps hard to identify. Developing inter-ministerial plans has been complex and time-consuming. AGIR-led investment plans only started to emerge in 2014 in West African countries. Even where investment plans existed, they were sometimes so broad that they could justify any investment. Conversely regional organizations, national authorities, local authorities and civil society organisations all participated in developing EU resilience strategies and programmes. Building on ECOWAP/CAADP, the AGIR process has seen a constant interchange of ideas between the regional organizations, national governments and the EU[63].

▪ There were specific policy disagreements – for example on the long-term viability of pastoral livelihoods in Ethiopia. Donor perspectives on the continued relevance of pastoralism as a resilient livelihood are not necessarily shared by the Government.

The EU has been prioritizing capacity-building in the key national institutions responsible for leading resilience-building. This institutional collaboration has provided a firm foundation for building meaningful coherence with national priorities and programmes. Capacity-building support includes the following examples: EU support to the NDMA in Kenya; PSNP in Ethiopia; technical assistance and financial support to HC3IN and Dispositif National de Prévention et de Gestion des Catastrophes et des Crises Alimentaires (DNPGCCA) in Niger; technical assistance to the institutional reform of The Dispositif National de Sécurité Alimentaire (DNSA) in Mali; and direct support to capacity-building and workplan of regional institutions (IDDRSI and CILSS).

In situations of fragility where State institutions are weak or absent, opportunities for policy alignment were being capitalized on through NGO-led models. In Somalia, where resilience is a pillar of the new Somali National Development Plan, the EU approach instead suggested working in partnership with a range of alternative institutions. The entry point for EU support to resilience-building has been through NGO-led resilience consortia. However, they have themselves increasingly recognized the importance of working with the nascent federal and decentralized Governments and show evidence of strategic alignment on resilience programming. In Mali and Burkina Faso there is a bifurcated approach, with NGO-led implementation models in fragile and insecure contexts and Government leadership in the rest of the country (e.g. northern Mali *versus* southern Mali, northern Burkina Faso *versus* the rest of the country).

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[62] US and other partners are perceived to be in a similar position in West Africa.

[63] Examples of joint consultations and position papers include: AGIR Regional Roadmap, April 2013; AGIR Joint Statement of Ouagadougou, 6 December 2012; AGIR Joint Declaration on the Strengthening of Resilience, 18 June 2012; Consultations with Agricultural Producers, civil Society and the Private Sector, October 2012; ECOWAS, Union Economique et Monétaire Ouest Africaine (UEMOA), CILSS Joint Position, September 2012

EQ3 Inter-Service Collaboration

> ### To what extent have DEVCO, ECHO and the EEAS managed to ensure positive synergies through their interactions to build resilience to withstand food crises?

A key component of the EU approach to building resilience to food crises has involved breaking down the institutional barriers between humanitarian and development action. The Council Conclusions recognize development cooperation, humanitarian action and political dialogue and engagement as essential complementary components of resilience-building. We examine how this commitment has been operationalized, the factors promoting and constraining collaboration and the synergies realised.

EQ3 Inter-Service Collaboration - Answer Summary Box

DEVCO and ECHO have collaborated well at headquarters level, sharing political and technical leadership in developing the resilience approach from the outset. They also developed and disseminated a range of tools and guidance materials. The extent to which they collaborated on building resilience to food crises at field level varied widely between focus countries. Resilience-building has remained at the margins of ECHO priorities and is vulnerable to being displaced by the focus on responding to acute emergencies.

In several countries there has been a transition in responsibility for building resilience to food crises from ECHO to DEVCO, based on comparative advantage. Organizational changes that foster increased direct interaction between the staff of the two Services have also enhanced inter-Service cooperation. Where collaboration between the Services occurred, evidence of synergies and complementarities were found, contributing added value.

The Joint Humanitarian Development Frameworks (JHDFs), a useful tool on paper, are weakly articulated with EU country strategies and programming. Differing mandates and procedures between ECHO and DEVCO have continued to hamper inter-Service collaboration, and accountability frameworks were weak. Inter-Service collaboration has proved most challenging in politically complex settings. EU staff asked further guidance on operationalizing the approach, including a division of responsibilities and good programming models.

The EEAS have had minimal engagement in building resilience to food crises. This position was rooted in their focus on priorities such as human rights, peace-building and State-building – rather than on food security – and a consequence of limited capacity at country level.

Coordination and joint lead by EuropeAid, ECHO and EEAS of the EU approach to building resilience *(JC 3.1)*

The evaluation found evidence that DEVCO and ECHO have collaborated on resilience to food crises at both political and technical levels.
- *They have indeed shared political leadership in developing the resilience approach from the outset.* The Commissioners of the respective DGs provided the impetus for the Resilience Communication. This was followed up in October 2013 by a joint instruction letter from the two DGs on the implementation of the Commission's approach to resilience. This letter was sent to Ambassadors of the EU Member States, Heads of EU Delegations, and Heads of ECHO field offices. Interviewees from within and outside the EU[64] noted the personal involvement of the ECHO Commissioner as a political champion of resilience and as responsible for initiating the AGIR initiative in the Sahel.

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[64] ECHO and DEVCO

- ***Both Services were also closely engaged at the technical level in developing the resilience approach*** – in ECHO through the thematic policy Unit[65] and in DEVCO notably through Units Rural Development and Conflict and Fragility. Along with the EEAS these Units were responsible for drafting the Communication "The EU approach to resilience: learning from food security crises" and the Resilience Action Plan.

DEVCO and ECHO collaboration <u>at HQ level</u>:
- Collaboration has been facilitated through good inter-departmental dialogue - notably through an inter-Service group to develop joint policy products. Reporting on resilience has been made jointly to the Council Working Party on Humanitarian Aid and Food Aid (COHAFA) and the Development Cooperation Group (CODEV).
- These formal channels were complemented by informal channels. Interviewees from both ECHO and DEVCO explained that personal relationships were key to pushing the resilience agenda forward, and that they regularly invited individual colleagues to participate in relevant workshops, meetings and other events. They however rarely mentioned the Resilience Action Plan as a convening structure to promote inter-departmental collaboration on resilience-building.

The evaluation found that <u>at field level</u> ECHO and DEVCO increasingly shared leadership in building resilience to food crises. There was a widespread agreement among stakeholders that the resilience agenda contributed to a paradigm shift – as one interviewee said "(EU) *development professionals acknowledge that maximizing economic growth is not enough and humanitarians acknowledge the need to contribute to nationally long-term solutions*". EU staff explained that initial field-level resistance among staff of both agencies to taking on responsibility for building resilience to food crises was being replaced by a shared understanding of the importance of this approach.

However, the extent to which ECHO and DEVCO shared responsibility and coordinated on building resilience to food crises varied widely between focus countries, as illustrated by the following cases:
- In Ethiopia and Mali they closely collaborated;
- In other cases – such as Kenya and Niger – ECHO and DEVCO developed and implemented parallel and poorly-coordinated approaches. In Kenya both DEVCO and ECHO supported resilience initiatives – DEVCO through support to national institutions and policies and ECHO through establishing an NGO consortium on resilience. However, these initiatives were widely reported to have taken place in parallel without dialogue or consultation at the planning stage.

Where collaboration between the Services occurred, evidence of synergies and complementarities were found, contributing added value. These included the following:
- Complementary understandings of the root causes of, and solutions to, food crises have been brought together in Ethiopia and the Sahel through joint strategic analyses. DEVCO and ECHO reported that the joint analysis and differing perspectives had strengthened the quality of the overall analysis. This was confirmed by NGOs who perceived a common and more comprehensive vision amongst EU services.
- Complementarities can be discerned in the approach. For ECHO the focus was seen to work directly at the household or community levels in building resilience to food crises. DEVCO have a wider range of entry points for building resilience, including working through national systems and institutions.
- DEVCO have approached building resilience to food crises from a sectoral perspective whereas ECHO have complemented this with a multi-sectoral perspective. Implementing partners in several countries referred to this as an important counterweight and perceived that in the absence of ECHO engagement there was risk that EU strategies would revert to a narrow sectoral focus.

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[65] A4

- Complementary partnerships for implementation have been formed. DEVCO has well-established linkages with national systems, while ECHO has strong partnerships with NGOs. ECHO was able to capitalize on these partnerships so as to engage NGO partners in DEVCO resilience programming in Ethiopia and Kenya.
- Differentiated access has been noted; in some cases DEVCO relied on ECHO's to work in less secure environments, notably to monitor projects - for example in northern Mali.
- Complementary programme cycles have also been noted; ECHO have the capacity to initiate action quickly as they work on an annual programming cycle, while DEVCO are better able to sustain momentum in building resilience to food crises through longer-term programmes that are slower to mobilize. However, variations in this pattern are evident - in Somalia (and arguably Kenya) the initial leadership for building resilience to food crises was driven by DEVCO rather than ECHO.

There are indications of a transition in responsibility from ECHO to DEVCO. ECHO have mostly initiated resilience strategies and programming through both internal advocacy and pilot projects – for example in the Sahel. DEVCO tend to take increasing responsibility as their instruments demonstrate a comparative advantage in working with national authorities and institutions. The evaluation found indications that ECHO is seeking to 'hand over' primary responsibility to DEVCO for leadership in the Sahel. The ECHO mandate prioritizes the provision of life-saving assistance. Consequently, **ECHO staff acknowledged that resilience-building remains at the margins of ECHO priorities and is vulnerable to being squeezed out in the event of an acute crisis** – even in more developmental contexts.

In some countries this transition has not been well planned and implemented. In some cases ECHO resilience interventions have been developed and implemented in isolation from DEVCO, and ECHO has subsequently lobbied DEVCO to take over these responsibilities. Examples include nutrition programming in the Sahel. In Kenya ECHO has indicated a desire to hand over La Nina resilience consortia to DEVCO. However, as these were not jointly designed as part of the DEVCO strategy it seems unlikely that DEVCO will have an interest in continued funding.

While inter-Service synergies have added value to the quality of resilience programming they are not a pre-condition for EU action. **EU Services can and did take forward the resilience agenda both independently and jointly**. Despite a lack of collaboration, progress has been evident in building resilience to food crises in both Kenya and Somalia. Not all Services were present in all contexts, but this has not *a priori* excluded resilience-building. In coastal West Africa ECHO has been largely absent and the process has therefore to be driven by DEVCO. It is the converse situation in South Sudan where ECHO has been operationally present while DEVCO operations were managed remotely from Brussels.

The approach to building resilience to food crises had little perceived relevance to EEAS institutional priorities and objectives. The EEAS has very different entry points – where political dialogue tends to focus on priorities such as human rights, peace-building and State-building. In the Sahel stabilization and security have become major objectives for the EEAS and European cooperation over the evaluation period. As part of this overall stabilisation agenda, macroeconomic and political stability were reported by EEAS staff to be perceived as a higher priority for the EU than building resilience to food crises in the region. Furthermore, food security was widely perceived as a developmental, not political, priority.

The evaluation survey confirmed that the EEAS actively supported the approach for building resilience to food crises in a minority of countries, driven largely by the personal interest of the EEAS in the EU Delegations. Aspects of the resilience framework clearly resonated with EEAS staff, particularly more joined-up approaches by the EU Services to finding solutions to the challenges of fragile states and featuring in their work.[66] EEAS staff consulted by the evaluation team – at both Brussels and field levels – often lacked a good knowledge of EU efforts to build

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[66] See for example the EU PARSEC programme in Mali.

resilience to food crises. Routine collaboration of EEAS staff on building resilience to food crises with DEVCO colleagues was infrequent, and very rare with ECHO. It was also noted that EEAS resources at Delegation level are typically limited to one or two dedicated staff in addition to the Head of Delegation.

Inter-Service collaboration has proved most challenging in politically complex settings and it is fundamentally challenging to draw together political, developmental and humanitarian action simultaneously. Somewhat different situations were witnessed in the two conflict-affected focal countries of Somalia and Mali. In Somalia, in line with its commitment to the humanitarian principles of neutrality and impartiality, ECHO has been resistant to becoming part of a 'comprehensive approach' and has consistently asserted its independence from DEVCO both internally and in public fora. ECHO has justified this position by claiming that the EU politically supports the Federal Government and that if it were to become associated with the EU's political position this would compromise humanitarian access in opposition-held areas. This debate is complex and there are widely differing opinions on whether access would in fact be compromised through some degree of collaboration.

In Mali, there was a somewhat different situation. ECHO and DEVCO demonstrated a greater willingness to cooperate on building resilience to food crises, based on their respective mandates and comparative advantages. Other donors tended towards a more pragmatic approach. For example, within USAID Joint Planning Cells have been established to provide a forum for regular interaction between political, development and humanitarian measures. Decisions were reportedly being made on a case-by-case basis on whether mandates permit or prohibit joint action.

The EU approach has not enforced accountability for inter-Service collaboration. In the absence of this, inter-Service cooperation was found to be heavily influenced by personalities in the respective DEVCO and ECHO country leaderships. Several respondents concluded that collaboration and synergies between the Services depended heavily on the personalities involved. Ethiopia was cited as a good example of collaboration (albeit vulnerable to changes of staff). Conversely, where collaboration was weak such as in Niger, staff changes have led to improved inter-Service cooperation.

Collaboration between ECHO and DEVCO for implementation of the resilience approach (JC 3.2)

DEVCO and ECHO collaborated in a structured manner to implement the resilience approach, using different means, from the development of tools, guidance, and joint frameworks, to organisational changes.

DEVCO and ECHO developed and disseminated the following tools and guidance:
- resilience as a core component of the DEVCO Conflict and Fragility training programme;
- a dedicated section on resilience in the EU Staff Handbook on Operating in Situations of Conflict and Fragility (released 2014, updated 2015);
- ECHO's inclusion of a resilience module in their Environmental Impacts training package, and their DRR training;
- DEVCO's training on climate change and operating in fragile contents, which is also reported to include resilience and DRR modules.

The EU also developed Joint Humanitarian Development Frameworks (JHDFs), a prominent tool for developing collaborative approaches between humanitarian and development instruments. Although not limited to building resilience to food crises, JHDFs have provided a mechanism for discussing areas of common purpose and comparative advantage. **However, JHDFs have been weakly exploited to promote collaboration between DEVCO and ECHO**.
- The process for developing JHDFs was not yet standardized - a formal requirement - nor linked to development of a joint resilience strategy. The survey indicated that JHDFs had

been conducted, or were on-going, in roughly half of the countries surveyed. Examples of JHDFs were cited from Kenya, Mali, Niger, Central African Republic and South Sudan.

▪ The Resilience Action Plan monitoring report states that *"Developing effective JHDFs has been difficult due to differing institutional objectives and limitations by ECHO and DEVCO. Several pilots have struggled with over-structured processes and lack of interest from delegations, and the concept is not systematically applied"*. This statement was reinforced by country interviews.

▪ JHDFs are seen to be of greatest value when conducted early in strategy development and articulated with core planning processes such as the formulation of the Country Strategy Papers (CSPs) and National Indicative Plan (NIPs). However, no examples were found of a traceable link between a JHDF and a CSP or NIP.

▪ Timing issues limit the relevance of the JHDF process. ECHO and DEVCO in Kenya have recently completed a JHDF, but this seems of limited relevance for future resilience programming as ECHO's funding is drastically being reduced, owing in large part to Kenya's being declared a middle-income country. EU staff in Ethiopia argued that conducting a JHDF now was no longer relevant given that modes of cooperation are already well-established.

▪ In the Sahel inter-Service cooperation was being coordinated around other processes, notably the PRPs.

DEVCO have also invited ECHO to comment on relevant action fiches in several countries. However, this was viewed as less effective by ECHO representatives who explained that they have limited capacity to follow all fiches meaningfully – often under demanding deadlines. An interviewee also mentioned that the interaction may lose value as it is mediated by the ECHO HQ desks.

Inter-Service cooperation was enhanced through a range of organizational changes – although not made specifically with the aim of enhancing collaboration on building resilience to food crises – that favoured interaction between the staff of the respective offices:

▪ ECHO opened offices across the Sahel region, whereas previously coverage was provided from its regional office in Senegal. DEVCO reported that collaboration improved as a result.

▪ When ECHO and DEVCO offices were located in the EUDs, staff reported that it facilitated collaboration; where offices remained physically separate - including in Ethiopia, Somalia, Kenya and Niger – this was seen as a barrier to collaboration.

▪ ECHO staff were invited to participate in DEVCO planning meetings beyond those directly related to resilience programming (e.g. Coordination Mechanisms of West African Delegations [CODELAO] and Food Crises Prevention Network [RPCAs]).

▪ The recent appointment of an ECHO Director from the staff of DEVCO was reported by ECHO HQ staff as a positive way of increasing understanding between the two organizations.

Country offices also drew on various types of internal technical expertise to support the operationalization of the approach. This included experts based in ECHO regional offices (including the AGIR Technical Assistance in Dakar) and DEVCO support.[67]

Nevertheless, the evaluation identified several problems in terms of inter-Service cooperation or with the guidance provided.

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[67] DEVCO C1. The Nutrition Advisory Service and Advisory Service in Social Transfers – although not designed specifically to support building resilience to food crises - were both mentioned by interviewees as providing support to resilience in areas of policy frameworks, division of labour, and lessons learned.

Figure 9 – Guidance requested by ECHO and DEVCO field staff on building resilience to food crises
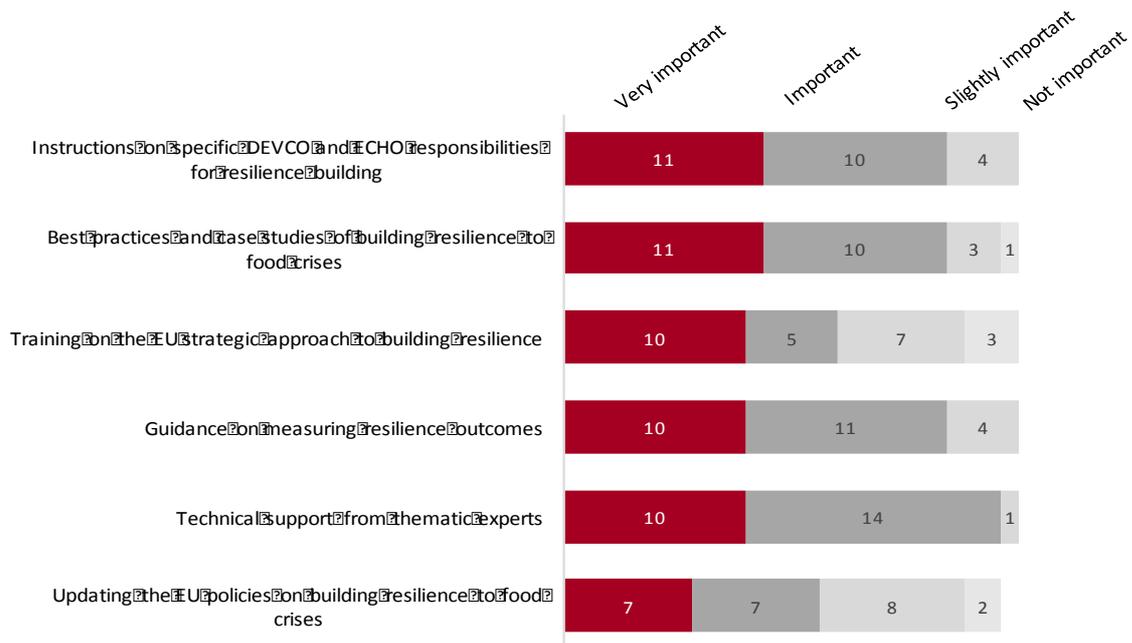
Source ADE Survey Results

A primary issue was guidance on the division of responsibilities between ECHO and DEVCO for operationalizing the approach. EU field staff met and surveyed stated that more clarity would have been welcomed earlier in the process. This would have helped expedite the development of joint strategies. However, EU staff indicated that guidance would need to navigate carefully a line between broad generalities and inappropriate specificity.[68]

Another issue EU field staff raised was guidance to facilitate concrete action. As one interviewee phrased it, this would have helped to "circumvent extended discussion on the meaning of resilience". They criticised the training as too theoretical and not enough centred on crosscutting issues. Manuals were judged to be not specific enough for local contexts and a certain degree of 'manual fatigue' was also evident. The above is confirmed by survey results, as shown in Figure 9.

Differences in procedures between the Services were reported by EU staff to be impeding closer programmatic collaboration. This concerned:
- *Procurement processes* (competitive procurement under DEVCO *versus* partnership agreements for ECHO);
- *Unsynchronized timelines* for planning and implementation between DEVCO and ECHO leading to gaps between initiatives;
- *Conceptual approaches* (free-to-user services supported by ECHO compared to cost-recovery models to support the establishment of sustainable services by DEVCO.

Finally, there was no organizational-level strategy to provide integrated and coordinated support to staff across ECHO and DEVCO – an issue raised by EU staff met.

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[68] In Ethiopia, where DEVCO and ECHO aimed at drafting a joint MoU to regularize inter-Service activities. This reflected the desire to institutionalize the division of responsibilities. However, the draft MoU did not receive the support of ECHO management at HQ (the MoU could be signed at the level of the Delegation for DEVCO) who reportedly favoured maintaining 'flexibility' on the respective responsibilities.

EQ4 Coordination and EU Added Value

To what extent has the EU added value and complemented efforts already being undertaken on resilience to withstand food crises?

We start by examining the extent to which the EU successfully coordinated its efforts in building resilience to food crises with other donors and development partners at both strategic and operational levels. This is followed by an examination of the extent to which the EU contribution provided added value – specifically in relation to the actions of the Member States and more generally in relation to the actions of other donors and development partners.

EQ4 Coordination and EU Added Value - Answer Summary Box

At strategic level, the main elements of the EU approach to building resilience to food crises have been broadly coordinated with both development partners and governmental authorities. Regional inter-governmental organizations have provided an important channel for strategic coordination on building resilience to food crises, albeit with more effectiveness in the Sahel than in the Horn of Africa.

The level and effectiveness of operational coordination on building resilience to food crises differed considerably at country level. As a multi-sector and multi-stakeholder approach, resilience is complicated and intrinsically hard to coordinate. Factors explaining the level of coordination included: the capacity of partners to lead coordination; the extent to which donors considered resilience as a priority topic and tackled it through a multi-sector approach; the use of coordinated financing; and competition for visibility. Local (sub-national) coordination was identified as important for coordinating multi-sectoral delivery.

There was limited evidence of policy alignment around a common resilience agenda between EU MS and EC Institutions. Attempts were made to coordinate EC and EU MS resilience-building interventions within the framework of Joint Programming. Building resilience to food crises has been considered as a thematic area for joint programming – for example in Ethiopia and Mali. However, overall progress on joint programming has been slow, including building of resilience to food crises. Outside the Joint Programming process, there was mixed evidence on the extent to which the EC and MS coordinated resilience-building interventions.

The EU was viewed by other development partners as bringing a comparative advantage to building resilience to food crises. Its added value was strongly associated with its relative size as a donor, which gave it significant policy influence and enabled it to take on a leadership role. Donors and NGOs also generally acknowledged the role of the EU as a consistent advocate of building resilience to food crises.

Extent to which EU resilience interventions were coordinated with other stakeholders at strategic and operational levels[69] *(JC 4.1)*

The EU resilience approach has been overall well-coordinated with the strategies of other development partners and partner countries, with broad similarity between the policies of development partners and governmental authorities on building resilience to food crises:

- the emphasis put on targeting the most vulnerable populations and on multi-sectoral approaches in the strategies of both donors and national partners;
- the importance placed by donors on bringing together humanitarian and development interventions on building resilience to food crises.

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[69] Detailed evidence supporting the findings presented under JC 4.1 is presented in Annex D, In-Depth Study 3 (Technical and financial partner coordination on building resilience).

Moreover, the survey has shown that EU staff often perceived the EU resilience approach as being well-coordinated with the strategies of national partners and other development partners (see Figure 10 below).

Figure 10 – Coordination of EU Strategies for building resilience to food crises

	Strongly agree	Agree	Disagree
The EC resilience building strategy is coordinated with a national strategy	4 (19%)	14 (67%)	3 (14%)
The EC regularly exchanges information with other development partners on resilience strategies and plans	4 (18%)	14 (64%)	4 (18%)
The EC resilience building strategy is coordinated with other development partner strategies	1 (4%)	16 (70%)	6 (26%)
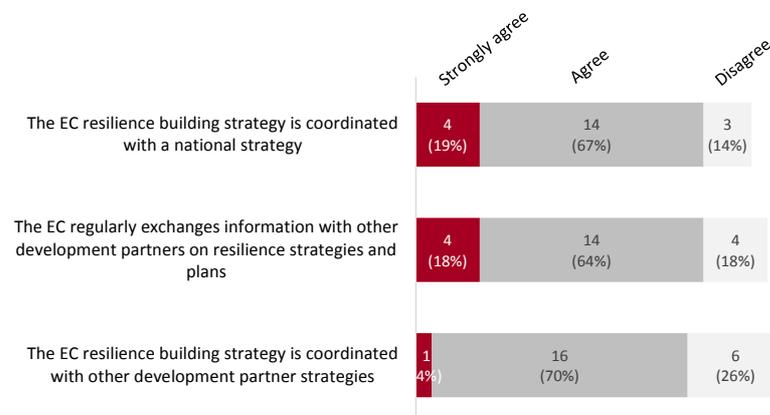
Source: ADE Survey Results

At strategic level, the EU took several initiatives favouring a coordinated approach within the EU and with other development partners:

▪ Consultations were organized on strategic aspects within EU structures – for example in developing the Council Conclusions.

▪ The EU mainstreamed resilience within several key global processes. This included contributions to the renewal of DRR approaches at Sendai; the formulation of the Sustainable Development Goals (SDGs); as part of the Committee for Food Security discussions in relation to a framework for action in protracted crises; and as part of the World Humanitarian Summit (WHS).

▪ With respect to the post-2015 Hyogo Framework, the EU used the revision of the HFA as an opportunity to take stock of the policies developed and progress made in building resilience to food crises and disaster risk management in the context of EU policies, development cooperation and humanitarian aid.

▪ EU participation in the Sendai Conference presented an opportunity to disseminate the 2015 EU Resilience Compendium, which showcases a range of risk reduction and resilience examples from different parts of the world with different organisations.

▪ EU participation in the Organisation for Economic Co-operation and Development (OECD) resilience experts group and the new Global Resilience Partnership was not found to have yet delivered tangible benefits.

▪ The EU also sought to foster better-coordinated approaches through supporting the development of a common approach to building resilience to food crises among the Rome-based agencies[70]. This has not yet translated into coordinated action at country level.

Regional inter-governmental organizations - with EU support - have led strategic coordination on resilience, with differing importance and results in the two regions.

▪ In West Africa, CILSS and ECOWAS have been at the forefront of supporting government-led regional coordination platforms through the Global Alliance for Resilience (AGIR) - Sahel and West Africa. AGIR provided a framework to enable major donors to align their resilience strategies, including USAID, DFID, the World Bank, the African Development Bank (AfDB) and the Islamic Development Bank (IDB).

▪ In the Horn of Africa, regional coordination proved less close than in the Sahel, *viz.*:

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[70] FAO, IFAD, WFP, Strengthening resilience for food security and nutrition. A Conceptual Framework for Collaboration and Partnership among the Rome-based Agencies. April 2015.

- o The Intergovernmental Authority on Development (IGAD) has assumed a leading regional coordination role. The EU, and particularly the ECHO Regional Office, has supported IGAD at institutional level, providing funding for technical and other capacity-building.
- o The EU (under the auspices of ECHO) also participates in the Global Alliance for Action for Drought Resilience and Growth (Horn and East Africa), which is led by USAID in the Horn of Africa. Donors reported that the existence of the structure itself served to provide a forum for consultation and coordination.

Coordination on programming largely drew on regionally-inspired frameworks, with mixed effects.

- In the Sahel, the AGIR roadmap has been rolled out in each country through the development of the PRP documents. These programming frameworks were intended to provide an overview of causes, needs and gaps, with associated budgets. However, the process has proved challenging, *viz.*:
  - o reaching a full understanding of needs across Ministries proved a massive undertaking;
  - o individual Ministries were reluctant to engage in a coordinated process, which was perceived as a way of ceding budgetary control; *and*
  - o countries tended to consider EU programmes against the PRPs, rather than viewing the process as an opportunity to reorient the use of national resources.
- In the Horn, the Global Alliance's original intention of coordinating donors in the funding of building resilience to food crises has not been realized. Instead the Global Alliance primarily provided a forum for donors to discuss common technical issues with respect to resilience, and not to chart means of operational collaboration. Regional coordination in the Horn has occurred under the auspices of the IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI). Although the IDDRSI was intended in part to promote collaboration between multiple stakeholders in multiple sectors, this function has not yet been well-developed.

The level and effectiveness of operational coordination on building resilience to food crises differed considerably at country level. The evidence collected during the country missions shows effective coordination in Niger, Burkina Faso and Kenya, while specific problems were raised in Mali and Ethiopia.

Explanatory factors include the following:
- As a multi-sector and multi-stakeholder approach, resilience-building is *per se* complicated and has been hard to coordinate. Positioning is difficult as resilience-building spans established development and humanitarian structures.
- Capacity of national partners to lead coordination was nascent in Somalia, and strong in Kenya and Niger. For instance, in Niger the platform responsible for the development and implementation of multi-stakeholder food crisis and disaster management plans was also found to be leading coordination of resilience-building. More generally, the survey results suggest that national authorities often participated in resilience coordination fora, but were less likely to provide real leadership (see figure below).
- The extent to which donors considered resilience as a priority topic and tackled it through a multi-sector approach. In Mali resilience has not been a priority topic for donor coordination. The focus remained on specific sectoral reforms, rather than on a multi-sector approach. Collaboration took place on an *ad hoc* basis on specific issues between specific parties, and not through a formal coordination mechanism.
- Nature of coordination between donors: although donors regularly participated in coordination platforms, coordination was largely characterized by information-sharing and infrequently translated into joined-up programming or led to other joined-up approaches such as multi-donor implementation of resilience projects using multi-donor trust funds or pooled funding.[71] Instead, donors used multiple mechanisms to support resilience-building,

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[71] One example of a multi-donor fund is the PNSP in Ethiopia.

including direct project implementation, multi-lateral programming, Budget Support, or other collaborative approaches.

▪ Visibility: major donors also often tended to seek visibility through their own flagship resilience projects, which exacerbated coordination problems between donors. Examples can be found between the EU and USAID with respect to RESET and PRIME, and in Somalia where the EU and DFID have supported relatively large consortia made up of NGOs, while USAID has supported other NGOs individually.

▪ The importance of local (sub-national) coordination as a basis for promoting coordinated multi-sectoral delivery at HH level. The argument is that the different resources – Government and non-Government – can be most effectively synergized at the point of delivery. NGO resilience consortia have helped encourage common approaches and provided a platform for hosting wider technical discussions (e.g. the Somalia resilience consortia) at local level. The potential of Information Technology (IT) was highlighted in transforming operational coordination. Specifically, unified registration systems (such as the WFP supported SCOPE) were repeatedly referred to as having the potential to coordinate delivery between agencies and systems at HH level.

Figure 11 – National Institutions and Coordination of building resilience to food crises
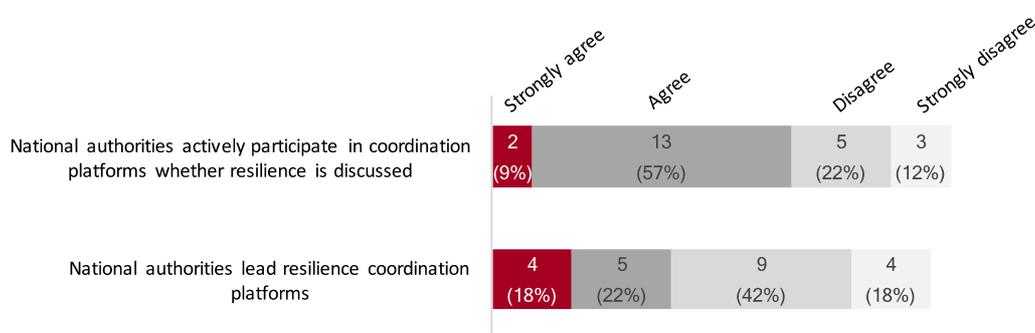
Source: ADE Survey Results

Extent to which EU resilience approach and programming added value to the actions of MS, other donors and development partners[72] *(JC 4.2)*

There is limited evidence of policy alignment around a common resilience agenda at EU level between the Commission and EU MS. While the 2013 Instruction Letter on Resilience signed by the Heads of Development Cooperation in each MS indicated a level of joint commitment to building resilience to food crises, there has been limited evidence that policy alignment at EU level is being translated into practice. The EU has not stimulated the development of resilience strategies by EU Member States at either HQ or country levels. A wider donor consultation on the EU approach for building resilience to food crises has not been organized to promote its development. The representatives of EU MS interviewed who were aware of the EU approach for building resilience to food crises were not familiar with its detail.

Attempts were made to coordinate EC and EU MS resilience-building interventions within the framework of Joint Programming. Building resilience to food crises has been chosen as a thematic area for joint programming – including in Ethiopia and Mali. In Ethiopia - identified as a pilot country for EU and MS joint programming – various sectors contributing to enhanced resilience and geographical areas have been selected with a view to dividing responsibility for leadership between the EU and the MS. A joint approach is intended in Mali, where a joint programming plan has been prepared for the period 2014-2018 and in which there is clear division of labour between the EU and the MS. There has been some reluctance

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[72] Detailed evidence supporting findings presented under JC 4.2 is presented in Annex D, In-Depth Study 3 (Technical and financial partner coordination on building resilience).

to operationalize this plan owing to disagreements over the conceptualization of what AGIR represents, and on the role of nutrition and social safety nets.

Overall progress on joint programming has been slow, including building resilience to food crises. The momentum behind joint programming in Ethiopia – and other countries such as Burkina Faso – has largely dissipated following the initial mapping exercises. A generic challenge to joint programming is the differential presence and capacities of the EU MS in each country. Other constraints more specific to building resilience to food crises were found to affect joint programming, *viz.*:

- Coordination on resilience was constrained by the fact that only a subset of EU MS have had strategic and operational approaches to building resilience – including Germany, France, Ireland, Sweden, Denmark, Spain and the United Kingdom.
- For some EU MS, humanitarian and development initiatives were programmed separately.
- In general, the EU MS representatives met generally indicated a preference for coordinating resilience at a collective level with all donors. They were generally in favour of division of labour at EU level, the pooling of resources, and division of responsibility across sectors facilitating delivery of a comprehensive multi-sectoral approach.

Outside the Joint Programming process, there is mixed evidence of the extent to which the EC and MS coordinated resilience-building interventions, *viz.*:

- A good practice was the RESET project in Ethiopia, which has provided an opportunity for the pooling of financing by EU MS, with Austria and the Netherlands supporting the project with a Member State contribution to the EU Trust Fund for Africa. In Burkina Faso and Mali ECHO has implementation responsibility for the DFID-funded 'Providing Humanitarian Assistance in Sahel Emergencies', allowing the project which includes resilience-building elements to be scaled up efficiently.
- DFID, the German Technical Cooperation Agency, and the German Federal Ministry for Economic Cooperation and Development have all had significant resilience programmes and have funded AGIR and IGAD, but there was no systematic approach to ensuring absence of duplication and complementarity. Large MS-funded resilience initiatives – such as the DFID-funded BRACED (Building Resilience and Adaptation to Climate Extremes and Disasters) – was not implemented in coordination with EC programmes.
- The positive experience of the EU in Ethiopia in the area of nutrition[73] shows that the EU has the potential to foster EU/MS coordination in the field of resilience (see box below).

Box 3. EU role in strengthening EU/EU MS joint approaches on nutrition in Ethiopia

In the case of nutrition, the EU was reported as being responsible for initiating internal policy dialogue and joint positioning by the EU Member States with the government of Ethiopia to improve the integration of nutrition within the agricultural growth programme. A joint action framework for nutrition has been established by the EU MS and a technical focus point person in the Delegation helped mainstream nutrition across the aid portfolios of the EU MS. System-level capacities have also been increased and EU personnel often attended coordination groups, consultations and *fora* on behalf of EU MS, enhancing a common perspective. This approach has not so far been replicated in building resilience to food crises but illustrates the potential in another complex area.

The EU's added value was strongly associated with the relative size of the EU as a donor, giving it significant policy influence and enabling it to take on a leadership role.

For example, the EU is perceived as leading on integrating resilience approaches into global platforms such as the Sendai Conference and the post-Hyogo Framework, the Global Facility for Disaster Reduction and Recovery, the International Dialogue on Peace-building and State-building (IDPS), and the subsequently created "New Deal for Engagement in Fragile States".

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[73] Nutrition bears similarities to building resilience to food crises because it also requires complex and multi-sectoral approaches.

The EU has also been a lead donor in developing resilience measurement tools and approaches (see findings on EQ6).

In some countries, the EU was recognised to have brought value to specific initiatives. In Mali the EU was instrumental in strengthening the governance of the National Food Security Management System (DNSA), while in Ethiopia it was seen as a champion of agricultural policy issues which impact on resilience – including land tenure, demographics and climate-smart agriculture.

Donors and NGOs generally acknowledged the EU as a consistent advocate of building resilience to food crises. ECHO is recognized by the NGO respondents as a lead humanitarian donor with the power to convene NGOs in support of the resilience agenda. It is also recognised to have been instrumental in advocating cash transfers, which are seen as a means of simultaneously meeting immediate needs and contributing to longer-term resilience.

Finally, some EU MS were viewed as having comparative advantage in specific sectors, for example the United Kingdom and Ireland in social protection.

EQ5 EU Instruments and Aid Modalities

> **To what extent was the mix of instruments and aid modalities used complementary and appropriate for resilience programming?**

An underlying assumption of the EU approach is that financing instruments were insufficiently adapted to building resilience to food crises. The 2013 Council Conclusions on the EU Approach to Resilience note that "*For countries facing recurrent crises, the EU and its Member States will work to make humanitarian and development funding more timely, predictable, flexible multi-annual and sufficient. In this context, the EU and its Member States will examine ways in which to strengthen the coordination of humanitarian and development funding modalities. The use of innovative financing mechanisms will also be encouraged*".

We first examine the degree of adaptation and flexibility of external financing instruments in building resilience to food crises, as well as the extent to which synergies between financing instruments materialised. We then assess synergies between spending and non-spending aid modalities.

> **EQ5 on EU instruments and aid modalities - Answer Summary Box**
>
> The EU has drawn on a range of established financing instruments to build resilience to food crises, including the EDF and DCI. EU instruments were progressively improved over time, notably with the introduction of flexible financial procedures that improved the timeliness of the support in times of crisis. Moreover, the EU introduced new financing mechanisms more specifically devoted to financing resilience activities, such as PRO-ACT, SHARE and the EU Emergency Trust Fund for Africa. The latter has been valuable in facilitating DEVCO-ECHO collaboration in the design and management of projects, but building resilience has not been at the core of its objectives: it is rather a means to better migration management. While EU instruments permitted budget modifications in the event of an unforeseen crisis, the degree of flexibility in relation to other donors remained limited. The humanitarian instrument has a comparative disadvantage in supporting long-term efforts in building resilience to food crises.
>
> Good practices whereby the combination of different EU financing instruments led to increased DEVCO/ECHO cooperation and synergies between instruments could be observed in Ethiopia and Mali. However, transitions between different financing instruments often remained challenging, notably given the differences between DEVCO and ECHO in mandates, objectives pursued and procedures used.

EU's policy dialogue has had an important but contrasting role in the operationalization of the EU approach for building resilience to food crises in the two regions, reflecting the different policy contexts: the EU built on existing processes in the Horn while it initiated a new policy initiative (AGIR) in the Sahel. Moreover, ECHO has taken a leading role in internal advocacy within the EU for a more appropriate use of available financing instruments in building resilience to food crises, with the strategic intention of pressing DEVCO to invest in issues of risk and vulnerability and target groups which ECHO considered as under-prioritised in developmental aid.

Extent to which EU external financing instruments and modalities were adapted to financing resilience building activities *(JC 5.1)*

EU support for building resilience to food crises has drawn on a wide range of financing instruments, including various established instruments (see Annex G), notably the European Development Fund (EDF) and the Development Cooperation Instrument (DCI). The estimated breakdown by financial instrument is shown in Figure 12 below. It shows that three quarter (74%) of the total contracted amount on Resilience is financed by the EDF and 19% by DCI-Food (Food Security Programme). Both together represent 93% of the funding. Most stakeholders met valued the relative predictability and sustainability of these instruments, which are key to the objective of building resilience to food crises.

Figure 12 – Resilience related DEVCO decisions by Financial Instrument (2007-2015)
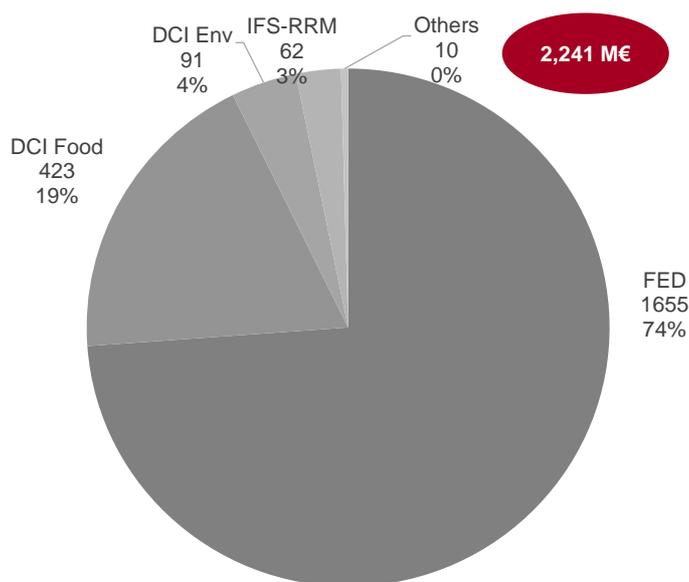
Others consist in: DCI-HUM and ADM-MULTI
Contracted amounts of DEVCO resilience-related decisions
Source: ADE based on CRIS database

The launch of the Facility for rapid response to soaring food prices in developing countries explains the significant DCI-Food commitment in 2009 (see figure below). The EU has used since 2010 a more diverse range of financing instruments, such as the Environment / DCI Environment instrument and the instruments for stability and peace (RRM/IfS/IcSP). The IfS was introduced in 2007 and it is interesting to note that it started to be used to support resilience related decisions from 2011 and it has been used in most years, albeit at a low level, to support resilience programming from this date. This corresponds to the period from which the EU approach to building resilience explicitly promoted an inter-service approach bringing together political, development and humanitarian instruments.

Figure 13 – Resilience related DEVCO decisions by Financial Instrument (per annum)
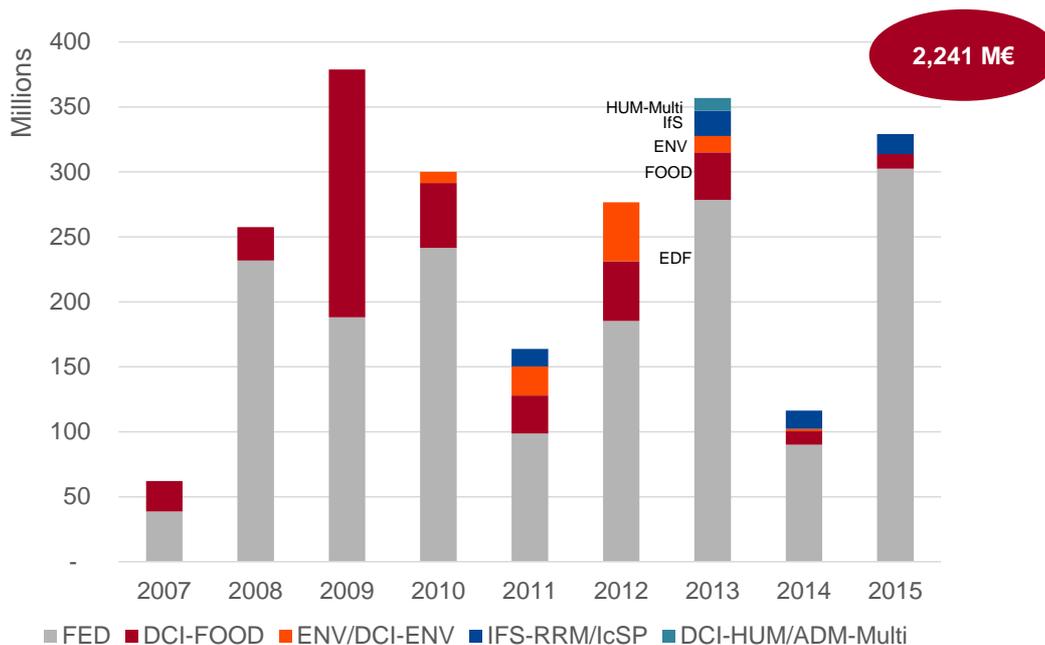
Contracted amounts of DEVCO resilience-related decisions
Source: ADE based on CRIS database

EDF B envelope funds were used more to fund LRRD programmes (either directly or through ECHO) than emergency responses. In Niger, EDF B envelope funds were injected into budget support to DNPGCCA (*Dispositif National de Prévention et Gestion des Catastrophes et des Crises Alimentaires*) and contributed to enhancing national capacity to respond to the 2012 crisis[74].

Other *ad hoc* instruments have been used to support the building of resilience to food crises. Both the Food Facility and V-FLEX[75] - designed to manage the effects of macro-economic shocks - provided significant amounts of funds in response to the 2008 price crisis. The Food Facility (FF)[76] – a thematic programme of the DCI - has mostly played a top-up role in facilitating scaling-up of on-going programmes or immediate responses to the 2007/2008 price spike. It proved to be an efficient mechanism for supplementing ongoing investments for addressing food insecurity. However, the evaluation of this mechanism[77] establishes that it was unable to generate sustainable outcomes and systemic impact.

Financing instruments were modified over time to increase their flexibility and adaptation to building resilience to food crises. The use of flexible financial procedures, under which Delegations issue a crisis declaration, provided more flexibility in programming and implementing existing interventions, for example enabling them to bypass the full procurement process and issue direct awards to preferred contractors. The EU reports that 34 Delegations made use of flexible financial procedures by making a crisis declaration in 2014-15. However, triggering these provisions was still reported to be cumbersome[78].

New financing mechanisms and instruments (e.g. PRO-ACT, SHARE and the EU emergency Trust Fund for Africa), designed more directly in support of activities that build resilience to food crises, have been progressively introduced.

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[74] HCI3N, 2016, Bilan 2011-2015. Mise en œuvre de l'initiative I3N.
[75] The "Vulnerability FLEX" (V-FLEX) was designed to help the countries most affected by the 2009 economic downturn due to their poor resilience. This instrument worked pre-emptively, based on forecasts of fiscal losses, with adjustments for vulnerability, acting in a counter-cyclical way to capture national financing gaps.
[76] The Food Facility was established in reaction to the 2007/2008 food price spike and to curb the fall of EU Official Development Assistance (ODA) directed to agriculture development.
[77] EU, 'EU Food Facility Final Evaluation', Final Report, August 2012.
[78] RAP monitoring report.

- The "Pro-resilience (PRO-ACT): building resilience through crisis prevention and post-crisis response strategy" programme[79] has €525 million allocated over the period 2014-2020. PROACT aims to address food insecurity through a coordinated approach to crisis prevention and post-crisis response. Pro-Act is a methodology for (GPGC and other) funds allocation. Based on an improved needs assessment methodology, involving joint work between ECHO and DEVCO, it targets a limited number of priority countries. As this mechanism is recent there is little evidence on its performance.

- SHARE (see Box 1) supports a package of interventions totalling €270 million for the HoA region (supporting Somalia, Ethiopia, Kenya, Djibouti and IGAD). SHARE resources were available to both DEVCO and ECHO, but were not taken up by ECHO in all countries. Interviewees generally noted that SHARE financing did not come with clear guidelines or provision for cross-country learning. Consequently, commonalities in applications between countries were weak and there was a tendency to use the funds to continue or scale up on-going projects, rather than innovate[80].

- The EU Emergency Trust Fund for Africa[81] (see annex G) is a cooperation instrument that has become an important source of financing for EU projects building resilience to food crises. This Trust Fund aims to help foster stability in the regions and to contribute to better migration management. It has a pillar devoted to addressing the root causes of destabilisation, forced displacement and irregular migration by promoting economic and equal opportunities, security and development. ECHO's contribution to this pillar (€50m) entitles it to joint oversight of the Trust Fund[82]. This Trust Fund has greater flexibility than the EDF with procedures, which fall halfway between negotiated and competitive tenders. There are reduced levels of consultation with Government – seen as both a benefit (in terms of speed) but also a risk (with potentially reduced ownership by national authorities). EUDs commented that the flexibility was only relative and overall still found the contracting process slow. EUDs and MSs (who were intended to lead the programming of the EU TF) generally reported procedures and guidance to be insufficient.

Overall EU financial instruments often lacked the flexibility to support "crisis modifiers". These can be defined as "*contingency mechanisms to allow funding re-allocation and an early pre-emptive, more effective response to crises*". EU methods of aid implementation (multi-annual programming) impeded rapid reaction to change. Besides, DEVCO's mandate does not cover emergency responses. Despite attempts to incorporate budget flexibility for crisis modifiers (e.g. in the budgets of the NGO resilience consortia in Somalia and RESET II in Ethiopia), partners uniformly found EU financing particularly hard to reallocate in times of crisis[83]. They instead drew on a range of other financing mechanisms to fund early mitigative actions – including support from DFID[84], USAID and country-level pooled funds which were found to provide more flexible funding. That said, the EU has been more effective in supporting early action through institutional rather than project-based approaches. For example, the EU is the lead donor of the Government-managed Drought Contingency Fund in Kenya (1st phase: 2014-2017) and supports an in-built capacity to scale up the PSNP in Ethiopia in crisis years.

The humanitarian instrument is not designed to support long-term efforts to building resilience to food crises. ECHO staff uniformly reported that they have struggled to support longer-term efforts to build resilience to food crises, given ECHO's core mandate of life-saving emergency assistance. The support was not predictable and efforts to build resilience to food

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[79] PROACT forms part of the Annual Action Programme 2014 and Annual Action Programme 2015 part I for Food and Nutrition Security and Sustainable Agriculture under the Global Public Goods and Challenges thematic programme, Component 3: Enabling the poor and food- and nutrition-insecure to react to crises and strengthen resilience. €525m has been allocated to this programme over the period 2014-2020.

[80] Such as the Kenya Rural Development Programme.

[81] Made up of €1.8 billion from the EU budget and European Development Fund, combined with contributions from EU Member States and other donors.

[82] Administratively EU TF projects are solely managed by DEVCO; technically they are supported by ECHO.

[83] Examples come from Somalia, Kenya and Ethiopia.

[84] The DFID Immediate Response Fund was cited as a model approach which, unlike EU funds, operates under a 'no regrets' principle.

crises tended to be squeezed out in the face of spikes in acute needs. The relatively short-term funding horizon of ECHO instruments has posed a constraint to longer-term involvement in addressing root causes.

Creative approaches and good practices in building synergies in the use of different EU financing instruments were witnessed but significant challenges to transitioning between the use of different financing instruments often remained.

Good practices on synergies:
- Increased DEVCO/ECHO cooperation with the use of EDF B envelope resources: EDF B envelope resources have been drawn on in several countries (Ethiopia, Kenya, Mali) for building resilience to food crises and are managed by ECHO on behalf of DEVCO. For example, in Mali the B Envelope of the 10th EDF was used to fund "preventive" social safety nets in the north. This was reported to have fostered the development of joint approaches. Efforts on advocacy/policy dialogue contributed to the development of communication channels between ECHO and DEVCO.
- Synergies between the 11th EDF and Africa Trust Fund in Mali: Mali provides an example of a structured approach to drawing together multiple financing instruments to deliver an integrated resilience strategy. These include the Emergency Trust Fund for Africa, the 11th EDF, State-Building Contracts, Global Public Goods and Challenges, the Instrument contributing to Stability and Peace (IcSP) and the ECHO Humanitarian Implementation Plan (HIP). Factors that favoured the integrated use of financing instruments and mechanisms – and would underpin replication – included the following: a good level of ECHO-DEVCO collaboration that built on earlier experiences of collaboration[85]; the timely alignment of programming cycles; and a political commitment to invest EU resources in this priority area. The 11th EDF programming cycle was already under way when the EUTF became accessible in early 2016. Alignment and attempts to create synergies with EDF funds could materialise given the adequate flexibility of both the EUTF and the EDF, with flexible procedures allowed in Mali.
- Transitions in the use of different financing instruments in Ethiopia: work on building resilience to food crises started with thematic and *ad hoc* instruments (EDF B Envelope, SHARE, ECHO) which allowed the process to start outside the EDF programming cycle. Funding then shifted to mainstream cooperation instruments and a prominent position in the NIP.

Remaining challenges:
- In general, differences in organizational priorities and mandates have constrained opportunities for exploiting synergies between different instruments (cf. section 2.1). In theory humanitarian/emergency resources can be used to protect development gains in times of crisis. However, in practice it was found that focal areas for resilience-building were not the most vulnerable areas and were consequently less likely to receive humanitarian funding in times of crisis. For example, the NGO resilience consortia in Somalia focused on the more stable and accessible areas which were more conducive to 'developmental' programming, rather than the areas typically affected by emergencies and acute need in south-central Somalia.
- Transition from ECHO to DEVCO funding: it generally proved problematic to transition funding of programmes initiated by ECHO (using negotiated procedures) to DEVCO (with procurement based on competitive tenders)
- Integration of the IcSP into building resilience to food crisis strategies: there is mixed evidence of the ability to integrate the Instrument contributing to Stability and Peace (IcSP) into comprehensive strategies for building resilience to food crises. In Niger it was used as a 'gap filler' between humanitarian and development financing. In Ethiopia the IcSP was 'broadly coordinated' with RESET – but the remote management of the IcSP from Brussels

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[85] The CRP has been used as a foundation for the current 'Programme de renforcement de la sécurité alimentaire au Mali' (PRORESA, 11th EDF funding complemented with the Trust Fund for Africa program in the north of Mali).

precluded closer collaboration. In Somalia ECHO representatives indicated that, given the overtly political nature of these funds, collaboration in programming of stabilization funds was a 'red line'.

- <u>Fragmentation of EU financing to build resilience</u>: Some EU implementing partners argued that EU financing for building resilience to food crises was too fragmented. The diversity of funding sources in itself impeded coherence.

Complementarity between the EU's policy dialogue, advocacy and political dialogue at international, regional, national and local levels and EU spending activities *(JC 5.2)*

EU's policy dialogue - driven by DEVCO - has had an important but contrasting role in the operationalization of the EU approach for building resilience to food crises in the two regions, reflecting the different policy contexts. In the Sahel, the main entry point for building resilience to food crises has been support for the development of regional and national resilience strategies within the AGIR framework. In contrast, in the Horn the objectives and processes of ongoing EU policy dialogue in relation to resilience strategies *per se* have not been as clearly articulated. However, there has been a strong and continuing donor-government policy dialogue in related areas of food security, nutrition, DRR and social protection. In a context in which 'resilience'-related policy initiatives - such as drought management in Kenya or graduation from social safety nets in Ethiopia - were already well developed in the Horn, the EU decided to build programming on these existing processes rather than initiate a new policy initiative. Furthermore, the relative importance of the EU has historically been greater in the Sahel, where it consistently provided over 50% of the ODA between 2007 and 2016[86], providing opportunities for greater policy influence.

The use of Sector Budget Support strengthened coherence between EU programming and policy dialogue in the Sahel, particularly in Niger. Policy dialogue being one of the major inputs of any Budget Support (BS) operation, one can automatically expect from a BS operation strong linkages between programming and policy dialogue. In the Sahel and more specifically in Niger, this potential specifically materialised in relation to the goal of building resilience to food crises. Under the 9th and 10th EDFs, Food Security and Sector Budget Support were the most widely-used aid modalities in Niger, and on a substantive scale (€m 87.7 for the 2010/2016 period). Key stakeholders met (Government, NGOs and other donors) highlighted the influence of the EU - through policy dialogue combined with significant financial support - on the revision of the strategic approach of the HCI3N or on the adoption of new M&E procedures by the DNGPCCA. In other Sahelian countries the use of Food Security BS was about to start under the 11th EDF. The relationship of Budget Support to building resilience to food crises is further discussed under EQ6.

ECHO has taken a leading role in advocating internally within the EU for a more appropriate use of the available financing instruments in building resilience to food crises. ECHO staff acknowledged a strategic intention to push DEVCO to invest in issues of risk and vulnerability and target groups which ECHO considered as previously under-prioritised by developmental aid. Specific examples of ECHO influence include the following:
- initiating AGIR as an important dimension of the internal EU dynamics;
- advocacy in the Sahel of EU action on nutrition and safety nets (or shock-responsive social protection systems[87]);
- advocacy that was influential in the design of health sector budget support in Niger;
- Contributing to developing institutionalised social safety nets. Lesson-learning and impact evaluations from the Mali social safety net programme implemented in 2013/2014 with EDF B envelope support helped refine the strategy for PRORESA (11th EDF) and the Africa Trust Fund programme, combining cash transfers with resilience-building activities.

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[86] http://stats.oecd.org/

[87] See Evaluation of ECHO Strategy in Sahel (2010-2014)

EQ6 Operationalizing the Approach

This EQ examines the extent to which the resilience approach has catalysed a chain of changes in the EU's strategies and programmes at country level – leading ultimately to increased resilience to food crises. We first assess changes in EU country aid strategies and shifts in focal sectors and budget allocations. We then assess how resilience approaches are reflected in the design of programmes and projects within key areas (food security, humanitarian aid) and modalities (including Sector Reform Contracts and State-Building Contracts). Finally, we examine the extent to which the EU has developed approaches to measuring resilience outcomes and the initial evidence on outcomes.

EQ6 on operationalizing the approach - Answer Summary Box
Following the introduction of the EU approach, building resilience to food crises has been integrated as a core objective of EU external strategies by both ECHO and DEVCO. Agriculture and food security is uniformly included as a focal sector in the 11th EDF for the focal countries, with a significantly increased budget from the 10th EDF. However, increased budgets for basic services (such as health, education and water) and social protection systems was not registered. Resilience is highlighted as a priority for all areas of humanitarian aid in the HIPs, but ECHO budgets do not generally predetermine the sectors of expenditure.

The impact of the approach on the objectives and design of programmes is harder to determine. It is most visible in terms of 'flagship' projects, including projects in Ethiopia, Mali and Burkina Faso. ECHO has institutionalized a mechanism for assessment and monitoring of the extent to which funded actions are resilience-sensitive with the introduction of a resilience marker in the ECHO Single Forms. An equivalent mechanism in DEVCO sectoral programming was found to be lacking.

The EU did not yet have a standardized approach to measuring resilience outcomes at programme or project levels. Established food security indicators are used to signal short-term progress but fall short of being able to highlight changes in latent capacities to manage future shocks. There are specific challenges in defining and measuring the results of sector budget support in supporting food security and "resilience".

Progress has been made in building frameworks to monitor changes in resilience within countries, including the Resilience Index Measurement and Analysis Model and the Global Assessment Report produced by the Global Network against Food Crises. These tools are relevant to policy development, but the limitations of the granularity and frequency of the analysis hamper their use in project impact monitoring. |

Relection of the EU's resilience approach in its country aid strategies *(JC 6.1)*

Building resilience to food crises has been integrated as a core objective of EU country strategies by both ECHO and DEVCO.

Within ***DEVCO this is reflected in the inclusion of agriculture and food security as a focal sector***, with growing priority and increased funding between the 10th and 11th EDFs. The share of programmed funding for development directed to agriculture in broad terms reached a historically low figure around 2008. As illustrated in the table below for focus countries, food and nutrition security has become a concentration sector and has seen its financial allocation significantly increased for the 11th EDF. However, it is noted that the Agenda for Change also prioritises this sector with the rationale of strong economic multiplier effects on the economy, rather than a resilience perspective.

Table 1 – Resilience in DEVCO CSPs (10th and 11th EDF)

	CSP-NIP 2008-2013 (10th EDF)	CSP-NIP 2014-2020 (11th EDF)
Burkina Faso	–	• Food security, sustainable agriculture and water: €190m (Focal sector)
Kenya	• Agriculture and rural development: €98.8m (Focal sector)	• Food security and resilience to climate shock: €190m (Focal sector)
Niger	–	• Food security and resilience: €180m (Focal sector)
Mali	• Food security: €5m (Non-Focal sector)	• Rural development and food security: €100m (Focal sector)
Somalia	• Economic development and food security: €55m (Focal sector)	• Food security and building resilience: €86m (Focal sector)
Ethiopia	• Rural development and food security: €130m (Focal sector)	• Sustainable agriculture and Food security: €252.4m (Focal sector)

Source: ADE, based on CSPs and NIPs

▪ The redirection of funds towards food security within the NIPs is significant given that Delegations must balance and address sometimes competing political priorities: those of the Government (e.g. roads in Ethiopia), and those of Brussels (e.g. energy), or more recently the instruction to Delegations that under the NIP Midterm Review all uncommitted funds were to be reprogrammed towards managing migration.

A corresponding growth of prioritization and funding in other focal sectors which may contribute to building resilience to food crises including health, education, water, and social protection systems, was not registered.

▪ Overall *social sectors appear to remain less of a priority than productive sectors at a global level*, with only 16% of the 11th EDF allocated to social sectors and basic services, including health, education, water and sanitation, social protection and employment; only five countries (out of 57 NIPs) were found to have social protection as a focal sector[88]. Social protection has been characterized as a forgotten sector in the 11th EDF. Social protection may be included to some extent within other focal sectors, including agriculture, nutrition, health and employment, but only 4% of the food security budget was spent on social protection in 2014 – down from 6% in 2012[89]. In Ethiopia, Mali and Somalia social protection represented 3-6% of total allocations over the period 2007 – 2015[90].

▪ In the Sahel, within the EU the social protection flag has been mostly carried by ECHO with poorly-suited instruments[91], while externally the World Bank has been working to institutionalize safety nets. In most Sahelian countries DEVCO is in technical dialogue with the World Bank initiative but has not yet developed a systematic strategy on social safety nets[92]. In Mauritania and Burkina Faso, while investment was initiated during the 2010-2016 period, social protection is not prioritized under the 11th EDF.

▪ DEVCO representatives met gave different **reasons for the limited support for social protection systems**: a division of roles between donors, as in Kenya where DFID, the

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[88] Source: European Centre for Development Policy Management (ECPDM), Implementing the Agenda for Change. An independent analysis of the 11th EDF programming. Discussion Paper 180, September 2015.

[89] Ibid.

[90] Source: ADE analysis of DEVCO budget allocations by sector for the period 2007-2015.

[91] ECHO advocating for preventive and predictable safety nets and mostly equipped with annual funding instruments.

[92] Assist, EUD and ECHO in Sahelian countries, and 11th EDF NIP review.

World Bank and the Government of Kenya took the lead on social protection; and weakness of national institutions and lack of national political ownership in the Sahel[93];

▪ There is an ongoing debate in the Delegations on the extent to which safety nets and social protection are a disincentive to economic development. However, evidence assembled by the World Bank tends to counter this assumption.[94]

For ECHO, building resilience to food crises is present at different levels:

▪ It has been referenced in the ECHO global strategy as a policy priority since 2014;

▪ Within the focal countries it is referenced as a core objective in the narrative of all the current ECHO Humanitarian Implementation Plans (HIPs). The ECHO Horn of Africa 2013-2014-2015 HIPs refer to resilience in their titles, which was not the case prior to 2013 – or for 2016. The evaluation of ECHO's Sahel strategy reports an increasing focus on resilience-building by ECHO regional HIPs since 2013[95].

▪ **Resilience-focused budgets cannot be readily disaggregated from other 'sectors' of ECHO budgets** as resilience is not treated as a sector of expenditure, and budgets do not predetermine the sector of expenditure. A wide variety of projects may be related to building resilience to food crises, including support for health and food security systems; lean season cash transfers; prevention of malnutrition though a multi-sectoral approach; and advocacy for pro-poor and pro-nutrition development programming. Within the strategies the ECHO contribution to resilience is referenced mostly in relation to non-spending activities, such as supporting the policy dialogue on social safety nets and advocacy for pro-poor and pro-nutrition development programming. Therefore it is difficult to characterize changes in allocation of resources in ECHO budgets.

Gender has been considered as a crosscutting issue in most CSPs and national resilience strategies, but almost never as a focal sector, while good governance was a cross-cutting issue or a priority objective in all countries. This is also the case with Human Rights in the CSPs, but not in the national resilience strategies in which it was barely present. (see Annex I for details[96])

▪ A review of EDF 10th and 11th *Country Strategy Papers* (CSPs) for the six countries visited during the field phase indicates that:
  o gender was mainly considered in the CSPs as a cross-cutting issue during both periods; it was not a focal sector, and no trend change was observed following the 2012 Communication (which was published in the preparatory period for the 11th EDF 2014-2020)[97];
  o Good Governance was a focal sector during the two periods in five of the six countries observed;
  o Human Rights was mentioned as a cross-cutting issue under the 10th EDF in 2/3 of the cases, whereas it fell under other sectors in 2/3 of the cases during the 11th EDF CSPs examined.

▪ A review of 15 *national resilience strategies* promoted by the EU[98] indicates that attention has been given to gender, and less to human rights. Good governance has been mainly considered under food security and nutrition.
  o Gender is considered a cross-cutting issue in all existing CPPs and CRPs;
  o Good governance is mostly considered under other sectors, mainly under "food security and nutrition" (in six out of 8 PRPs), but in some cases also under "conflict

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[93] EUD staff but also: (1) http://www.inter-reseaux.org/IMG/pdf/GDS_Filets_sociaux_previsibles.pdf; (2) ongoing research by the World Bank on barriers to institutionalization of Social protection on Africa focusing on: political economy, financing, institutional capacities (source: World Bank Social Protection Advisor)

[94] See Cervigni and Morris, Confronting Drought in Africa's Drylands, World Bank, 2016.

[95] *From 2013 onwards, there was an increased focus on prevention and resilience-building.*

[96] And Annex H for the available information in terms of results achieved regarding gender indicators for a sample of 22 ECHO and DEVCO projects.

[97] Except for Somalia (from cross-cutting under EDF 10 to part of a focal point under EDF 11.

[98] 8 Country Resilience Priorities – CRP (AGIR): Burkina Faso, Cabo Verde, Chad, Côte d'Ivoire, Gambia, Mali, Niger, and Togo; and 7 Country Programming Papers – CSPP (SHARE): Djibouti, Ethiopia, Kenya, Somalia, Sudan, South Sudan and Uganda.

resolution and peace building" (Somalia, Republic of Sudan), or "disaster risk reduction" (Kenya), and "access to basic social services" (Uganda).
o Human rights are not mentioned in national resilience strategies except for Niger (the PRP mentions that rights must be respected) and in Kenya (the CPP mentions the right to food and nutrition).

At the level of projects gender has been considered in the design of a large majority of DEVCO and ECHO projects, as targeted beneficiaries or as members of the group of "*poor and vulnerable people*".[99]

▪ A documentary review on 25 DEVCO projects[100] shows that in most cases (88%) there was a reference to gender or women's issues in project documents, with gender considered explicitly as (one of) the main objective(s) of the project in 28% of cases (7 out of 25 projects). For 60% of the projects selected (15 out of 25) gender was considered a cross-cutting issue, as targeted beneficiaries or as members of the group of "poor and vulnerable people". Only three projects of the sample included no reference to gender issues.
▪ A documentary review of 34 ECHO projects[101] shows that in 91% of cases (31 out of 34) gender was taken into account in implementation of the project, with analysis and data disaggregated by gender. Furthermore, all ECHO projects implemented after 2014 have a gender marker, which evaluates whether the project includes a gender analysis, activities designed to meet different gender needs, and women's involvement in the design and implementation of the Action.

According to literature[102], different shocks and coping mechanisms can affect men and women in different ways. Studies indicate for example that the Households in which women have greater participation in decision making regarding food are more resilient[103]. As policy implication, policymakers should be mindful of these gendered nuances when designing resilience-enhancing programmes. This has indeed been the case in DEVCO and ECHO resilience related programmes and projects, as evidenced here above for cross-cutting issues in general, and gender in particular.

Extent to which the EU approach to building resilience to food crises has been integrated in programmes and projects *(JC 6.2)*

As a preliminary remark it is important to note that it is very difficult to determine to what extent the EU has translated its commitments in country strategies with respect to resilience to food crises into programmes and projects.
▪ As explained in Chapter 1, resilience is not a technical discipline or aid category – meaning that an inventory of EU actions cannot be readily distinguished and compiled. Actions in multiple sectors arguably contribute to building resilience to food crises and the challenge lies in determining what should be included or excluded as resilience-related programming. The approach taken in compiling an inventory of resilience-related spending in EU projects (see Table 1), whilst indicative, has obvious limitations;
▪ Furthermore, a mechanism to assess progress in incorporating the approach to building resilience to food crises in DEVCO sectoral programming has been lacking. This makes it

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[99] Little information is available on gender-related results (see Annex H).
[100] A sample of 25 DEVCO projects was selected for this purpose among those containing "resilience" in their title (other criteria: funding size, presence in 6 countries visited, and availability of progress and M&E reports).
[101] We have conducted a review of *action reports* on a sample of 34 ECHO projects. To construct the sample we have selected the 10 projects with the highest budget in the countries visited (Burkina Faso, Kenya, Niger, Mali, Somalia, Ethiopia). We have completed this selection with 24 ECHO projects selected randomly (30 have been selected but six of them had no FichOps because they are too old).
[102] See for instance "Building Resilience For Food & Nutrition Security, Gender, Shocks, and Resilience", 2020 Conference Brief 11, May 2014; OXFAM RESEARCH REPORTS, "FOOD CRISIS, GENDER, AND RESILIENCE IN THE SAHEL, Lessons from the 2012 crisis in Burkina Faso, Mali, and Niger", June 2014.
[103] This is notably because women"s involvement in supplying cereals and processing food helps enable food diversification and preparation of dishes that are better suited to the budgets of rural households.

effectively impossible to systematically gauge the impact of the EU approach on what aid is used for – or trends over time[104].

**Figure 14 – Global overview of DEVCO resilience contracts**
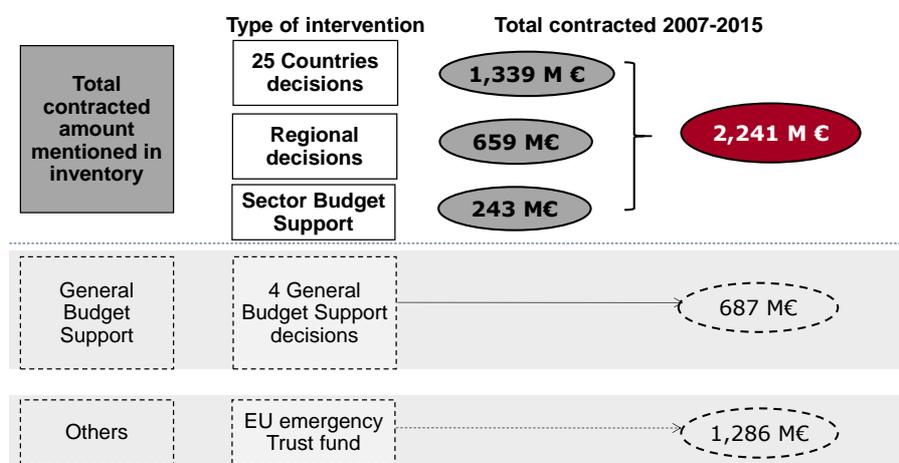
Source: ADE based on CRIS database

That said, an inventory of commitments (decisions) was compiled by the evaluation (see Annex C). This estimated that the total contracted amount allocated to these resilience-related decisions by DEVCO reached more than 2 billion Euros (€2,241m) between 2007 and 2015 in the Sahel and the Horn of Africa.[105]

There is a general upward trend in the *number* of DEVCO resilience related decisions over the evaluation period. Figure 15 presents the evolution of DEVCO support for the resilience approach. In total **187 decisions** relating to the resilience approach were identified for the period 2007-2015 representing a total amount of 2.2 billion Euros (excluding GBS and the EU Emergency Trust Fund). There is a peak in 2013, just after the EU Communication on Resilience was presented. The other peak, in 2009, relates notably to the launch of the Facility for rapid response to soaring food prices in developing countries. The trough in 2014 is a general trend for all DEVCO decisions. It is mainly explained by the renewal of EDF programming.

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[104] Possible indicators of alignment with a resilience approach could be suggested, to include the way in which the action was designed (was it based on an analysis of the causes of food insecurity?) and who was targeted (are the primary beneficiaries those vulnerable to food crises?). In this regard, stakeholder discussions suggested that gender was to be addressed as a sectoral issue (i.e. that programming complied with relevant sectoral guidelines) rather than as a resilience issue *per se*.

[105] This figure was obtained by summing up three types of decisions (see figure below): first, the country decisions of the 25 countries mentioned in the Terms of Reference, totaling €1,339m; second, the regional and all-country decisions which correspond to €659m (for the reliability of the inventory, the contracted amount from these regional or global decisions was defined as being the sum of the related contractual amounts benefitting the geographical scope of this study); third, the Sector Budget support decisions related to the resilience approach are also included for an total of €243m.

Figure 15 – Evolution of DEVCO Resilience related decisions
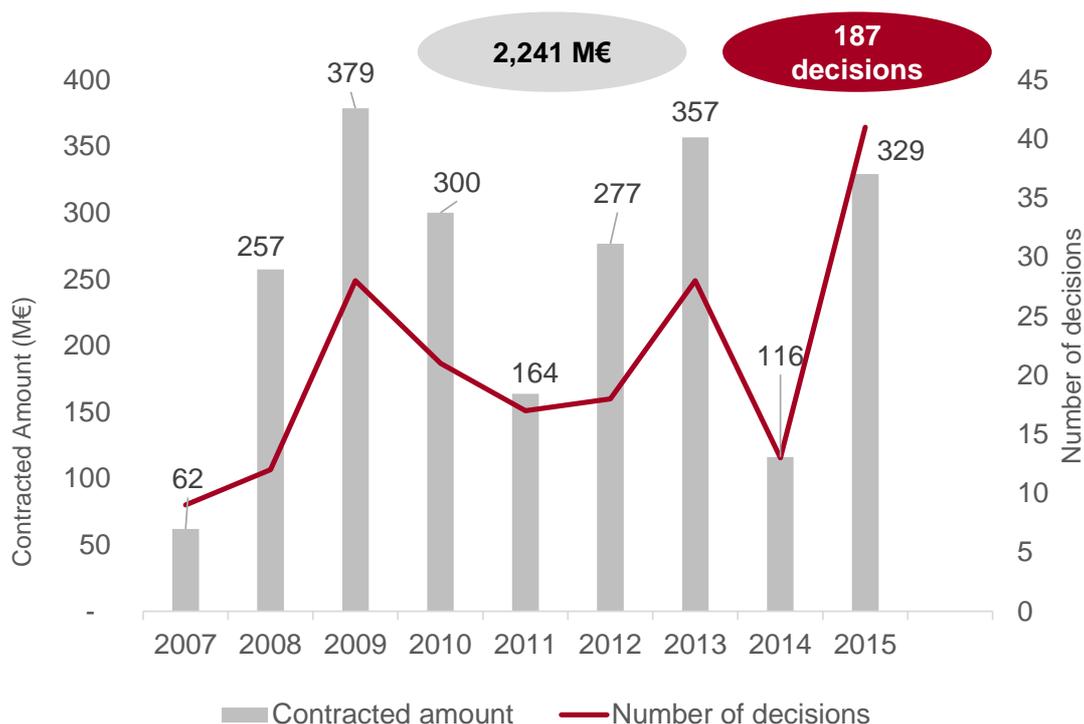
Contracted amounts of DEVCO resilience-related decisions
Source: ADE based on CRIS database

Building resilience to food crises was the primary responsibility of the DEVCO food security focal sector staff. No examples were identified of programming hosted in other focal sectors[106] of the countries visited that were primarily oriented to building resilience to food crises. Concerns were expressed regarding how resilience can be embedded in the specific thematic funding streams or the constrained focal sectors of NIPs. To some extent the multi-sectoral nature of resilience programming was accommodated under the food security focal sector – for example, including a family planning component in RESET programmes.

The sectoral breakdown of resilience spending under DEVCO (shown in Figure 16 below) shows that resilience-related decisions cover a range of different sectors. However, the two main sectors, representing two thirds (68%) of total funding, were Agriculture and Food and Nutrition Assistance.

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[106] With the exception of forthcoming health SBS in Burkina Faso.

Figure 16 – Resilience related DEVCO decisions by sector
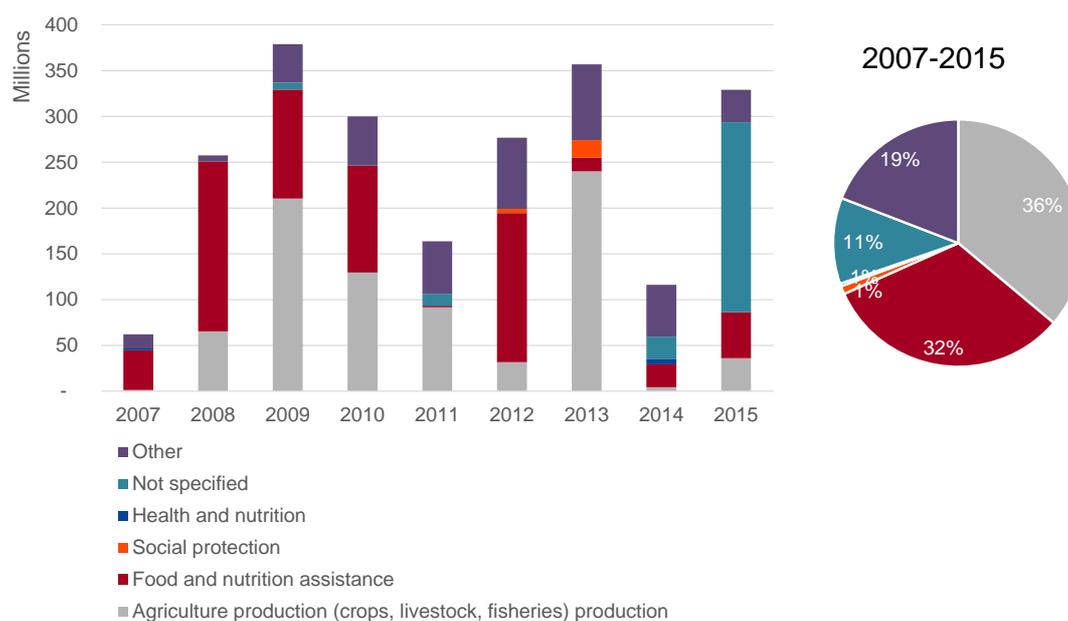
(1) Other include e.g. material relief assistance, energy/environmental policies, water
Contracted amounts of DEVCO resilience-related decisions
Source: ADE based on CRIS database

In confirmation of this the evaluation found that in the food security/rural development focal sectors, several programmes had a core objective of building resilience to food crises. This included support for key national resilience-building initiatives and institutions with programmable and thematic development resources, under a food-security-cum-resilience focal sector[107]. For example:

- In Kenya the EU supports the NDMA and drought contingency fund.
- In Niger, Sector Budget Support was provided for the DNPGCCA (€87.7m over the 2010-2016 period) and for institutional capacity-building of the HCI3N.
- In Ethiopia the EC contributed €241 million to the PSNP between 2005 and 2014. The PSNP provides cash transfers to the chronically food-insecure.
- Other flagship resilience projects have included the various DEVCO-funded resilience consortia in Somalia. Procurement for 'resilience programmes', funded through the EU Emergency Trust Fund for Africa, is on-going in Mali and Burkina Faso.

However, a part of the 11th EDF agricultural sector budgets is translated into programmes and projects oriented to supporting agricultural growth rather than reducing risk, so an increase in spending in the agricultural focal sector may not contribute to increased expenditure on building resilience to food crises.

- In Mali, for instance, about 60% of the rural development and food security concentration sector focused on the agriculture/fisheries productivity and value chain (11th NIP document). According to EUD staff in Mali, the targeting strategies of other projects in the food security focal sector in Mali (PARISON on rice productivity, and strengthening fish value chains) were not much influenced by the resilience approach.
- In Ethiopia a large part of the increase in funding to the Rural Development sector concerned 'productive' agricultural sectors with arguably lower immediate relevance to resilience-building. Support to the PSNP has decreased under the 11th EDF, with increased investment in the Agricultural Growth Programme (coffee and livestock production) and environmental programmes.

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[107] See notably In-depth study #5

As shown in figure 17, 'resilience' was indicated as an objective in the decisions, the beneficiaries were farmers (52%) in general in the majority of cases. The chronically food insecure represented 30% and in 24% of cases groups vulnerable to shocks were targeted.

Figure 17 – Evolution of Beneficiaries targeted (Evaluation focal countries)

Others include for instance the overall country population and the international community and actors
Analysis on 46 DEVCO resilience-related decisions in the nine countries
Source: ADE based on CRIS database and decisions' action documents
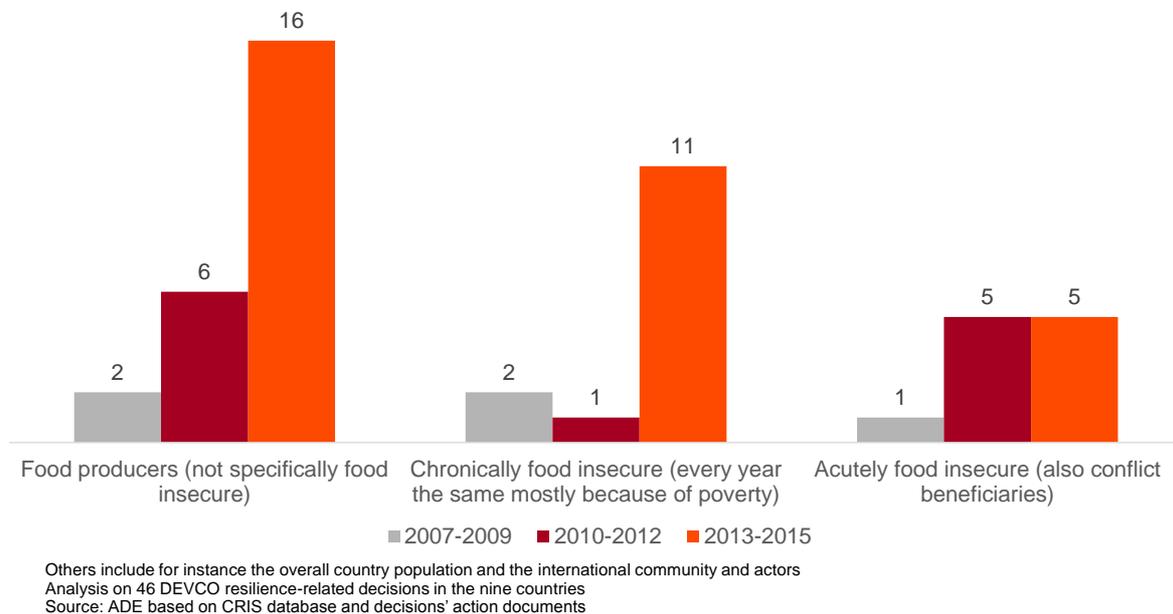
Sector Budget Support is oriented to contributing to building resilience to food crises.

▪ Where the necessary pre-conditions existed, Budget Support (BS) was understood to constitute the preferred EU aid modality. This was especially the case in the Sahel where BS was used for a large proportion of EU aid. With the exception of Niger, support from the Food Security Budget under the 9th and 10th EDFs provided Budget Support though State Building Contracts or General Budget Support with limited leverage and impact on Food Security outcomes (see for example evaluation of BS to Burkina Faso 2008-2014).

▪ Several countries will benefit either from Sector Budget Support related to food security of resilience (e.g. Niger; Burkina Faso). In other cases variable tranches of State Building Contracts (SBC) will be conditioned to resilience or food-security-related indicators (e.g. Mali). Other countries will also benefit from such support (Senegal, Chad). Countries in the Horn – including Ethiopia – are also in the process of developing new Sector Budget Support programmes

▪ The rationale for prioritizing BS as a priority modality for resilience-building is clear. Governance issues, limited inter-sectoral coordination, and public service delivery capacities are understood as major barriers to resilience-building. This strategy is also coherent with EU support to the AGIR alliance, which aimed at influencing national investments in resilience-building.

However, food security and "resilience"-related Sector Budget Support may be more challenging than other sectors for several reasons. Below are concerns highlighted by EU staff in Delegations as well as Member States agencies.

▪ Food security and "resilience" are not a "sector", as **several ministries may have responsibilities for food security objectives**, hence it could be difficult for ministries supported through SBS (often Ministry of Agriculture and sometimes Ministries of Livestock) to commit themselves to achieving results in situations where responsibility is shared with other Ministries. Hence enforcing accountability for results may run up against limitations. For example in Burkina Faso the feasibility study considered the institutional framework weak, but the 11Th EDF SBS project moved forward regardless.

▪ **Agriculture is particularly sensitive to risks**, and results may be subject to external conditions (rainfall, input market trends, pests and diseases) more than in other sectors.

Hence "process" rather than "results" indicators or indicators measuring the quality of the policy may have to be used for assessing the performance of the programme. However, practices in the design of disbursement indicators have not been harmonized: in Burkina Faso the 11th EDF food security SBS variable tranche indicators are typically *results*-oriented, while *process*-oriented indicators have been adopted in Niger.

- **Measuring and tracking agriculture/food security results is difficult and national information systems are often weak.** This calls for specific attention to the quality of technical assistance supporting SBS programme implementation, with attention to variable tranche indicator monitoring.

- **Lack of consensus on SBS feasibility between donors**. There are instances of basket funding in support of the Comprehensive African Agriculture Development Programme (CAADP) process in the ECOWAS region in which other partners have been involved. Most MS agencies met were withdrawing or were sceptical that pre-conditions for further engagement in Food Security Budget Support are currently being met.

ECHO has adopted different initiatives related to integrating resilience into the programming:

- ECHO adopted a a strategic decision to invest in addressing chronic malnutrition and vulnerability in the Sahel, as outlined in the 2010-2014 ECHO Sahel strategy. This has aligned ECHO programming in this region to a resilience objective. The share of humanitarian aid directed to the Sahel region has grown significantly and consistently over the period, beyond changes in humanitarian needs (See Figure 18 below).

Figure 18 – Regional breakdown of ECHO Resilience related contracts (2007-2015)

Source: ADE based on HOPE database
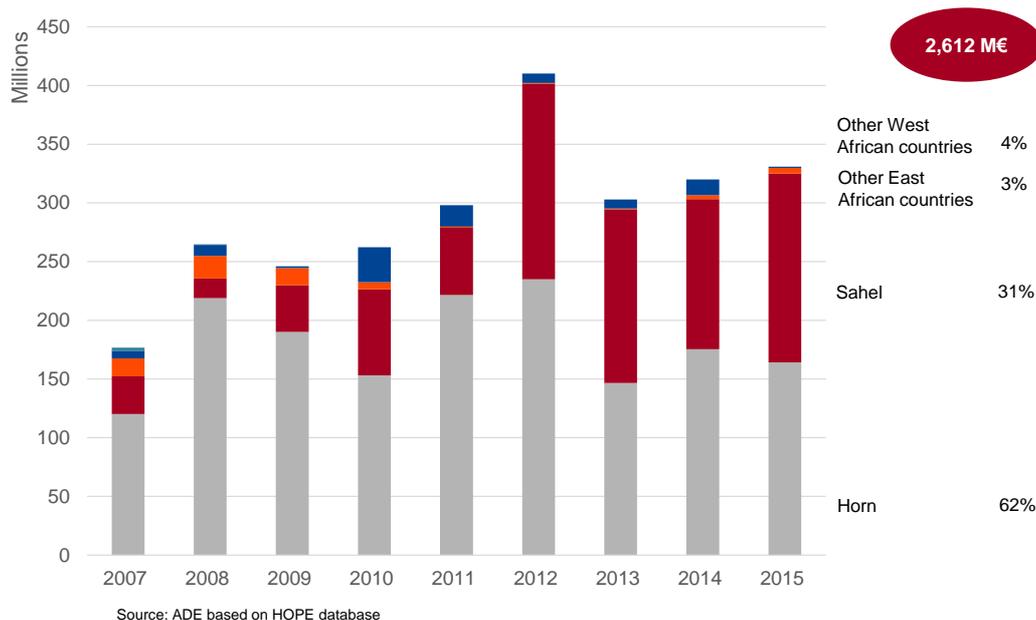
- **It is striving to improve the contribution of humanitarian projects to resilience outcomes**. This involves adopting approaches that lay the foundations for longer-term strategies for reducing vulnerability to food crises.[108] There is evidence of a willingness to engage with longer-term actors and move away from strictly life-saving emergency responses. An example was cited of combining a livestock offtake programme, as an early response, with vocational training in skills for processing of the hides, to contribute to longer-term resilience. It was widely noted that ECHO has been contributing at the project level to building resilience for many years prior to the adoption of a formal resilience approach. For example, ECHO's Regional Drought Decision in the Greater Horn of Africa was initiated in 2006 and renewed in 2008. These decisions financed partners to

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[108] ECHO Sahel strategy evaluation (2010-2014): *Advocacy directed at improving the linking of relief to rehabilitation and development (LRRD) and the establishment of a 'contiguum' approach to international aid in the region, remained an important objective.*

implement a range of interventions in pastoral areas[109] which continue to provide the technical foundations for ECHO project activities.

▪ Although this falls outside the temporal scope of this evaluation, it is useful to mention that **ECHO introduced a resilience marker** in 2016. The marker is a tool for assessing the extent to which actions funded by ECHO integrate resilience considerations. It verifies how many of the following four criteria are met by the programme: (i) an analysis of hazards, threats, vulnerabilities and their causes; (ii) risk-informed programming; (iii) local capacity-building (directly or in cooperation); and (iv) longer-term strategies. It aims at encouraging partners to think more about how they can use an emergency response to build resilience. It is to be used during the appraisal process as an entry point for dialogue on resilience.

▪ **ECHO regional and country level staff are increasingly willing to engage with long-term actors to enhance the sustainability of outcomes**. ECHO supported nutrition in the Sahel (see 2010-2014 Sahel strategy evaluation[110]) through a longer-term strategy, updated and fine-tuned through annual work plans. In this context ECHO has managed to build up the capacities of national systems and has consistently invested in making nutritional information available. ECHO is also linking up with development dynamics and working toward strategic alignment with social safety nets in Mali and to a lesser extent in Burkina Faso and Niger[111].

▪ However, **limitations to ECHO's ability to consistently invest in building resilience to food crises were noted in most countries.** Investments in livelihoods are marginal to ECHO's mandate and therefore of low priority. ECHO attempts to fund more resilience-oriented actions, for example support for the resilience-oriented WFP Protracted Relief and Recover Operations in Niger, were not renewed in 2015.

Finally, there are several examples of *flagship programmes* for building resilience to food crises that involve close inter-service collaboration.[112] In Ethiopia, Mali and Burkina Faso flagship initiatives were jointly managed by ECHO and DEVCO. Spending on joint resilience programmes is reported to have been 4% of the 2014 EC food security and nutrition budget.[113] The most prominent example is the RESET project in Ethiopia (see Box 4).

Box 4. Resilience building in Ethiopia (RESET)

The **Resilience-building in Ethiopia (RESET)** programme was launched in 2012 and is jointly implemented by the EU Delegation to Ethiopia and ECHO. It aims at building resilience at grassroots level through a complete package of interventions focused on the poorest and most vulnerable communities.

RESET is based on four cornerstones for resilience-building: (i) improved basic services; (ii) livelihoods support; (iii) safety nets; and (iv) disaster risk management. Those four cornerstones are complemented by four overarching support sectors: social protection, climate change adaptation, sustainable land management, and natural resources management.

In its first phase (2012-2016), RESET covered 34 districts and more than 2.5 million people in five regions of Ethiopia. In each cluster DEVCO and ECHO worked jointly on a needs assessment, a strategy and an action framework.

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[109] See for example : Wilding J, J Swift and H Hartung, Mid Term Evaluation of DG ECHO's Regional Drought Decision in the Greater Horn of Africa, 2009, AGEG.

[110] Launched in 2007,the Strategy aims to reduce – in a sustainable way - the persistently high levels of mortality linked to malnutrition among children and pregnant and lactating women (PLW) in the region.

[111] *ECHO is a reference donor for nutrition and resilience in the Sahel region: donors such as DFID, the World Bank, DEVCO and the Swedish International Development Agency (SIDA) utilise evidence gathered by ECHO to develop their own programmes; ECHO's evidence base has contributed to the development of national Early Warning Systems (EWS) and Social Safety Nets (SSN)*

[112] N.B. EU Financial regulation prohibits the financing of the same programme by more than one financing instrument.

[113] ECPDM 2015.

RESET is implemented in cooperation with local authorities, NGOs, UN agencies, and other donors present in the area. It aims at complementing national resilience programmes, such as the Productive Safety Net Program (PSNP).

In its second phase the livelihood component of RESET will be fully integrated under the PSNP. The main contributors to RESET I were the SHARE initiative and the Ethiopian HIP. Its second phase (2016-2020) will be funded under the EU Trust Fund (total allocation of €47m). RESET + (€22,5m) complements RESET and addresses the root causes of food insecurity through facilitation of rural to urban transition, family planning, access to deep ground-water, and an innovation fund on livelihoods.

However, **ECHO-DEVCO joint resilience programming has not materialized across all focal countries**, *viz.*:
- in Niger and Kenya there has been limited inter-Service cooperation, arguably due to miscommunication and perhaps lack of willingness at the individual level;
- in Somalia joint programming was seen by ECHO as not adapted to the context given the risk of compromising humanitarian principles and risks to compromising access.

Frameworks to measure resilience outcomes and impact[114] (JC 6.3)

Resilience monitoring frameworks were considered at two levels; firstly monitoring of changes at the programme or project level, and secondly monitoring of changes in resilience at the national level.

The EU does not have a standardized approach to measuring resilience outcomes at programme or project levels. Established monitoring frameworks largely rely on tracking standard food security indicators such as food consumption scores, dietary diversity and coping strategy indices. For example:
- AGIR has a results framework with indicators being monitored in respect of 'progress towards resilience'; however these indicators are entirely food-security-related[115];
- Similarly, the RESET programme does not monitor capacities indicative of resilience.

The evaluation found that existing food security indicators serve valuable purposes, but **do not allow project implementers to validate the plausibility of the causal link posited between project inputs, interventions and activities and changes in resilience**. The IPC analytics are useful in either classifying the nature and severity of food security and very effective for early warning or for the better targeting of activities for better programming. However, the IPC is not effective for assessing the result of an activity and its impact on a population. While it is important to monitor changes in food security status, this falls short of monitoring progress in building resilience. For example, short-term transfers may lead to short-term improvements in food security, but may do little to improve the capacity to absorb and adapt to future shocks and stresses. The same limitations would apply to other food security metrics such as food consumption scores or nutritional data.

A review of a sample of evaluations of EU-funded resilience programmes (see Annex H[116]) and review of other documentary sources indicated the following findings with regard to resilience outcomes at the programme or project level:
- There is limited monitoring information available so far on the results achieved by relevant programmes and initiatives over the period. Review of a sample of programmes (see Annex H) shows for instance that fewer than 30% of them (17 out of 63 decisions) had monitoring or evaluation reports. Furthermore, the main flagship programmes and initiatives covered by this evaluation are relatively recent and their implementation is still

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[114] Detailed evidence supporting findings presented under JC 6.3 is presented in Annex D, In-Depth Study 4 (Progress in resilience measurement).

[115] CEDEAO-ECOWAS, CILSS, UEMOA, "AGIR, Global Alliance for Resilience, Regional Roadmap", adopted on 9 April 2013.

[116] The Annex reflect the information found on the results achieved in terms of resilience-building for a sample of projects covered by the evaluation. It also reports specifically on the gender approach of these projects.

ongoing or just finalized[117]. It is therefore not (yet) possible to draw general findings on whether intended outcomes have been achieved.

- Available information from monitoring and evaluation data on resilience programming is based on output indicators and food security outcome indicators. Regarding SHARE for instance, the available progress reports on projects implemented in Ethiopia (under RESET I) and in Kenya detail the activities carried out but do not report on results in terms of resilience-building. Regarding the remaining sample of projects analysed in Annex H, whenever indications are provided in terms of resilience-building, the information is qualitative and no figures are mentioned[118].

- There is some evidence of significant improvements in food security in the Sahel and Horn. Some of this evidence suggests a correlation with EU programming. For example, a large-scale survey by the International Food Policy Research Institute (IFPRI) in Ethiopia indicates that the lean season has halved to approximately two months in PSNP project areas. However, these assessments use indicators of beneficiaries' current food security status, rather than the latent capacity to resist and recover from future shocks. Therefore the impact on underlying resilience remains unclear.

- There is some evidence of improvements in local communities' capacities to ensure peaceful co-existence between communities, related to EU funding. For example, according to the intermediary report of the conflict prevention and management project implemented in Guinea, a significant decrease in the number of conflicts in the community, and a reinforcement of social cohesion, was observed. However, the durability of this result could not be confirmed.

- Evidence on Budget Support (BS) programmes implemented in the region suggests that they do help countries stabilize public expenditure and allow better sectoral policy dialogue (e.g. Burkina Faso[119]). However, the results of public policy improvements through Budget Support on target populations are difficult to establish. There is limited experience of rural development Budget Support, and such examples as exist (e.g. Mozambique, Rwanda) are not in this region.

- The sustainability and scalability of measures to build resilience to food crises piloted in humanitarian aid have been questioned: ECHO's 2012 Ethiopia country-level evaluation found the impacts of humanitarian aid on resilience to be short-term and neither sustainable nor scalable at either HH or community levels. It recommended that projects for protracted food crises develop a multi-cycle planning process on the model adopted for general disaster risk reduction by the ECHO Disaster Preparedness programme.

- The effectiveness of a resilience approach in conflict-affected areas that works through resource transfers has been questioned.[120] Many resilience consortia work on an assumption that resilience implies increasing the amount of resources available to households. However, research suggests that promoting security of access to existing resources is critical. Indeed, evidence suggests that injecting poorly-targeted resources can fuel conflict[121].

Interviewees stated that there was a general weakness to capitalize on the potential of well-endowed programme databases for lesson-learning:

- for example, in Ethiopia the data emanating from the EU-funded RESET project, the Government of Ethiopia-funded PSNP and USAID's PRIME programme together provides a robust body of evidence that stakeholders argue could be better exploited to learn evidence-based lessons;

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[117] The 1st phase of RESET I, a component of SHARE in Ethiopia, is just finalized (2012-2016); the AGIR Regional Road Map was adopted in 2013, and the process of designing Country Resilience Priorities was still ongoing in 2016.

[118] The exception would be notably the BRCiS programme, for which 2 surveys took place in 2014 and 2015, in 41 communities in Somalia, with quantitative indications on how resilience improved over a 2-year period. However, given the recent contribution of the EU to the programme (2016), the observed results over the period 2014-2015 cannot be correlated with EU funding

[119] 2015 joint evaluation of Budget Support (General Budget Support (GBS) and Sector Budget Support (SBS) in health, water and sanitation, and education.

[120] Levine and Mosel, Supporting Resilience in Difficult Places, March 2014, ODI

[121] See for example the South Sudan Inter Agency Humanitarian Assessment, 2016, OCHA

- in Kenya a similar wealth of data has been generated by multiple projects which target the same beneficiaries in the same geographical area. Expert opinion suggested that this information should be consolidated to bring insights into resilience outcomes at both quantitative and qualitative levels.

The EU has supported the development of frameworks that are designed to measure changes in resilience at the national level. One important initiative was support to the **Resilience Index Measurement and Analysis Model** (RIMA), an FAO-led multi-agency framework. The model is a quantitative approach that identifies the main factors that contribute to household resilience including access to basic services, assets, social safety nets and adaptive capacity. RIMA analyses have been published for countries in the Sahel (Mauritania, Mali, Niger and Senegal) and the Horn (Uganda and Sudan). The RIMA often uses the Living Standards Measurement Survey, which contains data at a national scale and is usually collected every 5 years. Therefore, the published studies are 'baselines' against which future progress may be measured.

The RIMA approach is useful in highlighting the multi-dimensional nature of resilience and the complexity of measuring resilience as a 'latent capacity'. The analysis has potential relevance in supporting targeting decisions (i.e. which areas of the country are least resilient) and in policy analysis and formulation (i.e. in guiding sectoral investments to build resilience). It does not attribute the contribution of specific programmes or projects to changes in resilience given the scale and frequency of the analysis. In practice, at country level EU staff viewed RIMA as a very technical and research-oriented tool with limited relevance to decision-makers. RIMA was also criticised by interviewees as labour-intensive, requiring lengthy analysis, and difficult to support and implement.

Complementary approaches to resilience measurement were also developed at the regional level with EU support. Under the auspices of the Permanent Interstates Committee for Drought Control in the Sahel (CILSS) a platform was established to propose a regional methodology that draws on a variety of various technical approaches, including RIMA. However, this has not yet progressed to the point of delivering results.

Since 2014, DEVCO requested to JRC to produce a yearly scientific report to highlight the most important hotspots of food crises. The report feeds the decision on the allocations of the funds dedicated to food crises response. Building on this the "**Global Network against Food Crises**", launched in 2016 by the EU during the World Humanitarian Summit (WHS), is a platform for consensus building on assessing and coordinating the global response to food crises. Under this network the EU collaborates with partners (including FAO, WFP, Member States and Regional Organizations) to produce an annual "Global Assessment Report"[122] on the estimated number of people affected by food crises[123] by country.

Over the longer-term reliable and comparable information on trends in the number of people in food crises should provide a valuable insight into progress in building resilience. However, in the absence of counterpart information on the severity of shocks experienced in any specific year, this indicator would be an unreliable guide to changes in resilience over the short-to-medium term. Furthermore, the challenge of attributing specific EU interventions to aggregate level changes in resilience remains.

Another framework used by the EU was the Household Economy Analysis (HEA)[124]. It was notably largely disseminated and used with the support of ECHO in Niger, as a key building block for the measurement of resilience at household level[125].

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[122] See the Global Assessment report produced in conjunction with the JRC, FAO and WFP

[123] This is defined as the number of people in Phases 3, 4 and 5 of the integrated phase classification of food security (IPC)

[124] See EQ2 (JC2.1)

[125] Other (non-EU) frameworks for resilience measurement include: preliminary methodologies that are being developed by WFP to measure changes in household resilience and the USAID PRIME project - working with

In addition to monitoring and measuring resilience outcomes, interviewees noted **the need for indicators to monitor progress against strategic commitments in building resilience to food crises.** It was observed that HIPs lack adequate benchmarks to assess progress in implementing progress against the overarching commitment to building resilience. For example, this could include indicators related to advocacy and inter-Service collaboration.

EQ7 Visibility and Lesson Learning

To what extent has the EU approach been visible and to what extent have lessons been learned to leverage greater impact?

We firstly examine the visibility of the approach to building resilience, both internally within EU Services (DEVCO, EEAS, ECHO), and externally among other donors and development partners. We also examine the extent to which lessons were captured and disseminated on the operationalization of the approach. The extent to which lesson-learning subsequently stimulated change is also considered.

EQ7 on visibility and lesson learning - Answer Summary Box

There have been internal communication efforts regarding the resilience approach. However, these efforts have had limited effects in creating a common understanding among EU staff of the approach to building resilience to food crises, including the scope of the approach and how it differs from traditional approaches to food security. Furthermore, information products have not succeeded in translating the resilience concept into a programming framework.

EU resilience-related programmes such as AGIR were the main channels contributing to EU's visibility among external stakeholders and there was only limited awareness among Member States and other stakeholders regarding the EU's approach to building resilience to food crises.

Lessons have been learned on the operationalization of the approach, both through EU publications and through the activities of implementing partners. However, the absence of an EU resilience communication strategy and lack of clear institutional responsibilities for lesson-learning has resulted in *ad hoc* efforts. The evaluation did not identify examples of successful projects having been directly replicated, multiplied and scaled up by the EU, but lessons on the approach used have been influential.

The extent to which the EU approach to building resilience is visible *(JC 7.1)*

The EU took limited steps to promote internally the visibility of its approach to building resilience to food crises.

▪ *First, in 2013 there was the joint instruction letter from the DEVCO and ECHO Commissioners with the communication attached.* This letter,[126] addressed to different EU bodies, provided "*strong encouragement for EU Delegations, Member States' embassies and missions and ECHO field offices to reflect together on the application of the resilience approach in their programmes, in a coordinated and coherent way to the maximum extent possible*".

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the USAID-funded Technical Assistance to NGOs (TANGO) agency in Ethiopia - which uses a survey containing two quantitative components and a qualitative set of questions. Furthermore, UNDP is active in developing resilience measurement methodologies (notably in Ethiopia), and NGOs implementing programmes with EU funding are developing their own frameworks for measuring resilience, but these efforts are often uncoordinated.

[126] Joint instruction letter for the attention of ambassadors of EU MS, Heads of EUD, Heads of ECHO Field Offices in crisis prone countries regarding the implementation of the EU approach to resilience, 2013.

- A subsequent letter[127] further outlined the need to embed resilience into every step of the processes, through multi-year commitments, partnerships, advocacy, and through the integration of the resilience concept into programming and project design.
- ***Resilience-related sessions were incorporated within EU internal training sessions***. This also concerned the DEVCO Conflict and Fragility training programme.

However, there was **limited follow-up to these initial efforts to promote visibility for the approach**. The Resilience Action Plan does not contain specific provisions for visibility, nor does it include measures to ensure that the resilience approach is well understood at all levels within the EU.

Several elements indicate that the visibility efforts have had limited effects in creating a common understanding of, and approach to, building resilience to food crises between and within DEVCO, ECHO and the EEAS.
- Roughly half of the survey respondents (11 out of 25) indicated that they regarded building resilience to food crises as an approach and described it in terms of the principles outlined in the Communication - such as bridging the humanitarian divide, multi-sectoral responses and enhanced national ownership.
- However, many of the remaining respondents (12 out of 25, mostly from the non-focal countries) tended to describe it in terms that paralleled earlier food security approaches centred on raising agricultural productivity. Responses included; "*… natural resources management - water harvesting and irrigation schemes techniques, food marketing and processing, support to basic agricultural inputs to farmers and capacity building measures to the sector*" and "*The approach was to increase food production and rural incomes to small producers in key fragile areas form the country and diminish dependency to imports*".
- Interviews confirmed this and showed also that there were further differences in understanding of the scope of the EU resilience approach. While many in DEVCO and ECHO understood this approach as specific resilience <u>to food crises</u>, other respondents within the EEAS tended to place the emphasis on building resilience to conflict.
- Furthermore, core questions from EU staff focused on the issue of how to operationalize the approach. In theory the Resilience Action Plan (RAP) constitutes the framework for operationalizing the approach. It provides for each implementation priority a list of actions that should be taken, as well as detail of the activities, timeframe, partners and outputs of each action. Annual reports monitoring the implementation of the Resilience Action Plan are produced and reportedly shared with the Council Working Party on Humanitarian Aid and Food Aid and the Development Cooperation Group. However, interviewees did not see the Resilience Action Plan and the associated reports as an effective "*source of inspiration*" in communicating how the approach would be operationalized.

EU resilience-related programmes were the main channel underpinning the EU's visibility among external stakeholders. Interviewees in the field[128] explained that AGIR provided a platform for EU visibility. In relation to AGIR the EU has engaged in resilience dialogue with several organisations including the World Bank in its annual high-level meetings, ECOWAS and the OECD Club Sahel.

In general, AGIR and the subsequent PRPs were identified as supported by the EU, and therefore helped make the EU resilience approach visible. In Mali and Burkina Faso AGIR was still perceived by Government officials as an EU initiative rather than as an alliance of various stakeholders. The process in Niger was led by HCI3N and thus more embedded in national systems, although it was still beneficial to EU visibility. In Ethiopia interviewees mentioned that stakeholders were aware of the RESET program although there was no specific visibility for the 'EU resilience approach'.

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[127] Joint instruction letter for the attention of ambassadors of EU MS, Heads of EUD, Heads of ECHO Field Offices in crisis prone countries regarding the implementation of the EU approach to resilience, 2014
[128] All stakeholder groups

However, it was noted that the strong association of the EU with AGIR may have been detrimental in terms of national ownership. There was a degree of consensus among interviewees in the field[129] that EU visibility in building resilience to food crises is higher in the Sahel than in the Horn – partly because of the more important role played by the EU in the Sahel. Respondents did not recall the EU using the Global Alliance forum in the Horn to present the approach to building resilience to food crises.

Finally, **there was only limited awareness of Member States representatives and stakeholders regarding the EU approach to resilience-building**, despite efforts to enhance such visibility. Member State representatives met were in most cases largely unaware of either the Communication, instruction letters or elements of the resilience approach. They were either not aware of the EU approach or they had only a limited interest in it, and tended to focus on their own approach. In Somalia, Kenya and Ethiopia it was mentioned that many programmes implemented by the MS were prepared on the basis of their own approach to resilience. Interviewees also explained that a high turnover of MS agencies' staff compounded the challenge of creating visibility.

Among other donors there was little awareness of the Resilience Communication beyond USAID. A few donors were invited to participate in the AGIR donor group, but some did not participate beyond the first meeting. The team found very few examples of public dissemination of the EU approach itself[130] – as distinct from the lessons learned (see below).

Lesson-learning and leveraging to multiply impact *(JC 7.2)*

There was no over-arching strategy for the capture and dissemination of lessons on resilience-building. The responsibility for lesson-learning (as distinct from monitoring and evaluation) has been shared between ECHO and DEVCO, and, as stated under JC 7.3, there was a general lack of capitalisation on the potential of national databases for lesson-learning.

However, **several EU publications have been produced to capture and disseminate lessons on resilience programmes and projects, supported by the EU in Brussels.**
- DEVCO and ECHO organised Resilience Fora in April 2014 and June 2016 in Brussels, with senior political engagement and positive feedback from NGOs and the World Bank. According to EU staff met, the first EU Resilience Forum organised in 2014 allowed stakeholders to realise that they were sharing similar concepts and operational approaches while confusion about the definition of resilience was still dominating policy debates.
- The Resilience Compendium showcases the work of both the EU and other donors. The Compendium illustrates the extremely diverse ways in which resilience can be interpreted and the challenge of distinguishing resilience from pre-existing priorities such as preparedness, early warning and risk reduction.
- Further case studies of good practices in resilience-building are under development under Conflict and Fragility Unit leadership, using the ASiST advisory service.
- Evidence of learning about institutional reforms to promote resilience-building came from the *Resilience in Practice* publication. This publication analyses different approaches to the institutional integration of the resilience approach, along with case studies drawn from donors, UN agencies and NGOs.
- Other general EU publications – while not about resilience *per se* - were judged relevant by interviewees (e.g. ECHO guidelines on "The use of Cash and Vouchers in Humanitarian Crises" were informed by an analysis of past implementation of programmes).

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[129] Burkina Faso and Ethiopia.

[130] For example, a presentation was made on the "EU Approach to Resilience Working better together – Challenging the way we work - Global Facility for Disaster Risk Reduction and Recovery Fall 2013 Consultative Group Meeting, Washington DC, November 13-14, 2013". This presentation exhibited an overview of the EU's policy package and action plan for resilience, as well as its priorities and the key characteristics of its approach. Further visibility was provided through a brochure on the EU website (http://ec.europa.eu/echo/files/aid/countries/factsheets/thematic/resilience_en.pdf) that references AGIR and SHARE as tangible examples of EU resilience building.

The EU has also published several brochures at national level. This includes for instance a brochure on lessons learned from the Common Framework for Seasonal Social Nets in Northern Mali programme. In Niger ECHO has supported learning and action research such as studies on the impact of combining cash transfers and nutritional studies, aimed at understanding them within the 1,000-day window.

Within countries the implementing partners were actively engaged in resilience-learning and the production of associated publications.

- In Ethiopia learning has been integrated into the RESET programme and a number of the learning publications produced. However the resolute emphasis of the government of Ethiopia on aligning NGO budgets with service delivery - rather than advocacy - did not allow sufficient attention to analysis and action for learning[131].
- NGO-organized workshops were viewed by EU staff as providing important resilience-related learning opportunities based on the various agencies' projects in multiple sectors in several countries. However, donors noted that they lacked the capacity to engage adequately in multiple fora.
- In Somalia learning was not included as a priority activity in the first iteration of the SomRep Consortium work plan. Subsequently the implementing partners in the Consortium pushed for its inclusion as part of "*an obligation to feedback lessons from implementation to the broader resilience community*". Subsequently SomRep developed a robust research and learning agenda, which includes partners such as Tulane University, Cornell University, Tufts University, the Overseas Development Institute and TANGO, all of which are considered institutions specialised in this area.

EU staff interviews pointed to considerable unmet demand for operational success stories and best practices in building resilience to food crises among staff in both Brussels and third countries. Several reasons were suggested that have contributed to this unfulfilled demand, *viz.*:

- slow progress in defining the scope of resilience programming was both a factor underlying the demand for lessons and a reason why it was difficult to develop a coherent lesson-learning strategy;
- in Ethiopia some stakeholders noted a degree of competition between implementing agencies that refused to allow a full sharing of experience across the projects;
- the primary focus has been on capturing lessons from the joint humanitarian-development programmes. There is little evidence of the EU consolidating and disseminating lessons on other resilience innovations such as risk financing or shock-responsive social protection systems, despite the EU being an active player in these areas.

The evaluation did not identify examples where successful project approaches have been replicated, multiplied and scaled up by the EU. Many respondents indicated that they were hesitant to promote direct replication of their approaches to others as they felt that the specific context was critical in determining the relevance of a specific project.

EQ8 Cost-effectiveness

To what extent has the approach to building resilience to withstand food crises been designed with a view to cost-effectiveness for all parties and elimination of inefficiencies?

We investigated the qualitative relationship between the additional costs of developing and operationalizing the approach. This EQ examines the extent to which the approach to building resilience to withstand food crises has been delivered with a view to ensuring cost-

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[131] The CSA (charity and society agency) in charge of NGOs budgets imposes that at least 70% of NGOs budget is allocated directly to poverty reduction activities, compromising the ability of NGOs to engage in lesson learning and advocacy.

effectiveness. It analyses the cost-benefit implications of adopting the approach to building resilience to food crises and sheds light on best practice in controlling costs.

EQ8 on Cost effectiveness - Answer Summary Box
The cost of developing the approach remained arguably modest at headquarters level, given its importance and scope. However, operationalizing the approach to building resilience to food crises has increased transaction costs at multiple levels in the field: among DEVCO and ECHO staff; among implementing partners; within national authorities, and; for other development partners. The collaborative inter-agency and inter-sectoral nature of the resilience approach notably entailed additional coordination costs and an increase in staff time. The evidence is too thin to assess whether these costs were offset by increased benefits to beneficiaries or cost savings. In specific cases innovations contributed to improving efficiency in the programming and implementation of resilience activities. Good practice includes pooled funding of resilience projects by DEVCO and ECHO through the EU Africa TF, the use of budget support in Niger, and a division of labour between donors. A few cases also show that EU instruments and funding were not necessarily available to the most efficient and effective partners for building resilience to food crises.

Cost-efficiency of the development of the resilience approach *(JC 8.1)*

The total costs of developing the approach at HQ level remained arguably modest given its importance and scope. Developing the approach required resources from DEVCO, ECHO and to a lesser extent EEAS, at various levels. First, the Services have collaborated at the Brussels level – including joint work on policy development, dissemination of the approach, capture and dissemination of lessons learned, and the development of, and reporting against, the Resilience Action Plan. The costs of strategic development at HQ level have been concentrated among a relatively small number of staff in DEVCO and ECHO. The ECHO and DEVCO staff involved in developing the policy reported that the transaction costs of strategic collaboration were acceptable. EU HQ-level interviews indicate that the Communication was developed over a rapid timescale as compared to other comparable policy processes. However, some interviews suggested that the limited resources invested in strategic development may have compromised potential impact, and that more resources should have been invested in guidance and lesson-learning (see findings on EQ7).

The transaction costs of DEVCO and ECHO in operationalizing the approach to building resilience to food crises were found to be significant at field level. The evidence gathered during the evaluation reveals the following major transaction costs:

- Increased inter-Service cooperation in the field: DEVCO and ECHO staff both noted that building resilience to food crises required significant additional investment of staff time, principally related to increased inter-Service cooperation. The Joint Humanitarian Development Framework (JHDF) process, where used, was time-consuming and heavy (see section 3.2). Further staff time was used in providing input to each Service on country strategies and plans and (in some cases voluminous) programming documents and action fiches. There was an increased workload in attending coordination meetings; for example ECHO staff were invited to participate in an increasing number of regular DEVCO planning and reporting meetings (see section 3.2).
- Increased staff time: DEVCO staff indicated that building resilience to food crises carries significant human resource costs in more complex programmes. For example, one consequence of the approach is increased programming of DEVCO funds through NGO partners. The contracting and management of NGO contracts, which may be of relatively small value, was viewed as relatively demanding in terms of staff time. Furthermore, the multi-sectoral nature of building resilience to food crises implicitly carries heavy coordination costs, requiring collaboration across Government Ministries and development partners. ECHO staff found that the staff time and resources required to support resilience

programming in collaboration with DEVCO was much greater than those required for independently managing an equivalent portfolio of emergency responses.
- <u>Increased time to programme the IcSP</u>: closely-related challenges were referenced with respect to collaboration between DEVCO and the EEAS in programming the IcSP. This was reported as very time-consuming to programme, with questions as to whether it delivered proportionate benefits.

Transaction costs have also increased for implementing partners when engaged in programmes to build resilience to food crises. One mechanism for trying to reduce EU overhead costs has been encouraging the formation of NGO consortia, and resilience consortia have been established across the Horn and Sahel.[132] NGOs noted that the formation of resilience consortia has not actually reduced transaction costs but transferred costs to NGOs – for example consortia were expected to bear many of the costs associated with increased coordination. In some cases these costs have been judged as unsustainable – as witnessed in the fragmentation of the ECHO-funded El Niño consortium in Kenya. NGOs have also had to adapt from working through negotiated processes with ECHO to competitive tenders with DEVCO. NGOs in Ethiopia were vocal in highlighting how much slower and more laborious these procedures are, with ultimately no guarantee of funding – in effect the additional overhead costs associated with developing potentially unfunded proposals.

The collaborative inter-agency and inter-sectoral nature of the resilience approach also implied additional coordination costs for other donors and development partners. UN agencies have found inter-agency coordination on building resilience to food crises time-consuming. One specific example is that the agreement to establish the Nairobi-based RAU is reported to have taken the three UN agencies involved two years to negotiate.

There is a lack of evidence on whether these costs were offset by increased benefits to beneficiaries or cost savings where more resilient households have lower humanitarian needs. While this is a key question, there exists no empirical research specific to the EU analysing the cost savings achievable in building resilience to food crises as compared to the cost of a continued humanitarian response. Overall the evidence base on this key question remains thin and highly dependent on a limited number of studies. One study by DFID is repeatedly referenced[133]. While this question remains unanswered at an empirical level, at a more qualitative level EU staff opinion was divided.

In some instances, EU instruments contributed to improved efficiency in building resilience to food crises. Good practice identified during the evaluation includes the following examples:
- The EU Africa TF has consolidated DEVCO and ECHO funding for building resilience to food crises. This has reduced fragmentation and overhead costs, with the two Services managing a single project.
- In theory the approach argues for a pooling of EU efforts (EC with MS) in common programmes that may reduce overhead costs, for example through economies of scale and shared assessment costs. The evaluation found few examples of joint programming or division of labour; examples such as the Netherlands and Austria contributing to RESET funding in Ethiopia were the exception rather than the rule.
- In a favourable institutional context, Budget Support could reduce transaction costs and improve aid effectiveness and aid efficiency (e.g. in Niger). However, the evaluation did not gather a large evidence base on the cost-effectiveness of Budget Support.

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[132] However, this strategy is not specific to building resilience to food crises, but a tactic used generally to reduce ECHO transaction costs.

[133] Courtenay Cabot Venton, Catherine Fitzgibbon, Tenna Shitarek, Lorraine Coulter, Olivia Dooley June 2012 The Economics of Early Response and Disaster Resilience: Lessons from Kenya and Ethiopia

EQ9 Institutionalization and Replicability

> **To what extent is the EU approach to resilience to withstand food crises influencing key stakeholders and to what extent is it sustainable and replicable?**

The Resilience Communication places institutionalization of the approach within national systems at the heart of the approach. The Communication states that "*The starting point for the EU approach to resilience is a firm recognition of the leading role of partner countries*" and that "*The EU will support the development of national resilience strategies as part of wider development strategies*". Here we examine the role that the EU has played in supporting national resilience policies, strategies, plans and programmes. Following that, opinions are presented on the extent to which the approach can be considered sustainable and replicable in the wider African Drylands.

> **EQ9 on Institutionalization and Replicability - Answer Summary Box**
>
> The EU has been a major supporter of the development of regional and national strategies for building resilience to food crises, most specifically in the Sahel region. Significant progress has been made in capacity-building of national institutions to undertake analysis in support of policy development. However, action on these strategies has been limited and variable. Factors underlying this include institutional limitations, limited financial resources and the extent to which these approaches favour political interests. National ownership has been clearest in countries where donor-government dialogue and financing has been sustained over several decades – for example in Kenya, Ethiopia and Niger.
>
> Flagship resilience programmes are context-specific, limiting the potential for direct replication or blueprint approaches.

Influence of the EU resilience policy, approach and initiatives on the ground on key stakeholders and beneficiaries[134] *(JC 9.1)*

The EU has been a major supporter of the development of regional and national strategies for building resilience to food crises. Prior to 2012 the EU was already active in supporting related sectoral policy development, particularly in food security, climate change adaptation and nutrition[135]. At global level the EU supported the FAO Nutrition Food Security and Resilience for Decision Making (INFORMED) programme which aims to provide regular, timely and evidence-based information to 22 national governments. Since 2012 the EU has supported the development of specific national and regional strategies for building resilience to food crises, *viz.*:

- **In the Sahel, the EU strongly supported the AGIR roadmap and its roll-out** through a regional project hosted by CILSS with national facilitators and support from Delegation staff.
    - Within this context, 17 West African countries committed in November 2013 to drafting national resilience priorities, with varying degrees of progress by the end of 2016, when eight countries had validated their Country Resilience Priorities (CRP)[136], three were in the validation process (Mauritania, Senegal, Guinea-Bissau), and six had launched the process (Guinea, Sierra Leone, Liberia, Ghana, Benin and Nigeria).
    - The CRP process advanced more quickly where similar policy frameworks already had been adopted (e.g. in Niger), or where the policy environment was already conducive

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[134] Detailed evidence supporting findings presented under JC 9.1 is presented in Annex D, In-Depth Study 5 (Ownnership of resilience approach by Governments and local partners in the Horn and Sahel).

[135] For example, DEVCO has been supporting integration of climate change adaptation priorities in sectoral policies in West Africa.

[136] Burkina Faso, Cabo Verde, Chad, Côte d'Ivoire, Gambia, Mali, Niger and Togo (http://www.oecd.org/site/rpca/agir/nrp-agir.htm , February 2017)

to resilience approaches (Burkina Faso). Conversely, in countries with less favourable policy environments the CRP process moved more slowly (Mauritania and coastal West African countries).

  o The next identified step is to incorporate resilience priorities formulated in CRPs into a second-generation National Agriculture Investment Plan to be formulated in 2016/2017. This would allow stronger institutional anchorage and national ownership of resilience priorities. However, with the National Agriculture Investment Plan dominated by an agricultural growth mandate, it is not clear how this will accommodate the multi-sectoral dimension of CRPs.

- **In the Horn of Africa, the EU support for resilience strategy development has been much more limited.** A Drought Disaster Resilience and Sustainability Initiative (IDDRSI) Strategy was formulated in 2012 under IGAD leadership[137]. It provides a common framework for developing national strategies and programmes. The EU was substantively involved in developing the resultant Kenya National Investment Plan (Ending Drought Emergencies documents - EDE paper), whereas USAID has been prominent in funding the development of a Regional Programme Paper for IGAD and Country Programme Papers for each member country[138].

DEVCO staff viewed capacity-building of national institutions as the most effective means of appropriately supporting the development of national resilience strategies.

- Activities undertaken by the EU to pursue support for national resilience strategies, as reported by survey respondents (see Figure below), are advocacy, review of draft documents and participating in the drafting process.

Figure 19 – Type of support provided by EU for developing national resilience strategies and plans

What type of support did the EU provide for integrating resilience into, or developing, national resilience strategies/plans?
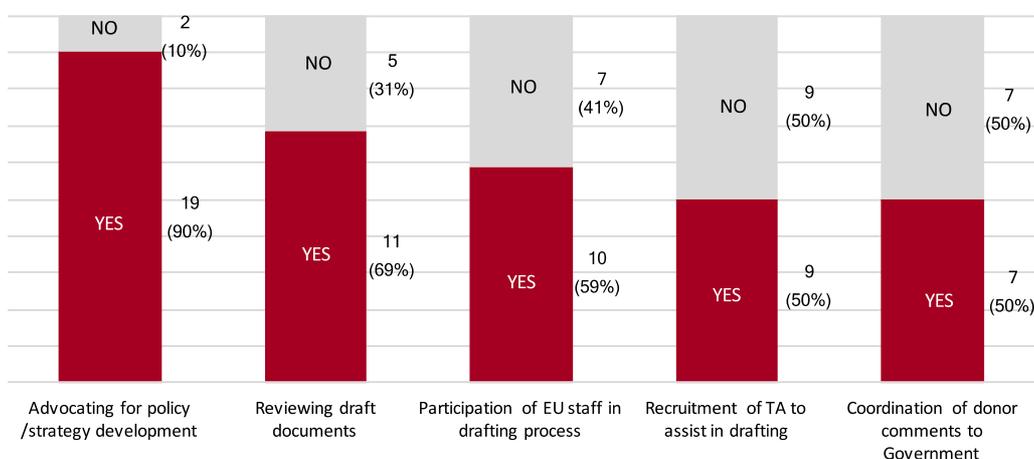
Note: Yes or No answers presented on a 100% scale (total number of responses per modality between 14 and 21).

Source: ADE Survey Results

At regional and country levels the EU has strengthened information management and governance systems, which have generated evidence[139] to feed into policy development. Significant examples of DEVCO support for national institutional and analytical capacities include the following:

- In West Africa, ECHO has heavily invested in generating nutritional data[140], and DEVCO

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[137] http://resilience.igad.int/index.php/about/strategy

[138] National Investment plans ('Ending Drought Emergency' documents) had been developed by Ethiopia, Kenya and Uganda by end 2016.

[139] See EQ2 : particularly focusing on food and nutrition insecurity incidence, and more recently on underlying causes

[140] ECHO Sahel Evaluation

has supported strengthening regional information systems on Food Security through CILSS[141].

▪ ECHO has supported HEA profiles throughout the region[142] which have been influential[143] in changing the perception of national policy-makers setting the scene for more resilience- and nutrition-sensitive policy commitments.

▪ In Kenya, the EC funded the incorporation of the NDMA as a legal entity to ensure that it remained active, despite changes in regime.

Operationalization of national strategies for building resilience to food crises has so far been limited, *viz.*:

▪ A 2016 DG ECHO report[144] on the AGIR approach in Mauritania, Niger, Mali, and Chad concluded that so far there is no sign of States putting in place significant, coordinated, and coherent action at local level.

▪ The main exception is Niger where the HCI3N action plan for the period 2011-2015 has been well-funded and implemented (119% of expected funds raised over the 2012-2015 period)[145]. However, this reference to Niger needs to be nuanced – this information is somewhat misleading as most actions relate to emergency response rather than resilience-building.

▪ In the Horn, regionally-led <u>resilience strategies</u> have had mixed influence on national commitment and investments, *viz.*:
  o in Kenya, the EDE has gained influence as a common planning framework by the Government and development partners, but implementation of the EDE is lagging behind target;
  o in Ethiopia and Somalia, the EDEs were viewed as of limited relevance by all stakeholders. However, other strategies and plans were perceived as providing the basis for reducing vulnerability to food insecurity in the Horn, for example the PSNP process model in Ethiopia.

Various explanations of the limited progress in the implementation of national strategies have been highlighted, *viz.*:

▪ The capacities and architecture of governmental institutions: in most countries key barriers to effective implementation of resilience strategies are weak national inter-sectoral leadership and coordination capacities[146]. Except for the HCI3N in Niger and the NDMA in Kenya, inter-ministerial coordination on food security has been weak. Some countries have fragmented, rather than consolidated, their institutional setup for building resilience to food crises.[147]

▪ The fiscal space at country level: economic growth in many African countries has created the space for equity considerations in public policy.

▪ The political power (or marginalization) of vulnerable groups can be crucial: for example, support from pastoral groups for the Government of Kenya underpinned the creation of the Ministry of State for Development of Northern Kenya and other Arid Lands, and a commitment to the NDMA.

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[141] *Programme sur l'information et la prise de décision pour améliorer la sécurité alimentaire dans les pays du CILSS et de la CEDEAO* (2011-2014).

[142] http://hea-sahel.org/

[143] See ECHO Sahel Evaluation

[144] « Cependant, pour l'instance aucune action significative, coordonnée, cohérente et sous l'impulsion des Etats ne se met en place au niveau local vers les populations vulnérables ». DG ECHO, Rapport de synthèse resilience n° 1, février 2016, p. 3

[145] The "Resilience" axe has been articulately well-funded (456%), however, presented as such, this information is somewhat misleading as most action correspond to emergency response.

[146] Issala, 2005 : 1ère évaluation indépendante de la Charte pour la Prévention et la Gestion des Crises Alimentaires au Sahel et en Afrique de l'Ouest

[147] E.g. Ministry of livestock and fisheries separated from ministry of agriculture in Mali, similar move in Burkina Faso, relief agency becoming independent from MoA in Ethiopia. A similar situation often prevails for the multi-sectoral nutrition action plans, formulated with the support of the SUN and REACH, with an EU contribution. See the example of Mali in Moroko, 2015, 'Joint Evaluation of Renewed Efforts Against Child Hunger and under-nutrition(REACH) 2011-2015'.

- Public policy cycles take time: the commitment by the Ethiopia and Kenya Governments to reduce the vulnerability of their populations has its roots in a dialogue stretching back at least to the 1990s. In contrast, in West Africa the PRPs only started being endorsed from 2015 and some are still not yet endorsed. It would have been difficult for implementation to have started earlier.

Sustainability of the approach and replicability in different and changing contexts *(JC 9.2)*

Given that a formalized approach to building resilience to food crises is relatively new, it is still too early to assess sustainability[148]. However, some preliminary comments can be made based on stakeholder observations.

The EU design approach, with a strong emphasis on institutional strengthening, is clearly focused on sustaining the approach within national systems.
- The earlier analysis endorses the approach of situating the resilience approach within national systems as a pathway to sustainability.
- Where progress has been clearest in embedding resilience as a national priority (including Kenya, Ethiopia and Niger) the origins lie in a donor-government dialogue and operational experience that extends over several decades and it is hard to identify the specific contribution of the EU.
- The AGIR process is now at a critical crossroads[149]. Except for Niger, where the HCI3N is a clearly-identified home for the CRP and where integration of CRP priorities in national programming priorities was under way, **critical questions often remain about sustaining the national ownership of CRP** and incorporating resilience priorities developed in CRPs into national sectoral policies. These challenges are well identified by the AGIR cell and the EU.

The extent to which project-based lessons will be transferred and sustained within Government systems is not yet clear. In Ethiopia RESET is designed to strengthen its livelihoods support approach in the nationally-led PSNP. Support to the UN "communes de convergences" in Niger also pursued a similar objective. But there are significant barriers to the transferability of these models: NGO-implemented approaches, which are free of sectoral constraints, do not overlay easily on sector-based Government systems. In addition, national institutions typically operate with far more constrained financial and human resources. In recognition of this problem, efforts have been made to push the costs of NGO-led resilience projects down so as to facilitate the integration of acute malnutrition treatment into health systems in the Sahel.

Underlying the question of replicability is clarity on the approach to be replicated. As noted earlier (including EQ1) the approach to building resilience to food crises has been conceptualized and operationalized in markedly different ways, at different times and in different contexts. The evidence revealed that approaches aligned on the goal articulated in the Communication '*to support the ability of an individual, a household, a community, a country or a region to withstand, to adapt, and to quickly recover from stresses and shocks*' remain highly relevant. Other interpretations of building resilience to food crises, such as convergence in addressing the root causes of irregular migration, were less convincingly supported by the evidence.

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[148] Sustainability of the approach can be assessed at multiple levels, including the sustainability of the approach within national systems and sustainability at the level of beneficiaries. Evidence is lacking on whether flagship projects are successful in building resilience (see EQ6), and therefore on the extent to which these gains are likely to be sustained.

[149] See ECHO 2016 "Rapport de Synthèse Resilience"

The main message from stakeholders[150] on **the replication of the approach to building resilience to food crises should be based on contextual factors**. Considerations include the following:

- The central assumption is a context of recurrent food crises, or predicted food insecurity based on forecast trends. For example, it was found to be less relevant in coastal West Africa owing to its relative food security.
- A minimum level of commitment in national institutions is required, although this commitment can be deepened through policy dialogue. Ideally this should be complemented by an involved regional organization.
- This evaluation found that the EU approach to building resilience to food crises is most credible in contexts of sufficiently stable public services on which to anchor a capacity-strengthening-oriented strategy. While the approach remains relevant in fragile States the limitations and relative priority given to the resilience approach may differ.
- Building resilience to food crises can be conducted by Services both jointly and separately. Working together, it has been seen that Services can achieve important synergies. However, this is not a precondition for effective programming. Examples have been seen of effective action led and implemented by DEVCO. Resilience-building is not predicated on joint action and can be designed and implemented independently. Therefore, single-Service action on building resilience to food crises could be considered by DEVCO in countries where there is no ECHO presence – or *vice versa*.

At the programme level, a key lesson is that **flagship resilience programmes are context-specific, limiting the potential for direct replication or blueprint approaches**. Furthermore, EU flagship projects are oriented to working directly with households rather than institutions that are not readily sustained within Government systems.

3. Conclusions

This section presents the Conclusions emerging from the evaluation findings and analysis (presented above in Section 2). The Theory of Change (ToC) developed during the evaluation is used as a framework for drawing Conclusions on changes in terms of the strategic application of the approach. Overarching Conclusions are provided on the extent to which the approach was taken on board as a framework to building resilience to food crises. This is followed by Conclusions on the factors associated with the success and failure of the strategic application of the approach.

The conclusions are derived from the answers to the Evaluation Questions presented in Section 2 above. Each Conclusion refers where relevant to the Evaluation Questions and other sources on which it is based. The Conclusions are organized under the respective evaluation criteria.

Relevance

> **Conclusion 1: The EU approach to building resilience was well adapted to situations where recurrent food emergencies were driven by weather-related or economic shocks and where there was effective governance. However, the approach was less well adapted for complex emergencies in fragile states.**

Based on EQ2, 3 & 6

There is a strong and clear rationale for building resilience. The underlying resilience concept – that a multi-sector, long-term approach is needed to help countries and communities recover and withstand future stresses and shocks without relying to the same extent on external aid – remains highly relevant given recurrent food crises in the Sahel and Horn of Africa.

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[150] Few external stakeholders expressed judgement on the EU approach replicability, and these appreciations mostly reflect EU staff opinions

However, the evaluation found marked differences in the relevance of the EU approach between countries and these differences were most closely associated with the context. The EU approach aims to deliver coordinated, multi-sectoral support to vulnerable households and this approach was well adapted to countries where there were (i) recurrent food emergencies, (ii) weather-related or economic shocks, and (iii) national institutions and systems possessing a minimum of commitment and capacity for building resilience to food crises. This includes Kenya, Ethiopia, Niger and Burkina Faso.

In complex emergencies, where food insecurity was primarily driven by conflict, the EU approach proved less adapted. In these contexts, state institutions were weak or non-existent, which left large gaps in the provision of basic services and compromised the capacity to deliver the comprehensive package of support needed to build resilience. Furthermore, supporting activities to build household assets through livelihood investments were compromised where the rule of law was absent. If the main interventions in insecure contexts were in the form of safety nets, this did not provide an adequate basis for building resilience.

A further pillar of the EU resilience approach lies in coordinated political-development-humanitarian action. In complex emergencies political action and peace building is a core precondition for enhanced resilience to food crises. However, joint action by the different EU Services was most challenging in such contexts. The political objectives of the EU – which may involve support to one side in the conflict – was not always easily reconciled with humanitarian concerns as regards neutrality, independence and protecting access. Development and humanitarian tools were weakly adapted to peace building and conflict resolution. Furthermore, humanitarian actors generally focused time and resources on meeting immediate needs – rather than longer-term interventions - in such an environment.

At the same time, countries classified as complex emergencies – such as Somalia – include widely differing local contexts. These range from areas of active conflict to areas of relative stability, which in turn provide differing opportunities for building resilience to food crises.

Unsurprisingly the approach has struggled to gain momentum in relatively food-secure areas such as coastal West Africa, where managing food crises has low priority. Consequently the AGIR led PRPs have received limited national support in these countries.

Effectiveness

> **Conclusion 2: The EU approach prompted a strategic shift with a shared commitment between DEVCO and ECHO to the goal of building resilience. This commitment has been translated into the allocation of resources towards building resilience at global, regional and country levels.**

Based on EQ2, 3, 6 & 9

Overall the evaluation shows that significant changes have occurred in the strategic orientation of the EU – and that these changes can be directly related to the EU's approach to building resilience to withstand food crises. Critically the approach validated the building of resilience to food crises as an EU priority. Building on previous policy initiatives, the approach stimulated a paradigm shift around a commitment to a common vision of sustainable solutions to food crises. At a general level, there was already broad agreement with the need for sustainable solutions rather than a continued reliance on emergency response. However, what has changed is that there is now uniform agreement amongst DEVCO and ECHO staff that this is a joint and shared responsibility.

This commitment has been translated into EU strategies and budgets. Building resilience to food crises is now a prominent strategic objective of the EU at global, regional and (focal) country levels and was widely integrated into the narrative of NIPs and HIPs. Furthermore, development budgets have prioritized support for food security and agriculture in support of building resilience to food crises. The allocation to food security and related sectors in the CSP-NIPs of the 6 case study countries has increased from 289 million Euro under the 10th

EDF to 998 million Euro in the 11th EDF. Resilience building has been generally mainstreamed within ECHO programmes making the scale of budget commitments hard to disaggregate.

> **Conclusion 3: Analyses of the root causes of food crises have increasingly been carried out and this is at least in part directly related to the EU approach. However, these analyses were of variable quality and not clearly used for decision-making on programming in part due to timing issues.**

Based on EQ2

The EU approach identifies context-specific analyses of the causes of food insecurity as a basis for developing EU resilience strategies. However, there is no EU standard guidance or requirement for a context specific analysis of the causes of food insecurity – whether in the Joint Humanitarian Development Frameworks or elsewhere. While causal analyses were conducted widely in the Sahel under AGIR and in several Horn countries, the rigour of the analyses was variable. For example, Country Resilience Priorities (CRP) diagnostics in the Sahel were mostly based on participatory consensus-building around key causal factors. The method lacked the methodological rigour required for a robust prioritisation of issues to be addressed - an inclusive list of causes could be used to equally justify a wide range of potential interventions. The scope and inclusiveness also varied – in particular conflict analyses and political economy analyses were rarely considered.

Even where these causal analyses were completed they were not well timed to influence key strategic decisions, such as the new round of NIPs. Consequently, the evaluation found little evidence of resilience strategies being transparently based on strong analyses of the root causes of food security. Examples of good practice – for example the causal analysis conducted in Ethiopia – have led to a constructive discussion of new strategic directions, such as the inclusion of family planning activities and youth employment, in addressing the demographic drivers of food crises.

Efficiency and Effectiveness

> **Conclusion 4: The EU approach has contributed to new and adapted financing instruments and mechanisms. Innovative combinations of country programmable and thematic instruments provided timely, flexible and predictable funding to contribute to building resilience to food crises.**

Based on EQ5

The EU approach identified poorly-adapted financing instruments as a potential constraint to building resilience to food crises. In response to the identified limitations, the EU increased the flexibility of existing development financing instruments and introduced new instruments and mechanisms more specifically devoted to financing resilience activities, such as PRO-ACT, SHARE and the EU Emergency Trust Fund for Africa. In addition, EU Delegations found ways of combining different financing instruments to capitalize on the comparative advantages of each one.

As a consequence, development financing instruments were no longer found to be a significant constraint on EU action in building resilience to food crises. The creation of a specific mechanism for funding resilience to food crises was suggested – such as a Trust Fund for Building Resilience. However, the evaluation did not find compelling evidence to support this position.

The main continuing weakness of EU development funding is that it is not well adapted to supporting 'crisis modifiers' as part of a resilience approach. Crisis modifiers are budget lines in longer-term interventions that can quickly shift programmatic objectives towards mitigation of a crisis without going through the lengthy process of fund-raising and proposal writing. This mechanism enables a more integrated, agile and flexible approach that can reduce the erosion of development gains in times of crisis while responding to immediate needs. However, at system level this gap is being filled by implementing partners, drawing on alternative donors.

The humanitarian instrument lacked a comparative advantage in financing building resilience to food crisis. Examples of humanitarian financing of building resilience were found and it has proved useful in specific contexts, such as initiating action. However, the instrument is short-term and independent of government systems. Longer-term support to livelihoods is also difficult to justify under ECHO's mandate.

Coherence, Coordination and Complementarity

> **Conclusion 5: DEVCO, ECHO and the EEAS provided specific advantages in building resilience to food crises and synergies have been achieved from linking EU development and humanitarian action. However, collaboration was limited by differing mandates and priorities, and hampered by a lack of clarity in terms of division of responsibilities and roles. While inter-service collaboration was advantageous to building resilience, it was not a necessary precondition.**

Based on EQ3

The respective Services provided specific advantages with respect to building resilience to food crises:

- DEVCO provided the bulk of the financial and human resources, with a predictable, longer-term involvement, along with sectoral expertise in food security. DEVCO had a specific advantage in working with national authorities and institutions at both programme and policy levels.
- ECHO helped drive the conceptual development of the approach and served as an internal advocate within the EU. ECHO contributed important insights into understanding causes and developing programmatic responses, and facilitated a multi-sectoral perspective and partnerships with the NGO community.

Based on these specific advantages, some synergies have been realized. This include: complementary understandings of the root causes of, and solutions to, food crises that have been brought together in joint strategic analyses, broader sectoral coverage, working with different implementing partners and complementary programming cycles where ECHO are better placed to initiate action and DEVCO to sustain it over the medium to longer-term.

The EEAS has expertise in the analysis of conflict and programming to support State- and peace-building, which has direct relevance to building resilience. However, this contribution was not systematically integrated into a coordinated political-development-humanitarian approach.

While all Services showed an interest in collaborative approaches, they have quite different mandates and priorities which hampered fostering comprehensive political-development-humanitarian action. Representatives from the EEAS – and to a certain extent from ECHO – tend to see food security primarily as a development aid responsibility. In the process, a genuinely cross-EU approach has not been developed and EU resilience activities have been patchwork in nature, driven largely by DEVCO and, to some extent, ECHO. In addition, ECHO has mandate-based reservations about collaborating with political instruments – in particular where political interests align the EU with one party in the conflict there is a concern that unless ECHO asserts its independence, its ability to access those in need of assistance on both sides will be compromised. Furthermore, the lack of an accountability framework for building resilience to food crises means that inter-Service collaboration falters where individuals proved unwilling to collaborate.

Finally, it is important to note that while synergies are desirable they are not a necessary precondition for success. Individual EU Services made progress with building resilience to food crises even when others were not present - ECHO is indeed only present in contexts of acute humanitarian need – or unwilling to cooperate. DEVCO has taken the lead in operationalizing EU programming to building resilience.

> **Conclusion 6: The EU has struggled to implement multi-sectoral approaches in building resilience to food crises: such approaches were highly dependent on the capacity to coordinate with other development partners with a view to covering the different sectors.**

Based on EQ4

One of the key assumptions underlying the approach is that building resilience requires integrated support for communities across a range of sectors, which provides economic growth opportunities, provision of basic services and social safety nets.

Within DEVCO the resilience approach has been implemented through the agriculture and rural development focal sector, and to a lesser extent through the health and nutrition sectors. Resilience has not been addressed through other focal sectors, even though most sectors will have some relevance to building resilience to food crises. In ECHO the sectoral constraints are less rigid, but resilience programming has often been translated into rural livelihood programming.

For one donor to approach resilience from a sectoral perspective does not contradict the resilience approach *per se*. Ultimately sectoral ministries need to take ownership of resilience programming. What is important is that the EU intervenes in relevant sector(s) where it has a comparative advantage[151] and that these sectoral interventions are appropriately coordinated within a multi-sectoral framework.

Given this limitation of working within a small number of focal concentration sectors achieving resilience outcomes, coordination with development partners appeared to be key to providing the necessary range of complementary sectoral interventions. At the level of the EU the Joint Programming process has offered a potential – but underused – mechanism for developing an integrated and comprehensive approach. In national coordination fora inter-ministerial coordination has remained a generic challenge that also constrains resilience programming. Efforts to improve coordinated inter-sectoral action on nutrition may be built on as a basis for coordination, rather than replication, in building resilience to food crises. The use of information technology provides new and creative solutions to coordinating delivery of goods and services at the HH level.

> **Conclusion 7: The interlinkages of building resilience to food crises with the EU migration agenda are complex and are not yet clearly established.**

Based on EQ1, 2, 6 & 9

There is a high level of coherence of the EU approach with preceding policy statements and commitments. In fact, the key conceptual features of the current approach to building resilience to food crises had already been developed in policy documents prior to the adoption of the EC Communication on Resilience in 2012.

More recently the policy commitment to building resilience to food crises has been brought together with the migration agenda. Managed migration has become a top policy priority for the EU as reflected in the Valletta summit (2015). The two policy agendas have been brought together in the EU Emergency Trust Fund for Africa, where building resilience to food crises is one of the four pillars designed to contribute to an overall goal of better-managed migration. The assumption is that the food crises and migration share the same root causes and solutions.

However, research evidence indicates that the interrelationships are not straightforward. The drivers of migration at an individual level are complex, and only partially related to risks or stress. Studies highlight that migration is an important coping strategy that contributes positively to building resilience to food crises. In the short-to-medium term migration is shown to be facilitated through development – to which resilience-building contributes - rather than reduced by it.

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[151] The question of which sectors the EU has the greatest comparative advantage in building resilience to food crises was not in the evaluation scope.

Impact

> **Conclusion 8: As part of the EU approach, progress has been made in developing resilience measurement tools. However, these tools are geared towards supporting strategy and policy development rather than measuring the contribution of specific programmes and projects to building resilience.**

Based on EQ 6

The EU has supported the development of tools to monitor resilience trends at the aggregate level through the Global Assessment Report and the Resilience Index Measurement and Analysis Model. Although still in the process of development and rollout, these tools are relevant to strategic decisions on targeting resources and policy decisions on priority sectors of intervention.

The EU does not have a tool to measure resilience outcomes at programme or project levels. Programme and project monitoring frameworks – such as the AGIR monitoring framework – largely rely on tracking standard food security indicators such as food consumption scores, dietary diversity and coping strategy indices. These proxy measures of resilience fall short of understanding the extent to which the capacity for withstanding future crises has increased. There are clearly major technical challenges to the direct measurement of resilience outcomes and there have to be pragmatic limitations on the accuracy with it can be estimated. However, the lack of sufficient information hampers lesson-learning and evidence-based decision-making on the best use of resources.

Sustainability

> **Conclusion 9: The EU has been an advocate for, and partner in, developing national resilience strategies, but national ownership remained limited.**

Based on EQ9

The approach places appropriate emphasis on embedding responsibility for building resilience to food crises within national systems as a route to sustainability. The EU has been an effective partner in developing national policies and strategies addressing aspects of resilience to food crises. However, the adoption of formal policies has not guaranteed the necessary political commitment and responsibility for implementation.

Sector Budget Support offered a credible approach to helping national authorities realize policy commitments on resilience. However, the multi-sectoral nature of building resilience does not fit well with one lead Ministry being held accountable for results.

Lessons from the Horn suggested that true political commitment develops slowly and over extended periods. However, it is unrealistic to assume that building resilience is an equally high priority for all countries in the African Drylands. The relative severity and frequency of food crises, the political voice (or marginalization) of vulnerable groups, governments' financial and human resource limitations, and competition from other policy priorities, all factor into determining where building resilience to food crises sits in the national agenda.

4. Recommendations

This section presents the Evaluation Recommendations which are based on the Conclusions presented in Section 5 above. They address measures for strengthening the application of the approach. It is, however, beyond the scope of the evaluation to provide detailed operational recommendations, for example at the level of programmatic options for building resilience to food crises.

These Recommendations are grouped in four clusters, with sub-recommendations wherever they are deemed useful. They aim at suggesting to management a manageable set of high-priority actions. Each Recommendation is supported by a short narrative summarizing the link to the underlying Conclusions. An outline is then provided of the key actions required to implement the Recommendation.

Recommendation 1: The approach to building resilience to food crises should be adapted to the specifics of different contexts. Specifically, this should include clarifying the respective roles of DEVCO, ECHO and the EEAS in operationalizing the approach to building resilience depending on the root causes.

This recommendation draws together Conclusions 1, 5 & 7, which concern:

Conclusion 1: that the EU approach to building resilience was well adapted to situations where recurrent food emergencies were driven by weather-related or economic shocks and where there was effective governance, but less well adapted for complex emergencies in fragile states

Conclusion 5 – that each of the services provided specific advantages in building resilience to food crises, but collaboration was limited by differing mandates and priorities, and hampered by a lack of clarity in terms of division of responsibilities and roles, and while inter-service collaboration was advantageous it was not a necessary precondition.

Conclusion 7 – that the interlinkages of building resilience to food crises with the EU migration agenda are complex and are not yet clearly established.

Based on the foregoing the following actions are proposed:

Senior managers of DEVCO, ECHO and EEAS should acknowledge that different contexts will lead to differentiated approaches and differentiated levels of responsibility for building resilience to food crises:

i.   Livelihoods based approaches to building resilience should be concentrated in countries where there were: (i) there are recurrent food emergencies, (ii) driven by weather-related or economic shocks, and (iii) national institutions and systems possess a minimum of commitment and capacity for building resilience to food crises. In such contexts the comparative advantages of DEVCO in leading the process should be acknowledged.

ii.   In fragile states where the root cause of food crises are related to conflict the approach to building resilience to food crises should prioritize political action, led by the EEAS with its' comparative advantages. In addition, development and humanitarian actions in these contexts should be conflict sensitive.

iii. Based on an understanding of the drivers of food crises in a specific context the roles and responsibilities of DEVCO, ECHO and EEAS should be agreed at the country level. The three services should consider the inherent limitations to collaboration due to the different mandates, priorities and principles of each service. Consequently, there may be contexts where it should be accepted that integrated political-development-humanitarian collaboration is not appropriate.

DEVCO, EEAS and ECHO should clarify the relevance of the approach to building resilience to food crises as a contribution to managed migration

iv.   The responsible technical units of the services should clarify the conceptual interlinkages between building resilience to food crises and the managed migration agenda. A clear framework should be developed to articulate how building resilience to food crises is expected to contribute to improved migration management and the respective roles of the different services. Consideration should be given to presenting the processes and assumptions linking the two objectives in the format of a Theory of Change. The ToC should provide a basis for subsequent monitoring and evaluation.

Where possible DEVCO, ECHO and EEAS should strengthen inter-Service collaboration through improved routine interaction between staff at country level.

v. Where permitted by practical considerations, ECHO should consider locating their staff within Delegations. A strategy should be developed to encourage staff transfers between ECHO and DEVCO.

Recommendation 2: Strengthen the process for developing collaborative, inter-Service, country-level EU strategies to build resilience to food crises.

This recommendation is based on Conclusion 3 – on the importance of causal analyses, and the fact that they were not systematically conducted, were of variable quality and weakly linked to decision making.

Based on the foregoing conclusion the following actions are proposed:

Clarify the approach to, and accountability for, joint analysis of the root causes of food insecurity

i. Brussels Units in DEVCO, ECHO and EEAS charged with technical leadership of the approach should develop joint guidelines for a periodic meta-analysis of the root causes of food insecurity. These guidelines should define the scope of the country analysis and the roles and responsibilities of the different Services in developing the analyses. However, the methodological development should be led and contextually adapted at country level so as to build on existing data and reports, working where possible with national partners.

ii. The causal analysis should explicitly include the contribution of the EEAS on conflict and governance issues.

iii. Best practices in causal analysis should be documented and disseminated by the relevant technical unit in Brussels.

Establish a requirement to prepare a Joint Humanitarian Development Framework

iv. In each of the focus countries for building resilience to food crises the respective Services (DEVCO, ECHO and EEAS) should be required to conduct a JHDF exercise to establish the comparative advantage of, and synergies between, each Service in building resilience to food crises.

v. The existing guidelines for preparing a JHDF should be updated and improved in order to improve accountability for conducting these analyses and linking the timing to strategy development.

Establish clear and transparent linkages between these analytical processes and the EU Country Strategies

vi. Align the analysis and strategy development cycles so that both the analysis of the root causes of food insecurity and the JHDF immediately precede development of the CSP and NIP.

vii. Require the strategies of the respective Services (CSP, NIPs, HIPs) to make clear reference to how these analyses have impacted on strategic decisions – including the selection of focal sectors.

viii. Consider producing a comprehensive strategy for the EEAS, DEVCO and ECHO in all focal countries for building resilience to food crises. This would build on the model of the comprehensive approach documents already authored by the EEAS in selected countries. This should clarify the contributions of the different Services, considering mandate-based limitations.

Recommendation 3: Strengthen the monitoring, evaluation and learning of the EU contribution to building resilience to food crises.

This Recommendation draws on Conclusion 8 - the point that evidence on resilience outcomes at the programme and project levels remains limited and indicative. It also responds to the finding under EQ7 that learning efforts have been fragmented and somewhat *ad hoc.*

Based on the foregoing the following actions are proposed:

DEVCO, ECHO and EEAS should develop indicators and frameworks to monitor the process and outcomes of building resilience to food crises:

   i.   Develop an accountability framework – ideally within a joint country strategy (see recommendation 1.3.iii) – that defines monitoring indicators and reporting arrangements on actions by the three Services in implementing key elements of the approach.
   ii. DEVCO and EEAS should develop resilience markers to monitor progress in integrating resilience perspectives into relevant programming. This would draw on the model of the ECHO marker and experience to date in implementation. This marker should include explicit criteria for judging the extent to which development programmes are resilience-'sensitive'.
   iii. Guidelines should be prepared by the relevant technical units to identify common indicators of resilience outcomes for inclusion in relevant programmes, and which complement other established sectoral monitoring frameworks. This may include the use of qualitative measures of beneficiary perceptions in changes in resilience.

DEVCO, ECHO and EEAS should develop and implement a common learning strategy

   iv. DEVCO, ECHO and EEAS should jointly develop and implement an inter-Service learning strategy on building resilience to food crises at HQ level.
   v.   DEVCO should consider supporting research to establish the comparative effectiveness of different sectoral investments in resilience to food crises, including safety nets and social protection.

Recommendation 4: Improve inter-donor coordination, with specific attention to coordination between EU Member States, in building resilience to food crises.

This Recommendation draws on Conclusion 6 – that the EU has struggled to support multi-sectoral approaches to building resilience to food crises. Further attention is required on the selection of focal sectors of intervention and arrangements to ensure coordinated coverage across sectors between development partners.

Based on this the Commission and Member States should develop a coordinated approach to covering the priority sectors of intervention necessary to build resilience to food crises within the framework of the EU Joint Programming process. This coordination process should consider how best the expertise and resources across the EU can be integrated to provide a comprehensive multi-sector approach.