



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

**Final Report**  
**Volume II – Annexes**

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*Evaluation carried out on behalf of  
the European Commission*



*This report has been prepared by*



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*The opinions expressed in this document represent the authors' points of view  
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*Cover picture:  
EU Ethiopia (ECHO)*

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EUROPEAN COMMISSION

Directorate-General for Development and Cooperation — EuropeAid

EU Development Policy - Evaluation

*Terms of Reference*

**EU APPROACH to BUILDING RESILIENCE to WITHSTAND FOOD CRISES in  
AFRICAN DRYLANDS (SAHEL AND HORN OF AFRICA)**

**2007 - 2015**

*Thematic Evaluation*

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## **1 MANDATE AND OBJECTIVES**

Systematic and timely evaluation of its programmes, activities, instruments, legislation and non-spending activities is a priority<sup>1</sup> of the European Commission<sup>2</sup> in order to demonstrate accountability and to promote lesson learning to improve policy and practice.<sup>3</sup>

The evaluation of EU's approach to building resilience to withstand food crises in African Drylands (Sahel and Horn) is part of the 2015 evaluation programme approved by the Commissioners of External Action<sup>4</sup>.

The generic purpose of this evaluation is twofold :

- to provide the relevant external co-operation services of the European Union and the wider public with an overall independent assessment of this subject area
- to identify key lessons and to produce recommendations to improve current and inform future choices concerning EU's approach to building resilience to withstand food crises.

## **2 EVALUATION RATIONALE**

The size of the European Union's investment (EuropeAid – for long term development, and ECHO for humanitarian aid) in sustainable agriculture, food and nutrition security in the developing world (€7.7 billion 2007-2013 and €8.8 billion projected 2014 – 2020) and the high priority afforded to the portfolio within EU's overall development engagement, is the basis of the corporate interest to build its knowledge in this area, learn from its experience and use this learning to improve policy and practice. This is reflected in the current priority to evaluate EU's approach to resilience to withstand food crises.

The main focus of the evaluation is to assess the strategic application of the approach. This will involve assessment of :

- the evolution, and nature of the approach in the field of food and nutrition security and sustainable agriculture
- the relative strength of the EU's approach with regard to its internal sustainability, the change it can leverage, and in comparison to approaches used by others
- whether the approach is appropriately scoped, pitched and applied, and with what effect on country capacity and on people vulnerable to food crises. What has been achieved – both intended and unintended
- whether it is adaptable in changing contexts, or potentially whether it could be applied in other contexts.

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<sup>1</sup> EU Financial Regulation (art 27); Regulation (EC) No 1905/2000; Regulation (EC) No 1889/2006; Regulation (EC) No 1638/2006; Regulation (EC) No 1717/2006; Council Regulation (EC) No 215/2008.

<sup>2</sup> SEC(2007) 213 "Responding to Strategic Needs: Reinforcing the use of evaluation"

<sup>3</sup> COM (2011) 637 final "Increasing the impact of EU Development Policy: an Agenda for Change"

<sup>4</sup> European External Action Service, Development Co-operation, Humanitarian Aid

- the place and contribution of the approach in relation to EU's broader development policy, the Agenda for Change.

This evaluation will build on evidence generated by relevant, related evaluations – both those undertaken by EU (largely EuropeAid and ECHO), and those of others - which were undertaken during the period to be evaluated. Looking forward, this evaluation represents the first of a number of EU planned, strategic evaluations, which will take place between 2015-2017, to feed into a major evaluation of the broader area of resilience planned for 2018.

The **rationale for a geographic focus on the African Drylands – Sahel and Horn** - is because –

- this is an area prone to disasters – whether natural, or man-made - and where food and nutrition insecurity is chronic with frequent acute events.
- within the African Drylands, the Sahel and Horn are home to two major food security initiatives supported by the EU since 2012 and 2013 respectively. The running estimate for the investment in the region in this field for 2014 -2020 is €2,27 bn under 11th EDF alone. The development investment for the region in the period 2007-2013 was € 1,821 bn<sup>5</sup>.
- in addition, the region is increasingly a strategic priority for Europe, given its geographical proximity and its multiple and interlinked political and economic interests (eg migration, failed states, terrorism).

The **rationale for the choice of 2007 -2015 for the period to be covered** by the evaluation is to allow a perspective from the previous budgetary period 2007-2013, include the period in which the EU Food Facility was implemented, and to include the inception of the programme cycle 2014-2020. This overall period will enable a meaningful analysis of policy and strategy evolution.

### **3 EVALUATION USERS**

The primary users of the knowledge generated by this evaluation are the Director of sustainable development in EuropeAid, Director of policy in ECHO, Geo Directors for Horn and Sahel, wider Senior Management of EuropeAid and ECHO and EEAS, concerned EuropeAid thematic and Geo Units, ECHO policy Unit, EU Delegations and ECHO offices. Their immediate use of the evidence and information of the evaluation will be for adjusting practice in the Horn and Sahel, and in the longer term for informing any adjustments to policy.

The evaluation will also 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

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<sup>5</sup> EDF: € 1.311 m; DCI-FOOD: € 243 m; Food Facility : € 209 m; Others: € 58.7 m

## **4 BACKGROUND**

### **4.1 Context**

The effects of economic shocks in many parts of the world, rising and fluctuating food prices, demographic pressure, climate change, desertification, environmental degradation, pressure on natural resources, inappropriate land tenure systems, insufficient investment in agriculture, have resulted in greater exposure to risk, notably from natural hazards. The poorest households are the most vulnerable, and in many instances this vulnerability is compounded by political instability and conflict. In the case of food insecurity, despite some progress, nearly eight hundred million people world-wide are still suffering from hunger. The issue is particularly acute in drought-prone areas where most of the population depends directly on agriculture and pastoralism. Recent and recurrent food crises in the Sahel region and in the Horn of Africa, where, depending on statistics, about 90 million are undernourished and more than 35 million people are suffering from chronic and acute under-nutrition<sup>6</sup>, have underscored the need to work on a long-term and systematic approach to building the resilience of vulnerable countries and populations.

The EU is one of the world's largest humanitarian donors providing life-saving assistance to people affected by various crises. Over recent years the demands for such assistance have increased substantially – far outstripping the resources available. Such assistance is vital, but it is aimed mainly at coping with emergency situations and needs to be supplemented by support to populations at risk to withstand, cope with and adapt to repeated adverse events and long-term stress.

Building resilience is a long-term effort that needs to be firmly embedded in national policies and planning processes. It is a part of the development process. Genuinely sustainable development needs to tackle the underlying causes of recurrent crises rather than just their consequences. Working with vulnerable populations to build their resilience is also a fundamental part of poverty reduction which is the ultimate aim of EU development policy, as has been reaffirmed by the EU in the Agenda for Change (2011).

Enhancing resilience to withstand food crises requires a multi-dimensional approach. It needs to be built in to a range of different sectors and policies, in particular Food and Nutrition Security, sustainable agriculture, but also for example, Climate Change Adaptation, and Disaster Risk Reduction (DRR).

### **4.2 African context, and response and action**

The African response to food crises includes:

- a) Continental level response - through the framework given in Pillar 3 of the CAADP Comprehensive Africa Agriculture Development Programme (CAADP) which was endorsed at the African Union Heads of State Summit as a New Partnership for Africa's Development (NEPAD) programme in July 2003.
- b) Regional level response - in the Horn of Africa, the response is through IGAD's Drought Disaster Resilience and Sustainability Initiative (IDDRSI), the SHARE initiative of the

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<sup>6</sup> According to the IPC definition

EU and the Global Alliance initiatives and in West Africa, including the SAHEL region, the response is through the Network of Food Crises Prevention (RPCA) and Charter for Food Crisis Prevention and Management (PREGEC) that led to the creation of the AGIR alliance.

- c) National level response - through the national drought or disaster risk reduction framework put in place and/or the planning and intervention frameworks dealing with resilience and/or food security crises.

The effectiveness of each of these frameworks to respond to food security crises varies greatly. However, it is important to note that at continental level, the CAADP has enabled high level sensitisation from Head of States which in turn has provided the impetus for national and regional authorities to develop comprehensive resilience frameworks.

At regional level, besides maintaining a high level of mobilisation amongst the country leaders, some operating frameworks have been developed, e.g. a harmonization of the Early Warning Systems and the development of food and nutrition security monitoring frameworks. However, their development and the extent to which they are embedded in systems is very diverse across regions. Central and East African regional organisations have so far failed to promote a regional approach and cross border food security mechanisms. West Africa on the other hand, has developed a comprehensive analysis mechanism (Cadre Harmonisé) producing analyses accepted by all partners, including governments and national institutions, and some regional response tools to be triggered by the analysis mechanism are under development (e.g. the Regional Emergency Food Reserves). In the Horn of Africa, IGAD drought, disaster resilience and sustainability initiative (IDDRSI) provides a framework to work on early warning and monitoring, but progress is limited, despite application of the Integrated Phase Classification of Food Insecurity (IPC) methodology in many of the countries and despite work on resilience analysis at the regional level.

At national level, besides the formulation of Disaster Risk Reduction (DRR) frameworks, a number of food security and resilience national programmes and instruments have been developed to effectively respond to crises and to increase the preparedness of the most vulnerable communities/areas. Due to these frameworks, gains have been significant in structured co-ordination between emergency and development actors, between governments and development partners, government and private sectors partners and also between central and local government.

The effectiveness of the African response is also relative to the magnitude of the crisis. Where there is a severe crisis this does not only impact on the emergency response capacity but also at the level of the national economy. For example, the last severe food security crises between 2008 and 2011<sup>7</sup> in the Horn of Africa are estimated to have cost the economy of Kenya US\$12.1 billion which includes US\$805 million for the destruction of physical and durable assets and US\$11.3 billion for losses of economic flows across all sectors. (World Bank – European Union, Kenya Post-Disaster Needs Assessment (PDNA 2012)

In addition, over the period, Development Partners have also scaled up their food and nutrition security and natural disaster (mainly drought) resilience interventions and

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<sup>7</sup> Soaring food price, and drought respectively.

coordination. Those having resilience as a focal sector in the SAHEL and the Horn of Africa are :

Multilaterals: the United Nations agencies (United Nations Office for Disaster Risk Reduction (UNISDR), Food and Agriculture Organisation (FAO), International Fund for Agricultural Development (IFAD) United Nations Children's Fund (UNICEF), United Nations Development Plan (UNDP) and World Food Programme (WFP) the World Bank and the African Development Bank;

Bilaterals: e.g. German, French, US, Chinese and Japanese cooperation.

Donor mapping of engagement at the level of national resilience planning shows donor funding is focused more on "soft costs," contributing to better livelihoods, DDR, contingency management and institutional capacity building; while Government funding is focused on infrastructure cost.

### **4.3 EU Policy context**

The resilience Communication in 2012 marked a turning point in the formal relationship between ECHO and EuropeAid. Before that date, co-ordination between humanitarian and development interventions of the European Commission was based on individual and local sensitivities. The Communication, together with the EU Action Plan, created a formal institutional framework of co-ordination. This new institutional arrangement produced some notable examples of field collaboration, e.g. the RESET programme in Ethiopia and the AGIR alliance.

Although the framework for co-ordination is in place, actual co-ordination is not always easy. The reason for this is that the institutional mandates of ECHO and EuropeAid produce different field approaches. For example, the beneficiaries for ECHO are the most vulnerable segments of populations requiring immediate/short term assistance while EuropeAid mainly looks at 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, the climate change long-term effects etc.

Since 2006 there has been a fairly steady evolution in EU thinking about what approach to take on protracted and recurrent food crises. The EU has issued a number of related Communications and Discussion Papers which are directly or indirectly related to external aid in agriculture, food security and nutrition. In particular the 2007 COM (2007) 440 defined the priority areas of intervention for supporting African agriculture and, in 2010, the EU framed its food security policy around the four dimensions of food security which are internationally accepted<sup>8</sup> :

- Availability, which is linked to agricultural output
- Access, depending on market conditions and income of people
- Nutritional adequacy of food intake
- Stability over time, which is related to occurrence of food crises as a result of the temporary disruption on one or more of the previous dimensions

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<sup>8</sup> COM(2010)379



The 2011 drought in Somalia was a turning point in the evolution of resilience strategy, when the EU Commission felt the need to substantively review its approach to food crises in the Horn and Sahel. The EU recognized it needed a cost effective, long term approach which builds on country ownership and addresses the underlying causes of the problem, not just the consequences.

Note should be taken of the new, EU Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa, launched end 2015. This is often referred to simply as the EU emergency Trust Fund for Africa.

#### **4.4 EU understanding of ‘resilience’**

A formal EU approach to resilience has been in place since 2012. *The EU Approach to Resilience Communication, Plan of Action and Council Conclusions* should be used as the core definition/understanding of resilience for this evaluation i.e. resilience, in this context, is 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 subsequent Action Plan (June 2013) further defines the EU approach to resilience in terms of three key characteristics:

- i. **country ownership** - with the importance of aligning humanitarian and development aid to national resilience strategies and frameworks as a precondition for sustainable results;
- ii. **people centred** - where the resilience approach must bring sustainable benefits to the most vulnerable populations and households;
- iii. **ensuring coherence, complementarity, co-ordination, continuity** between humanitarian and development partners in order to achieve results.

In addition, the set of sectoral policies<sup>9</sup> which define the overall framework of the thematic focal sector Food and Nutrition and Sustainable Agriculture, has been translated into an EU approach to the sector, namely towards four main goals:

- i. maximising the agriculture’s contribution to economic growth and jobs creation;
- ii. promoting agricultural sustainability, including for livestock, fisheries, aquaculture and agroforestry;
- iii. reducing chronic malnutrition;
- iv. enhancing resilience to food crises.

In the Horn and Sahel parts of the African Drylands, the EU has recently given substantial support to two initiatives: Supporting Horn of African Resilience (SHARE) and l’Alliance Globale pour l’Initiative Résilience Sahel (AGIR). For the EU, these initiatives reflect a new approach to building the resilience of vulnerable populations.

## **5 SCOPE of the evaluation**

### **5.1 Geographic scope**

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<sup>9</sup> COM(2010)379, COM(2012)586, COM(2013)141, Discussion Paper (series) 153

The geographic scope of the evaluation covers the African Drylands in the Horn and the Sahel. This includes the following countries : Eritrea, Ethiopia, Djibouti, Somalia, Kenya, Uganda, Sudan, South Sudan, the ECOWAS Member States – Benin, Burkina Faso, Cape Verde, Cote d’Ivoire, The Gambia, Ghana, Guinea, Guinea-Bissau, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone, Togo, plus Chad and Mauritania. The *emphasis (but not to the exclusion of the other countries) for this evaluation* will be on the following countries : *Mali, Burkina Faso, Senegal and Niger, and Ethiopia, Kenya, Somalia, South-Sudan, Chad, and the regional organisations based in the Sahel and the Horn, and the international intergovernmental organisations based in Rome.*

## 5.2 Instruments and Modalities

The **core instruments** used for funding food and nutrition and sustainable agriculture in the relevant regions for the period 2007-2013 included:

- DCI – FOOD - € 243 million
- FOOD FACILITY - € 209 million
- EDF – focal sector component – € 1.311 million
- Others - € 58.7 million
- ECHO World Wide Decision (concerned geographical Humanitarian Implementation Plans (HIP) – yearly budget varying from one year to another.

for the **period 2014-2020** include:

- DCI – FOOD - EUR 1.42 billion (regional allocation not available)
- DCI – PANAF – EUR 80 million (regional allocation not available)
- EDF – focal sector component – EUR 2.27 billion allocated to relevant countries/regions out of the EUR 4.39 billion across the entire ACP countries.
- EU Emergency Trust Fund for Africa – EUR 1.8 billion (thematic allocation not available)
- ECHO HIPs for West Africa – around EUR 123 million in 2015
- ECHO HIP for the Horn of Africa – EUR 93 million in 2015
- ECHO HIP for Sudan and South Sudan – EUR 139 million in 2015

Food security is addressed through project/programme approach and budget support **modalities**, as well as through the support to partner countries in sector policy formulation.

ECHO assistance in the region is provided in terms of food assistance, nutrition, support to livelihoods, Disaster Risk Reduction is also a contribution to the EU resilience approach. ECHO assistance is funded through the Humanitarian Aid budget, and through European Development Funds when unforeseen needs arise. The allocation is annual. For instance the amount allocated to all concerned countries covered by the evaluation amounts to €355 million

## 5.3 Institutional Scope

With reference to the EU institutional landscape, the focus of this evaluation is on EuropeAid, ECHO and EEAS engagements in this area.

### 5.3.1 EuropeAid and ECHO -

Co-ordination between ECHO and EuropeAid ensures close interaction between the financial instruments mentioned (in 5.2 above) and ECHO funding. This relationship and interaction between EuropeAid and ECHO both at programme, and at strategic level is of particular interest and will be examined as part of this evaluation. Of particular interest will be where

ECHO and EuropeAid have mutually re-inforced each other, and where synergies between LRRD and development actions are evident. Note that interventions of the European Investment Bank (EIB) are beyond the scope of this evaluation

**5.3.2 EuropeAid, ECHO and EEAS** - The contractors should take into account that during the period to be evaluated there were considerable changes in the European Union's institutional arrangements – particularly in 2011 with the creation of the European External Action Service (EEAS). The interaction between EU humanitarian and long term development co-operation in the focus area of this evaluation and EU political dialogue, led by EEAS in the region, is an important dimension which will be subject to focused analysis in this evaluation.

## **5.4 Temporal scope**

The evaluation covers the period 2007 – 2015

## **5.5 Thematic scope**

**5.5.1** The evaluation covers the portfolio of food and nutrition security and sustainable agriculture.

The evaluation will assess how resilience relevant actions/interventions are integrated into an overall comprehensive strategy to enhance the four<sup>10</sup> key aspects of food and nutrition security, and how these actions are increasing the resilience of people and communities vulnerable to food crises.

Given building resilience is an approach which requires wide-ranging multi-sectoral interventions, the contractors should note that the scope of this evaluation will focus on food and nutrition security and sustainable agriculture. However, the evaluation will take into account that these actions are located within a wider sectoral context relevant to the above focus (e.g. sectors with interventions contributing to enhancing climate change, water, health, education)

**5.5.2** The evaluation will also provide an assessment of whether and to what extent resilience to food crises has been pertinently addressed through the actions funded; these actions include the recent major initiatives - AGIR and SHARE.

**5.5.3** The nature and strength of EU's partnerships with others are important, and in particular the nature of the relationships between EuropeAid, ECHO and EEAS (see 5.3 above), for the delivery of this agenda.

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<sup>10</sup> Availability, which is linked to agricultural output

Access, depending on market conditions and income of people

Nutritional adequacy of food intake

Stability over time, which is related to occurrence of food crises as a result of the temporary disruption on one or more of the previous dimensions

5.5.4 The extent to which the approach includes key cross-cutting issues, in particular gender equity, good governance, human rights is also to be assessed in the context of building resilience.

5.5.5 A number of in-depth studies should be undertaken to illuminate and inform the evaluation. These should be carefully chosen during inception in conjunction with the ISG, and clearly justified. These may include –

- Analysis of the evolution of the EU resilience approach over the period, and its application in different country cases, for example Ethiopia with the RESET programme;
- Analysis of strengths and weaknesses of EuropeAid and ECHO engagement on resilience – both at the conceptual level and operationally on the ground;
- Analysis of strengths and weaknesses of EU and EEAS engagement on resilience – both at conceptual level and operationally on the ground;
- Analysis of level of ownership of resilience approach within Governments and local partners in Sahel and in Horn;
- Analysis of strengths and weakness of technical and financial partner co-ordination on building resilience;
- What can we learn from the experience so far on how to measure resilience, and resilience sensitivity in our interventions?

5.5.6 The evaluation will use the assessment criteria established by the OECD-DAC – relevance, effectiveness, efficiency, sustainability and impact, plus the EU criteria of added value of the EU involvement in relation to the EU Member States, coherence of the approach with other EU policies, co-ordination with other MS and donors, and complementarity of the approach with other donors and actors in the field,

5.5.7 The following is a *preliminary* set of evaluation questions and sub-questions to be addressed. These questions will be refined during the inception stage through discussion with all parties.

### **Relevance**

1. What ‘driving influences’ have affected the institutional development pathway and its relative priority in the development agenda, of EU’s current approach to building resilience to withstand food crises during the period?
  - What are the different approaches to building resilience to food crises which the EU has used during the period, and in what ways have they shifted in nature?
  - To what extent were these different approaches adapted to their respective contexts?
2. 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 Horn to enable governments and populations to withstand food crises?
  - Is the approach appropriately pitched? i.e. appropriate level, to the appropriate partners, to meet the needs of the appropriate people.
  - Is it appropriately scoped (conceptually and operationally? Have underlying causes of food insecurity been addressed through the approach?)

- Is the approach aligned with Government/regional priorities?
- To what extent is the approach coherently applied across the different regions and countries and tailored to specific contexts?
- What are the necessary conditions for the approach to building resilience, to enable it to deliver benefits in both humanitarian, short term engagements and long term development contexts?
  - To what extent have EuropeAid and ECHO managed to ensure positive synergies through their interactions? To what extent has action been linked to EEAS political dialogue?

### **Effectiveness**

3. To what extent has the approach delivered against the Agenda for Change? With respect to:
  - its reach, and results delivered (the programme and initiative (AGIR, SHARE) results over the period; the process involved, partnerships and progress in political and policy dialogue)
  - the design of interventions – do they adequately reflect the approach?
  - what we can concretely learn about designing for and measuring resilience capacity?
  
4. To what extent was the mix of delivery mechanisms, including budget support, adequate and complementary?
  - To what extent does the budget support instrument fit with the concept of resilience, since resilience is not a sector, but an objective?
  - Were synergies achieved between budget support, project approach and other instruments? What is the value added of individual modalities?
  - Was the sector wide context and policy adequately analysed in the design of budget support operations? To what extent were effects of food crisis and of resilience approaches and policies on the macroeconomic and fiscal framework taken into account?
  - How was policy dialogue organised and were there differences according to delivery mechanisms? How could policy dialogue be improved?
  
5. To what extent does the EU approach add value and complement efforts already being undertaken on resilience to withstand food crises?
 

(Efforts by Governments, regional institutions, donors – e.g. Member States, international organisations such as WFP, FAO, UNICEF - other actors) Do any of these add a particular value to the EU approach – especially Member States?

  - Is the approach coherent with other EU policies?
  - To what extent is the approach co-ordinated amongst donors, amongst national governments amongst all players?
  
6. To what extent has the EU approach been visible and catalytic?
  - Is the resilience approach known across EuropeAid and ECHO? Is it embedded in EuropeAid and ECHO processes and procedures, including learning systems?

- To what extent has the EU approach managed to move forward the regional resilience agenda conveying additional resources towards the same strategic objectives?

### **Efficiency**

7. To what extent has the approach to building resilience to withstand food crises been delivered with a view to cost effectiveness for all parties, including pooling efforts where appropriate, and including the EuropeAid-ECHO interaction/way of working together? What inefficiencies could be eliminated?

### **Sustainability**

8. To what extent is the approach embedded in commitments, processes and procedures in the concerned regional organisations and countries?
  - To what extent is the approach replicable in changing contexts in the areas where it is now, and in other contexts? and under what conditions?

### **Impact**

9. To what extent have the EU resilience policy, the approach, and its initiatives on the ground, particularly the parts related to food crises, influenced key stakeholders and key beneficiaries (e.g. in terms of their policy, priorities, budget allocation, practice),
  - To what extent are demonstration effect and communication about the approach and implementation used to leverage greater impact?

## **6 RESPONSIBILITY FOR THE MANAGEMENT OF THE EVALUATION**

The EuropeAid Evaluation Unit is responsible for the management and the supervision of the evaluation. This is a joint evaluation between EuropeAid and ECHO.

The progress of the evaluation will be followed closely by an InterService Group consisting of representatives of all concerned services in the Commission and EEAS. The principal functions of the ISG will be to:

- ensure the evaluation team has access to and consults all information sources and documentation on activities undertaken;
- discuss and provide comments on draft reports produced by the evaluation team during meetings in Brussels;
- discuss and comment on the quality of work done by the evaluation team;
- provide feedback on the findings, conclusions and recommendations of the evaluation.

The ISG members communicate with the evaluation team via the Evaluation manager.

### **Evaluation team participation in meetings**

**All** meetings with the ISG will be attended by at least the team leader and one sectoral expert member of the evaluation team. Other experts will be available by phone.

However, for the initial, substantial Briefing Meeting, the team leader will bring further members of the team.

## **7 PROCESS AND DELIVERABLES**

The overall technical guidance is available on the web page of the DG DEVCO Evaluation Unit under the following address: [http://capacity4dev.ec.europa.eu/evaluation\\_guidelines/](http://capacity4dev.ec.europa.eu/evaluation_guidelines/)

The Better Regulation Guidelines and toolbox are available at [https://myintracomm.ec.europa.eu/sg/better\\_regulation/Pages/roadmaps.aspx](https://myintracomm.ec.europa.eu/sg/better_regulation/Pages/roadmaps.aspx) The Roadmap for this evaluation is already published.

The basic approach to the assignment consists of three **main phases**, which encompasses several stages. **Deliverables** in the form of reports<sup>11</sup> and slide presentations should be submitted at the end of the corresponding stages.

The table below summaries these phases:

<b><i>Evaluation phases:</i></b>	<b><i>Stages:</i></b>	<b><i>Deliverables<sup>12</sup>:</i></b>
1. <u>Desk Phase</u>	<ul style="list-style-type: none"> <li>• Inception: Structuring of the evaluation</li> </ul>	<ul style="list-style-type: none"> <li>➤ Slide presentation</li> <li>➤ Inception Report (<i>electronic format only</i>)</li> </ul>
	<ul style="list-style-type: none"> <li>• Data collection</li> <li>• Analysis</li> </ul>	<ul style="list-style-type: none"> <li>➤ Desk Report (<i>electronic format only</i>)</li> </ul>
2. <u>Field Phase</u>	<ul style="list-style-type: none"> <li>• Data collection</li> <li>• Verification of the hypotheses</li> </ul>	<ul style="list-style-type: none"> <li>➤ Slide presentation</li> <li>➤ Case Study Notes (<i>electronic format only</i>)</li> </ul>
3. <u>Synthesis Phase</u>	<ul style="list-style-type: none"> <li>• Analysis</li> <li>• Judgements</li> </ul>	<ul style="list-style-type: none"> <li>➤ Draft Final Report (<i>electronic format</i>)</li> <li>➤ Slide presentation adapted</li> <li>➤ Final Report (<i>electronic format and hard copy</i>)</li> <li>➤ Executive Summaries (<i>2 pages and 4 pages</i>) (<i>electronic format and hard copy</i>)</li> </ul>

<sup>11</sup> For each Report a draft version is to be presented. For all reports, the contractor may either accept or reject through a response sheet the comments provided by the Evaluation manager. In case of rejection, the contractor must justify (in writing) the reasons for rejection. When the comment is accepted, a reference to the text in the report (where the relevant change has been made) should be included in the response sheet.

<sup>12</sup> The contractors must provide, whenever requested and in any case at the end of the evaluation, the list of all documents reviewed, data collected and databases built.

<i>Evaluation phases:</i>	<i>Stages:</i>	<i>Deliverables<sup>12</sup>:</i>
		➤ Slide presentation (dissemination seminar)

**All reports** will be submitted in English. The English and French summaries (ie the 5 page version, see below) will also be included in the Report. *All reports will be presented in Arial or Times New Roman minimum 11 and 12 respectively, single spacing.*

**Executive summaries** will be provided in English and in French. There will be two versions of the executive summary (1) up to 2 pages (2) up to 5 pages. The four executive summaries should be stand-alone documents, and they should each be provided separately in electronic form. *A reader-friendly style should be applied, covering the full picture of the evaluation. Any technical terminology and jargon should either be adapted or explained.*

**Cover page** The contractor should deliver the single cover page photo<sup>13</sup> separately, in electronic form. *This must be approved by the Evaluation Manager before print.*

**Formats** The electronic versions of all documents need to be delivered in both Word and PDF formats (i.e. editable and non- editable format.)

## **7.1 THE DESK PHASE**

The Desk phase comprises two components: Inception, which focuses on the overall design of the evaluation, and Desk Review which moves the evaluation process towards preliminary findings.

### **Briefing in Brussels**

The Desk phase will start with a 3-4 day Briefing for the Team Leader and the key experts in the team. The purpose of the Briefing is for the team to meet the Evaluation Manager and ISG members, to discuss the objectives of the evaluation, what is to be evaluated and to make sure that the consultants have a good understanding of expectations of the exercise. The meetings will also include substantive discussion and exchange on the outline intervention logic, key sub-intervention logics, and evaluation questions included in the ToR, with a view to further refining them. Initial meetings on subject matter will be held with key internal stakeholders.

#### **7.1.1 Inception Report**

The purpose of the inception stage and ultimately the inception report is for the evaluation team to demonstrate a sound understanding of what is to be evaluated, and how the team proposes to undertake the work to deliver a robust evaluation product. The Inception Report

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<sup>13</sup> free of any copyright, free of change



needs to provide the confidence that the design of the evaluation will deliver the required focus, evidence and quality. The Inception Report should be no longer than 30 pages. (Additional annexes may be used if deemed necessary)

As a minimum, the Inception Report should contain the following elements –

- An analysis of the context, and definition of building resilience to withstand food crises (EU policy and programme priorities, international development and co-operation priorities, Horn and Sahel institutional, political, economic and social).
- A concise analysis of the wider context of EU co-operation with the regions, countries, regional organisations concerned.
- Refined intervention logic (IL) of the EU approach to building resilience to withstand food crises from the draft IL included in this ToR. This should include both a narrative and a diagram which captures key aspects. Key sub-intervention logics should be developed and presented.
- An inventory of the relevant spending and non-spending activities financed by ECHO, EuropeAid
- A breakdown of spending of other donors in the same area of work, spending by Governments, and regional organisations, and any other key players.
- Refined evaluation questions,<sup>14</sup> judgement criteria and indicators for each criterion. The aim is to ensure a solid evaluation matrix to provide a rigorous evidence base with which to respond to the evaluation questions.
- A proposal for the evaluation design - outlining
  - the information/data to be collected, and critically its sources and availability
  - how the intervention logic(s) will be used as part of the evaluation method
  - how the data/information to be collected is linked each question
  - the proposed method for collecting the data, and methods of analysis for each question should be clearly described. It should also be explained why the respective methods have been chosen. Any limitations must be clearly identified.
- A list of activities/key organisations to be specifically examined in the Field phase, with justification for each.
- A detailed work plan for the separate phases of the evaluation within an overall calendar for the whole evaluation.
- Details of the quality assurance process which will be applied throughout the evaluation

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<sup>14</sup> upon validation by the Evaluation Unit, the evaluation questions become contractually binding

If necessary, the Inception Report will also suggest modifications to the composition of the evaluation team and/or to the original work plan and schedule.

### **ISG Meeting on the Inception Report**

A meeting will be held with the ISG in Brussels, to present (*slide presentation*) the key aspects of the Inception Report, including the evaluation design, intervention logic(s) and the evaluation questions.

The draft Inception Report will be promptly revised to take into account any comments from the ISG, and the Final Inception Report will be delivered.

***NOTA BENE : The timely reception of a concise, robust Inception Report is considered a critical step in the evaluation process. The contractor is strongly advised to ensure enough resources are available early in the contract to be able to deliver.***

### **7.1.2 Desk Report**

Upon approval of the Inception Report, the contractor will proceed to prepare and present a **Desk Report**. The purpose of the Desk Report is to fine tune **as necessary** the approach/methods, and substantially to offer a first analysis and elements of response to the evaluation questions. The Desk Report should provide confidence that the contractors have a sound analysis, and the evaluation is progressing appropriately. The Desk Report should be no longer than 40 pages. Additional annexes may be used, if deemed necessary

The Desk Report should include at least the following elements:

- a first analysis and first elements of response to each evaluation question including the key hypotheses and assumptions to be tested in the field phase;
- identification of the emerging **key** issues, and a draft story line of the evaluation
- update on progress in gathering data. The remaining data required for analysis and for data collection during the field mission must be identified;
- further detail on evaluation approach/methods to be used, as appropriate
- methodological design for the field phase, including, data collection tools to be applied, and appropriate methods to analyse the information, indicating any limitations; provision of examples to demonstrate how conclusions reached (demonstrating rigour of analysis)
- a detailed work plan for the field phase: a list with brief descriptions of interventions/activities for in-depth analysis in the field. The Evaluators must explain the rationale for the selection and the value added of the planned visits.

The contractor will present (slides presentation) and discuss the Desk Report with the ISG in a half-day meeting in Brussels. The Desk Report will be finalised on the basis of the comments received.

The Field mission can only go ahead after authorisation from the Evaluation Manager.

## **7.2 Field Phase**

The fieldwork shall be undertaken on the basis set out and approved in the Desk Report. The work plan and schedule of the mission will be agreed in advance (*in principle at least three weeks before the mission starts*)<sup>15</sup>. It is envisaged that the evaluation will involve two multi-country visits – one to the Horn and one to West Africa. At the conclusion of the field mission the contractor will make a slide presentation on the preliminary findings of the evaluation to :

- (i) the appropriate EU Delegation(s) and ECHO Offices, during a de-briefing meeting in-country;
- (ii) the ISG in Brussels [approx. half-day].

### **7.3 Synthesis and Dissemination Phases**

#### **7.3.1 The Draft Final Report**

The contractor will submit the *Draft Final Report* as per the structure set out in annex 2. Please note the main report should aim to be **50 pages**, and in no circumstances should it be longer than 70 pages.

The *Draft Final Report* will be discussed with the ISG and a broader interested audience in Brussels. ISG members will send their comments to the Evaluation Manager who will send consolidated comments to the contractor. The contractor will make appropriate modifications and submit the finalised Draft Final Report.

#### **7.3.2 The Final Report**

The contractor will prepare the *Final Report*, taking into account publication sensitivities.

The Final Report must be approved by the Evaluation Manager before it is printed, including attention to the cover page. The Report will contain both the English and French 5 page summaries. The offer will be based on *50 hard copies of the Final main report in English and 2 hard copies with annexes*. The Evaluation Manager will indicate in due time exactly how many copies are to be sent to the DEVCO Evaluation Unit and how many to be delivered at the place of the Dissemination Seminar.

A non-editable version on USB Stick support shall be added to each printed Final main report, including the 5 page summaries in French and English.

50 hard copies each of the four separate summaries - 2 page summary, and the 5 page summary will be submitted in English and French

The Evaluation Unit will make a formal assessment on the quality of the evaluation to be sent to the contractor.

#### **7.3.3 Dissemination Seminars**

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<sup>15</sup> If it appears necessary to substantially deviate from the agreed fieldwork approach and/or schedule, (duration, number of experts, category etc.), the contractor must obtain the approval of the Evaluation Manager before any changes can be applied. The related eligible costs will be revised accordingly.

The approved Final Report will be presented at a Dissemination Seminar in **Brussels** using a slide presentation. The purpose of this seminar is to present the results, the conclusions and the recommendations of the evaluation to all the main stakeholders (EU Member States, partner countries' representatives, civil society organisations, European institutions and other donors, etc.). These slide presentations are considered a product of the evaluation.

For the seminar, 100 hard copies of the report and 100 copies of the 5 page executive summary (see Annex 2 of the ToRs) should be produced and delivered (a) to the DEVCO Evaluation Unit and (b) to the place of the seminar (the exact number of reports per destination and delivery date will be specified by the Evaluation Manager).

The seminar logistics (room rental, catering etc.) costs are **not** to be included in the offer. However, the costs related to the presence of the experts (travel cost, per diem etc.) must be covered by the offer<sup>16</sup>.

## **8 THE EVALUATION TEAM**

### **8.1 The evaluation team is expected to demonstrate :**

- **Significant experience and expertise in political economy of the Sahel and Horn regions, in particular in relation to food and nutrition security, food crises, agriculture, the humanitarian-development nexus and the security-development nexus;**
- **Experience and expertise in evaluation methods and techniques in general, and in particular, rigorous methods for measuring change in complex contexts and over time, and measuring contribution;**
- Experience and expertise in evaluation in the field of external relations and development cooperation is highly desirable;
- **the Team Leader should have excellent, team co-ordination, communication, presentation and report writing skills in English;**
- Familiarity with the EU co-operation delivery systems would be an advantage. ([http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm));
- **Sound understanding of and experience with budget support operations and policies, in particular at sector level;**
- previous relevant experience in the Sahel and the Horn of Africa will be an advantage;
- coverage of the following fields: **food and nutrition security; sustainable agriculture, agricultural risk management, disaster preparedness, linking relief rehabilitation and development, gender, post conflict reconstruction, governance;**

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<sup>16</sup> Other seminars and/or dissemination activities may be requested by the Contracting authority. In case of financial implications on the total contractual amount, such request (requests) will be formalised via a rider.

## **development of the concept of resilience and its evolution in international development**

- **ability to function to a high standard** (spoken and written form) in the following languages : **English and French.**

The key skills required are indicated **in bold**<sup>17</sup>.

### **8.2 Further technical details**

The Team Leader must be a senior category expert, and will have at least three references as a team leader for multi-disciplinary evaluation teams.

The team composition should be justified on the offer, *clearly identifying and linking the particular expertise and experience an expert has to contribute to the requirements.* The team coordination and members' complementarity should be clearly described. A breakdown of number of working days per expert must be provided.

The team members must be independent from the programmes/projects/policies evaluated<sup>18</sup>.

**NB** Excellent spoken, written and editing skills are important. The contractor remains fully responsible for the quality of the report. The contractor will need to ensure proof reading and any copy editing, before submitting each report to the EU for comment. Any report which does not meet the required standards will be rejected.

### **8.3 Further contractual details**

During the offers evaluation process, the contracting authority reserves the right to interview by phone one or several members of the evaluation teams proposed.

The Framework Contractor must make available appropriate logistical support for the experts, including their travel and accommodation arrangements for each assignment, the secretarial support, appropriate software and communication means. The experts will be equipped with the standard equipment, such as an individual laptop, computer, mobile phones, etc. No additional cost for these items may be included in the offer.

## **9 TIMING**

The evaluation may commence at any point between mid-January 2016 and end April 2016. This is to allow for availability of strong candidates. **Nota Bene** that the duration of this evaluation is 12 months to point of approval of Final Report, and 15 months in total to allow for translation, printing and dissemination seminar. *It is therefore expected that the evaluation team will have substantive time availability at key stages within this contract period, to ensure that this time-frame can be met*<sup>19</sup>.

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<sup>17</sup> In their absence, the 80 points threshold may not be reached

<sup>18</sup> Should a conflict of interest be identified in the course of the evaluation, it should be immediately reported to the Evaluation Manager for further analysis and appropriate measures.

<sup>19</sup> As part of the technical offer, the framework contractor must fill-in the timetable in the Annex 4. This table will include, "day/week 1", rather than a precise date.

## **10 OFFER FOR THE ASSIGNMENT**

The financial offer will be itemised to allow the verification of the fees compliance with the Framework contract terms as well as, for items under (h) to (k) of the contractual price breakdown model, whether the prices quoted correspond to the market prices. In particular, the local travel costs will be detailed and if necessary, justified in an Explanatory note. The per diems will be based on the EU per diem in force when the Request for Services is launched. Consult the latest update on this link [https://ec.europa.eu/europeaid/funding/about-calls-tender/procedures-and-practical-guide-prag/diems\\_en](https://ec.europa.eu/europeaid/funding/about-calls-tender/procedures-and-practical-guide-prag/diems_en)

The total length of sections 2, 3 and 4 of the technical offer (Framework contract, Annexe 1, section 10.3. b) may not exceed 15 pages, a CV may not exceed 4 pages. References and data relevant to the assignment must be highlighted in bold (font minimum Times New Roman 12 or Arial, 11)<sup>20</sup>.

Should it appear subsequently that an activity envisaged in the methodology is impossible or inappropriate to be carried out due to force majeure or other reasons in the interest of the assignment, the change to the methodology as well as its financial impact must first be agreed by the Evaluation Manager.

## **11 TECHNICAL OFFERS EVALUATION CRITERIA**

The offers must contain as minimum all items referred to in the Annex 1, art. 10.3.b. of the Framework contract.

The offers evaluation criteria and their respective weights are:

	<b>Maximum</b>
<b>Total score for Organisation and methodology</b>	
Understanding of ToR	10
Organization of tasks including timing	10
Evaluation approach, working method, analysis	25
Quality control mechanism	5
<b>Sub Total</b>	<b>50</b>

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<sup>20</sup> Should the offer contain quotations, these sections must be clearly identified and sources indicated.

The evaluation approach and methods submitted shall not contain terms such as "if time allows", "if the budget allows", "if the data are available" etc.

<b>Experts/ Expertise</b>	
Team leader	20
Other experts	30
<b>Sub Total</b>	<b>50</b>
<b>Overall total score</b>	<b>100</b>

In the absence of key requirements in bold above, the 80 points threshold of the selection process may not be reached

The offer will follow the guidance set out in the Framework contract. The following additional information is also provided. The offer should **demonstrate (ie not simply state)** :

(i) A clear understanding of the overall scope of what is to be evaluated, **in your own words**, and its key implications for your offer

(ii) The **relevance** of the particular skills and experience of the proposed team for the evaluation

(iii) The evaluation approach -

- Stakeholder engagement – identify the ways in which you propose to consult with stakeholders over the course of the evaluation
- Methodological aspects – outline of the evaluation design, and analytical methods and data collection methods proposed and justified. Particular attention should be given to how you propose to measure change over the period (provide examples of particular changes you will measure), and (2) how you propose to measure contribution (3) how you propose to use the field phase

(iv) Organisation

- Set out the schedule for the evaluation **NB** A period of *max* 10 weeks from start to delivery of draft inception report is sought
- Separately, clearly identify the aspects of quality control you will provide, and when

## **12 SECURITY PROVISIONS**

Regarding field phase - given the prevailing security conditions in parts of the Sahel and Horn, the contractor should take out an insurance policy to cover the risks of war, terrorism, insurrection, civil unrest and similar circumstances. The contractor is advised to take appropriate measures to cover the costs of repatriation of its employees on security grounds. Extraordinary costs due to potentially higher security requirements whilst in the region are included in the request. The security measures should be clearly described and costs introduced under incidental/reimbursable costs.

## **13 ANNEXES**

The contracting authority reserves the right to modify the annexes without prior notice.

## ANNEXES

### ANNEX 1: INDICATIVE DOCUMENTATION TO BE CONSULTED FOR THE PURPOSE OF THE EVALUATION BY THE SELECTED CONTRACTOR

#### General documentation

- Communications of the European Union; and
- Various regulations.

These include -

- Thematic strategy for Food Security (Communication, 2006)<sup>21</sup>;
- European Consensus on Development (Communication, 2006)<sup>22</sup>;
- Advancing African Agriculture (Communication, 2007)<sup>23</sup>;
- European Consensus on Humanitarian aid (Joint Council Declaration, 2007)
- Humanitarian Food Assistance (Communication, 2010)<sup>24</sup>;
- Increasing the impact of EU Development Policy: an Agenda for Change (Communication 2011)<sup>25</sup>;
- An EU policy framework to assist developing countries in addressing food security challenges (Communication 2010<sup>26</sup>, Council Conclusions 2013);
- *The EU Approach to Resilience : Learning from Food Security Crises (Communication, 2012, Council Conclusions and Plan of Actions 2013)*<sup>27</sup>;
- Enhancing Maternal and Child Nutrition in External Assistance (Communication, Council Conclusion and Action Plan 2013)<sup>28</sup>;
- EU Policy Coherence for Food Security, Aligning Parallel Agendas (Discussion Paper, 2013)<sup>29</sup>;

#### Country/Region

- CRIS<sup>30</sup> (information on the projects), ROM<sup>31</sup> and other databases concerning the financed projects, engagements, payments, etc.;
- EU Cooperation strategies 2007 - 2015;
- ECHO Humanitarian Implementation Plans 2007 - 2015
- Conclusions of the Mid-term and End-of-Term Reviews 2007 - 2015;

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<sup>21</sup> COM(2006)21

<sup>22</sup> 2006/C 46/01

<sup>23</sup> COM(2007)440

<sup>24</sup> COM(2010)126

<sup>25</sup> COM(2011)637

<sup>26</sup> COM(2010)379

<sup>27</sup> COM(2012)586. In 2012 the European Court of Auditors issued a Special Report on the effectiveness of European Union Development Aid for Food Security in Sub-Saharan Africa, promoting the adoption of the resilience communication in the same year

<sup>28</sup> COM(2013)141

<sup>29</sup> Discussion Paper (series) 153

<sup>30</sup> Common RELEX Information System

<sup>31</sup> Results Oriented Monitoring



- Key government planning and policy documents 2007-2015;
- Projects evaluation reports eg projects under the EU Food Facility budget line ;
- AGIR Country Resilience Priority papers of Niger, Burkina Faso, Togo, Chad and Mali. CRP of Senegal, Mauritania and Nigeria are still draft documents.
- IGAD/IDDRISI strategy years ?
- Specific Country Programming Papers for the countries of key emphasis in the evaluation
- Relevant documentation provided by the local authorities and other local partners, etc.;
- Other donors and OECD/DAC documentation.

### **Other strategic evaluations**

- The EU Food Facility evaluation (2012)
- Evaluation of the Use of Different Transfer Modalities in ECHO Humanitarian Aid Actions 2011-2014 – under finalisation
- Evaluation of the ECHO’s interventions in the Sahel 2010-2014 – under finalisation
- Gender 2007–2013
- Environment 2007-2013
- Evaluation of the Use of Different Transfer Modalities in ECHO Humanitarian Aid Actions 2011-2014
- ECHO Sahel Strategy evaluation available end of 2015

The following will be provided to the selected contractor:

- Access to the information contained in the ROM system for an evaluation;
- Template for the Final Report cover page.

## ANNEX 2: OVERALL STRUCTURE OF THE FINAL REPORT

The overall layout of the **Final Report** is:

- A main summary maximum 5 pages (1);
- Shorter summary maximum 2 pages
- Context of the evaluation and methodology;
- Evaluation questions and their responses (findings);
- Conclusions (2); and
- Recommendations (3).

**Length:** the **final main report should aim to be 50 pages, and may not exceed 70 pages** excluding summaries and annexes. Each annexe must be referenced in the main text. Additional information regarding the context, the activities and the comprehensive aspects of the methodology, including the analysis, must be put in the annexes.

**The evaluation matrix** must be included in the annexes. This must summarise the important responses at indicator/ judgement criteria level. Each response must be clearly linked to the supporting evidence. The matrix must also include an assessment of the quality of evidence for each significant finding.

The contractor should present a specific approach for assessing the quality of evidence. Below is an example

### **(1) A main summary (maximum 5 pages)**

The summary of the evaluation report may not exceed 5 pages (3.000 words). It should be structured as follows:

- a) 1 paragraph explaining the objectives and the challenges of the evaluation;
- b) 1 paragraph explaining the context in which the evaluation takes place;
- c) 1 paragraph referring to the methodology followed, spelling out the main tools used (data on the number of projects visited, number of interviews completed, number of questionnaires sent, number of focus groups conducted, etc.);
- d) The key findings
- e) A limited number of main conclusions, deriving from the findings, should be listed and classified in order of importance; and
- f) A limited number of main recommendations should be listed according to their importance and priority. The recommendations should derive from the main conclusions.

### **(2) Short summary (max 2 pages)**

This should be a shortened version of the above

The sections on conclusions and recommendations should be drafted taking the following issues into consideration:

### **(3) Conclusions**

- The conclusions should be grouped in clusters which deal with related issues.
- The general conclusions related to sectoral and transversal issues and the overarching conclusion(s) (for example on poverty reduction).
- Specific conclusions on each financial instrument indicated in the ToR section "3.1.1. Legal scope". These conclusions will focus on effectiveness, efficiency, added value, complementarity and synergies with other financial instruments.
- The chapter on conclusions must include lessons learnt, both positive and negative.

### **(4) Recommendations**

- Recommendations should be substantiated by the conclusions.
- Recommendations have to be grouped in clusters (groups) and presented in order of importance and priority within these clusters.
- Recommendations must be realistic and operational.
- The possible conditions of implementation (who? when? how?) have to be specified and key steps/action points should be detailed when possible.

### **Annexes (non-exhaustive)**

- National background;
- Methodological approach;
- Evaluation matrix;
- Monograph, case studies;
- List of documents consulted;
- Consultation strategy – including approach, people interviewed – name and organisation; institutions and persons met
- Results of the focus group, expert panel etc.;
- Slide presentations in the country/regional seminar and the seminar minutes;
- All data bases constructed for the purpose of the evaluation.

### **EDITING**

The Final Report must:

- be consistent, concise and clear – this may require copy editing
- be well balanced between evidenced argument, tables and graphs;
- be free of linguistic errors – this requires proof reading;

- include a table of contents indicating the page number of all the chapters listed therein, a list of annexes (whose page numbering should follow on from that in the report) and a complete list in alphabetical order of any abbreviations in the text;
  - contain a summary of maximum 5 pages, and a separate 2 page summary each in both English and French
  - be typed in single spacing and printed double sided, in A4 format.
- The presentation must be well spaced (the use of graphs, tables and small paragraphs is strongly recommended). The graphs must be clear (shades of grey produce better contrasts on a black and white printout).
  - Reports must be glued or stapled; plastic spirals are not acceptable.
  - The contractor is responsible for the quality of translations and to see that they truly reflect the original text.

ANNEX 3 :QUALITY ASSESSMENT GRID (Under revision)

Concerning these criteria, the evaluation report is:	Unacceptable	Poor	Satisfactor y	Good	Ver y good	Excell ent
<b>1. Meeting needs:</b> Does the evaluation adequately address the information needs of the commissioning body and fit the terms of reference?						
<b>2. Relevant scope:</b> Is the rationale of the policy examined and its set of outputs, results and outcomes/impacts examined fully, including both intended and unexpected policy interactions and consequences?						
<b>3. Defensible design:</b> Is the evaluation design appropriate and adequate to ensure that the full set of findings, along with methodological limitations, is made accessible for answering the main evaluation questions?						
<b>4. Reliable data:</b> To what extent are the primary and secondary data selected adequate? Are they sufficiently reliable for their intended use?						
<b>5. Sound data analysis:</b> Is quantitative information appropriately and systematically analysed according to the state of the art so that evaluation questions are answered in a valid way?						
<b>6. Credible findings:</b> Do findings follow logically from, and are they justified by, the data analysis and interpretations based on carefully described assumptions and rationale?						
<b>7. Validity of the conclusions:</b> Does the report provide clear conclusions? Are conclusions based on credible results?						
<b>8. Usefulness of the recommendations:</b> Are recommendations fair, unbiased by personnel or shareholders' views, and sufficiently detailed to be operationally applicable?						
<b>9. Clearly reported:</b> Does the report clearly describe the policy being evaluated, including its context and purpose, together with the procedures and findings of the evaluation, so that information provided can easily be understood?						
<b>Taking into account the contextual constraints on the evaluation, the overall quality rating of the report is considered.</b>						

## ANNEX 4 :TIMING

*To be filled by the contractor and submitted as part of the methodology of the technical offer.*

*Please note these are minimum number of meetings. It is useful to plan an update meeting with the evaluation manager(s) each time the Team Leader is in Brussels*

<i>Evaluation Phases and Stages</i>	<i>Notes and Reports</i>	<i>Dates</i>	<i>Meetings/Communications</i>
Desk phase			
Structuring stage	Includes - slide presentation, and mini-workshop on intervention logics and evaluation questions		Substantive Briefing session in Brussels 3-4 days ISG Meeting
	Draft Inception report		ISG meeting
	Final Inception report		
Desk study	Draft Desk report		ISG Meeting
	Final Desk report		
Field phase			De-briefing meeting with the relevant Delegation(s)
	Presentation of findings		ISG Meeting (Brussels) plus wider internal interested parties
Synthesis phase			
	1 <sup>st</sup> Draft final report Presentation and Minutes of feedback		ISG Meeting
	2 <sup>nd</sup> Draft final report		
	Final report + other deliverables (including executive summaries)		
	Translations		
	Printing and delivery		
Dissemination	Seminar in Brussels		

ISG: Inter-Service Group

## ANNEX 5 OVERALL INTERVENTION LOGIC/THEORY OF CHANGE AS AT 2012

### **EU approach to building resilience to withstand food crises in African Drylands (Horn and Sahel) 2007-2015**

#### *Context (for building resilience approach)*

##### **Worldwide**

Significant pressures from the situation on the ground:

- 800 million people undernourished and in situation of chronic food insecurity with 1 out of 4 children worldwide who are stunted;
- 2 billion people potentially exposed to natural or human-made disasters;
- Trend is increase in no. of crises and no. of people affected by crises;
- Impact is worse in fragile states and on poorest people, and on women and children within this group, as they are the most vulnerable. Very high prevalence of food crisis vulnerability in protracted crisis situations;
- Crises of different nature translate into food security problems affecting one or more of the food and nutrition security dimensions – availability of food (food production); access (income and physical access ) to food; nutrition (quality and diversity of food intake, access to water and health services) ; stability of food crisis events over time.

##### **Africa intergovernmental** (*policy commitments /actions in the area of building resilience*)

- Africa : Comprehensive Africa Agriculture Development Programme (CAADP);
- West Africa: AGIR initiative in involving ECOWAS, UEMOA, CILSS;
- Horn: IGAD Drought Disasters Resilience Sustainability Initiative (IDDRSI).

##### **EU** (*policy commitments/major actions in this area*)

- Agenda For Change (Development agenda 2011 - ) recognises food insecurity as a key priority;
- Communication on resilience 2012, Action Plan 2013;
- Communication on nutrition 2013.

##### **Rationale for EU to intervene** (*in this area*)

- EU is a major donor (financial and technical assistance) in both humanitarian and long term development in developing countries and particularly in fragile states (A4C). It has major policy commitments (A4C), and long experience in this area both alone and working with partners;
- Food crises are growing in no., are progressively longer in duration, affect an increasing no. of people. Promotion of resilience to withstand food crises is critical to address this. It is an EU priority to intervene;
- The EU has always reacted to food crises to limit their impact on livelihood investing billions € every year in responses. However, reacting to crises is proven to be more expansive and less cost effective than increase capacity to mitigate them. To increase aid effectiveness, moving from reaction to preparation is paramount.

### **Rationale to intervene in this way (*ie with this approach*)**

- Drawing on its recent experience, EU has learned an approach is required which :
  - Is strong on analysis to addresses both underlying causes **and** consequences of food crises, i.e. short term and long term;
  - has a multi-dimensional approach;
  - embraces cross-cutting aspects, e.g. gender, climate change, good governance, etc.;
  - focuses on long-term underlying causes of food systems instability seeking for cost effectiveness;
  - is adaptable to context and flexible;
  - is owned by the countries concerned through political commitment and policy priority;
  - involves all partners (humanitarian and developments actors, governments, regional and continental institutions, MS, donors, international organisation, civil society and private sector.
- A4C EU development agenda promotes greater political and policy dialogue in all EU interventions;
- EU increasingly promotes evidence-based planning (see NIPS and RIPS 2014-2020).

**Type of change process:** translation of knowledge/evidence into policy and practice

### **Hypothesis of change**

*The EU objective for contributing to strengthening resilience to withstand food crises:*

- Reducing vulnerability of people and countries to the effects of food crises (acute and chronic under nutrition) by strengthening the resilience enabling environment and the food systems short and long-term stability and improving their resilience to shocks and stresses

*Modalities:*

- Programmes and projects,
- Budget support.

*EU inputs and tools:*

- € 6.5 billion (2007 – 2020);
- Multi-stakeholder partnerships;
- International advocacy;
- Political dialogue;
- Policy dialogue;
- Technical Assistance and capacity building.

### **Assumptions - Enabling environment**

- Overall political and institutional stability and absence of conflicts allow field interventions which achievements are not systematically jeopardized by structural weaknesses and violence;
- Broad political commitment, ownership to building resilience in country and in region and within EU to addressing food crises;
- Rule of law in place to allow efficient actions' implementation;
- Good governance creates enabling environment for strategic allocation of resources;
- Partnerships and synergies with all stakeholders are prioritised and pursued i.e. technical and financial partners, including MS, governments, civil society, private sector, etc.



## **Hypothesis:**

- EU will support Governments and intergovernmental organisations to improve data collection mechanisms and methodologies for robust food and nutrition security analysis on short and long-term vulnerabilities

### Assumptions:

- Within EU, ECHO and EuropeAid work jointly on analyses;
- Good coordination is promoted and achieved with EU and non EU partners;
- The rest of the EU and non EU engagement in this area is directly affected by the analyses produced, therefore this is sequentially the first emphasis.

- **This leads to:** recognized understanding of both immediate and underlying causes of vulnerability across all stakeholders

### Assumptions:

- Analyses are inclusive, robust, timely, appropriate, widely accessible;
- Analyses are systematically communicated to policy-makers;
- EU and other partners use these analyses to inform their respective strategies and interventions.

- **This leads to:** well-designed continental, regional, national, sub-national -
  - Short-term, policy responses which take into consideration long-term impact;
  - Long-term policy responses which address underlying causes of vulnerability and mitigate risks (probability and impact).

### Assumptions:

- Evidence generated in the analyses is enough to convince policy-makers that this needs a policy response;
- Budget allocation reflects strategic planning and policies based on evidences at continental, regional, national, sub-national levels;
- Alignment of interventions, budget and policy is pursued;
- EU co-ordinates well within (EuropeAid-ECHO) and with other stakeholders;
- EU pursues political , and policy dialogue with concrete results;
- EU's response (4 pillars of food and nutrition security (FNS) is informed by these analyses;
- EU will support the translation of policy responses into action;
- EU support is appropriate in strength, nature and disbursement is timely.

- **This leads to:** adapting/strengthening Government and regional delivery systems for:
  - Engagement across wide range of nutrition relevant sectors (e.g. education, health, water, etc.);
  - Emphasized engagement towards food and nutrition security targets.

### Assumptions:

- Budget translates into action;
- Capacity exists (quantity and quality) to manage delivery;
- Government priorities translate into sector priorities;
- Civil society is active in and able to promote food and nutrition security priorities and in monitoring government actions.

- **This leads to:** development of interventions and tools at different levels and using different modalities

### Assumptions:

- Planning is appropriate and efficient; Food insecure people are specifically targeted to reduce their vulnerability
- Early warning system and other monitoring systems robust and heeded.

- Capacity for intervention management appropriate.
- Private sector and civil society substantively engage and develop interventions and tools
  
- **This leads to:** food systems management capacity being exercised at all levels (4 dimensions of FNS)  
*Assumptions:*
  - Tangible capacities exist in food governance, agriculture, food processing chain, social protection, food markets' management, etc.;
  - Learning well communicated to build momentum for adopting resilience practices.
  
- **This leads to:** food insecure people reducing their short-term and long-term vulnerabilities and being better able to bounce back/withstand a food crisis

# Annex B: Evaluation Methodology

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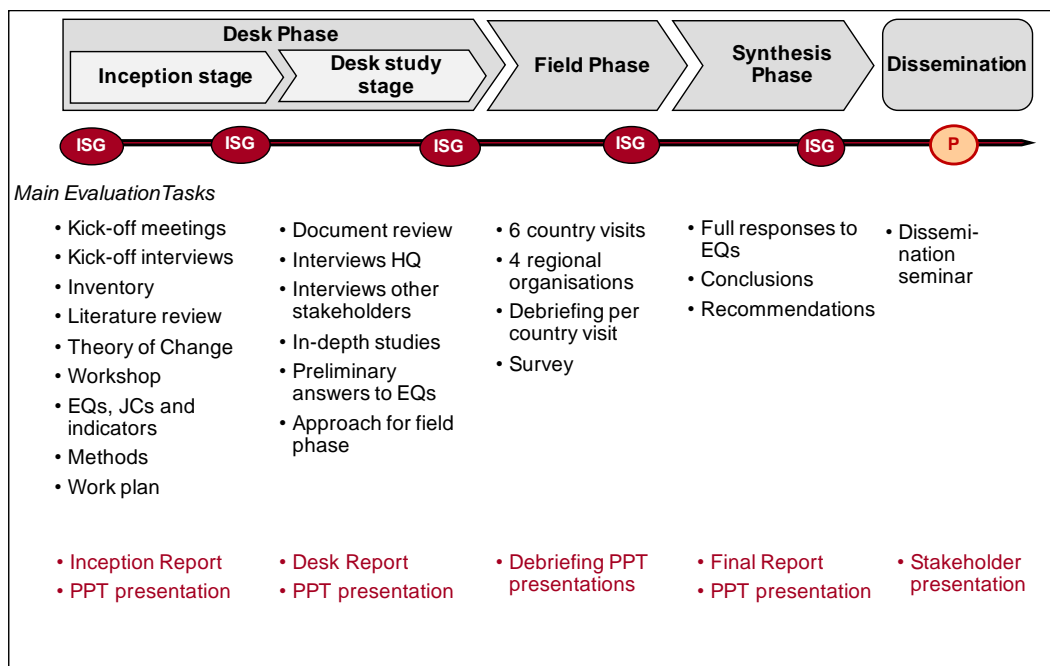
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### 1. Evaluation process

This evaluation has been structured in three phases: the desk phase (formed by the inception and the desk stages), the field phase, and the synthesis phase. The EuropeAid Evaluation Unit was responsible for the management and the supervision of the evaluation. It was a joint evaluation between EuropeAid and ECHO. The progress has been followed closely by an InterService Group (ISG) consisting of representatives of all concerned services in the Commission and EEAS, under the Evaluation Unit’s supervision.

The evaluation process followed the three phases as described in the ToR and as per the figure below presenting the evaluation process, with the main activities, deliverables, InterService Group (ISG) meetings, and field work in Horn of Africa and West Africa.

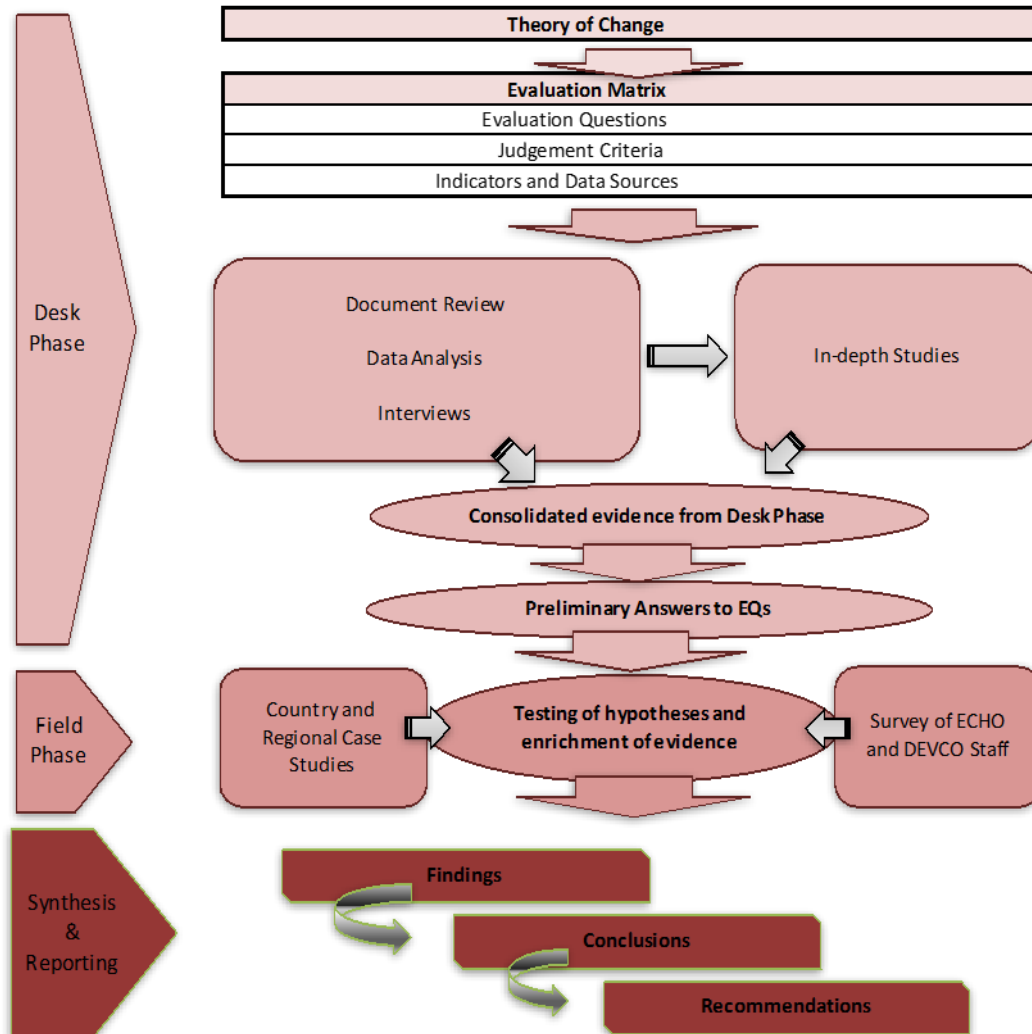
Figure 1 - The evaluation process



Source: ADE

The figure below shows the sequencing and interrelationship of activities under each of the three phases of the evaluation. The details of this process are presented in this annex.

**Figure 2 - Structure of Evaluation Process**



Source: ADE

## 2. Theories of change

This is a theory based evaluation and the evaluation team has used a Theory of Change (ToC) as a basis for the formulation of the evaluation approach and questions. A ToC can be defined as ‘The description of a sequence of events that is expected to lead to a particular desired outcome’<sup>1</sup> and differs from logical frameworks in making the assumptions explicit that inform the design and implementation.

As there was no predefined intervention logic or ToC for the EU resilience approach, a Theory of Change was reconstructed for the purposes of the evaluation in the Inception Report. This was reconstructed on the basis of EU policy documents and interviews during the desk phase, with a first draft ToC discussed and elaborated during a workshop with key stakeholders. The ToC is presented below. It showed how the evaluators understood the ‘theory’ of how the resilience approach is expected to lead to the target results.

The principal causal chain is seen to follow the sequencing of reasoning that:

- a. the adoption of the resilience approach results in the inclusion of resilience as a primary aim of EU assistance in countries exposed to food crises and that the external financing instruments are adapted to support resilience building;
- b. the strategic goal of resilience building is then reflected in the EU’s spending and non-spending activities in priority countries – both through mainstreaming and the through the implementation of flagship initiatives;
- c. the EU activities influence national and local authorities in the beneficiary countries to embed resilience as a strategic priority and national and donor resources are used to support the implementation of resilience strategies and plan, and;
- d. increased and improved services to targeted beneficiaries in a range of mutually supporting sectors leads to improved resilience outcomes at the household levels.

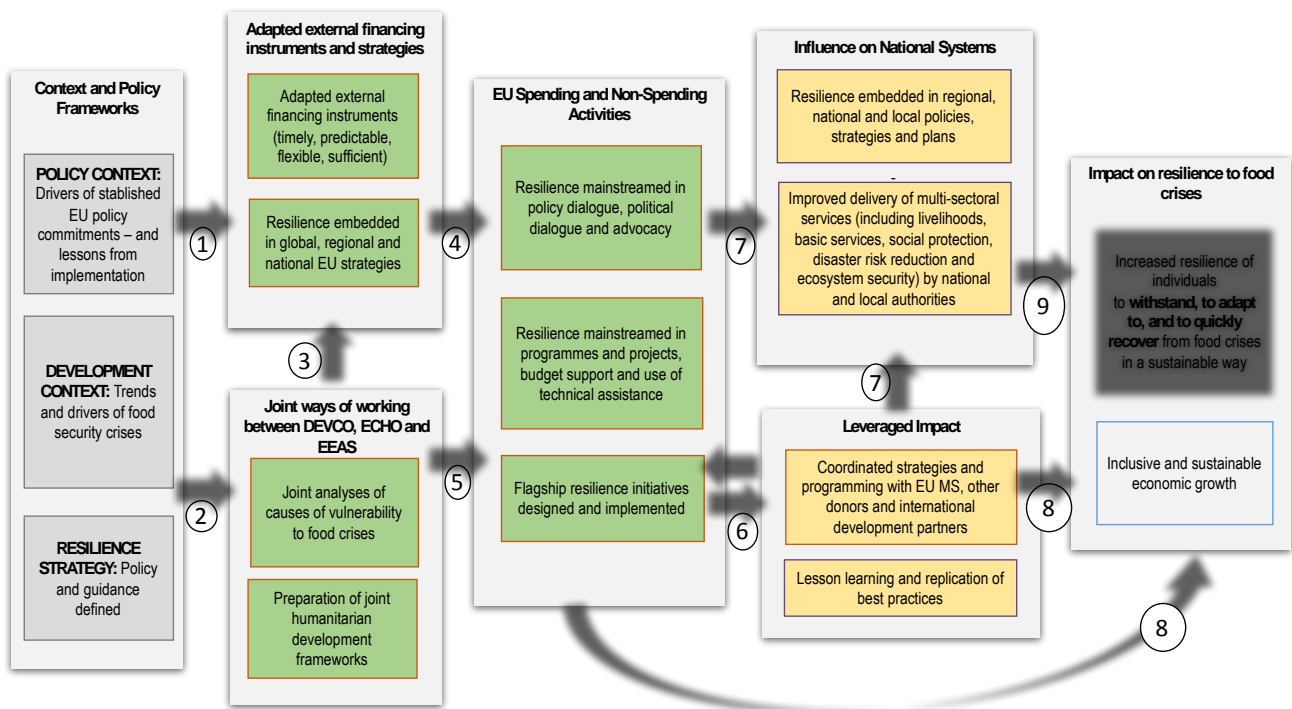
This result pathway is supported and reinforced by other subsidiary logic chains:

- An important element of improving EU action is seen to exist in exploiting synergies between different actors and sectors. Bringing together DEVCO, ECHO and the EEAS is expected to generate significant added value in the analysis of the problem, in planning interventions and pooling financial and human resources.
- A second subsidiary logic chain is a recognition of the need to coordinate EU action on resilience with other donors and stakeholders to generate a critical mass of resources and influence.

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<sup>1</sup> Vogel, Review of the use of ‘Theory of Change’ in international development, DFID, 2012

Figure 3 - Theory of Change - Strategic Approach to Building Resilience



Source: ADE

A further development during the desk phase was the elaboration of *the critical assumptions* that link the various steps in logic chain. In understanding and evaluating the strategic approach it is important to make explicit the assumptions that link the boxes in the ToC presented above. These help to explain the necessary conditions for one set of actions to trigger the desired changes at a subsequent level.

These linking assumptions are presented in the table below – where the numbers correspond to the linking numbers shown in Figure 3.

**Table 1 - Assumptions linked to the Theory of Change**

No.	Linkage	Assumptions
1	Assumptions linking resilience policy framework to adapted external financing instruments and strategies	<ul style="list-style-type: none"> <li>▪ Relevant EU decision makers are convinced that the benefits of increased flexibility of external financing instruments outweigh the risks</li> <li>▪ Political willingness in EU to prioritize and allocate sufficient resources to building resilience</li> <li>▪ EU decision makers convinced that resilience is a priority in the local context</li> </ul>
2	Assumptions linking resilience policy framework to improved DEVCO – ECHO - EEAS collaboration	<ul style="list-style-type: none"> <li>▪ Limitations of respective mandates and responsibilities can be overcome</li> <li>▪ Sufficient time and resources available to address incremental demands of collaboration</li> <li>▪ Institutional incentives encourage collaboration</li> </ul>
3	Assumptions linking DEVCO – ECHO - EEAS collaboration and synergies to improved strategies and plans	<ul style="list-style-type: none"> <li>▪ Information on causes of food crises available for DEVCO and ECHO to draw on</li> <li>▪ Collaboration adds value to the quality of strategic plans</li> <li>▪ Role of EEAS in resilience building is clear</li> </ul>
4	Assumptions linking adapted financing instruments and strategic priorities to content of EU spending and non-spending activities	<ul style="list-style-type: none"> <li>▪ Sufficient guidance of, and understanding by, EU staff on how to mainstream resilience</li> <li>▪ Willingness and ability to redirect strategies and resources from established focal sectors and on-going areas of cooperation towards resilience</li> <li>▪ Resilience is not 'out competed' by other emerging policy priorities</li> <li>▪ Resilience is a common priority across development sectors</li> </ul>
5	Assumptions linking DEVCO – ECHO - EEAS collaboration to joint resilience initiatives	<ul style="list-style-type: none"> <li>▪ Synergies exist between humanitarian and development financing instruments or joint funding sources available</li> <li>▪ DEVCO and ECHO provide complementary inputs of technical expertise and partnerships</li> <li>▪ Benefits of collaboration outweigh any additional costs</li> </ul>
6	Assumptions linking EU spending and non-spending activities to leveraging impact	<ul style="list-style-type: none"> <li>▪ There is an ability to measure changes in the resilience of households and attribute the role of specific interventions to observed changes</li> <li>▪ There is a willingness amongst donors to participate in integrated resilience approaches given the potential loss of visibility and direct influence</li> <li>▪ There is a willingness among other development partners to participate in integrated resilience approaches given competition for resources</li> </ul>

No.	Linkage	Assumptions
7	Assumptions linking spending and non-spending activities of EU, other donors and development partners to influence on national systems	<ul style="list-style-type: none"> <li>▪ Resilience is seen as a political priority for beneficiary countries, compared to other priorities such as maximizing economic growth or security</li> <li>▪ Sufficient capacity and absorptive capacity within states to reorient policies, strategies and programmes</li> <li>▪ Viable alternative partners for resilience building to the state exist in situations of extreme fragility and bad governance</li> </ul>
8	Assumptions linking resilience programmes of EU and other donors to resilience of direct beneficiaries	<ul style="list-style-type: none"> <li>▪ Donors and development partners operate at sufficient scale to have direct and measurable impact</li> <li>▪ Activities are well targeted to appropriate beneficiaries</li> <li>▪ Improved resilience outcomes from donor implemented programmes are independent strengthened government services</li> </ul>
9	Assumptions linking national systems to impacts on resilience of households to food crises	<ul style="list-style-type: none"> <li>▪ Sufficient resources and capacities exist to deliver quality services at scale</li> </ul>

### 3. Evaluation Questions

In order to provide focus to the evaluation, nine Evaluation Questions (EQs) have been formulated during the desk phase of the evaluation. They have been detailed with their corresponding Judgement Criteria (JC) and Indicators (I) in an evaluation grid (see Annex F). The EQs are summarised in the table below.

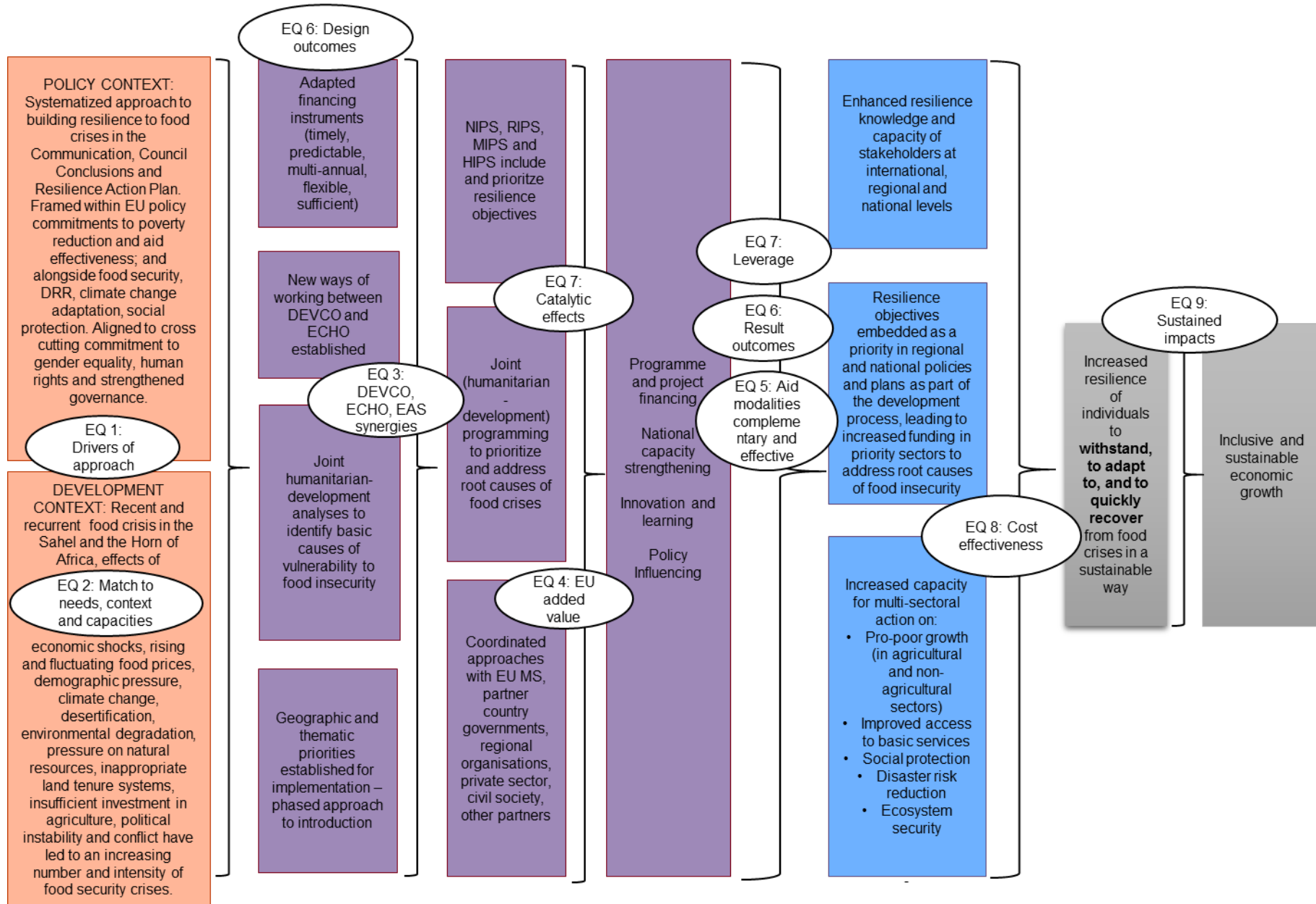


**Table 2 - Evaluation Questions**

<b>EQ 1 - Evolution of Resilience Approach</b>	To what extent has the institutional development pathway of the EU 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?
<b>EQ 2 - Relevance to Needs, Context and Capacities</b>	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?
<b>EQ 3 - Synergies between DEVCO, ECHO and EEAS</b>	To what extent have DEVCO, ECHO and the EEAS managed to ensure positive synergies through their interactions to build resilience to withstand food crises?
<b>EQ 4 - EU Added value</b>	To what extent does the EU add value and complement efforts already being undertaken on resilience to withstand food crises?
<b>EQ 5 - Complementarity of EU instruments and aid modalities</b>	To what extent was the mix of instruments and aid modalities used complementary and appropriate for resilience programming?
<b>EQ 6 - Results</b>	To what extent has the approach delivered the expected outcomes, or can it be reasonably expected that the outcomes will be delivered?
<b>EQ 7 - Visibility and Leverage</b>	To what extent has the EU approach been visible and to what extent have lessons been learned to leverage greater impact?
<b>EQ 8 - Cost Effectiveness</b>	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?
<b>EQ 9 - Impacts and Sustainability</b>	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 various EQs presented above are used to examine the implicit relationships in the ToC presented above. Thus the EQs are interrelated and build on each other to provide an integrated understanding of the evaluand. The way that each EQs maps onto the ToC is presented in the figure below.

Figure 4 - Mapping Evaluation Questions onto the Theory of Change



#### 4. Evaluation tools

The team relied on a set of tools to collect and analyse data for the analysis. The combination of these tools enabled the team to collect all the required information at the level of the indicators, and to triangulate the information from different sources with a view to validate (or invalidate) the judgment criteria (the full evaluation matrix is presented in Annex F).

The survey (see annex E) and in-depth studies provided information from an overall geographic perspective. Field visits (detailed below) provided specific information at country and regional level. Interviews provided information at both general and country levels. The combination of these tools, sources, and levels of analysis contributed to the robustness of the findings and of the conclusions of the evaluation.

The following data collection methods have been used to collect information against the defined EQs, JCs and indicators:

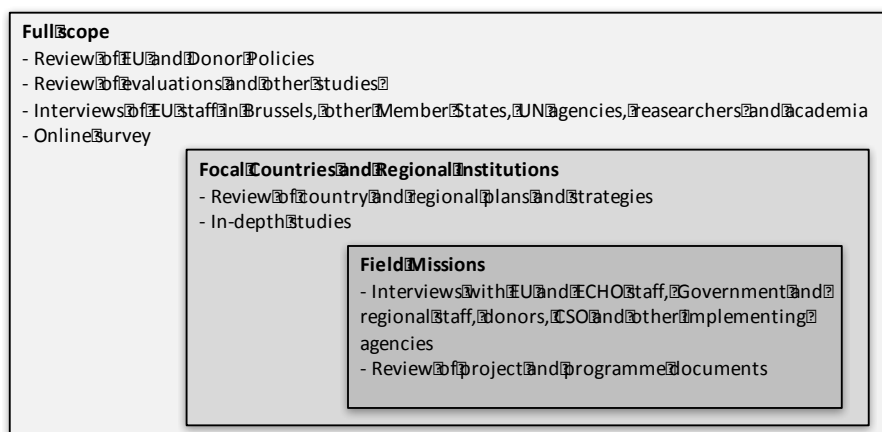
**Table 3 - Overview of evaluation tools**

Tools	Specification
Document review	Document types: <ul style="list-style-type: none"> <li>▪ EU policies (incl. Communications), strategies (incl. Country Strategy Papers as CSPs, Regional Strategy Papers as RSPs), planning doc's (incl. National Indicative Plans as NIPs, Regional Indicative Plans as RIPs, Humanitarian Indicative Plans as HIPs, Multiannual Indicative Plans as MIPs), and guidelines</li> <li>▪ Regional and country documents (PRSPs, resilience strategies, action plans, (relevant sector and thematic) policy documents, etc.</li> <li>▪ Studies and evaluations (studies, (evaluation) reports and articles on resilience and resilience-related (e.g. EU evaluations, Institute of Development Studies as IDS, Overseas Development Institute as ODI and European Centre for Development Policy Management. As ECDPM publications)</li> <li>▪ Documents other donors and international organizations (policies and strategies, resilience frameworks, for example from USAID (United States Agency for International development), UKAID (United Kingdom Aid), World Bank (WB), FAO/WFP (Food and Agriculture Organization of the United Nations/ World Food Programme)</li> <li>▪ Project and programme documents</li> </ul>
Data analysis	<ul style="list-style-type: none"> <li>▪ Budget data from operational database (DEVCO-CRIS (Common RELEX Information System for DEVCO), ECHO-HOPE (Humanitarian Office Programme Environment)</li> </ul>
Interviews	Stakeholders interviewed during the desk phase: <ul style="list-style-type: none"> <li>▪ DEVCO, ECHO and EEAS representatives, including Directors, Heads of Unit and other staff: face-to-face interviews preferably complemented with phone interviews</li> <li>▪ Other donors/international organizations either phone interviews or face-to-face interviews (visit Rome: FAO/WFP/IFAD (International Fund for Agricultural Development), visit London or phone interviews: UKAID, phone interviews with four other EU MS (Member states), phone interviews USAID, UNISDR (United Nations Office of Disaster Risk Reduction) and WB).</li> </ul>

Tools	Specification
	<ul style="list-style-type: none"> <li>▪ Other external stakeholders (Academics/research institutions) , NGOs (Non-Governmental Organizations) and consultants involved in development and implementation of the resilience approach</li> </ul> <p>Stakeholders interviewed during the field phase (see criteria for selection of countries for field visit below):</p> <ul style="list-style-type: none"> <li>▪ EUDs and ECHO offices and former EUD and ECHO staff in the selected countries (details provided in Annex G)</li> <li>▪ Representatives of regional organizations (details provided in Annex G)</li> <li>▪ Country and regional representatives of relevant ministries dealing with resilience (details provided in Annex G)</li> <li>▪ Other donors in the selected countries and regions (details provided in Annex G)</li> <li>▪ NGOs and private sector representatives involved in the approach to building resilience (details provided in Annex G)</li> </ul>
Survey	An online survey has targeted internal stakeholders: DEVCO and ECHO staff working at EUDs and in ECHO national and regional offices in the 24 study countries. It contributed to gather subjective opinions on the resilience approach. The survey has facilitated the collection of (partially) quantified data of selected indicators within the overall evaluation matrix (see Annex E).
Observation	Participation to the Resilience forum organized during the EU Development days in Brussels (June 2016)

The relationship of the data collection instruments to the different geographical scopes of the evaluation is shown in the figure below.

**Figure 5 - Data collection in differing geographic scopes**



As requested by the ToR, a number of in-depth studies (IDS) has been undertaken during the desk phase, to illuminate and inform the evaluation. These studies have provided evidence and findings as inputs to developing the preliminary answers to specific EQs and JCs. They have been based on document review supported by interviews. Additional evidence has been gathered during the field phase, including document and data reviews, interviews and on-line survey results. The IDS have therefore been finalized after the field phase and included in the (draft) final report.

The list of conducted in-depth studies and their related JCs are presented in the following table:

**Table 4 - In-Depth Studies**

In-Depth Studies	Related JC	Sub-Issues
1. Assessment of the evolution of the EU resilience approach over the period, and its application in different countries	JC 1.1 and 1.2	How has the EU approach to resilience evolved since 2007? How does the EU policy compare to that of other key donors? What are the key lessons from various strategies and instruments applied over the period and relevant to the Resilience Approach?
2. Assessment of the integration of conflict and security issues into the resilience agenda	JC 2.1 and 2.2	To what extent are conflict and security issues addressed in the EU resilience concept and relevant policy literature? What are the issues/challenges around promoting the EU's resilience approach in situations of conflict and fragility? What are the strengths and weaknesses of EU and EEAS operational engagement on resilience in fragile and conflict situations?
3. Assessment of EuropeAid and ECHO engagement on resilience – both at the conceptual level and operationally on the ground	JC 3.1, 3.2	To what extent is the EU approach to building resilience is coherent with development cooperation, humanitarian assistance, foreign and security policies? To what extent is the development and implementation of the EU approach to building resilience is jointly led and well-coordinated between EuropeAid, ECHO and EEAS? Is the EU approach to building resilience is embedded in ECHO and DEVCO processes and procedures?
4. Assessment of technical and financial partner co-ordination on building resilience	JC 4.1 and 4.2	Coordination on joint analyses and strategies at the regional and country level What coordination has occurred on joint funding approaches to resilience? Involvement of EU in, and results of, global level coordination on resilience?
5. Assessment of level of ownership of resilience approach within Governments and local partners in Sahel and in Horn	JC 5.2 and 9.1	What has been the influence of EU activities (funding and non-funding) on the development of regional and national resilience strategies? What has been the impact of these strategies on national priority setting and programming?
6. Assessment of progress in resilience measurement	JC 6.3 and 7.2	Inventory of approaches to measurement of resilience Analysis of EU contribution to developing resilience measurement tools Case studies of resilience measurement in EU projects in the Sahel and Horn of Africa

## 5. Field missions

The field missions consisted of **6 country visits**, conducted during the field phase, between the 10<sup>th</sup> and the 30<sup>th</sup> September 2016. The countries for field visits have been selected on the basis of several criteria:

- Equal representation of countries in the Horn of Africa and the Sahel;
- Variation in fragility;
- Variation in amount of EU-resilience related funding (on the basis of the inventory: three funding levels: low, medium, high);
- Variation in aid modalities (only project and programme aid, or also sector and general budget support).
- Presence of regional organizations

The table below presents the data corresponding to each of these criteria for the ten key countries:

**Table 5 - Selection criteria for field visits**

Countries	Region	Regional organisations	Fragility <sup>2</sup>	DEVCO funding <sup>3</sup>	ECHO funding <sup>4</sup>	# GBS contracts	# SBS contracts
South-Sudan	Horn		XX	Medium	High	None	1
Somalia	Horn		XX	Medium	High	None	None
Ethiopia	Horn	AU	X	High	High	None	None
Kenya	Horn		X	High	Medium	None	None
Burkina Faso	Sahel	CILSS		Low	Medium	2	1
Chad	Sahel		XX	Medium	High	1	None
Mali	Sahel		X	Medium	Medium	2	1
Niger	Sahel	CILSS	X	Medium	High	2	1
Senegal	Sahel			Medium	Low	1	2

Based on this analysis, the evaluators proposed to cover three countries in Sahel and three in the Horn of Africa:

- **Horn of Africa – Somalia<sup>5</sup>, Ethiopia and Kenya.** This allowed the evaluators to cover:
  - The African Union HQ in Addis Ababa;
  - Three fragile states as indicated by the World Bank and Fund for Peace indices;
  - A mix of high- and medium-funding locations for EU resilience allocations;
  - Three countries where the EU's resilience approach was primarily conducted through project approaches as opposed to Budget Support operations.

<sup>2</sup> OECD used two lists of fragile states for its 2015 Report on States of Fragility: 1) The World Bank's Harmonized list of Fragile situations FY14, and 2) Fund for Peace's Fragile States Index 2014 (index above 40). When the country is listed on both lists it has two crosses, one cross when it is on one list.

<sup>3</sup> Based on the sum of allocated amounts in the evaluation inventory. Expenditure categorizations as follows: "low" = less than 100 million EUR; "medium" = 101 million EUR – 200 million EUR; "high" = more than 200 million EUR.

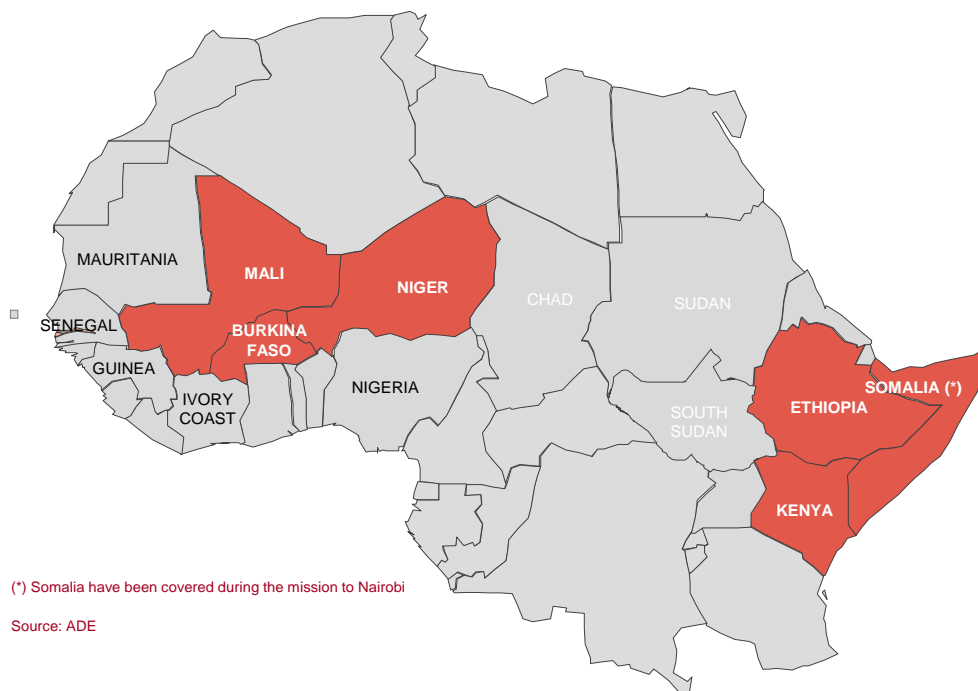
<sup>4</sup> Idem.

<sup>5</sup> No field visit has been made to Mogadishu as Somalia have been covered during the mission to Nairobi

- **Sahel – Niger, Mali and Burkina Faso.** This allowed the evaluators to cover:
  - The CILSS/AGIR headquarters in Ouagadougou;
  - A mix of fragile and non-fragile states as indicated by the World Bank and Fund for Peace indices;
  - A mix of funding locations for EU resilience allocations;
  - Three countries where the EU's resilience approach made an attempt to mix both project approaches and General and Sector Budget Support operations.

During the desk phase country dossiers have been developed for each of the selected countries and regions. They included key country data, the country context, the policy development and a timeline of EU activities. These internal dossiers have supported efficient country missions.

**Figure 6 - Field visits conducted**



## 6. Challenges

The evaluation faced a number of challenges, which related notably to the complexity of a multi-sector inter-service approach, multiplicity of stakeholders, 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.





# Annex C: Inventory of Spending Activities DEVCO and ECHO

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This Annex provides an overview of EU funding supporting the approach to resilience with a view to withstanding food crises in African Drylands (Sahel and Horn of Africa). This encompasses an overview of DG DEVCO (section 3.1) and DG ECHO (section 3.2) funding over the period 2007-2015.

The information originates mainly in two different databases; CRIS (Common RELEX Information System) from DEVCO, and HOPE (Humanitarian Office Programme Environment) from ECHO.

# 1 DEVCO

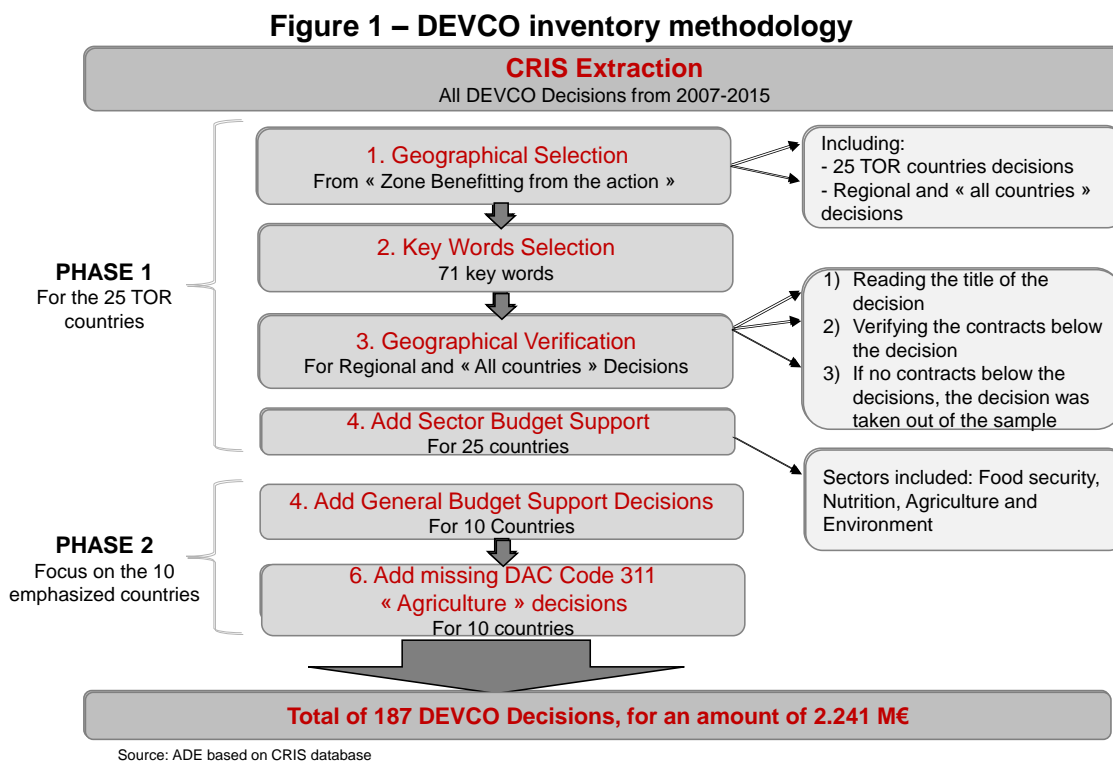
This section provides an overview of DEVCO activities related to Resilience.

Following an introduction on the approach followed, this section presents a general overview of DEVCO activities, followed by breakdowns by financial instrument, by geography, by sector and lastly by the presence of the word “resilience” in the title.

Finally, it presents a more in-depth analysis and typology for nine countries.

## 1.1 Methodology

The overall DEVCO inventory was elaborated on the basis of an extraction from the CRIS database on 26 January 2016. The methodology followed consisted of two phases as shown in Figure 1 below. This methodology was discussed and approved by DEVCO at the inception stage of this evaluation.



The following steps were taken:

### Phase 1:

- 1) A first group of decisions was constituted on the basis of **geography**. The 25 ToR countries and regional decisions corresponding to the scope of the study were included. The regional decisions covered the following regional groups: All Countries, ACP, Sub-Saharan Africa, West Africa Region, East Africa Region, Eastern & Southern Africa and the Indian Ocean, Horn of Africa, and Miscellaneous Countries.

- 2) A list of **71 key words** was applied to the first selection obtained under point 1 (see below the list of key words). The key words were used to ensure inclusion in the inventory of the different aspects of the resilience approach.
- 3) The intervention locations from the **regional decisions** were verified one by one to ensure retention *only* of decisions corresponding to the relevant scope.
- 4) The Sector Budget Support decisions relating to the following sectors (Food Security, Nutrition, Agriculture and Environment) were added for the 25 ToR countries.

### Phase 2:

Steps 5 and 6 added a series of decisions to the inventory for the ten countries the evaluation focused on, namely Mali, Burkina Faso, Senegal, Niger, Ethiopia, Kenya, Somalia, South Sudan, Chad and Mauritania, viz.:

- 5) When they had indicators linked to resilience, the **General Budget Support** decisions from the ten countries were added,. We refer to section 1.2 for more details on how this General Budget Support is used in the inventory.
- 6) Decisions under DAC code 311 (agriculture-related subjects) which were not yet included by the key word search on the basis of the inventory were added for these ten countries. The logic is that most agriculture-related subjects in these ten countries will be related to Resilience.

The table below lists the key words used to identify the relevant decisions. These key words were defined on the basis of relevant literature and interviews with Commission staff. The objective was first to define several key concepts related to the Resilience approach, and then derive key words which may be associated with these concepts. The final list contains 23 key concepts and 71 key words, all agreed with Commission Services. The same key words have been used to screen the DEVCO and ECHO databases.

**Table 1 – List of key words for DEVCO**

Key concepts	Search keys	Key concepts	Search keys
<b>Resilience</b>	Resilien Résilien	<b>Drought</b>	Drought Sécheresse
<b>Food</b>	Food Food security Sécurité alimentaire Food facility Food crisis Alimenta Crise alimentaire Food aid Aide alimentaire Diète	<b>Flood</b>	Flood Inondation
<b>Nutrition</b>	Nutrition Wasting Stunting	<b>Desertification</b>	Desertification Désertification
<b>ECHO</b>	ECHO	<b>Drylands</b>	Dryland Zone aride
<b>Sustainable agriculture</b>	Sustainable agriculture Durable Sustainable	<b>Livelihood</b>	Livelihood Subsistance
<b>Climate change</b>	Climate change Adaptation	<b>Emergency response</b>	Emergency Urgen

Key concepts	Search keys	Key concepts	Search keys
	Changement climatique Gouvernance climatique GCCA		
<b>SHARE AGIR</b>	SHARE AGIR IDRISI	<b>Social transfer</b>	Social transfer Transfer soci
<b>Linking relief rehabilitation and development</b>	LRRD Relief Aide d'urgence	<b>Social protection</b>	Social protection Protection soci Safety net
<b>Rural development</b>	Rural development Développement rural Developpement rural	<b>Natural resource management</b>	Natural resource Ressource naturelle Ressources naturelles
<b>Livestock</b>	Livestock Zoonosis Cheptel	<b>Disaster Risk Reduction</b>	DRR Risk reduction Risk Disaster RRC Réduction des risques Risque Catastrophe Hazard
<b>Agriculture</b>	Agri Plant protection AGP	<b>Land governance</b>	Land governance Foncier
<b>Basic services</b>	Basic service		

At the end of the evaluation process this overall inventory was complemented by a more in-depth analysis and typology of DEVCO activities in nine countries. The methodology applied for this further level of analysis is explained in section 1.6.

This inventory was confronted with a series of **challenges and limitations**. First, no such inventory was available in the EU Services, nor was there clear data in EU databases (e.g. a specific resilience marker) or an established methodology for building one. The definition of resilience and of the related EU approach was an additional challenge (see EQ1 in the main report). The number of DEVCO and ECHO interventions within the scope of this evaluation was furthermore huge (valued at more than €5 billion of aid). Resources for conducting this inventory and typology were furthermore limited. The approach designed for this study in collaboration with EU Services has aimed at addressing these challenges, as much as possible, with a view to identifying orders of magnitude and the types of EU aid provided over the period 2007-2015.

## 1.2 Overview

On the basis of the methodology described above, the total contracted amount allocated to resilience-related decisions reached more than €2 billion (€2,241m) between 2007 and 2015 in the Sahel and the Horn of Africa. This figure was obtained by summing up three types of decision (see Figure 2): first, the **country decisions** of the 25 countries mentioned in the Terms of Reference, totalling €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 to a total of €243m.

The Sector Budget Support decisions taken in the inventory are shown in the table below:

**Table 2 – List of Sector Budget Support decisions**

Domain	Decision year	Decision number	Title	Zone benefitting from the action	Contracted €m
FED	2008	20991	PROGRAMME D'APPUI AU SECTEUR SECURITE ALIMENTAIRE	Niger	29
FED	2008	19754	PAFFIC - Programme d'Appui Financier à la Filière Coton	Burkina Faso	15
FED	2009	21673	Programme d'appui à la mise en œuvre du contrat plan de l'Office du Niger (PAMOCP-ON)	Mali	96
FED	2009	21678	Ghana - Natural Resource and Environmental Governance (NREG) SPSP	Ghana	10
FED	2015	37946	Programme d'appui au foncier rural (PAFR)	Ivory Coast	36
FED	2015	38172	Contrat de réforme sectorielle en appui au développement agricole durable et à la sécurité alimentaire et nutritionnelle	Senegal	57

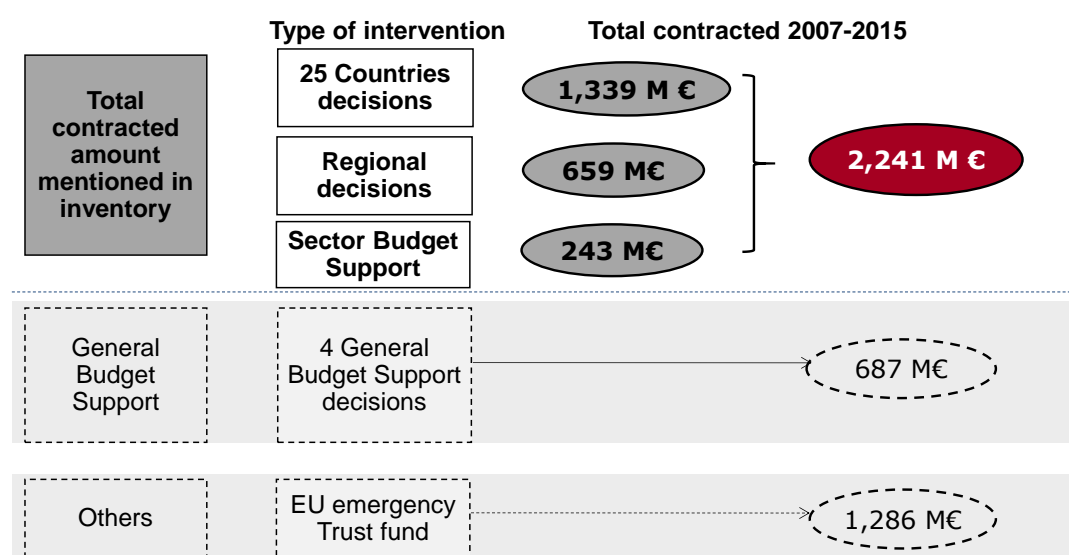
Note. Contracted amounts per decision

243

Source: ADE based on CRIS database

**General Budget Support** decisions in the ten countries were set apart. Indeed, the share of the total GBS amounts transferred to the Partner State's treasury that effectively supported resilience cannot be identified. The decision relating to the **EU Emergency Trust Fund** made by DEVCO in December 2015 is also set apart, as it is a global commitment which came at the very end of the evaluation period.

**Figure 2 – Global overview**



Source: ADE based on CRIS database

We have included four General Budget Support decisions from 2007 to 2015 in the ten countries for a total contracted amount of €687m. They were all made in 2008 and during the period 2013/2015, reflecting pivotal years of the EU's strategy and programming periods (2008-2013 and 2014-2020).

The four decisions are listed below:

**Table 3 – List of General Budget Support decisions**

Domain	Decision year	number	Title	Zone benefitting from the action	Contracted, €m
FED	2008	20972	CONTRAT OMD ABCRP 2009-2014 (APPUI BUDGETAIRE POUR LA CROISSNCE ET LA REDUCTION DE LA PAUVRETE)	Burkina Faso	361
FED	2008	20992	PROGRAMME PLURIANNUEL D'APPUI LA REDUCTION DE LA PAUVRETE(PPARP) 2009-2011	Niger	84
FED	2013	24692	Contrat d'Appui à la Consolidation de l'Etat du Mali	Mali	221
FED	2015	38489	Programme d'Appui à la Consolidation de l'Etat - République tchadienne	Chad	22

Note. Contracted amounts per decision

687

Source: ADE based on CRIS database

The two decisions relating to the EU emergency Trust Fund are the following, for a total of €1,28 billion:

**Table 4 – List of EU Emergency Trust Fund decisions**

Domain	Decision year	number	Title	Zone benefitting from the action	Contracted, €m
FED	2015	38801	Special measure for a contribution to the European Union Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa	All countries	1.200
FED	2015	38815	Allocation from 9 EDF from South Sudan to the EU Emergency Trust Fund	South Sudan	86

Note. Contracted amounts per decision

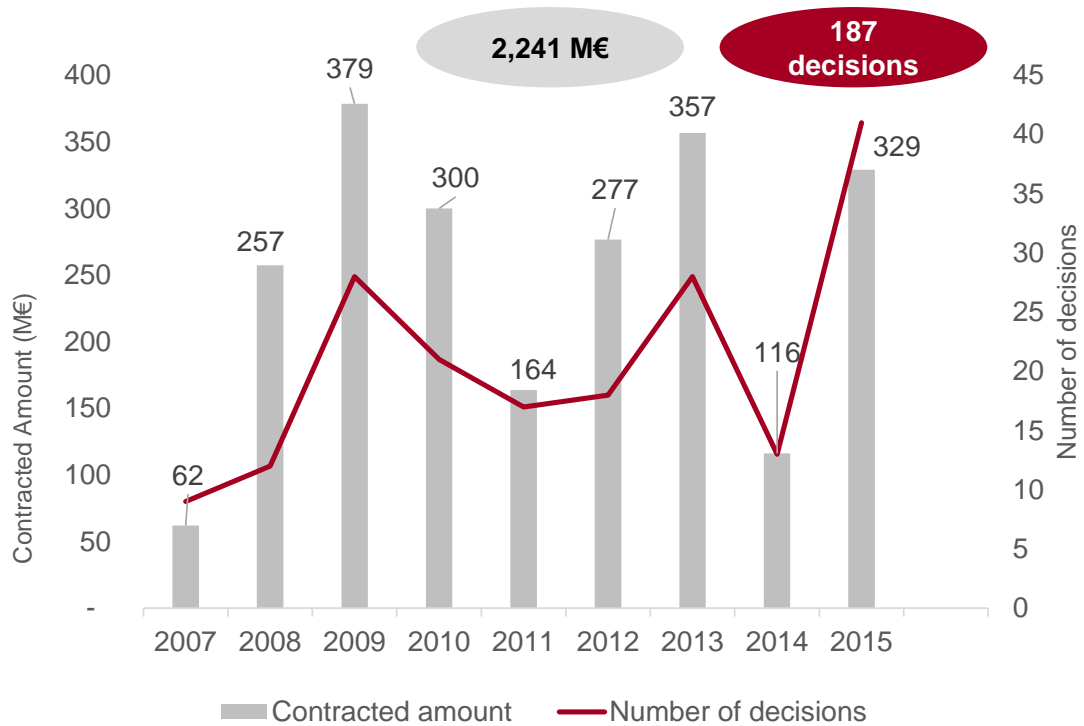
1.286

Source: ADE based on CRIS database

Figure 3 presents the trend in 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 (excluding GBS and the EU Emergency Trust Fund).

There is a general upward trend in the number of resilience-related decisions. Within this there are specific peaks and troughs. It can be seen that 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 reflects a general trend for all DEVCO decisions. It is mainly explained by the renewal of EDF programming.

**Figure 3 – Evolution of DEVCO Resilience related decisions**



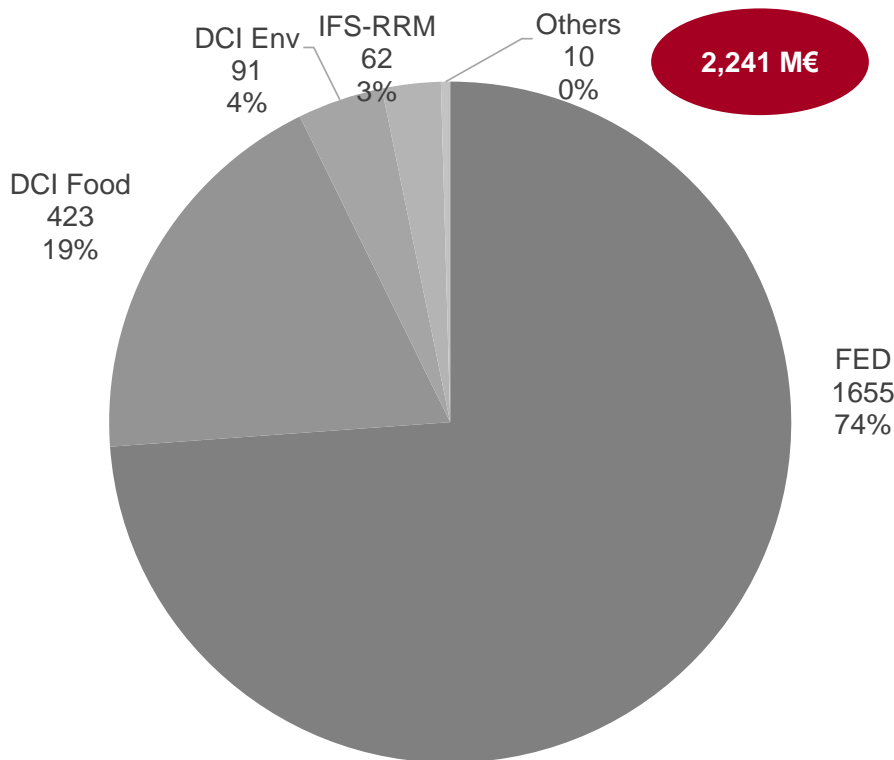
Contracted amounts of DEVCO resilience-related decisions  
 Source: ADE based on CRIS database

Of these 187 decisions, 29 include the term “resilience” in their title, all but two after the publication of the EU Communication on Resilience in 2012.

### 1.3 Financial Instrument breakdown

The breakdown by financial instrument is shown in Figure 4 below. It shows that almost three-quarters (74%) of the total contracted amount on Resilience is financed by the FED (European Development Fund) and 19% by DCI-Food (Food Security Programme). Together they represent 93% of the funding.

**Figure 4 – Resilience related DEVCO decisions by Financial Instrument (2007-2015)**

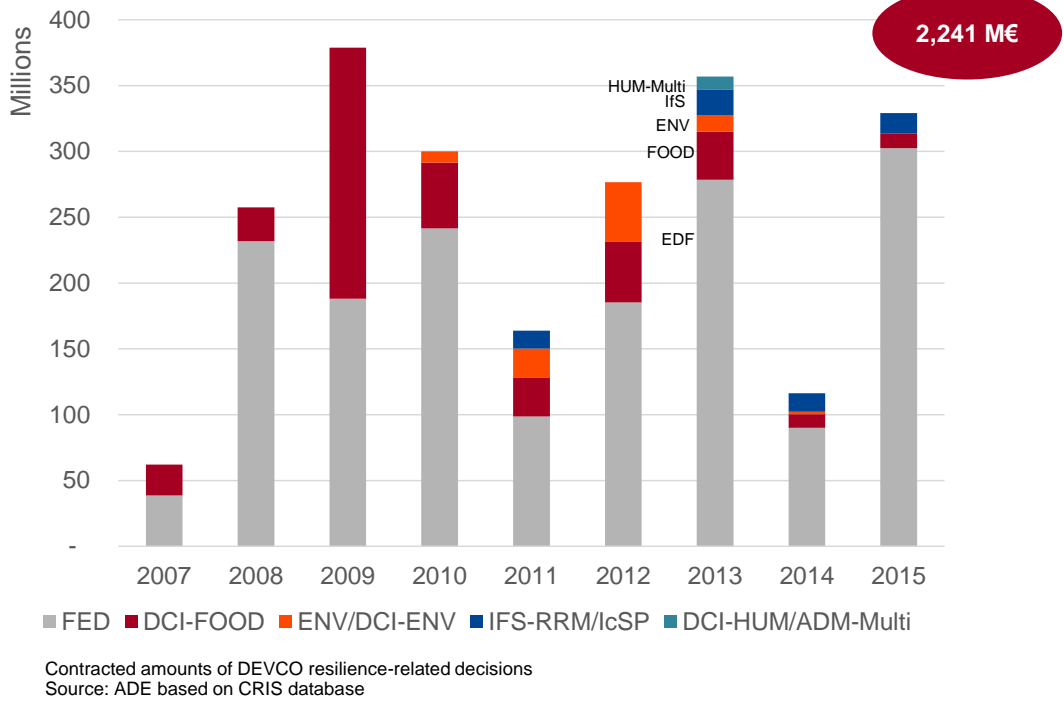


Others consist in: DCI-HUM and ADM-MULTI  
 Contracted amounts of DEVCO resilience-related decisions  
 Source: ADE based on CRIS database

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). Since 2010 the EU has used 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 has been used in most years, albeit at a low level, to support resilience programming from this date. This corresponds to the period during which the EU approach to building resilience explicitly promoted an inter-service approach bringing together political, development and humanitarian instruments.



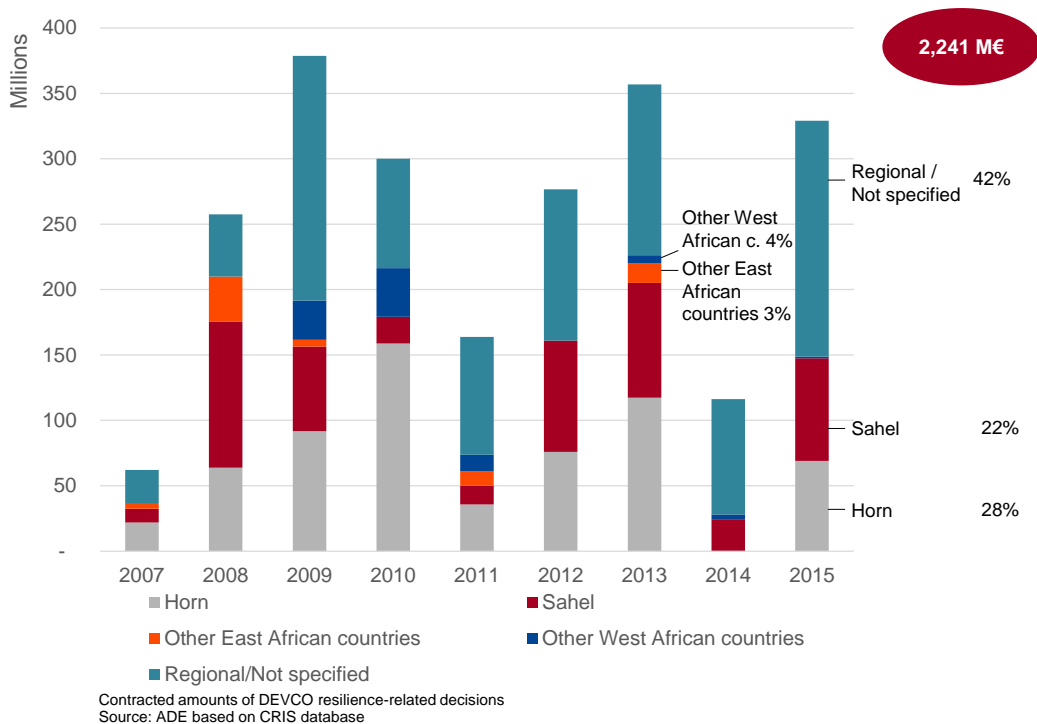
**Figure 5 – Resilience related DEVCO decisions by Financial Instrument (per annum)**



### 1.4 Geographical breakdown

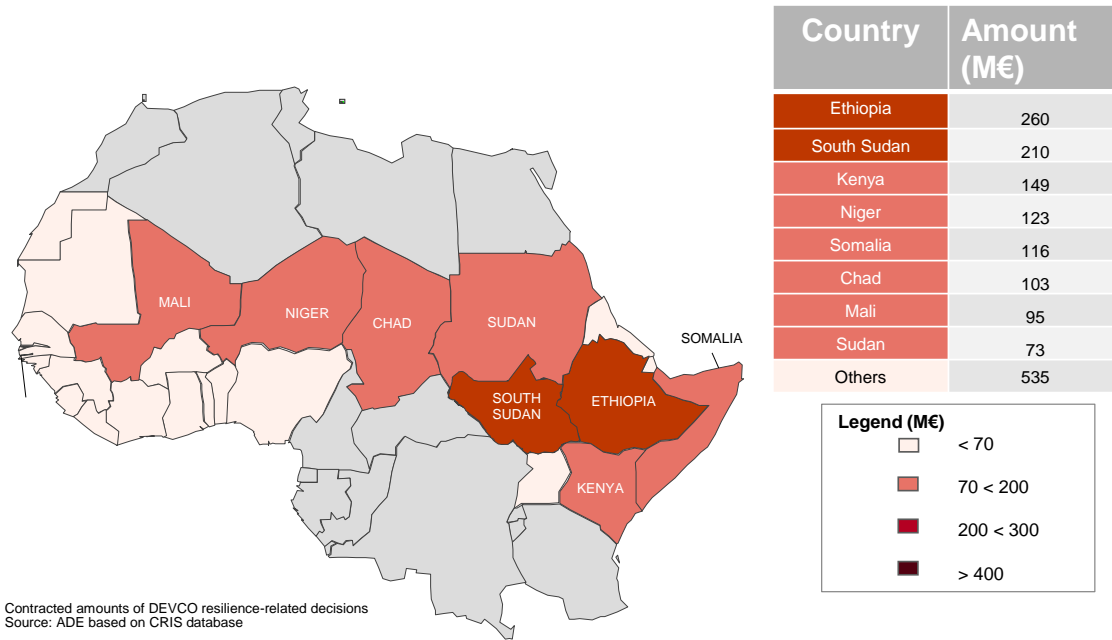
A substantial part of DEVCO commitments covered both the Sahel and Horn regions. Next to this, funding specifically for countries of the Horn of Africa represented 28%, and for countries of the Sahel 22% (see figure 5 below). While there have been significant annual variations in expenditure between the regions, data analysis does not show a clear trend over time and expenditure has been relatively balanced.

**Figure 6 – Regional breakdown of resilience-related DEVCO decisions**



The largest beneficiary country from DEVCO’s funding was Ethiopia with €260m (see figure 6). The second largest, South Sudan, received €210m. These two countries represent 21% of the total funding. They are followed by Kenya (€149m) and Niger (€123m).

**Figure 7 – Country breakdown of Resilience related DEVCO decisions 2007-2015**



The table below presents DEVCO commitments to the top 10 recipient countries of resilience aid. Contextual factors can in part explain the trends in expenditure at country level. The food price crisis of 2007-08 was associated with relatively large commitments in several countries. However, in general levels of development aid did not fluctuate in direct response to the regional crisis, such as the Horn of Africa and Sahel droughts of 2011 and 2012 respectively. South Sudan only became independent in 2011, consequently aid only started from that date.

Peaks are related to the approval of specific large-scale programmes; in Niger in 2008 (€96m) for a food-security programme, and in Kenya in 2010 (€86m) for a rural development programme. Assistance in Ethiopia responded to widespread and severe chronic food insecurity through a large-scale, predictable safety-net and the promotion of basic services. Consequently, aid has been provided relatively consistently.

**Figure 8 – Top-10 recipients of DEVCO country-specific resilience-related aid<sup>1</sup>**

Countries	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
Ethiopia	-	60	20	72	13	-	46	-	49	<b>260</b>
South Sudan	-	-	-	-	39	-	54	30	86	<b>210</b>
Kenya	-	-	18	86	-	-	45	-	-	<b>149</b>
Niger	-	96	-	10	-	-	1	-	15	<b>123</b>
Somalia	-	4	26	-	-	66	-	-	20	<b>116</b>
Chad	9	6	33	3	-	20	2	24	6	<b>103</b>
Mali	-	-	29	-	-	15	51	-	-	<b>95</b>
Sudan	22	-	-	-	22	10	19	-	-	<b>73</b>
Uganda	4	34	5	-	11	-	15	-	-	<b>70</b>
Senegal	1	-	-	-	3	5	-	-	57	<b>66</b>

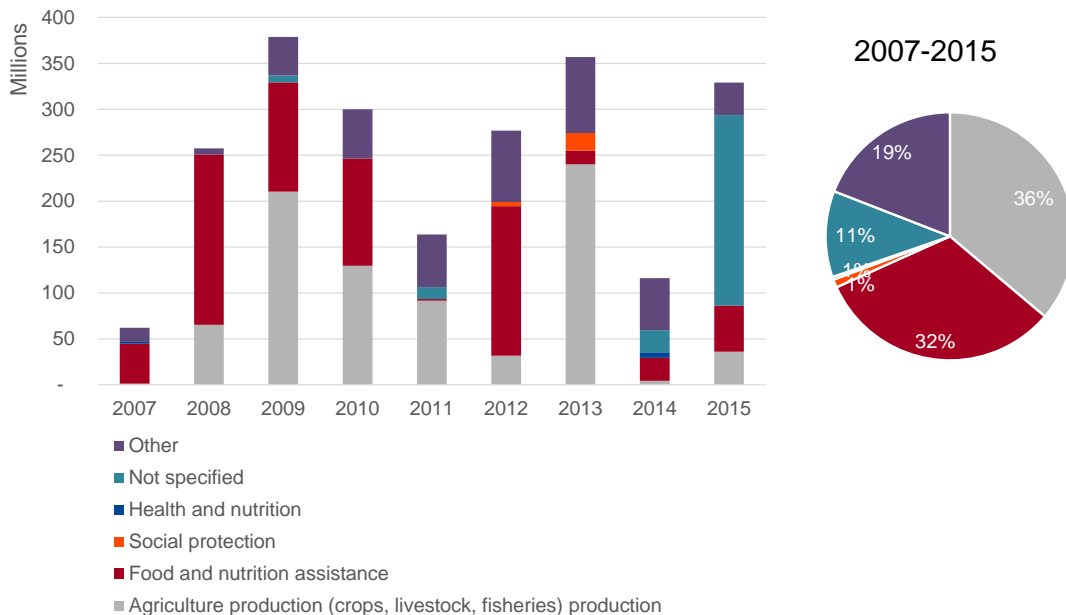
Contracted amounts of DEVCO resilience-related decisions, in €m

Source: ADE based on CRIS database

### 1.5 Sectoral breakdown

The sectoral breakdown in Figure 9 below shows that resilience-related decisions cover a range of different sectors. The two main sectors, representing two-thirds (68%) of total funding, are Agriculture and Food and Nutrition Assistance.

**Figure 9 – 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

<sup>1</sup> The table provides the total amounts contracted for each DEVCO commitment (decision), totalled at the year in which the decision was made.

## 1.6 Focus on nine countries

### 1.6.1 Methodology

The Terms of Reference for this evaluation place an emphasis on nine countries, namely Burkina Faso, Kenya, Somalia, Niger, Mali, Ethiopia, Chad, South Sudan and Senegal. A more in-depth inventory and typology has been conducted on these countries.

The global inventory of resilience-related decisions identified 74 decisions for these nine countries. They represent about 40% of the total number of decisions (187). In terms of contracting amounts they represent €1,510m which corresponds to 64% of the total inventory. For these 74 decisions the evaluation team downloaded all the action documents available in the CRIS database. For 17 of these 74 decisions no action document could be retrieved from CRIS.

We screened the action documents for the remaining 57 decisions in order to add insights to the initial inventory. We aimed in particular at defining a typology of actions in terms of objectives, partners, sectors, and so forth. We did so in a tick-all-that-apply manner, as a decision may cover several of them. The typology covers the following dimensions:

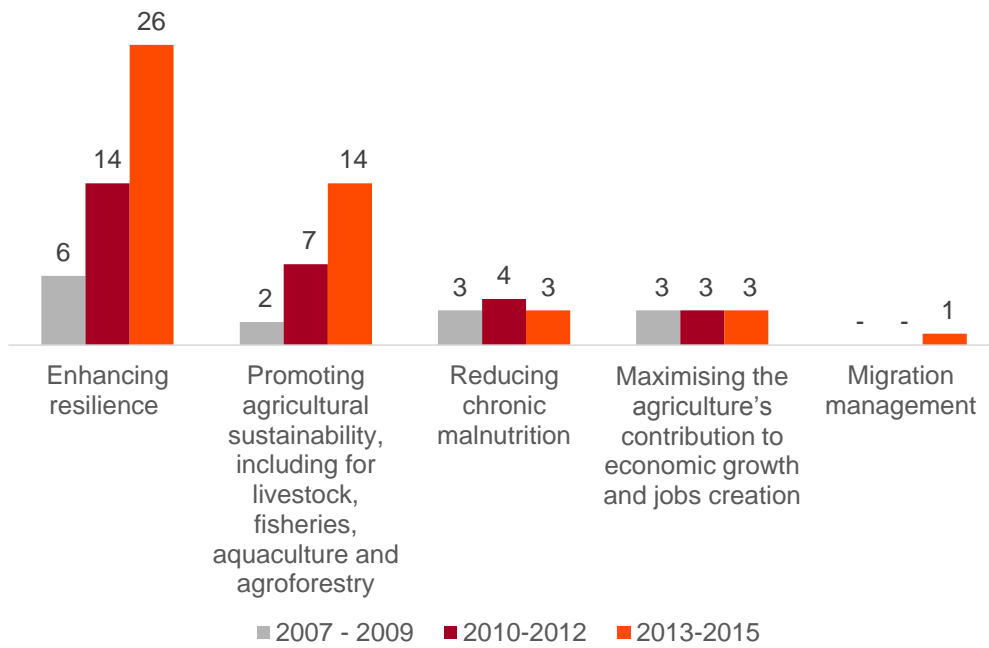
- the objectives of the decisions;
- the types of partners used;
- the sectors involved;
- the beneficiaries targeted;
- the types of related shocks and crises;
- the phases of crises.

The following sections address each of these six dimensions.

### 1.6.2 Objectives

We examined which of five types of objective were most relevant to the 57 decisions (see figure below). Most decisions targeted “enhancing resilience” (46 decisions out of 57, or 81%). An increase can be observed over the years with a peak in 2013-2015. A similar trend can be observed for the second most listed objective: “promoting agricultural sustainability” (40%). A decision with a “migration”-related objective is observed in 2013-2015, in line with the increasing attention to this matter in the EU agenda. The other types of objectives remain stable.

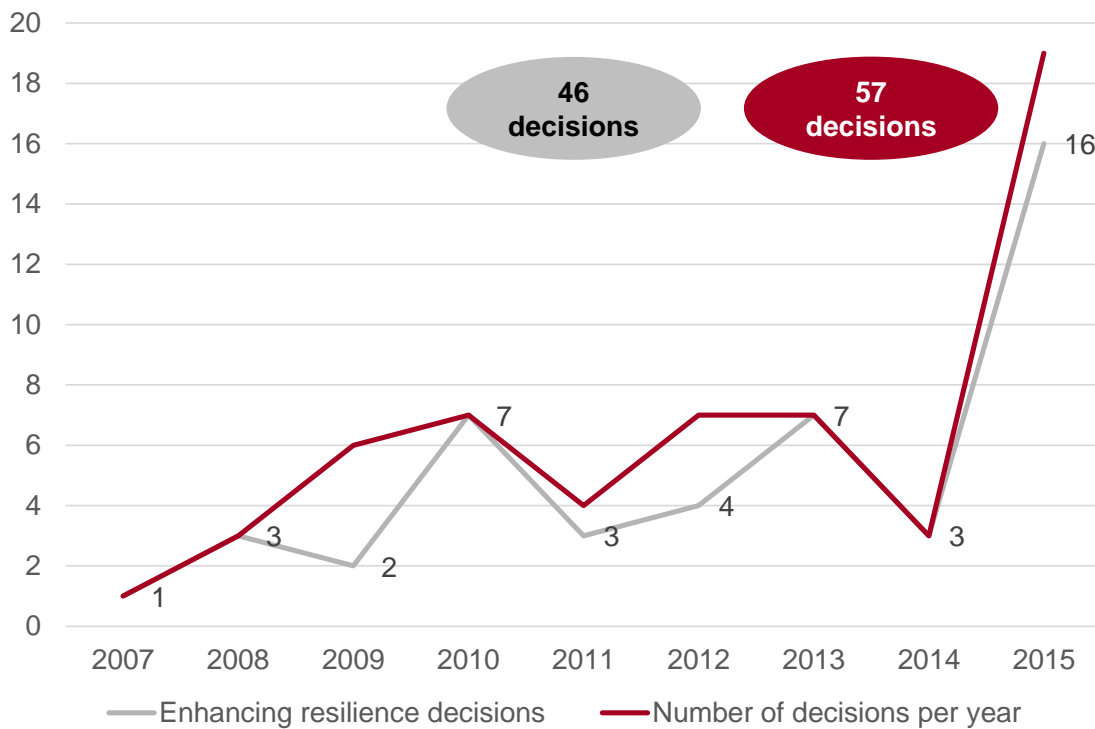
**Figure 10 – Evolution of targeted Objectives**



Analysis on 57 DEVCO resilience-related decisions in the nine countries  
 Source: ADE based on CRIS database and decisions' action documents

The figure below shows the evolution of decisions with an “enhancing resilience” objective in comparison with the total of 57 decisions examined in the nine countries.

**Figure 11 – Evolution of Enhancing Resilience Objective Decisions**



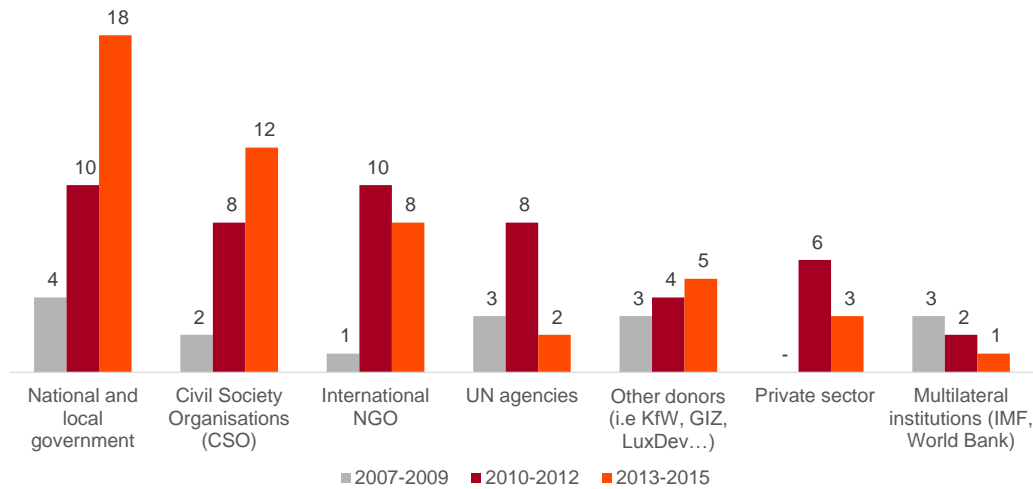
Analysis on 57 DEVCO resilience-related decisions in the nine countries  
 Source: ADE based on CRIS database and decisions' action documents

The following sections present the analysis of the “enhancing resilience” decisions (46 out of 57 decisions).

### 1.6.3 Types of partner

The main partners used over the entire evaluation period for decisions with an “enhancing resilience” objective are clearly national and local governments, accounting for 70% of the 46 decisions. Their use has significantly increased over time, as was also the case for CSOs.

**Figure 12 – Evolution of Partners used**

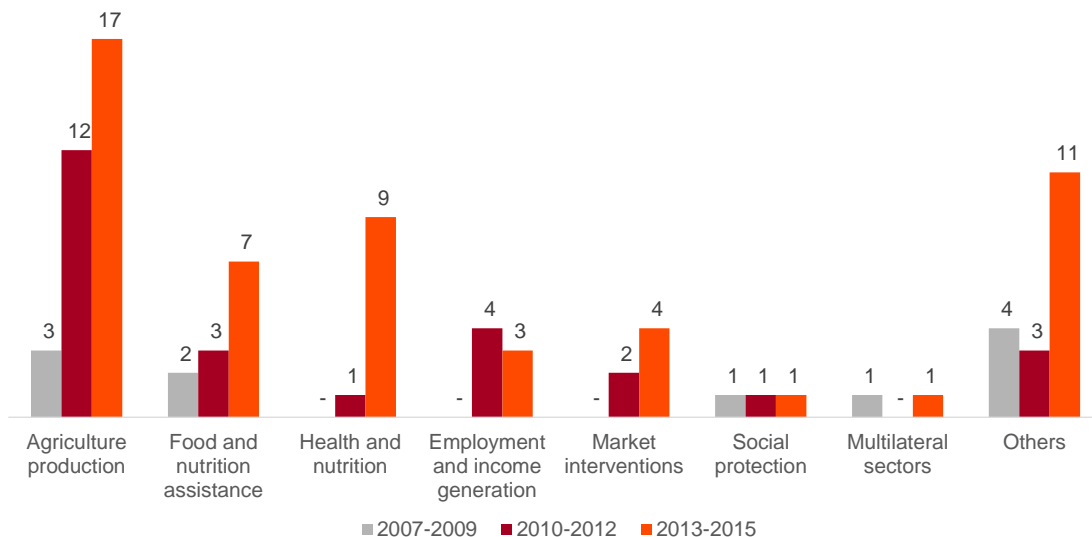


Analysis on 46 DEVCO resilience-related decisions in the nine countries  
 Source: ADE based on CRIS database and decisions' action documents

### 1.6.4 Sectors

The 46 decisions examined related in 70% of cases to agricultural production activities, in an increasing trend over the years. The second and third sectors are food and nutrition assistance and health and nutrition, corresponding to 26% and 22% of the total.

**Figure 13 – Evolution of Sectors involved**



Others include for instance roads, energy and water/sanitation  
 Analysis on 46 DEVCO resilience-related decisions in the nine countries  
 Source: ADE based on CRIS database and decisions' action documents

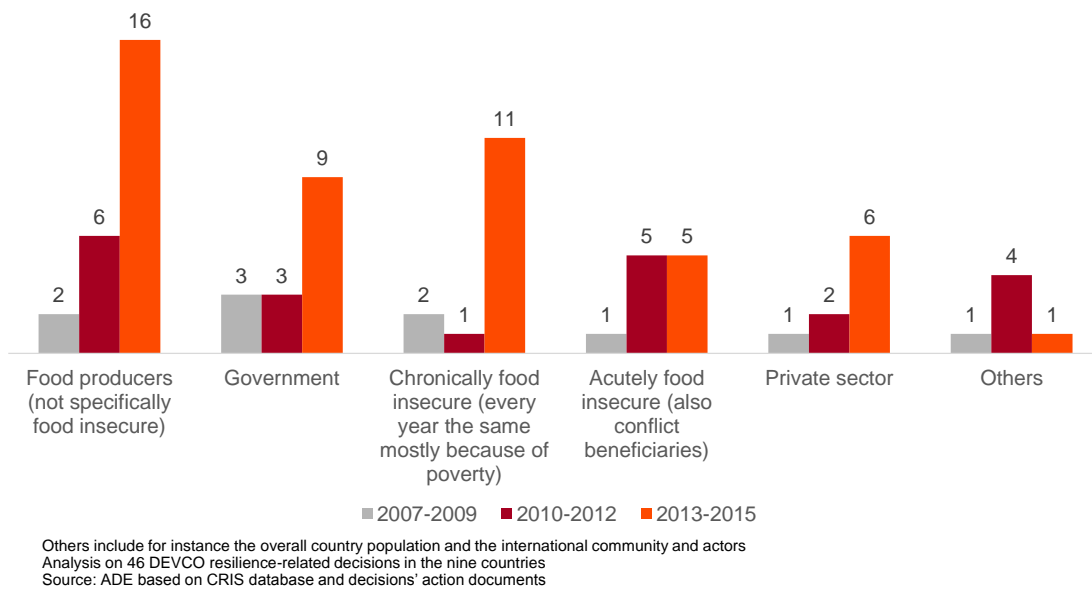
### 1.6.5 Beneficiaries

The main beneficiaries targeted by the 46 decisions are food producers (52%). Governments follow with 32%.

Only in a minority of cases were groups vulnerable to shocks targeted. In the majority of cases the beneficiaries were either farmers in general or the chronically food-insecure.

The trend over the years shows an increase in all types of beneficiary.

**Figure 14 – Evolution of Beneficiaries targeted**

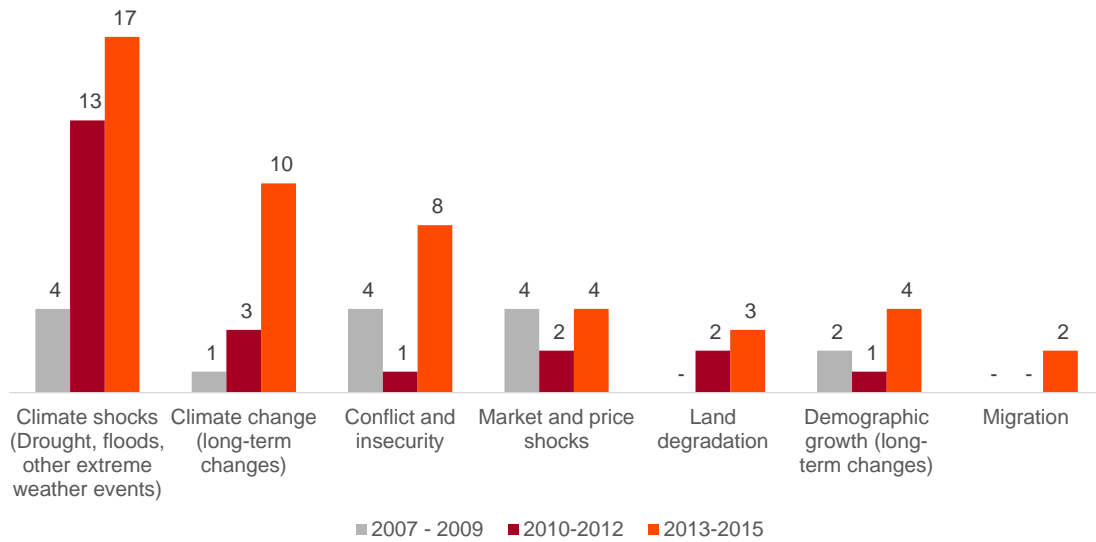


### 1.6.6 Shocks and crises

The 46 decisions aim in about two third of cases (74%) to respond to climate shocks such as droughts, floods and other types of extreme weather. Long-term climate change, conflict and security, and market and price shocks follow with respectively 30%, 28% and 22%.

The decisions show an increase of most shocks and crises over the years, except for market and price shocks which were lower during the period 2010-2012.

**Figure 15 – Evolution of Shocks and Crises**

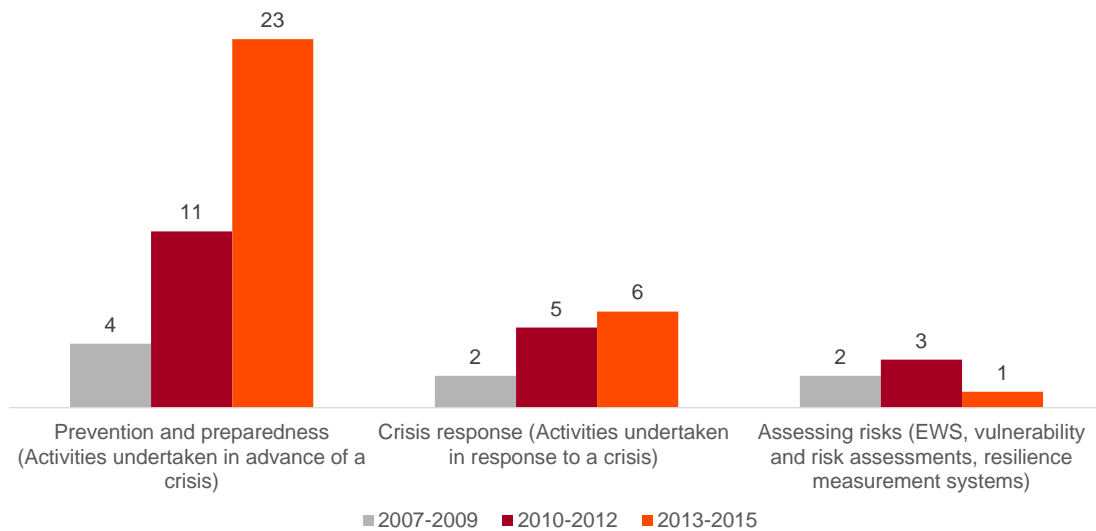


Analysis on 46 DEVCO resilience-related decisions in the nine countries  
 Source: ADE based on CRIS database and decisions' action documents

**1.6.7 Phase of crises**

More than two-thirds (83%) of the 46 decisions reviewed concentrated on prevention of and preparedness for shocks and crises, with a significant increase in recent years (2013-2015). Crisis response represented 28%, also increasing over time.

**Figure 16 – Evolution of Phases of crises**



Analysis on 46 DEVCO resilience-related decisions in the nine countries  
 Source: ADE based on CRIS database and decisions' action documents



## 2. ECHO

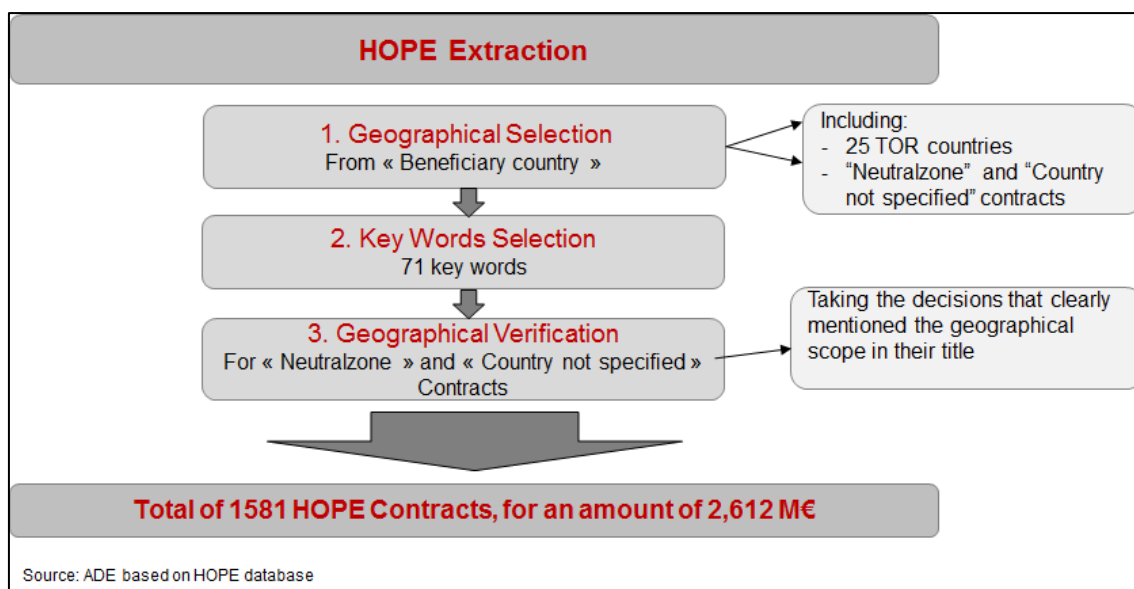
This section provides an overview of ECHO's spending activities on Resilience. After an introduction on the approach followed, the section presents a general overview of ECHO spending activities, followed by breakdowns by geography, sector, partner and lastly by the inclusion of "resilience" in the title.

### 2.1 Methodology

The ECHO inventory was elaborated on the basis of an extract from the HOPE database on 18 February 2016. As for the DEVCO inventory, it was discussed and agreed with the Commission Services at the inception stage of this evaluation.

The approach followed consisted in three stages as shown in Figure 17 below.

Figure 17 – HOPE inventory methodology



The following steps were taken:

- 1) A first selection of the contracts was made on the basis of **geography**. The 25 ToR countries and the "neutral zone" and "country not specified" contracts were included.
- 2) A list of **71 key words** was applied to the first selection made under item 1 (see complete list below).
- 3) The geography of the "**neutral zone**", "**country not specified**" contracts was verified one by one in order to retain only contracts corresponding to the required geographical scope.

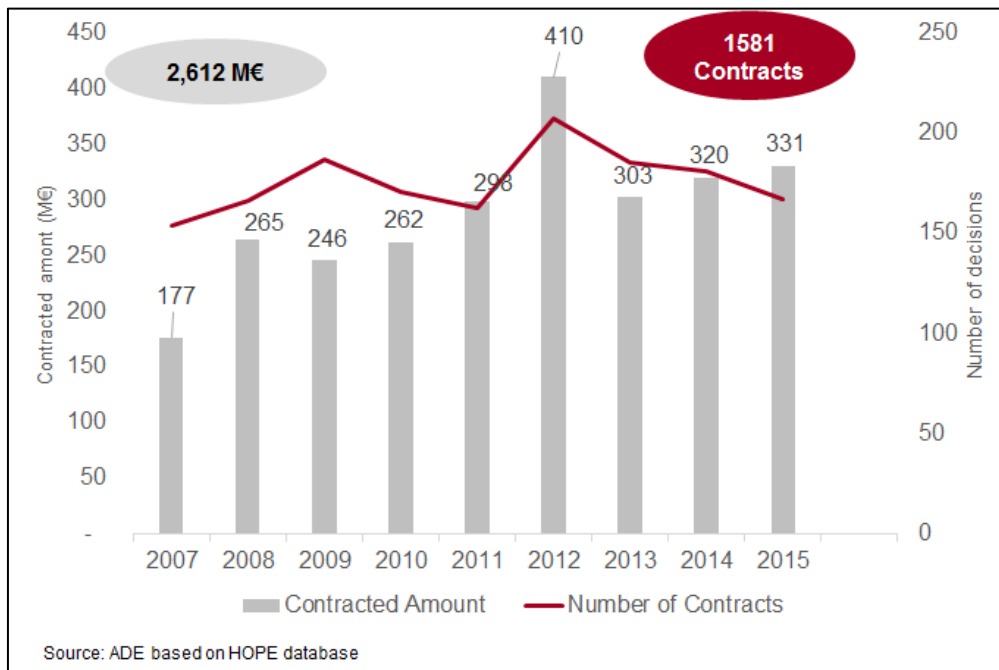
The table below lists the key words used to create the inventory. These key words were defined by reading relevant literature. The objective was first to define several key concepts related to the Resilience approach, and then derive the associated key words. The final list contains 23 key concepts and 71 key words. The list of key words is the same for the DEVCO and ECHO inventories.

Table 5 – List of key words for ECHO

Key concepts	Search keys	Key concepts	Search keys
<b>Resilience</b>	Resilien Résilien	<b>Drought</b>	Drought Sécheresse
<b>Food</b>	Food Food security Sécurité alimentaire Food facility Food crisis Alimenta Crise alimentaire Food aid Aide alimentaire Diète	<b>Flood</b>	Flood Inondation
<b>Nutrition</b>	Nutrition Wasting Stunting	<b>Desertification</b>	Desertification Désertification
<b>ECHO</b>	ECHO	<b>Drylands</b>	Dryland Zone aride
<b>Sustainable agriculture</b>	Sustainable agriculture Durable Sustainable	<b>Livelihood</b>	Livelihood Subsistance
<b>Climate change</b>	Climate change Adaptation Changement climatique Gouvernance climatique GCCA	<b>Emergency response</b>	Emergency Urgen
<b>SHARE AGIR</b>	SHARE AGIR IDRISI	<b>Social transfer</b>	Social transfer Transfer soci
<b>Linking relief rehabilitation and development</b>	LRRD Relief Aide d'urgence	<b>Social protection</b>	Social protection Protection soci Safety net
<b>Rural development</b>	Rural development Développement rural Développement rural	<b>Natural resource management</b>	Natural resource Ressource naturelle Ressources naturelles
<b>Livestock</b>	Livestock Zoonosis Cheptel	<b>Disaster Risk Reduction</b>	DRR Risk reduction Risk Disaster RRC Réduction des risques Risque Catastrophe Hazard
<b>Agriculture</b>	Agri Plant protection AGP	<b>Land governance</b>	Land governance Foncier
<b>Basic services</b>	Basic service		

A first overview of the ECHO inventory is presented in Figure 10. It shows that the evolution of the Resilience-related contracts grew slowly from 2007 with a peak in 2012. The total contracted amount by ECHO is estimated to total €2,612 billion and covers a total of 1,581 contracts.

**Figure 18 – Evolution of ECHO Resilience-related contracts from 2007-2015**

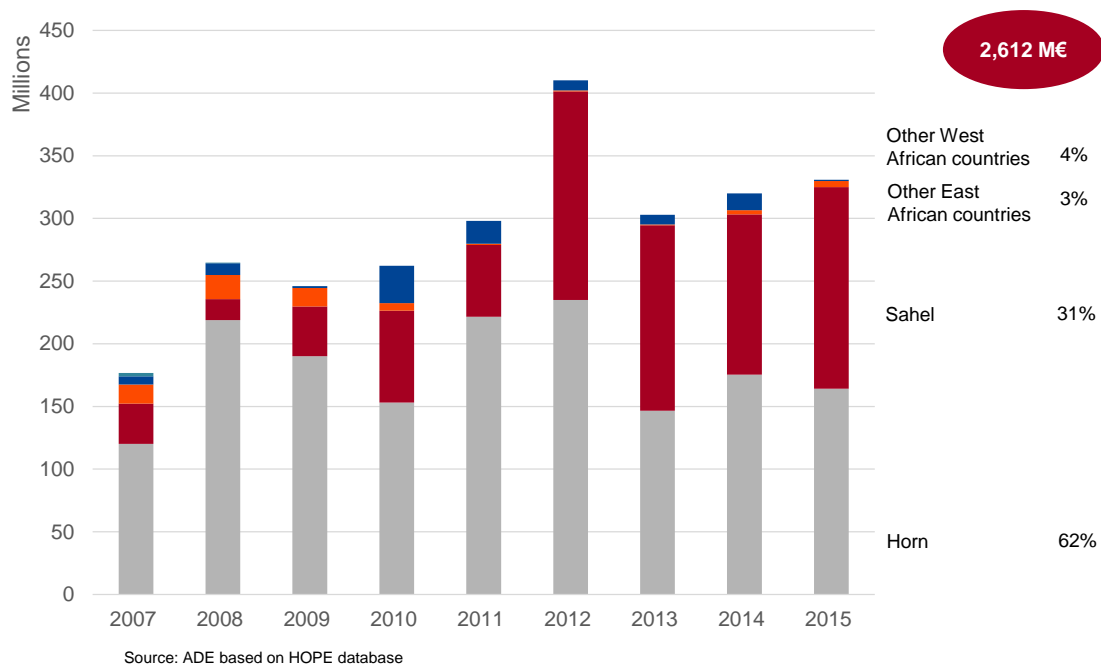


Of these 1,581 contracts, 101 include the term “resilience” in their title, more than half of them following the publication of the EU Communication on Resilience in 2012. The term was hence used much more early in ECHO contracts than in DEVCO decisions.

## 2.2 Geographical breakdown

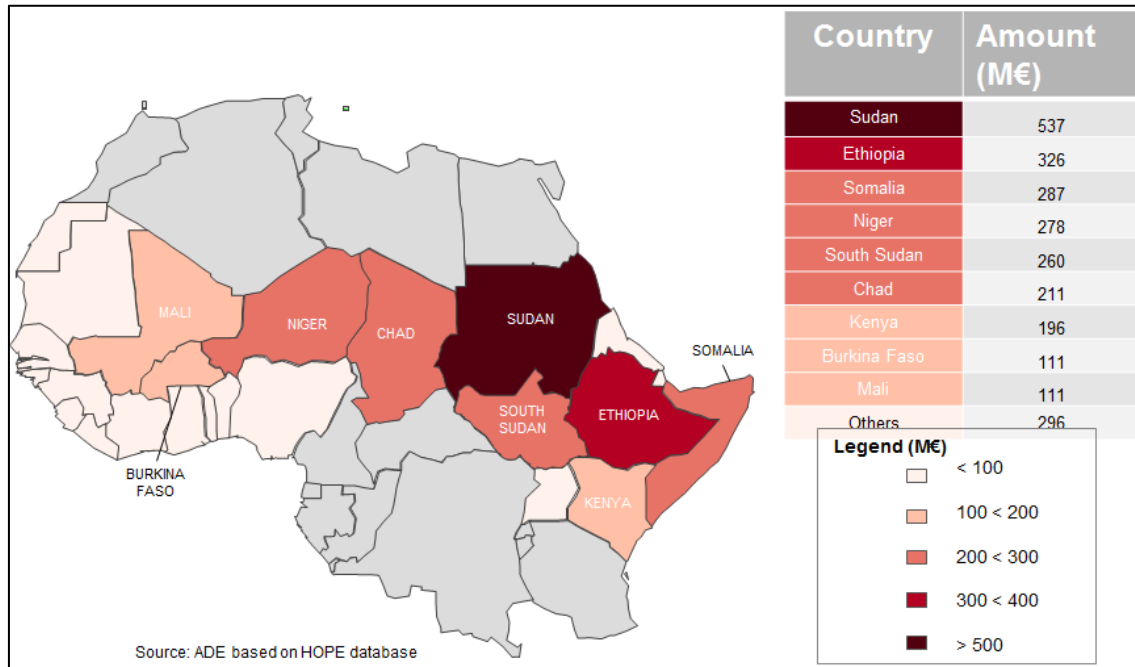
Overall, more than 60% of ECHO’s spending activities on Resilience was concentrated on the Horn of Africa region (see figure 11 below), while 31% of the funds were directed to the Sahel region.

**Figure 19 – Regional breakdown of ECHO Resilience related contracts (2007-2015)**



The highest-funded ECHO beneficiary was Sudan with €537m (see figure 12). Ethiopia is the second largest, receiving €326m. Sudan has 50 more contracts than Ethiopia (239 vs 183). These two countries represent 33% of total funding.

**Figure 20 – Country breakdown of ECHO Resilience-related contracts 2007-2015**



The table below provides the annual ECHO funding of the top 10 recipient countries of resilience aid. This pattern of expenditure appears to broadly follow patterns of humanitarian needs. Within this pattern several observations can be made. First, the distribution of humanitarian aid appears to be somewhat smoother than the corresponding peaks in needs. For example, drought triggered major crises in the Horn of Africa in 2007/08 and 2010/11 and parts of the Sahel in 2005 and again in 2012. However, humanitarian aid has been relatively consistent year-on-year. This suggests that aid has been used for more than simply a direct response to emergency needs.

Second, 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 on a resilience objective.

**Figure 21 – Ten largest recipients of ECHO country-specific aid, in €m<sup>2</sup>**

Countries	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total
SUDAN	79	104	70	94	88	28	28	22	23	<b>537</b>
ETHIOPIA	15	44	53	23	38	51	27	30	45	<b>326</b>
SOMALIA	14	27	33	24	47	50	35	37	21	<b>287</b>
NIGER	9	4	12	30	14	79	56	36	38	<b>278</b>
SOUTH SUDAN	-	-	-	-	-	74	46	74	65	<b>260</b>
CHAD	10	6	9	21	24	36	28	39	40	<b>211</b>
KENYA	8	37	34	10	45	28	11	13	10	<b>196</b>
BURKINA FASO	6	6	10	11	6	12	16	19	25	<b>111</b>
MALI	4	0	4	2	7	20	32	11	31	<b>111</b>
UGANDA	15	19	15	6	1	1	1	3	5	<b>66</b>

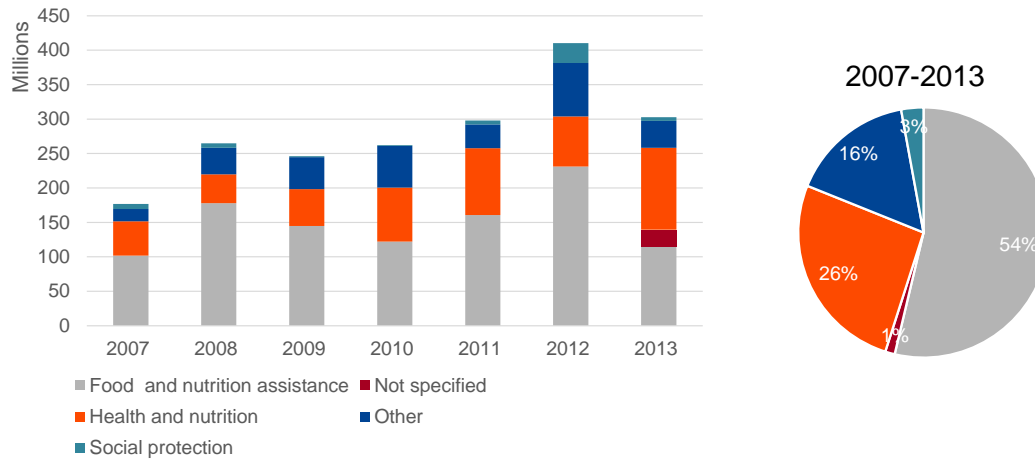
Source: ADE based on HOPE database (contracts, €m)

### 2.3 Sectoral breakdown

The sectoral breakdown in Figure 22 below shows that the two main sectors identified are (i) food and nutrition assistance and (ii) health and nutrition. Their proportion in the overall amounts remain.

However a large number of contracts, 25% of the total, have no sector defined in the HOPE Contract Module. This was particularly the case for contracts in 2014 and 2015 (which are hence not included in the figure).

**Figure 22 – ECHO Resilience related contracts by Sector<sup>3</sup>**



Other include e.g. water/sanitation, disaster preparedness and shelter  
 The 2014 and 2015 ECHO contracts do not mention a specific sector  
 Source: ADE based on CRIS database

<sup>2</sup> Resilience related decisions 2007-2015

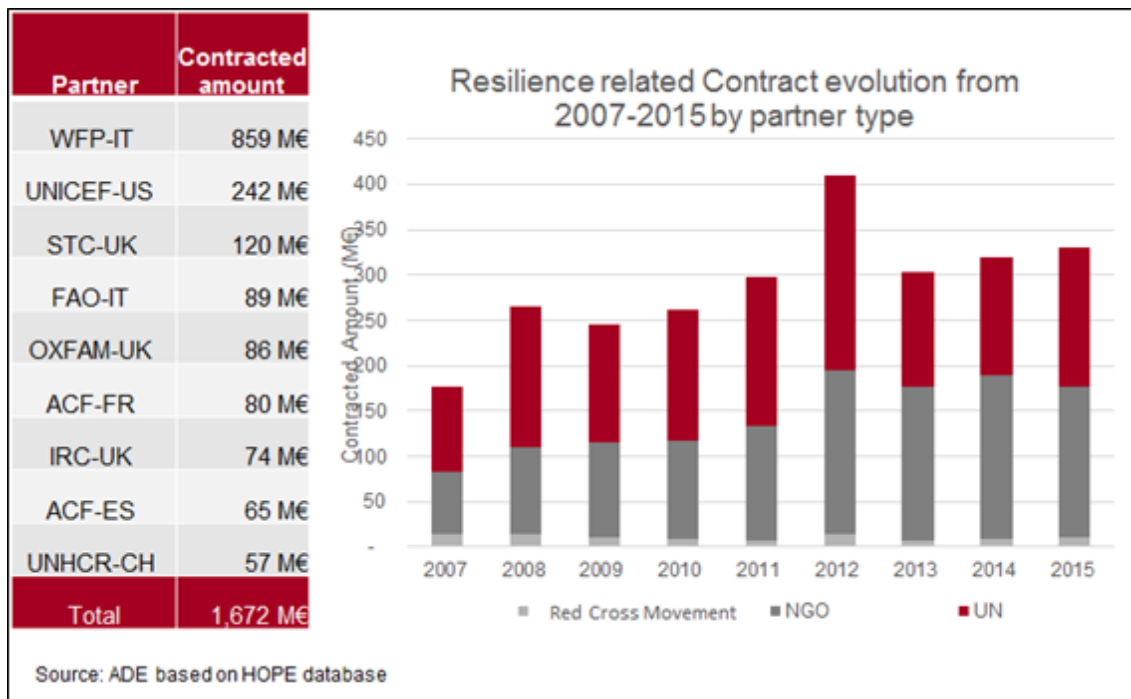
<sup>3</sup> "Others" include for instance protection, shelter first aid items, and community services.

## 2.4 Partner breakdown

The list of the top ten partners in Resilience for ECHO is shown in Figure 14. 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.

Figure 14 also presents a subdivision of the contracted amount by type of partner over the years. It can be seen that ECHO has used NGOs more in recent years than previously. In 2015 the NGOs and the UN agencies are present in almost equal numbers.

**Figure 23 – ECHO Resilience related contracts by Partners (2007-2015)**



## 3 DEVCO and ECHO Joint Activities

There are several programmes on Resilience that are funded by both ECHO and DEVCO. These are the programmes SHARE, AGIR and RESET.

We checked whether these programmes could be easily found in the ECHO and DEVCO databases. There is no mention of any of them in the title of the contracts in the HOPE database. On CRIS the RESET programme was clearly identified, but for AGIR and SHARE it was less clear; SHARE was mentioned once. This implies that it is not easy to trace decisions relating to those programmes, not that they are excluded from our inventory.

Moreover, the investigation also covered how many times ECHO was mentioned in the CRIS database. DEVCO is not mentioned as such in ECHO contract titles. On the other hand ECHO is mentioned in 32 CRIS decisions, 78% of which are in the emergency response sector.

Finally, the B-envelope was mentioned once in the DEVCO database.

## Annex D: In Depth Studies

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In-depth studies have been undertaken to inform further the evaluation on specific topics. They provide evidence and findings as inputs to answers to specific EQs and JCs. The studies have been developed with evidence gathered during the desk and the field phase, including document and data reviews, interviews and on-line survey results.

This annex presents the in-depth studies conducted:

1. Assessment of the evolution of the EU resilience approach over the period, and its application in different countries
2. Assessment of the integration of conflict and security issues into the resilience agenda
3. Assessment of technical and financial partner co-ordination on building resilience
4. Assessment of level of ownership of resilience approach within Governments and local partners in Sahel and in Horn
5. Assessment of progress in resilience measurement.

## **IDS 1: Assessment of the evolution of the EU resilience approach over the period, and its application in different countries**

### **Introduction**

The EU's approach to resilience has evolved from accumulated experience of responding to recurrent food crises in the Sahel and Horn of Africa. Both Sahel and the Horn of Africa have indeed suffered a variety of shocks in the years preceding 2012, including national and international armed conflicts, political upheaval, drought and food crises. Prior to 2012 the EU had published a range of policy documents which, at least in part, sought to strengthen approaches to reducing vulnerability to food crises.

This *In-Depth Study* examines to what extent, and how, the resilience approach has evolved over the period. In particular, the study seeks to address the following questions:

- How has the EU approach to resilience evolved since 2007, and what are the key drivers behind the observed policy changes?
- How does the EU policy compare to that of other key donors?
- What are the key lessons from various strategies and instruments applied over the period and relevant to the Resilience Approach?

This study is related to EQ1 (JC 1.1 and 1.2). It is based on a review of EU and national policy documents, EU resilience literature and relevant programme and projects documents. Interviews were conducted with ECHO, DEVCO and EEAS officials based both in Brussels and the EU Delegations as well as with other donors and national partners working on resilience issues.

### **How has the EU approach to resilience evolved since 2007?**

#### **2007 - 2011: Policy developments on DRR, Climate Change Adaptation and Food Security.**

The review of most relevant policy development during the 2007-2006 period shows that most refer to the resilience concept and that key elements of the resilience approach formalised in 2012/2013 had already been developed in various policy orientations (see Table 1 for analysis of key element of resilience approach covered by preceding policy orientation documents).

- Geographical focus: The Agenda for Change (2010) underlines specific EU commitment to supporting neighbouring countries including sub-Saharan Africa, addressing vulnerability and Fragile States.
- Thematic scope: The EU Resilience Approach presents itself at the intersect of DRR, Climate Change Adaptation, and Food Security issues for which the EU had developed or revisited a policy corpus during the 2007-2012 period.
- Attention to learning, innovation, evidence: this is a focus of all thematic policies, and specific innovation or learning challenges highlighted in largely predated resilience policy papers.
- Humanitarian - development interface: The first EU communication on LRRD dates from 1995. Joint Humanitarian–Development Strategic Planning was introduced in the COM (2006) - 21: A thematic Strategy for Food Security. The *contiguum* concept was introduced on the 2010 Communication on Food Assistance.



- Commitments to support country ownership and coordination have been reaffirmed repeatedly since the Paris Declaration and are clearly prioritised by both the European Consensus on Development (2006) and the Agenda for Change (2010).
- The multidimensional nature of resilience extends 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.

**Table 1 - Elements of the EU Resilience approach developed in policy commitment preceding the formalization of the resilience approach in 2012-2013.**

	<b>COM 2001 - 153: Linking Relief, Rehabilitation and Development – An assessment</b>	<b>COM 2006 - 21: A Thematic strategy for food security: Advancing the food security agenda to achieve the MDGs</b>	<b>COM 2009 - 84: EU strategy for supporting DRR in developing countries</b>	<b>COM 2010 - 127: An EU policy framework to assist developing countries in addressing food security</b>	<b>COM 2010 - 126: Humanitarian Food Assistance</b>
<b>Attention to evidence</b>		Research, GIS, training, networking, EWS. FSTP may support the development and testing of innovative,....., as well as dissemination of best practices in the field of food security	Research Risk assessment (local to international), networking, EWS	Research on sustainable agriculture	Results based approach, enhancing M&E
<b>Adapting instruments</b>	Flexibility of CSP; Adapting procedures for more flexible and timely response.	Promotion of the use of cash transfers; launch of FSPT	Better integration of available instruments and development of Global Climate Financing Mechanism	While short term responses to crises often require mobilisation of <i>ad hoc</i> humanitarian instruments, other mechanisms and capacities need to be built and maintained to reduce the risks of crises occurring and to manage their effects.	Acknowledging limits of humanitarian instruments to address chronic food insecurity: In principle, it will not use humanitarian food assistance to address chronic food insecurity
<b>Attention to foreign policy/cooperation/humanitarian aid coordination and</b>	In post-conflict situations, LRRD seen in a broader economic, social and political context. ECHO should focus on its core mandate. If the EC is nonetheless committed to	Establish LRRD country strategies with a specific focus on food security. Work at the Commission level will be steered by a standing LRRD inter-	Mainstream DRR into disaster response and recovery processes, and harmoniously link DRR and adaptation objectives	Close linkage between humanitarian and development actors and instruments is essential and should be promoted using Linking Relief	Humanitarian food assistance operations and food security development interventions should ensure an optimal coverage of emergency

<b>complementarities</b>	continue its assistance, appropriate longer-term instruments to be mobilised in timely fashion.	service working group within the Commission.		Rehabilitation and Development (LRRD) principles.	and development needs, whether they succeed each other in a continuum or coexist in a contiguum, as in many fragile states
<b>Attention to coordination</b>	Better organized and increased co-ordination between the various multilateral, regional and non-governmental actors should strengthen the synergies in the international response to crises...	Maximum coordination and harmonization with other donors will be ensured. Develop Global programmes as a means of developing common approaches across ..., to promote the advancement of the EU agenda on food security; fostering external coherence and complementarity in line with the Paris Declaration.	To take forward the political dialogue on DRR, oversee the implementation of the strategy and foster coordination and alignment of EU support, the Commission will set up an EU DRR Steering Group including the Commission and EU Member States.	The EU and its Member States should identify regions and countries where tasks will be divided based on comparative advantage and coordinate actions under the guidance of a lead donor.	The EU and its Member States support the idea of inclusive coordination of Humanitarian Food Assistance under strong and capacitated governance and leadership... the Commission endorses the cluster approach to coordination...
<b>Attention to governance and national ownership</b>		FSTP may support the development and testing of innovative, sustainable and locally-owned policies, strategies and approaches, as well as dissemination of best practices in the field of food security	Increasing EU policy dialogue on DRR in developing countries while supporting national and local ownership striving to bridge institutional gaps that exist between DRR as a development, a humanitarian and a climate change issue	Attention to ownership and governance at all levels (e.g.: support to farmers organisations, Support to CADDP process, Support to CFS reform...)	Emphasis on advocacy: Coordination and advocacy are needed to influence the public policy debates and the resource-allocation decisions of national governments and development actors towards meeting food-security objectives.

Source: ADE

**2012-2013: Development of the current EU approach to resilience.**

Three key policy orientation documents were published in 2002 and 2013. Communication 586 (2012), Council Conclusions (2013), Resilience Action Plan (2013). The joint nature (ECHO-DEVCO-EEAS) is an important feature of these policy documents.

The Communication, first of the series, was developed in June and July 2013 to be launched in October. It presents the main lessons learnt from the EU experience and outlines the characteristics of the EU approach, building on two regional initiatives launched in 2012: AGIR and SHARE. Table 2 presents the key characteristics of the EU resilience approach presented in the subsequent documents. Grey lines in Table 2 highlight the key inflections from one document to the other.

**SHARE (initially launched in 2011):** The European Union launched SHARE (Supporting the Horn of Africa's Resilience) in response to the IGAD call of action on resilience. It is a joint humanitarian-development approach to improving the ability of people, communities and countries to face persistent and acute emergencies. With a package of more than €270 million, SHARE has boosted resilience initiatives in the Eastern Horn of Africa countries ([Ethiopia](#), [Kenya](#), [Djibouti](#) and [Somalia](#)) since 2012. Early lessons from SHARE are that it helped narrowing the humanitarian-development gap, influenced the EU to focus more of its interventions on high vulnerability areas, and stimulated learning within the EU.

**AGIR (launched in 2012):** AGIR has been launched as the EU response to recurrent food crises in the Sahel. Initially rooted in ECHO work and diagnosis in the region, it was initially led by ECHO. After the initiative was launched by Commissioner Giorgieva early 2012, a number of consultative meetings (Lomé, Brussels) took place in 2012. AGIR was officially launched during the 2012 RPCA meeting in Ouagadougou. A regional roadmap was developed and adopted in April 2003, defining the four AGIR priority pillars: Social Protection, Nutrition, Sustainable Agriculture and Governance. AGIR is now formally adopted as an ECOWAS/WAMU initiative, its coordination cell sits in CILSS and AGIR benefits from the SWAC technical support. At present 16 countries of the CILSS and ECOWAS region have started working on the preparation of a Country Resilience Plan. Ten CRP are now finalised, and six (Niger, Burkina Faso, Chad, Mali, Togo, Ivory Coast) have been adopted.

Despite the nature of AGIR (an alliance to support policy development and coordination), it still seems to carry the image of a donor-led initiative, framing the strategy for further investment by the same donors and possibly others. Although it will be difficult to assess AGIR's results beyond its effects on EU investments priorities, opinions on the extent of appropriation by national and regional institutions seem to diverge.

Beyond these evolutions (rather than shifts) in the EU resilience approach with the adoption of the 2013 Action Plan, all key residence policy documents (the Communication 586, the Council Conclusions, and Action Plan 227) are consistent with preceding policy orientations and demonstrate a high level of policy continuity. Several interviewed EU staff consider that their programming was already pro-resilience before this set of policy orientations was adopted.

Since 2013 the multi-sectoral and multi-stakeholder dimension of the resilience approach has been further affirmed in subsequent presentations of the EU resilience approach. This

is coherent with the growing influence of the Nutrition<sup>1</sup> and Social Protection<sup>2</sup> policy commitments within the EU approach to resilience after 2012, as confirmed by interviews.

**Since 2015 there has been a growing emphasis on multi-sectorality and the rise of the migration and the security agendas.**

The latest shift in the EU approach to resilience has to do with the rise of the migration and security agenda within the EU cooperation. Lack of resilience is increasingly framed as one of the root causes of migration that the EU cooperation should contribute to reducing. The policy focus of the Emergency Trust Fund for Africa is “*stability and addressing root causes of irregular migration and displaced persons in Africa*”, for which resilience is seen as one of the pillars contributing to migration prevention rather than an approach or a goal in itself. Interviewed EU staff both at Brussels level and in individual countries expressed concerns about the resilience approach agenda being shadowed by emerging migration issues. While the EU resilience approach has been developed as an approach to building resilience to food crises, resilience is now used as a broader concept covering all kinds of risks (incl. climate change, security...)<sup>3</sup>, focusing not solely on food crises but on all kinds of human development outcomes.

**EU Trust Fund for Migration:** The EU has launched an “Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa”. It is made up of €1.8 billion from the EU budget and the European Development Fund (EDF), to be complemented by contributions from EU Member States (€81.3 to date) and other donors.

Focus countries and regions are:

- The Sahel region and Lake Chad area
- The Horn of Africa
- The North of Africa
- Neighbouring countries of the eligible countries may benefit, on a case by case basis, from Trust Fund projects

Thematic focus building on four pillars, pillar 2 is the “resilience pillar”:

1. Establishing economic programmes that create employment opportunities, especially for young people and women, with a focus on vocational training and the creation of micro and small enterprises.
2. Projects supporting basic services for local populations such as food and nutrition security, health, education and social protection, as well as environmental sustainability.
3. Projects improving migration management, including containing and preventing irregular migration, effective return and readmission, international protection and asylum, legal migration and mobility, and enhancement of synergies between migration and development.
4. Supporting improvements in overall governance, in particular by promoting conflict prevention and enforcing the rule of law through capacity-building in support of security and development as well as law enforcement, including

<sup>1</sup> 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

<sup>2</sup> Social Protection in European Union Development Cooperation COM 2012 446

<sup>3</sup> SDW (2016), 339: Next steps for a sustainable European future European action for sustainability

border management and migration-related aspects. Actions could also contribute to preventing and countering radicalisation and extremism.

The Trust Fund pools together money from different European Commission financial instruments under the EU budget, including considerable new resources. Fresh funding is emanating from the 11<sup>th</sup> European Development Fund (EDF) reserve, complemented by the integration of some funds from the Regional Indicative Programmes for West, Central and Eastern Africa, along with contributions from National Indicative Programmes for the Horn of Africa

**Table 2 - Analysis of EU Resilience approach key policy orientation documents: key content and evolutions.**

	<b>Communication 586 (2012)</b>	<b>Council Conclusions (2013)</b>	<b>Resilience Action Plan (2013)</b>
A. Thematic and geographical focus: content of key policy docs	<ul style="list-style-type: none"> <li>Including increased resilience as a goal of EU external assistance in countries facing recurrent crises, with programmes that address the underlying causes of crises.</li> <li>Anticipating crises by assessing risks, focusing on prevention and preparedness, enhancing crisis response.</li> <li>The focus is on food security in sub-Saharan Africa, but this approach can equally be applied to other regions and other types of vulnerability (for example, regions threatened by floods, cyclones, earthquakes, droughts, storm surges and tsunamis, climate change, or food price increase).</li> <li>Resilience strategies should contribute to different policies, in particular Food Security, Climate Change Adaptation and Disaster Risk Reduction (DRR).</li> </ul>	<ul style="list-style-type: none"> <li>The EU approach to resilience is aimed at addressing both natural and man-made disasters, including slow- or rapid-onset disasters, large-scale emergencies and localised but frequent stresses and shocks, as well as crises in fragile or conflict-affected States.</li> <li>Address root causes through risk reduction, prevention, mitigation and preparedness.</li> <li>Help vulnerable populations to participate in sustainable economic growth.</li> <li>Ensure a gender- and child-sensitive approach.</li> <li>Focus on vulnerable households through a rights-based approach that facilitates access to basic services.</li> </ul>	<ul style="list-style-type: none"> <li>Aligning DRM on the resilience agenda Disaster Resilience in Africa, Caribbean and Pacific.</li> <li>Promote integrated approaches to Climate Change Adaptation, DRR and resilience.</li> <li>Integrating resilience into food and nutrition security agenda.</li> <li>Scaled-up social protection initiatives- Strengthen assistance mechanisms for vulnerable population groups</li> <li>Equity – a people-centred approach</li> <li>Support the creation of inclusive growth opportunities for vulnerable populations and providing long-lasting solutions for their resilience strengthening</li> <li>Initiatives of multi-actor territorial approaches, urban resilience initiatives, resilience approaches to protracted refugee IDP caseloads</li> </ul>
Thematic and geographical focus: analysis of changes from the communication to the action plan	<ul style="list-style-type: none"> <li>Core geographical focus is African Drylands and vulnerability food crises, but approach considered replicable in other region and to address other vulnerabilities.</li> <li>Focusing on prevention and preparedness, enhancing crisis response.</li> <li>Reference to DRM, DRR, and Climate Change Adaptation.</li> <li>Addressing underlying causes</li> </ul>	<ul style="list-style-type: none"> <li>No specific geographical focus or type of vulnerability.</li> <li>More emphasis on sustainable growth, rights, gender and child sensitivity</li> </ul>	<ul style="list-style-type: none"> <li>More emphasis on nutrition, territorial approaches, urban resilience initiatives, and specific resilience approaches to protracted refugee IDP caseloads.</li> </ul>
B. Attention to evidence	<ul style="list-style-type: none"> <li>Multiplying up and sharing best practices from resilience building initiatives.</li> </ul>	<ul style="list-style-type: none"> <li>Promote accountability, transparency, efficiency and effectiveness, including through the development of robust monitoring and evaluation frameworks and related measurement tools.</li> </ul>	<ul style="list-style-type: none"> <li>Innovation, learning and advocacy.</li> <li>Enhancing the resilience knowledge base requires research on improved resilience and evaluations of resilience</li> </ul>

	Communication 586 (2012)	Council Conclusions (2013)	Resilience Action Plan (2013)
			programmes and resilience components <ul style="list-style-type: none"> <li>Building on positive and successful development and humanitarian experiences</li> </ul>
Attention to evidence: analysis of changes	<ul style="list-style-type: none"> <li>Emphasis on sharing best practices</li> </ul>	<ul style="list-style-type: none"> <li>Additional emphasis on measurement methodologies and M&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>No other change</li> </ul>
C. Instruments	<ul style="list-style-type: none"> <li>Ensuring flexibility in humanitarian programmes, in mobilising non-programmed funds to respond to crises and flexible programme design to allow quick and timely action.</li> <li>Develop innovative approaches to risk management, including the role of insurance in disaster management.</li> </ul>	<ul style="list-style-type: none"> <li>A joint, inclusive, flexible and multi-sectoral approach to programme design.</li> <li>The EU and its Member States will promote new and innovative approaches, including the development of social protection mechanisms such as social safety nets and enhanced work in the field of risk management related to the fields of insurance and re-insurance;</li> </ul>	<ul style="list-style-type: none"> <li>Methodologies and tools to support resilience.</li> <li>Expand support to innovative risk financing solutions at a national and local level; insurance, reinsurance, catastrophe bonds, diaspora bonds, remittances, etc.</li> </ul>
Instruments: analysis of changes	<ul style="list-style-type: none"> <li>Emphasis on flexible instruments (Trust Funds are mentioned) and on risk financing mechanisms.</li> </ul>	<ul style="list-style-type: none"> <li>Additional emphasis on multi-sectoral approaches.</li> </ul>	<ul style="list-style-type: none"> <li>No other change</li> </ul>
D. Foreign policy, cooperation, humanitarian aid coordination and complementarities	<ul style="list-style-type: none"> <li>Joint and complementary programming of resilience-related actions in humanitarian and development assistance.</li> </ul>	<ul style="list-style-type: none"> <li>Establish a shared (EU/MS and development/ humanitarian) definition of strategic priorities and multi-sectoral development programmes, based on well-informed context analyses</li> <li>Recognize complementary roles of humanitarian action, development cooperation and political dialogue, especially in fragile or conflict-affected States.</li> <li>In this context, the EU will complete its guidance on how to link humanitarian and development interventions at country level and will operationalise this through headquarters and field structures in close cooperation with Member States and other donors;</li> </ul>	<ul style="list-style-type: none"> <li>Requires all EU actors (humanitarian, development and political) to work together differently and more effectively.</li> </ul>



	Communication 586 (2012)	Council Conclusions (2013)	Resilience Action Plan (2013)
Foreign policy, cooperation, humanitarian aid coordination and complementarities: analysis of changes	<ul style="list-style-type: none"> <li>Joint Humanitarian Development Programming</li> </ul>	<ul style="list-style-type: none"> <li>Commitment to complete guidance on link humanitarian &amp; development interventions</li> <li>More emphasis on recognition of complementary roles of humanitarian action, development cooperation and political dialogue, especially in fragile or conflict-affected states</li> </ul>	<ul style="list-style-type: none"> <li>No other change</li> </ul>
E. Attention to coordination (outside looking)	<ul style="list-style-type: none"> <li>Coordinated action on resilience with host governments, other donors, regional and international organisations and other stakeholders.</li> <li>Promoting resilience in international fora and strategic partnerships.</li> </ul>	<ul style="list-style-type: none"> <li>Coherent international response, including development partners and multi-lateral actors.</li> <li>Work with diverse partners including civil society, local authorities, private sector and regional institutions.</li> </ul>	<ul style="list-style-type: none"> <li>Coherence, complementarity, coordination and continuity.</li> </ul>
Attention to coordination (outside looking): analysis of changes	<ul style="list-style-type: none"> <li>Coordinated action on resilience with host governments, other donors, regional and international organisations and other stakeholders.</li> <li>Promoting resilience in international fora and strategic partnerships.</li> </ul>	<ul style="list-style-type: none"> <li>No change</li> </ul>	<ul style="list-style-type: none"> <li>No other change</li> </ul>
F. Governance	<ul style="list-style-type: none"> <li>Aligning EU support with the partner's policies and priorities, in accordance with established Aid Effectiveness principles.</li> <li>Capacity-building for risk and vulnerability assessments, as the basis for elaborating national resilience strategies and designing specific projects and programmes.</li> <li>Active political dialogue with partner countries and organisations in the regions to support resilience in fragile or conflict-affected states.</li> </ul>	<ul style="list-style-type: none"> <li>Resilience is primarily the national Governments responsibility.</li> <li>Invest in capacity strengthening to support local ownership.</li> </ul>	<ul style="list-style-type: none"> <li>Support for the development and implementation of national resilience approaches integrated in National Development Plans.</li> <li>Country owned and country-led.</li> <li>Alignment with the Principles for International Engagement in Fragile States and Situations.</li> </ul>
Governance: analysis of changes	<ul style="list-style-type: none"> <li>Attention to alignment and country ownership, capacity building and specific ways of engaging with fragile states.</li> </ul>	<ul style="list-style-type: none"> <li>No other change</li> </ul>	<ul style="list-style-type: none"> <li>No other change</li> </ul>

Source: ADE

## Country level dynamics

Beyond global or regional trends in the resilience approach, endogenous dynamics and shifts in approaches have occurred at national level. The following examples have been underlined by fieldwork:

- In Ethiopia, the EU intervention strategy has gradually moved its main focus from strengthening humanitarian and development collaboration to stronger connections with national programmes with the objective of strengthening the livelihood component of the PSNP.
- In Mali, recent strategic developments have built on a favourable environment<sup>4</sup> to develop an operational approach with a specific focus on delivering multi-sectoral services packages in conflict-affected areas.
- In Burkina Faso, a more favourable environment for nutrition has allowed development of a strategy opening up perspectives for strengthening national capacities for acute malnutrition treatment in a sustainable way during the coming years.
- In Niger, the EU operational strategy, strongly focused on budget support, is building on experience of targeted budget support to the DNPGCC as well as opportunities offering by the I3N institutional framework in Niger.
- In Somalia, the resilience approach has been gradually integrated more into capacity-building as far as permitted by the institutional environment. At the same time the thematic focus was broadened to utilize resilience as a broader risk management concept, notably taking account of conflict-associated risks and fragility.
- In Kenya, DEVCO has focused on working with the national government, continuing its support for the Arid and Semi-arid Lands (ASALs) by supporting the formation and legal incorporation of the National Drought Management Authority (NDMA) and by providing technical assistance and capacity-building in support of the Common Programme Framework for Ending Drought Emergencies, which is recognized as Kenya's investment plan for reducing the effect of drought-related hazards.

### **The development of the EU resilience approach has responded to several drivers, including the following:**

- The recurrence of food crises in the Sahel and the Horn since the early 2000's (see Figure 1); the 2005 crisis in Niger led to challenging the understating of the causes of such crisis, highlighting the deepening vulnerability of a growing number of people<sup>5</sup> that were not targeted by growth promotion policies.
- The 2007-2008 world food price crisis, which has renewed the focus on food price volatility stabilisation and mitigation policies.
- The 2009/2010 crisis in The Sahel, and the 2011-2012 food crises in the Horn and the Sahel, widely spread over the focus countries and concomitant with growing political instability in the region (Mali, Lake Chad, South Sudan, and continuing instability in Somalia, Eritrea...). In 2011 more than 50% of EU aid to the nine focus

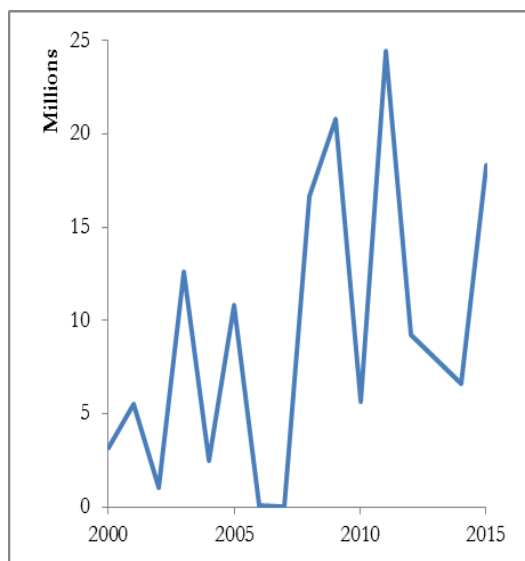
<sup>4</sup> earlier experiences of jointly supported social safety net programming, the AGIR PRP developed at country level used as a joint ECHO-DEVCO programming framework, as well as aligned timeframes between the 11<sup>th</sup> EDF and the EU-TF

<sup>5</sup> e.g. DGCID, 2007: Les politiques de prévention et de gestion des crises alimentaires, enseignement de la crise du Niger de 2005.

countries<sup>6</sup> took the form of humanitarian aid. In 2012, focus countries receiving more than 40% of EU humanitarian aid. With increasing demand for humanitarian assistance associated with the Syria crisis, reducing the cost of disaster response in countries chronically affected by natural disasters was presented as an imperative in the EU resilience approach.

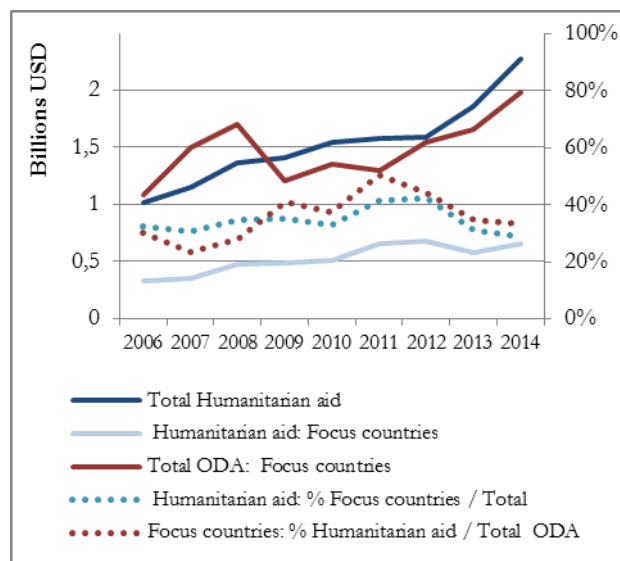
- Most stakeholders highlighted the critical roles of ECHO (lead) and DEVCO commissioners in promoting the resilience approach to be formalised in 2012/2013. The AGIR alliance in particular was first announced by ECHO before it was adopted by West Africa Regional Organisations.

**Figure 1 - Number of people affected by drought in scope countries**



Source: CRED.

**Figure 2 - Evolution of EU ODA and humanitarian aid in focus countries since 2006**



Source: OCHA FTS (Humanitarian Aid), OECD (ODA).

## How does the EU policy compare to that of other key donors?

**DFID** – The conceptual lead was rooted in early adoption of the resilience concept by British stakeholders (e.g. Twigg 2007<sup>7</sup>, Sahel Working Group 2011<sup>8</sup>), and promoted by the HERR (Humanitarian Emergency Response Review) in 2011. A distinctive issue between the DFID approach *vis-à-vis* that of the EU, is that it followed a specific self-critical exercise of DFID emergency response policy rather than in response to a specific crisis (the 2011 Horn and Sahel food crises in the case of the EU). The DFID resilience approach also incorporated the value-for-money discourse developed by DFID since 2011.

The scope of DFID's approach is broader than that of the 2012 Communication but similar to that of the 2013 Action Plan. It covers disaster risk reduction, climate change adaptation and social protection. DFID puts similar emphasis on multi-sectoral approaches and inter-sectoral coordination. Cost-effectiveness and value-for-money is seen as an objective,

<sup>6</sup> Senegal, Mali, Burkina Faso, Niger, Chad, Sudan, Kenya, Ethiopia, Somalia.

<sup>7</sup> Twigg J., 2009, Characteristics of a Disaster-resilient Community, UCL

<sup>8</sup> Gubbels, P. 2011, Escaping the Hunger Cycle - Pathways to Resilience in the Sahel. SWG 2011

while acknowledging that the cost-effectiveness of resilience building approaches is not well established. Attention to evidence is a priority too.

Although joining humanitarian and development efforts is mentioned, the DFID emphasis on LRRD is not as central as for the EU approach (probably reflecting the more limited segmentation of DFID), and the DFID approach paper highlights its ambition to contribute to shaping international development agendas, but is less ambitious in relation to DFID's influence on national and regional policies (as opposed to the EU).

**USAID** – Developed since 2011 and initiated in The Horn of Africa, the USAID approach was formalised in 2012 with the publication of a policy and program guidance.

- The thematic focus was to achieve improved adaptive capacity, the ability to address and reduce risk, and the social and economic conditions of vulnerable populations.
- Similarly it emphasizes the need for closer working between humanitarian and development teams as the key element of resilience, and seeks to do this through layering, integrating and sequencing the two types of assistance.
- Geographical scope: USAID is mindfully focusing on specific geographical areas (the Horn of Africa, the Sahel and South and South-East Asia), rather than mainstreaming resilience across all its programming.
- Programmatic approach: in the Sahel the USAID approach is operationalized through a series of flagship programmes concentrated in a few countries (REGIS-ER and REGIS-AG in Niger and Burkina Faso). In the Horn, the resilience approach is been mainstreamed through USAID programming through Horn of Africa Joint Planning Cells (now also introduced in the Sahel), initiated in 2011 in Kenya and Somalia and bridging the OFDA, USAID and Food for Peace offices in the region. Globally the key element of the USAID approach is the support for the Global Resilience Partnership (jointly with the Rockefeller Foundation and SIDA), focusing on innovation, learning and knowledge-sharing for resilience in the Horn, the Sahel and South and South-East Asia.
- The funding level for resilience-related activities increased by \$451 million between 2006-09 and 2010-13.
- M&E: Joint Planning Cells have established a set of top-line indicators for measuring the livelihood outcomes and impact of resilience investments. These include measures for Reduction in Humanitarian Assistance needs; Depth of Poverty; Moderate to Severe Hunger; and Global Acute Malnutrition. The indicators provide a concise overview of the impact of investments, but other measurements are also needed to achieve a holistic view.

**The World Bank** – The World Bank approach encompasses Climate Change, DRM and Social Protection. The WB has committed to accelerating the mainstreaming of DRM into its operations, based on the recommendations of the Sendai Report of 2012. The Sendai report emphasised the five-pillared DRM framework comprising risk information, risk reduction, preparedness, financial protection and resilient recovery.

In addition, the World Bank is placing increasing emphasis on bringing together DRM and climate resilience. This effort is the core of the Special Theme on Climate Change in the recent International Development Association replenishment. The resilience-building programme concluded that the poor and most vulnerable are the most directly affected by climate and disasters, and the integration of DRM and climate resilience is essential for

reducing poverty. Climate and disaster risks affect multiple sectors and timeframes and thus need a collective approach to building resilience through:

- Sustained and flexible programmes with clear institutional frameworks;
- Predictable, long-term financing;
- Enabling policies for climate and disaster resilient planning;
- Improved risk assessment information and early warning systems; *and*
- A robust, iterative decision-making framework that can respond to changing climate.

The 2014 World Development Report<sup>9</sup> treats resilience in its broader sense: in relation to various risks and at various levels (from individual to States). But the World Bank vision of resilience is defined by theme and instruments:

- The recent (2016) WB publication “Confronting Drought in African Drylands” proposed a forward look at development challenges in African Drylands through resilience lenses. It focuses attention on adaptation of agriculture and livestock production to climate change, social protection and disaster risk management.
- The World Bank is supporting social protection development projects in almost all countries (replicating the Ethiopian PSNP model in other countries), and investing in sustainable livestock and agricultural (irrigation, research...) development.

## **What are the key lessons from various strategies and instruments applied over the period and relevant to the Resilience Approach?**

### **Lessons from instruments**

**Instrument – Food Facility:** Effective<sup>10</sup> disbursement mechanism for scaling-up the EU response to a specific crisis (2007/2008 food crisis), but not associated with strategic orientations, and the absence of outcome sustainability reducing long-term benefits. The Food Facility evaluation (2012) recommended turning the Food Facility into a revolving instrument, and the subsequent (2013) Council conclusions highlighted the EU’s intention to prioritise sustainable agriculture in policy dialogue with partner countries, focus its attention on food-insecure countries; foster resilience as a central aim of its Food Security and Nutrition assistance policy; establish Trust Funds to foster structural approaches to supporting partner countries confronted by food crises; and strengthen partner countries and regional DRM capacities.

**Instrument – FSTP:** the mid-term review of FSTP1 (2009) suggests that ECHO should be more involved in FSTP management, that country leadership should be reinforced, that there should be more evidence-based targeting, and that efficiency should be improved (EU Delegations not being adequately staffed to manage FSTP). FSTP II has not been evaluated. The new generation of thematic instruments for food crisis prevention and post-crisis response (GPGC – medium-to-long-term, and PRO-ACT for short-term response) is supported by an improved needs assessment methodology (Global Network for Food Security, Risk Reduction, and Food Crisis Response), and structural programming involving joint working between ECHO and DEVCO.

**Instrument – IfS:** The Instrument for Stability evaluation (2011) found the instrument-related decisions too political, the actions generally suffering from too weak technical

<sup>9</sup> World Bank, 2013, Risk and Opportunity Managing Risk for Development.

<sup>10</sup> Although the Food Facility Evaluation shows that responses were largely implemented after the price spike peak.

design and management. Recommendations are that, although generally operating in particularly fragile contexts, (i) the IfS needs to better balance political and socio-economic objectives and (ii) it requires a stronger management framework.

### **Thematic evaluations**

**ECHO evaluations – DRR mainstreaming 2008, Livelihoods interventions in humanitarian crises 2012, Drought Decision in the Horn 2009, Food Budget line 2009, DIPECHO HoA & Central Asia 2012:** several evaluations (except perhaps the FBL evaluation 2009) tend to push ECHO towards a longer-term focus to complement its life-saving mandate (developing long-term partnerships, advocacy and capacity-building, research...). More flexibility in the use of ECHO instruments is recommended as well as better coordination with Member States agencies.

**ECHO Sahel 2014:** ECHO Sahel heavily engaged in advocacy. The Joint Humanitarian and Development Planning (JHDP) was highlighted by the evaluation as a positive change in ECHO and DEVCO ways of working, although our field work revealed a great scepticism. Furthermore, the evaluation considered AGIR as a success of ECHO's policy influence. However, the evaluation concludes that ECHO approaches need to be more politically sensitive and relevant to national capacities. DFID, SIDA and ECHO policy coherence (resilience, nutrition) has furthered the pooling of resources. Yet the Evaluation concludes that *"ECHO's strategy mind-set very much remains embedded in the 'continuum' approach (a linear approach dominated by 'hand-over' thinking). A gap exists between the actions of ECHO and DEVCO, most visible in relation to (the lack of) longer-term prevention actions at community level and to longer-term investment in the scaling-up and integration of nutrition and nutrition-sensitive services at national level."*

### **Country level lessons**

Country case studies highlighted that country-level shifts in the resilience approach and its operationalization have also been influenced by local lessons. Several examples can be mentioned: (1) the region-wide lessons on emergency from ECHO investments in filling information gaps on malnutrition and livelihoods in West Africa<sup>11</sup> which contributed to operationalization of the EU Resilience approach in the region, (2) a general understanding that emergency responses are not appropriate mechanisms for addressing recurrent food crises and chronic food and nutrition insecurity, (3) the 2012 drought response limitations in the Horn, which boosted the local realization that further ECHO-DEVCO collaboration was needed in the country offices in the two regions, (4) the need for more specific experience-based lessons to be drawn out, for example that social safety nets need to be combined with livelihoods and provision of other basic services to impact on target population resilience (e.g. Mali), or that more focused and less complex approaches are needed in Somalia.

### **To sum up**

Three phases can be distinguished in the EU's conceptual approach to building resilience to food crises during the evaluation period (2008-2015): first, the period preceding the adoption of resilience focused policies (2008-2011). The review of most relevant EU policy papers published between 2006 (European Consensus on Development) and 2012 (EU

<sup>11</sup> In the Sahel, the 2005 Niger crisis triggered ECHO investment in better analysing the nutrition situation in the Sahel since 2007

Communication on Resilience) already refers to the concept of resilience, with almost all the key conceptual features of the current resilience approach already developed in policy documents. As the second phase initiated in 2012 corresponded to formalization of the EU resilience approach to withstanding food crises (Communication 586 (2012), Council Conclusions (2013) and the Resilience Action Plan (2013). Since 2015 the EU approach to resilience has progressively been broadened, in response to the rise of the migration and security agenda within EU cooperation priorities as well as EU commitments to SDGs adopted by the UN in September 2015.

The development of the EU approach to resilience has been influenced by both internal (notably ECHO internal lobbying until 2012) and external (repeated food crises in the Sahel and the Horn) drivers. It responded to political imperatives and leadership triggered by the 2012 Horn and Sahel crises, but at the same time its development was based on lessons learned from previous experience, at both global and country levels.

The EU approach to building resilience is coherent with the approach adopted by other donors. For instance the EU, DFID and USAID approaches all insist on attention to evidence, to coordination across sectors, and to local and country ownership. However the thematic foci are different (e.g. the DFID, USAID and the WB resilience approaches were broader from the start and not restricted to food security), while the EU approach puts more emphasis on institutional capacity-building. The broadening trend in the EU approach appears to be further reinforcing coherence with approaches adopted by other key donors.

The application of the resilience approach has constantly evolved since 2017. Beyond coherence with preceding policy commitments, it is hard to identify the specific characteristics of resilience-oriented strategies prior to its formalisation in 2012/2013. Yet, prior to the formalisation of EU policy commitments on resilience to food crises, the SHARE and AGIR initiatives were launched respectively in the Horn and the Sahel. While the SHARE initiative is largely programme-oriented, AGIR is policy-oriented. The EU TF, prioritising migration management and security but also including a resilience pillar, is seen an early marker of the broadening of the EU approach to Resilience.

## **IDS 2: Assessment of the integration of conflict and security issues into the resilience agenda**

### **Introduction**

Most of the states in the Horn of Africa and the Sahel are in situations of fragility characterised by weak institutions and varying degrees of conflict. Recent food crises in these dryland regions have been protracted in nature, underscoring the unsustainability of humanitarian responses which have in some cases become a permanent state of affairs. As a result, the EU and other donors have in recent years placed increasing emphasis on building the resilience of affected countries and communities to withstand future food crises. The resilience agenda seeks to address the underlying problems that give rise to and sustain food crises and that make these countries so reliant on external support to manage them.

This *In-Depth Study* examines to what extent, and how, conflict and fragility have been integrated into the EU resilience agenda. While it is well understood that conflict is a key trigger of food crises, in practice donors find it difficult to integrate conflict into their resilience-building work in fragile contexts. Drawing on recent experiences of EU resilience programming in Mali and Somalia this study considers why this is the case and how this impacts on efforts to help conflict-affected countries more effectively manage food crises.

This study, related to JC2.1 and 2.2, is based on a review of the EU resilience literature as well as relevant operational activities in Mali and Somalia. Interviews were conducted with ECHO, DEVCO and EEAS officials based both in Brussels and the EU Delegations in Bamako and Nairobi (responsible for Somalia) as well as other donors and national partners working on resilience issues.

The study first briefly reviews the policy foundations of the EU's resilience agenda and the extent to which conflict and fragility issues are addressed. It then assesses recent EU resilience-building activities in Mali and Somalia through a conflict/fragility lens.

### **The EU resilience agenda and conflict**

The EU's approach to resilience has evolved from the accumulated experience of responding to food crises in the Sahel. Until 2012, the concept of resilience was not systematically defined in the policy literature. The 2012 'Communication on the EU Approach to Resilience: Learning from Food Security Crises'<sup>12</sup>, defines resilience as: 'the ability of an individual, a household, a community, a country or a region to withstand, to adapt, or to quickly recover from stresses and shocks'.

The 2012 Communication goes on to discuss in more detail the nature of stresses and shocks, which include a broad range of economic, social, environmental and political factors. There is explicit recognition of the role of violent conflict, insecurity and other features of fragile societies, including weak governance, in undermining resilience. In

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<sup>12</sup> Com (2012) 586, Oct 2012.



these contexts, the Communication notes the need for the EU's resilience strategy and the wider EU political and security approach to be mutually supportive and consistent.

The 2013 'Council Conclusions on EU Approach to Resilience'<sup>13</sup>, while recognising the importance of a focus on food insecurity crises, also notes the need to consider other determinants of vulnerability, including 'conflict, insecurity and weak democratic governance'. The Council Conclusions go on to underline the horizontal and overarching nature of resilience' and 'the importance of ensuring clear linkages with related and existing and upcoming policy documents, frameworks and activities, including relevant Action Plans'. All 16 of the 'relevant documents' cited, however, are essentially development and humanitarian documents.

While the Council Conclusions specifically acknowledge the 'complementary roles of development cooperation, humanitarian action and political dialogue' as essential components of building resilience, no reference is made to the use of Common Security and Defence policy instruments or the Instrument for Stability (now the Instrument Contributing to Stability and Peace, or IcSP). While the IcSP does not have a formal resilience-building mandate, various activities are foreseen which are part of the resilience agenda. Article IV, for instance, focuses on crisis preparedness, particularly with reference to youth and women<sup>14</sup>. As a gap filler between humanitarian and development assistance, the IcSP can and does support certain, short-term capacity-building activities which can contribute to resilience.

In the '2013-20 Action Plan for Resilience in Crisis Prone Countries'<sup>15</sup> the challenge of building resilience is seen to lie primarily at the interface of humanitarian and development assistance. Again, while recognising that resilience building activities may need to be conducted in conflict contexts, there is virtually no reference to the EU actions that may help to resolve these conflicts or address their underlying security dimensions. Similarly, none of the priority interventions identified include interventions that are intended to address conflict or insecurity directly, although a very general reference is made to 'conflict prevention' activities.

Illustrative of this gap when it comes to conflict issues is the discussion of 'disaster resilience' in the 2013-20 Action Plan. The focus is primarily on the mitigation of the socio-economic, fiscal and financial impacts of disasters, rather than acknowledging and addressing those dimensions which may be conflict-related - hence man-made - and therefore potentially preventable.

Despite the relatively limited attention paid in the resilience policy literature to conflict issues, interviews at both the Brussels level and in the field confirm that it is well understood that conflict is a key contributing factor to food crisis and also impacts upon resilience programming. The key question therefore is to what extent are EU staff in the

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<sup>13</sup> 3241<sup>st</sup> Foreign Affairs Council Meeting, Brussels 28 May 2013.

<sup>14</sup> REGULATION (EU) No 230/2014 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 March 2014 establishing an instrument contributing to stability and peace.

<sup>15</sup> Commission Staff Working Document, SWD (2013) 227 final, 19 June 2013.

field are well-equipped and incentivised to develop conflict-sensitive resilience programming?<sup>16</sup>

## Resilience programming in Mali and Somalia

Of the nine focus countries covered by the African Drylands Resilience Evaluation, Mali and Somalia are perhaps the two which are experiencing the most protracted and intense armed conflicts. The EU and wider aid community have a long history of engagement in both countries which has included humanitarian, developmental and political actions. Food insecurity is more or less a permanent feature of life for large segments of the two countries' populations. Both highlight the challenges of developing conflict-sensitive resilience programming promoting a coherent EU response to food crisis that effectively integrates DEVCO, ECHO and EEAS actions.

In both Mali and Somalia (and this is reflected also at the HQ Brussels level) there are quite different understandings of the notion of resilience among DEVCO, ECHO and EEAS and its implications for programming. There is little disagreement about the rationale for addressing the underlying causes of vulnerability and promoting a durable recovery after crisis, or the need for a multi-sectoral EU approach to address this. In that sense, DEVCO, ECHO and EEAS each accept resilience as an organising concept for joint working. But in practice, resilience programming is generally approached through the lens of organisational mandates – ECHO's being to save lives, and DEVCO to build capacity to prevent future crises – which implies quite different priorities.

At the operational level there are several main challenges in developing conflict-sensitive programming. First, the conflict analysis which informs programming is often weak. While DEVCO and ECHO staff in Mali and Somalia are acutely aware of how conflict impacts upon food insecurity, conflict is only one of many factors – including environmental, governance and gender and other issues – that need to be integrated into projects. Staff speak of the pressure to deliver assistance rapidly due both to the emergency situation on the ground and the need to meet internal spending targets. An excessive focus on conflict analysis may actually raise dilemmas which are difficult to overcome. This can call into question a particular programming strategy and result in delays, thus creating a perverse incentive to limit conflict analysis.

Furthermore, ECHO and DEVCO programming staff working on Mali and Somalia face practical constraints which further work against taking on board conflict issues. Most are already over-stretched and have insufficient time or incentive to develop the expertise required on conflict issues. Because the EU itself is not usually involved on the ground in programme delivery, external staff in Delegations remain at a certain distant from events on the ground. This can limit both their motivation and capacity to assess conflict dynamics, though the presence of local staff on programming teams provides a ready source of local expertise which both ECHO and DEVCO draw upon.

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<sup>16</sup> There are a number of key tools and guidance notes available, produced by DEVCO, which are intended to help staff in EU Delegations to more systematically address conflict issues in the context of resilience programming, such as the *EU Staff Handbook for Operating in Situations of Conflict and Fragility*, which includes a note on Promoting Resilience in Situations of Conflict and Fragility, and the *Guidance Note on the Use of Conflict Analysis in Support of EU External Support*.

As to whether Delegation staff draw upon conflict analysis and other risk management tools produced by DEVCO in Brussels, and whether these tools are useful, there was a fairly consistent message among the people surveyed in the EU Delegations in Mali and Nairobi (responsible for Somalia). Nobody actively used these tools and guidance though a number of people were aware of their existence. Only one person was familiar with Note 4 (Promoting resilience in situations of conflict and fragility) in the EU Staff Handbook for Operating in Situations of Conflict and Stability.

The reasons cited for not drawing more actively upon these tools and guidance included a lack of time, a feeling that tools were not sufficiently tailored to needs on the ground, and a sense that it was not their role (or comparative advantage) to do conflict analysis. That said, there was a general view that tools and guidance could be useful, and a clear desire on the part of a number of staff members to find out more. A concern was raised that communication between Brussels and the field “is poor” and that support from Brussels for capacity building on resilience needs to be more “practice-led” rather than “top-down” and conceptual.

In practice, the primary responsibility for ensuring that programming is conflict -sensitive appears to lie with NGO programme partners. Most DEVCO and ECHO project proposal forms have a mandatory section where applicants are required to demonstrate how the project will be conflict-sensitive. This typically includes an analysis of the conflict context as well as an explanation of how a conflict-sensitive delivery strategy will be implemented. This may entail various to ensure a “do no harm” approach, or more proactive activities to actually seek to mitigate conflicts which already exist in the areas where aid is delivered or which may arise as a direct consequence of aid delivery.

In DEVCO’s calls for resilience proposals in Somalia, for instance, beyond demonstrating an understanding of the conflict contexts and how risks can be managed, partners are also required to prepare baselines to measure changes in conflict dynamics or intensity. In practice, these baselines are sometimes not conducted, either because the difficult working context precludes this, or because this requirement is not enforced by the EU. In certain cases the conflict sensitivity of proposals may be approved in a perfunctory manner and there is a risk that conflict analysis simply becomes a “box-ticking” exercise in order to expedite programming.

While a “do no harm” approach was regularly cited as standard operating procedure by EU staff in Mali and Somalia, this approach is only as good as the analysis which underpins it. The risk is that important key dimensions of conflict may be missed which can impact negatively on resilience programming. This is apparent, for example, with regard to understanding the factors that motivate youth in Mali who are caught up in conflict. Is it radicalisation, which can be very difficult to address, or is it the lack of economic opportunities and social advancement, which can be potentially addressed through a development programme? Failure to analyse these factors properly can lead to misguided programming.

A second challenge is translating strategic level discussions on conflict or resilience within EU Delegations into coherent operational programming that connects emergency response activities with development assistance. In Nairobi, regular video conferences bring together HQ, DEVCO, ECHO and the three CSDP missions operating in Somalia with a view to promoting a comprehensive approach. There is increased emphasis now

on ensuring that interventions are conflict-sensitive; resilience-building in its many dimensions (though not always under that name) has become the strategic priority for EU engagement in the country. Recent improvements in security, access and the political situation, though marginal, mean that there are more opportunities now for resilience-oriented programming.

But on the ground, DEVCO and ECHO still tend to work in relative isolation. ECHO's principled approach to delivering assistance in conflict contexts, which places a premium on neutrality and impartiality, in practice limits cooperation with DEVCO. Furthermore, ECHO does not do stand-alone resilience programming, though where there is scope to do so it works on aspects of this agenda. It therefore views resilience as an approach, rather than an outcome meaning that it seeks (and encourages its partners) to work through a resilience 'lens'. This means thinking beyond the immediate emergency and, where possible in the context of its short-term programming timeframe, addressing other problems that will contribute to a durable recovery.

But ECHO's decision in many cases not to work more closely with DEVCO can result in missed opportunities to link its resources to serve as a safety net for longer-term DEVCO programming. In a context of unpredictability and uncertainty, for instance, having the flexibility to bring in additional resources at short notice can help to protect early resilience gains. By focusing on where humanitarian needs are greatest, which is ECHO's general *modus operandi*, this can also constrain EU attempts to promote wider political (state-building) priorities in Somalia in an integrated manner. Consolidation of the weak Federal government in Mogadishu has come to be seen by many donors, including the EU, as the key to long-term conflict management efforts in Somalia. As a result, there is a view that all EU instruments need to be mobilised in support of this strategic objective.

Bridging the disconnect between political, development and humanitarian work is also a challenge for the EU in Mali, for not dissimilar reasons. A particular issue that was highlighted there is the challenge of having an integrated EU approach to building resilience in a context where government systems are weak, not to mention political commitment to the resilience agenda. So while the mantra remains "work with government" and "strengthen its capacity" over the long-term, in practice in order to deliver aid (both emergency and developmental) rapidly, the EU and other donors sometimes find it necessary to by-pass government, working with NGOs, on shorter-term initiatives.

Both Mali and Somalia are also reminders that at the end of the day resilience programming, like other humanitarian and development interventions, is subject to wider EU political considerations which relate to security in Europe itself, including the fight against terrorism/radicalism and efforts to staunch migration. The EEAS's 2002 Strategy for Security and Development in the Sahel, of which Mali is a core focus, is pitched around finding a solution to the roots of ongoing crises and calls for coherent, preventative and systematic action linking political, security and development aspects. It advocates a comprehensive EU approach, bringing together a multiplicity of actors.

However, the strategy places heavy emphasis on addressing security issues which directly affect Europe and in practice, according to external critiques, has been more

reactive to crises on the ground than preventive<sup>17</sup>. Furthermore, the Strategy does not refer to resilience building or make a formal link to this agenda, though the 2014 Council Conclusions which assess progress in implementing the strategy do now refer to this as a priority.<sup>18</sup> But against the backdrop of growing concerns in Europe about violent extremism and migration flows, changes occurring in funding strategies for both the Sahel and Horn of Africa regions may make it more difficult to address resilience issues.

The case in point is the EU's new Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa, established in 2015. The Trust Fund aims to help foster stability and to contribute to better migration management<sup>19</sup>. More specifically, it aims to address the root causes of destabilisation, forced displacement and irregular migration. While it addresses many issues of relevance to the resilience agenda, there are concerns that it may displace funding that has previously supported resilience programming in Mali and Somalia and that some ongoing resilience initiatives will not be eligible to draw on this Trust Fund.

## To sum up

The integration of conflict and security issues into the resilience agenda has followed the evolution of the EU's approach to resilience. In the 2012 Communication there is explicit recognition of the role of violent conflict, insecurity and other features of fragile societies, including weak governance, in undermining resilience. The 2013 'Council Conclusions on EU Approach to Resilience' notes the need to consider 'conflict, insecurity and weak democratic governance' among the determinants of vulnerability. However, at the operational level there are several challenges in developing conflict-sensitive programming. These challenges, identified notably in the cases of Mali and Somalia, include for instance the weaknesses of conflict analysis which informs programming.

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<sup>17</sup> lingendael, 'Fix the Unfixable: Dealing with Full-Blown Crisis and Instability: How to Bring Greater Stability to the Sahel?', December 2015.

<sup>18</sup> Council conclusions on implementation of the EU Strategy for Security and Development in the Sahel, 17 March 2014, Council of the European Union.

<sup>19</sup> The European Union Emergency Trust Fund For Stability and Addressing Root Causes Of Irregular Migration And Displaced Persons In Africa: Strategic Orientation Document, 2015.

## **IDS 3: Assessment of technical and financial partner coordination on building resilience**

### **Introduction**

There is evidence of regular participation of the EU in coordination forums on resilience programming and funding with other donors, international organizations and governments. This occurs at different levels.

This *In-Depth Study* examines the various coordination frameworks related to resilience, to which the EU has participated. In particular, the study seeks to inform the following questions:

- What coordination has occurred on joint funding approaches to resilience?
- What has been the involvement of EU in, and results of, global level coordination on resilience?

This study is related to EQ4 (JC 4.1 and 4.2). It is based on a review of EU policy documents, as well as relevant programme documents and interviews. Interviews were conducted with ECHO, DEVCO and EEAS officials based both in Brussels and the EU Delegations as well as other donors and national partners working on resilience issues.

### **Coordination at Global Level**

#### *Post 2015 Hyogo Framework*

In the Communication on the post 2015 Hyogo Framework for Action: Managing risks to achieve resilience, the EU uses the “revision of the HFA as an opportunity for the EU to take stock of the policies developed and progress made in building resilience and disaster risk management through EU policies and support provided through development cooperation and humanitarian aid (European Commission, 2014a).

#### *The UN World Conference on Disaster Risk Reduction (Sendai Conference) – March 2015*

The EU used the Sendai Conference as an opportunity to present ***The EU Resilience Compendium: Saving lives and livelihoods***, a document which showcases a diversity of risk reduction and resilience examples from different parts of the world, with different organisations. Although these are presented as success stories denoting progress in resilience by the EU, and despite the funding which has been dispersed by the EU, the only two projects under either SHARE in the Horn or AGIR in the Sahel are RESET in Ethiopia and the Communes de Convergence project in Niger (European Commission, 2015).

### *International Dialogue on Peacebuilding and State building – A New Deal for engagement in fragile states*

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 New Deal commits its signatories to support inclusive country-led and country-owned transition out of fragility and through the Peace and State-building goals (PSGs), as well as the FOCUS and TRUST principles which together provide a framework that builds strong partnerships between FCAS and their international partners.

The EU is currently programming its assistance for the next 7 years in more than 130 countries in the world including 18 New Deal countries and other countries that are committed to a path of transition to resilience. Through this programming exercise, the EU will deepen its commitment to the implementation of the principles of the New Deal and the principles of engagement in fragile countries.

The EU is already very active in the New Deal implementation. In Somalia, exceptional national leadership, supported by EU, 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).

### *The EU Global Strategy*

More recently, however the focus seems to have strayed away from the role that building resilience plays in enhancing the lives and livelihoods of citizens of countries in Africa who are vulnerable to hazards and instead links the resilience of these communities with the security of Europe's borders and the problems created by migrants. At a recent conference entitled, "The EU and the Global Development Framework. A Strategic Approach to the 2030 Agenda" held in Rome on 7 March 2016, in his keynote speech, Christos Stylianides, the European Commissioner for Humanitarian Aid and Crisis Management, recalled the necessity of a better management of Europe's borders, and the moral obligation for the EU and for the international community as a whole to face the humanitarian crisis of migrants in a more effective way. He also argued for the uselessness and danger of building barriers in the Union because they do not solve problems, but rather create "a fortress Europe based on fear and isolation." He underlined the strong linkages that exist between humanitarian aid and development, stressing in particular the role of education in emergency contexts as an instrument for protecting children from radicalisation, forced recruitment, forced marriages and dangerous migration routes (Venturi & Magro, 2016). There was no mention of the reasons for enhancing resilience being of integrity on their own, without the link to the effect on Europe.

## Coordination at Regional Level

At the regional level, the EC has participated in the development of the Global Alliance for Resilience AGIR – Sahel and West Africa. The roadmap for AGIR was developed at the 28th Annual Meeting of the Food Crisis Prevention Network (RPCA), which was held on 6 December 2012 in Ouagadougou. Within the framework of this meeting, food and nutritional security stakeholders (Sahelian and West African governments, inter-governmental organisations, bi-/multilateral technical and financial partners, UN agencies, agricultural producers' and pastoralists' organisations, civil society and the private sector, non-governmental organisations, etc.) sealed the Global Alliance for Resilience – AGIR - Sahel and West Africa, and adopted a Joint Declaration (SWAC/OECD, 2013).

In the Sahel, the EU strategic approach is very coherent with that of other donors, particularly the US, DFID, and the World Bank. AfDB and IDB also formally joined the AGIR Alliance, and adopted a coherent policy outlook. Key areas for coordination on policy issues are illustrated as:

1. The EU and USAID share a common desire to develop programming strategies for resilience that bring humanitarian and development projects and interventions together,
2. Consistent targeting of the most vulnerable populations is a priority shared by all donors as well as an emphasis on multi-sectoral approaches (esp. USAID, DFID, WB, and EU),
3. Maintaining an emphasis on social protection is shared by the WB and DFID.

While USAID may have adopted a direct implementation approach, ECHO and DfID are working together in a shared implementation of PHASE and are involved in contributing to the World Bank safety nets projects.

In the Horn of Africa, within the outcomes of the Nairobi Summit of September 2012, at which the major donors, national governments and IGAD pledged their commitment to ending drought emergencies, the structure was laid out for coordination in the region on resilience building projects. Led by USAID, IGAD was to be the regional mechanism for coordination (and NOT leadership) and as the country with the most developed economy in the region, Kenya was to be the champion of these efforts. Each country would be given assistance to develop their blueprint for investments (projects and programmes) in the form of a Country Programme Paper (CPP) which would contain a sectoral and thematic disaggregation of these projects to be implemented to enhance resilience of vulnerable populations. The USAID-led Global Alliance would then bring together relief and development actors and resources to take joint action in support of effective country-led plans, with an emphasis on building resilience and promoting economic growth in the Horn of Africa. The Global Alliance committed to support key priorities to advance the drought resilience agenda, including:

- Support for the development of common programming frameworks
- Development of common monitoring and evaluation frameworks and the institutionalization of Knowledge Management and Learning, and
- Building the capacity of IGAD to play an effective coordination role for building resilience for national governments in the region.



As the regional coordination body, IGAD would develop the Regional Programme Paper (RPP), which would focus on harnessing IGAD's comparative advantage in addressing regional issues and convening ministers in national governments around areas of mutual concern such as cross-border trade, transboundary disease control, conflict and resource allocation, to name a few. The projects within the CPPs would be developed jointly with the national governments and donors, with this joint cooperation extending to implementation across sectors, scales and geographical areas.

While to a certain extent some of this has taken place, for example, the RPP has evolved to become the IGAD Drought Disaster Resilience Sustainability Initiative (IDDRSI) and both Kenya and Ethiopia have developed robust documents for programming called the Common Programme Framework for Ending Drought Emergencies for both Kenya and Ethiopia respectively, for the most part, the major achievements of the plans have not been realized. Within the RPPs and CPPs, although projects exist under the separate pillars of the Initiative, no plan for operationalization of the strategy found within the IDDRSI has been presented to the wider donor group, thus making it difficult to coordinate between the various donors. There is also no evidence that any of the projects within have been developed jointly with multiple donors, nor are there any multi-donor trust funds. Another reason that coordination may not be as prevalent as desired is a proprietorial perspective on the leadership of AGIR and the Global Alliance. The EU leads the platform in the Sahel and USAID leads the efforts in the Horn. This division has to an extent, compromised major donors contributing equally to the respective platforms and could in part be responsible for a reluctance to participate extensively in one or the other.

Despite this, the EU, and particularly the ECHO Regional Office has supported IGAD at institutional level, providing funding for technical and other capacity building. The EU also participates in the Global Alliance, and while there is little evidence that coordination both at strategic and operational level does take place at the Global Alliance, donors have suggested that the existence of the structure itself served to provide a forum for consultation and coordination.

Also within the Horn of Africa, but with very limited success, the EU has promoted the Supporting Horn of Africa Resilience (SHARE) initiative, which has a portfolio of projects, focusing on Disaster Risk Reduction and enhanced resilience, the flagship and most known of which is the REsilience Building and creation of economic Opportunities in ETHiopia (RESET) project. Apart from this project, and although over 1 billion € in humanitarian and development funding has been funneled into the Horn, SHARE has not had a noticeable impact on the ground (European Commission, 2014b).

## Coordination at National Level

Coordination at national level varies in terms of its effectiveness and intensity of involvement of the EU across the Sahel and the Horn. In general, there appear to be many opportunities for information to be exchanged at the different coordination mechanisms, however, the consultation on formation of resilience approaches, development of strategy and a truly consultative process of developing well-coordinated, multi-donor programmes involving projects across multiple sectors and temporal levels is difficult to assess.

Although Mali, for example has donor coordination mechanisms which are high-functioning such as the Commission Réhabilitation des Zones Post-Conflict (CRZPC), which was created in 2013 by donors in order to ensure coordination and coherence of interventions, share information and analysis and facilitate strategic and operational direction to post-conflict reconstruction priorities, the focus of these is not on resilience per se. The Food Security sub-group (within the Agriculture and Rural Development thematic group) has been primarily concerned with the DNSA reform process over the last 4 years, while the donor attention and attendance to the AGIR/PRP process has been limited. The SUN/REACH platform, which worked on the preparation of a multi-sector nutrition policy and action plan, has also mobilised attention in a similar period (the process started a few years earlier than the AGIR/PRP process), unfortunately creating the potential for coordination fatigue and redundancy.

This surfeit of coordination mechanisms has also been identified as a potential problem in Ethiopia and Kenya, but with slightly different nuances. In Ethiopia, coordination is seen to be working well for humanitarian and development donors respectively, however there continues to be a gap in coordination for resilience in particular. This gap appears to be consistent in part to the fact that the government itself does not know in which ministry or institution a resilience coordination platform should be hosted. The debate over whether the disaggregation of components of resilience should be sectoral, thematic or inter-sectoral continues. There is a move, however, in Ethiopia, to address strategic coordination innovatively; bringing together key actors with a shared vision emanating from a social network analysis who could work together to realize this vision through shared programmes and other sectoral coordination mechanisms would present the opportunity for the monitoring of such an approach while being implemented and the evaluation of the impact, at various points along the duration of implementation<sup>20</sup>. DFID have taken the initiative assemble key donors to discuss strategic approaches to building resilience – USAID, DfID, EU and the WB. There is an opportunity also for smaller donors to be better coordinated within the context of pooled funding, much like the infrastructure for the SomRep or BRiCS consortia in Somalia. Grouping in consortia using the Somalia model would solve the problem of legitimacy of representation when engaging with the government of Ethiopia.

In Kenya, there are considered also too many coordination mechanisms, often putting donors off from attending all of them. One of the major fora for coordination, and one that the EU (DEVCO) has significantly supported is the National Drought Management Authority (NDMA). The EU has been closely involved with the legalization of the NDMA

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<sup>20</sup> This is however a specific initiative without any continuity according to an EU staff member. Other initiatives, from different donors including the EU, to improve coordination have also taken place. RESET I for instance included a component managed by FAO that aimed at improving coordination on resilience at national and regional levels.

as a legitimate body within the government and has been instrumental in both the formation of the Ending Drought Emergencies (EDE) paper, its governance and the implementation of projects within, and sits as co-chair of one of the pillars as well as being a member of the EDE Steering Committee. Going forward, DEVCO has pledged funding for all six pillars of the EDE, including the Knowledge Management pillar which deals with cross-cutting issues such as Monitoring and Evaluation, evidence-based research and technical support. The EU also participates regularly in the ASAL Coordination Group, which is co-chaired by USAID and the NDMA.

## **EU Coordination with EU Member States**

There is no evidence of common frameworks for action or an explicit division of labour amongst MS. This can partly be explained by the general challenges to joint programming approaches, such as the differential presence and capacities of the EC and EU MS in each country. In addition, the initial findings are that only a subset of EU MS have strategic and operational approaches to building resilience – including Germany, France, Ireland, Sweden, Denmark, Spain and the UK. Another explanation for the lack of coherence in MS and EU programming could be that with some MS, humanitarian and development initiatives are not only programmed separately, but responsibility for funding and programming of humanitarian interventions may lie in MS HQ, whereas responsibility for similar for development interventions is the purview of the MS in the host country. This makes collaboration with both other donors and the EU on joint enterprises extremely difficult.

DfID, GTZ (German Technical Cooperation Agency), BMZ (German Federal Ministry for Economic Cooperation and Development), SDC (Swiss Agency for Development and Cooperation) all have significant resilience programmes and fund both AGIR and IGAD, but it is not clear whether any systematic approach was taken to ensure there is no duplication and that complementarity is ensured. Large MS funded resilience initiatives – such as the DFID funded BRACED (Building Resilience and Adaptation to Climate Extremes and Disasters) – do not demonstrate operational coordination with EC programmes. There is some evidence, however of the intention for a joint approach 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 EU and EU MS. There is some reluctance to operationalize this plan as disagreement over the conceptualization of what AGIR represents, the role of nutrition and social safety nets seem to be an impediment.

Ethiopia has been identified as a pilot country for the EU and MS joint programming and is expected to deliver jointly implemented programmes by 2016. Sectors and geographical areas have been identified for this approach, which will focus the multiple sectors contributing to enhanced resilience such as natural resource management, income generation, governance, gender and nutrition. The EU and EU MS will divide responsibility for leadership and governance of programs in certain sectors. The RESET project has also 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 sum up

There seems to be an appetite in both regions for tighter and fewer coordination mechanisms with a focus on resilience in particular, involving donors, regional bodies and national governments. Part of the reason why the functioning of different platforms at different levels may be perceptions of leadership within mechanisms which are seen as going beyond coordination and in fact infringe on the sovereignty of respective responsibilities. In Niger, for example, where the government has shown strong leadership of the successful i3N programme, the attribution of that success to the performance of AGIR may be contentious. The role of these coordination mechanisms in enhancing the performance of projects aimed at building resilience is still being negotiated and the comparative advantages of the participation of various entities at multiple levels will continue to be assessed and reviewed as the agenda is implemented.

The question of whether there is a well-articulated division of labour between the EU and its Member States varies in terms of the application of such a strategy. Some MS view the EU as just another donor and have developed their approaches to resilience and associated projects for implementation alongside those of the EU. Although the 2013 Instruction Letter on Resilience was signed by the Heads of Development Cooperation in each MS, there is very little evidence of EU institutions working towards common frameworks with EU MS, with a clear division of labour on resilience-building.

## **IDS 4: Assessment of level of ownership of resilience approach within Governments and local partners in Sahel and in Horn**

### Introduction

This In-Depth Study examines to what extent, and how, the EU has promoted resilience to food crises within the policies and programming of national authorities in the Sahel and the Horn. As discussed in the Theory of Change, a key pathway for the scaling-up and sustaining of the building of resilience to food crises is seen to be through national policies and institutions.

This study, related to JC 6.2 and 9.1, is based on a review of the EU resilience literature and of relevant operational activities in the focus countries. Interviews were conducted with a range of stakeholders, including EU staff, government representatives and other staff based in Europe and in the focus countries for the evaluation.

The study first reviews the EU Support for Development of National and Regional Resilience Strategies, second assesses the extent to which this has resulted in adapted national policy frameworks, and third reviews progress in implementation of these strategies.

## EU Support for Development of National and Regional Resilience Strategies

Over the evaluation period the EU has undertaken a range of activities aimed at contributing to the development of resilience strategies in partner countries.

A baseline contribution to strategy development is evident in support for national data collection and analytical systems which contribute to policy formulation processes. Examples include:

- Regional support in West Africa to roll out of the “Cadre Harmonisé”, a common tool developed by CILSS for food security analysis. The Joint Research Center of the European Commission has participated in technical consultation for the development of a Cadre Harmonisé Manual Version 2.0.
- ECHO has for instance funded annual SMART surveys undertaken by UNICEF. The surveys collected information on the nutritional status of children under five years old, and on mortality rates, in order to support programming but also to raise nutrition awareness in West Africa.
- Support for the implementation in 22 countries of the INFORMED programme (Information for Nutrition Food Security and Resilience for Decision Making, a new 5-year programme signed with FAO in 2015). The programme provides technical support from both the FAO and EU for food and nutrition security, and resilience analysis.
- Furthermore, The European Commission’s Joint Research Center has published in 2016 the “Global analysis of food and nutrition security situation in food crisis hotspots” report. This report presents an evidence-based needs assessment and identifies for each at-risk country the nature of the food crisis in 2015.
- The EU has also been involved in developing resilience measurement approaches (see In Depth Study 4).

More directly the EU has directly contributed to the formulation of national resilience strategies. The most relevant processes are:

- Regional support to the roll-out of the AGIR process. AGIR is a global alliance anchored in CILSS, and led by ECOWAS and WAMU (West Africa Monetary Union). It aims at influencing national policies on resilience through the drafting of National Resilience Priorities (PRP). To date six countries have adopted a PRP, and seven are in the process of validating it.
- Support to IGAD’s IDDRSI Strategy (Drought Disaster Resilience and Sustainability Initiative). The IDDRSI is used as a common framework for developing national and regional resilience strategies and programmes.
- Support for the SUN/REACH (Scaling Up Nutrition/Accelerating the Scale Up of Nutritional Actions) initiative to help with the development and revision of national nutrition policies.

In practical terms the EU has financed TA activities at both regional level (Sahel and Horn) and country level, to contribute to the incorporation of resilience priorities in national and regional policies and programmes. This included:

- Support for the implementation in 33 countries of the FIRST programme (Food and Nutrition Security Impact, Resilience, Sustainability and Transformation, signed in July 2015). FIRST's goal is to provide support for national and regional governments in the implementation of food security, nutrition, and sustainable agriculture policies.
- Technical assistance to the High Commission for the "Nigerians Feed Nigerians" Initiative in Niger (I3N). The initiative aims at building resilience, under the framework of regional strategies such as ECOWAP (ECOWAS' common agricultural policy) or PDDAA (the Detailed Development Plan for Agriculture in Africa).
- Technical assistance for strengthening and reforming food security management systems in Mali, Niger and Kenya.
- Technical assistance to the National Drought Management Authority in Kenya, for strategy development and implementation, M&E, and knowledge management.
- Support to UNICEF for technical assistance in developing national protocols on nutrition treatment, and in integrating nutritional indicators into national early warning systems.

In addition, the EU has contributed directly to the development of relevant strategies and policies. Examples include:

- Involvement by EUD and ECHO office through political dialogue (in Brussels), and through policy dialogue and advocacy for AGIR.
- The EU has also been engaged in social protection policy discussions, and advocacy and policy dialogue on the Cadre Harmonisé mentioned earlier.
- Policy dialogue in the framework of the PSNP donor group in Ethiopia.
- Policy dialogue to make the I3N 2016-2020 plan more resilience-oriented than the first plan.
- ECHO has been advocating on nutrition, notably in Niger and Mali, with an engagement in the National Nutrition Policy (PNN) process.
- Regarding climate, the EU has contributed to the preparation of Climate Change Adaptation National Plans.
- Finally, the EU has participated in the Food Crisis Prevention Network (RPCA) in West Africa, a national network for coordination and concertation led by ECOWAS and CILSS.

The EU has also contributed to the testing and the dissemination of programmatic models, for instance:

- Partnership with national governments to implement a resilience programme through flexible funding, in particular for under-funded pillars (e.g. Knowledge Management in Kenya)
- PSNP in Ethiopia, the largest safety net programme in Africa
- Cash-based safety nets, such as the Common Framework on Seasonal Social Nets in Northern Mali (CCFS), a programme led by 5 NGOs (ACF, DRC, HI, OXFAM, Solidarités Internationales) and funded by ECHO
- The "communes de convergence" approach in Niger which aims at tackling resilience through actions targeted at the communal level
- WFP's programme Purchase for Progress (P4P), the objective of which is to connect smallholder farmers directly with markets, so that their businesses can grow

Table 1 below provides an overview of EU spending and non-spending activities in support for resilience in Sahel and Horn, with a focus on the six countries visited during the field phase of the evaluation.

**Table 3: Overview of EU spending and non-spending activities in support to resilience**

Country or Region	EU spending activities in support of resilience	EU non-spending activities in support of resilience
<b>Burkina-Faso</b>	<p>Flagship Programme:</p> <ul style="list-style-type: none"> <li>▪ AGIR: Support to cash transfer and cash-for-work programmes by Action Contre la Faim. Support to 40 000 people.</li> </ul> <p>DEVCO:</p> <ul style="list-style-type: none"> <li>▪ « PROGRES: Programme de Renforcement de la RESilience des populations pauvres et très pauvres et amélioration de la sécurité alimentaire et nutritionnelle dans la province de la Gnagna »: €1.03 million</li> <li>▪ PSANBF: Programme de Sécurité Alimentaire et Nutritionnelle au Burkina Faso: €25m</li> <li>▪ SBS: PAFFIC – Programme d’Appui Financier à la Filière Coton</li> <li>▪ Food Security Thematic Programme</li> <li>▪ Food Facility</li> </ul> <p>ECHO:</p> <ul style="list-style-type: none"> <li>▪ Total contribution over the period 2007-2015: €143m. According to the inventory conducted for this evaluation, ECHO resilience-related contracts amounted to €111m.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Support to AGIR – PRP process</li> <li>▪ Support to PNN development</li> <li>▪ Advocacy and policy dialogue on: <ul style="list-style-type: none"> <li>- Cadre harmonisé</li> <li>- HEA</li> <li>- Social Safety Nets targeting</li> <li>- Single registry for vulnerable populations</li> </ul> </li> </ul>
<b>Ethiopia</b>	<p>Flagship Programmes:</p> <ul style="list-style-type: none"> <li>▪ SHARE: total indicative allocation for Ethiopia is €50 million. <ul style="list-style-type: none"> <li>- ARCE (Accelerating Resilience Capacity in southern and eastern Ethiopia) is the same as SHARE Ethiopia (€ 50 million) and is the DEVCO contribution to RESET I (adding to ECHO contributions)</li> </ul> </li> <li>▪ RESET: first phase: 2012-2016, second phase 2016-2020.</li> <li>▪ Support to PSNP phases 2 and 3. The EU support to PSNP from 2007 to 2015 is about € 220 million.</li> </ul> <p>DEVCO:</p> <ul style="list-style-type: none"> <li>▪ Supporting Action to Strengthen Sustainable Livelihoods and Resilience Capacity of Vulnerable Households in Fedis, Gorogutu and Kersa Woredas, Ethiopia: €1.7m</li> </ul>	<ul style="list-style-type: none"> <li>▪ Advocacy on nutrition</li> <li>▪ Policy dialogue with the government difficult</li> </ul>

Country or Region	EU spending activities in support of resilience	EU non-spending activities in support of resilience
	<ul style="list-style-type: none"> <li>▪ Enhancing Food Security, Stability and Resilience (EFSSR): Assisting the Rural Poor to Improve Farming, Asset Base and Income Sources: €2.8m</li> <li>▪ Smallholder Markets and Agriculture Resilience Transformation Project (SMART Project): €3.9m</li> <li>▪ Drought Recovery and Resilience Partnership projects in Borana: €2.4m</li> <li>▪ "Support the planning and review process, the sharing of experiences/best practices, towards strengthening Resilience - EU LRRD approaches: €68k</li> <li>▪ Building Resilience through Integrated Recovery Support to Drought Affected Communities in Somali (Siti Zone) and Afar (Zones 1, 4 &amp; 5) Regions: €1.9m</li> <li>▪ Integrated nutrition services: Multisectoral interventions to improve nutrition security and strengthen resilience in Ethiopia: €2.5m</li> <li>▪ Pursuing Pastoral Resilience (PPR) through improved animal health service delivery in pastoral areas of Ethiopia. (DEVCO): €3.7m</li> <li>▪ Building Resilience Capacity and Recovery for the Vulnerable Population of Wag Himra Zone, Amhara Region, Ethiopia (DEVCO): €703k</li> <li>▪ Coordinated Recovery to Community Resilience in Borana (CR2B): €1.5m</li> </ul> <p>ECHO:</p> <ul style="list-style-type: none"> <li>▪ Total contribution over the period 2007-2015: €386m. According the inventory conducted for this evaluation, ECHO resilience-related contracts amounted €326m.</li> </ul>	
<b>Kenya</b>	<p>Flagship programmes:</p> <ul style="list-style-type: none"> <li>▪ SHARE: allocation for Kenya: €40 million</li> <li>▪ Drought Contingency Fund (under Kenya Rural Development Programme): <ul style="list-style-type: none"> <li>- First phase 2014-2017, EU contribution: €10 million (DEVCO)</li> <li>- Second phase, planned EU contribution: €24 million</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▪ DEVCO critical in development of the Ending Drought Emergency Strategy (EDE)</li> </ul>



Country or Region	EU spending activities in support of resilience	EU non-spending activities in support of resilience
	<p>DEVCO:</p> <ul style="list-style-type: none"> <li>▪ Improved Community Drought Response and Resilience (DEVCO): €4.6m</li> <li>▪ Enhanced Community Resilience to Drought through Innovative Market Based Systems (DEVCO): €1.6m</li> <li>▪ Community Action for Improved Drought Response Resilience (DEVCO): €523k</li> <li>▪ Review of current processes and practices for resilience building in the HoAfrica (DEVCO): €16k</li> </ul> <p>ECHO:</p> <ul style="list-style-type: none"> <li>▪ Total contribution over the period 2007-2015: €267m. According the inventory conducted for this evaluation, ECHO resilience-related contracts amounted €196m.</li> </ul>	
<b>Mali</b>	<p>Flagship programmes:</p> <ul style="list-style-type: none"> <li>▪ CCFS programme (<i>Cadre Commun sur les Filets Sociaux saisonniers au Nord Mali</i>). ECHO contribution (10th EDF B envelop): €10 million (May 2014-March 2015)</li> <li>▪ PRORESA (<i>Programme de renforcement de la sécurité alimentaire au Mali</i>)+ EU-TF. DEVCO contribution: €30 million</li> <li>▪ DEVCO FSTP and FF</li> <li>▪ Financial support to REACH/SUN</li> </ul> <p>ECHO:</p> <p>Total contribution over the period 2007-2015: €196m. According the inventory conducted for this evaluation, ECHO resilience-related contracts amounted €111m.</p>	<ul style="list-style-type: none"> <li>▪ Support to AGIR – PRP process</li> <li>▪ Support to PNN development</li> <li>▪ Advocacy and policy dialogue on: <ul style="list-style-type: none"> <li>- Cadre harmonisé</li> <li>- HEA</li> <li>- Social Safety Nets targeting</li> <li>- Single registry for vulnerable populations</li> </ul> </li> </ul>
<b>Niger</b>	<p>Flagship programmes:</p> <ul style="list-style-type: none"> <li>▪ European Union Natural Disaster Risk Reduction Program: initiative of the ACP group funded by the EU. DEVCO contribution: €1 million</li> <li>▪ SBS: Programme d'appui à la mise en oeuvre du contrat plan de l'Office du Niger (PAMOCP-ON)</li> <li>▪ Targeted Budget Support to DNPGCCA</li> <li>▪ DEVCO FSTP and FF</li> <li>▪ TA to SDR and HCI3N</li> </ul>	<p>Non-spending</p> <ul style="list-style-type: none"> <li>▪ Policy dialogue (supported by BS) on: <ul style="list-style-type: none"> <li>- HEA methodology (developed and promoted by ECHO)</li> <li>- Development of Nutrition Sensitive Approaches to Seasonal Safety Nets (developed and promoted by ECHO)</li> <li>- DNPGCCA instruments</li> </ul> </li> </ul>

Country or Region	EU spending activities in support of resilience	EU non-spending activities in support of resilience
	<ul style="list-style-type: none"> <li>▪ Financial support to REACH/SUN</li> </ul> <p>ECHO:</p> <ul style="list-style-type: none"> <li>▪ Total contribution over the period 2007-2015: €319m. According to the inventory conducted for this evaluation, ECHO resilience-related contracts amounted €278m.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Political support to HCI3N and policy dialogue to enhance resilience focus of I3N</li> </ul>
<b>Somalia</b>	<p>Flagship Programmes:</p> <ul style="list-style-type: none"> <li>▪ Somalia is part of SHARE</li> <li>▪ SomReP (Somalia Resilience Programme): developed by a group of NGOs. (DEVCO contribution: €34 million)</li> </ul> <p>ECHO:</p> <ul style="list-style-type: none"> <li>▪ Total contribution over the period 2007-2015: €421m. According to the inventory conducted for this evaluation, ECHO resilience-related contracts amounted €287m.</li> </ul>	
<b>Horn of Africa</b>	<ul style="list-style-type: none"> <li>▪ SHARE: Since 2012, package of intervention of €270 Million. Supports: Somalia, Ethiopia, Kenya, Djibouti, IGAD. Support to IGAD: €15.2million</li> </ul>	
<b>West Africa (ECOWAS + CILSS)</b>	<ul style="list-style-type: none"> <li>▪ AGIR: launched in December 2012. The Alliance relies on the Food crises prevention network (space of dialogue). Financial support to the roll out of the process channelled through CILSS</li> <li>▪ 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). DEVCO contribution: €7 million</li> <li>▪ Programme régional de gestion durable des terres et d'adaptation aux changements climatiques au Sahel et en Afrique de l'Ouest (PRGDT) (2011-2015). EU contribution: €10 million.</li> <li>▪ Initiative «Support to the Global Climate Change Alliance (GCCA) » (2011-2014). DEVCO contribution: €4 million for CILSS/CEDEAO area).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Participation in the RPCA – Réseau de Prévention des Crises Alimentaires</li> <li>▪ Advocacy and policy dialogue on the Cadre Harmonisé</li> <li>▪ Support to AGIR through dialogue in Brussels and advocacy by field office (EUD and ECHO)</li> </ul>
<b>African Union</b>	<ul style="list-style-type: none"> <li>▪ Programme of action for the implementation of the Africa regional strategy for disaster risk reduction (2006-2015). In 2015, the EU announced a €80m initiative to drive implementation of the strategy</li> </ul>	

Source: ADE

## **Inclusion of Resilience to Food Crises in National Policies and Strategies**

It is challenging to attribute identified national strategy evolution of resilience issues to EU interventions. However, alignment with EU principles can be highlighted when governments pay attention to targeting vulnerable populations, to addressing root causes of vulnerability, or to multi-sectorality and inter-sectoral coordination. We have therefore identified, in focus countries' national strategies, elements referring to the principles mentioned above, in order to assess this alignment. It is worth mentioning that where the resilience strategy has advanced most strongly, similar policy frameworks had previously been adopted (for instance in Niger and to some extent Kenya, when referring to national documents), or the policy environment was already conducive to resilience approaches (Burkina Faso, Ethiopia).

### Burkina-Faso

#### **Poverty Reduction Strategic Framework<sup>21</sup> (2007-2011)**

- Deep analysis of poverty: root causes, population concerned.
- Slight reflection of World Bank concept of vulnerability.
- Important focus on reducing the vulnerability of agricultural activity to environmental risks.
- Concern of food security in respect of agricultural activities.

#### **Strategy for Accelerated Growth and Sustainable Development<sup>22</sup> (2011-2015)**

- Recognize vulnerability of poorest populations to various shocks and hazards.
- Address vulnerability by focusing on social protection (improve nutritional conditions, ensure access to basic social services and social safety nets)
- Policy objective is pro-poor growth with particular attention to increasing agricultural productivity and to prevention of agricultural activity risks and contingencies.
- In the second strategic axis, one objective is dedicated to health and nutrition with a view to reinforcing food security

#### **EU interventions mentioned in CSP related to resilience-related strategies**

- Support for elaboration of Rural Development Strategy, 2003 and Food Security National Strategy, 2004
- EU support contribution to integration of food security in national priorities and facilitation of the creation of a dedicated institutional structure (Evaluation EC BF 99-08)

In the case of Burkina-Faso, the concern of the government regarding vulnerability issues seems to have evolved over the period, with awareness of strong exposure of poor populations to various shocks and of the need for specific nutritional and social measures. With the EU's support for the elaboration of the Food Security National Strategy in 2004, there is growing alignment with the EU perception of resilience and vulnerability. However, even if the social sector is becoming important, attention is focused on improving

<sup>21</sup> Cadre Stratégique de Lutte contre la Pauvreté (CSLP)

<sup>22</sup> Stratégie de Croissance Accélérée et de Développement Durable (SCADD)

agricultural sector productivity as a way of strengthening resilience to environmental shocks.

### Ethiopia

#### **Growth and Transformation Plan I (2010-2015)**

- Strong focus on children as the populations most vulnerable to natural risks in the “Gender and Children Affairs” section.
- Addressing of vulnerability under health diseases issues (HIV, etc.)
- Plan to increase Food Security and Social Safety Nets Programme’s effectiveness and strengthen EWS (Emergency Warning System)

#### **Growth and Transformation Plan II (2016-2020)**

- Concept of vulnerability is applied to drought crisis matters.
- Food security and agriculture are treated as one sector but there is no mention of resilience.
- Plan seeks to improve food and nutrition security and reduce exposure to external shocks with particular focus on the ASAL.
- Notion of climate-resilient green economy (CRGE) is included
- Consideration is given to need for sectoral coordination in support of mainstreaming “women an youth” in all sectors

#### **EU interventions mentioned in CSP related to resilience issues**

- Support for Food Security Information System and Productive Safety Net Programme through PASDEP (2005-2010 Ethiopian strategic framework)
- Promotion of the need to strengthen statistical database for agriculture policy making.
- Support for EWS, regional food reserves and the regional programme on safety nets.

There is mention of vulnerability in Ethiopia’s Growth and Transformation plans, even if it is not pointed to resilience issues and is far from the EU concept of vulnerability. However, concerns about food crisis and nutrition insecurities are now being discussed, with attempts to tackle the root causes. Furthermore, both GoE and EU prioritize Food Security and Social Safety Nets Programmes and EWS effectiveness.

### Kenya

#### **First Medium Term Plan (2008-2012)**

- One section describes Kenya’s vision of vulnerability and the populations concerned (women, youth, orphans, disabled, poor, aged, displaced, etc.) and the need to address urgent measures in different sectors (social protection, education, health, crimes)
- Planned i) to implement flagship projects aiming at better understanding root causes of vulnerability, and ii) to profile the poorest populations and their needs and also iii) implement a comprehensive study and analysis of poverty reduction initiatives originated from development partners.
- There is a focus on the vulnerability of ASAL communities and the need for disaster preparedness. Flagship projects were planned to improve food and water security in ASAL communities.

- Recognize the importance of a multi-sectoral approach in social security policy implementation.

### **Second Medium Term Plan (2013-2017)**

- Identification of vulnerable populations with a focus on ASAL region.
- Plan to promote education in ASAL
- Focus on food insecurity effects on children
- Section on Ending Drought Emergency (EDE), considering ASAL communities as most vulnerable region to disasters risks.
- Targeting of vulnerable groups in social protection, through DRR & EDE and preparedness, mitigation response and recovery.
- In the environment sector, identification of the need for harmonization of sectoral policies.

### **EU interventions mentioned in CSP related to resilience issues**

- ASAL's research project
- Support for efforts towards National Drought Contingency Fund and Rural Poverty Reduction & Local Government Support Programme, 2004

The Kenyan national strategy clearly identifies and analyses vulnerable populations and how to tackle the root causes of resilience issues (food and nutrition security, social safety nets, climate shocks). One of the key priority areas of the Second MTP is the “Drought Emergencies and Food Security through the Ending Drought Emergencies (EDE)” Plan, supported by the EU. There is a strong alignment on the three criteria, with attention to vulnerability as GoK also identify the need for harmonization of sectoral policies in the environment sector.

### Mali

#### **Poverty Reduction Strategic Framework<sup>23</sup> (2007-2011)**

- Women are the vulnerable populations (mentioned under the “Gender” section).
- Strong focus on food security through improvement of agricultural sector productivity
- Seeks to develop food crisis prevention & management systems by reinforcing the national system of food crisis control.

#### **Growth and Poverty Reduction Strategic Framework<sup>24</sup> (2012-2017)**

- 2<sup>nd</sup> strategic axis refers among other things to food security and tackling of vulnerabilities.
- There is an analysis of the relationship between poverty and vulnerability with attention to food crises, children and girls. Vulnerability of poor to environmental disaster risks identified.
- Vulnerable groups are mentioned and targeted in all economics sectors' objectives (mines, tourism, culture, agriculture, health, ...)
- Tackling vulnerabilities consists mostly of developing the social safety nets programme.

<sup>23</sup> Cadre Stratégique pour la lutte contre la Pauvreté (CSLP)

<sup>24</sup> Cadre Stratégique pour la Croissance et la Réduction de la Pauvreté (CSCR)

- Specific objective 10 aims at reducing food insecurity, hunger and malnutrition.
- Recognition that sectoral coordination is critical for harmonized implementation in the nutrition sector.

#### **EU interventions mentioned in CSP related to resilience issues**

- Budget support for CSLP implementation and elaboration
- Grants to NGO projects on food security

There is a clear evolution of consideration of vulnerable groups in the development strategy on food and nutrition security issues. In the CSCR, the GoM elaborated on the profile of vulnerable groups in the country and appropriate measures. GoM also emphasizes the multi-sectoral dimension of nutrition and health sectors and scheduled related action plans. The second plan is in line with EU principles regarding resilience. However, the nature of EU involvement is unclear as the EU supported the first plan.

#### Niger

#### **Accelerated Growth and Poverty Reduction Strategy<sup>25</sup> (2008-2012)**

- Analysis of vulnerable group profiles (population concerned, root causes)
- Clear mention of tackling vulnerability in the strategic axis
- In line with MDGs, considered reinforcement of social protection for vulnerable groups
- In considering food insecurity, elaboration of national food crisis management and prevention system with a focus on vulnerable zones and households

#### **Economic and social Development Plan<sup>26</sup> (2012-2015)**

- Development of social protection measures for vulnerable groups as well as considering health, nutrition and education issues relating to vulnerable populations.
- Social protection measures to strengthen the resilience of vulnerable populations to crises.
- Clear reference to resilience issues in the second and third axes
- Establishment of Initiative 3N

#### **EU interventions mentioned in CSP relating to resilience issues**

- Support for national food crisis management and prevention system
- Support for Rural Development Strategy (SDR)
- Creation of communication unit on food security thematic (information flow, flagship projects to define appropriate tools...)

At the beginning of the period there was already strong concern about vulnerable populations and food insecurity issues. It was strengthened in the second plan with stronger focus on social protection measures (health, nutrition, education) and Initiative 3N entirely dedicated to resilience (food crisis, environmental risks). GoN strategies and plans in regard to resilience are coherent with the EU's.

<sup>25</sup> Stratégie de Développement Accéléré et de Réduction de la Pauvreté

<sup>26</sup> Plan de Développement Economique et Social (PDES)

Table 4: Overview of regional and national resilience-related strategies and policies

Country or Region	Strategies referring to resilience
Burkina-Faso	<ul style="list-style-type: none"> <li>▪ <b>Poverty Reduction Strategy Paper, 2004</b> Through this document, the Government planned to strengthen nutrition programmes. The programme will also focus on reducing the vulnerability of agricultural activity (to climatic conditions for instance).</li> <li>▪ <b>Poverty Reduction Strategy Paper, 2011-2015</b> The document recommends effective implementation measures to adapt and mitigate the vulnerability of the agricultural sector to face climate change. It is mentioned that priority will be given to food security in order to reduce hunger and disease owing to nutritional deficiencies, stressing the necessity to strengthen the mechanism for preventing and managing economic crises.</li> <li>▪ <b>Rural Sector National Plan, 2011-2015</b> One of the priority area is to improve food security and sovereignty. Objective 1 in this area is the promotion of an integrated accessibility for vulnerable communities to agricultural inputs and to marketing and processing channels of agricultural commodities while improving their capacity for resilience.</li> <li>▪ <b>Risk Disaster Prevention and Management National Strategy, 2013 – 2017</b> The strategy aims at providing strong institutions and relevant tools for a better humanitarian risk disaster prevention and management in order to reduce the country's vulnerability to hazards and disasters.</li> <li>▪ <b>Food and Nutrition Security National Policy, 2013</b> The overall objective of the policy is to ensure sustainable food and nutrition security by 2025. It projected to strengthen prevention and response capacities to shocks. Strategic orientations adopted include the improvement of economic opportunities and the strengthening of vulnerable populations' resilience.</li> <li>▪ <b>Adaptation to Climate Change National Plan, 2015</b> The overall objective of this plan is to reduce vulnerability to climate change effects by developing adaptation and resilience capacities.</li> <li>▪ <b>NRP (National Resilience Priorities)</b></li> </ul>
Ethiopia	<ul style="list-style-type: none"> <li>▪ <b>Poverty Reduction Strategy Paper, 2002</b> One of the activities envisaged is the strengthening of emergency response abilities, in order to face domestic shocks and improve disaster prevention and preparedness. The main purpose of this activity is to undertake studies, which help understand the extent and nature of vulnerabilities to disasters.</li> <li>▪ <b>Agricultural Sector Policy and Investment Framework (PIF), 2010-2020</b> The strategic objective n°3 is to reduce degradation and improve productivity of natural resources, by the development of more robust and resilient farming systems that are able to adapt to a range of possible climate change outcomes. The SO4 aims at achieving universal food security and protecting vulnerable households from natural disasters (principally droughts).</li> </ul>

Country or Region	Strategies referring to resilience
	<ul style="list-style-type: none"> <li>▪ <b>Climate-Resilient Green Economy (CRGE) initiative, 2011</b> The plan has as one of its objectives, the improvement of resilience to climate change with a focus on improving agricultural production practices for higher food security and farmer income, while reducing emissions.</li> <li>▪ <b>Country Programming Paper for the “Drought Resilience and Sustainability Initiative”, 2012</b> The overarching objective is to improve food and nutrition security and enhance resilience to external shocks with particular focus on the ASAL (arid and semi-arid lands) communities. This calls for ensuring that improved technologies and policies aiming at enhancing household resilience in drought-prone areas are generated, promoted and successfully adopted.</li> <li>▪ <b>National Policy and Strategy on Disaster Risk Management, 2013</b> The policy has among its specific objectives the reduction of dependency on and expectations of relief aid by encouraging attitudinal change and building resilience of vulnerable people. To achieve this, the country planned to elaborate a comprehensive disaster risk management system that concentrates on multi-hazard and multi-sectoral approaches.</li> <li>▪ <b>The social protection policy, strategy and plan, 2014</b></li> </ul>
Kenya	<ul style="list-style-type: none"> <li>▪ <b>National Disaster Management Policy, 2009</b> The document institutionalizes disaster management and mainstreams disaster risk reduction in the country's development initiatives. It aims to increase and sustain resilience of vulnerable communities to hazards.</li> <li>▪ <b>Poverty Reduction Strategy Paper, 2010</b> There is no mention of resilience or food security as objectives of this Plan.</li> <li>▪ <b>Kenya Nutrition and Food Security Policy, 2011</b> It is identified that adaptation interventions that enhance communities' resilience to climate change induced effects are critical for the realization of the principles of this policy.</li> <li>▪ <b>National Policy for the Sustainable Development of Northern Kenya and other Arid Lands, 2012</b> The policy focuses on climate resilience requiring Government to find means of addressing climate challenges and to come up with measures to manage drought and strengthen livelihoods.</li> <li>▪ <b>National Climate Change Action Plan, 2013-2017</b> One of the subcomponent is the Long-term National Low Carbon Climate Resilient Development Pathway. This pathway emphasizes sustainable development, adaptation and mitigation measures.</li> <li>▪ <b>Kenya Green Economy Strategy and Implementation Plan, 2015</b> They define green economy as a development path that promotes resource efficiency and sustainable management of natural resources, social inclusion, resilience, and sustainable infrastructure development.</li> <li>▪ <b>Common Programme Framework for Ending Drought Emergencies, 2015</b></li> </ul>



Country or Region	Strategies referring to resilience
	<p>The main objective of this framework is that communities in drought-prone areas are more resilient to drought and other effects of climate change, and that the impacts of drought are contained.</p>
Mali	<ul style="list-style-type: none"> <li>▪ <b>Poverty Reduction Strategy Paper, 2006</b> The food security is the number 1 objective, but there is no mention of resilience as such.</li> <li>▪ <b>National Programme on Food Security (PNNSA), 2006-2015</b> This programme aims at improving the food security of households in a sustainable way.</li> <li>▪ <b>National Plan on Multi-Risks and Preparation and Response to Catastrophes, 2009</b> It shows which catastrophes are more probable to arrive in Mali and their probabilities.</li> <li>▪ <b>National Policy on Climate Change, 2011</b> One specific objective is to reinforce the adaptation capacity of the populations and the resilience of ecological, economic, social systems against the effects of climate change by integrating adaptation measures to sectors that are more vulnerable.</li> <li>▪ <b>National Report on Sustainable Development, 2012</b> This report aimed at identifying the challenges in this area for the country, make a summary of what has been done and explain the issues that remain.</li> <li>▪ <b>Agricultural Development Policy, 2013</b> It mentions the country's sovereignty and food security as an objective but nothing else.</li> <li>▪ <b>Poverty Reduction Strategy Paper, 2013</b> The plan for the sustainable recovery of Mali's objective is to build a framework for a resilient economy and recalls that food security is a priority.</li> <li>▪ <b>National policy on Nutrition</b> Nothing mentioned on resilience.</li> <li>▪ <b>National Plan on Sanitary and Social Development (PDDSS), 2014-2023</b> No mention of resilience.</li> <li>▪ <b>National Resilience Priorities (NRP), 2015</b></li> </ul>
Niger	<ul style="list-style-type: none"> <li>▪ <b>National Programme of Action for the Adaptation to Climate Change, 2006</b> The general objective of this plan is to contribute to the negative impacts of the variability of climate change on the most vulnerable populations in the perspective of sustainable development.</li> <li>▪ <b>Poverty Reduction Strategy Paper, 2008</b> One of eight pillars is the reduction of inequalities and strengthening of social security of the vulnerable groups but is concentrated on promoting gender equality and women.</li> <li>▪ <b>National Policy on Social Protection, 2011</b> This policy aims to define the global and coherent strategy of social protection to influence in a significant way the causes of poverty and vulnerability.</li> </ul>

Country or Region	Strategies referring to resilience
	<ul style="list-style-type: none"> <li>▪ <b>National Policy for Nutrition, 2012-2021</b> There is no specific reference to resilience.</li> <li>▪ <b>Poverty Reduction Strategy Paper (PRSP), 2013</b> The PRSP is based on five pillars, one of which is food security and sustainable agricultural development. They mention the government uses significant social protection measures to strengthen the resilience of vulnerable populations to crises.</li> <li>▪ <b>National Resilience Priorities (NRP), 2015</b></li> </ul>
Somalia	<ul style="list-style-type: none"> <li>▪ <b>Puntland Disaster Management Framework, 2011</b> It aims at “Achieving sustainable social, economic and environmental development in Puntland through reducing risks and vulnerabilities, particularly those of the poor and marginalized groups, and by effectively responding to and recovering from disaster impact”.</li> <li>▪ <b>Interim-Poverty Reduction Strategy Paper (I-PRSP), 2012</b> It does not mention the resilience concept.</li> <li>▪ <b>National Adaptation Programme of Action on Climate Change (NAPA), 2013</b> The overarching vision set out in the NAPA is to make the Somali people more resilient to climate change, recognizing their high vulnerability in an economy that is dominated by a high dependence on natural resources.</li> <li>▪ <b>Somali Compact, 2013</b> (the importance of resilience is stressed in the PSG 5 on revenue and service) They strength the importance of resilience in one of the five Peacebuilding and State-building Goals (PSGs) “revenue and services”, mentioning the focus on increasing the service delivery and more in particular to the most vulnerable groups.</li> <li>▪ <b>Health sector Strategic Plan, 2013-2016</b> The document does not mention resilience.</li> <li>▪ <b>Federal Republic of Somalia, “6 pillars strategy”, 2014</b> Nothing clearly on resilience</li> </ul>
Horn of Africa	<ul style="list-style-type: none"> <li>▪ <b>IGAD Regional Food Security Strategy, 2005-2008</b> The two main objectives are to boost agriculture, livestock and fish production and to improve the efficiency of agricultural and food marketing.</li> <li>▪ <b>IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI) Strategy, 2012-2027</b> Of the seven identified priority intervention areas, four focuses on ensuring equitable access and sustainable use of natural resources, providing equitable access to livelihood support and basic social services, improving disaster risk management capabilities and strengthening coordination mechanisms and partnerships.</li> <li>▪ <b>Regional Programming Paper (RPP), 2013</b></li> </ul>

Country or Region	Strategies referring to resilience
	<p>RPP is composed of an agreement between the IGAD member states and a framework to guide the process of implementing the drought resilience initiative. RPP 2013's objective is to end drought emergencies, enhance drought resilience and build sustainability in the IGAD Region.</p>
West Africa (ECOWAS)	<ul style="list-style-type: none"> <li>▪ <b>CILSS Strategic Framework for Food Security (CSSA), 2000</b> It has the specific aim of reducing poverty, for instance by improving the access of vulnerable groups and zones to food and basic social services in a sustainable way. There is a concern for vulnerability even if not explicitly for resilience.</li> <li>▪ <b>The Agricultural Policy of the West African Economic and Monetary Union (PAU), 2001</b> The three key objectives are to realize food security, increase agricultural productivity and improve the operation of markets for agricultural, livestock and fisheries products, but without any specific attention to resilience.</li> <li>▪ <b>The Common Agricultural Policy of the Economic Community of West African states (ECOWAP), 2005</b> It corresponds to ECOWAS's agricultural policy. It is subdivided between seven specific objectives, including "to reduce vulnerability of Western African economies by limiting factors of regional instability and insecurity".</li> <li>▪ <b>The Support Programme for Food and Nutrition Security Programme in West Africa (PASANAO), 2005</b> The overall objective is to contribute to the improvement of the food and nutrition situation of West Africans, mainly by strengthening the capacity of national and regional food security devices to take into account the new dimensions of security food, the diversity of situations and the interdependence of national economies in West Africa.</li> <li>▪ <b>The ECOWAS Policy for Disaster Reduction Risks, 2006</b> This document focuses on reducing disaster risks through development interventions by looking at managing disaster risks as a development challenge.</li> <li>▪ <b>ECOWAS Strategic Vision 2011-2015</b> References to "resilient" aspects only aim to reduce vulnerability of national economies within "a volatile global economy".</li> <li>▪ <b>Strategy towards local-level food security in West Africa – "Zero Hunger", 2012</b> It addresses the following keys points: (i) clarify the concept of resilience and the attributes of a policy aimed at strengthening, (ii) define how to improve consideration of risks in the current working agenda of National Agricultural Indicative Programmes (NAIPs) and Regional Agricultural Indicative Programmes (RAIPs), and (iii) determine how to target specific measures on vulnerable rural populations.</li> <li>▪ <b>ECOWAS Sahel Strategy, 2013</b></li> </ul>

Country or Region	Strategies referring to resilience
	<p>It focuses on eight priority areas, including on: “Agricultural and pastoral development and support to the resilience of populations”. This specific priority should contribute to implementation of several agriculture-orientated policies.</p> <ul style="list-style-type: none"> <li>▪ <b>The Regional Social Safety Net Support Programme, 2013</b> Under its overall objective “reduce food and nutritional insecurity and promote sustainable access to food within ECOWAS”, this programme has the specific objective of promoting national social safety net programmes aiming at strengthening households’ and communities’ resilience.</li> <li>▪ <b>The Regional Food Security Reserve, 2013</b> This plan establishes an operational regional reserve and provides support for the "vulnerability" dimension in the development of information systems and tools (ECOAGRIS).</li> <li>▪ <b>The Regional Support Programme for Intensification of Agricultural and Pastoral Development in West Africa, 2013</b> The programme aims to promote strategic food products to ensure food security and sovereignty. The only aspect regarding “reducing vulnerability” is the objective of facilitating access to input voucher programmes for vulnerable farmers.</li> <li>▪ <b>Global Alliance for Resilience (AGIR) - Sahel and West Africa, 2012</b> It is the main resilience building strategy in the West Africa region and its overall objective is to “Structurally reduce food and nutritional vulnerability in a sustainable manner by supporting the implementation of Sahelian and West African policies” and to eradicate hunger and malnutrition within the next 20 years.</li> </ul>

Source: ADE

## Implementation of resilience priorities included in regional and national programming

In East Africa, **regional strategies** have limited influence on national commitment and investments. Reasons mentioned include:

- i) IGAD's limited effectiveness, and mixed interest in IDRISI by countries of the Horn;
- ii) the fact that regional strategies focus on pastoral livelihoods while national interests are more diverse or focus on other issues; *and*
- iii) the fact that large countries (e.g. Ethiopia) develop strategies and interests for development models independently from regional dynamics.

In West Africa, although PRPs have been formulated in all Sahel countries and adopted by most (see 5.1.1 above), implementation of national Resilience priorities is largely perceived as lagging behind. This perception derives from different origins:

- i) an original misconception of the AGIR alliance and the PRP process themselves by most stakeholders: initial interpretation by recipient countries and most stakeholders had been that PRPs would be programmatic documents aimed at raising funds for resilience in each country and that the EU would be prepared to fund some of these priorities;
- ii) public policy cycles take time: in most countries, PRP were nationally endorsed in 2015 and some have not yet been endorsed;
- iii) PRP weak institutional anchorage often limits its actual ownership by national administrations. Similar situations often prevail for the Multisector Nutrition Action plans, formulated with the support of the SUN and REACH, with EU contributions. National contributions to financing their execution often remains limited.

**At national level**, a key barrier to effective implementation of resilience strategies is understood as national inter-sectoral coordination capacities. Niger – through the HC13N – is an example of good practice in developing inter-ministerial coordination agencies. Several countries, on the other hand, have further fragmented their institutional setup (e.g. Ministry of Livestock and Fisheries separated from Ministry of Agriculture in Mali, a similar move in Burkina Faso, and the relief agency becoming independent of MOA in Ethiopia).

### *Burkina-Faso (SCADD Progress Report, 2015)*

In the nutrition and health sectors, very few measures have been endorsed (for instance, acquisition of an ambulance for South-Centre region, elaboration of implementation framework of food security action plan). Difficulties mentioned in relation to implementation measures in water and sanitation, food and nutrition security and social protection include delays and lack of funding. There is no mention of total funding.

### *Ethiopia (Growth and Transformation Plan Annual Progress Report, 2014)*

- Overall pro-poor sectors expenditures (education, health, agriculture, water and roads) represented 69% of the total budget.

Table 8. Total and Pro poor Government spending (million Birr)

	2010/11	2011/12	2012/13			2010/11 - 2012/13 Average performance	2014/15 Target
			plan	Actual	Implementation in %		
<b>Total Expenditure</b>	93831	124417	130187	153 929	118	124059	201146
Recurrent expenditure	40535	51445	54383	62746	115	51575	78924
capital Expenditure	53297	72971	75804	91183	120	72484	122222
Pro poor sector expenditure	62378	87568	91131	107 779	118	85908	146837
Education	23345	29710	29579	34 646	117	29234	44025
Health	6307	7626	8796	11 331	129	8421	13894
Agriculture	8246	11042	15905	14 650	92	11313	25699
Water	5563	10147	8088	12 358	153	9356	17321
Roads	18918	28836	28762	34 907	121	27554	45898

Source: MoFED

- The strategy being pursued to ensure food security includes benefiting food-insecure people through a productive safety-net programme. The PSNP (Productive Safety Net Programme) in Ethiopia has gradually developed since 2015 and is now supporting 8 million clients annually. The contribution of the GoE to PSNP is around USD 2 bn and the rest, about 35% of the budget, is funded by external resources from ten Development Partners, including the EU. The GoE is now taking an increasing stake, aiming to cover 80% of PSNP budget in a tentative Phase V<sup>27</sup>.
- A plan was drawn up to increase the national food stock to 3 million tonnes by the end of the GTP period in order to effectively respond to disaster and emergency needs. However, the food stock has remained at 405 thousand tonnes, indicating that there has been no increase during the last three plan periods.
- Regarding disaster prevention and preparedness, it was planned to increase the disaster prevention and preparedness contingency budget to Birr 200 million. However it has only been increased to Birr 122 million.
- On the other hand, to provide early warning and emergency response based on a disaster profile, it was planned to prepare such a profile for 200 Woredas. Accordingly a disaster profile was prepared for only 108 Woredas during the year 2014, because the preparations for the start of the programme took time in some regions.
- During the last three planning periods food support was provided to 11.4 million and non-food support to 3.9 million people.

### Kenya

In Kenya the EDE implementation is lagging behind schedule and limited planned actions have been completed. For instance, the Drought Contingency Fund Programme (DCFP) came into effect in July 2014 with support from development partners. In 2015, KSh. 337m (€3m) had been disbursed. The Hunger Safety Net Programme (HSNP), which provides regular and predictable cash transfers to the poorest and most vulnerable households, benefited 68,621 households. Phase 2 of the programme was to be implemented between 2014 and 2017. The phase involves new registration, targeting, and opening of bank accounts for beneficiaries. Emergency transfers worth KSh 512 million were made to these accounts in April/May 2015. By May 2015, a cumulative disbursement of KSh 4.853 billion had been made to both categories of households.

<sup>27</sup> Most of the funding comes from loans from the World Bank. They are to be considered as GoE funding since they have to be repaid (Information provided by the Reference Group, April 2017)

*Mali (CSCRП Progress Report, 2013)*

There is evidence that the GoM has been particularly active. Indeed, with the support of development partners, the Nutritional Emergency action plan has been implemented and the emergency action plan of response to food crises benefited 4.6 million vulnerable peoples in 210 communities. Overall, the operational crisis response benefits about 37% of food insecure people. A total of 55 milliards de FCFA have been disbursed for food and nutrition security. The CSCRП Progress Report 2013 also mentioned implementation of REACH and SUN activities.

*Niger*

In Niger, 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). The “Resilience” axe has been particularly well-funded (456%). However, presented as such, this information is somewhat misleading as much of the action corresponds to emergency response. A positive step is that I3N now clearly distinguishes resilience building priorities from protective (or emergency response) activities in its quinquennial plan.

**To sum up**

The EU has made significant contributions to developing 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. Since 2012 the EU has supported the development of national and regional strategies for building resilience to food crises, although it is challenging to attribute identified national strategy trends towards resilience issues to EU interventions: However, operationalization of the national strategies for building resilience to food crises has so far been limited.

**IDS 5: Assessment of progress in resilience measurement****Introduction**

Most major donors have either a framework in place to monitor and measure resilience or are in the process of designing one. This *In-Depth Study* examines to what extent, and how, progresses in resilience measurement have occurred over the period. The study is articulated around the following parts:

- Inventory of approaches to measurement of resilience
- Analysis of EU contribution to developing resilience measurement tools
- Case studies of resilience measurement in EU projects in the Sahel and Horn of Africa

This study is related to EQ6 and EQ 7 (JC 6.3 and 7.2). Key sources of information are provided in the study.

## **Inventory of approaches to measurement of resilience**

### *EU Funding FAO through the Improved Global Governance for Hunger Reduction programme*

#### **Objectives and Purpose**

Resilience actions at country and regional levels in protracted crisis/recurrent disasters situations are supported by robust analysis. In order to promote a transformative resilience agenda the analytical work should become systematic and be mainstreamed to:

- Provide decision-makers with clear indications of where and how to intervene;
- Identify populations most in need;
- Monitor and evaluate the impact of interventions;
- Align humanitarian and development goals;
- Be anchored and owned at country level in national and local actors' realities and context; and
- Put efforts on the analysis of cost-benefits of resilience and the value for money of different types of interventions.

#### **Expected Results**

- Resilience measurement tools standardised harmonised and disseminated.
- Resilience analyses and impact assessments at country and local levels undertaken.
- M&E systems established and based on adequate resilience related analytical work.
- National, regional capacities to measure and analyse resilience enhanced.

#### **Areas of Work**

##### **Technical development through the Food Security Information Network**

- Harmonisation and standardisation of methods used for resilience measurement
- Together with WFP and IFAD, under the umbrella of the Food Security Information Network (FSIN), FAO is supporting the effort of the Resilience Measurement Technical Working Group in order to secure consensus on a common analytical framework and guidelines for food and nutrition security resilience measurement
- Improving understanding of resilience dynamics and dimensions linked to policy recommendations and reflected in intervention designs and investment prioritisation
- Outcomes of analyses, lessons learned and findings from the research and impact evaluations are used to advise on resilience programming, including household, community and higher levels.

##### **Promote resilience measurement at country and regional level**

- Boosting analysis capacities in the Horn of Africa

At the request of the Intergovernmental Authority on Development (IGAD) and in partnership with the United Nations Development Programme (UNDP), United Nations Children's Fund (UNICEF) and World Food Programme (WFP), FAO established a Resilience Analysis Unit (RAU) in the Horn of Africa. Through the RAU, partners work with countries to: i) develop resilience measurement and analysis capacities; and ii) inform policy processes and resilience programming and implementation.

- Strengthening resilience measurement in the Sahel



Building on the successful collaboration in Horn of Africa and following specific country requests, the Comité permanent Inter Etats de Lutte contre la Sécheresse dans le Sahel (CILSS) asked FAO to explore the possibility of putting in place a Technical Platform on Resilience measurement in the Sahel Region.

- **Analysis support to the countries**

Analysis is run through both ad-hoc surveys and existing data (depending on the availability of data). FAO places specific emphasis on improving the RIMA model and using it in combination with qualitative and quantitative methods to inform and complement each other.

### **Issues or challenges to resilience measurement**

**Data availability:** A common concern for a proper resilience analysis is lack of data. The RIMA and other quantitative models draw on data that is often but not always readily available in many countries, including the Living Standard Measurement Study (LSMS) or the Integrated Household Budget Survey (IHBS). Complementary qualitative analyses are also required.

**Multi sector country ownership:** conducting resilience analysis should be demand-driven and a consensual process facilitated by a broad interagency working group, especially government and key constituencies. It is fundamental to work closely with beneficiary government institutions to promote national collaboration and buy-in.

**Country-level capacity constraints to conduct resilience analyses:** To conduct a resilience analysis deep knowledge of econometrics is needed and not always available.

**Limited resources:** Resources to conduct post-analysis technical backstopping and for capacity development of agencies and governments are limited.

**Use of the analysis for policy and programme formulation:** translating complex analytical messages into clear policy messages is a difficult exercise which is currently been addressed (European Commission, 2015a).

### **The Food and Agriculture Organization of the United Nations (FAO)**

Following a major Strategic Thinking Process, in 2013 FAO restructured its work and organisation around five Strategic Objectives, of which resilience is one (the SO5). This has ensured that resilience is now a corporate priority for FAO.

The SO5 is best explained around three main questions:

- 1) the resilience of whom? Vulnerable communities and families depending on renewable natural resources in disaster and crisis prone countries;
- 2) the resilience of what? The FAO Resilience Agenda is based on livelihoods systems related to agriculture, livestock, fisheries, aquaculture, forestry and other renewable natural resources sectors; and
- 3) the resilience against what? FAO resilience work is defined around five main categories of shocks: natural disasters, including climate change extreme events; food chain crises of transboundary or technological threats; socio-economic crises; violent conflicts; and protracted crises.

### *Key Documents*

FAO's Strategic Objective 5 is "To increase the resilience of livelihoods to threats and crises". The FAO resilience work is structured around four complementary pillars covering both humanitarian and development interventions, and linked to the Organisational Outcomes explained below.

1. Enable the environment (institutional strengthening and and governance of risk and crisis)
2. Watch to safeguard (risk information and early warning systems)
3. Apply risk and vulnerability reduction measures (protection, prevention, mitigation)
4. Prepare and respond (to crises in agriculture, livestock, fisheries and forestry)

The Director-General's Medium Term Plan 2014-17 and Programme of Work and Budget 2014-15, June 2013

<http://www.fao.org/docrep/meeting/027/mf490e.pdf>

Resilient Livelihoods: DRR for Food and Nutrition Security, April 2013

<http://www.fao.org/3/a-i3270e.pdf>

### *Monitoring and Evaluation*

FAO has developed the Resilience Index Measurement and Analysis (RIMA) model which identifies and weighs factors that make a household resilient to shocks affecting its food security and traces the stability of those factors over time. It will allow more effective decision-making in terms of design, implementation and monitoring and evaluation of programmes intended to enhance resilience.

## **USAID**

### *Approach to Resilience*

USAID's conceptual framework for resilience outlines key operational challenges to better coordinating humanitarian relief and development efforts (through Joint Planning Cells), and identifies opportunities to layer, integrate and sequence USAID-supported initiatives aimed at enhancing resilience to food insecurity.

USAID's multi-dimensional approach to measuring resilience in the Horn of Africa and the Sahel seeks to identify resilience factors contributing to food security in the face of droughts. The model focuses on creating indices around six domains of resilience, each of which "contributes to and collectively constitute" resilience: income and food access, assets, social capital/safety nets, nutrition and health, adaptive capacity and governance (Collins, 2013). While many of USAID's programs have some elements of resilience built into their objectives and activities, focused resilience efforts aim to have a measurable impact on populations in targeted geographies. Our current focus countries include Burkina Faso, Ethiopia, Kenya, Mali, Nepal, Niger, Somalia, and Uganda.(USAID, 2015).

USAID has committed that all of its five-year Country Development Co-Operation Strategies will analyse humanitarian considerations, for example by completing a comprehensive risk analysis. This is a substantially different way of working, placing risk at the heart of development work. (European Commission, 2015b)

### *Approach to measurement of enhanced resilience*

The Horn of Africa and Sahel Joint Planning Cells (JPCs) have agreed upon a limited set of top line measures for gauging the livelihood outcomes and impact of resilience investments in targeted geographies. These include:

1. Reduction in humanitarian assistance (HA) needs
  - Normalized by severity of drought using a vegetation index to estimate severity

*Caveat: the means through which HA needs are determined is inconsistent both between countries and within countries over time and do not always assume a lack of resilience*

2. Depth of Poverty (DoP) – a contextual complement to FTF's poverty prevalence measure
3. Moderate to Severe Hunger (HHS) – FTF economic resilience measure
4. Global Acute Malnutrition (GAM) – a contextual complement to FTF's stunting measure

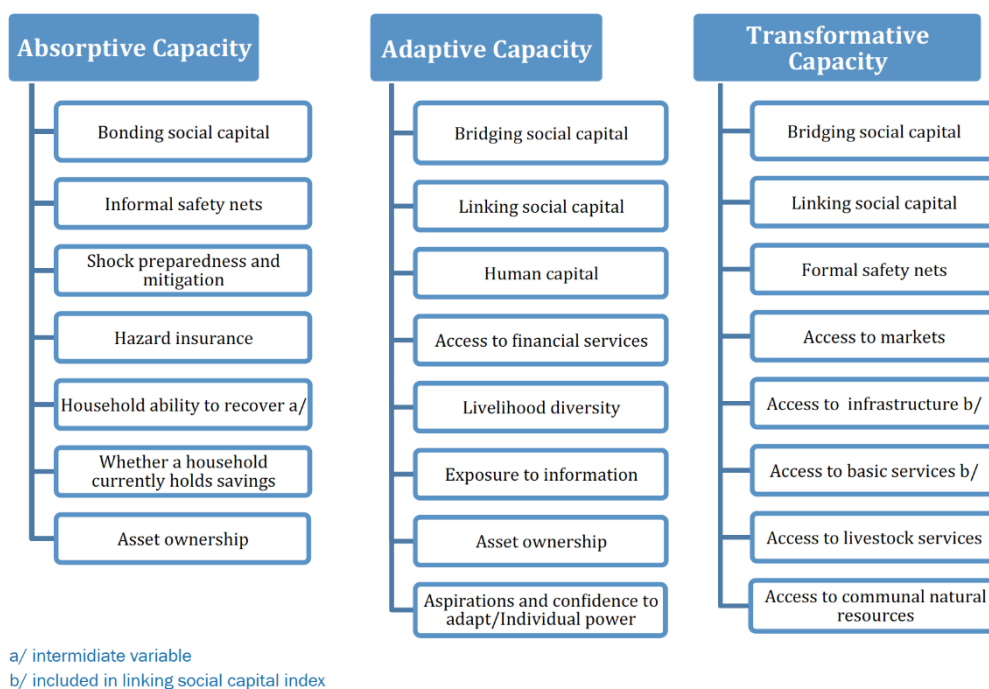
Top line indicators are necessary for aggregating and articulating the impact of resilience investments in a concise and coherent way. However, they are insufficient to capture the holistic impact of these investments. The following are also required:

- Measurement of the multiple dimensions of resilience, including
  - Income and food access, assets, adaptive capacity, social capital and safety nets, governance, nutrition and health, and the stability of these factors over time.
- Measurement of mitigative, adaptive, and recovery capacities is particularly critical and will require additional/new indicators and mixed quantitative/qualitative approaches
  - USAID is testing measures of these capacities in Kenya and Ethiopia
- Measures of resilience at multiple scales/units of analysis, including communities and social, ecological and economic systems also requires mixed method approaches (USAID, 2013).

The best example of USAID approach to demonstrating the relationship between interventions aimed at enhancing resilience within populations and wellbeing outcomes and capacities is the PRIME Baseline and Interim Monitoring Surveys (Smith *et al.*, 2015).

Have developed indices of resilience capacities – Index of Absorptive Capacity, Index of Adaptive Capacity and Index of Transformative Capacity, the data for the factors of which are based on primary data collected in household and community surveys.

**Figure 3: USAID Approach to Resilience Measurement - Aspects of resilience capacity**



## Department for International Development (UKAID)

The DFID Business Plan of 2012-2015 committed DFID to embed disaster resilience in at least eight DFID country offices by March 2013 and all DFID country offices by 2015. In support of the commitment, in 2011 DFID published guidance entitled *Defining Disaster Resilience: A DFID Approach Paper* (listed following). The paper presents DFID's conceptual framework for resilience and discusses key issues to take into account in designing and implementing resilience-building programs (DFID, 2011).

### Key Documents

- Promoting innovation and evidence-based approaches to building resilience and responding to humanitarian crises: A DFID Strategy Paper, February 2012  
[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/193166/prom-innov-evi-bas-appr-build-res-resp-hum-cris.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/193166/prom-innov-evi-bas-appr-build-res-resp-hum-cris.pdf)
- Minimum Standards for Embedding Disaster Resilience in DFID Country Offices, July 2012

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/191840/Minimum\\_standards\\_for\\_embedding\\_Disaster\\_Resilience.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/191840/Minimum_standards_for_embedding_Disaster_Resilience.pdf)

- Defining Disaster Resilience: A DFID Approach Paper, November 2011  
[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/186874/definingdisaster-resilience-approach-paper.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/186874/definingdisaster-resilience-approach-paper.pdf)

### *Monitoring and evaluation*

After completing the embedding process in the Tier One countries, DFID completed a lessons learnt exercise to inform the work in the Tier Two and Three countries. A stock taking exercise was also completed recently for the Tier Two and Three countries and a final lessons learnt exercise will be done once the embedding process is finished.

The new multi-year humanitarian programmes will have a new model of monitoring and evaluation. This is being trialed in Pakistan, DRC, Somalia and Ethiopia. The process will include formative evaluations and collection of baseline data, real-time evaluations after a disaster, summative evaluations every year and a final evaluation. The evaluation will be completed by late 2017.

Main facets of measurement approach:

- Looks at “Capacity to deal with a disturbance” – disaggregates to EXPOSURE, SENSITIVITY AND ADAPTIVE CAPACITY
- Deals with conflict and fragility in states as the “context” in which resilience programming is taking place and thus incorporates a “focus on strengthening institutions at national, regional and local levels incorporating political, security, humanitarian and development considerations” (Kaplan, 2009).

## **Analysis of EU contribution to developing resilience measurement tools**

### *Monitoring and evaluation*

As demonstration of its approach to monitoring the contribution of the EU’s projects towards enhancing the resilience of vulnerable populations, the EU cites The Resilience Compendium as evidence of examples of practical application of resilience approaches in different contexts and with different partners” (European Commission, 2015b). It further states that those submitting examples – “MS and partners of ECHO and DEVCO – determine what they consider to be good practice for resilience in order to capture a wide range of approaches.”

There is no mention in The Resilience Compendium of an analytical framework or indicators that could be measured to determine more empirically what constitutes good practice or not; inclusion of a project as good practices seems entirely at the discretion of those responsible for funding the interventions.

There is mention, however, of recent evaluations of “programmes”, for example in Haiti, which have identified where more synergies are occurring (or still need to be built) between humanitarian and development” (European Commission, 2015b) for operationalization of programming, however, there is no empirical evidence that this more synergistic approach does in any way correlate significantly with enhancing resilience.

## **Development of the Resilience Marker**

In order to ensure that resilience is incorporated in project design, in 2015, the EU introduced the [Resilience Marker](#) in all the humanitarian projects it funds. This marker defines ways to reduce disaster risks and to strengthen people's coping capacities so as to minimise humanitarian needs. It also launched the [Resilience Compendium](#) — a collection of 29 practical examples of disaster risk reduction and resilience activities carried out by the EU, other donors, organisations and vulnerable communities.

The Marker is a tool to assess to what extent humanitarian actions funded by ECHO integrate resilience considerations. It seeks to enhance the quality of humanitarian actions by:

- Ensuring a systematic consideration and inclusion of resilience considerations in project proposals, implementation and assessment;
- Creating a platform for partners and ECHO staff to discuss how resilience can best be included in humanitarian programming;
- Encouraging reflection on what resilience means in practice in different contexts; and
- Allowing ECHO to monitor its own performance in supporting resilience.

## **Case study of two projects, Sahel and Horn of Africa**

### *Communes de Convergence – Niger (Sahel)*

**Communes de Convergence** (coming together in local municipalities), aims to put communities at the heart of the response to shortages, and to co-ordinate the efforts of relief and development agencies with those of the government. This is in line with the development objectives of the Government of Niger, notably the 3N Initiative (“Les Nigériens Nourissent les Nigériens”). The Government has introduced its 3N Initiative in 2011 to increase the country's resilience to food crises and reduce poverty through agricultural reform. Within this framework, the approach of the "communes de convergence" has been developed to accelerate the achievement of the MDGs. This is intended to allow the country to move away from reacting with demands for humanitarian and food aid when crises occur.

Project looks to coordinate the activities of UN agencies and NGOs and is being rolled out in 35 Nigerien municipalities, including the eastern Zinder region; essentially a pilot for international agencies. It is hoped that, if the idea takes off, it can be expanded over the country's 266 municipalities.

The 3N initiative and the *communes de convergence* idea are responses to the need for a more holistic approach, recognising that unpredictable rainy seasons and harvests could become the norm.

## **Results and Targets**

It is expected that the country's chronic malnutrition rates will decrease significantly as a result of this programme. Moreover, "ComdeCo" will have additional impacts and results in the following areas:

- Households' income will be increased through improved agro-pastoral production, more efficient marketing of products and other income generation activities;
- The nutritional status and health of children and their access to quality education will be improved;
- Women will actively participate in public fora and decision-making processes and access enhanced quality maternal and reproductive health services. Youth and adolescents will have more opportunities, especially in employment; and
- Local governance skills will be strengthened to appropriately manage decentralised resources. Public services will function more effectively and will be staffed with qualified personnel to offer quality services (European Commission, 2015a).

The Resilience Analysis Measurement Index was applied to Niger in 2011. This analysis is based on 2011 household data obtained from the National Survey of Household Living Conditions and Agriculture (or ECVMA, according to the French acronym), as part of the Living Standards Measurement Study - Integrated Surveys on Agriculture (LSMS-ISA) in collaboration with the Niger National Institute of Statistics (NIS). Data are representative at the national- and urban/rural-level. The main findings of this exercise are as follows:

In Niger, the most significant dimensions of the resilience structure are Assets (AST), Income and Food Access (IFA), followed by Access to Basic Services (ABS), Adaptive Capacity (AC), Sensitivity (S) and Social Safety Nets (SSN), which contribute to a lower extent. Such lower contribution is most probably due to the lack of (or limitation in) access to certain services by households, thus resulting in the more limited impact of certain specific dimensions (FAO, 2015).

What would be interesting now is for a subsequent application of the RIMA to take place in order to evaluate any changes, particularly in areas which were within the scope of the Communes de Convergence project zone, in the dimensions used by the RIMA to evaluate the resilience of populations.

### *The RESilience Building and Creation of Economic Opportunities in Ethiopia (RESET)*

The RESET project is an innovative initiative that brings together at operational level ECHO and the EU Delegation in Ethiopia in a tangible LRRD process. The approach is based on the premise that chronic humanitarian and longer term needs and recurrent food insecurity, mainly - but not only - caused by drought can be more efficiently addressed via a longer term resilience approach, linking humanitarian and development actions, than via short term reactive rapid response actions and disconnected development activities.

The strategy consists of an integrated approach where different partners (NGOs, government, UN development partners) - working in close coordination and building on existing programmes such as the PSNP, implement a multi-sectoral resilience program together with the local authorities in a defined geographical area. These areas (currently 8) are called "clusters of woredas" (2) and were selected on the basis of their repeated vulnerability. The demarcation mainly depends on homogeneity of the food and nutrition security levels or the livelihoods and agro-ecological diversity.

This concept is based on four cornerstones for building resilience:

- Improving the provision of basic services (health, wash, nutrition, etc.)
- Support to livelihoods
- Safety Nets
- Disaster Risk Reduction

These pillars are complemented by other areas of support such as:

- natural resource management
- sustainable land management
- climate change adaptation and
- social protection

For each cluster ECHO and DEVCO embark on a joint analysis and needs assessment, a joint strategy and a joint action framework for each of the clusters. However, the different interventions are funded on the basis of a Division of Labour between ECHO and DEVCO. In order to ensure consistence with the long term dimension of the chronic needs in the chosen clusters, the strategy and response of ECHO and DEVCO is based on a mid-long-term perspective. Both will combine different financial instruments to ensure continuity in the clusters of intervention. However, the definition of “Entry criteria” and “Exit criteria” (different for ECHO and DEVCO) will allow to determine the duration of the support.

### **Results and Targets**

In order for the true impact of a multi-level, multi-scope and multi-scalar programme like RESET to be understood, it is necessary from inception to build a strong minimum framework at programme level to ensure a consistent collection and analysis of indicators across partners and involve research institutes to define and design support research and help measuring impact with solid data aimed at reflecting enhanced resilience. Have not found a results framework or M&E framework containing a logic model or theory of change, with indicators to monitor which could reflect progress towards enhanced resilience, outside the temporal scale of projects.

### **To sum up**

The most advanced measurement frameworks in use at present (advanced in the sense that they are able to attribute changes in populations to resilience) are the RIMA and the TANGO framework. The EU is funding FAO to further develop the RIMA in order to align it more closely to existing frameworks, such as that of TANGO. To some extent, the RIMA, in its analysis, correlates certain dimension such as Assets (AST), Income and Food Access (IFA), followed by Access to Basic Services (ABS), Adaptive Capacity (AC), Sensitivity (S) and Social Safety Nets (SSN) with resilience and is able to demonstrate varying levels of significance of association. While some questions still exist as to the integrity of the methodology, the greater issue lies with the datasets being used with these analyses as they were never intended to be used for this purpose and in some cases lack the variables reflective of pastoralist livelihoods and vulnerable populations living in either the Sahel of the Horn. In addition, analysis of the contribution of EU investment in projects intended to enhance resilience is not possible using these secondary data sources. The closest link to attribution comes at the level of type of dimension and the significance of the relationship between the dimension and the improved resilience. For example, if



Assets (AST) has the highest correlation within the RIMA analysis to enhanced resilience, then any projects that the EU was implementing which focused on increasing or improving assets at the household level could be said to have contributed to this result. Unfortunately without primary data collection, the direct correlation is impossible to make.

In addition to the RIMA, EU projects aimed at enhancing resilience appear to have their own logical frameworks, with targets, indicators and impacts. There is no evidence, however, of an analytical framework which links the outputs of these projects, which although designed to incorporate the multi-scalar, multi-level and multi-scope dimensions associated with resilience, to enhanced capacities of the population to mitigate the effects of shocks, particularly with respect to exposure and recovery time.

In the case of Kenya, neither DEVCO nor ECHO was aware of the RIMA. DEVCO is currently providing some funding to the National Drought Management Authority (NDMA), part of which is assistance in development of an M&E framework for measuring the impacts of the projects in the multiple sectors in terms of resilience. DEVCO provided some assistance in the form of the framework that they themselves use to measure the impact of their projects. There is nothing in the proposed pyramid framework, however that would permit an analysis to be done of the contribution or attribution of EU projects to resilience at impact level. The top level indicator in the framework is Food Security, but there is no way of analysing the relationship between firstly, other sectors and their contribution to food security and resilience, and any significant associations between other human wellbeing outcomes and interventions.

In the Sahel, however, some effort is being made to bring garner a consensus on tools and frameworks which could provide a measurement of the causal relationship between projects and impact. A workshop organized by CILSS was held in August in Niamey, under the auspices of RPCA (Reseau de prevention des crises alimentaires) and AGIR which brought together experts in the region to develop tools to measure resilience. Mention was made of the RIMA and its use in six countries in Africa, currently, however there were concerns that the complexity of the tools makes it difficult for those with a less technical background to apply. A full report of this workshop can be found at: [http://www.cilss.bf/IMG/pdf/Rapport\\_final\\_Atelier\\_AMR\\_Niamey\\_Version\\_300816.pdf](http://www.cilss.bf/IMG/pdf/Rapport_final_Atelier_AMR_Niamey_Version_300816.pdf)

Even if a coherent approach could be developed which involved both the existing TANGO and RIMA frameworks, these are frameworks which measure changes over time. A baseline is established and then subsequent measurements are taken using the same indicators. While the panel datasets built up from repeated measurements will be extremely useful for future targeting of interventions, what is still lacking at present is a framework and indicators which project implementers can monitor to ensure that the projects that they are implementing will have an impact on enhancing resilience. Although the TANGO provides some insight into which factors influence resilience more than others, this is still being done after the fact and is of little use to those implementing projects at present. The other confounding factor is that it is difficult under any circumstances to reliably attribute change to a specific intervention. The most that could be said is there exists plausible causality.

In addition, there is little evidence that data collected reflecting programme performance is being feed back into project design and decision support analysis, in support of a coherent Monitoring, Evaluation and Learning Strategy which could inform future programming strategies and better targeting of future investments.



# Annex E: Survey Results

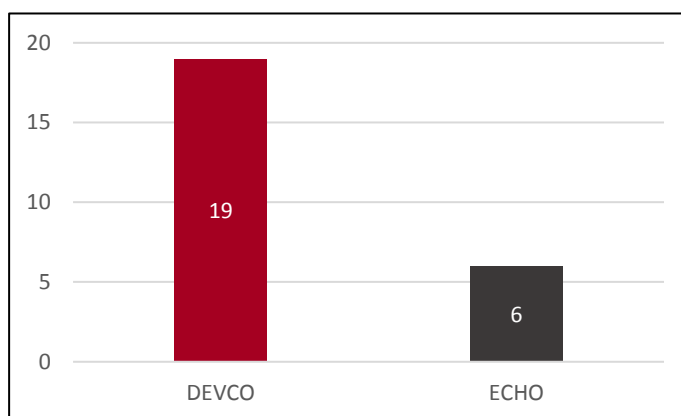
## 1. Overview of the respondents

Please note that there were 25 respondents that have answered to the entire survey.

The survey was sent to 56 persons, which implies a response rate of 45%. Invitations were sent to the relevant persons in ECHO and DEVCO offices, in the 25 countries included in the scope of the evaluation. In general this was the head of the food security sector in DEVCO, and the head of the ECHO country office.

## 2. Answers to the questions

### Q1: Which service do you work for?



### Q2: Which country does this questionnaire relate to?

Burkina Faso	3	Guinea	0
Chad	2	Guinea-Bissau	0
Cote d'Ivoire	2	Mali	0
Ethiopia	2	Mauritania	0
Ghana	2	Senegal	0
Liberia	2	Sierra Leone	0
Nigeria	2	Somalia	0
Uganda	2	South Sudan	0
Benin	1	Togo	0
Cape Verde	1		
Djibouti	1		
Eritrea	1		
The Gambia	1		
Kenya	1		
Niger	1		
Sudan	1		

**Q3: How is the EU approach to building resilience to food crises operationalized in the country where you work? (Please list the key features)**

DG ECHO:

- Emergency response to shocks, targeting most vulnerable population through humanitarian partners.
- Build resilience to nutrition crisis (fund project with demonstrative effect, completed with advocacy action)

EU DEL:

Support to food and nutrition security, rural development (sectors of concentration 11th EDF

Pas de mesures spécifiques en CI

food security project financing:

- cash for work
- cash for food
- improve capacities of household by financing women's cooperative

Mainly by support to build a sustainable agricultural economy in Liberia, backed by the implementation of relevant policies (warning analysis and surveillance mechanisms)

4 specific interventions: 1. to stimulate agricultural economic development by focusing on promising sectors in order to improve livelihoods. 2. focused intervention to tackle food insecurity through a community based approach in the most food insecure regions of Liberia. 3. Development of the fisheries sector with the dual purpose of economic development and to address the nutrition component. these three interventions backed by capacity building at the Ministry of Agriculture

No idea

Not sufficiently, all attention and aligned pressure from HQ on EDF and EUTF funds goes to strongly to security and migration issues.

Planned interventions in the sector are not targeting enough capacity building to accompany the and ensure the budget approach reaches its objectives.

Impact on poor households is not clearly ensured with Dev funds

ECHO food assistance

DEVCO ProAct funded projects

DEVCO NIP on health, nutrition and resilience

Supporting the countries resilience to droughts and other phenomena that could provoke food crisis

In 2016, with support from the EUD and National Authorising Office Support Unit, the Gambian Government drafted a Resilience Priority Plan (AGIR). This is in addition to the Gambia Climate Change Policy which was also drafted this year with EU support. The identification of 11th EDF Envelopes B and A projects has targetted, amongst others, resilience building.

EU Delegation to Eritrea has 21 years presence in supporting development programmes. Since 2010 EU is supporting the government through project approach and thematic instruments to enhance agriculture sector and food security in Eritrea. (Capital investment, Access to food and Governance). The development approach aims at long lasting solutions such as natural resorces management - water harvesting and irrigation schemes technicques, food marketing and processing, support to basic agricultral inputs to farmers and capacity building measures to the sector.

RESET, SHARE and RESET II programs

In Djibouti, there are two projects approved within SHARE initiative: 1) EC Share Sécurisation des systèmes pastoraux (6 M€) put in place by FAO, the project implementation period is 4 years (26/06 / 2014- 25/06/2018). During the second year, the project achieved an implementation rate of 81.3% by implementing 26 of the 32 planned activities, and the financed expenditure incurred represents more than 70% of the previous payment.2) Share EAU (eau potable en milieu périurbain à Djibouti) the FA was signed on 2nd march 2014 and right now only a framework contract was launched in order to draft the tender dossiers for services and works. The deadline for contractualization (D+3) is on the 2nd march 2017.

EU is very active on building resilience through different programs. The approach is:

- Multisectoral,
- Geographically focused,
- In close collaboration with the Government
- Extremely close collaboration and joint management between ECHO and DEVCO.

Linking recovery to development;

Linking FSN, WASH and climate change resilience

Cholera/Ebola outbreak: contacts wiht ECHO office in Dakar

Food insecurity: rather limited contacts with the current programme: FSTP2  
CILSS/Agrhymet, AGIR, G8- New Alliance for FS and Nutrition, ...

-

Creation of the National Drought Management Authority and the Drought Contingency Fund

During the 2008– 2015 range, the EU food security program was a mainly a response to 2008 food crisis through 2 delegated agreements with belgian and german

cooperation. The approach was to increase food production and rural incomes to small producers in key fragile areas from the country and diminish dependency to imports

Resilience-building operations are grounded in LARD-concept brought into practice. Therefore, different approaches are combined in close collaboration of Devco (FED, thematic facilities, Sahel Trust Fund), Echo (joint programming including 11EDF and Trust Fund), EEAS (IcSP). Resilience building requires systemic approaches and transition from largely humanitarian responses (which have dominated food security and nutrition challenges) towards developmental changes including on policy, governance and institutional levels. Most practical approaches, which do deliver tangible results and bring the different actors along the LARD-spectrum together, are grounded in local and regional development initiatives - communities, geographic clusters and regions are better able to identify and rank needs and options, and to translate these on consensual basis into planning and budgeting. Supporting these processes from a food/nutrition resilience perspective is a major focus of 11EDF NIP (2/3 of funds are allocated to this sector).

It is not yet clear for me on how the EU approach to building resilience to food crisis is operationalized in Uganda. ECHO resumed funding humanitarian action in Uganda in 2014 in response to the refugee crisis in the country especially coming from South Sudan. The working relation between DEVCO and ECHO is currently under development (e.g. joint analysis, joint programming) thus limiting our capacity to clearly see how to transitioned from relief (ECHO) to more development (DEVCO) programming. ECHO and DEVCO in Uganda are working now closely in relation to the EUTF programming in the country. From an ECHO perspective, the collaboration with DEVCO around the EUTF is a corner stone to building resilience in Uganda. Nevertheless, it is not about a food crisis we are referring to when talking of resilience in Uganda with the refugees. To conclude, I would say that approach to resilience building is at an early stage of operationalization in Uganda and more personality driven than systemic.

- 1) in a multi sector way, including as many sector as we see fitting for the context;
- 2) targeting the high burden areas only (at least in the past and for the moment)
- 3) with the willingness to move more and more towards a preventive approach rather than just humanitarian response
- 4) keeping territorial development at the heart of the interventions
- 5) not yet tackling the issues of "governance resilience" which by the way are quite difficult to get support from DEVCO too ;)

Le PIN 11e FED au Burkina Faso est centré sur la résilience dans son secteur de concentration SANAD, Sécurité alimentaire et nutritionnelle, et agriculture durable. Le PASANAD, sous forme d'appui budgétaire d'un montant total de 118 ME sur 6 ans, vise la résilience des plus vulnérables à travers l'action du gouvernement. Plusieurs autres projets du secteur rural, en cours ou en programmation à la Délégation, visent aussi la résilience.

PIN 11 FED: sector 3 "Sécurité alimentaire et nutritionnelle, agriculture durable et eau" (montant 190 Million €)

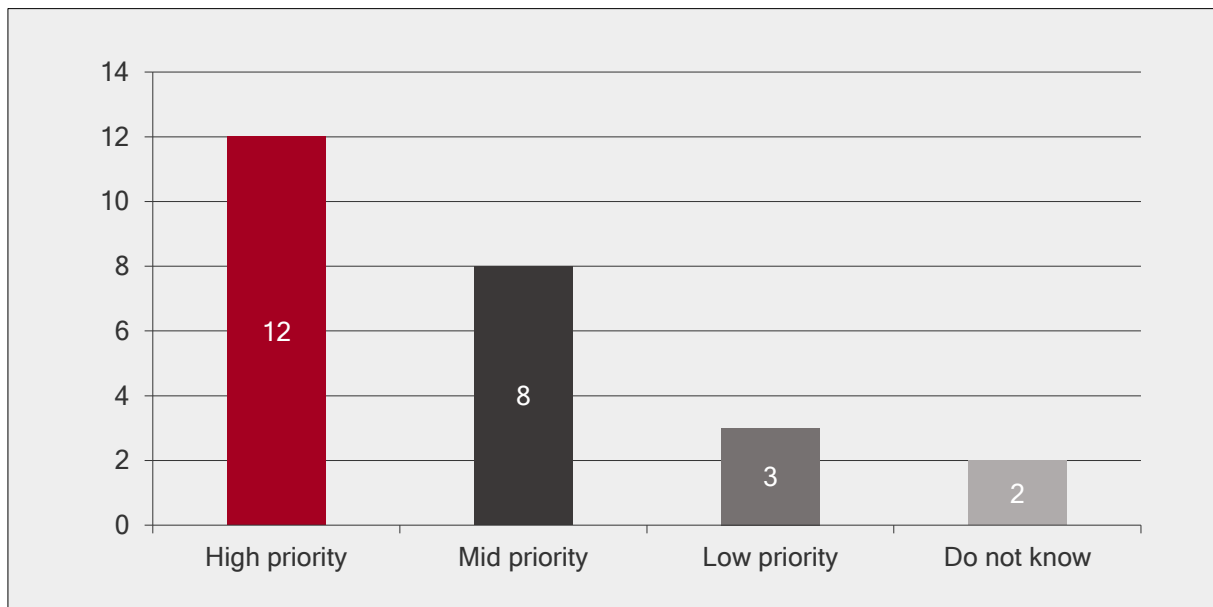
through ECHO interventions in refugee areas, EU ETF interventions in host communities, but the large share through long-term EDF programmes targeted at poor areas like Karamoja.

There is no intervention in Ghana targeting specifically resilience to food crisis.

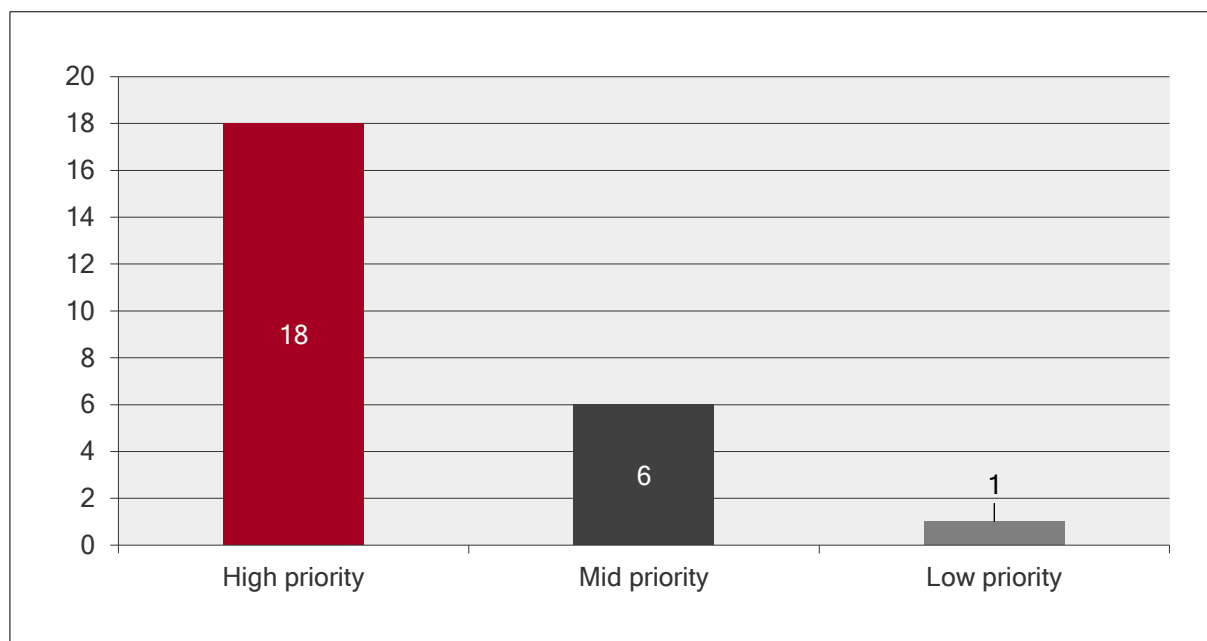
The programme that is indirectly linked to this topic is the Market Oriented Agriculture Programme which aim at developing commercial agriculture, diversify production.

Increased revenues and diversified production would allow access to more diversified food in particular between stock depletion and the next harvest.

**Q4: What level of priority do you perceive that the service (DEVCO or ECHO) that you work for places on building resilience to food crises, at the Brussels level?**



**Q5: What level of priority do you believe should be placed on building resilience to food crises by the EU Delegation and ECHO office in the country you are working in?**



**Q6: Please explain the main reasons why it should be a high/mid/low priority**

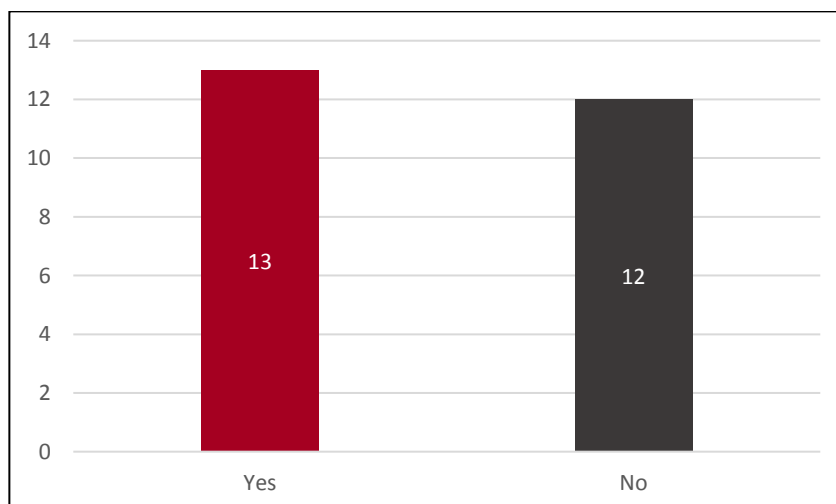
H	<p>Niger recurrently exposed to shocks leading to high food insecurity and to nutrition crisis.</p> <p>Very high vulnerability of local population, further exacerbated by high demographic increase and climate change.</p> <p>Niger has developed the 3 N initiative, has adopted Country Resilience Priorities in line with AGIR initiative.</p>
L	la CI n'est pas vraiment affectée par des crises alimentaires.
M	During the crisis, it was useful to have food security project financing to allow people to survive; after this crisis period, most of the time there is no link between emergency and development period. EU (ECHO and DEVCO) could find a best way to have transition period to allow people to recovery from what they faced.
H	high priority: resilience to food crisis is a necessary condition for stability and for building a sustainable economy
H	In NE Nigeria and around the borders with Cameroon and Niger, there are between 2 a 3 MIO of internally displaced persons due to terrorist attacks and a high instability of the region. The volume of current projects/programmes for this region is highly inadequate in my view
H	In order to fight poverty and reach out to poor households in a more dignifying and sustainable way



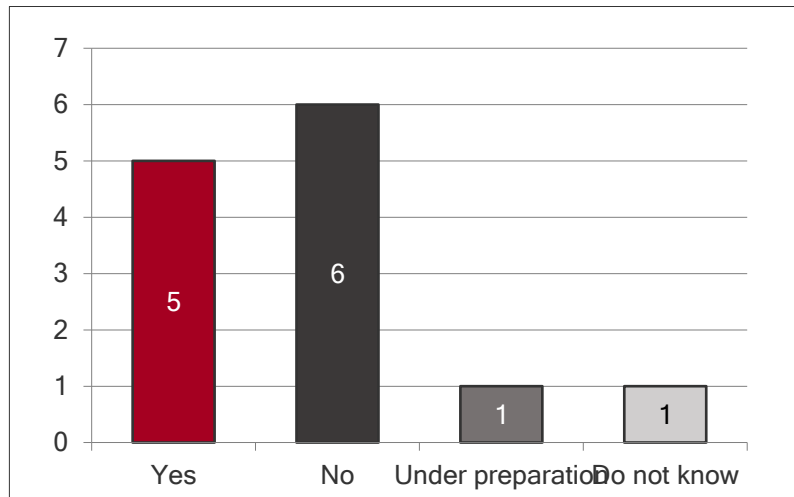
M	Major food crisis in the North East which is a priority area for the EU delegation
H	The impact of a food crisis in CV is high
H	According to the University of Notre Dame Global Adaptation Index (ND-GAIN), Gambia is the 10th most vulnerable country to Climate Change and the 48th least ready country. Given this vulnerability and poor state of economic development (a GDP per capital of around 400 Euros and declining), Gambia is in urgent need of support for investment and innovations.
H	Eritrea is located in drylands where more than 60% of its people rely on agriculture. Farming system depends on the seasonal rainfall which is not reliable and get influenced by recurrent drought. Eritrea is food insecure country even at a times of a very good rain season. Hence, resilience food security programmes are of top priority to the country to challenge on building resilience to food crises.
M	ECHO is humanitarian donor who is engaged in life saving activities. Therefore, resilience building should have equal treatment as other pillars of ECHO work (rapid response and refugees)
H	High priority because in Djibouti food crises are linked to recurrent drought and the affected rural population is around 150,000 people including women and children.
H	It should be high because in many of the countries we work in there's a chronic food insecurity and high level of vulnerability therefore we should build resilience in a sustainable way.
H	More than half of the population is food insecure. Crises, such as Ebola, expose the high vulnerability.
M	Ghana is not prone to food insecurity as it is in the Sahelian belt. Resilience must be placed in a context to adaptation and mitigation to climate change with long-term structural strategies
H	-
H	> 80% of Kenya are considered ASALs where livelihoods and food security are under constant threat by droughts and the effects of CC
M	Poverty rate in rural population is increasing (+5% between 2009 and 2015 according to EMICOV)  Food insecurity remains high in rural areas (stable at 12% according to AGVSAN 2008-2013)
H	Resilience is grounded in access to basic social services and credible governance on local levels of day-to-day experience by - especially - non-privileged people. The failure of governments to deliver such services and also as means to induce a sense of 'belonging/citizenship', combined with a legitimacy weakness, seems a major cause of massive political and religious radicalization on regional. Given the basic significance of 'food' (which includes access to drinking water) and nutrition (which includes the notion of health and information/education), resilience to food security can be a strong common ground for communities to address basic issues of development, solidarity and

	<p>services especially under conditions where basic food security is not warranted and government has weak credibility with little service provided to people.</p> <p>As the terrible experience with Boko Haram tells, food security can actually become an ultimate battle ground (massive destruction of food production to induce a refugee crisis and spill over conflicts, providing fertile ground to hide and recruit - as one extreme example).</p>
H	Referring to Kenya (ASAL) and Uganda, building resilience to food crises is of importance as these country are affected or at risk of food crisis and/or surrounded by countries facing or at risk of food crisis.
H	Because that's where the burden of poverty is in Chad.
H	Niveau très élevé de pauvreté et de malnutrition au BF. Le gouvernement priorise le curatif au détriment du préventif. Le BF dispose de nombreux atouts pour renforcer la résilience : acteurs expérimentés, ressources, expérience, etc.
H	Sahel country with recurrent food crises
H	People vulnerable to food crises are typically the poorest, who are the main target for DG DEVCO given its mandate of poverty reduction.
M	In rural areas, the food crises is mostly an issue of lack of agriculture production at household level. it is mostly an agriculture issue which need to concentrate more on increasing production and revenue of family farmers through practises that take into consideration climate change and their independance from major agrobusiness companies.

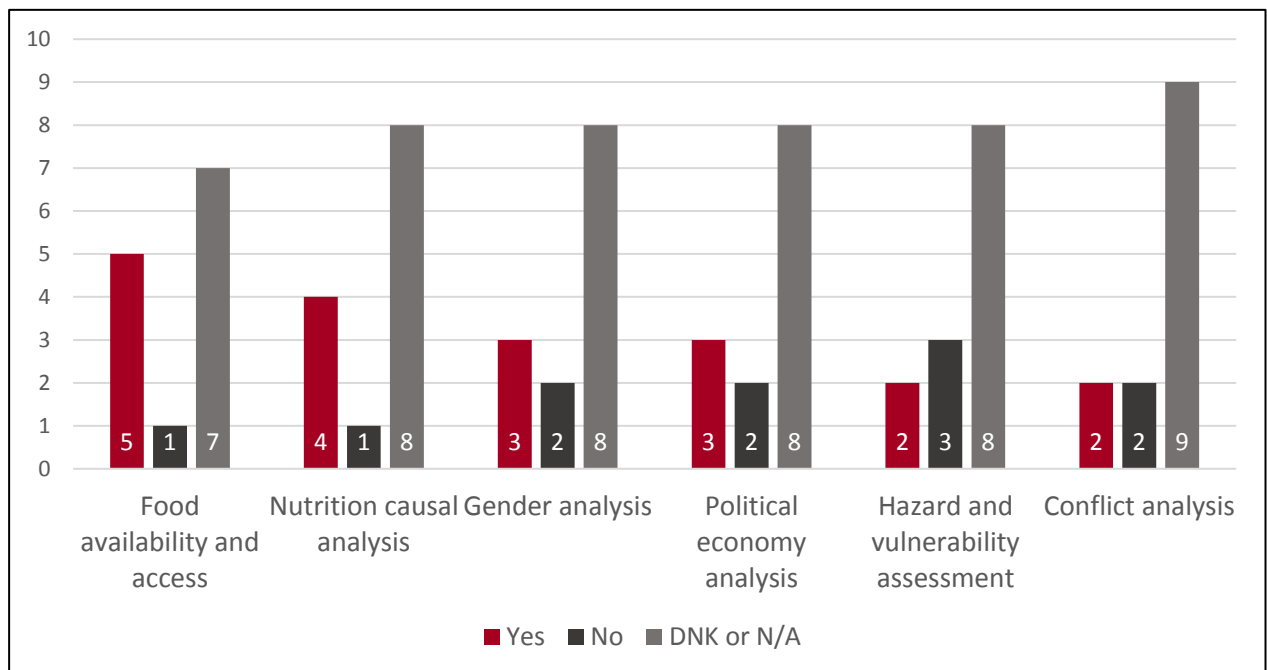
#### Q7: Is there an ECHO Office in your country?



**Q8: Has a Joint Humanitarian-Development Strategic Analysis been prepared for your country/region?<sup>1</sup>**



**Q9: Which of the following types of analyses did this include?<sup>2</sup>**



<sup>1</sup> Questions 8 to 10 were conditional to the country having an ECHO office. Therefore only 13 respondents answered those questions.

<sup>2</sup> Questions 8 to 10 were conditional to the country having an ECHO office. Therefore only 13 respondents answered those questions.

**Comments:**

- The joint-humanitarian development framework for Nigeria was done long time ago, so it is obsolete
- There is no proper 'strategic analysis' document for chad, but a common road map (Echo-Delegation). However EUD and Echo have closely worked together in the preparation of 11EDF (analysis, identification, formulation). In this sense, common strategic analyses have been carried out (though not formalised in a distinct document as far as I know).

**Q10: What is your experience of the benefits and constraints of inter-service (DEVCO-ECHO) collaboration on resilience building in the country where you work?<sup>3</sup>**

<b>Benefits of inter-service collaboration:</b>	<b>Constraints to inter-service collaboration</b>
complementarity of action and partners leading to a comprehensive understanding of issues at stake and possible solutions to be implemented from local to national level	Different programming (annual vs multi annual), window of opportunity for LRRD limited to programming and mid term review.
none	no collaboration in term of follow up the food security projects financed by ECHO
comprehensive approach	Understaffed
Overall good interaction in the country	TToo much interference, political pressure and inadequate orientations from HQ obliging EU delegations to take inappropriate directions driven by political agendas and not responding to the real needs
Complementarities in approaches and interventions	Need for close interaction (time and shared perspective required)
much better linkages between humanitarian and development work	quite labor intensive work in order to ensure proper coordination
In order to have impact we necessarily need to address at hte same time the humanitarian and the development needs.	The systems are not designed to work together and it requires an additional effort as there are many elements that separate us: mandates, procedures, approaches, partners, etc.
not applicable	not applicable
avoid duplication and better synergies	short term planning of ECHO and short duration of interventions
Articulation, insight-information, solid operational footprint, transition of operators from humanitarian to	modus operandi (planning, responsiveness) and corporate culture different (e.g. 'light procedures'), mutual understanding needs

<sup>3</sup> Questions 8 to 10 were conditional to the country having an ECHO office. Therefore only 13 respondents answered those questions.

development work, innovation (e.g. ECHO-DfiD)	regular communication; ECHO has little staff, so personalities matter particularly
builds on comparative advantages and helps to shape the "civil society market" towards an end rather than towards competition	it really depends on people (on who is the DEVCO or ECHO person and how is their respective hierarchy perceiving the cooperation)
Très bonne synergie et collaboration : échange d'information, débats, etc.	Aucunen, sinon le manque de temps pour échanger plus
mutual information of ongoing activities	problem of final objectif: development cooptation or crisis management

**Q11: What synergies, if any, have been exploited between development (DEVCO) and political (EEAS) efforts of the EU in building resilience to food crises?**

AGIR

Integration of food and nutrition security into 11th EDF programmes

je ne sais pas.

I see nothing from my side in Côte d'Ivoire

In particular by encouraging the government to undertake necessary regulatory and policy reform through diplomacy and awareness raising at government level as necessary elements for specific actions by DEVCO ranging from support to government, to economic development

I do not know

?

N/A

N/A

Very little as political dialogue is presently almost exclusively focused on Human Rights issues within the context of Article 8 dialogue.

DEVCO has been supporting ERITREA since 8th EDF to 11th EDF and through different thematic instruments(NSA CfP, Food Facility, FSTP,Water Facility, Energy Facility... etc). On the other hand there is a challenge of youth migration in the country and a continuous political dialogue is taking place to tackle the global treat of migration through creation of employment opportunities to youth through trust funds and other bilaterila financial mechanisms of member states. These consolidated efforts synergise the existing and incoming prgrammes to improve the livelihood of the benefiting communities.Further the political dialogue for UPR is also a basis for creating employment opportunities for youth (vocational training, natural resource management....) to enhance the productive labour force to augment for the agricultural sector.

i am not aware of any sinergies

during last four years, the representatives of DEVCO and EEAS at EU delegation to Djibouti did not act in a complementary manner in order to trigger a dialogue process, both at political and operational level.

We have merged funding and administrative load thanks to the EUTF into 1 single contract with the partners instead of keeping the difference ECHO-DEVCO. We combine our respective expertise and information. We coordinate in terms of advocacy towards the Government, etc.

N/A

The Food and Nutrition Security / Sustainable Agriculture Strategy for the 2014-2020 period (only for Delegations which prioritized FS in their NIP); the Agenda for Change

none so far

common understanding of prevailing drought risks leading to 11th EDF NIP with FS/resilience focus

The 11th EDF NIP includes a "sustainable agriculture" component with a focus on rural small farmers and rural poor household which was drafted in close cooperation between EEAS and Devco

Devco support to IcSP programming (very time-consuming resulting in interrogations on the IcSP rationale). Sectoral policy dialogue combines efforts on both levels and seems promising. AGIR process implied political as well as technical support.

We have not been associated to any similar initiative in country. However, Ghana is NOT a country prone to food insecurity.

Nothing to comment on this one.

None... but are there?

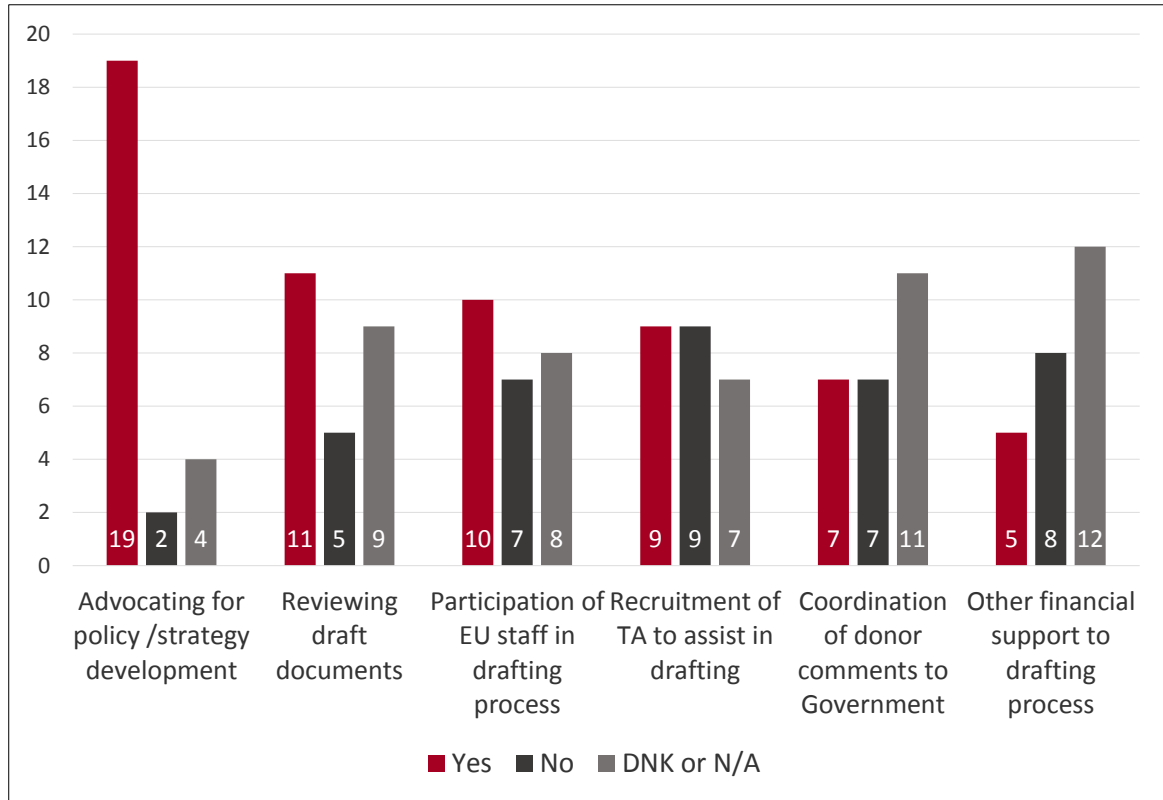
Seriously, are there? Let aside some press release... are there?

Plaidoyer des "politiques" en faveur de la résilience alors que le PNDES ne la met pas en avant au profit de la croissance.

NA

In Uganda, development and politics are both part of EU Delegation/EEAS actions in the area of policy and political dialogue. Important development issues in the area of poverty in general, including resilience, are raised with Government and other partners both at central and local level (through field missions).

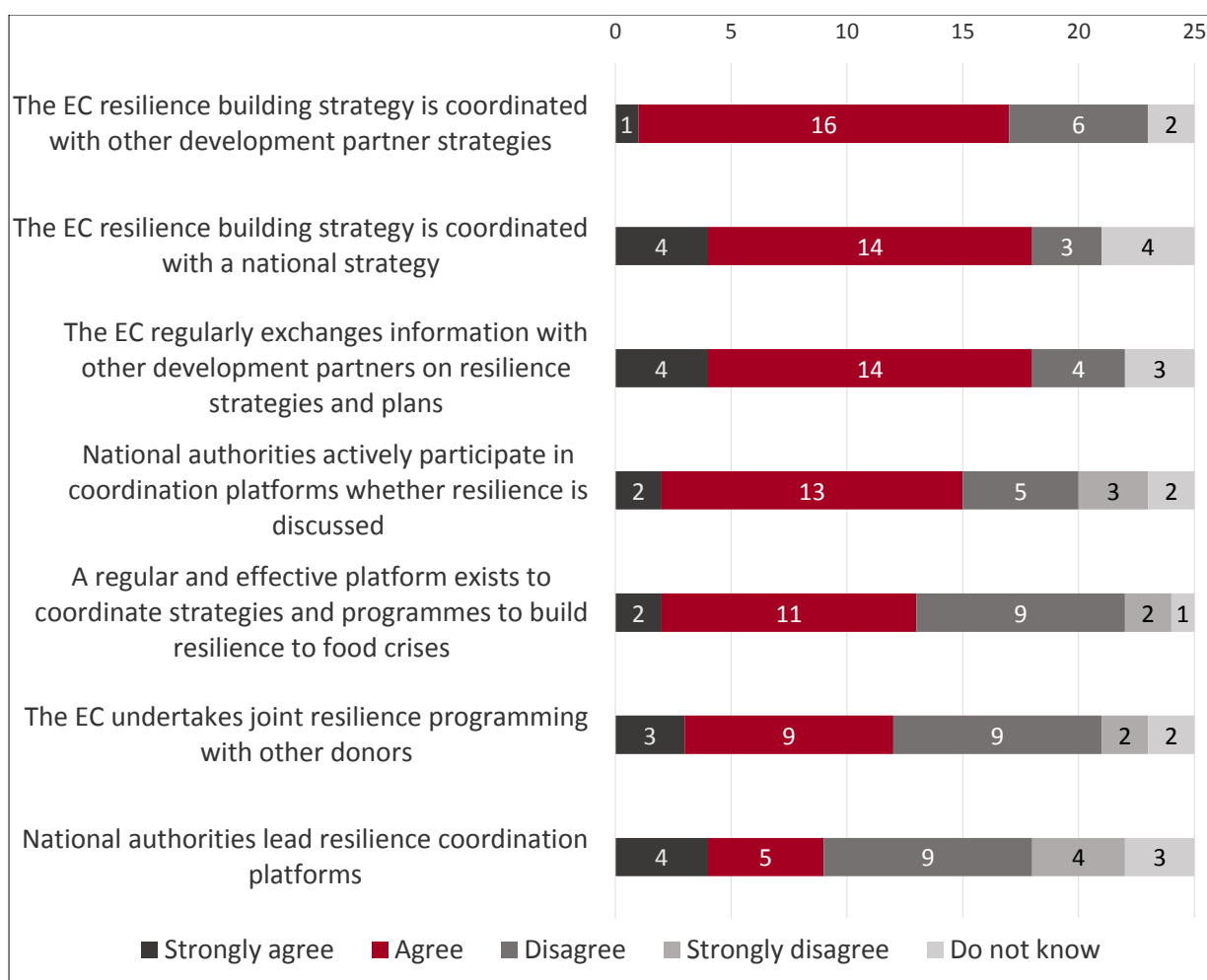
**Q12: What type of support (if any) did the EU provide to integrating resilience into, or developing, national resilience strategies/plans?**



**Comments:**

- Yes does not mean the whole EU nor does it mean that the involvement was sufficient
- FIRST joint programme EU-FAO in FNSSA
- joint programming of DPs
- The agricultural cluster in Benin was coordinated by Belgina embassy. The EU Del actively participated in the dialog.
- We heard about AGIR and Sahel Initiative but not closely associated to it.
- Being still new to ECHO, it is difficult to provide a relevant answer to some questions of this questionnaire.
- (a) pay for a venue and dissemination

**Q13: Please indicate your agreement/ disagreement with the following statements regarding coordination with donors in building resilience to food crises**



**Q14: Do you have further comments/suggestions on coordination between donors, Governments and development partners on building resilience to food crises?**

no

NO

the coordination team should put in place tools to allow them to follow all the resolution taken during their meeting or events

In principle the coordination structures are in place, what is lacking is the capacity and determination at government level to coordinate at a regular basis, and to follow through on policy initiatives.

Joined programming reflects often a situation whereby existing different programs are relabeled in order to jointly fit in a joined document that aligns more or less with national strategies. This is not what I would call joined programming.

To include humanitarian actors too

N/A



Currently there is no formal coordination mechanisms among donors, governments and development partners. However there is bilateral coordination mechanisms between the government and development partners. In my view there should be a mechanism among the donors, government and development partners to synergise the consolidated efforts. Governments should take the lead initiatives to the coordination platform.

no

The EC undertakes joint resilience programming with other donors at regional level, supporting the IDDRSI programme of IGAD (regional organization of Horn of Africa; intergovernmental authority for development)

Resilience to food crises is not perceived as a priority by most donors. Donor coordination on food security is extremely weak. There are overlaps between UN agencies, especially FAO and WFP. It is expected that the FIRST Policy Officer will help re-focus attention on resilience.

To adapt to countries for which resilience must be built on climate change rather than food crisis.

Existing weakness is the insufficient alignment of Line Ministries' programming with the EDE

EC (EU Delegation) strongly wishes to better coordinate resilience building. But the partner coordination mechanism in Chad seems dysfunctional in all related domains. There is a particular concern about approaches of ADB.

I am a bit confused. The above questions relate to the Ghana context or worldwide. We responded for Ghana only.

One of the main challenge faced in term of donor coordination in general is the lack clarity in Who is doing What and Where. From a donor to another, it is difficult to know what they fund and where. the Financing Tracking System (FTS) of OCHA is a good tool to get clarity in who is funding what where nevertheless this tool is mainly used for humanitarian funding and with the current trend where development funding is coming into the humanitarian sphere it starts to complicate things as it become more difficult to understand who is funding what where. Therefore, a system allowing donor to share their info on funding (e.g. amount, partner, sector, location, duration of the funding) would help improving the coordination between donors and transparency on where the fund are invested. More effort is needed to improve a systematic coordination mechanism between donors which would lead to an improved coordination with the rest of the humanitarian/development community for building resilience to food.

Humanitarian networks (clusters) and development networks are still way too separated...

Divergence entre donateurs à propos des meilleures modalités en vue de renforcer la résilience (ex. AB vs projet). Dynamisme souvent insuffisant du gvt à opérationnaliser les stratégies et programmes.

The coordination structure exists, but the ministry of Agriculture is very weak, therefore actionable topics are not followed through as they should be.

**Q15 : What support, if any, did DEVCO and ECHO HQ (or ECHO regional offices) provide to help to integrate resilience into EC strategies or programmes (eg. trainings, guidance materials, technical advice etc.) and how useful was this support?**

Strong support by ECHO regional office to define strategic approach to resilience fo nutrition crisis (guidance, technical advices). Mixing sectoral support and strategic support.

Support from ECHO and DEVCO HQ in this regards.

AGIR

During the crisis, we receive a technical advice but not realistic because the TA (from ECHO regional offices) didn't really know the context of the country

documentation is available. This delegation received a support mission from DEVCO HQ during identification of NIP

I do not know

ECHO RO technical advice and lots of advocacy to influence together with country offices the orientation of the 11th EDF funds.

Resilience expert in RO to provide guidance on policies and council on strategies. However limited interaction with EUD at this stage

N/A

Comments on the Envelopes B and A programming Action Documents.

In the context of Eritrea, DEVCO can play a key role in capacity building to the NAO and line ministries through deployments of TA and supporting guiding materials in food security and energy. DEVCO should enhance the the current support to NAO in the fields of energy to overcome the energy crisis which have a cross sectoral impacts. The role of ECHO can also be tapped through the resilience interventions in natural resources management (Soil and Water conservation interventions) which should build in the existing experience.

more clear commitment in terms of multi annual program's funding needs. So far, from ECHO side, this was not the best. We struggle to ensure sufficient funds for resilience interventions

since 2014, DEVCO C1 ensure a support to EU delegations in the food and nutrition security and sustainable agriculture

Through QSGs, and providing consultancy through ASSIST

Thematic support from DEVCO during identification of NIP agriculture programme

Under 11th EDF, we have integrated resilience in our agriculture sector 2 of the NIP out of the supports provided by TA

DEVCO C 1 coordinated some regional coordination

DEVCO: resilience mainstreaming in DEVCO agenda lead to better inclusion in EUD programming (11th EDF); resilience included in trainings;

ECHO: support for resilience implementing partners in terms of training, organisation and guidance materials

Some technical advice under "assist" contract, monitoring

Well-informed, constructive and experienced contributions to our programming dialogue were particularly important to shape the 11EDF investment. It's about the added value of good staff at Echo (and Delegation) which make most differences.

The ECHO office in Dakar has liaised with us on Ebola and cholera outbreak. meetings have been held with the Delegation. Regular updates are sent to the Delegation regarding the food insecurity. CILSS and AGRHYMET bulletins as well are received every quarter.

Main support as of today (I only have 2 months in ECHO) is guidance materials. Technical advises received were not very useful and no training on resilience has been carried out since I started.

ECHO HQ is very active for the HIP

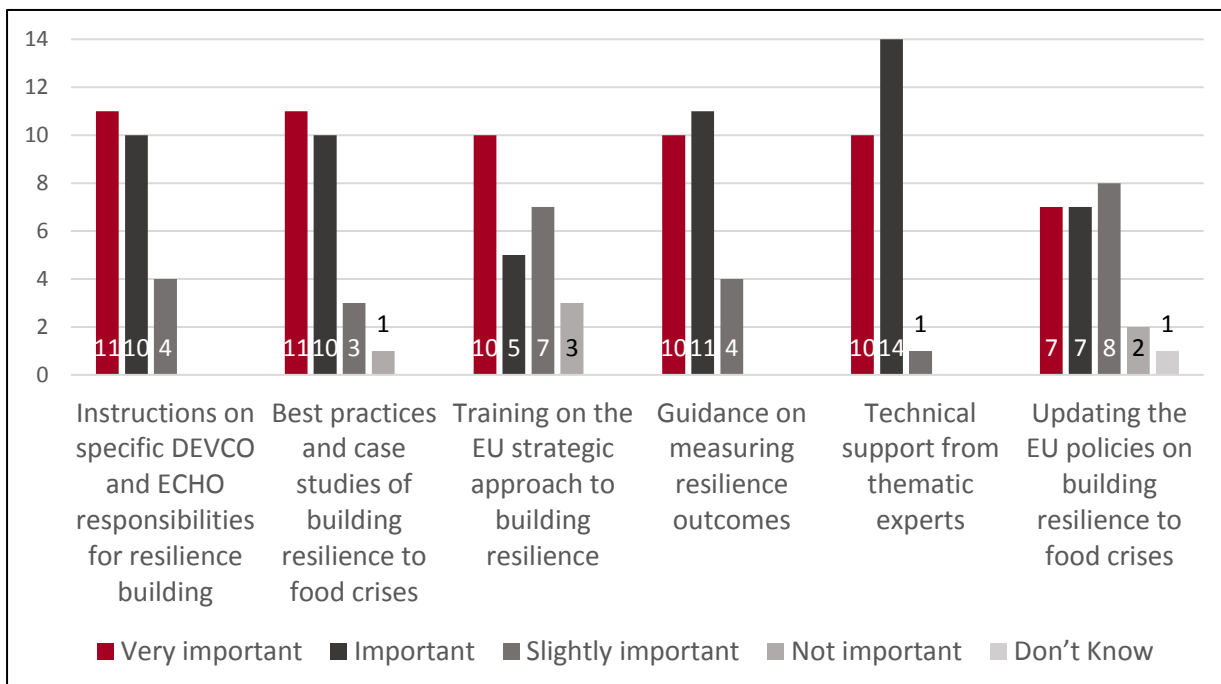
As far as DEVCO, well, yes, we had a support mission for the formulation.

Accent régulier sur certains aspects que le travail de terrain aurait tendance à faire passer en second : domaines transversaux.

Financing CILSS

Topical support was provided by DEVCO HQ on livestock for example, but support could be more structural.

**Q16: What further support on building resilience would you find of use from HQ?**



**Comments:**

- Specific M&E tool or set of indicators; GIS mapping
- Capitalisation of Echo-DfiD cooperation ?
- In Ghana, food crisis are limited to geographical limited scope and do not affect a large part of the population. However, a significant portion of rural dwellers are under the poverty line and resilience issues should be better consider in the current programming
- Usually there are plenty of good ideas, but the workload is such that Delegation Staff cannot give a proper follow-up.

**Q17 : Do you have any other comments that you would like to make concerning building resilience to food crises**

no

NO

It's important to differentiate the context of the countries in face of this problem. The food crisis and its resolution might be really different in Horn of Africa than the food crisis and its resolution in Sahel; also in Sahel, depend of the country and the context the resolution might be different.

EU must take in account the place, the country and the context to put in place the strategies to resolve this problem

-

Take it seriously

No

We have to listen our development partners especially the government in setting development priorities and build upon the existing experiences to resilience food security programmes. Capital investment on the natural resources management are the key for improving the livelihood of the people (irrigation, energy and governance).

n/a

Data availability is a major concern, and not one that could be solved easily

Preparedness plans from the Office in charge of Ghana have not been so far a key sector of attention of the Delegation

Ghana is a country where many development partners and NGOs are operating. Our main guiding principles are to focus on sustainable productive agriculture, with a goal to keep focused on the above objective despite many new initiatives. We recall that productive agriculture is a key issue generating high economic returns to the poorest.

Besoin de plus d'efficacité de l'aide UE et autres pour encourager et accompagner le gvt vers une meilleure gouvernance qui impacte la résilience : lutte contre la corruption, promotion de la femme, gestion durable des ressources naturelles, promotion des PME, etc.

## Annex F: Evaluation Matrix

This annex presents the main evaluation findings as they emerged from each of the nine Evaluation Questions. Findings are grouped by judgement criterion and are provided at the indicator level. The tables further provide the sources of information, as well as an appreciation of the quality of the evidence for each finding – according to the following scale: “Weak”; “Indicative but not conclusive”; “More than satisfactory”; “Strong”. Details on the methodology are provided in Annex B (Volume II) and on the sources of information in Annexes H and I (Volume II).

<b>Ranking of evidence</b>	<b>Explanation of ranking of quality of evidence</b>
<b><i>Strong</i></b>	The finding is consistently supported by a range of evidence sources, including documentary sources, quantitative analysis and qualitative evidence (i.e. there is very good triangulation); or the evidence sources, while not comprehensive, are of high quality and reliable to draw a conclusion (e.g. strong quantitative evidence with adequate sample sizes and no major data quality or reliability issues; or a wide range of reliable qualitative sources, across which there is good triangulation).
<b><i>More than satisfactory</i></b>	There are at least two different sources of evidence with good triangulation, but the coverage of the evidence is not complete.
<b><i>Indicative but not conclusive</i></b>	There is only one evidence source of good quality, and no triangulation with their sources of evidence.
<b><i>Weak</i></b>	There is no triangulation and / or evidence is limited to a single source.

<b>EQ 1 Evolution of Resilience Approach: To what extent has the institutional development pathway of the EU 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?</b>			
<b>Judgement Criteria</b>	<b>Summary response</b>	<b>Source of information</b>	<b>Quality of evidence</b>
<b>JC 1.1 The EU approach to building resilience to food crises has evolved over the period</b>	<ol style="list-style-type: none"> <li>1. The EU resilience approach has been developed as an integrative framework and provides a high level of policy continuity with preceding policy commitments.</li> <li>2. Formalization of the current EU approach to resilience occurred principally in 2012 and 2013, and progressively shifted from the focus from food crises and African drylands to a broader thematic and geographic focus.</li> <li>3. Resilience building strategy is weakly coherent with the new EU policy priority towards managed migration.</li> </ol>	<ol style="list-style-type: none"> <li>1. Review of ECHO and DEVCO resilience (Communication, Council Conclusions, and Action Plan) and preceding (LRRD, Food Security, DRR...) policy documents (cf. IDS1), backed up with ECHO and DEVCO staff interviews at HQ level.</li> <li>2. ECHO and DEVCO resilience (Communication, Council Conclusions, and Action Plan) and concomitant (social protection, nutrition...) policy documents (cf. IDS1), 11<sup>th</sup> versus 10<sup>th</sup> EDF CSP/NIPs and flagship programs documents, backed up with ECHO and DEVCO staff interviews at HQ level.</li> <li>3. EU TF strategic framework, interviews with EU staff at HQ and field level.</li> </ol>	<ol style="list-style-type: none"> <li>1. Strong</li> <li>2. Strong</li> <li>3. More than Satisfactory</li> </ol>
<b>JC 1.2 The influence of technical, context and political drivers in the evolution of the EU approach to building resilience to food crises</b>	<ol style="list-style-type: none"> <li>1. The EU resilience approach combines country led initiatives based on an analysis of the local context and anchored on country dynamics, with Brussels led orientations.</li> <li>2. The EU resilience approach draws on lessons of implementing previous policies and programmes, and reflects EU political priorities.</li> <li>3. The resilience approach is losing political momentum within senior levels of the EU, which is now re-focused on the priority issues of stability and migration.</li> </ol>	<ol style="list-style-type: none"> <li>1. Resilience Action Plan, AGIR and SHARE documentation (cf. IDS1), Country and regional dossiers, ECHO Sahel evaluation 2015, SBS project action fiches in the Sahel. Public interventions by EU commissioners in 2012. EU Security and Development strategy in the Sahel. National initiatives such as I3N in Niger. Complemented with EU staff interview at HQ, regional and field level, interviews with National authorities, as well as survey results (open questions).</li> </ol>	<ol style="list-style-type: none"> <li>1. Strong</li> <li>2. Strong</li> <li>3. More than Satisfactory</li> <li>4. Strong</li> </ol>

EQ 1	<b>Evolution of Resilience Approach: To what extent has the institutional development pathway of the EU 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?</b>		
	<p>4. The EU strategic resilience approach and its evolution is aligned and coherent with international definitions and concepts, but it's operationalization puts a stronger emphasis on institutional capacity building.</p>	<p>2. Review of ECHO and DEVCO evaluations (Food Facility 2012, FSTP midterm review 2010, IFS 2011, ECHO livelihood 2012, ECHO Horn drought decision 2009, ECHO Sahel evaluation 2015, ECHO food budget line 2009, DIPECHO 2014, ECHO DRR 2008) – see IDS1. Interviews with EU staff interview at HQ, regional and field level.</p> <p>3. EU staff interviews at country level. AGIR TA report. EU staff survey (open and questions and quantitative analysis). EU TF strategic framework.</p> <p>4. USAID, DIFD, WB and EU policy orientation documentation. EU and other donors' interviews at HQ, regional and country level (synthesis in IDS1). Interviews with National and regional authorities and EU implementing partners.</p>	

EQ 2	<b>Relevance to Needs, Context and Capacities: 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?</b>		
Judgement Criteria	Summary response	Source of information	Quality of evidence
<b>JC 2.1 The EU approach to building resilience is pitched and scoped (conceptually and operationally) appropriately</b>	<ol style="list-style-type: none"> <li>1. The EC has been an active partner in supporting the development of information on the incidence and causes of food insecurity.</li> <li>2. The analysis of the causal factors underlying low resilience to food crises remains generic and is not yet used by decision makers to allocate resources amongst competing priorities and identify the most strategic areas of investment.</li> <li>3. Programme links are largely linked to mitigating the impact of shocks (such as extreme weather events) rather than addressing longer-term trends (such as climate and demographic trends).</li> <li>4. Conflict, fragility and security analyses are weakly integrated into operational approaches to building resilience.</li> <li>5. There is a lack of clarity and consensus in the targeted beneficiaries – whether these should be the very poorest or those with capacities for development and targeting urban or rural populations.</li> <li>6. Despite a strong partnership network, several challenges are reported, including: building the capacity of decentralized services; managing the engagement 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.</li> </ol>	<ol style="list-style-type: none"> <li>1. Interviews with EU staff at HQ and field level. Interviews with EU partners (NGOs, UN, National and regional authorities) at Country and regional level. Review of analyses prepared with EU support.</li> <li>2. PRP documents in West Africa, causal analysis outputs in Ethiopia, backed up with interviews with EU staff at regional and field level.</li> <li>3. Flagship programs documentation, sample projects documentation, interviews with EU staff at HQ (C1) and field level.</li> <li>4. IDS2 completed and informed by interviews with EU staff at field level, interviews with implementing partner staff. Analysis supported with review of country level strategic (NIP, HIP) and programmatic documents as well as PRP in West Africa.</li> <li>5. ECHO and DEVCO project documentation. Interviews with EU staff at HQ and Field level. Interviews with implementing partners.</li> <li>6. Interviews with EU staff at field level, interviews with other donors, interviews with regional and national authorities, interviews with implementing partners, interviews with farmer's organizations.</li> </ol>	<ol style="list-style-type: none"> <li>1. Strong</li> <li>2. More than Satisfactory</li> <li>3. More than Satisfactory</li> <li>4. Strong</li> <li>5. Strong</li> <li>6. Strong</li> </ol>



EQ 2	<b>Relevance to Needs, Context and Capacities: 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?</b>		
<b>JC 2.2 The operationalization of the EU approach to building resilience is aligned with national and regional priorities and capacities</b>	<ol style="list-style-type: none"> <li>1. Policy coherence between the EU and beneficiary states on resilience is high and the approach is largely coherent with formal national policy priorities. However, political commitment and ownership of these policies is variable.</li> <li>2. When framed as contribution to managing migration, resilience building is not well aligned to national priorities.</li> <li>3. Conflict, security and fragility are rather considered as elements that require adaptation of operational models and rather than factors that may shape strategic planning and programming objectives.</li> </ol>	<ol style="list-style-type: none"> <li>1. Review of National policy orientation documents in focus countries (cf. IDS5). Interviews with EU staff at regional and country level. ECHO AGIR TA report. Interviews with national authorities. Interviews with other donors.</li> <li>2. EU-TF documentation, interview with EU staff at country level.</li> <li>3. IDS2 completed and informed by interviews with EU staff at field level, interviews with implementing partner staff.</li> </ol>	<ol style="list-style-type: none"> <li>1. Strong</li> <li>2. More than Satisfactory</li> <li>3. More than Satisfactory</li> </ol>

EQ 3	<b>Synergies between DEVCO, ECHO and EEAS: To what extent have DEVCO, ECHO and the EEAS managed to ensure positive synergies through their interactions to build resilience to withstand food crises?</b>		
Judgement Criteria	Summary response	Source of information	Quality of evidence
<b>JC 3.1 The development and implementation of the EU approach to building resilience is jointly led and well-coordinated between EuropeAid, ECHO and EEAS</b>	<ol style="list-style-type: none"> <li>At the Brussels level ECHO and DEVCO have shared leadership to the resilience approach through the offices of the respective Commissioners. At the technical level DEVCO (principally through C1 and B7) and ECHO (through A4) have shared technical leadership</li> <li>At the field collaboration between ECHO and DEVCO has improved based on a common vision of resilience to food crises. The two services have realized comparative advantages in building resilience to food crises. However, the differing mandates, tools and procedures continue to be a major constraint to collaboration.</li> <li>Building resilience to food crises has not proved an effective framework for comprehensive action, which brings together the EEAS with DEVCO and ECHO.</li> </ol>	<ol style="list-style-type: none"> <li>Communication, Council Conclusions, and Resilience Action Plan. In-Depth Study on the evolution of the resilience approach. ECHO and DEVCO staff interviews at HQ level.</li> <li>ECHO and DEVCO staff interviews at field level. Review of JHDFs. Interviews with implementing partners and other donors. EU staff survey.</li> <li>ECHO, EEAS and DEVCO staff interviews at field level. Review of causal analyses. EU staff survey. Review of HIPs and NIPS.</li> </ol>	<ol style="list-style-type: none"> <li>Strong</li> <li>Strong</li> <li>Strong</li> </ol>
<b>JC 3.2 EU approach to building resilience is embedded in ECHO and DEVCO processes and procedures</b>	<ol style="list-style-type: none"> <li>The roll-out of the strategic approach was not accompanied by adequate guidance on programming or departmental roles and responsibilities.</li> <li>Trainings and guidance have been developed to support the operationalization of the resilience approach, but the sufficiency and effectiveness of these has been limited.</li> <li>Joint humanitarian-development frameworks and analyses occur on ad hoc rather than systematic basis and have been of mixed relevance</li> <li>Organizational changes that foster increased direct interaction between the staff of the two agencies enhanced inter-service cooperation</li> </ol>	<ol style="list-style-type: none"> <li>EU staff survey. Interviews of ECHO and DEVCO staff at field level. Draft MoU on proposed division of responsibilities produced in Ethiopia.</li> <li>Review of documentation produced at Brussels level. Participation in EU resilience forum in EU Development Days. EU staff survey.</li> <li>Review of JHDF documents and JHDF guidance materials. Interviews with DEVCO and ECHO staff at field and HQ. EU staff survey.</li> <li>Interviews with DEVCO and ECHO staff at field and HQ.</li> </ol>	<ol style="list-style-type: none"> <li>More than satisfactory.</li> <li>Strong</li> <li>Strong</li> <li>Indicative but not conclusive</li> </ol>

EQ 4	EU Added value: To what extent does the EU add value and complement efforts already being undertaken on resilience to withstand food crises?		
Judgement Criteria	Summary response	Source of information	Quality of evidence
<p><b>JC 4.1 The EU resilience interventions are coordinated with other stakeholders at strategic and operational levels</b></p>	<ol style="list-style-type: none"> <li>The main elements of the EU strategic approach to building resilience are broadly coordinated with development partners and governmental authorities. Consultations in developing the strategy occurred within the EU structures, but not outside the EU with other donors.</li> <li>Regional organizations in West Africa and the Horn of Africa have provided important platforms for coordinating strategic approaches</li> <li>The EU is promoting further strategic coordination through the integration of resilience approaches within key global processes, platforms and forums</li> <li>The effectiveness of operational coordination is limited by the capacity of the hosting institution, the large number of stakeholders, competing coordination priorities and incomplete representation of stakeholders at national level.</li> <li>There is limited evidence that coordination translates into meaningfully conjoined approaches, such as multi-donor implementation of resilience projects using multi-donor trust funds or pooled funding.</li> <li>Common strategic approaches within the UN system brokered at the HQ level (with EU support) were poorly operationalized at field level.</li> <li>Effective local (sub-national) coordination is viewed as a priority for promoting coordinated multi-sectoral resilience building at HH level.</li> </ol>	<ol style="list-style-type: none"> <li>Interviews with DEVCO and ECHO staff in the field, interviews with USAID, DfID staff, Global Alliance for Drought Resilience and Growth meeting minutes</li> <li>Interviews with DEVCO and ECHO staff in the field, IDDRSI Strategy, AGIR Roadmap, interviews with government staff in West and East Africa</li> <li><i>2014 - Communication from the Commission to the European Parliament, The Council, The European Economic and Social Committee and the Committee of the Regions - The post 2015 Hyogo Framework for Action: Managing risks to achieve resilience., 2015 - EU Resilience Compendium - Saving lives and livelihoods.</i></li> <li>Interviews with Member State representatives, DEVCO and ECHO field staff, NGO field staff in focus countries, USAID representatives, UN (FAO, UNICEF and WFP) field and regional staff</li> <li>Interviews with Member State representatives, DEVCO and ECHO field staff, NGO field staff in focus countries, USAID representatives, UN (FAO, UNICEF and WFP) field and regional staff</li> <li>Interviews with DEVCO and ECHO field staff, interviews with FAO, WFP and</li> </ol>	<ol style="list-style-type: none"> <li>Strong</li> <li>Strong</li> <li>Strong</li> <li>More than satisfactory</li> <li>Strong</li> <li>Strong</li> <li>More than satisfactory</li> </ol>

EQ 4	EU Added value: To what extent does the EU add value and complement efforts already being undertaken on resilience to withstand food crises?		
		UNICEF staff, interviews with government staff in West and East Africa 7. Interviews with DEVCO and ECHO field staff, NGO field staff, UN field staff, Member State representatives	
<b>JC 4.2 The EU resilience approach and interventions add value to the actions of MS, other donors and development partners</b>	<ol style="list-style-type: none"> <li>1. There is a potential value in developing common frameworks between EU institutions and EU MS, with a clear division of labour on resilience building.</li> <li>2. Progress in towards joint programming is slow and constrained by the differential presence, capacities and interest of the EC and EU MS in each country.</li> <li>3. The EU adds value to the activities of international organisations and other donors – this is associated with the size and influence of the EU as a donor. It is less clear that the EU institutions add specific value to the actions of EU MS on resilience building.</li> </ol>	<ol style="list-style-type: none"> <li>1. Interviews with Member States implementing projects in West Africa and the Horn, interviews with DEVCO and ECHO HQ and field staff</li> <li>2. Interviews with DEVCO and ECHO field staff, interviews with government staff in West and East Africa,</li> <li>3. Interviews with Member States representatives implementing projects in West Africa and the Horn, interviews with USAID, interviews with members of the Global Alliance for Drought Resilience and Growth, <i>The Resilience Compendium, Resilience in Practice</i></li> </ol>	<ol style="list-style-type: none"> <li>1. More than satisfactory</li> <li>2. More than satisfactory</li> <li>3. Strong</li> </ol>

<b>EQ 5</b>			
<b>Complementarity of EU instruments and aid modalities: To what extent was the mix of instruments and aid modalities used complementary and appropriate for resilience programming?</b>			
<b>Judgement Criteria</b>	<b>Summary response</b>	<b>Source of information</b>	<b>Quality of evidence</b>
<b>JC 5.1 External financing instruments and modalities are adapted to financing resilience building activities</b>	<ol style="list-style-type: none"> <li>1. EU support to building resilience to food crises draws on a wide range of range of financing instruments and mechanisms, including both country programmable (EDF) and other thematic instruments and mechanisms (SHARE, PROACT).</li> <li>2. The EU Africa Trust Fund pillar devoted to addressing the root causes of destabilisation, forced displacement and irregular migration is called on for building resilience to food crises. The Africa TF offers advantages of flexibility and joint oversight, but challenges of geographic scope and aligning around a political agenda.</li> <li>3. EU development financing lacks the flexibility to support to “crisis modifiers” to support resilience to food crises.</li> <li>4. It has proved difficult to justify and sustain the use of the humanitarian instrument for building resilience to food crises given prioritization of meeting acute needs and short-term funding horizons.</li> <li>5. There are significant challenges to establishing synergies, and transitioning between, the use of different financing instruments and mechanisms for building resilience to food crises.</li> </ol>	<ol style="list-style-type: none"> <li>1. Interviews with ECHO, DEVCO and EEAS staff at HQ and field level. Interviews with EU implementing partners. AGIR and SHARE documentation. Review of NIPs and HIPs. EU staff survey results (open questions).</li> <li>2. Documentation from the EU emergency Trust Fund for Africa. Interviews with ECHO, DEVCO and EEAS staff at HQ and field level.</li> <li>3. Interviews with EU implementing partners and other donors. Interviews with ECHO and DEVCO staff at field level. Project and programme documentation (eg. SomREP)</li> <li>4. Interviews with ECHO and DEVCO staff at HQ and field level. Interviews with EU implementing partners.</li> <li>5. Review of NIPs and HIPs. Interviews with ECHO EEAS and DEVCO staff at field level. Interviews with EU implementing partners.</li> </ol>	<ol style="list-style-type: none"> <li>1. Strong</li> <li>2. Strong</li> <li>3. Strong</li> <li>4. Strong</li> <li>5. More than satisfactory</li> </ol>
<b>JC 5.2 The EU’s policy dialogue, advocacy and political dialogue at various levels (international, regional, national and local) on resilience complement its spending activities</b>	<ol style="list-style-type: none"> <li>1. The EU spending activities are complemented by advocacy, policy and political dialogue. Policy dialogue has been closely integrated with programming in the Sahel, but less so in the Horn.</li> </ol>	<ol style="list-style-type: none"> <li>1. In-Depth Study on national ownership of resilience, EU staff survey results, Interviews with ECHO and DEVCO staff at HQ and field level. Interviews with national authorities. AGIR and SHARE documentation. Review of NIPs and HIPs.</li> </ol>	<ol style="list-style-type: none"> <li>1. Strong</li> </ol>



<b>EQ 6 Results: To what extent has the approach delivered the expected outcomes, or can it be reasonably expected that the outcomes will be delivered?</b>			
<b>Judgement Criteria</b>	<b>Summary response</b>	<b>Source of information</b>	<b>Quality of evidence</b>
<b>JC 6.1 The EU approach to building resilience is reflected in EU aid strategies</b>	<ol style="list-style-type: none"> <li>1. There is substantial evidence of resilience being integrated as a core objective of EU external strategies. There is an increased inclusion of, and allocation to, the food security sector in CSP/NIPs. Resilience is highlighted as a priority for all areas of humanitarian aid in the HIPs.</li> <li>2. Increased expenditure on rural development and food security may be (partly) directed to agricultural productivity enhancements rather than specifically building resilience.</li> <li>3. Resilience programming has to compete for EU resources against other national priorities and other thematic priorities driven by Brussels.</li> <li>4. Resilience programming cannot be readily disaggregated from other 'sectors' of ECHO budgets. Social protection appears to remain a 'forgotten sector' for development assistance.</li> </ol>	<ol style="list-style-type: none"> <li>1. Interviews with national partners and documentation analysis based on EU strategy documents (CSP, NIP, and HIP), Echo Sahel Strategy Evaluation and Agenda For Change.</li> <li>2. Documentation analysis based on NIPs, RIPs, and national policies documents</li> <li>3. Document-based analysis of EU strategy documents and interviews with EU staff.</li> <li>4. Analysis of ECHO strategy documents (HIPs) Interviews with national partners, CRIS data base, and ECPDM's analysis of the 11th EDF programming.</li> </ol>	<ol style="list-style-type: none"> <li>1. Strong</li> <li>2. More than satisfactory</li> <li>3. More than satisfactory</li> <li>4. Indicative but not conclusive Strong</li> </ol>
<b>JC 6.2 The EU approach to building resilience has been integrated in programmes and projects</b>	<ol style="list-style-type: none"> <li>1. Sector budget support is a primary mechanism used to contribute to building resilience to food crises in the Sahel. This priority reflects political orientations and is based on existing but limited experiences of Food Security Budget support within and outside the region, and</li> </ol>	<ol style="list-style-type: none"> <li>1. NIP of 11<sup>th</sup> EDF; BS project documents including DTA, feasibility studies when available, Interview with EU delegation staff as well as other donors.</li> <li>2. Review of program documentation in Kenya and Ethiopia, Interview with EU staff at field level in these two countries.</li> <li>3. Review of Resilience market tool, interviews of ECHO and implementing partner staff at country level. ECHO evaluations over the period, and interview of ECHO staff at field level.</li> </ol>	<ol style="list-style-type: none"> <li>1. Strong.</li> <li>2. Strong.</li> <li>3. Strong.</li> <li>4. Strong.</li> </ol>

EQ 6	Results: To what extent has the approach delivered the expected outcomes, or can it be reasonably expected that the outcomes will be delivered?		
	<p>conditions for impact tracking are rarely met.</p> <p>2. Other key national resilience building initiatives and institutions have been supported through programmable and thematic development resources including the NDMA in Kenya and PSNP in Ethiopia. All examples of resilience sensitive programming were hosted by the food security/resilience focal sector.</p> <p>3. ECHO is working to improve the mainstreaming of resilience within humanitarian actions, supported by the introduction of a resilience marker. However, the sustainability and scalability of humanitarian aid impacts have been questioned.</p> <p>4. A limited number of high visibility joint ECHO-DEVCO “resilience flagship” initiatives are identified as being implemented in the focal countries; more will be developed with the EU-TF. The design and impact is highly context specific.</p>	<p>4. Joint Programs documentation, Assit learning documents (Mali, Ethiopia), interviews with EU staff at field level.</p>	
<p><b>JC 6.3 Frameworks have been established to measure resilience outcomes and impact</b></p>	<p>1. Most major donors have either a framework in place to monitor and measure resilience or are in the process of designing one.</p> <p>2. The main EU investment in frameworks to assess changes in resilience has been in the FAO led multi-agency Resilience Index Measurement and Analysis Model</p>	<p>1. <i>THE RESILIENCE AGENDA: Measuring Resilience in USAID, Resilience in USAID, Defining Disaster Resilience: a DFID Approach Paper, The Resilience Index Measurement and Analysis (RIMA) model</i>, interviews with DfID, USAID, FAO, WFP staff</p> <p>2. Interviews with academics, consultants, government staff in West and East Africa, NGO staff, ECHO and DEVCO field staff, <i>Livelihoods Strategies and Household Resilience to Food</i></p>	<p>1. Strong 2. Strong 3. Strong 4. Strong 5. Strong 6. Strong</p>



EQ 6	Results: To what extent has the approach delivered the expected outcomes, or can it be reasonably expected that the outcomes will be delivered?		
	<p>(RIMA). This was seen as relatively robust, reliable and scientific, but difficult to support and implement and poorly adapted to the needs of decision makers.</p> <ol style="list-style-type: none"> <li>3. The EU and USAID appear to be committed to ensuring a degree of harmonization of analytics and metrics for measuring resilience</li> <li>4. The evaluation found a gap between analysing resilience of the national level, and attributing the impact of individual programmatic interventions to changes in resilience</li> <li>5. The EU does not have a standardized methodology for integrating the measurement of resilience results by funded projects</li> <li>6. IT applications in Ethiopia Kenya and Somalia present the opportunity to enhance the evidence base regarding resilience measurement.</li> </ol>	<p><i>Insecurity: An Empirical Analysis to Kenya, The Resilience Index Measurement and Analysis (RIMA) model</i></p> <ol style="list-style-type: none"> <li>3. Interviews with USAID, FAO and TANGO staff, <i>Towards Harmonized Metrics for Resilience Analysis: A meeting held 2 – 4 March 2016</i></li> <li>4. <i>A Focused Review of Methodologies to Measure Resilience: An Analysis of Conceptual Presentations, Indicators, and Estimation Procedures</i>, interviews with NGO field staff, ECHO and DEVCO staff, members of the FSIN Resilience Measurement Technical Working Group, UNICEF</li> <li>5. Interviews with FAO staff, DEVCO and ECHO staff, academia, USAID Resilience Secretariat and TANGO staff</li> <li>6. Kenya Single Registry web site (<a href="http://mis.socialprotection.go.ke:20304/IntroductionPage.aspx">http://mis.socialprotection.go.ke:20304/IntroductionPage.aspx</a>), interviews with NGO consortia leaders, interview with HSNP staff, <i>SCOPE: WFP's Digital Platform for Beneficiary and Transfer Management</i></li> </ol>	

<b>EQ 7</b>			
<b>Visibility and Leverage: To what extent has the EU approach been visible and to what extent have lessons been learned to leverage greater impact?</b>			
<b>Judgement Criteria</b>	<b>Summary response</b>	<b>Source of information</b>	<b>Quality of evidence</b>
<b>JC 7.1 The EU approach to building resilience is visible</b>	<ol style="list-style-type: none"> <li>1. There were attempts to provide visibility of the EU approach to resilience building to European Member States and other stakeholders. Further visibility was promoted through brochures and presentations at meetings.</li> <li>2. Responsibility for visibility and lesson learning is shared across Departments and levels, but without clear accountability</li> <li>3. Resilience-related initiatives (AGIR, RESET, SHARE) have proved to be the main channel supporting EU's visibility in resilience building approach for partner countries authorities.</li> <li>4. There is limited awareness of Member States and other stakeholders regarding the EU approach to resilience building</li> <li>5. To some extent EEAS, DEVCO and ECHO have maintained a separate understanding of, and approach to, resilience building.</li> </ol>	<ol style="list-style-type: none"> <li>1. Field interviews with national partners and EU delegations backed up with the review of EU communication documents (instruction letters, council conclusions), monitoring reports and EC and AGIR websites.</li> <li>2. Interview with EU staff</li> <li>3. Field interviews (partner country authorities, MS, EU staff, other development partners)</li> <li>4. Field interviews (MS and EU staff).</li> <li>5. Interviews with EU staff, backed up with the survey analysis.</li> </ol>	<ol style="list-style-type: none"> <li>1. Strong</li> <li>2. Indicative but not conclusive</li> <li>3. Strong</li> <li>4. More than satisfactory</li> <li>5. More than satisfactory</li> </ol>
<b>JC 7.2 Lesson have been learnt and leveraged to multiply impact</b>	<ol style="list-style-type: none"> <li>1. The EU has produced materials that disseminate both the strategic approach and lessons learnt in operationalizing the approach</li> <li>2. Interest was expressed in additional case studies of resilience and good practice guidance</li> <li>3. Lesson learning appears to have had limited uptake, with no examples found of direct replication</li> <li>4. There is a demand for additional best practice materials to support resilience programming</li> </ol>	<ol style="list-style-type: none"> <li>1. <i>The Resilience Compendium, Resilience in Practiced: Saving Lives and Improving Livelihoods</i>, interviews with ECHO and DEVCO staff, NGO staff implementing projects in the region, ASIST documented PRORESA/AFT formulation process, Impact Studies carried out by Humanitarian Outcomes</li> <li>2. Interviews with ECHO and DEVCO field staff in most focus countries, interviews with NGO implementing staff, UN field staff</li> <li>3. Interviews with MS staff, ECHO and DEVCO staff, NGO staff and government staff in focus countries</li> <li>4. Interviews with ECHO and DEVCO field staff in most focus countries, interviews with NGO implementing staff, UN field staff</li> </ol>	<ol style="list-style-type: none"> <li>1. Strong</li> <li>2. More than satisfactory</li> <li>3. More than satisfactory</li> <li>4. More than satisfactory</li> </ol>

EQ 8	<b>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?</b>		
Judgement Criteria	Summary response	Source of information	Quality of evidence
<b>JC 8.1 The resilience approach is cost efficient</b>	<ol style="list-style-type: none"> <li>1. The costs of developing the strategic approach at the Brussels level appear to have been acceptable</li> <li>2. Operationalizing the approach to building resilience to food crises has imposed significant human resource costs on both DEVCO and ECHO.</li> <li>3. Building resilience to food crises has also imposed significant transaction costs on governments, development partners, UN agencies and NGOs.</li> <li>4. Good practices which could potentially contribute to improved efficiency include the use of budget support mechanisms and a division of labour amongst donors.</li> </ol>	<ol style="list-style-type: none"> <li>1. Interviews with ECHO and DEVCO staff at HQ level</li> <li>2. Interviews with ECHO and DEVCO staff at field level. EU staff survey.</li> <li>3. Interviews with implementing partners (including RESET implementing NGOs and UN agencies) and donors. Project evaluations (eg. SomREP MTR). Interviews with national authorities.</li> <li>4. Evaluations of budget support. Interviews with DEVCO staff and other donors.</li> </ol>	<ol style="list-style-type: none"> <li>1. Indicative but not conclusive</li> <li>2. More than satisfactory</li> <li>3. Strong</li> <li>4. Indicative but not conclusive</li> </ol>

<b>EQ 9</b>			
<b>Impacts and Sustainability: 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?</b>			
<b>Judgement Criteria</b>	<b>Summary response</b>	<b>Source of information</b>	<b>Quality of evidence</b>
<b>JC9.1 The EU resilience policy, approach and initiatives on the ground have influenced key stakeholders and beneficiaries</b>	<ol style="list-style-type: none"> <li>1. The two EU flagship initiatives aiming at improving resilience strategies in respectively the Horn of Africa and the Sahel: SHARE and AGIR.</li> <li>2. The approach was more policy led in the Sahel and more programme led in the Horn.</li> <li>3. Regional and national policy evolution has occurred. AGIR is one of several factors having influenced National and regional policies in the Sahel and EU contribution to AGIR is very visible.</li> <li>4. Actual regional and national ownership of policy changes is not clear, and institutional leadership, is with a few exceptions, still imperfect.</li> <li>5. Policy commitment by partner countries have so far had limited translation in effective action.</li> </ol>	<ol style="list-style-type: none"> <li>1. AGIR and SHARE documentation, EU staff interviews at HQ, regional and country level, Regional and national authorities interviews, UN and NGOs interviews.</li> <li>2. Same than for 1, IDS5 to complement.</li> <li>3. IDS5, including review of National policies in focus countries. EU staff interviews at HQ, regional and country level, Regional and national authorities interviews, UN and NGOs interviews, Assist documentation of AGIR, Evaluation of REACH.</li> <li>4. EU staff interviews at HQ, regional and country level, Evaluation of the RCPCA charter, Oxfam report on ECOWAP.</li> <li>5. EU staff interviews at regional and country level, AGIR cell interviews, HCI3N 2011-2015 quinquennial plan review, ECHO report on AGIR. IDS5 for more country examples.</li> </ol>	<ol style="list-style-type: none"> <li>1. Strong</li> <li>2. Strong</li> <li>3. Strong</li> <li>4. More than Satisfactory.</li> <li>5. More than Satisfactory.</li> </ol>
<b>JC 9.2 The approach is replicable in different and changing contexts</b>	<ol style="list-style-type: none"> <li>1. Stakeholders have limited views on the replicability of the approach, apart from noting that it would be context specific and would require country leadership and ownership.</li> </ol>	<ol style="list-style-type: none"> <li>1. EU staff interviews at regional and country level</li> </ol>	<ol style="list-style-type: none"> <li>1. Indicative but not conclusive</li> </ol>

## Annex G: Financing Instruments

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EU resilience building activities in the Horn and Sahel regions over the period 2007-2015 have been supported through various financing instruments and programmes described below.

Principal established instruments were:

- **The European Development Fund (EDF)** is the **EU's main geographic instrument** for providing development aid to **African, Caribbean and Pacific (ACP) countries and to overseas countries and territories (OCTs)**. It is financed by direct contributions from EU Member States according to a contribution key and is covered by its own financial rules.
- **The Instrument for Development Cooperation (DCI):** the **geographic Instrument** for Development Cooperation (DCI) encompasses cooperation with partner countries and regions (**Latin America, Asia, Central Asia, the Middle-East and South Africa**). In addition, the DCI brings together the **five thematic programmes** which aim to address different **global** challenges (such environmental protection and food security). The following thematic programmes covered resilience activities in ACP countries:
  - **The Food Security Thematic Programme (FSTP)** supports activities aimed at improving food security for the world's poorest and most vulnerable populations.
  - **The Global Public Goods and Challenges Programme (GPGC):** the **GPGC thematic programme** addresses climate change, environment, energy, human development, food security and migration. The GPGC replaces previous sectoral programmes funded by the European Union currently under implementation, including the FSTP.
    - **The Pro-Resilience Action Programme (PRO-ACT):** component of the GPGC, the PRO-ACT is a **funding programme** that forms part of the Food Security and Sustainable Agriculture (FSSA) thematic instrument.
- **The Instrument contributing to Stability and Peace (IcSP):** this thematic instrument provides direct support for the Union's external policies in the areas of crisis response, conflict prevention, peace-building and crisis preparedness.
- **The Vulnerability-FLEX (V-FLEX)** is a short-term instrument designed to help countries most affected by the 2009 economic downturn due to their poor resilience. It complements other financial instruments under the budget of the EU and the European Development Fund.
- **ECHO Humanitarian Aid Instrument:** ECHO spending activities on Resilience are **concentrated in Africa** and more than 60% of these activities was concentrated on the **Horn of Africa region** for the period 2007-2015.

Some innovative financial instruments have also been adapted to financing resilience activities as:

- **EU Trust Funds:** they enable a quick, flexible, and collective EU response to the different dimensions of an emergency situation. The trust fund has a limited **geographic scope and thematic content** of funded programmes in **the Sahel region and Lake Chad area, the Horn of Africa and the North of Africa**.
  - **The EU Emergency Trust Fund** for stability and addressing root causes of irregular migration and displaced persons in Africa is made up of **€1.8 billion from the EU budget and European Development Fund, combined with contributions from EU Member States and other donors**. The EU emergency trust fund is used as the **source of funding for RESET**.

The main funding programme that backed resilience activities was:

- **The EU Food Facility Programme (FF):** in response to the global rising of food prices in 2007 – 2008 that put millions of people at extreme risk from hunger and malnutrition, **€1 billion** have been earmarked for the EU FF programme, which is to last three years and support projects in **most affected countries by high prices**.

**SHARE (Supporting Horn of Africa Resilience)** is a strategy that aims at “breaking the vicious cycle of crises in the region”, with a package of **€270 million** allocated by the EU. SHARE focuses on **the lowlands and drylands** and operates in synergy with programmes from other donors (PRIME and ENGINE). Combined with the Ethiopian HIP, it contributes to financing the RESET programme.

# Annex H: Achievements in terms of resilience building for a sample of projects

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This annex reflects the information found on the results achieved in terms of resilience building for a sample of projects covered by this evaluation. It also reports specifically on the gender approach of these projects.

We provide the results first for selected DEVCO projects, and secondly for the sample of ECHO projects.

## I. DEVCO

We focus the analysis on a selection of interventions from the inventory we created for this evaluation (see Annex C). We first selected the key flagship programmes (SHARE, RESET, AGIR, PSNP, BRCiS, and SOMREP). We then identified the largest decisions which had “resilience” and/or “food security” in their titles and had contracts in one or more of the 6 countries visited during the field phase; we selected those contracts for which evaluation and/or progress reports were available.

The resulting sample encompasses the following 12 programmes:

- 1) RESET (SHARE – Ethiopia) : Flagship programme
- 2) SHARE Kenya : Flagship programme
- 3) AGIR: Flagship programme
- 4) PSNP Ethiopia: Flagship programme
- 5) BRCiS Ethiopia: Flagship programme
- 6) SomRep: Flagship programme
- 7) Actions à court et moyen terme pour lutter contre la faim dans les régions en situation d'insécurité au Mali
- 8) Pro Resilience Action (Pro ACT)
- 9) "Support measures for Food Security Thematic Programme / Annual Action Programme 2012" in Guinea
- 10) Food Security Thematic Programme 2 (FSTP2) in the “Comité permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel (CILSS) and “Economic Community of West African States” (ECOWAS) Countries
- 11) Global Climate Change Alliance (GCCA) Ethiopia
- 12) Programme d'appui à l'aide alimentaire et nutritionnelle des populations vulnérables des zones touchées par crise alimentaire de 2012 au Burkina Faso.

These programmes represent 11% of the overall portfolio of the inventory (€279M<sup>1</sup> over €2 509M).

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<sup>1</sup> This figure does not include the €200M from AGIR which was not included in the €2 509M from the inventory.

For these programmes, we present below the information found on the results in terms of resilience building, with in addition a special attention on the gender approach.

## **RESET (SHARE – Ethiopia)**

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

The concept is based on 4 cornerstones for building resilience: i) Improving the provision of basic services (health, wash, nutrition etc.), ii) Support to livelihoods, iii) Safety Nets, and iv) Disaster Risk Reduction.

- First phase (RESET I): 2012 – 2016
- Second phase (RESET II): 2016 – 2020
- The main contributors to RESET are the SHARE initiative and the Ethiopian HIP. RESET II (2016-2020), is part of the 11th EDF National Indicative Programme with an allocation of €30m channeled through the EU Trust Fund. In addition, 2 EU member states (the Netherlands and Austria) are contributing to the action with an amount of €9m and €3m respectively, and there is an additional allocation of €5m from the EU Trust Fund to which ECHO is likely to contribute for the specific objective of resilience building. The overall total budget earmarked for RESET II program is €47m.

In its first phase, the programme covered 34 districts and more than 2.5 million people in five regions of Ethiopia. In each cluster, DEVCO and ECHO work jointly on a needs assessment, a strategy and an action framework. RESET is implemented in cooperation with local authorities, NGOs, UN agencies, and other donors present in the area. The programme aims at complementing national resilience programs, such as the Productive Safety Net Program (PSNP). In its second phase the livelihood component of RESET is fully integrated under the PSNP.

### **Achievements in terms of resilience building**

#### *RESET I (2012-2016):*

As the first phase of the programme is just finalised, no evaluation or any other report providing detailed quantitative data on RESET I's impact on resilience building was available to the evaluation team. It is however worth mentioning that regarding RESET I, the "Building a resilience programme – Learning from EU RESET programme in Ethiopia (ASiST, ECHO and EU Delegation in Ethiopia, February 2016) document stated that **one issue to be considered is "to build a strong minimum framework at programme level, to ensure a consistent collection and analysis of indicators across partners and involve research institutes to define and design support research and help measuring impact with solid data"**.



Progress reports, which provide the following information on results and gender, were available for the 3 projects below, implemented through RESET I. The projects represent together about 11.5M€.²

1) The **“Sustainable Agriculture and Food Security Enhancement through Integrated Recovery Support Mechanisms (SAFE)”** project.

This 3.3M€ project supports a total of 4,800 households (HH) in South Omo cluster, over a period of 36 months from 2014.

From the “3rd Quarter of 2016 Implementation Report”, it is mentioned that achievements in terms of resilience building have been observed through:

- Increased livestock productivity of pastoralists and agro-pastoralists households (via notably improved water supply services and strengthened animal health service provision);
- Increased assets and income from livestock, livestock bi-products and non-livestock sources;
- Improved access to agricultural inputs services and measures to enhance their productive capacity and production; and
- Strengthened capacity of local government and community/traditional institutions to provide better services and ensure peaceful co-existence among communities.

These improvements are however not quantified.

Gender approach: The programme targets “most vulnerable populations”, specifying hereby that this includes women and children. For instance, the progress report indicated that since the start to the project, 7428 goat have been distributed to 1238 rural poor women in South Omo cluster (on a total of 1200 households benefiting of animal provision³). Besides, the report mentions that more than 801 women got long acting family planning service by the trained health workers in projects kebeles since the start of the project.

2) The **“Building Resilience through Integrated Recovery Support to Drought Affected Communities in Siti zone of Somali Region and Afar Region”** project.

The project (3.3M€) has been implemented by 4 NGOs in nine woredas of Afar and Somali Regional States since January 2014 (up to 31 June 2016 according to the mid-term review report). The specific aim intended by the project is to reduce vulnerability of pastoral, pastoral drop outs, and agropastoral communities to drought induced shocks. Primary Beneficiaries: 13,220 households (75,695 people); Indirect Beneficiaries: 436,620 people.

According to the mid-term review, achievements in terms of Resilience building are the following:

² A total of 30 NGOs organised in a consortium (with a consortium lead) were directly involved in the implementation of the programme in 8 different clusters.

³ “Resilience Building Programme in Ethiopia RESET, Social transfers and livelihoods support component of the first phase of RESET - Typology of current activities, lessons learnt and good practices”, Draft 3 – 12 February 2016

- improved access to animal health on the average ranges 51-79% in both Afar and Somali.
- As the result of capacity building interventions of the project, individual beneficiaries and the wider community have acquired knowledge and new skills that are vital for the management of rangelands.
- The project has made considerable contribution to the improvement of community drought preparedness and response capacities.

These later achievements are not quantified in the report.

#### Gender approach

Gender assessment and analysis is one of the implementation modality all implementing partners are expected to pursue in order to identify the separate needs of women and men and ensure the participation of both sexes at every stage of Project Cycle Management.

### 3) **The “Conservation of Biodiversity and Ecosystems Functions and improved well-being of Highland and Lowland Communities within Bale Eco region” project (SHARE Bale Eco-region Project)**

The specific objective of this 5.5M€ project is to conserve biodiversity/ecosystems functions/services in BER and increase resilience and well-being of highland/lowland communities. The duration of the project is 40 months, from 2014. Primary Beneficiaries: up to 878,000 people living in the BER under sustainable management systems; Indirect Beneficiaries: up to 12 million downstream water users and others nationally and internationally who rely on the ecosystem services of the BER.

No element about the findings or the results are provided in the progress report, which provide only information on the activities implemented.

#### Gender approach

Gender equality is a cross cutting issue. The action has worked in ensuring gender equality specifically with women to make them more empowered and able to benefit from project interventions. During the reporting period, 535 women benefited through subsidizing fuel saving stove costs, 28 women supported in goat husbandry and significant number of women participated in PRM and CSA trainings and practices. The involvement of women in VHC in doing family planning awareness education and convincing women in taking contraceptives also one areas of women engagement in successful delivery of the project activities.

#### *RESET II (2016-2020):*

According to the document describing the project (“RESET Programme - Linking EU’s humanitarian and development interventions in the context of resilience building: the case of Ethiopia”, ECHO-Ethiopia Office / EU Delegation to Ethiopia, Draft 8 February 2016), the monitoring and evaluation of RESET II will be organised and take place at programme level and cluster level. A Monitoring, Evaluation and Research (MER) guidance note has been prepared and a baseline study will be carried out by EDRI (Ethiopia Development Research Institute) in the 8 clusters at the beginning of the RESET II. This baseline will be critical to measure the impact at the end of the programme.

RESET should also inform future programming on resilience within Ethiopia and elsewhere. Research will be carried out to understand how and in what extent, RESET contributes to enable individual beneficiaries and communities to cope with a shock and ultimately if the programme can reduce dependency towards aid (emergency and predictable safety nets).

Whereas partners are expected to define indicators for the respective projects and clusters, indicative overarching RESET level indicators, among others, to allow the measurement and reporting of projects' contribution to the programme level goal have been developed. The full matrix is provided in the MER guidance note.<sup>4</sup> As the phase II is just starting, no results has indeed been reported yet.

## **SHARE (Kenya)**

SHARE is the initiative supporting the Horn of Africa's Resilience it is a regional initiative started in 2012 to enhance the ability of people, communities and countries to face recurrent crises and engage the most marginalised areas into development. The overall objective of SHARE in Kenya is to contribute to the transformation of the management of drought and to substantially reduce its impact by supporting the Ending Drought Emergency national country programme and its objective to end drought emergencies in Kenya. The programme purpose is to support resilience capacity of communities living in drought prone areas of Kenya and will focus on: i) Strengthening community resilience capacity; ii) Safeguarding main community assets (livestock and water). The total amount of this project is of 39,627,359€.

### **Achievements in terms of resilience building**

Progress reports are available for the 3 on-going or just finalised projects below, which represent about 10,5% of the SHARE envelope in Kenya:

- Improving preparedness and prevention to drought in pastoralist and agro pastoralist communities of northern Marsabit County (10/2014-10/2016; EU contribution 1,188,000€; DFID co-financing).
- Reducing vulnerability of Turkana communities by raising their capacity for product development and value addition and enhancing market access (09/2014 – 05/2018; EU contribution 1,300,000€)
- Community Action for Improved Drought Response Resilience (10/2014-10/2017; EU contribution 1,746,891€)

However, these reports provide information only on activities implementation. They do not contain information on the results and impact achieved. No final or evaluation reports are available yet, to draw information on the impacts of these projects in terms of building resilience of the end beneficiaries.

### Gender approach:

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<sup>4</sup> RESET, Monitoring, Evaluation and Research (MER) Guidance Note (November 2015)

The progress report includes a section on the impact of the project on gender. However, given the early stage of the projects when the available progress reports were drafted, it was too early to provide information on their impacts on gender. It is however mentioned, for the pastoralist project, that gender inclusion is already part of the selection criteria in the targeting.

## **AGIR**

The Global Alliance for Resilience Initiative (AGIR) is the EU's regional resilience programme in the Sahel and West Africa, supporting 14 countries in strengthening resilience of the most vulnerable. It is a policy tool that aims at bringing regional and international stakeholders together 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 under the technical and political leadership of CILSS, ECOWAS, and the WAEMU.

EU provided €200 million under the West Africa RIP 2014-2020 (11<sup>th</sup> EDF). In addition, the operationalization of AGIR has been supported by other EU instruments including , ECHO's HIP, the Global Public Goods and Challenges Programme, the Instrument contributing to Stability and Peace, the Pro-Resilience Action Programme, the EU Emergency Trust Fund for Africa, etc.

## **Achievements in terms of resilience building**

The Regional Roadmap adopted in 2013 sets indicators to monitor progress of AGIR aim (i.e. to achieve 'Zero Hunger' by 2032), with the objectives of reducing chronic malnutrition by more than half, reducing acute malnutrition by more than two thirds, generalizing access to basic social services, and decreasing child mortality rate.

There is no quantitative information yet regarding the results of AGIR at the level of end beneficiaries. As mentioned on ECHO website, "*Following the adoption of the AGIR Regional Road Map, the priority is to translate the objectives agreed for the region as a whole into action to build resilience at national (and indeed community) level – reflecting the crucial importance of full national ownership of the AGIR agenda, with support from the regional organisations and international partners*"<sup>5</sup>. AGIR is used as a framework to design Country Resilience Priorities (CRP). Since the adoption of the Regional Roadmap, all 17 countries in Sahel and West Africa have launched the process to discuss and design their Country Resilience Priorities (CRP). By 2016 eight countries have adopted a CRP (Burkina Faso, Cabo Verde, Chad, Côte d'Ivoire, Gambia, Mali, Niger, and Togo) and three are in the process of adopting it (Guinea Bissau, Mauritania, and Senegal).

## **PSNP**

The Productive Safety Net Programme (PSNP) is a flagship program of the Government of Ethiopia in addressing chronic food insecurity in the country. It provides multi-annual predictable transfers, as food, cash or a combination of both. The PNSP has been

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<sup>5</sup> [http://ec.europa.eu/echo/what/humanitarian-aid/resilience/sahel-agir\\_en](http://ec.europa.eu/echo/what/humanitarian-aid/resilience/sahel-agir_en)

established in 2005. It is fully funded by external resources, coming from 10 Development Partners, including EU and WFP<sup>6</sup>. The EU allocation to PSNP (in 2010) amounted €62.9M. The project is now entering its fourth phase (PSNP I – II: 2005-2010, PSNP III: 2010-2015).

### **Achievements in terms of resilience building**

Available data indicates that so far, the PSNP has resulted in a substantial reduction of vulnerability among beneficiary households and improved resilience to shocks in food insecure areas of rural Ethiopia.

According to the WFP factsheet (2012), the PSNP has supported more than 9 million beneficiaries between 2005 and 2012. In 2011-12 the caseload was about 7.9 million clients. The Government reported that about 495,995 households graduated from PSNP between 2008 and 2012. The total allocation for its 2010-2014 phase amounted \$ 2.1 billion. Furthermore, the research conducted by IFPRI on PSNP's impacts, based on a panel of HH (beneficiaries and non-beneficiaries) in 68 woredas surveyed every 2 years from 2006 to 2014 indicates that:

- PSNP has contributed to an improvement of HH level of food availability and security, with lower food gap, higher diet diversity and increased per capita food and total consumption
- Improvements are not seen at the child level, i.e. little change in child nutritional outcomes due to PSNP, and child diet quality is still poor
- There is a lack of nutrition knowledge of mothers and the HH at large, notably as mother had no contact with health extension workers, and had not received information on good feeding practices.

The Implementation Completion and Results Report of PSNP III (World Bank, 2016) indicates among others the following achievements of PSNP:

- The PSNP reached 5.2 million beneficiaries in 2015 in 318 *woredas*, down from 7.8 million in 2010 due to graduation of many beneficiaries. Approximately 80 percent of households participated in public works and 20 percent benefited from direct support.
- In the *Highlands*, the impact evaluation showed that food security improved significantly in PSNP localities, with nearly all of this change occurring since 2010. The average PSNP public works beneficiary household in the sample reported a food gap of about three months between 2006 and 2010. This food gap dropped to 2.04 months in 2012 and 1.75 months in 2014
- The impact evaluations for the PSNP show positive trends in food security in the *Lowlands* (Afar and Somali). In both Afar and Somali, there has been an increase in the percentage of households reporting no food gap. However, the impact evaluation finds no statistically significant impact of the PSNP transfers on food security in these two Region, as a result of the shorter duration of program

<sup>6</sup> However, most of the funding comes from loans from the World Bank. (Comment from a RG member, April 2017)

implementation in these areas as compared to the highlands and, linked to this, weaknesses in targeting and implementation.

- Regarding improvement of resilience to shocks, the impact evaluation provides clear evidence that the PSNP has protected assets in the *Highlands*, and, in the case of poor households, led to an increase in livestock holdings. The impact evaluation for the *Highlands* found that PSNP participants markedly reduced their use of distress asset sales. In 2010, 54 percent of public works households reported making a distress sale of assets in order to meet food needs and 26 percent did so in order to obtain cash for non-food emergency needs. By 2014, these percentages had dropped to 25 and 13 percent, respectively. There is no strong evidence that the PSNP has protected assets in the *Lowlands*.

## **BRCiS**

The consortium “Building Resilient Communities in Somalia” (BRCiS) was formed in 2013, to address Somalia Communities’ long-term exposure to recurrent disasters and destitution. It is made of 5 international NGOs with long experience in Somalia, namely Save the Children, Concern Worldwide, Cooperazione e Sviluppo, the Norwegian Refugee Council and the International Rescue Committee.

The programme was initially funded by the UK Government (UKaid), to target directly 30,100 HH (around 210,700 individuals). In 2016, the EU provided the consortium with additional 3 years grant (€34M). From this additional funding, 37 new communities were incorporated in the programme, and 18 of the initial communities had their resilience activities scaled up. The support provided to the communities includes combinations of interventions related to Food Security, Livelihoods, WASH, nutrition, disaster risk reduction, natural resource management, and notably, an increased community capacity to organize and react to shocks. By May 2016, 24,222 HH were registered to the programme.

## **Achievements in terms of resilience building**

Given the recent contribution of the EU to the programme (2016), there is no EU progress or evaluation report available yet. However, 2 surveys took place in September 2014 and August-October 2015. They have been conducted in 41 communities.

The results of the surveys reveal notably that:

- The average food consumption score showed an improvement, passing from 37.2 in 2014 to 43 in 2015
- The mean HH dietary diversity score has improved from 5.5 in 2014 to 8 in 2015.
- The coping strategy index has improved, with an average gone from 13.53 in 2014 to 11.52 in 2015.
- The proportion of community members who agree that their community is able to resist and react to shocks was 40.8% in 2015 (vs. 13.2 in 2014)
- The number of HH with sufficient water throughout the year has increased for both drinking (+12.4%) and non-drinking water (+10.7%). The number of adults who use latrines of outdoor open spaces has increased by 13%, and the disposal of waste in open areas decreased by 12.1%

- Finally, the number of HH declaring that all members usually migrate decreased from 5.7% in 2014 to just 1.6%.

#### Gender approach :

The survey differentiates the indicators by livelihoods and gender of the head of the HH. Regarding the mean HH dietary diversity score, it tends to be higher for female-headed HH in urban areas, whereas in terms of coping strategy improvements, the lowest (best) score was found among the male-headed HH of pastoral groups.

### **SOMREP Somalia 2015 - 2017**

The Somalia Resilience Program (SomRep) is a multi-year effort by seven leading NGOs to tackle the challenge of recurrent droughts – and the chronic vulnerability that results – among pastoralists, agro-pastoralists, and peri-urban households across Somalia. In other words, the main objective is to revitalize and expand the Somali economy with a focus on livelihood enhancement, employment generation, and broad-based inclusive growth. Its purpose is to improve resilience and increase adaptive capacities for rural communities and urban households in Somalia to protect their livelihoods over continuing shocks. It is managed by a long-term consortium of seven leading NGOs, led by World Vision as a principal recipient and grants manager.

The program lasts five years and it targets 70 000 households (that is to say 420 000 people).

The program expects the following results: first vulnerability is reduced and livelihoods are enhanced for Somali pastoral, agro-pastoral and agricultural communities through rural rehabilitation and development. Secondly, livelihoods for communities in urban-context are enhanced in Somali. In order to achieve these results, several activities are carried out. For instance, the program supports the Somali Federal Government in developing a resilience strategy, and post-harvest handling, storage and marketing for livestock and other farm produce etc.

### **Achievements in terms of resilience building**

The mid-term review establishes a picture of the current situation. It gives us information about household characteristics, livelihood by districts, program participation, community and household assets. For instance, the report explains the current condition for access to water: It takes twice as much time to reach primary sources of water during dry season. In both dry and wet seasons, the most common source of water for livestock uses is unprotected surface water from rivers/ponds. Other indications about food security are given: Peri urban livelihood zone are shown to have the least food deprivation as compared to the other livelihood zones.

However, no quantitative data on the improvement of resilience building is provided.

#### Gender approach:

The gender issues are approached in these terms: “*The resilience of women and of other potentially more vulnerable groups is an additional challenge to overcome*”.

Gender is taken into account as a specific target i-e there is a specific focus on women and other vulnerable groups. It also means that there is for each tool a distinction between male and female respondent to make a gender distinction in the answer.

Moreover, gender analysis is recognized as a high priority but it has proven challenging for several reasons. Focus groups included woman and many of those interviewed for the quantitative surveys were female members of households. The field team consisted of male interviewers only which made interviewing women alone a difficulty, limiting the ability to capture gender-related differences. To better understand gender differences, it would be preferable to hold separate group discussions with men and women, as well as potentially to collect separate quantitative data for different household members.

### **Actions à court et moyen terme pour lutter contre la faim dans les régions en situation d'insécurité au Mali**

The EU financed project started in May 2012 with the objective to address the emergency situation faced by Mali due to a severe drought and the political instability. Within the general framework of the fight against hunger, the Food Assistance Projects, supported by the WFP, pursue the goal to allow vulnerable populations to strengthen their resilience capacities facing diverse shocks by giving them access to assets.

The program lasts from May 2012 to December 2012. It targets 84715 beneficiaries for the first phase I, and 401455 beneficiaries for the second phase.



## Achievements in terms of resilience building

The Final Report gives information about the activities implemented and the results achieved.

- In all regions, the number of community assets has increased between the reference period (April 2013) and the monitoring period (December 2013). This increase has reached 26% on average.
- Households participating to the programme have access to the assistance
- Households consume the provisions supplied: they used it for consumption in 89% of the cases. The share that is sold or traded is not significant since it represents 1%. As far as the other 12% are concerned, they are shared between members of the community.
- The cash distributed is primarily used to buy food for consumption
- More than 80% of this money is used for food, the other 20% are distributed between clothes, drugs and education.
- Almost 7 communities out of 10 (69%) prefer a mix food assistance (provisions and cash) since: there is a possibility to exchange provisions against cash or other products (for 59% of them); more dignity (41%); to fulfill their local food dietary habits (37%); transportation is easier (22%); and the possibility to buy seeds and/or agricultural inputs (4%).

### Gender approach:

The project ensured to avoid discrimination between men and women by giving women and men the same opportunities for leadership, management and participation at all levels of the project. When the cultural context was favorable, the project gave preference to women in the selection of beneficiaries and the management of activities. Women were targeted and participated in all phases of the project implementation. Women's associations were also supported by the project.

## **Evaluation décentralisée du programme d'assistance alimentaire pour la création d'actifs au Mali**

The Country Office (PB) of the World Food Program (WFP) in Mali has planned an evaluation of its Food Assistance Program for Asset Creation (3A). Program 3A aims to contribute to the resilience of populations vulnerable to shocks through the strengthening of their livelihoods. It covered the regions of Koulikoro, Sikasso, Kayes, Ségou and Mopti.

The program lasts from January 2013 to December 2015. It targets 911 526 beneficiaries.

## Achievements in terms of resilience building

- Effects of household transfers: the three available corporate indicators of the effects of transfers do not allow conclusions to be drawn from these data. The interviews in the villages showed that these transfers and the mobilization of the local labor force in the dry season made it possible to reduce the seasonal migrations of the young people. These migrations are one of the main sources of income in the dry season.
- Effects of the creation / rehabilitation of community assets: example of effects generated: improved supply of markets during the rainy season, expansion of rice

culture and market gardening areas, improved access to fish, improved pastures etc. The results of the March 2016 survey show that many households have failed to maintain limited or acceptable food consumption, suggesting that the expected effects of actions on livelihoods are not yet evident. Nevertheless, the qualitative trends observed during village visits and interviews with beneficiaries clearly show that the creation / rehabilitation of assets has already had effects. However, these results are insufficient and lack representativeness on all the intervention communities of Program 3A to draw definitive conclusions about the program's potential impact

#### Gender approach:

Most of the design documents for Program 3A over the period 2013-2015 do not address gender issues and do not set objectives for promoting equality and strengthening the position of women.

In practice, as discussed in Chapter 2.1.4, women's priorities have been effectively taken into account in participatory community planning.

A more in-depth analysis of gender issues and the potential impacts of actions on women should be considered.

## **Pro ACT**

### **Appui à la résilience des populations vulnérables au nord du Mali (volet agricole)**

It is a joint program between FAO and WFP. The main objective of the project is to contribute to the sustainable improvement of food and nutritional security of vulnerable populations in northern Mali (Mopti, Timbuktu, Gao).

The program lasts from June 2015 to December 2017. It targets 18 900 households expected beneficiaries. The total number of direct beneficiaries of the project is 113 400. The EU has allocated € 10 million.

The expected results of project interventions are the following:

- Livelihoods of vulnerable populations based on natural resources are protected, rehabilitated and strengthened
- Agricultural production systems adapted to shocks, climate change and variability are adopted by vulnerable populations
- Food and nutrition and nutritional practices of vulnerable populations in targeted areas are improved
- Income of vulnerable populations in targeted areas is increased
- The capacities of the stakeholders (technical services of the State, local authorities, communities, cooperating partners) are developed.

No quantitative data on the improvement of resilience building is provided.

Gender is not taken into account in the analysis, there is no gender approach.

## **Support measures for Food Security Thematic Programme/Annual Action Programme 2012**

## 1) Promotion des mécanismes de prévention et gestion des conflits pour une gestion pacifique et durable des ressources naturelles en Guinée Forestière

The main objective is to strengthen the mechanisms of inter-community resilience in an environment of peace and social cohesion in Guinea Forestiere. It is about promoting an environment where the various communities present can manage their conflicts peacefully. The intervention of DRC is based on three axes:

- Conflict Prevention / Management
- Self-promotion of target groups (resilience)
- Social cohesion and reconciliation

The program lasts from 1<sup>st</sup> November 2013 to 30<sup>th</sup> June 2015. It targets 518 members of the Peace Committees, 255 members of the AGR group Farmers / Breeders, 707 members group / individual Farmer, 118 members community structures, 15 State officials Farmers / Breeders, 150 members breeders, and 12 youth / women associations.

### Achievements in terms of resilience building

- All target groups before the end of the project regularly carry out their activities
- 75% of communities perceived an improvement in their living conditions at the end of the project.
- 79% of people have an improved perception of the level of community conflicts (violence, conflict, litigation, abuse, etc.).
- 75% reduction in inter-ethnic and / or land disputes resolved at the local level
- 75% of inter-ethnic and / or land conflicts are resolved through local peace mediation at the end of the project.
- 85% of conflicts over the sharing of resources managed peacefully by the Community bodies
- 15% increase in ethnic mix
- *By the end of April 2015, out of 148 conflicts reported, only 127 were resolved, a success rate of 86%.*

#### Gender approach:

Gender is taken into account in the context of violence against women and "gender-based" violence. In this context, both men and women are targeted in order to improve the living conditions of women.

## 2) Réinsertion socio-économique de 1826 jeunes ex-Kaleah et jeunes à risques en Guinée

The main objective is to contribute to the process of socio-eco reintegration of young people recruited illegally into the armed forces in 2010 and of youth at risk.

Specific objectives:

- Contribute to strengthening the socio-professional capacities of young ex-combatants and at-risk youth while ensuring their socio-psychological follow-up to facilitate their social reintegration.
- Support young graduates in vocational training centers in 2013 in their process of sustainable economic reintegration.
- Ensure the link between reintegration, vocational reintegration and the economic reintegration of young people.

The Program lasts from December 2013 to September 2015. It targets 1830 young adults between the ages of 16 and 33 that were identified in six cities in Guinea for technical training in 14 vocational centers.

### Achievements in terms of resilience building:

- The technical capacities and employability of the targeted young people are reinforced by assiduous participation in quality vocational training courses in specialized centers.
- The social reintegration of young beneficiaries is promoted through the setting up of socio-educational and psychosocial activities
- Local expertise is created and a vocational guidance and support / counseling service is set up in vocational training centers.
- Support the economic reintegration of young people already trained according to their expectations and abilities.
- Coordination between the various actors and the different aspects of the project is ensured through sustainable consultation mechanisms.

### Gender approach:

Gender is not taken into account in the analysis, there is no gender approach.

## 3) Appui à la mise en œuvre de l'Alliance globale pour la résilience (AGIR) – Sahel et Afrique de l'Ouest et au renforcement du Réseau de prévention des crises alimentaires (RPCA)

The overall objective of the action is to strengthen regional governance of food and nutrition security to improve the resilience of the Sahelian and West African populations.

Two specific objectives:

- Support for the implementation of the Regional Roadmap AGIR
- Energize and strengthen the RPCA

The program lasts from 1<sup>st</sup> January 2015 to 31<sup>st</sup> December 2017. The total cost of the action is estimated at € 6,000,000. The EU is committed to making a contribution of up to € 5,000,000.

No quantitative data on the improvement of resilience building is provided.

Gender approach:

Not defined.

**4) Système alimentaire durable et lutte contre la malnutrition dans la région de Dakar (SADMAD)**

The program aims to strengthen the resilience of food-vulnerable populations in the peri-urban area of Dakar by supporting the establishment of sustainable food systems and the promotion of local products with high nutritional value.

The expected results are:

- The most vulnerable students in four elementary schools have access to healthy and sustainable food through a mechanism that supports local producers.
- Students, teachers, parents and school canteen managers are aware of the importance of local, healthy and diverse food.
- Three streams of local products with high nutritional value are strengthened to penetrate the urban market of Dakar.
- Local elected officials in the Dakar region support family farming and contribute to reducing the vulnerability of the food system in their territory

The program lasts from January 2016 to September 2016. The amount of the program is CFAF 1,107,200.

No quantitative data on the improvement of resilience building is provided.

Gender approach:

Not defined.

**FSTP2 in the CILSS and ECOWAS Countries**

The overall objective of the Food Security Thematic Program phase 2 is that food security (FS) of poorer groups and most vulnerable is improved in the countries members of the ECOWAS, Mauritania and Chad. It also aims at supporting the countries in attaining the first MDG. The specific objective is that decisions and efficient strategies are implemented through the reinforcement of the regional and national stakeholders collecting and analysing data in the FS area. Three results are expected:

- 1) FS information is shared and this ends to making strategic decisions and allowing coordination in the actions. This result was reinforced in 2014 to include the inclusive programming of Countries Resilience Priorities process (CPR).
- 2) FS information systems collect information that is comparable and can be useful to support decision making. They have also enlarged their range of indicators.
- 3) Reinforce the capacities of the stakeholders of FS national systems to be able to analyse the factors of structural and conjunctural food insecurity.

The duration from the programme was from 3 February 2011 to 31 January 2015 with a total budget of 9.400.000€.

For this Programme the evaluation team has at its disposal a Mid-term Evaluation made in October 2014.

### **Achievements in terms of resilience**

The FSTP2 supported the AGIR process and achieved that two countries (Burkina Faso and Niger) have their Countries Resilience Priorities process ready. Moreover, the Ivory Coast and the Mali have identified their priorities in terms of Resilience. Togo and Senegal have started the discussions.

#### Gender approach:

Gender issues are barely treated in this FSTP2. It is one of the recommendation of the evaluation.

### **GCCA Ethiopia**

The programme complete name is Ethiopia Global Climate Change Alliance (GCCA) – Building the National Capacity and Knowledge on Climate Change Resilient Actions. This Alliance seeked to help Ethiopia achieve their vision of creating a climate resilient green economy (CRGE) by 2025 through capacity and sustainable land management.

The duration of the programme was from 31 January 2011 till 31 January 2016 with a total budget of the action of 8.627.478€.

The programme wanted to achieve the following three results:

- 1) EPA to foster climate change into policy, regulatory and strategic development of Ethiopian institutions;
- 2) A climate change knowledge base is development in order to stakeholders to build resilience to climate change;
- 3) Climate change activities in the context of the CRGE strategy are field tested, analysed and documented for up-scaling.

The tasks for Result 1 and 2 were not implemented as the Delegation Agreement with AFD didn't materialize. The programme was implemented for result 3 only by GIZ.

The evaluation team has a final evaluation in its possession for this programme.

## **Achievements in terms of resilience building**

This GCCA-E project targeted 34 pilot micro watershed in 10 Woredas in five regional states to develop, pilot and learn lessons over a four -year period of pilot project implementation between 2011 and 2016.

The conclusion is that CSA (climate-smart agriculture) piloting can be judged as successful as it would create triple-win situation by a combination of adaptation, mitigation and livelihood measures that would bring about improvements in the knowledge, capacity and practices of beneficiaries.

The climate-smart agriculture combinations (CSA) is defined as measures, that sustainably increase not only productivity, but at the same time increases resilience (adaptation) and reduces or removes greenhouse gases (mitigation).

The piloted projects measures are proven for high climate smartness effect, in the improved livelihoods, increased carbon emission reduction, and reduced vulnerability to climate change.

### Gender approach:

Not defined.

## **Programme d'appui à l'aide alimentaire et nutritionnelle des populations vulnérables des zones touchées par crise alimentaire de 2012 au Burkina Faso**

The programme objective was to furnish an assistance in cash and food to the households that are the most touched by the severe food insecurity in Burkina Faso.

The duration of the Action waq from 29 March 2012 to 28 March 2013 with a total budget of 4.800.000€.

The programme had two actions; on one side it made activities to give some money and food activities against work and from the other side it gave food in a targeted and free manner.

The expected results from activity 1 were:

- 31 980 beneficiaries from the activities to give some money and food activities against work have improved their resilience ;
- To restore 4 000 Ha of agriculture land;
- To rehabilitate 60 km of rural track;
- To prepare 50 Ha of shallows to improve the food security;

The expected results from activity 2 were: 74 100 beneficiaries could benefit from a targeted food aid programme during the 4 months of the hunger season.

The help from the EU entered in a larger programme financed by the WFP. The EU contribution corresponded to 26% of the total financed in this project of 18 514 724 Euros.

The evaluation team has in its possession the final evaluation report for this programme.

## **Achievements in terms of resilience building**

The activities of creation of productive assets, supported by the EU contributions, aimed at reinforcing the resilience of the households touched by the food crises of 2012. These activities touched 113 160 beneficiaries (PAM+EU) for a prevision of 123 000.

### Gender approach:

Not mentioned.

## **II. ECHO**

We focus the analysis on a selection of interventions from the inventory we created for this evaluation (see Annex C). We first selected the programmes with the biggest amounts. From these programmes we have then identified the decisions implemented in at least one of the 6 countries visited during the field phase. Finally, we identified the decisions for which evaluation reports and/or progress reports were available.

The resulting sample encompasses the following 10 programmes:

- 1) ECHO/ETH/BUD/2011/91016 Relief and targeted supplementary food assistance
- 2) ECHO/-HF/BUD/2012/91039 Support to Relief component of WFP Ethiopia Protracted Relief and Recovery Operation
- 3) ECHO/-WF/BUD/2012/91001 Emergency assistance to the populations severely affected by the 2012 food security and nutrition crisis in the West Africa Sahel region
- 4) ECHO/-WF/BUD/2012/91003 UNICEF Humanitarian Response to Sahel Nutrition Crisis
- 5) ECHO/-WF/BUD/2013/91019 UNICEF Humanitarian Response to Sahel Nutrition Crisis - continuum of 2012 Nutritional response and programs.
- 6) ECHO/-WF/BUD/2013/91043 Saving lives, reducing malnutrition, and protecting the livelihoods of vulnerable populations - World Food Programme
- 7) ECHO/-WF/EDF/2014/01000 Saving lives, Protecting livelihoods and Enhancing the Resilience of Chronically Vulnerable Populations
- 8) ECHO/-HF/EDF/2015/01001 Emergency Response Mechanism (ERM) IV in Ethiopia
- 9) ECHO/-HF/EDF/2015/01003 Protracted Relief and Recovery Operation (PRRO 200712) "Responding to Humanitarian Crisis and Enhancing Resilience to Food Insecurity" in Ethiopia
- 10) ECHO/-WF/BUD/2015/91048 UNICEF Nutrition response in the Sahel

These programmes represent 6% of the overall portfolio of the inventory (€157,2 M over €2 612 M).

For these programmes, we present below the information found on the results in terms of resilience building, with in addition a special attention on the gender approach



## **ECHO/ETH/BUD/2011/91016 Relief and targeted supplementary food assistance**

The main objective of the program is to end poverty and hunger in Ethiopia. It contributes to the reduction of malnutrition and mortality for children under five years of age. The goal of the emergency food intervention is to save lives in times of crisis. The relief programme protects the livelihoods of beneficiaries and enhances their resilience to shocks, and supports improved nutritional and health status of children, pregnant and lactating women and other vulnerable individuals.

According to the Government's latest Humanitarian Requirements Document (HRD) issued in July 2011, an estimated 4.5 million people in Ethiopia will require relief food assistance from July to December 2011. Of this total, World Food Programme (WFP) is targeting the needs of a maximum of 3.5 million people while the rest are to be assisted by other food assistance partners such as the NGO Consortium Joint Emergency Operation. To achieve its objective the total amount necessary is 145.968.928€. The programme started in July 2011 for nine months. It is a multi-donor action.

In order to achieve this goal, the programs expects that the targeted populations improve food consumption over assistance period.

For these programmes, we present the main information found on the results in terms of resilience building, with in addition a special attention on the gender approach.

### **Achievements in terms of resilience building**

The activities implemented in theory improve the resilience of populations through, for example, increased food production. According to the Final report the overall food security in the country had stabilized in 2012. The market supply has been improved: good rains in the pastoral and agro-pastoral areas leading to improved livestock condition, and the sustained humanitarian assistance. Nevertheless, no link between the relative improvement of the situation and the programme is done in the report. The report gives information about the implementation of the activities but no data related to resilience building are available.

#### Gender approach :

The programme targets "most vulnerable populations", specifying hereby that this includes women and children. WFP works with the implementing and other partners to take gender sensitivity into consideration such that females are not discriminated in targeting and distributions do not unduly increase the burden of work on females. WFP is committed to mainstreaming Gender throughout its operations and activities. WFP's Gender policy aims to strengthen and maintain an institutional environment that supports and encourages gender mainstreaming, to improve the effectiveness and sustainability of WFP programmes addressing hunger in partner countries, and to promote the integration of a gender perspective into food and nutrition policies, programmes and projects of partner countries and cooperating partners.

## **ECHO/-HF/BUD/2012/91039 Support to Relief component of WFP Ethiopia Protracted Relief and Recovery Operation**

The main objective of the programme is to save lives and protect livelihoods in emergencies. In order to achieve this goal, it expects three results:

- Distribution of food in sufficient quantity and quality to targeted women, men, girls and boys in conflict and disaster affected areas.
- Making women the holders of food entitlement and collectors of food assistance
- Provide institutional support for partners for strengthening use of early warning information for timely and appropriate response.

It started in May 2012 for a period of ten months. It is a multi-donor action. A total of 3.1 million people have received WFP food assistance over the reporting period, which is 155% of the original plan, due to humanitarian needs in the country higher than expected.

### **Achievements in terms of resilience building**

According to the final report, a worsening of the food security situation as compared to the beginning of 2012 was followed by an increase in the number of beneficiaries receiving food assistance from 2 to 3 million under the July-December 2012 HRD. From May 2012 to February 2013, a total of 5 rounds plus a bridging round in late 2012-early 2013 were distributed with full ration to a total of over 3 million people. Thanks to this response and in spite of the increased needs during the second half of 2012, the Food Consumption Score indicates an improved food consumption in 2012 as compared with the previous year (baseline).

Further, at the beginning of 2013, this continued assistance coupled with an improved 2012/2013 Meher harvest led to a significant decrease in the number of people in need of relief food for the first semester of 2013.

The result indicates that even if the food security situation of relief beneficiary households was improved with the consumption of staples and vegetables on daily basis and pulses on 4 or more days, the households still adopted some negative coping mechanisms such as reduction of portion of meal or reduction of number of meals per day. It is generally a result of sharing of resources at community level, which leads to the reduction of food rations in the beneficiary households.

Otherwise, as this report is a progress report we can find information about the activities implemented, but information about achievements in terms of resilience building are weak.

#### Gender approach:

Women are taken into account in the project. Gender consideration included in the new targeting guidelines and recommendations made by WFP to include women in distribution lists and as recipients of food rations appear to have been followed up efficiently by Government partners, local authorities and communities.

## **ECHO/-WF/BUD/2012/91001 Emergency assistance to the populations severely affected by the 2012 food security and nutrition crisis in the West Africa Sahel region.**

The Sahel region is prone to recurrent drought, floods, epidemics and conflicts, leading to generally high level of vulnerability, chronic food insecurity and malnutrition. These factors are further compounded by emerging challenges such as rising food and fuel prices and the effects of climate change, as well as socio-political instabilities, which further undermine populations' coping mechanisms.

In view of the impending crisis in the Sahel, the main goal of the programme is to assume food assistance to the most vulnerable populations affected by the 2012 food and nutrition crisis in the West Africa Sahel region. It prevents acute malnutrition and excess mortality of the most vulnerable persons, notably children under the age of 2 and pregnant and lactating women.

The programme takes place in Burkina Faso, Cameroon, Mali, Mauritania, Senegal, Niger and Chad. It lasts twelve months from January 2012. It targets in total 1 918 408 beneficiaries that are children 6-23 months and pregnant and lactating women (with a child under six months of age). This is considered an optimal approach to address a rapid deterioration of the food security and nutrition status of the most vulnerable persons affected by high food insecurity and living in areas with high GAM prevalence rates, and where they are expected to be affected at a large scale. It is a multi-donor action.

The programme expects three results:

- By contributing to WFP's Regional Response Framework for the Sahel 2012 Crisis, the targeted children aged 6-23 months and pregnant and lactating women (PLW's) in the affected countries timely access a daily ration of quality nutritious supplementary foods for a duration of 6 months during the most critical crisis period through a Blanket Supplementary Feeding Programme (BSFP).
- Adequate specialised human resources will ensure acceptable quality of all BSFP's and the complementary TFA activities, towards a satisfactory WFP's Regional Response Framework, 2012 Food Security and Nutrition Crisis in the Sahel.
- A comprehensive follow-up, monitoring and evaluation of the activities outlined in WFP's Regional Response Framework, 2012 Food Security and Nutrition Crisis in the Sahel, will notably allow for a clear measure of the BSFP's achieved performance and impact, including thanks to its complementary TFA activities.

## Achievements in terms of resilience building

Under the 2012 Sahel crisis response, a total of 2.36 million people benefitted from WFP's BSF programme in Burkina Faso, Cameroon, Chad, Mali, Mauritania, and Niger. This exceeds the plan of 1.9 million and represents therefore 123% of the plan.

Among the different countries, we notice an improvement in terms of Global Acute Malnutrition (GAM). The significant improvements in acute malnutrition rates among beneficiaries assisted during the crisis year highlights the positive impact of the BSF interventions, and the importance of an integrated approach to nutrition and food security interventions. So, available screening and monitoring data collected among beneficiary children suggests that in all four countries (Cameroon, Chad, Mali and Niger) interventions contributed to reducing or at least stabilizing the prevalence of acute malnutrition among at-risk beneficiary children during the peak of the crisis. What's more, throughout the intervention, the incidence of morbidity (diarrhea, fever, cough) and mortality among beneficiaries was consistently - and significantly - lower than that of non-beneficiaries.

So, the programme had a positive impact in terms of reducing food mortality, malnutrition and resilience building.

Gender approach: The programme targets "most vulnerable populations", specifying hereby that this includes women and children. There is no additional indication on gender.

## **ECHO-WF/BUD/2012/91003 UNICEF Humanitarian Response to Sahel Nutrition Crisis**

The UNICEF project supporting the Sahel region, was a regional and multi-donor initiative implemented in 2012, to face the food and nutrition crisis affecting Burkina Faso, Cameroon, Chad, Mali, Mauritania, Niger, Nigeria and Senegal. For these 8 selected countries, either a nation-wide response or regional actions were implemented.

The overall objective of this project is to address, thanks to live-saving interventions, the urgent needs of children under 5 years old and women affected by acute malnutrition in the Sahel. The programme purposes are both to (i) save lives of children and women affected by severe acute malnutrition and thus mitigate the effects of the crisis, and (ii) to prevent further malnutrition of vulnerable groups through actions aimed at building resilience among the affected populations.

The programme was first designed as a one-year programme (from April 2012 to April 2013), with a total budget of 18.500.000 EUR. The number of beneficiaries reached the number of 930.338, with the majority of direct beneficiaries being children under five years of age.

## Achievements in terms of resilience building

Two expected results of this programme were related to resilience. The first one is the improvement of **quality and impact of planned interventions** (Budget: 552.597,36 €). For instance, the production of reports on UNICEF and program partners' activities and follow-up actions through a Humanitarian Performance Monitoring was aimed at

capitalizing nutrition information. Moreover, a specific technical assistance was delivered to all Sahel countries regarding Resilience and Nutrition issue at the top of regional and national agenda in order to improve countries' capacity to recognize nutrition emergencies and their response to it.

Nevertheless, apart from the classification of these activities under the specific objective of building resilience among vulnerable populations, the report does not contain more information on broader results and impacts achieved thanks to these activities in term of resilience building.

The second result linked to resilience was the **coordination of nutrition prevention, treatment, policy and advocacy work** (Budget: 95.099,38 €). In this case, the following activities were implemented: (i) the definition in the annual work plan of all regional nutrition partners' roles and responsibilities, (ii) the holding of advocacy meetings with a special attention dedicated to "Resilience & Nutrition", (iii) annual literature reviews on nutrition and resilience, and the elaboration of a practical guide to place a resilience focus into nutrition policies and programs.

The guide mentioned above was evaluated as very useful to help partners and countries to put nutrition in the resilience agenda and to set up the first pillars of their resilience strategy and plans. The goal was to build a resilience approach for the region, including all sectors. Nevertheless, the report does not conclude on the achievement of this goal. Moreover, as far as the other activities are concerned, no information can be found on a direct link with results and impacts in terms of resilience building.

#### Gender approach:

Women are clearly identified as the main and direct beneficiaries of the programme, improving their health situation being the main objective. However, the report does not include any section on the impact of the project on gender.

### **ECHO/-WF/BUD/2013/91019 UNICEF Humanitarian Response to Sahel Nutrition Crisis - continuum of 2012 Nutritional response and programs**

This action is the continuum of the 2012 nutritional response in the Sahel. It was implemented in April 2013, for a duration of 14 months and a supplementary budget of 15.000.000 EUR. The idea was to keep the nutritional response on track and to continue increasing the coverage of the activities.

The overall objective was to continue to improve access to the treatment of Severe Acute Malnutrition for affected children under 5 years of age and women thanks to a support for National health systems.

More specifically, the purpose was to support and strengthen national capacities to manage acute malnutrition to avoid excessive mortality rates. In seven out of the nine Sahel countries (the same than for the previous plan, except for Mali), 727.031 people benefited from the programme. Once again, the majority of direct beneficiaries was children aged under 5 years.

### **Achievements in terms of resilience building**

The expected results of this programme were related to resilience since they targeted the improvement or consolidation of (i) the quality and coverage of severe and acute malnutrition treatments and their integration in national health systems, (ii) the nutritional inputs and essential drugs supply chains, products traceability and national accountability, (iii) the early warning systems and the nutrition security programming at national level.

In terms of results and impacts, few information is available. The only conclusion highlighted by the final report is that the nutrition dimension of resilience has been well integrated in different papers and strategies in the region. In particular, improving nutrition is one of the 4 pillars of AGIR (Global Alliance for Resilience Initiative in the Sahel). Moreover, guidance developed at regional level to support country dialogue for resilience integrate a nutrition vulnerability criteria. Finally, a better collaboration between regional and national institutions is experienced to develop national resilience roadmap.

However, nothing is said about the broader impact in terms of resilience building these results have had.

Gender approach:

Women are clearly identified as the main and direct beneficiaries of the programme, improving their health situation being the main objective. However, the report does not include any section on the impact of the project on gender.

### **ECHO/-WF/BUD/2013/91043 Saving lives, reducing malnutrition, and protecting the livelihoods of vulnerable populations - World Food Programme**

This WFP lean season response was elaborated in 2013, in order to address the chronic food insecurity situation in Niger (three major food and nutrition crises since 2005). In fact, seasonal periods, due to constrained access to food, drive the most vulnerable groups to consume reduced quality and quantity of food, to sell animals, agricultural products and/or parcels of land, to migrate and eventually to take children out of school.

Thus, the overall objective of the programme is to prevent an increase in malnutrition levels and to reduce the risk of mortality associated with this insecurity situation. At the same time, it is aimed at providing a food or cash-based safety net for very poor households to improve food consumption, protect assets, reduce the reliance on negative coping strategies, and reduce out-migration.

This strategy elaborated for a duration of 8 months (from May 2013) and with a total budget of 66.369.679 EUR, involved a shift towards resilience building and mitigation measures. 891.994 persons were targeted and assisted through the food/cash based safety net in the regions of Agadez, Diffa, Dosso, Maradi, Niamey, Tahoua, Tillaberi and Zinder.

## **Achievements in terms of resilience building**

The expected results in terms of resilience building were a better programmatic and geographic synergy, more strategic and operational partnerships, community participation and planning, and capacity building.

The final report concludes that programme operations contributed to the emergence of an integrated and coherent approach of building resilience in the medium and longer-term for both households and communities. Indeed, the programme has been developed in collaboration with UNICEF, FAO, UN Women and the Government of Niger (whose “3N initiative” focuses on resilience and nutrition), reinforcing then both programmatic and geographic synergy of activities across agencies and within agencies themselves.

Moreover, it appears that the safety nets contributed to resilience-building by (i) protecting the positive gains brought about through cash/food-for-asset, local purchasing, education, and nutrition treatment activities ahead of the lean season, (ii) supporting household food access, (iii) preventing a peak in acute malnutrition and mortality, and (iv) reducing the reliance on negative coping mechanisms which weaken the household financial and human capital.

### Gender approach:

The programme is aimed at protecting the most vulnerable groups, including pregnant and lactating women. In particular, gender concerns have been taken into account through the implementation of local committees composed of community members and established to follow up any concerns raised by communities regarding beneficiary selection and distribution. Sensitization campaigns have been undertaken to encourage women's active participation in local management committees. Further, cash assistance has been distributed largely to female recipients (as able), in order to support their bargaining power within the household.

However, the final report does not give conclusions on the achievement or not of these goals, thus the impact of this programme on gender cannot be assessed.

## **ECHO/-WF/EDF/2014/01000 Saving lives, Protecting livelihoods and Enhancing the Resilience of Chronically Vulnerable Populations**

This program financed the WFP with a protracted relief and recovery operation (PRRO 200583) to assist the poorest, most vulnerable people in Niger. This operation aimed at reducing the impact of seasonal stresses and prevent peaks of malnutrition. It was limited to the lean season safety net. This included targeted food assistance to the very poor in the most insecure areas and targeted supplementary feeding to children under 2 of poor households.

WFP had to target 119 communes where it was estimated that 1.6 people required assistance.

The programme started in April 2014 until December 2014 with a total budget of €12.2M.

## **Achievements in terms of resilience building**

One of the specific objective indicators concerned the resilience: “Improved access to livelihood assets has enhanced resilience and reduced risk of disaster and shocks of targeted food insecure communities and households: coping strategy index (baseline in May)”.

The target objective was >5 and the achieved value was 0.7. The coping strategy index (CSI) was well below the target value. This shows that WFP support during the lean season prevented beneficiary households from resorting to negative coping strategies, like reducing number of meals or selling their assets.

The studies made by WFP have shown that the most vulnerable households take up to three years or more to return to pre-crisis levels and WFP and partners have adapted the time frame for the projects accordingly.

### Gender approach:

Protection and gender concerns were incorporated in the design and implementation of the action.

WFP strove to ensure that cash entitlements were issued exclusively in women's names unless the household did not have an adult female member.

It mentions that some 97 percent of women collected cash for their households and 93 percent of ration cards were issued in women's name.

## **ECHO/-HF/EDF/2015/01001 Emergency Response Mechanism (ERM) IV in Ethiopia**

The Emergency Response Mechanism (ERM) IV in Ethiopia aims at bringing life-saving Water, Sanitation, and Hygiene (WASH), Nutrition, and Health responses to rapid onset emergencies, and is centered on coordination. It is implemented by a consortium led by IRC.

The programme started in January 2016 for 18 months and with a total budget of €10M.

The evaluation team has a progress report in its possession.

## **Achievements in terms of resilience building**

This programme mentions that while EU geographical resilience clusters work to ensure that communities are better prepared and equipped to absorb and respond to shocks, the ERM consortium will play a key role in responding to those shocks that cannot be absorbed by the said communities.



Gender approach:

The programme has a gender marker 2. The IRC requires its partners to adopt the gender approach, and reviews sub-grant proposals with this requirement as a key criterion for awarding a sub-grant.

### **ECHO/-HF/EDF/2015/01003 Protracted Relief and Recovery Operation (PRRO 200712) "Responding to Humanitarian Crisis and Enhancing Resilience to Food Insecurity" in Ethiopia**

This programme is implemented by WFP in Ethiopia. It has three components:

- Support the Government in Ethiopia in its efforts to prevent food and nutrition crises by enhancing the resilience of vulnerable communities. This component objectives are: (1) help affected households to reduce their impact to shocks by addressing their food needs; (2) support the PSNP households in improving food security and their resilience; (3) support households in reducing or stabilizing malnutrition among children under 5 and pregnant and lactating women.
- Support WFP Protracted and Relief Recovery Operation which provides food assistance to refugees (650 000 camp-based) by implementing a combined food and cash transfer modality.
- Support the Logistics Cluster to improve the logistics coordination and information management capacity.

The programme started in January 2016 and will last for 15 months with a total budget of €17M.

The evaluation team has a progress report in its possession.

### **Achievements in terms of resilience building**

The programme has a Resilience Marker of 2. The cash distributions have allowed some beneficiaries to open small shops and this has allowed the households to diversify their food basket.

Gender approach:

The programme has a gender marker 2. One part of the programme directly concerns pregnant and lactating women.

### **ECHO/-WF/BUD/2015/91048 UNICEF Nutrition response in the Sahel**

This programme finances the UNICEF strategy for nutrition in 6 countries in Sahel (Burkina Faso, Gambia, Mali, Mauritania, Niger and Senegal).

The principal objective of this project is to support the improvement of the quality of acute malnutrition management and the scaling up of services to reduce mortality linked to malnutrition, through integration within existing health structures.

The focus of this project is on nutrition service delivery; prevention package; supply and advocacy.

This project started in April 2015 until January 2016 with a total budget of €16M.

### **Achievements in terms of resilience building**

The programme has a Resilience Marker 2.

- In Burkina Faso, the actions are linked to wash, health and agriculture activities and contributed to build resilience of communities on nutrition and sensitive interventions during the 1000 days windows. The coverage of beneficiaries attained is 31%.
- In Mali, the project helped to build the resilience by improving their knowledge on prevention and treatment of acute malnutrition in the awareness sessions conducted.
- In Niger, the action contributed to building resilience as it strengthened the capacity of health workers and community volunteers, which was translated into the promotion of good feeding practices at the level of communities. Moreover, Niger's first ever multisectoral nutrition security policy was developed which is an integrated approach to tackling under-nutrition.
- Finally, in Lake Chad the region demonstrated the importance of local capacity development for nutrition to ensure resilience of systems and communities.

#### Gender approach:

The programme has a gender marker 2. UNICEF asks its partners under this project to:

- Integrate gender considerations (data breakdown by age, sex and diversity);
- Incorporate protection strategies against sexual and gender-based violence;
- Promote active participation of women in humanitarian assistance.

# **Annex I: Cross-cutting issues in CSPs and National Resilience strategies**

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This annex provides an overview of how cross-cutting issues (i.e. gender, good governance and human rights) have been considered in EU Country Strategy Papers and in the resilience strategies developed by development partners with the support of the EU.

The annex is organized as follows:

- 1) Cross-cutting consideration in the Country Strategy Papers (CSPs) of the 6 countries visited during the field phase (Burkina-Faso, Ethiopia, Kenya, Mali, Niger, Somalia), for the 10<sup>th</sup> (2008-2013) and the 11<sup>th</sup> (2014-2020) EDF
- 2) Cross-cutting consideration in Resilience strategies resulting from EU support through resilience flagship programmes:
  - 7 Country Resilience Priorities - CRPs (AGIR): Burkina Faso, Chad, Côte d'Ivoire, Gambia, Mali, Niger, and Togo; and
  - 7 Country Programming Papers – CPPs (SHARE): Djibouti, Ethiopia, Kenya, Somalia, Sudan, South Sudan and Uganda

## 1. Cross-cutting consideration in the Country Strategy Papers

Country	10th EDF 2008-2013			11th EDF 2014-2020		
	Gender	Governance	Human rights	Gender	Governance	Human rights
<b>Ethiopia</b>	Cross-cutting issue  €10 million	Focal sector	Cross-cutting issue	Cross-cutting issue	Cross-cutting issue  €525 million for civil society and synergetic governance	Human rights issues are included under the cross-cutting issue “Civil Society and synergetic governance”.
<b>Kenya</b>	Cross-cutting issue	Cross-cutting issue  €9.2m for Good governance and support for non-State actors	Cross-cutting issue	Cross-cutting issue	Focal Sector	Not mentioned
<b>Somalia</b>	Cross-cutting issue	Focal sector	Taken into account under the focal sector “Governance”	Cross-cutting issue	Focal Sector	Cross-cutting issue
<b>Mali</b>	Cross-cutting issue	Focal sector  11% of the budget	Cross-cutting issue	Cross cutting issue	Focal sector	Identified as a priority but no specific actions.
<b>Niger</b>	Gender issues are included under the focal sector “Governance”	Focal sector	Human rights issues are included under the focal sector “Governance”	Cross cutting issue	Focal sector  €100 million	Human rights issues are included under the focal sector “Governance”
<b>Burkina Faso</b>	Cross-cutting issue	Focal sector  10% of the budget	Cross-cutting issue	Cross-cutting issue	Focal sector  € 325 million	Human rights issues are included under the focal sector “Governance”

## 2. Cross-cutting consideration in Resilience strategies resulting from AGIR (PRP) and SHARE (CPP)

Country	Document	Gender	Good governance	Human rights
Djibouti	CPP	Cross-cutting issue	Cross-cutting issue	Not mentioned
Ethiopia	CPP	Cross-cutting issue	Cross-cutting issue	Not mentioned
Kenya	CPP (2012)	Cross-cutting issue	Not mentioned	Cross-cutting issue
	CPP (2015)	Cross-cutting issue	Taken into account under the pillar "Disaster risk reduction"	Cross-cutting issue
Somalia	CPP	Cross-cutting issue	Taken into account under the priority intervention area "Conflict Resolution and Peace building"	Not mentioned
Uganda	CPP	Cross-cutting issue	Taken into account under the priority intervention area "Access to Basic Social Services"	Not mentioned
South Sudan	CPP	Cross-cutting issue	Cross-cutting issue	Not mentioned
Republic of Sudan	CPP	Cross-cutting issue	Taken into account under the priority intervention area "Conflict resolution and peace building"	Not mentioned
Niger	PRP	Cross-cutting issue	Taken into account under priority intervention area "food security and nutrition"	Taken into account under the priority intervention area "Renforcer la gouvernance de la sécurité alimentaire et nutritionnelle"
Chad	PRP	Cross-cutting issue	Taken into account under priority intervention area "food security and nutrition"	Not mentioned
Togo	PRP	Cross cutting issue	Taken into account under priority intervention area "food security and nutrition"	Not mentioned
Mali	PRP	Cross cutting issue	Taken into account under priority intervention area "food security and nutrition"	Not mentioned
Cote d'Ivoire	PRP	Cross-cutting issue	Taken into account under priority intervention area "food security and nutrition"	Not mentioned
Burkina Faso	PRP	Cross cutting issue	Taken into account under priority intervention area "food security and nutrition"	Not mentioned



## Annex J: List of Persons met

### People Interviewed

SURNAME Name	Organisation
CUZON Jean-René	AFD
CHERRIER Cécile	Assist Coordinator and Social Protection Specialist
CONSTAS Mark	Cornell University - Chair of Resilience Measurement Technical Working Group, Associate Professor, Charles H Dyson School of Applied Economics
ZOUNDI Jean	CSAO/OCDE
HASS Pierre	DAERE ECOWAS
BARA Luiza	DEVCO
FISER Ben	DEVCO
GARRIDO RUIZ Fulgencio	DEVCO
FIEGE Thomas	DEVCO A4 Budget Support
AGNE Stephan	DEVCO B7
LAUTURE Jean-Jacques	DEVCO B7
MOUSSY Patrice	DEVCO C1
PIRAS Pierpaolo	DEVCO C1
SEITZ Jules	DEVCO C1
THOMAS Philippe	DEVCO C1
HALKIN Jean-Pierre	DEVCO C1, Head of Unit
KOVACS Agnes	DEVCO D2
DEMOOR Arnaud	DEVCO E2 Sahel
DEVAUX Stéphane	DEVCO E2 Sahel
MCLEAN Calum	ECHO – Food Assistance Advisor
MIEGE Beatrice	ECHO – Horn of Africa Desk
ALBERT Dominique	ECHO A4
BELLERS Roger	ECHO A4
NIZERY Gaëlle	ECHO D3
HEFFINCK Johann	ECHO Ethiopia – Head of Office
BERNARD Jerome	ECHO Regional Office
GOVAERT Nicolas	ECHO Regional Office
QUINTON Stéphane	ECHO Regional Office Dakar
HEATH Tim	EEAS
O'NEIL Brian	EEAS – Head of Cooperation EU Delegation to Nigeria
PIRKANNIEMI Olli	EEAS Africa
OLTHOF Willem	EEAS EUD Rome
HEBIE Amadou	EUD Burkina Faso

<b>SURNAME Name</b>	<b>Organisation</b>
MOGOLLON David	EUD Ethiopia
LAANOUNI Fatima	Ex consultant in DEVCO C1
AHMED Shukri	FAO
BURGEON Dominique	FAO
JUVANON VACHAT Etienne	FAO
WABBES Sylvie	FAO – Chargée d’urgences et réhabilitation
DAVID Patrick	FAO - Deputee Regional Director
RUSSO Luca	FAO - Strategic Adviser Resilience Programme Management Team
JACKSON Julius	FAO – Technical Officer (Protracted Crises)
TRAUTMANN Henrike	HoU ECHO A4
SOULE BIO Goura	Hub Rural
MBODJ Yamar	Hub Rural - Director
REMY Philippe	IFAD - CPM Mali Mauritanie
TELAHIGUE Noufel	IFAD - Environment and Climate expert for West and Central Africa
FRANKLIN Henrik	IFAD - Lead Portfolio Advisor East/Southern Africa (ESA)
CHINIEN Shirley	IFAD - Lead regional economist ESA
WILLIAMS Leon	IFAD – Partnership Officer, Mobilisation Office
HUSSEIN Karim	IFAD - Policy and Strategy Adviser – SKD
MUKONYORA Bernadelle	IFAD - Programme Analyst ESA Economy Advisor Team
GARBERO Alessandra	IFAD – Senior Econometrician
BLEIN Roger	Issala - Consultant
KURTZ Jon	Mercy Corps - Director of Research and Learning
CHASTRE Claire	Nutrition Advisory Services (NAS)
HAZARD Eric	SCF Advocacy and Campaigns coordinator in WA, ex WA Food security campaign coordinator for Oxfam
FRANKENBERGER Tim	TANGO International - President
BECK Tom	USAID – Head of Global Alliance
COLLINS Greg	USAID - Head of Resilience Secretariat
CAMILLIEN SAINT-CYR J.W.	USAID Regional Office Accra
OLIVERA George	USAID regional Office Accra
SAMKANGE Stanlake	WFP
CARRUCHI Volli	WFP – Chief, Assets Creation and Livelihoods Unit (OSZPR), Policy and Programme division



<b>SURNAME Name</b>	<b>Organisation</b>
CHOULARTON Richard	WFP - Chief, Climate and Disaster Risk Reduction Programmes (OSZIR), Policy and Programme Division
BURTET Mauricio	WFP - OSZ Policy and Programme
BEDINI Fabio	WFP - OSZIR
RONCHINI Scott	WFP - OSZPR
GENTILE Jean-Noel	WFP - OSZPR (Asset creation and Livelihoods Unit)
FONTAINE Damien	WFP – P4P Office

### ISG-Members

<b>SURNAME Name</b>	<b>Organisation</b>
LAUTURE Jean-Jacques	DEVCO B7
PIRAS Pierpaolo	DEVCO C1
THOMAS Philippe	DEVCO C1
KOVACS Agnes	DEVCO D2
DILLON Bridget	DEVCO Evaluation Unit
OSIAC Roxana	DEVCO Evaluation Unit
HAMAN Gabin	DEVCO Evaluation Unit
ALBERT Dominique	ECHO A4
NIZERY Gaëlle	ECHO D3
PEREYRA Petra	ECHO D3
PIRKANNIEMI Olli	EEAS Africa
GIRBAU RONDA Clara	EEAS Africa 3
AGNE Stephan	DEVCO B7
QUENTREC Helene	DEVCO C1
FEIGE Thomas	DEVCO 03
OLTHOF Willem	EEAS EUD Rome
HEBIE Amadou	EUD Burkina Faso
MOGOLLON David	EUD Ethiopia
BELLERS Roger	ECHO A4

### Participants to the Workshop on the Theory of change (3<sup>rd</sup> March 2016)

<b>SURNAME Name</b>	<b>Organisation</b>
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PIRAS Pierpaolo	DEVCO C1
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OSIAC Roxana	DEVCO Evaluation Unit
ALBERT Dominique	ECHO A4
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PEREYRA Petra	ECHO D3
PIRKANNIEMI Olli	EEAS Africa

**Burkina Faso**

<b>SURNAME Name</b>	<b>Organisation</b>
ALLIOU Ibahima	APESS
OUMAR Modibo	APESS
BIKIENGA Martin	CILSS
ALPHA Arlène	CIRAD
OUEDRAOGO Ignace	Denmark Embassy
BARBE Thierry	DEVCO
HEBIE Amadou	DEVCO
IMPENS Wim	DEVCO
OUEDRAOGO Fanta	DEVCO
PITOIS Eric	DEVCO
FRANSEN Wim	ECHO
ILBOUDO Abdoulaye	ECHO
BEZIZ Pierre	EUD
CASTERAN Marc	EUD
LEASSOU Bamba	FAO
ONGONE OBAME Aristide	FAO
SAVADOGO Madi	FAO
TRAORE Diane	FAO
MAYER Jorg	German Embassy
KABORE Claire	Gret
GORAI DIALLO Ismaël	HELP
RAULAND-YAMBRE Kristina	HELP
NIKIEMA Karine	IFAD
AMOS Kienou	Ministère de l'Agriculture
MAIGA Moussa	Ministère de l'Agriculture
PARE Souleymane	Ministère de l'Agriculture
ZONGA Abdoulaye	Ministère de l'économie et des finances
KABORE Omar	OXFAM
SOSTHENE Konate Papa	OXFAM
YOUGBARE Hadaogo	OXFAM
AL IBRAHIM Traore	SE-CNSA
GARBA Faroukou	Terre des Hommes
GARNIER Denis	UNICEF
PARYS James	USAID
WOZNIAK Shawn	USAID
OULDRAOGO Telesphore	WFP
SOUBUEGA Jonas	WFP
TAPSOGA Bernadette	WFP

## Ethiopia

<b>SURNAME Name</b>	<b>Organisation</b>
CARMEILLE Aurélie	ACF
HANDLEY Sieke	CARE
TADESSE Teyent	CARE
CORCORAN Kate	CONCERN
HAVERKORT Ton	CORDAID
KASSO Ibrahim	DanChurchAid
CARRERAS SEQUEROS Francisco	DEVCO
DE BECO Segolène	DEVCO
GOLUBOVICH Branko	DEVCO
GUIXE Imma	DEVCO
JALLETA Teriessa	DEVCO
LECHIGUERO Luis	DEVCO
MOGOLLON David	DEVCO
REGASSA Yohannes	DEVCO
ALLAHOURY Amadou	FAO
SHITAYE Edmealem	IDDRSI
MINTEN Bart	IFPRI
NIBBERING Jan Willem	Netherlands Embassy in Ethiopia
DABI Nophote	OXFAM
WOLDEMARIAM Alema	Rural Financial Service TA of PSNP4
CULLIS Adrian	TUFTS University
BAH Alhaji	UNICEF
SCOTT Nathaniel	USAID
FARNSWORTH Catherine	USAID OFDA
JOHNSON Kelly	WB
AYLIEFF John	WFP

## Kenya

<b>SURNAME Name</b>	<b>Organisation</b>
GAUTSCH Klaus	DEVCO
LEDROIT Pascal	DEVCO
OTIENO Samora	DfID
HABERS Erik	ECHO
LE GALLO Quentin	ECHO
MAINA Eunice	ECHO
LUNDGAARD Torben	Embassy of Germany

<b>SURNAME Name</b>	<b>Organisation</b>
FOLKUNGER Elisabeth	Embassy of Sweden
SIMPKINS Piers	FAO
GOODMAN Ric	HSNP
LUMINARI Luigi	National Drought Management Authority
MBURU	National Drought Management Authority
OBUNDE Paul	National Drought Management Authority
OTIENO	National Drought Management Authority
NJUGUNA Mary	SNV
NJOROGE Ernest	USAID
DUEHNAN Wilhelm	VSF Germany
KEBOYE Maurice	VSF Germany

## Mali

<b>SURNAME Name</b>	<b>Organisation</b>
PERGOUROU Hamadoun	AFD
DOLLO Samba	Commissariat à la Sécurité Alimentaire
FONTAINE Sylvie	DEVCO
KABDAOGO Abdoulaye	DEVCO
LHOSTE Céline	DEVCO
TASSIN PELZER Cécile	DEVCO
ANDREY Patrick	ECHO
DELESTRE François Xavier	EEAS
BROU Landry	FAO
COULIBALY Medhi	FAO
GUEYMARD Yves	French TA to Government
DIARRA Modibo	IRNSP, ex SUN coordinator
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TRAORE Martial	Aghrymet (CILSS)
YOUSSOUF Kane	Aghrymet (CILSS)
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DJIMRAOU Aboubacar	Care
DE MILLIANO Eric	CTB
BOULAMA Goni	DNPGCCA
DEGUEURCE Stéphane	DNPGCCA
PIECK Peter	DNPGCCA
YABILAN Maman	DNPGCCA
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KERESPARS David	ECHO
AVELLA Nicoletta	EUD
VILLA CHACON Juan José	EUD
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SEETHALER Lothar	Swiss Cooperation
KOUASSI Nicole	UNDP
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FARIYHA Farah	ACTED/ADESO
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GIBOURDEL Pauline	DEVCO
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THOMPSON Graham	DFID
BLACKWELL Heather	ECHO
OBERHAUS Lars	ECHO
OJIAMBO Sapenzie	ECHO
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BRADBURY Mark	Rift Valley Institute
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BUKERA Laurent	WFP
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JORDAN Georgina	World Vision
LANYON Andrew	World Vision





## Annex K: Bibliography

The following bibliography presents the list of documents consulted during the evaluation. It is presented by order of author (alphabetical) and then year (ascending).

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Flore Gubert	2016	How can development cooperation best address the root causes of irregular and forced migration in the medium to the long term? Presentation in Brussels, October 10, 2016
François Grünewald, Domitille Kauffmann, Bonaventure Gbetoho Sokpoh; Groupe URD	2008 - 2009	Evaluation of the DG ECHO Food Aid Budget Line. Evaluation Report
Fredrik Moberg and sturle hauge simonsen		What is resilience? An introduction to social-ecological research
FSNAU - FAO	2015	Somalia Food Security and Nutrition Analysis
G8 New Alliance for Food Security and Nutrition	2012	Cooperation Framework to Support the New Alliance for Food Security and Nutrition in Burkina Faso

Author	Year	Title
General Secretariat of the Council	2013	Council Conclusions on the EU Approach to Resilience
General Secretariat of the Council	2014	Fourth EU-Africa Summit 2-3 April 2014, Brussels Roadmap 2014-2017
General Secretariat of the Council	2015	Council Conclusions on Sahel Action Plan
General Secretariat of the Council	2015	Council conclusions on the Sahel Regional Action Plan 2015-2020
GFDRR Fall 2013 Consultative Group Meeting	2013	EU Approach to Resilience - Working better together – Challenging the way we work
Gouvernement du Burkina Faso		Plan National Multi Risques De Préparation Et De Réponse Aux Catastrophes Préparation, interventions de premiers secours, Réhabilitation et reconstruction
Gouvernement du Burkina Faso	2011	Programme National du Secteur Rural (PNSR) 2011-2015
Gouvernement du Burkina Faso	2013	Politique Nationale de Sécurité Alimentaire et Nutritionnelle
Gouvernement du Burkina Faso	2014	Loi N° 012-2014/An Portant Loi D'orientation Relative A La Prévention Et A La Gestion Des Risques, Des Crises Humanitaires Et Des Catastrophes
Gouvernement du Burkina Faso Ministere De L'action Sociale Et De La Solidarite Nationale	2013	Communication De Monsieur Le Ministre De L'action Sociale Et De La Solidarité Nationale A La Quatrième Session De La Plate Forme Mondiale Sur La Réduction Des Risques De Catastrophes
Gouvernement du Burkina Faso Ministère de la santé	2011	Plan National De Développement Sanitaire 2011-2020
Gouvernement du Burkina Faso Ministère de l'environnement et des ressources halieutiques	2015	Plan National D'adaptation Aux Changements Climatiques (PNA) Du Burkina Faso
Gouvernement du Burkina Faso Ministère de l'environnement et du cadre de vie	2007	Programme D'action National D'adaptation A La Variabilité Et Aux Changements Climatiques (PANA Du Burkina Faso)
Gouvernement du Mali		Plan National Multi Risques
Gouvernement du Mali, Partenaires techniques et financiers	2015	Protocole d'entente entre l'Etat du Mali et les partenaires techniques et financiers relatif au renforcement du dispositif national de sécurité alimentaire
Gouvernement du Niger		SNSDZSS (stratégie pour la sécurité et le développement des zones Sahélo - Sahariennes)



Author	Year	Title
Government - EU Joint		EU Joint Cooperation Strategy in Support of Kenya's Medium-term Plan 2014 - 2017
Government - UN Joint	2006	Government-UN Joint Emergency Flood Appeal For Somali Regional State
Government Of Kenya Ministry Of State For Special Programmes Office Of The President	2009	National Policy For Disaster Management In Kenya
Government of Puntland Somalia	211	Puntland Disaster Management Framework
Government of Republic of Kenya	2004	Support To NEPAD–CAADP Implementation
Government of Republic of Kenya	2010	Agricultural Sector Development Strategy 2010–2020
Government of Republic of Kenya	2011	National Food And Nutrition Security Policy
Government of Republic of Kenya	2013	National Climate Change Action Plan 2013 -2017
Government of Republic of Kenya	2013	National Environment Policy, 2013
Government of Republic of Kenya	2015	Kenya Green Economy Strategy and Implementation Plan (GESIP)
Harjeet Singh and Jessica Faleiro	2013	ActionAid's Discussion Paper on Resilience
HC3N	2012	Initiative 3N Pour la sécurité alimentaire et le développement agricole durables "les Nigériens nourrissent les Nigériens"
HC3N	2015	Bilan 2011-2015 de mise en œuvre de l'initiative 3N "Les Nigériens Nourrissent les Nigériens"
HC3N	2015	Priorités résilience pays (AGIR-NIGER)
HC3N	2016	Plan d'action 2016-2020 de l'initiative 3N, version provisoire
HC3N	2016	Plan d'actions 2016-2020 de l'I3N Atelier de partage
Hein de Haas	2007	Migration and development: A Theoretical Perspective
Hélène Berton	2016	Rapport de Mission Burkina Faso: support à la formulation du PASANAD
Herman Brouwer, Jim Woodhill, Minu Hemmati, Karèn Verhoosel, Simone van Vugt	2015	The MSP Guide. How to design and facilitate multi-stakeholder partnerships
HFA	2015	Rapport national de suivi sur la mise en œuvre du Cadre d'action de Hyogo (2013-2015)

Author	Year	Title
High-Level Expert Forum on Protracted Crises		A Joint Resilience Strategy For Somalia
Howard White	2009	Theory-Based Impact Evaluation: Principles and Practice
IBF International Consulting	2014	Study on the uptake of learning from Europe Aid's strategic evaluations into development policy and practice
ICF	2016	Evaluation of ECHO's intervention in the Sahel (2010 - 2014)
ICF International		Evaluation Sahel Strategy Executive Summary
ICF International	2014	Joint Evaluation of Drought Risk Reduction in the Horn of Africa and DIPECHO Central Asia and South Caucasus (2009 - 2013)
IDS in Focus Policy Briefing	2013	Making the Most of resilience
IFC - WB - BAD		Programme Pilote pour la Résilience Climatique (PPCR - Niger) Aide Mémoire Mission Conjointe Niamey - 28 juin - 07 Juillet 2010
IFPRI	2013	Understanding Resilience For Food And Nutrition Security
IGAD		Establishment of a Resilience Analysis Unit in the Horn of Africa - Concept note Draft
IGAD	2015	Chair Summary Draft- Short Version
ILRI	2015	The ILRI IBLI Program Status Update, Current Activities, Future R&D Agenda
Instituto Affari Internazionali	2016	The EU and the Global Development Framework. A Strategic Approach to the 2030 Agenda
Interagency Resilience Working Group	2012	The Characteristics of Resilience Building
Intergovernmental Authority On Development (IGAD)		IDDRSI Thematic- Spider
Intergovernmental Authority On Development (IGAD)		IDDRSI Pillars
Intergovernmental Authority On Development (IGAD)	2013	Regional Programming Paper THE IGAD Drought Disaster Resilience And Sustainability Initiative (IDDRSI)
Intergovernmental Authority On Development (IGAD)	2013	The IDDRSI Strategy
Intergovernmental Authority On Development (IGAD) Secretariat	2013	IDDRSI Annual Action Plan 2013

Author	Year	Title
Intergovernmental Authority on Development. (IGAD)		IGAD Regional Disaster Resilience and Sustainability Platform. For Coordinating and Monitoring the Implementation of the IGAD Initiative to End Drought Emergencies in the Horn of Africa
Internationa Alert, Mouvement Malivaleurs	2014	Soutenir une transition paisible sur le plan social, politique, culturel et économique
International cooperation & Development Info, DEVCO	2015	Budget Support. Food and Nutrition Security and Sustainable Agriculture
International Monetary Fund	2005	Kenya: Poverty Reduction Strategy Paper
International Monetary Fund	2005	Burkina Faso: Poverty Reduction Strategy Paper Poverty
International Monetary Fund	2007	Niger: Poverty Reduction Strategy Paper—2005 Status Report
International Monetary Fund	2008	Mali: Poverty Reduction Strategy Paper
International Monetary Fund	2008	Niger: Poverty Reduction Strategy Paper
International Monetary Fund	2008	Burkina Faso: Poverty Reduction Strategy Paper—Annual Progress Report
International Monetary Fund	2010	Kenya: Poverty Reduction Strategy Paper
International Monetary Fund	2011	The Federal Democratic Republic of Ethiopia: Poverty Reduction Strategy Paper: Growth and Transformation Plan 2010/11–2014/15 – Volume I
International Monetary Fund	2011	The Federal Democratic Republic of Ethiopia: Poverty Reduction Strategy Paper Growth and Transformation Plan 2010/11–2014/15 – Volume II
International Monetary Fund	2012	Burkina Faso: Strategy for Accelerated Growth and Sustainable Development 2011–2015
International Monetary Fund	2013	Mali: Poverty Reduction Strategy Paper
International Monetary Fund	2013	Niger: Poverty Reduction Strategy Paper
International Monetary Fund and International Development Association	2008	Burkina Faso Joint IDA-IMF Staff Advisory Note On The Poverty Reduction Strategy Paper Third Annual Progress Report
Isabel Vogel	2012	Review of the use of 'Theory of Change' in international development

Author	Year	Title
Isabel Vogel, Zoe Stephenson	2012	Appendix 3: Examples of Theories of Change
Istituto Afari Internazionali (IAI) and European Centre for Development Policy Management (ECDPM)	2016	A New EU Strategic Approach to Global Development, Resilience and Sustainability
James EBERLEIN	2011	A New Deal for engagement in fragile states
Japan International cooperation Agency (JICA)		Rural Resilience Enhancement Project (RREP)
Jawoo Koo, Carlo Azzarri, Sara Signorelli, Maria Comanescu, and Zhe Guo	2016	Open Data Infrastructure for Resilience Analysis: Implementation, Examples, and Case Studies in Kenya
Jerome Bernard, Massimo La Rosa (ECHO)	2015	Étude exploratoire des initiatives de protection sociale dans les États les plus fragiles et affectés par les conflits (FCAS): Étude de cas du Mali
John Mayne	2015	Useful Theory of Change Models
John Osgood Field	1987	Multisectoral Nutrition planning: a post-mortem
John Wilding (TL), Jeremy Swift, Hans Hartung, AGEG Consultants eG	2009	Mid Term Evaluation of DG ECHO's Regional Drought Decision in the Greater Horn of Africa
Jörn Birkmann	2006	Measuring vulnerability to promote disaster-resilient societies: Conceptual frameworks and definitions
Joshua Massarenti, Damien Helly	2015	Coordonner la coopération dans le Sahel
Julia Steets, James Darcy, Lioba Weingärtner, Pierre Leguéné	2014	Strategic Evaluation FAO/WFP Joint Evaluation of Food Security Cluster Coordination in Humanitarian Action
Katherine Haver, Adele Harmer, Glyn Taylor, Tanya Khara Latimore	2013	Evaluation of European Commission integrated approach of food security and nutrition in humanitarian context
Katherine Haver, Tim Frankenberger, Martin Greeley, Paul Harvey	2012	Evaluation and review of DG ECHO financed livelihood interventions in humanitarian crises
Laurent Bossard	2012	The Security-Development Nexus Regional Challenges
Lim Li Ching, Sue Edwards and Nadia El-Hage Scialabba	2011	Climate Change and Food System Resilience in Sub-Saharan Africa

Author	Year	Title
Lino Briguglio, Gordon Cordina, Stephanie Bugeja, Nadia Farrugia	2012	Conceptualizing and Measuring Economic Resilience
Lisa Smith, Tim Frankenberger, Ben Langworthy, Stephanie Martin, Tom Spangler, Suzanne Nelson, and Jeanne Downen	2015	Ethiopia Pastoralist Areas Resilience Improvement and Market Expansion (PRIME) Project Impact Evaluation - Baseline Survey Report Volume 1
Lisa Smith, Tim Frankenberger, Ben Langworthy, Stephanie Martin, Tom Spangler, Suzanne Nelson, and Jeanne Downen	2015	Ethiopia Pastoralist Areas Resilience Improvement and Market Expansion (PRIME) Project Impact Evaluation - Baseline Survey Report Volume 2
Lisa Woodson, Tim Frankenberger, Lisa Smith, Mark Langworthy and Carrie Presnall	2016	The Effects of Social Capital on Resilience Capacity: Evidence from Ethiopia, Kenya, Uganda, Niger and Burkina Faso
Mahalmadoun Hamadoun	2016	Plan de Travail 2016-2020 Analyse et Mesure de la Résilience au Sahel et en Afrique de l'Ouest
Marcus Manuel	2015	Implementing the new development framework in countries affected by conflict and fragility
Mark A. Constas, Jenn Cisse, Erwin Knippenberg and Katie Downie	2016	A Focused Review of Methodologies to Measure Resilience: An Analysis of Conceptual Presentations, Indicators, and Estimation Procedures
Mark Constas, Joanna Upton, Erwin Knippenberg and Katie Downie	2016	Classification of Indicators for Resilience Analysis: An Assessment of Selected Data Sources Focused on Arid and Semi-Arid Lands
Mark Constas, Tim Frankenberger, Erwin Knippenberg and Katie Downie	2016	Building Better Connections between Theories of Change and the Empirical Demands of Evidence- Based Decisions: The Case of Kenya's Policy on Ending Drought Emergencies
Michael Bamberger, Jos Vaessen, Estelle Raimondo	2016	Dealing with Complexity in Development Evaluation: A Practical Guide
Michael Clemens	2014	Does Development Reduce Migration?
Mikkel Hermansen, Oliver Röhn	2015	Economic resilience: The usefulness of early warning indicators in OECD countries

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Ministère de l'Economie et de l'Action Humanitaire	2013	Revue annuelle du CSCRP 2012-2017
Ministère de l'Economie et des Finances Burkina Faso	2014	Rapport de Performance à mi parcours de l'année 2014 SCADD
Ministère de l'Economie et des Finances Burkina Faso	2015	Rapport sur l'Etat de l'Avancement de la réalisation des mesures et actions 2014 de la matrice de performance de la stratégie de croissance accélérée et de développement durable (SCADD)
Ministry of Agriculture Addis Ababa Ethiopia	2012	Ethiopia Country Programming Paper To End Drought Emergencies In The Horn Of Africa
Ministry of Agriculture Addis Ababa Ethiopia	2012	Country Programming Paper To End Drought Emergencies In The Horn Of Africa
Ministry of Finance and Economic Development	2014	Growth and Transformation Plan Annual Progress Report for F.Y. 2012/13
Ministry Of Planning And International Cooperationthe Federal Republic Of Somalia		The Somalia National Development Plan (iPRSP Compliant) 2017-2019 Guidelines and Management Arrangements
Monitoring and Evaluation Department, Ministry of Devolution and Planning, Kenya	2015	First Annual progress report 2013-2014 On the Implementation of the Second Medium Term Plan (213-2017) of the Kenya Vision 2030
Nathan Jensen, Christopher Barrett, Andrew Mude	2015	The favourable impacts of Index-Based Livestock Insurance: Evaluation results from Ethiopia and Kenya
National Drought Management Authority (NDMA)		Drought Contingency Funds for early response
NEPAD	2009	Partnerships in support to Comprehensive Africa Agriculture Development Programme (CAADP) - Pillar III. Framework for African Food Security (FAFS)
NEPAD	2014	Synthesis of the Malabo Declaration on African Agriculture and CAADP
Nicoletta Stame	2004	Theory-based Evaluation and Types of Complexity
NPC		National Development Plan 2030 - Our Future make it work
OCHA, Groupe URD	2014	Messages clés de la table ronde sur l'Accès et l'Espace humanitaire au Mali
ODI	2015	La Nina Consortium End of Phases III and IV Evaluation
OECD	2015	States of Fragility 2015. Meeting Post-2015 Ambitions

Author	Year	Title
Oliver Röhn, Aida Caldera Sánchez, Mikkel Hermansen, Morten Rasmussen	2015	Economic resilience: A new set of vulnerability indicators for OECD countries
Olthof	2012	SHARE share supporting horn of africa resilience
OMD		5 idées reçues à déconstruire sur les liens entre migrations et développement
OSZPR	2016	THEORY OF CHANGE - Food assistance For Assets (FFA)
OXFAM	2013	NO ACCIDENT Resilience and the inequality of risk
Oxfam	2016	Méthodologie HEA Cadre commun élargi, Burkina Faso
Particip	2015	Thematic evaluation of the EU support to environment and climate change in third countries (2007-2013)
Particip	2015	Evaluation thématique de l'appui de l'UE aux secteurs de l'environnement et du changement climatique dans les pays tiers (2007-2013)
Particip - Claude De Ville De Goyet, Annemarie Hoogendoorn, Alemtsehay Aberra Teklu, Sifan Abera Koriche Cost	2012	Evaluation of DG ECHO's actions in Ethiopia"
Pascale Schnitzer	2016	How to target in adaptive social protection systems? Relative Efficiency of Proxy Means Test and Household Economy Analysis in Niger
Patrick Andrey, Céline Lhoste		Mali: Strengthening resilience to food and nutrition insecurity in northern Mali
Peter Gubbels	2011	Echapper au cycle de la faim - Les chemins de la résilience au Sahel
Peter M. Schimann , Joanne Philpott	2007	Mid-Term Evaluation Of Dg Echo Financed Actions In The Greater Horn Of Africa (Gha)
Peter M. Schimann et Joanne Philpott AGE Consultants eG	2007	Mid-Term Evaluation Of Dg Echo Financed Actions In The Greater Horn Of Africa (Gha)
Pierre Van Roosbroek, Ruth Kaepler, David Coombs, Martin Caldeyro, John Ashley and Dominique Blariaux, Jean-Baptiste Laffitte from COWI Belgium, SAFEUGE, and CYE Consult	2012	EU Food Facility Final Evaluation



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PNUD	2014	Projet De Renforcement Des Capacités Nationales De Résilience Au Burkina Faso
Raffaello Cervigni, Michael Morris	2015	Affronter la sécheresse dans les zones arides de l'Afrique, Des possibilités de renforcer la résilience
Republic of Kenya		Ending Drought Emergencies: Common Programme Framework for Peace and Security
Republic of Kenya	2015	Ending Drought Emergencies: Common Programme Framework for Climate-Proofed Infrastructure
Republic of Kenya	2015	Ending Drought Emergencies: Common Programme Framework for Human Capital
Republic of Kenya	2015	Ending Drought Emergencies: Common Programme Framework for Sustainable Livelihoods
Republic of Kenya	2015	Ending Drought Emergencies: Common Programme Framework for Drought Risk Management
Republic of Kenya	2015	Common Programme Framework for Ending Drought Emergencies
Republic of Somaliland - Ministry of National Planning and Development	2011	Executive Summary National Development Plan (2012-2016)
République du Burkina Faso		Plan national de développement économique et social (PNDES) 2016-2020
Republique Du Mali		Plan Décennal De Développement Sanitaire Et Social (PDDSS) 2014-2023
Republique Du Mali	2012	Rapport National Sur Le Développement Durable Au Mali Dans La Perspective De Rio+20
Republique Du Mali	2013	Politique de Développement Agricole du Mali (PDA)
République du Mali	2011	Cadre Stratégique pour la croissance et la réduction de la pauvreté - CSCR 2012-2017
République du Mali	2013	Plan pour la Relance durable du Mali 2013-2014
République du Mali - Ministère de la santé	2013	Plan d'action multisectoriel de nutrition
République du Mali - Primature	2013	Programme d'Actions du Gouvernement (PAG) 2013-2018
Republique Du Mali Commissariat A La Securite Alimentaire	2005	Programme National De Sécurité Alimentaire (PNSA) de la période 2006-2015 1ère phase quinquennale (2006-2010)
Republique Du Mali Ministere De L'environnement Et De L'assainissement	2011	Politique Nationale Sur Les Changements Climatiques
Republique Du Mali Ministere De La Sante		Politique Nationale De Nutrition



Author	Year	Title
Republique Du Mali Ministere De La Solidarite, De L'action Humanitaire Et De La Reconstruction Du Nord	2014	Rapport National sur le développement Humain. Gouvernance socioéconomique, politique, sécuritaire et résilience à la crise 2012 au Mali. Enjeux et perspectives.
Republique Du Mali Ministere Du Developpement Rural Et De L'environnement		Stratégie Nationale De Sécurité Alimentaire Au Mali
Republique Du Niger	2006	Programme D'action National Pour L'adaptation Aux Changements Climatiques
Republique Du Niger	2007	Plan National D'action Pour La Nutrition 2007-2015
Republique Du Niger	2012	Politique nationale de Nutrition 2012-2021
Republique Du Niger	2012	Rapport D'évaluation A Mi-Parcours Du Projet Pana Résilience
République Du Niger - Cellule Crises Alimentaires	2011	Rapport des Projets d'Atténuation des Crises (PAC) 2010
République Du Niger - Cellule Crises Alimentaires	2012	Etat de mise en œuvre des actions du volet alimentaire du plan de soutien 2011-2012
Republique Du Niger Haut Commissariat A L'initiative 3n	2015	Priorités résilience du NIGER
Republique Du Niger Ministere De La Population, De La Promotion De La Femme Et De La Protection De L'enfant	2011	Politique Nationale De Protection Sociale
Republique Du Niger Ministere De L'elevage	2012	Stratégie De Développement Durable De L'élevage (2012-2035) Tome 1 : La Stratégie
Republique Du Niger Ministere De L'hydraulique Et De L'environnement	2011	Programme National d'Alimentation en Eau Potable et d'Assainissement PN-AEPA 2011-2015
Republique Du Niger Ministere Du Plan	1998	Plan National De L'environnement Pour Un Développement Durable
Republique Du Niger Ministere Du Plan, De L'aménagement Du Territoire Et Du Developpement Communautaire	2012	Note d'orientation sur la mise en œuvre du PDES 2012-2015

Author	Year	Title
Republique Du Niger Ministere Du Plan, De L'aménagement Du Territoire Et Du Developpement Communautaire	2012	Plan de Développement Economique et Social (PDES) 2012-2015 Synthèse
Republique Du Niger Ministere Du Plan, De L'aménagement Du Territoire Et Du Developpement Communautaire	2012	Projet De Programme Intérimaire De Cadrage De L'action Gouvernementale (PICAG) 2011-2012
RESET	2016	Resilience building and creation of economic opportunities in Ethiopia (RESET II) Ref: T05 -EUTF - HoA- ET -01 (CfP -2016)
Resilience Alliance	2010	Assessing Resilience in Social-Ecological Systems: Workbook for Practitioners
Resilience Measurement Technical Working Group	2013	Resilience Measurement Principles : Toward an agenda for measurement design
Resilience Measurement Technical Working Group	2014	A Common Analytical Model for Resilience Measurement - Causal Framework and methodological options
Resilience Measurement Technical Working Group	2015	Household Data Sources for Measuring and Understanding Resilience
Resilience Measurement Technical Working Group	2015	Qualitative Data and Subjective Indicators for Resilience Measurement
Resilience Measurement Technical Working Group	2015	Measuring Shocks and Stressors as Part of Resilience Measurement
Resilience Measurement Technical Working Group	2015	Systems Analysis in the Context of Resilience
Rob Francis, Peter Weston	2015	The social, environmental and economic benefits of Farmer Managed Natural Regeneration (FMNR)
Robert LeBlanc, Patrick Chaussepied, Basile Keita, Anneke Slob et Diego Ruiz.	2008	Evaluation De La Stratégie Régionale De La CE En Afrique De L'ouest

Author	Year	Title
Roger Blein, Bio Goura Soulé	2015	1ère évaluation indépendante de la Charte pour la Prévention et la gestion des Crises Alimentaires au Sahel et en Afrique de l'Ouest
RPCA	2015	Summary of Conclusions. 31st Annual Meeting of the Food Crisis Prevention network (RPCA) - Sahel and West Africa. Dakar, Senegal, 14-15 December 2015
Sahel - European Union		The European Union and the Sahel
Sara Signorelli, Carlo Azzarri and Cleo Roberts	2016	Malnutrition and Climate Patterns in the ASALs of Kenya: A Resilience Analysis based on a Pseudopanel Dataset
Sarah Borron	2006	Building Resilience For An Unpredictable Future: How Organic Agriculture Can Help Farmers Adapt To Climate Change
Save the Children	2013	Reducing risks, Enhancing Resilience - Save the Children and Disaster Risk Reduction and Climate Change Adaptation
Save the Children, Oxfam	2012	A Dangerous Delay, The cost of late response to early warnings in the 2011 drought in the Horn of Africa
Secrétariat Permanent du G5 Sahel (Najim Elhadj Mohamed)	2016	Réunion restreinte du réseau de prévention des crises alimentaires
Simon Levine	2014	Political flag or conceptual umbrella? Why progress on resilience must be freed from the constraints of technical arguments
Simon Levine	2014	Assessing resilience: why quantification misses the point
Simon Levine, Adam Pain, Sarah Bailey, Lilianne Fan	2012	The relevance of 'resilience'?
Simon Levine, Irina Mosel	2014	Supporting resilience in difficult places. A critical look at applying the 'resilience' concept in countries where crises are the norm
Siwa Msangi and Sara Signorelli	2016	Maintaining Resilience in the ASALs of Kenya: A Perspective on Stocking Rates in Extensive Livestock Systems
Som Rep		Enhancing resilience of households and communities in Somalia
State Minister for Environment, Office of the Prime Minister and Line Ministries and Ministry of Planning Federal Government of Somalia	2015	Somalia's Intended Nationally Determined Contributions (INDCs) State Minister

Author	Year	Title
Stéphane Quinton	2016	Rapport de mission: Identifier les avancées et les défis de mise en œuvre de l'agenda AGIR et sa déclinaison en PRP et proposer des réponses - MALI
Stéphane Quinton	2016	Rapport de synthèse résilience N°1 - Sahel
Sturle Hauge Simonsen, Reinette (Oonsie) Biggs, Maja Schlüter, Michael Schoon, Erin Bohensky, Georgina Cundill, Vasilis Dakos, Tim Daw, Karen Kotschy, Anne Leitch, Allyson Quinlan, Garry Peterson, Fredrik Moberg.		Applying resilience thinking - Seven principles for building resilience in social-ecological systems
Susan L. Cutter, Christopher G. Burton, Christopher T. Emrich	2010	Journal of Homeland Security and Emergency Management. Disaster Resilience Indicators for Benchmarking Baseline Conditions
Suzanne Nelson, Tim Frankenberger, Mark Langworthy, Tim Finan and Tom Bower	2016	The Effect of Livelihood Diversity on Recovery and Shock Impact in Ethiopia, Kenya and Uganda
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	2013	Joint Instruction Letter For The Attention Of Ambassadors Of EU Member States, Heads Of EU Delegations, Heads Of ECHO Field Offices In Crisis Prone Countries Regarding The Implementation Of The EU Approach To Resilience
The Directors General of ECHO & EuropAid	2014	Letter for the attention of the directors-general for development and humanitarian aid of European Union member states regarding the implementation of the EU approach to resilience

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The European Union Emergency Trust Fund For Stability And Addressing The Root Causes Of Irregular Migration And Displaced Persons In Africa		Action Fiche for the implementation of the Horn of Africa Window EUTF05 – HoA – REG – 20
The Federal Government Of Somali Republic Ministry Of Human Development And Public Services Directorate Of Health	2013	Health Sector Strategic Plan January 2013 – December 2016
The Federal Republic of Somalia		The Somali Compact
The Heidelberg Institute for International Conflict Research	2015	Conflict Barometer 2014
The World Bank		Potential Impact Of Climate Change On Resilience And Livelihoods In Mixed Croplivestock Systems In East Africa
The World Bank	2013	Building Resilience. Integrating Climate and Disaster Risk into Development
The World Bank	2014	The Republic Of Kenya Joint Ida-Imf Staff Advisory Note On The Vision 2030 Second Medium-Term Plan 2013-2017
Tim Frankenberger, Mark Langworthy, Tom Spangler, Suzanne Nelson	2012	Enhancing Resilience to Food Security Shocks
Tim Frankenberger, Suzanne Nelson	2013	Background Paper for the Expert Consultation on Resilience Measurement for Food Security
Tim Frankenberger, Suzanne Nelson	2013	Summary of the Expert Consultation on Resilience Measurement for Food Security
Tom Bower, Carrie Presnall, Tim Frankenberger, Lisa Smith, Vicky Brown and Mark Langworthy	2016	Shocks, Resilience Capacities and Response Trajectories Over Time
Transtec, Egis, HCL consultants	2014	Audit institutionnel et financier du DNSA du Mali

Author	Year	Title
UE, Ministère de l'Economie et des Finances du Burkina Faso, le Secrétariat technique de la SCADD et les représentants des partenaires fournisseurs d'appui budgétaire (Allemagne ; BAD ; Banque mondiale ; Danemark ; France ; Pays Bas ; Suède ; Suisse)	2016	Evaluation de l'Appui Budgétaire au Burkina Faso (2009-2014) - Rapport final - Volume 1
UKAID	2011	Defining Disaster Resilience: A DFID Approach Paper
UKAID	2012	Building Resilience in Ethiopia
UN	2005	Somalia 2005 - CAP Mid-Year Review
UN	2005	Niger 2005 -CAP Flash Appeal
UN	2005	Niger 2005 - CAP Appel global Revision
UN	2006	Somalia 2006 - CAP
UN	2006	Somalia 2006 - CAP Revision
UN	2006	Somalia 2006 - CAP Floods Response Plan
UN	2006	Horn of Africa 2006 Consolidated Appeals Process (CAP)
UN	2007	2007 Humanitarian Appeal for Ethiopia. A joint government and partners' appeal
UN	2007	Somalia 2007 - CAP
UN	2007	Somalia 2007 - CAP Revision
UN	2007	Burkina Faso 2007 - Floods Flash Appeal
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UN	2008	Somalia 2008 - CAP Mid-Year Review
UN	2009	Somalia 2009 - CAP
UN	2009	Somalia 2009 - CAP Mid-Year Review
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UN	2010	Somalia 2010 - CAP
UN	2011	Somalia 2011 - CAP
UN	2011	Somalia 2011 - CAP Emergency Revision
UN	2011	Somalia 2011 - CAP End-Year Review
UN	2011	Somalia 2011 - CAP Mid-Year Review
UN	2011	Niger 2011 - Appel global
UN	2011	Humanitarian Requirements for the Horn of Africa Drought

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UN	2012	Somalia 2012 - CAP
UN	2012	Somalia 2012 - CAP Mid-Year Review
UN	2012	Mali 2012 Appel Global
UN	2012	Niger 2012 - Appel global
UN	2012	Niger 2012 - Appel global Revision
UN	2012	Burkina Faso 2012 - CAP
UN	2013	Somalia 2013 - CAP
UN	2013	Somalia 2013 - CAP Mid-Year Review
UN	2013	Mali 2013 Appel Global
UN	2013	Mali 2013 Appel Global - Revue à mi-parcours
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UN	2013	Burkina Faso 2013 - CAP
UN	2013	Burkina Faso 2013 - CAP Mid-Year Review
UN	2014	Niger 2014 - Appel global Revision
UN	2014	Somalia 2014 - Strategic Response Plan
UN	2015	Plan de réponse humanitaire Burkina Faso Janvier - Décembre 2016
UN - EHP	2014	2014-2016 Plan de réponse stratégique Burkina Faso
UN - EHP	2014	2014-2016 Plan de réponse stratégique Burkina Faso - Révision
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State Minister for Environment, Office of the Prime Minister and Line Ministries and Ministry of Planning Federal Government of Somalia	2015	Somalia's Intended Nationally Determined Contributions (INDCs) State Minister



Author	Year	Title
The Federal Government Of Somali Republic Ministry Of Human Development And Public Services Directorate Of Health	2013	Health Sector Strategic Plan January 2013 – December 2016
The Federal Republic of Somalia		The Somali Compact
UN	2005	Somalia 2005 - CAP Mid-Year Review
UN	2006	Somalia 2006 - CAP
UN	2006	Somalia 2006 - CAP Revision
UN	2006	Somalia 2006 - CAP Floods Response Plan
UN	2007	Somalia 2007 - CAP
UN	2007	Somalia 2007 - CAP Revision
UN	2008	Somalia 2008 - CAP
UN	2008	Somalia 2008 - CAP Mid-Year Review
UN	2009	Somalia 2009 - CAP
UN	2009	Somalia 2009 - CAP Mid-Year Review
UN	2010	Somalia 2010 - CAP
UN	2011	Somalia 2011 - CAP
UN	2011	Somalia 2011 - CAP Emergency Revision
UN	2011	Somalia 2011 - CAP End-Year Review
UN	2011	Somalia 2011 - CAP Mid-Year Review
UN	2012	Somalia 2012 - CAP
UN	2012	Somalia 2012 - CAP Mid-Year Review
UN	2013	Somalia 2013 - CAP
UN	2013	Somalia 2013 - CAP Mid-Year Review
UN	2014	Somalia 2014 - Strategic Response Plan

### *Horn of Africa*

Author	Year	Title
Council of the European Union	2011	Council conclusions on the Horn of Africa
Enzo Caputo, Andrea Antonelli, Francesca Cook, John Clifton, Ivo Morawski, Michael Davenport.	2008	Evaluation Of The Commission's Support To The Region Of Eastern And Southern Africa And The Indian Ocean Regional Level Evaluation
European Commission		Regional Indicative Programme for Eastern Africa, Southern Africa and the Indian Ocean (EA, SA, IO) 2014-2020



Author	Year	Title
European Commission		Region of Eastern and Southern Africa, and the Indian Ocean. Regional Strategy Paper and Regional Indicative Programme 2008-2013
European Commission	2012	SWD(2012) 102 Final Commission Staff Working Document SHARE: Supporting Horn of Africa Resilience
European Commission - ECHO	2015	Humanitarian Implementation Plan (HIP) 2015. Horn of Africa
IGAD		Establishment of a Resilience Analysis Unit in the Horn of Africa - Concept note Draft
IGAD	2015	Chair Summary Draft- Short Version
Intergovernmental Authority On Development (IGAD)		IDDRSI Thematic- Spider
Intergovernmental Authority On Development (IGAD)		IDDRSI Pillars
Intergovernmental Authority On Development (IGAD)	2013	Regional Programming Paper The IGAD Drought Disaster Resilience And Sustainability Initiative (IDDRSI)
Intergovernmental Authority On Development (IGAD)	2013	The IDDRSI Strategy
Intergovernmental Authority On Development (Igad) Secretariat	2013	IDDRSI Annual Action Plan 2013
Intergovernmental Authority on Development. (IGAD)		IGAD Regional Disaster Resilience and Sustainability Platform. For Coordinating and Monitoring the Implementation of the IGAD Initiative to End Drought Emergencies in the Horn of Africa
Olthof	2012	SHARE share supporting horn of africa resilience
Peter M. Schimann , Joanne Philpott	2007	Mid-Term Evaluation Of Dg Echo Financed Actions In The Greater Horn Of Africa (GHA)
RESET	2016	Resilience building and creation of economic opportunities in Ethiopia (RESET II) Ref: T05 -EUTF - HoA- ET -01 (CfP -2016)
The European Union Emergency Trust Fund For Stability And Addressing The Root Causes Of Irregular Migration And Displaced Persons In Africa		Action Fiche for the implementation of the Horn of Africa Window EUTF05 – HoA – REG – 20
UN	2006	Horn of Africa 2006 Consolidated Appeals Process (CAP)

Author	Year	Title
UN	2011	Humanitarian Requirements for the Horn of Africa Drought
USAID	2013	Horn of Africa Joint Planning Cell Annual Report

### *Sahel and West Africa (ECOWAS)*

Author	Year	Title
African Union	2014	The African Union Strategy For The Sahel Region
AGIR - OECD	2013	Global Alliance for Resilience AGIR – Sahel and West Africa. Regional Roadmap, adopted on 9 April 2013
CEDEAO, UEMOA, CILSS	2016	Atelier régional de définition du cadre analytique de mesure de la résilience (AMR) au Sahel et en Afrique de l'Ouest - Rapport final
Damien Helly, Greta Galeazzi	2015	Avant la lettre? The EU's comprehensive approach (to crises) in the Sahel
ECHO	2015	AGIR - Building resilience in the Sahel & West Africa ECHO FACTSHEET
ECOWAS Commission	2008	The Regional Agricultural Policy (ECOWAP) and the Offensive for food production and against hunger
ECOWAS Commission	2008	La politique agricole régionale de l'Afrique de l'Ouest : l'ECOWAP
ECOWAS Commission	2009	International Conference on Financing Regional Agricultural Policy in West Africa (ECOWAP/CAADP)
ECOWAS Commission	2010	Strategic Action Plan For The Development And Transformation Of Livestock Sector In The Ecowas Region (2011-2020)
ECOWAS Commission	2011	ECOWAS Vision 2020 Towards a democratic and prosperous community
ECOWAS Commission	2011	Regional Strategic Plan 2011-2015
ECOWAS Commission	2011	Regional Strategic Plan 2011-2015. Proactive mechanism for change
ECOWAS Commission Department of Agriculture, Environment and Water Resources (DAERE)	2013	Accelerating ECOWAP/CAADP implementation Briefs on initiatives, projects and regional programs
ECOWAS Département de l'Agriculture, de l'Environnement et des Ressources en Eau	2012	Note d'orientation stratégique vers une sécurité alimentaire de proximité en Afrique de l'Ouest: "Faim Zéro en Afrique de l'Ouest"

Author	Year	Title
ECOWAS Humanitarian Affairs Department (DHA)	2006	ECOWAS Policy For Disaster Risk Reduction
EEAS		EEAS - Strategy for Security and Development in the Sahel
EEAS		EEAS - Stratégie pour la sécurité et le développement au Sahel
EU - ECOWAS	2008	La politique agricole régionale (ECOWAP) et l'Offensive pour la production alimentaire et contre la faim
European Commission		European Union - West Africa. Regional Indicative Programme 2014 - 2020
European Commission		European Community - West Africa. Regional Strategy Paper and Regional Indicative Programme 2008-2013
European Commission - ECHO	2015	Humanitarian Implementation Plan (HIP). West Africa
European Union External Action Service		Strategy for Security and Development in the Sahel
General Secretariat of the Council	2015	Council Conclusions on Sahel Action Plan
Joshua Massarenti, Damien Helly	2015	Coordonner la coopération dans le Sahel
Robert LeBlanc, Patrick Chaussepied, Basile Keita, Anneke Slob et Diego Ruiz.	2008	Evaluation De La Stratégie Régionale De La CE En Afrique De L'ouest
RPCA	2015	Summary of Conclusions. 31st Annual Meeting of the Food Crisis Prevention network (RPCA) - Sahel and West Africa. Dakar, Senegal, 14-15 December 2015
Sahel - European Union		The European Union and the Sahel
Secrétariat Permanent du G5 Sahel (Najim Elhadj Mohamed)	2016	Réunion restreinte du réseau de prévention des crises alimentaires
Stéphane Quinton	2016	Rapport de synthèse résilience N°1 - Sahel

*Other regional organisations (AU and CILSS)*

Author	Year	Title
AU	2004	Africa Regional Strategy For Disaster Risk Reduction
AU - New Partnership for Africa's Development (NEPAD)		Comprehensive Africa Agriculture Development Programme

Author	Year	Title
AU ISDR	2010	Programme Of Action For The Implementation Of The Africa Regional Strategy For Disaster Risk Reduction (2006 – 2015)
CILSS	2003	Mise en œuvre du Cadre stratégique de sécurité alimentaire durable dans une perspective de lutte contre la pauvreté au Sahel. Contribution du CILSS au Programme Quinquennal 2003-2007
CILSS	2013	Aperçu des principales réalisations du CILSS de 1973 à 2013
General Secretariat of the Council	2014	Fourth EU-Africa Summit 2-3 April 2014, Brussels Roadmap 2014-2017
Mahamadoun Hamadoun	2016	Plan de Travail 2016-2020 Analyse et Mesure de la Résilience au Sahel et en Afrique de l'Ouest
Roger Blein, Bio Goura Soulé	2015	1ère évaluation indépendante de la Charte pour la Prévention et la gestion des Crises Alimentaires au Sahel et en Afrique de l'Ouest