



PEACE, PROSPERITY AND
REGIONAL INTEGRATION

Intergovernmental Authority on Development

Joint Programming Document for the Resilience Analysis Unit



Food and Agriculture
Organization of the
United Nations



Empowered lives.
Resilient nations.



OCHA
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Programme summary

Country/region: Intergovernmental Authority on Development (IGAD) Region

Programme title: Resilience Analysis Unit (RAU) Programme

Joint programme outcome(s): Strengthen the capacity of IGAD, its Member States and other relevant stakeholders to undertake robust resilience analysis at the household, community and national levels for evidence-based programme and policy design, implementation and impact assessment in different Horn of Africa contexts.

Expected results:

- **Result 1:** Resilience dimension of the monitoring and evaluation framework is enhanced
- **Result 2:** Resilience research and networking are enhanced
- **Result 3:** IGAD Member States' resilience-related policies and programmes are strengthened
- **Result 4:** Technical capacity of IGAD and its Member States' institutions, United Nations agencies and other stakeholders to measure and analyse resilience is enhanced
- **Result 5:** Coordination and management structure of RAU is efficiently implemented.

Implementation period	January 2016–December 2018
Fund management options	The programme will operate under three funding modalities: parallel, pooled and pass-through arrangements. ¹
Total estimated budget (including both funded and unfunded)	USD 9,648,890
Source of funded budget (per agency)	FAO IGAD OCHA UNDP UNICEF WFP

¹ The specifications for this are provided in the UNDG guidance note on joint programming and fund management modalities.

Partners of the Regional Resilience Analysis Unit

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<p>Ms Leila Gharagozloo-Pakkala Regional Director, Eastern and Southern Africa United Nations Children's Fund</p> <p>Signature 23 October 2015</p> 	<p>Mr Lebogang Motlana Director, Regional Service Centre for Africa United Nations Development Programme</p> <p>Signature 23 October 2015</p> 	<p>Mr Pete Manfield Head of Office OCHA Regional Office for Eastern Africa</p> <p>Signature 23 October 2015</p> 

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Acronyms

CoBRA	Community-Based Resilience Analysis
ICPAC	IGAD Climate Prediction and Application Centre
CPPs	Country Programming Papers
ECHO	European Commission Directorate General for Humanitarian Aid and Civil Protection
FAO	Food and Agriculture Organization of the United Nations
FSIN	Food Security Information Network
IDDRSI	IGAD Drought Disaster Resilience and Sustainability Initiative
IGAD	Intergovernmental Authority on Development
LSMS	living standards measurement Study
M&E	monitoring and evaluation
NGO	nongovernmental organisation
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
RAU	Resilience Analysis Unit
RCA	Resilience Context Analysis
RIMA	Resilience Index Measurement and Analysis
RPP	regional programming paper
SAKSS	strategic analysis and knowledge support systems
PCU	Drought Resilience Platform Coordination Unit
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WFP	World Food Programme

Executive summary

The Horn of Africa region suffers periodic complex crises that often occur simultaneously, affect more than one country, can be protracted, and undermine development gains. A holistic and coordinated approach is needed, therefore, to build resilience to shocks and stresses emanating from such crises by addressing the underlying causes of vulnerability to drought and other hazards. In September 2011, the Heads of State Summit of the Intergovernmental Authority on Development (IGAD) established the Inter-Governmental Authority on Drought Disaster Resilience and Sustainability Initiative (IDDRSI) to end drought emergencies. IDDRSI, whose lifespan is 15 years, from 2013 to 2027, has the role to guide and inform the process of implementing drought resilience efforts at the national and regional levels.

The Resilience Analysis Unit (RAU) was launched in 2014 following a request by IGAD to its development partners, the Food and Agriculture Organization of the United Nations (FAO), United Nations Children's Fund (UNICEF), United Nations Development Programme (UNDP), World Food Programme (WFP) and United Nations Office for the Coordination of Humanitarian Affairs (OCHA). IGAD saw the necessity of such a unit to measure resilience, which has major implications on economic development and a big impact on the lives of vulnerable populations. The overall objective of RAU is to strengthen the capacity of IGAD and its Member States and development partners to measure and analyse resilience at different levels in support of policy development and programming and aligned with the IDDRSI pillar 5 on research, knowledge management and technology transfer.

One of the main lessons from the formation of IDDRSI was that there was a general lack of coordination of measurement and analysis of resilience activities across the region and over time and of unified strategies for such actions. In addition, the technical capacity for resilience planning and analysis was inadequate. The joint programme will build on the recent efforts by IGAD and its partners to operationalise RAU to serve as a technical hub for the measurement and analysis of resilience by Member States and their development partners, whose capacity to do this will also be developed. The joint programme has five interrelated result areas: (1) enhancement of the monitoring and evaluation (M&E) frameworks, which will focus on country programming papers and the regional programming paper, (2) resilience research and networking, (3) strengthening of IGAD Member States' resilience policy and programmes, (4) capacity development on resilience measurement and analysis, and (5) management and coordination of RAU.

Owing to the unique nature of the partnership arrangement, RAU's management approach focuses on coordination of the partners and activities rather than line administration. While functionally RAU falls under the IDDRSI steering committee, its day-to-day administration is overseen by a management advisory board that guides the RAU technical team, with support from the Regional Executive Council.

In line with the guidelines for joint programmes, RAU uses a combination of fund management approaches from the currently available options of parallel, pooled and pass-through arrangements.

The joint programme will be monitored to ensure delivery of the identified outcomes and outputs. RAU's result area 5 on management and coordination provides the necessary reporting mechanism for monitoring. Overall, the status and progress in the implementation of the entire programme will be reviewed annually jointly by the management advisory board and the RAU technical team, in accordance with the annual work plans and under the close supervision of the Regional Executive Council.

Resilience Analysis Unit overview

RAU is a multi-stakeholder regional technical hub providing strategic, cross-sectoral resilience analysis and knowledge to inform planning and programming in the drylands of the IGAD subregion. Interested partners are invited to contribute their expertise to the implementation of RAU's work plan. RAU aims to:

- Support IGAD and its Member States and other relevant stakeholders in measuring resilience for different livelihood and socioeconomic groups at the household, community and regional levels;
- Build an evidence base on the complex factors contributing to or undermining resilience in multiple contexts;
- Measure the contribution to resilience of different interventions for policy and programming purposes;
- Improve the design and effectiveness of future interventions and related accountability mechanisms;
- Contribute to strategy alignment and allow for more integrated and coordinated interventions;
- Transfer knowledge and ensure its local ownership;
- Promote mutual learning and exchange among IGAD Member States and other relevant stakeholders;
- Support capacity development within Member States to conduct quality resilience analysis and measurement that directly improve the effectiveness of interventions in reducing vulnerabilities and strengthening resilience capacities.

RAU is a results-oriented unit with strategic deliverables guided and monitored by the IGAD Secretariat as well as the RAU management and scientific advisory boards. Its activities and programmes will contribute to a better understanding of resilience, with practical applications at both the Horn of Africa and global levels.

RAU's support will be tailored to country and stakeholder needs, based on IGAD's prioritisation and with a clear focus on identifying capacity gaps in resilience measurement.

RAU will complement the analytical work performed at the country level and will help countries develop the capacity to undertake their own analyses. It will use existing data sets and collect and support national efforts to collect data where gaps exist.

RAU uses a mixed-methods approach that integrates quantitative and qualitative models, such as the resilience context analysis (RCA) model, resilience index measurement and analysis (RIMA) model and the community-based resilience analysis (CoBRA) model. Refer to Annex 3 for further details. While RAU recognises the diversity of methods for resilience measurement, it will focus on empirical, results-based field studies rather than serve as a clearing house for methodologies.

Strategic partnerships will be developed with relevant stakeholders and institutions at the national, regional and global levels to improve resilience analysis and coordination.

RAU's overall objective is to support IGAD and its Member States to enhance and sustain drought and disaster resilience. The members of the RAU technical team, management and governance structures are committed to ensuring that RAU's deliverables influence policy and improve programming in ways that reduce vulnerability and build resilience in the region.

1. Background

1.1 Situation analysis

The Intergovernmental Authority on Development (IGAD) is a regional organisation whose members are Djibouti, Eritrea, Ethiopia, Kenya, Somalia, South Sudan, Sudan and Uganda. Over 200 million people live in the IGAD region, and the average population growth rate is 3.2%. The region, which is characterised by frequent and prolonged drought events, stretches over an area of 5.2 million km², 60–70% of which is classified as arid and semi-arid lands (ASALs).² Livelihood in the ASALs depends mainly on nomadic pastoralism and agropastoralism.

The 2010–2011 drought affected more than 13 million people at the peak of the crisis, leading to massive food insecurity in some countries in the region and a declaration of famine in Somalia. Evidence shows development assistance to the region for a decade to have an increasing trend, and humanitarian assistance remains higher than the 2004 level, with variability over the years (Figure 1). Civil strife and protracted conflicts undermine the resilience of communities to climate-induced stresses, specifically in South Sudan and Somalia. The prolonged perennial drought and conflict-related crises have severely impoverished the ASALs’ natural resource base and the livelihoods dependent on it.

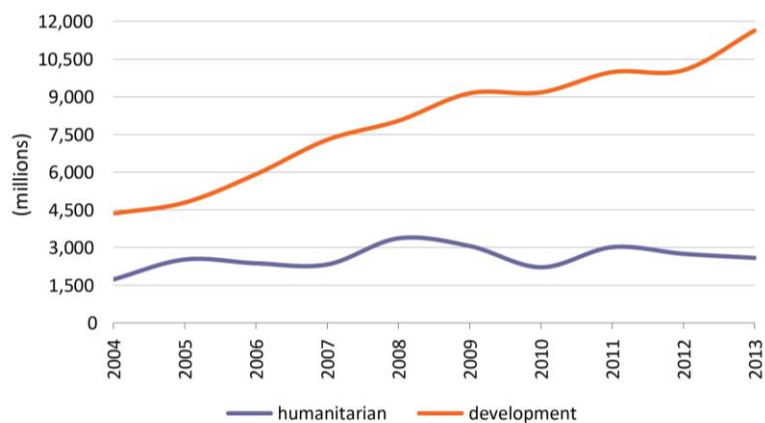


Figure 1: Overseas development assistance to the Greater Horn of Africa (2004–2013).

Source: OECD/DAC Online Database (<http://www.oecd.org/dac/stats/idsonline.htm>).

² IDDRSI strategy 2013.

The economic impacts of the crises are severe and undermine development gains. For example, the losses due to the 2010–2011 drought in Kenya totalled over US\$ 12 billion.³ The impact is particularly acute in countries or contexts with high poverty levels, gender disparity, degraded environments or ecosystems and where socioeconomic and infrastructural systems are unable to provide adequate support to those affected by the shocks or stresses. The impact is also exacerbated by the presence of underlying causes of vulnerability, which in the IGAD region include demographic pressure, weak governance, conflict and insecurity, high food prices, climate variability and change, environmental degradation, poor or limited social protection systems, insecure land tenure, and insufficient investments in livelihoods, basic social services and public infrastructure.

In September 2011 the IGAD Heads of State Summit created the Drought Disaster Resilience and Sustainability Initiative (IDDRSI) to end drought emergencies. The initiative, which spans the period 2013 to 2027, will guide and inform the process of implementing drought resilience efforts at the national and regional levels. IDDRSI is designed around seven pillars:

1. Natural resources and environmental management
2. Market access, trade and financial services
3. Livelihood support and basic social services
4. Disaster risk management, preparedness and effective response
5. Research, knowledge management and technology transfer
6. Conflict prevention and resolution and peace building
7. Coordination, institutional strengthening and partnerships

1.2 Milestones of the Resilience Analysis Unit from June 2013 to date

The Resilience Analysis Unit (RAU) is a demand-driven initiative born from the partnership of IGAD and its development partners. Since the awareness-raising workshop in September 2013 that resolved that a resilience unit be created under the IDDRSI umbrella, IGAD and its partner organisations have worked relentlessly to make sure that RAU is established and running. Several key milestones have been reached so far in this effort:

- The establishment of RAU was endorsed by the IDDRSI steering committee in October 2013.
- RAU began its full operations in May 2014 with the seed funds provided by the European Commission Directorate General for Humanitarian Aid and Civil Protection.

³ 2012 post disaster needs assessment.

- A ministerial level launch ceremony was carried out on 24 November 2014 in Nairobi, Kenya.
- RAU membership has grown from the initial four to six organisations.
- RAU has developed a mixed-methods approach that logically integrates qualitative and quantitative methodology for resilience analysis and that has been used since 2014. The testing of this methodology was carried out in Somalia,⁴ Ethiopia⁵ and Karamoja in Uganda.⁶ Such studies will extend to other IGAD Member States in the coming years.
- RAU has facilitated the development of a conceptual framework and approaches to establish and strengthen networking among centres of excellence in the IGAD region for partnership on resilience research and learning.
- RAU contributes to the IDDRSI results framework by closely working with IDDRSI's secretariat staff on monitoring and evaluation (M&E) and related issues.
- RAU has engaged with the Member States' technical experts, policy-makers and bureaus of statistics on resilience measurement and analysis. This has created wider awareness about the RAU and initiated demand for capacity development and for its capacity building tools such as the training packages on resilience measurement and analysis for technical experts and policy-makers that are currently under development.
- RAU has made presentations at different platforms on the developments in resilience measurement and analysis in the region.
- RAU commissioned and guided policy and strategy reviews in Ethiopia, Kenya and Uganda.⁷ Policy reviews will be carried out in all IGAD Member States to understand the trends in macroeconomic policies and the gaps. After country level validation of the reviews, policy dialogue forums on resilience policy and programming will be organised at regional and national levels.
- RAU initiated capacity development activities that targeted measurement and analysis of resilience. This component of RAU's work will involve technical experts and middle-level policy-makers from the IGAD Member States and development partners. Currently, need-based learning modules are under preparation that will be followed in the coming years with a series of learning workshops.

⁴Puntland and Somaliland Resilience Baseline survey, with supports from the RAU team.

⁵ Resilience analysis of rural household in selected farming system of Ethiopia.

⁶ Context analysis on resilience to food insecurity and malnutrition in Karamoja, Uganda.

⁷ A consultancy assignment on national policy review and synthesis (on resilience building) in Kenya covering the mid-1990s to 2015, and a national policy review and synthesis for Uganda for the period 1990s–2015.

- RAU has gained recognition as a regional technical hub for resilience measurement and analysis. Consequently, it is receiving and responding to requests for technical support and building wide networks and partnerships in the region.

2. Strategies, lessons and the proposed joint programme

2.1 Background and lessons learned

A central lesson from the creation of IDDRSI was that there was a general lack of coordination of actions to measure and analyse resilience or unified strategies for this work in the countries, across the region and over time, and as well as that the related technical capacity was inadequate. That situation was the basis for the conceptualisation of the joint programme to operationalise the Resilience Analysis Unit. RAU was set up to serve as a technical hub for the measurement and analysis of resilience by IGAD Member States and their development partners, whose capacity for undertaking those activities would also be developed. The outputs from RAU will inform the individual partners' and interagency resilience programming. Thus, the overall purpose of the joint programme is to contribute to the long-term empowerment and capacity development of the IDDRSI stakeholders.

2.2 The proposed joint programme

The joint programme will support the efforts of IGAD and its Member States to enhance and sustain drought disaster resilience in the IGAD region through building the required knowledge base and capacity. In particular, RAU will support IDDRSI's pillar 5 on research, knowledge management and technology transfer, and it is anticipated that RAU's outputs will support the implementation of all IDDRSI pillars through aiding the development of country programming papers aligned with national policies and strategies and the regional programming paper.

RAU has five interrelated strategic result areas: M&E, resilience research, resilience policy and programming, capacity development, and coordination and management of RAU.

In mid-2013, IGAD requested FAO to build the capacity of the IGAD Secretariat and Member States to measure and analyse resilience by setting up an interagency resilience analysis unit. UNICEF, WFP and UNDP, which had experience in providing resilience programming and capacity building support to IGAD and its Members

States in the Horn of Africa and the broader region, shortly afterwards joined this effort. The unit has since grown in membership to include the United Nations Office for the Coordination of Humanitarian Affairs (OCHA), which joined in early 2015.

As the RAU hosting agency, IGAD has a convening mandate under the leadership of its secretariat, the IDDRSI steering committee, the Council of Ministers and the Head of States Summit. The five United Nations agencies have interlinked mandates and complementary expertise at the household and community levels. They also share common structures including those for policy formulation, on-the-ground programme implementation, information generation, and management of local service provision and capacity building functions. The work of each agency is relevant to both humanitarian and development contexts, and each has a longstanding commitment to drought and disaster resilience building at the local, national and regional levels.

Each RAU member agency has a strategic commitment to the strengthening of resilience in the region:

- IGAD, in its regional strategy for 2011–2015, which embraces an integrated, multisector and multidisciplinary approach to ending drought emergencies, aims to contribute to resilient economic development in the region while enhancing food security and environmental protection, maintaining peace and promoting economic integration.
- FAO's strategic framework for 2014–2019 includes a dedicated strategic objective on resilience (strategic objective 5), placing resilience at the heart of FAO work.
- UNDP's strategic plan for 2014–2017 designates resilience building as one of the institution's three main areas of development work.
- UNICEF's strategic plan for 2014–2017 highlights in its key strategies the importance of resilience-focused programming and focuses on risk-informed programming as well as strengthening of relevant, scalable and flexible delivery systems for basic social services and social protection.
- WFP's strategic plan for 2014–2017 aims at supporting people, communities and countries to strengthen resilience to shocks and to reduce disaster risk. In addition, the WFP policy of May 2015 on building resilience for food security and nutrition aims to enhance the ability of vulnerable women, men and children to absorb and adapt to the effects of shocks and stressors in a manner that supports sustainable transformation to achieve a zero hunger level.
- OCHA's strategic plan for 2014–2017 includes a commitment to the post-2015 agendas focusing on strengthening resilience in the most vulnerable communities.

Each member agency brings a specific added value to RAU, and together their contribution covers a wide range of sectoral areas corresponding to all IDDRSI pillars and that also guarantees the capacity to deliver agreed outputs and to achieve the intended results.

RAU aims to provide strategic cross-sector resilience analysis and knowledge to inform planning and programming in the IGAD region. Through this it will promote policies and interventions that increase the resilience of vulnerable people and their communities, improving their ability to withstand natural disasters and adapt to changing conditions. Resilience measurement provides the context-specific evidence on which these targeted policies and interventions can be based.

There are several definitions of resilience, and they all refer to three common elements: (1) absorptive capacities, for example coping strategies, risk management, and savings groups; (2) adaptive capacities, for example the use of assets, attitudes or motivation, livelihood diversification and human capital; and (3) transformative capacities, for example governance mechanisms, policies and regulations, infrastructure, community networks and formal safety nets.⁸ RAU adheres to the IGAD definition of resilience as “the capacity to manage, adapt to, cope with or recover from stresses, shocks and disasters; or the ability of a system to remain stable or adapt to new situations without undergoing catastrophic changes in its basic functioning”.⁹

Relevant resilience programming requires a good understanding of resilience dynamics and dimensions. Owing to the complexity of resilience programming, RAU will consider the following factors in resilience analysis, programming and measurement:

- Resilience is not a directly observable construct; it is a composite of a collection of variables and characteristics that make a household or system more or less resilient to shocks or stresses.
- Resilience must be judged in relation to a given outcome such as food security and nutrition or other well-being outcome.
- Resilience must be related to particular shocks or stresses.
- Resilience can be measured at the individual, household, community, subnational, national and regional levels, with the linkages between levels also being considered.

⁸ Food Security Information Network (FSIN). Resilience measurement principles. Technical Series. (http://www.fsincop.net/fileadmin/user_upload/fsin/docs/resources/1_FSIN_29jan_WEB_medium%20res.pdf).

⁹ IDDRSI strategy, 2013

- Resilience has a temporal dimension: individuals, households, communities, systems or nations may be resilient at a certain point under certain contextual factors but *not* when the contexts or factors change over time.

In practice, resilience is the process by which the dynamics of a system – or a community, a household or an individual – react and adapt to a specific shock or stress and possibly transform to a level higher than their pre-shock state.

Resilience essentially concerns capitals and capacities. The influence of human, social, financial, natural and physical capitals or capacities must be understood in order to determine how the factors undermining resilience can be managed and mitigated.

Resilience programming must focus on strengthening the existing capacities at all levels of a given population and its systems, using context analysis to identify the priority actions. RAU supports and undertakes multidisciplinary research and analysis to enable policy-makers to identify and target the complex interrelation of factors that undermine or strengthen resilience when shocks recur.

RAU will bring together and harmonise experiences, approaches and skills from a wide range of environments and promote knowledge transfer among agencies, institutions, countries and regions to improve regional, national and local capacity in resilience analysis, policy and programming.

2.3 Sustainability

Sustainability is dependent on national ownership of the processes supported by RAU and of its outputs. RAU is expected to continue supporting IGAD and its Member States beyond the initial three years of the joint programme document, evolving into a specialised IGAD unit. The unit will ensure wide participation in resilience work by various international organisations, with clear objectives and targeted activities and staff, in order to optimise the effectiveness and efficiency of resource use. To that end, RAU will work with institutions of the IGAD Member States and development partners in the region and will strengthen the capacities of Member States' experts in resilience measurement and analysis.

One of RAU's key strategies will include the realignment of existing partnerships and resource mobilisation streams with development partners' requirements as outlined under "Funds management" (section 5.2), to ensure that the financial support is sustainable.

RAU's activities are designed to create sustainable results for IGAD and IGAD Member States, building lasting institutional capacities for resilience measurement and analysis within IGAD and its Member States and development partners. RAU's

work in M&E, resilience research and networking, and capacity development for resilience measurement and analysis is dedicated to sustainable building of capacity.

3. Results framework

The purpose of RAU is to ensure that IGAD and its Member States and other relevant stakeholders in the IGAD region develop the ability to undertake robust resilience analysis at different levels. The unit's resilience assessment and analysis work will use a mixed-methods approach in which quantitative and qualitative methods will inform and complement each other, building on the recent experiences and lessons learned in Somalia, as well as the community-based resilience analysis (CoBRA) tool tested in Ethiopia, Kenya and Uganda¹⁰ and other tools from the agencies and consortia in the region, including the resilience context analysis (RCA) model piloted in Karamoja, Uganda.

The analytical support provided by RAU to IGAD and its Member States will be fundamental in guiding their programming and policy at the design stage – for example through generating livelihood-based resilience profiles or well-being based nutrition profiles related to the recurrent shocks and stresses – and during implementation – for example by serving as the basis for M&E and impact assessment to inform policy-makers.

The RAU results areas are closely interrelated and support each other so as the various services provided to the countries focus on both capacity building and delivery of resilience analysis packages that integrate all the pieces of information that RAU has collected through its analyses (see Annex 3).

This section provides a detailed description of RAU's five expected results areas and their outputs.¹¹ A summary of the results framework is provided in Figure 2.

¹⁰ For more information on CoBRA, visit <http://www.disasterriskreduction.net/drought-online/cobra/en/>.

¹¹ A log frame for RAU will be provided with the five year annual work plan, based on further contextual assessment during the first year.

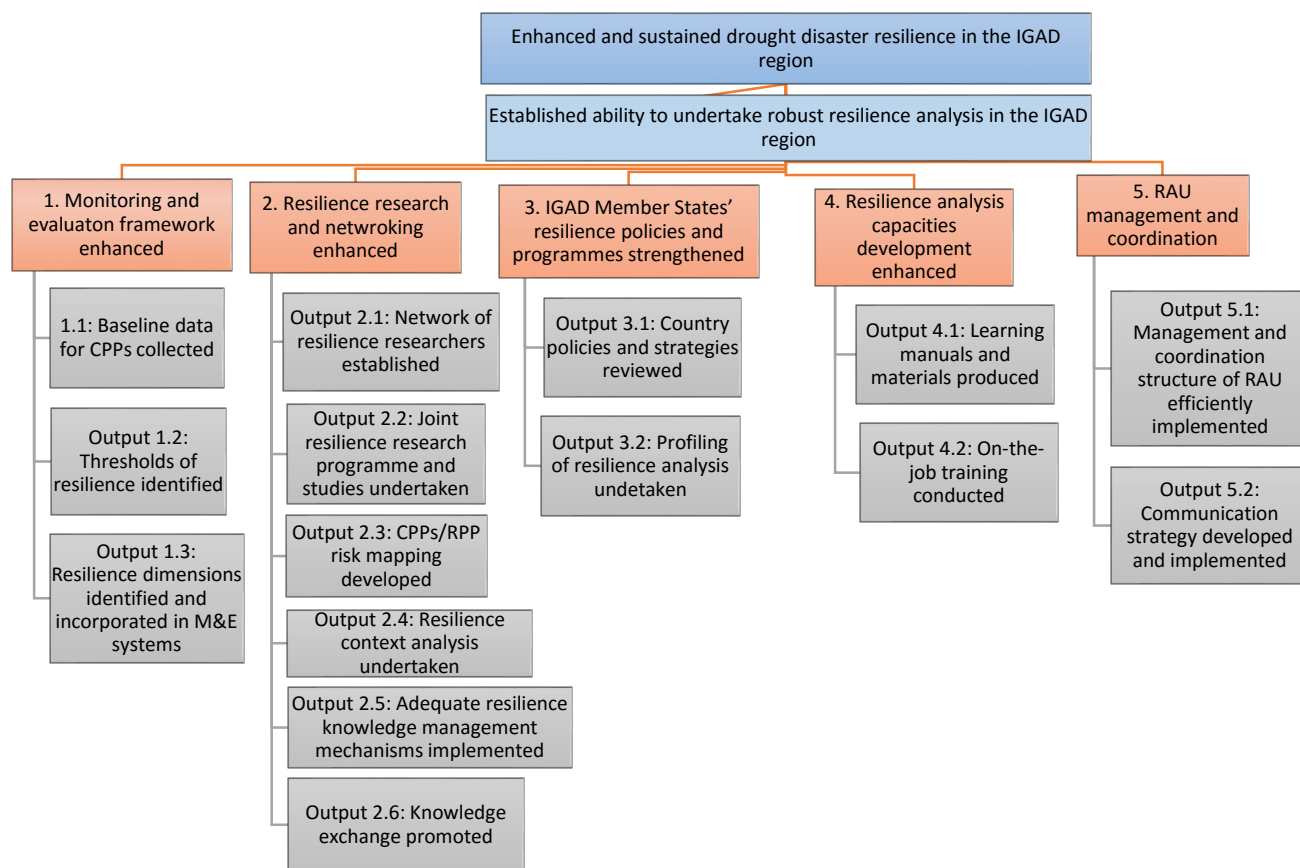


Figure 2. Summary of RAU's results framework.

Expected result 1: Resilience dimension of existing monitoring and evaluation framework is enhanced

RAU seeks to enhance the resilience dimension of existing M&E frameworks such as the CPPs of the Horn of Africa Member States by supporting the identification of critical resilience outcomes, indicators and possible thresholds and providing the IGAD Secretariat and Member State institutions with guidance and tools for a standardised qualitative and quantitative M&E approach.

The core purposes of IDDRSI's M&E system are to provide the information needed for results-based programme management and to involve key stakeholders in learning how to improve programme and project implementation. While the M&E systems that will provide regular reports on the progress of the CPPs or RPP will be managed by the Drought Resilience Platform Coordination Unit (PCU) at the regional level and Member State CPP or RPP coordinators, the role of RAU in the M&E system will be to assist the PCU and Member States' experts in linking the M&E system with the results of the CPPs and RPP, which should be monitored at various levels. RAU will utilise the M&E information and data generated by the systems supported by the PCU to analyse trends and policies and to generate evidence for advocacy purposes. Through this process, RAU will track the trends in resilience building in the region and provide the much-needed evidence for resilience policy and programming.

Output 1.1: Comprehensive baseline data on resilience assessments and analyses collected at the country and local levels

RAU will support the collection of baseline data on household and community resilience in areas of IGAD interest or in response to ad-hoc requests from partners and Member States. Analyses will be based on both ad-hoc surveys and existing data. Results of the analyses will be used to identify the target areas for future interventions, as well as the dimensions of resilience to be supported. The resilience assessment and analysis exercises will use a mixed-methods approach, in which quantitative and qualitative methods inform and complement each other, building on recent experiences and lessons from Somalia, the CoBRA model and knowledge from other agencies and consortia in the region. This support will be tailored to the needs of each recipient, as outlined below:

- Where panel data already exist in the country, for example those collected through ongoing survey efforts such as the living standards measurement surveys (LSMS), household income and expenditure surveys or demographic health surveys based on identified proxy indicators for resilience, RAU will provide the country and regional staff with technical support in data management through training, coaching and monitoring. Efforts will also be

made to ensure that future data collection processes are better aligned with the resilience analysis priorities of each Member State.

- Where panel data are not available, RAU will support the processes of data collection and analysis and provide on-the-job training to relevant government departments and other stakeholders.

To ensure the proper management of data sets from various surveys in the short run, RAU will establish or utilise the data management infrastructure of its member organisations. An online database system will be created for data collection and analysis. This work will be complementary to the IGAD unified knowledge management system, which will link national databases with the regional level database and with databases of other stakeholders.

Output 1.2: Appropriate sets of composite indicators for multiple equilibria affecting resilience and thresholds of resilience identified

Through careful analysis and participatory consultation with partners and stakeholders, resilience thresholds applicable to the Horn of Africa context will be agreed upon and multiple equilibria affecting the resilience levels of specific communities or households will be identified. This information will be integrated into existing resilience policies and early-warning systems of the relevant government institutions and the IDDRSI PCU. Measuring resilience involves identifying a composite set of indicators, including proxy indicators, at various levels and determining how their trajectories change over time in response to shocks and stresses. The changes themselves are not necessarily constant or gradual. It is important to define the potential thresholds of resilience beyond which affected households or communities will not be able to adapt to or cope with specific shocks or stresses, and to determine whether the prevailing trajectories are structural or transitory.

Output 1.3: Resilience dimensions identified and incorporated into M&E systems

Improving the definition of resilience thresholds and resilience indicator equilibria (output 1.2) will assist the programmes and projects implemented in the Horn of Africa region in systematically monitoring and evaluating their progress toward the objective of building resilience. RAU will provide government, UN and NGO partners supporting IDDRSI with technical support to integrate resilience dimensions into their programme and project planning and M&E frameworks. This support will help to maximise the efficiency, effectiveness and sustainability of programmes in enabling vulnerable populations to become more resilient to shocks and stresses.

Expected result 2: Resilience research and networking enhanced

RAU will work with IGAD Member States and other partners and stakeholders to develop a regional research agenda to identify the factors underlying the resilience of people, households and communities during shocks and stresses, especially for drought events in the Horn of Africa. This research will add to the available quantitative and qualitative data gathered through RAU's technical support to countries and partners for data collection and analytical activities, as well data from activities implemented by IGAD Member States.

Owing to the complexity of resilience analysis, no single methodology or tool can fit every resilience analysis situation or context. Each analysis must consider the broader social, environmental, hydro-meteorological, geographical, political and economic factors contributing to or undermining the resilience of communities and households. These factors may include the economy, political and social organisations, form of governance, security and stability, livelihood trends, population movements, degree and timing of recurrent shocks, cultural values and practices, natural resource availability, disaster risk management (DRM) systems in place and climate variability.

By aggregating the findings from a series of context-specific research projects, RAU will attempt to define the general characteristics in what constitutes the resilience qualities of social and livelihood groups similar to communities in the region for handling shocks such as the recurrent droughts in the Horn of Africa. Based on this analysis, RAU will use a combination of approaches, methodologies and partnership interactions to recommend targeted, resilience-building interventions appropriate to each context.

To the extent deemed possible, RAU's analysis will consider environmental sustainability and gender aspects as they relate to natural resource exploitation, the capacity of households and communities to respond to specific shocks and the impact of government policies and programmes.

Output 2.1: A network of resilience researchers created and collaboration mechanisms established

In collaboration with IGAD's specialised centres, RAU will support the establishment of a field network and partnership mechanism among national and regional institutions and universities with leading resilience analysis programmes. Fostering communication and collaboration among the network's member organisations, including facilitating undertaking of joint studies and hosting of postgraduate students for field research, will contribute to innovation, improvement of resilience programmes, and development of a regional resilience measurement model. Networking with existing resilience research systems at the regional level will be strengthened, including with the Resilient Africa Network, and with initiatives at the national level, universities, research organisations, the UN and bilateral agencies.

Output 2.2: Joint resilience research programme and studies identified and undertaken

Under the agreed upon regional framework for the Horn of Africa, various joint research initiatives will be developed focusing on aspects of resilience, including analysing vulnerability, defining resilience dimensions and capacity indicators and identifying innovative solutions. The main findings will be published and disseminated in the form of scientific papers and compendiums, policy briefs, learning notes and technical advisory notes. Furthermore, RAU will support research institutions in IGAD Member States to test and scale up innovations that strengthen individual and systemwide capabilities and reduce vulnerability as defined and measured by a data-driven and evidence-based resilience framework within the Horn of Africa context.

Output 2.3: CPPs' and RPP's risk mapping developed

The successful implementation of CPPs and the RPP in the region requires a thorough understanding of the risks faced by Member States. Furthermore, risk profiling through in-depth analysis of the frequency of the main risks, hazards and emergencies affecting local populations will determine the inter-country and intra-country risk levels. Risk profiles are usually presented in the form of maps that show the magnitude and nature of the risk, for example drought, land degradation, landslides, flooding, volatility of food prices, etc. Building on the recent analysis undertaken by IGAD and its partners, this information will be instrumental in planning for resilience and resource allocation within the IDDRSI pillars.

Output 2.4: Resilience context analysis supported and undertaken

This output will address an issue that country, regional and global platforms have consistently raised as a gap. Context analysis aims for a shared understanding of resilience. This output envisions a process for situation analysis at the country level that will ensure that all partners have a common understanding of resilience analysis. This process will inform the joint strategic planning and programme prioritisation actions, resulting in better targeted and more effective interventions. Further, this output aims to improve collaboration among the partners with increased sharing of information and analysis. This analysis will contribute to the indicators for the M&E systems of CPPs and the RPP based on available data sets and qualitative studies. Ideally, the output of this process will generate a public good and will be used by all partners to plan and design coordinated resilience investments. The RAU team will lead the implementation of context analysis studies requested by Members States or UN agencies.

Output 2.5: Adequate resilience knowledge management mechanisms developed and implemented

RAU will liaise and collaborate closely with the relevant government and UN agencies, the International Federation of Red Cross and Red Crescent Societies, international nongovernmental organisations, the World Bank, and academic and research partners to identify available information, consolidate and harmonise existing disaster resilience-related data and information, and establish a systematic and holistic knowledge sharing platform using the IDDRSI web site. The outputs of the assessments and analyses (result 1) and research studies (result 2) supported by RAU will be provided through this platform to support decision-making by governments and their development and humanitarian partners. In particular, the findings from research and impact evaluations will be used in the design of resilience programmes, including the recommendations on activities at the household, community or higher levels. The methodologies and tools utilised for these exercises will be made available as open source, including on the web site. The collected evidence will be presented at relevant forums such as the regular IGAD drought resilience platform and global, regional and country level events.

Output 2.6: Knowledge exchange and peer learning to improve resilience measurement and analysis promoted

In line with the declaration of the IGAD Summit of Heads of State and Government on the progress of IDDRSI, held in Kampala, Uganda, 27 March 2014, RAU will promote dialogue, peer learning and networking among the key stakeholders engaged in resilience measurement, analysis and programming both within and

beyond the Horn of Africa region to facilitate the cross-fertilisation of resilience research agendas. In particular, in view of the fact that the Sahel is facing drought-related challenges similar to those of IGAD Member States, RAU will support South–South knowledge exchange and cooperation between IGAD Member States and the Comité permanent inter-etats de lutte contre la sécheresse dans le Sahel (Permanent Interstate Committee for Drought Control in the Sahel) in enhancing drought resilience. As necessary, the RAU team will provide support to these subregional organisations in knowledge management, including documentation of best practices and lessons learned.

Expected result 3: IGAD Member States’ resilience policies and programmes strengthened

Results from the studies conducted through RAU under outputs 1 and 2 will be used to inform IGAD’s resilience-related policy dialogue, programming and decision-making and will also be shared widely with IGAD Member States and interested partners to support their resilience planning processes.

Output 3.1: Country policies and strategies reviewed for their contribution to strengthening of resilience in line with CPPs

RAU will undertake a review of the long-term macro policies and strategies of the Member States to assess their strengths and limitations in relation to past development policies and ongoing resilience initiatives. The review of current policies and strategies will help in the generation of evidence to guide CPPs and resilience investments.

Output 3.2: Relevant studies on resilience analyses profiled to inform policy-makers and resilience programming at the regional and national levels

RAU will support IGAD and its Member States’ institutions to profile and catalogue relevant resilience studies at the regional and country levels to inform policy-making and programming. The results of this work will help to guide and inform the process of implementing drought resilience initiatives at the national and regional levels. Moreover, this evidence base will provide an entry point for promoting resilience-related coherence between different policy and programme areas. Consultations with Member States will be central to this process, particularly in identifying and prioritising the sectors to be addressed within the IDDRSI pillars.

Expected result 4: Technical capacity of IGAD and its Member States' institutions, UN agencies and other stakeholders to measure and analyse resilience enhanced

Capacity development is the main focus of RAU's initiative to ensure the sustainability of the resilience measurement systems created. Developing capacities in resilience measurement and data analysis should be ensured at all levels.

RAU will develop training manuals and related materials for resilience measurement and analysis and provide on-the-job training to various mandated institutions within IGAD and its Member States and other stakeholders.

Output 4.1: Learning manuals and materials on resilience measurement and analysis produced and made accessible

Coordinating closely with relevant partners and stakeholders, RAU conducted a comparative review of the existing tools and methodologies for resilience assessment and analysis. Based on that review, customised packages will be developed for the regional and national contexts in the Horn of Africa, including user-friendly training manuals¹² and related materials. These resources will provide details on the phases and steps for the full conduct of resilience measurement and analysis, with a focus on both qualitative and quantitative measures. They will be made available in both hard and soft formats, will be considered living documents and will be regularly reviewed and updated according to the experiences and lessons learned during the RAU project cycle.

Output 4.2: On-the-job training conducted for the various mandated institutions

The training manuals and materials on resilience measurement and analysis will be developed on a demand basis. Training will be offered using flexible modalities, which may include seminars, workshops, distance education, tailor-made courses and field practice. Capacity development on resilience measurement targeting technical and middle-level policy-makers will be undertaken in several phases and will cover two years, including the evaluation phase.

¹² The topics to be covered in the manual include the resilience framework, analytical tools and models relevant for quantitative and qualitative methodology, highlights of appropriate software for data analysis, content relevant for policy briefs, etc.

In view of the huge demand for skill building in resilience measurement and analysis, various sources of funding and targeting approaches for trainees will be used and in a complementary manner. RAU will use a phase-based approach to capacity building on resilience measurement and analysis that will cover all IGAD Member States, and a targeted approach using project support that may involve selected countries.

Phase-based learning

The phase-based learning activities will follow a modular approach that combines theoretical and practical methods.

In phase 1, a workshop for a combined group of technical experts and middle-level policy-makers will be held for four days. The first two days will be a joint session and the next two days separate sessions for the technical and policy groups. The policy group will end with the phase 1 training, whereas the technical experts will continue to phase 2 training immediately. Phase 2 training for the policy group will be run with phase 3 training of the technical group.

Phase 2 training for the technical experts will involve a workshop covering six days. The group will be introduced to the methodologies relevant to resilience analysis and to statistical packages such as STATA and SPSS. The methodology session will introduce both quantitative and qualitative methods, and the tools used by RAU will be covered along with other relevant approaches. Also to be introduced are the RIMA model for quantitative analysis and the CoBRA tool for qualitative analysis, as well as other relevant tools and models.

Phase 3 training for the technical experts will come four to six months after phase 2. In order to ensure relevance and effectiveness of the capacity development initiative by RAU, the participants for phase 3 training will be selected after a satisfactory performance assessment that will include evaluation of the relevance of their job to IDDRSI. This assessment will involve the employers and professionals, who will conduct post-training assessment of the trainees' learning effectiveness using standard evaluation techniques such as knowledge, skill and attitude (KSA) gap analysis.

Phase 3 training will be advanced and will last several weeks. The main focus will be on RIMA and policy analysis. The group will be trained and coached by RAU technical experts and external resource persons to generate relevant quantitative and qualitative analyses for their respective countries. The trainees will be given the opportunity to link these analyses with policy components for strengthened policy dialogue on resilience.

Some selected members of the middle-level policy group who participated in phase 1 training will be invited to review and enrich the policy report developed by the technical experts during phase 3 training.

Phase 3 content can be delivered in a flexible manner. It will be designed and implemented with thorough planning and is expected to provide the Member States with a qualified professional capable of undertaking country-based resilience analysis with little or no support from RAU.

Graduates from the training will be certified and will serve as trainers of trainers in their countries, but they will be supported by RAU experts in this role until this process is fully institutionalised within the IDDRSI structure.

The intensive nature of this training means that only a limited group of participants will be accommodated. Two training sessions will be held in a year for each phase, with the modules being revised as deemed necessary.

Targeted training packages

Targeted training packages will allow the countries to build a cadre of the much-needed skilled professionals to effectively undertake resilience measurement and implement resilience programmes and projects. There will be a training of trainers' introductory training package and an advanced training package.

The training of trainer's package, which can be organised according to the capacity of the targeted trainees, will cover six weeks. The contents will include an introduction to survey design, including data collection and analysis methods, an introduction to STATA and SPSS statistical software, and an overview of resilience measurement. The main contents will be:

- The RIMA methodology, including its limitations and opportunities for improvement in its practical application in the field. This session will include basic training on the STATA software.
- On-the-job analysis of the data provided by the countries or participants. Participants from countries that have data will have the opportunity to run an analysis of their data with the technical support of RAU and partner organisations, to come up with a resilience profile.
- The policy component of the analysis, which will allow the trainees, with technical support, to link the complex analyses generated from data to policy recommendations and applications for programming.

The advanced training package may cover two to three months, depending on the trainees' capacity and the learning needs identified after the delivery of the training of trainers' package.

Expected result 5: Effective coordination and management process for RAU established

RAU will establish clear and effective coordination and management structures to ensure the smooth and efficient implementation of its activities defined in the results framework. This is to facilitate the integration of initiatives under RAU to ensure wide participation from various regional and national organisations.

Output 5.1: Management and coordination structure of RAU efficiently implemented

The management and coordination structure will be operationalised within RAU and with external partners and Member States. RAU will ensure that fund management mechanisms are implemented as per this project document, comply with the IGAD financial management procedures and are transparently and efficiently effected.

An M&E framework will be developed and used to ensure the delivery of outcomes and outputs as per this results framework.

Output 5.2: A clear communication strategy developed and implemented

A clear and comprehensive communication strategy was developed and endorsed by all RAU partners to ensure transparency of processes and procedures on resilience analysis within all concerned stakeholders at both the regional and national levels. RAU will engage with Member States on mechanisms to roll out its operations in their countries, with the participation of development partners.

RAU will also strengthen its information and communication technology capacity to effectively undertake its activities.

The logical framework matrix for the outcomes and outputs is presented in Table 1.

4. Plan of activities for 2016–2018

The generic results areas expected for RAU over the next three years are presented in Table 1. The partners that will contribute to or lead the respective outputs are indicated in the last column.

Table 1: Results framework

Result	Indicators	Baseline	Proposed target	Means of verification	Risks and assumptions	Implementing partners
1. Resilience dimension of existing monitoring and evaluation is framework is enhanced	<ul style="list-style-type: none"> - Number of M&E frameworks developed - Results-based M&E system put in place 	Regional level only	7, 1 per country	<ul style="list-style-type: none"> - IDDRSI reports - RAU reports 	<ul style="list-style-type: none"> - Availability and access of data - Sufficient funding for technical support - Effective regional collaboration amongst institutions 	
Output 1.1: Comprehensive baseline data on resilience assessments and analyses collected at country and local levels	<ul style="list-style-type: none"> - Number of countries covered with training on data collection and analysis - Number of personnel trained per Member State 	- None available	<ul style="list-style-type: none"> - 7 countries - Up to 50 experts per country 	- Training reports	<ul style="list-style-type: none"> - Sufficient funding - Limited number of potential trainees - Staff turnover - Commitment from all stakeholders 	<ul style="list-style-type: none"> - IGAD/PCU - UNICEF - FAO - UNDP - UNOCHA - WFP
Output 1.2: Indicators for multiple equilibria affecting resilience and thresholds of resilience identified	<ul style="list-style-type: none"> - Number of thresholds identified - Number of early-warning systems using thresholds - Number of programmes using thresholds 	- Limited coverage for planning	<ul style="list-style-type: none"> - At least 1 per country - 7 - At least 4 per country 	<ul style="list-style-type: none"> - Country reports - Policies - EWS reports - Programme reports 	<ul style="list-style-type: none"> - Availability and access of data - Sufficient funding for technical support 	<ul style="list-style-type: none"> - IGAD/PCU - UNDP - FAO - WFP - UNICEF
Output 1.3: Resilience dimensions identified and incorporated into M&E systems	<ul style="list-style-type: none"> - Sets of resilience dimensions and indicators identified and incorporated in M&E systems 	- 2	- 5	<ul style="list-style-type: none"> - IDDRSI reports - RAU Reports 	<ul style="list-style-type: none"> - Sufficient funding for mobilisation - Commitment from all stakeholders 	<ul style="list-style-type: none"> - IGAD/PCU - UNDP - UNICEF - FAO - WFP

2. Resilience research and networking enhanced	Number of regional and national policies informed (for resilience programming and policy changes)	- 9 existing (IDDRSI/ CPPs, RPP)	- At least 9 - 7 Member States	- IDDRSI progress reports - CPPs and RPP progress reports - Country reports - M&E reports	- Availability and access of data - Sufficient funding for technical support - Effective regional collaboration amongst institutions	
Output 2.1: A network of resilience researchers established and collaboration mechanisms established	- Establishment of regional linkages with existing networks - Number of active members in the network	- None existing	- 1 regional network established - 15 members	- RAU reports - Meeting minutes - Guidelines and/or by-laws	- Sufficient funding for mobilisation - Commitment from all stakeholders	- UNDP - FAO - IGAD/PCU
Output 2.2: Joint resilience research programme and studies identified and undertaken	- Number of studies undertaken and validated by Member States and partners - Number of technical notes and publications - Number of studies undertaken independently by Member States	- Not available	- 7 studies - 7 technical notes and publications - At least 1 per Member State	- Studies produced - Technical notes published - Country reports	- Sufficient funding for mobilisation - Availability and access of data - Commitment of all stakeholders	- UNDP - FAO - WFP - UNICEF - IGAD/ICPAC
Output 2.3: CPPs' and RPP risk mapping developed	- Number of risk maps developed	- 1 map at the regional level	- 7 maps	- Studies produced - Technical notes published - Country reports	- Sufficient funding for mobilisation - Availability and access of data - Commitment of all stakeholders	- OCHA - UNDP - WFP - IGAD/ICPAC
Output 2.4: Resilience context analysis supported and undertaken	- Number of RCA studies conducted - Number of resilience programmes incorporating RCA findings - Number of research projects used by RCA	- 1 study conducted	- 7 RCA studies - At least 4 per country - At least 1 per country	- RCA studies produced - RCA studies published - Programme reports	- Sufficient funding for mobilisation - Availability and access of data - Commitment of all stakeholders	- UNDP - FAO - WFP - UNICEF - IGAD/ICPAC
Output 2.5: Adequate resilience knowledge management mechanisms developed and implemented	- Number of platforms (e.g. electronic, communities of practices) - Number of good practice guidelines developed	- 1 existing (IDDRSI platform and web site)	- 1 platform focusing on resilience measurement (e.g. the National Resilience Analysis Task Force)	- Meeting minutes - RAU reports - Country reports - Regional news and/or media	- Sufficient funding for mobilisation - Commitment of all stakeholders	- UNDP - FAO - WFP - IGAD/PCU

Output 2.6: Knowledge exchange and peer learning to improve resilience measurement and analysis promoted	<ul style="list-style-type: none"> - No of programmes using RAU study reports - Number of South–South collaborations initiated - Number of workshops and conferences organised - Number of knowledge management products disseminated 	- None	<ul style="list-style-type: none"> - At least 4 per country - 2 collaborations,¹³ - 5 workshops and/or conferences 	<ul style="list-style-type: none"> - Programme reports - RAU reports - Workshop reports - Conference reports 	<ul style="list-style-type: none"> - Sufficient funding for mobilisation - Commitment of all stakeholders 	<ul style="list-style-type: none"> - UNDP - FAO - WFP - IGAD/PCU
3. IGAD Member States' resilience policies and programmes strengthened	<ul style="list-style-type: none"> - Number of policies directly targeting resilience implemented - Number of programmes directly targeting resilience implemented 	- One regional strategy (IDDRSI)	- At least 7	<ul style="list-style-type: none"> - IDDRSI progress reports - CPPs and RPP Progress Reports - Country reports 	<ul style="list-style-type: none"> - Availability and access of data - Sufficient funding for technical support - Commitment of all stakeholders 	
Output 3.1: Country policies and strategies reviewed for their contribution to strengthening of resilience in line with CPPs	- Number of policy reviews produced and validated by the Member States	- None	- At least 7	<ul style="list-style-type: none"> - Policy review reports - RAU reports - Country reports 	<ul style="list-style-type: none"> - Availability and access of data - Sufficient funding for technical support - Commitment of all stakeholders 	<ul style="list-style-type: none"> - WFP - UNDP - UNICEF - FAO - IGAD
Output 3.2: Relevant studies on resilience analysis profiled to inform policy-makers and resilience programming at the regional and national levels	<ul style="list-style-type: none"> - Number of policy dialogues undertaken - Number of resilience programmes developed 	- None	- 7 (at least 1 per country)	<ul style="list-style-type: none"> - Meeting minutes - RAU reports - Country reports 	- Commitment of all stakeholders	<ul style="list-style-type: none"> - WFP - UNDP - FAO - IGAD - UNICEF
4. Technical capacity of IGAD and its Member States' institutions, UN agencies and other stakeholders to measure	<ul style="list-style-type: none"> - Number of studies and/or analyses undertaken by Member States' experts - Number of resilience programmes designed as a result of that capacity 	- None on resilience measurement and analysis	- At least 7 (1 per country)	<ul style="list-style-type: none"> - Study reports - Resilience programmes reports - Country reports - RAU reports 	<ul style="list-style-type: none"> - Sufficient funding for mobilisation - Commitment of Member States 	

¹³ Focus will be given to ECOWAS and SADC.

and analyse resilience enhanced						
Output 4.1: Learning manuals and materials on resilience measurement and analysis produced and made accessible	<ul style="list-style-type: none"> - Number of learning modules developed - Number of Member States and development partners staff using the learning modules 	<ul style="list-style-type: none"> - None 	<ul style="list-style-type: none"> - 2 - At least 10 per Member State 	<ul style="list-style-type: none"> - Learning modules material - Training reports - RAU reports 	<ul style="list-style-type: none"> - Sufficient funding for mobilisation - Commitment of Member States 	<ul style="list-style-type: none"> - UNDP - UNICEF - FAO - WFP - IGAD
Output 4.2: On-the-job training conducted for various mandated institutions	<ul style="list-style-type: none"> - Number of Member States and development partners staff receiving training 	<ul style="list-style-type: none"> - None 	<ul style="list-style-type: none"> - At least 10 per Member State 	<ul style="list-style-type: none"> - Training reports - RAU reports 	<ul style="list-style-type: none"> - Sufficient funding for mobilisation - Commitment of Member States 	<ul style="list-style-type: none"> - UNDP - FAO - WFP - IGAD
5. Effective coordination and management process for of RAU developed	<ul style="list-style-type: none"> - Number of RAU results areas implemented 	<ul style="list-style-type: none"> - 4 (only certain outputs) 	<ul style="list-style-type: none"> - 5 (complete) 	<ul style="list-style-type: none"> - RAU reports 	<ul style="list-style-type: none"> - Member States and development partners commitment to RAU 	
Output 5.1: Management and coordination structure of RAU efficiently implemented	<ul style="list-style-type: none"> - Number of outputs achieved according to timeline 	<ul style="list-style-type: none"> - Partial 	<ul style="list-style-type: none"> - 16 	<ul style="list-style-type: none"> - RAU reports 	<ul style="list-style-type: none"> - Sufficient funding for mobilisation - RAU partners' commitment sustained 	<ul style="list-style-type: none"> - WFP - UNICEF - FAO - UNDP - IGAD - OCHA
Output 5.2: A clear communication strategy developed and implemented	<ul style="list-style-type: none"> - 1 communication strategy developed and utilised 	<ul style="list-style-type: none"> - None 	<ul style="list-style-type: none"> - 1 communication strategy developed and utilised 	<ul style="list-style-type: none"> - RAU reports 	<ul style="list-style-type: none"> - RAU partners' commitment sustained 	<ul style="list-style-type: none"> - WFP - UNICEF - UNDP - IGAD

5. RAU management and coordination

In contributing to the regional resilience agenda, RAU embraces the principles of transparency, accountability and gender equality, while maintaining as the central focus the needs and aspirations of the vulnerable populations in the region. Its governance structure is embedded in the IDDRSI steering committee through IDDRSI's PCU and its knowledge management team. RAU will proactively seek opportunities to work with a wide range of stakeholders in an environment of shared responsibility, well-defined outcomes and mutual accountability. It will pursue a multi-agency partnership approach for the effective implementation of its work plans.

The overall programme and each specific activity will be implemented under the leadership of IGAD and in close collaboration with RAU's partners. To this end, RAU's management structure will be consistent with that of a multi-agency body.

5.1 Leadership and partnership

RAU is a multi-agency, regional technical hub led by IGAD and supported by FAO, OCHA, UNICEF, UNDP and WFP. Figure 3 provides an overview of its management and coordination arrangement. Owing to its special features, RAU's management approach will focus on coordination of stakeholders and programmes, which suits multi-agency partnerships. Details of RAU's management and coordination structure are provided in Annex 1.

IGAD will play a leading role in the overall implementation of the RAU initiative. It will chair the management advisory board, ensure that the linkages among IDDRSI, the PCU and RAU are close and provide guidance and technical support for all the strategic actions of RAU (Figure 3).

RAU's work plan will be integrated into the work plan of the PCU. This will be accomplished in part by working with the knowledge management team on capacity development and programming. RAU's management advisory board will align and harmonise the unit's activities closely with the IDDRSI CPPs and RPP, utilising the appropriate channels of communication and coordination.

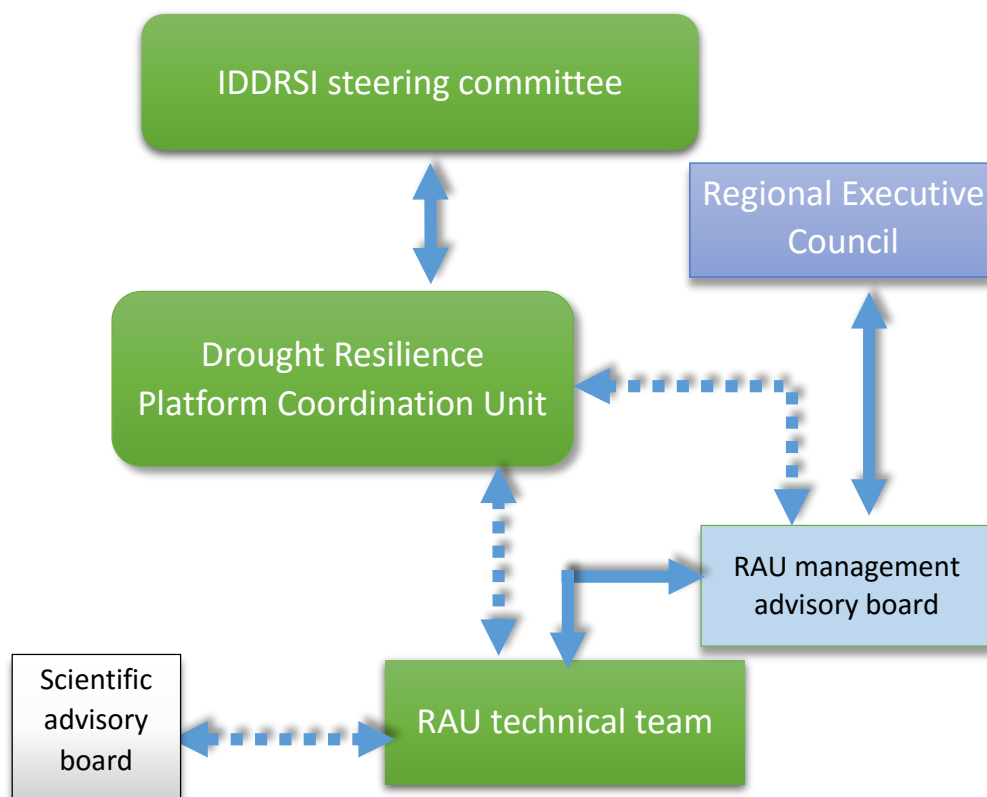


Figure 3: The RAU management and coordination structure.

Note: The organisations represented in the Regional Executive Council will be members of the IDDRSI steering committee. Therefore, a direct administrative link between the council and the IDDRSI steering committee is not sought, as this will be achieved through the PCU, with which RAU will be working directly. Similarly, the management board will not be linked directly with the PCU, as IGAD is the chair of the management advisory board.

IDDRSI steering committee

The IDDRSI steering committee comprises the IGAD Member States and development partners operating in the region, as well as international organisations and the IGAD Secretariat. The steering committee coordinates drought resilience initiatives in the region and reports to the IGAD general assembly.

RAU's programme governance is aligned with the IDDRSI steering committee provisions in accordance with the Heads of States' mandate to IGAD to lead and coordinate resilience actions. This structure will improve the alignment and utilisation of resources. Moreover, the steering committee provides added value through the Member States' involvement, bringing the legitimacy and country-

level buy-in required for successful programme implementation. This is especially important for the critical policy dialogue and actions envisaged by RAU.

Drought Resilience Platform Coordination Unit

The IGAD Secretariat's Drought Resilience Platform Coordination Unit (PCU) has the institutional architecture and capacity to coordinate the mobilisation, organisation and harmonisation of the actions of Member States, development partners and non-state actors necessary to achieve drought resilience in the IGAD region. Through this platform, the IGAD Secretariat will coordinate at the regional level the identification, prioritisation, implementation and M&E of the interventions.

To overcome the challenges posed by drought and related socioeconomic and political factors, the PCU and RAU partners will perform the following core functions:

- Resource mobilisation: Mobilise human, physical and financial resources to address the identified priority problems at the national and regional levels;
- Regional programming and M&E: Coordinate the identification, prioritisation and elaboration of national and regional interventions aimed at building drought resilience, especially in the IGAD ASALs;
- Regional knowledge management, communication and outreach: Collect, analyse, disseminate and publish evidence-based information, best practices and lessons learned on the implementation of interventions at the national and regional levels, and involve the media for outreach and advocacy;
- Promotion of regional capacity development and learning to increase the coherence and effectiveness of research and capacity building centres of excellence, as well as IGAD's institutional capacity building services to Member States and IGAD's institutional strengthening process.

Regional Executive Council

The Regional Executive Council consists of senior authorities such as regional directors and country representatives, or their nominated delegates, from RAU member organisations, which are FAO, IGAD, OCHA, UNDP, UNICEF and WFP. A change of a representative is made in writing by the concerned organisation. The role of the council members includes overseeing the relevance and effective implementation of the RAU work plan and ensuring there is a concrete linkage between generated analyses and policy and programming, and the existence of overall good governance and processes.

The council meets twice a year and all its decisions are final. Therefore, the documents presented by RAU through the PCU at the IDDRSI steering committee are endorsed by the council (see Annex 1 for the council's terms of reference).

Management advisory board

Composed of senior representatives from IGAD and the participating UN organisations, the management advisory board is a core part of the joint programme's coordination mechanism that facilitates the effective and efficient management of RAU. The board meets regularly and guides the RAU technical team on the overall strategic approach, work plan and operational priorities, including the implementation of demand-driven, country-owned processes for resilience analysis, capacity development and advocacy. The board ensures the consistency and coherence of RAU programmes across the five results areas, including those involving interactions with relevant initiatives both within and beyond IDDRSI's drought resilience agenda. It advocates for and facilitates building of concrete linkages between RAU's resilience analysis and the policies and programmes that aim to build resilience. Furthermore, the board facilitates joint resource mobilisation for the implementation of the work plan.

RAU technical team

The RAU technical team is housed at the IGAD office in Nairobi, along with the IGAD Climate Prediction and Application Centre (ICPAC) and the IGAD Centre for Pastoral Areas and Livestock Development. Led by a technical coordinator, this team is responsible for the implementation and coordination of RAU's day-to-day activities. In order to ensure the timely and effective delivery of programme outputs, the technical team regularly monitors the status and results of programme activities and periodically communicates the progress, achievements, challenges and opportunities to the management advisory board.

The RAU technical coordinator is a non-voting member of the management advisory board and reports to the board at both its regular and extraordinary meetings.

The technical team is staffed by a combination of full- and part-time international and national staff with various technical qualifications, competitively selected and seconded from IGAD and the participating UN organisations. The team is multidisciplinary in nature and may change in composition depending on emerging needs, interests and opportunities. However, the core functions necessary for programme management are adequately maintained. Each team member's responsibilities for implementing RAU's activities are defined in the joint project document and annual work plans, and in accordance with applicable rules, regulations, policies and procedures, including those relating to procurement.

FAO has handled the administrative functions for RAU since its formal inception in May 2014, but once the offices at ICPAC are ready RAU will move there.

Scientific advisory board

The scientific advisory board consists of leading resilience measurement scientists from academia, international organisations – including the Consultative Group on International Agricultural Research – and regional universities and organisations working on resilience measurement and data systems. This board is an external team and focuses on RAU’s results framework, unlike other communities of practice such as the Global Resilience Measurement Technical Working Group and the Resilience Alliance that provide technical resilience measurement and analysis services globally.

The mandate of the scientific advisory board is to support RAU’s research agenda and advise the technical team on the fine-tuning, implementation and improvement of the methodology adopted for resilience analysis. Specifically, the scientific advisory board’s role is to:

- Guide the technical development of the resilience analysis tool and approach adopted by RAU by addressing the tool’s technical limitations and identifying areas with potential for improvement;
- Identify a subset of indicators that can be integrated into national surveys and used to measure and compare resilience over time and across various Horn of Africa contexts;
- Make recommendations to the technical team and provide them support on the analysis approach or tool, including in regard to quality assurance;
- Ensure the flow of new ideas to RAU and enhance the knowledge sharing process;
- Participate in important RAU planning and evaluation processes through its chairperson or a designee.

Involving the scientific community in resilience measurement processes will help RAU create the open and transparent environment necessary for building its credibility and relationships with IGAD’s Member States and other stakeholders.

Since the scientific advisory board is not an executive body and its function is limited to maintaining a technical focus on methodological issues, RAU will ultimately be held accountable for any final output of its activities such as resilience measurements. Annex 2 provides additional information on the scope of the scientific advisory board’s activities and the qualifications required for its members.

Membership of RAU

To become a member of RAU and participate in the joint programme, an organisation should send an official letter with the organisation's profile to IGAD, which chairs RAU, expressing clearly the reasons for seeking to become part of the programme and the added value that the organisation will bring to RAU. The chair will share the letter with the other RAU members either during a meeting or by e-mail for approval by consensus. The response from the chair will be communicated to the organisation once a decision is taken.

Once enrolled, RAU members are required to designate one technical person and one delegate to the management advisory board. For practical reasons, it is preferred that the member organisations' staff be assigned to RAU on a regular basis. The technical delegate will not just serve as a focal point but will represent his or her organisation in all the technical operations of RAU as a full-time staff.

5.2 Funds management

The joint programme will operate under the three fund management modalities of parallel, pooled and pass-through arrangements¹⁴ (see Annex 4 for the joint programme's budget for 2016–2018).

The **parallel funds management** approach is likely to be the most effective and efficient choice when the interventions of participating UN organisations are aimed at common results but have several national, subnational and/or international partners. Under this option, each organisation manages its own activities from the common work plan and the related budget, whether the funds are from regular or other resources. The activities to be undertaken and managed by RAU in this situation have to be thoroughly considered by the RAU technical team and the management advisory board for clearance and endorsement.

Under **pooled funds management**, participating UN organisations pool their funds for a programme together and select one from among them, called the managing agent, to oversee their administration. The managing agent is chosen in consultation with the subnational or national partner.

¹⁴ RAU will follow the specifications provided in the United Nations Development Group guidance note on joint programming and fund management modalities.

Pass-through funds management is an arrangement under which two or more organisations develop a joint programme, identify funding gaps and submit a joint programme document to donor(s) for funding. The pass-through modality applies if the donor and participating UN organisations agree that the funds be channelled through one of the UN organisations. This organisation, called the administrative agent, is selected jointly by all the participating UN organisations in consultation with the government of the country. The common work plan will indicate the activities to be supported by each organisation, while the indirect costs to be charged by each organisation will be reflected in the respective budgets. The programmatic and financial accountability will rest with the participating UN organisations and the subnational or national partners that will be managing their respective components of the joint programme.

Each of these options has its advantages and limitations. Using them all will provide flexibility in funds management and increase funding opportunities. The options can be combined or used individually. The rationale and the decision to use one or a combination of them for a joint programme will be based on which option will ensure the most effective, efficient and timely implementation of the programme and reduce the transaction costs for the partners, donors and the UN agencies. The management advisory board will provide guidance on the most appropriate modality to use.

5.3 Other partners and relevant initiatives

Various academic, research, development and humanitarian organisations are working on various aspects of resilience building and measurement within and outside the IGAD region. RAU will coordinate closely with these partners and leverage their comparative advantage in resilience analysis.

RAU will undertake a periodic stakeholder assessment, including for initiatives of its partners, regional platforms and working groups. On the basis of such assessments, it will identify the most appropriate modes of collaboration and coordination of activities with its partners in order to maximise the synergies and long-term impact of the programme. Some of the relevant initiatives identified by the preliminary study include:

- The Comprehensive Africa Agriculture Development Programme's knowledge sharing platforms, including the country level strategic analysis and knowledge support systems (SAKSS) and the regional SAKSS for East and Central Africa;
- The Drylands Learning and Capacity Building Initiative for Improved Policy and Practice in the Horn of Africa;
- The Food and Nutrition Security Working Group;
- The Global Alliance for Action for Drought Resilience and Growth;

- The Global Resilience Partnership;
- The Resilience Measurement Technical Working Group;
- The Resilient Africa Network;
- The Technical Consortium for Building Resilience to Drought in the Horn of Africa;
- The USAID East Africa Resilience Learning Project.

The RAU team has started collaborating with a number of institutions, which are providing technical guidance, inputs and field support for its activities according to their areas of expertise and experience.

6. Monitoring, evaluation and reporting

Throughout its duration, the joint programme will be monitored against the outcomes and output indicators in the results framework matrix by the management advisory board with the oversight of the Regional Executive Council. Overall, the status and progress of the implementation of the entire programme will be reviewed on a six-monthly basis jointly by the management advisory board and the technical team, in accordance with the work plans and under the close supervision of the Regional Executive Council. The results of these periodic reviews will be included in a standard progress report template. The annual work plans for the following years will be based on these reports.

An independent and comprehensive mid-term review of the joint programme will be undertaken in mid-2016 to examine its continued relevance, efficiency and effectiveness and to recommend the necessary amendments to its framework based on the changing circumstances and emerging priorities. Furthermore, an independent outcome evaluation will take place toward the end of the programme in 2018 to provide a comprehensive assessment of its overall performance. This evaluation will consider the extent to which the programme has achieved its overall outcomes and objectives and make recommendations for its future.

Based on the funding modality, RAU partner organisations and the management advisory board will be responsible for the regular monitoring and evaluation exercises and preparing the regular narrative and financial reports according to donor requirements and based on the contributions received and activities mandated within the programme. The outcomes of these reviews and progress update exercises will feed into the overall annual monitoring processes.

6.1 Evaluation and regular annual reviews

After completion of the programme, an evaluation will measure the outcomes against the indicators from the results framework following a standard approach. An evaluation plan is in place to ensure that all programmes supported through the joint programme document will undergo a final evaluation that will assess the relevance and effectiveness of the intervention and measure the development impact of the results achieved. The partner organisations together will lead these reviews.

6.2 Monitoring risk

The management advisory board regularly reviews the risks and other possible serious concerns that might encumber the implementation of the programme. The board makes recommendations as to whether the existing measures to address the risks or the management response are adequate or need to be amended. Details on the revised risks and the related decisions are sent to all participating agencies through the board.

6.3 Reporting

At the RAU level, the participating agencies are required to provide relevant information on the results achieved, lessons learned and contribution made to the joint programme. The RAU technical coordinator consolidates this information into a narrative progress report every six months. The management advisory board provides the Regional Executive Council with a progress report on the implementation of the joint programme every six months, as well as regular updates on the financial status, for the council's review and decision. The participating agencies share the reports internally following their own procedures for review and action as appropriate.

As part of the reporting process, partners will inform each other of the source of funds allocated to the joint programme, independent of the fund management option, and conduct any resource mobilisation efforts for the joint programme in a coordinated manner.

While the reporting will cover both the technical narrative and financial status, it will address an aggregated work plan and budget for the joint programme with the resources available under each fund modality.

The management advisory board is responsible for providing the following reports:

- Semi-annual narratives and informal updates related to the applicable reporting period or attached to the implementation of activities;
- The annual financial report, based on the calendar or fiscal year;
- A final narrative report after all joint the programme activities financed jointly or through parallel arrangements are completed;
- A final and certified financial statement after the project activities are closed.

The funding modality and arrangements will determine the reporting format.

Annexes

Annex 1. Terms of reference for the RAU management and coordination structure

Regional Executive Council

The Regional Executive Council is RAU's highest administrative body. It provides guidance to RAU through the management advisory board. The council meets every six months, a month before the IDDRSI steering committee meeting.

The council membership comprises the senior officials of the RAU member organisations. Chairing of the council may be on a rotational basis. The management advisory board serves as the secretariat of the council, and its members hold a non-voting status in the council.

The RAU technical team is represented on the council through its technical coordinator, to provide technical briefing when necessary, but the coordinator has a non-voting role. The following are the procedures observed by the council and its responsibilities:

- As applicable, indicate and record at the beginning of each meeting whether the members have been delegated decision-making authority by their respective organisations;
- Ensure that RAU's short- and long-term plans are aligned with IDDRSI goals, requirements, policies and directions in the IGAD region;
- Assess RAU's outcomes vis-à-vis its results framework;
- Approve RAU's annual work plan and budget;
- Note the recommendations from the management advisory board;
- Approve the terms of reference and rules and procedures of RAU;
- Lead the resource mobilisation efforts;
- Approve the project documents before they are submitted to donors;
- Suggest appropriate actions for emerging challenges;
- Create synergies with and seek agreements on similar programmes and projects supported by other donors;
- Approve the communication and public information plans and notices.

Management advisory board

The management advisory board is the key RAU management body, and it reports the Regional Executive Council.

The board is chaired by IGAD and constitutes delegates of RAU's member organisations, which are FAO, IGAD, OCHA, UNDP, UNICEF and WFP. In addition, the PCU coordinator or a designee is a member of the board. The position of secretary is filled by rotation by RAU member organisations.

The technical team is represented on the management advisory board by its technical coordinator. Other technical team members may participate in board meetings as deemed necessary, to contribute in their respective areas of expertise.

The management advisory board meets quarterly, but extraordinary meetings are called as deemed necessary. Specifically, the board:

- Reviews the technical team's report and assesses its performance and progress towards the strategic outcomes in the five results areas and makes recommendations to the Regional Executive Council for relevant changes;
- Makes recommendations to the Regional Executive Council on funding allocations;
- Reviews and provides technical input for RAU's annual plans and budgets and submits these to the Regional Executive Committee for approval;
- Ensures that the funding arrangement adopted by RAU is adhered to;
- Makes recommendations to RAU on the mechanisms to improve the effectiveness of the delivery of each result area;
- Provides an interim report to nominating organisations on RAU's progress;
- Identifies changes in RAU's context with implications for programme implementation and progress, and makes recommendations to the technical team for amendments to RAU's annual plans.

RAU technical team

The technical team is responsible for the implementation and coordination of the day-to-day activities per the annual plans. It includes a combination of full-time and part-time international and national staff from different technical fields, selected competitively and seconded from participating UN organisations and IGAD. The team has multidisciplinary backgrounds, and its composition may change over time depending on emerging needs, interests and opportunities, but its core functions are maintained as necessary for programme management. Each team member is responsible for implementing certain activities as per the joint programme document and annual work plans, and in accordance with their organisation's applicable rules, regulations, policies and procedures, including those relating to procurement. The team will have the following as members:¹⁵

¹⁵ This is the proposed structure as at June 2014, which may change during the course of the programme implementation depending on secondment opportunities and funding availability.

- Technical coordinator
- Econometrician
- Statistician
- Risk and vulnerability analyst
- Nutritionist/food security specialist
- Socioeconomist
- Ecosociologist
- Disaster risk reduction analyst (recovery and climate change adaptation)
- Climatologist

The roles of the technical team members include:

- Contributing skills, knowledge and experience in the delivery of the agreed joint project result areas in support of the effective implementation of IDDRSI goals;
- Attending regular meetings convened by the technical coordinator to report on the status of their respective area of assignment and to jointly review the progress in implementation of their activities, as a means of ensuring effective delivery of the RAU key results;
- Assessing and reviewing the methodologies of resilience analysis in the region and beyond as needed;
- Using the agreed templates to prepare six-monthly reports in each key result area for submission to the management advisory board after compilation by the technical coordinator with input from other team members;
- Fostering regional and international partnerships in resilience analysis and organising periodic events to facilitate the exchange of experiences and views on resilience measurement;
- Producing professional publications that will inform policy-makers and development practitioners;
- Serving as non-voting members of the management advisory board and the Regional Executive Council.

Annex 2. Terms of reference of the scientific advisory board

Since no single methodology or tool can analyse the multiple dimensions of resilience of people, households and communities to different shocks and contexts, a pluralistic research agenda will be at the core of RAU's strategy. To this end, wide-ranging expertise with different perspectives will be brought on board, and knowledge at various levels mobilised and analysed in order for RAU's research agenda to succeed. RAU will establish a scientific advisory board with experts from the global Resilience Measurement Technical Working Group as well as international, regional and national organisations. Professionals will be recruited based on their expertise in resilience measurement methodology. The scientific advisory board will provide essential support to RAU's research agenda and advice on the application of the mixed-methods approach to analyse social, environmental and economic factors contributing to or undermining the resilience of households, communities, institutions and systems in the IGAD region.

The scientific advisory board will:

- Advise RAU on the broadly agreeable and applicable approaches and tools to produce comparable resilience measurements in the Horn of Africa relevant for a subset of indicators that can be used to measure and compare resilience over time and across contexts;
- Provide the technical team with recommendations, support and quality assurance advice on the application of approaches and tools;
- Ensure the flow of new ideas to RAU, enhancing the knowledge sharing process;
- Participate in the main RAU planning and evaluation processes through its chairperson or a designee.

The scientific advisory board is required to provide advice on the following:

- Assess values and limitations of various existing methodologies and tools, including the resilience context analysis as employed in Karamoja, Uganda, the mixed-methods application of RIMA as utilised in Somalia and the CoBRA tool. Specifically, the scientific advisory board will look critically at what the methodologies can address and their limitations and what can be done to overcome them.
- Empirical analysis: Provide scientific support in designing, implementing and critically assessing RAU's work in producing evidence-based knowledge on the resilience to shocks of vulnerable groups in the Horn of Africa;
- Creation of a data laboratory for providing secure access to the detailed data available in the region and for stakeholders to utilise the available data sources in resilience measurement;

- Identification of a strategy for using evidence-based data in policy-making and dissemination of the results to wide audiences, particularly scientific community stakeholders.

The experts to be considered for selection as members of the scientific advisory board should meet all the following criteria:

- Specialisation in quantitative and/or qualitative methods of social research;
- Specialisation in designing and managing complex programmes, including familiarity with monitoring and evaluation systems;
- Thorough understanding of the regional context of shocks, vulnerability, disaster and conflict, risk management and determinants of resilience such as food security and livelihoods, social services and human capital, social protection and safety nets, environment and climate change, peace and security, political economy, etc. and how these play out at the household, community, institutional and systems levels;
- Demonstrated scientific expertise with established regional or international credibility as proven by publications in peer-reviewed scientific journals on topics related to resilience in drylands, which encompass arid, semi-arid and dry subhumid lands;
- Experience in areas related to resilience, for example in provision of expert advice to policy-makers, civil society organisations or other stakeholders;
- Ability to bridge scientific knowledge and policy-making, demonstrated by the skills to constructively relate scientific discussions to the work of policy-makers and practitioners and to clearly communicate complex issues to a wide audience;
- Ability to network, demonstrated by the expert's experience in engagement in relevant international and regional forums and processes that are complementary to the work of RAU;
- Time availability, demonstrated by the expert's willingness to carry out the activities of the scientific advisory board, including attending its periodic meetings.

The meetings of the scientific advisory board will follow several guidelines:

- The organisation of the meetings of the scientific advisory board will be handled by the RAU team in consultation with the management advisory board. Other institutional partners to be engaged through the conference outreach and partnership building process, including those taking part in the meetings of the scientific advisory board, may offer support in the organisation of the meetings if they wish to do so.
- The chair of the scientific advisory board will be selected by its members. In the absence of the chair, an acting chair will be elected from among the members present to oversee the meeting.

- Following each meeting, a written report of the discussions and conclusions will be provided to the scientific advisory board by the RAU team.
- The first meeting of the scientific advisory board will be scheduled for a date to be decided by the management advisory board. All invited members will be funded.
- A maximum of three meetings should be held by the scientific advisory board per year, but this may be revised over the three years of the implementation of the joint programme. The possibility of holding virtual meetings also may be explored by the conference organiser, if needed.

Annex 3. RAU’s analytical approach and principles

RAU is committed to providing a clear and comprehensive package that includes different levels of analyses and policy recommendations. Each approach will have an appropriate time and place, but in most cases each will address various aspects of a problem and answer questions that another approach cannot answer as well or not at all. In specific terms, these approaches include:

- The resilience context analysis tool (Figure 1);
- In-depth analysis through a mixed-methods approach integrating qualitative and quantitative approaches;
- Policy analysis and recommendations. For each stage of analysis, a unique level of policy recommendations can be provided, with their limitations highlighted.

The different types of analysis may be combined by (1) confirming, refuting, enriching or explaining the findings of one approach with those of the other, or (2) merging the findings of the two approaches into one set of policy recommendations.

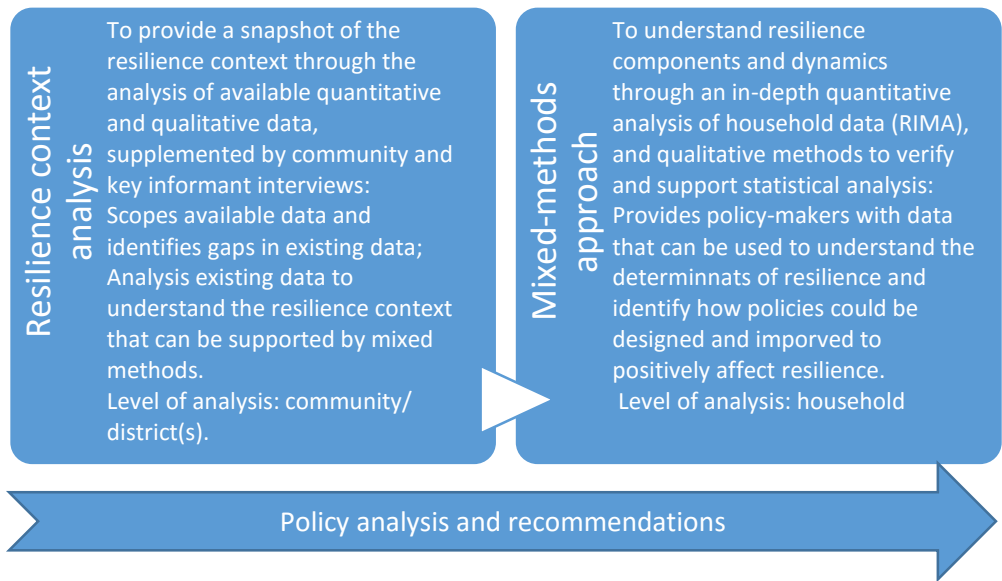


Figure 1: Sequence of the analysis.

Context analysis

Resilience context analysis (RCA) is a study that aims to understand resilience in a given context through analysis of available quantitative and qualitative data, supplemented by community consultations and key informant interviews. It also provides a scoping of the available data to identify gaps in understanding of resilience in a given context. Overall, it is an effort by a multidisciplinary and inter-agency team to align resilience analysis with and to support national and regional policy development and programming on resilience. By doing so, RCA also seeks to contribute to the development of resilience analysis methodologies.

Given its features, RCA may serve as an entry point for the in-depth study of resilience. It is a flexible approach that can be adapted according to the context, available data and objectives. Further, it aims to provide guidance and a basis for national or local level resilience analysis in line with RAU's efforts on capacity building.

Depending on the availability of the data required to analyse resilience according to the shocks, outcomes and capacity set for RCA, the analytical approach needs to be agreed on. An example is provided in Figure 2 with data used for the RCA in Karamoja. The resilience conceptual framework¹⁶ provides a useful starting point to develop an analytical approach based on the context, objectives and available data. It shows how a combination of resilience measurement approaches considering qualitative and quantitative as well as subjective and objective data are used to analyse initial states and capacities at multiple scales from household to systems levels, and then the subsequent states and capacity aftershocks and stresses, while also bearing in mind the context in which the analysis takes place.

¹⁶ Adapted from a 2014 model by Frankenberger and Costas, RM TWG in FSIN Technical Series No. 2. 'A proposed common analytical model for resilience measurement: a general causal structure and some methodological options' (<http://www.fsincop.net/resource-centre/detail/en/c/267086/>).

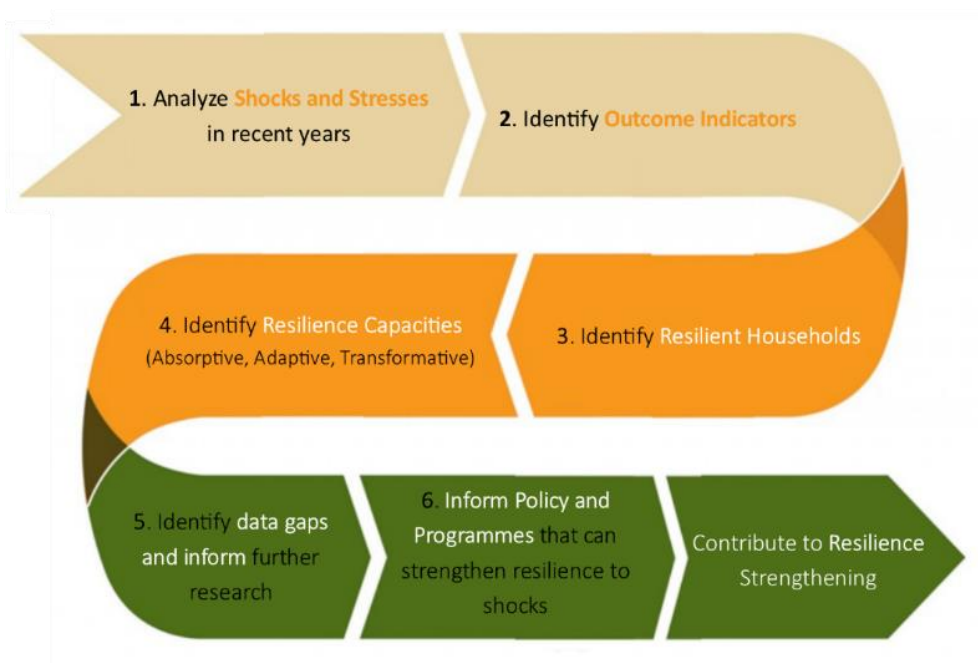


Figure 2: RCA analytical approach used in the RCA in Karamoja.

Mixed-methods approach

RAU will use the mixed-methods approach already piloted in Somalia and build on the experiences gained from that exercise. The method combines the strengths of qualitative and quantitative methods, using them to inform and complement each other. An econometric analysis of survey-based data may be the main method relevant for an impact evaluation such as that designed for the joint Somalia strategy, but it will be combined with community-based resilience analysis tools in order to generate a comprehensive analysis and aid the understanding of the complex factors in resilience analysis.

The mixed-methods application of the resilience index measurement and analysis model (RIMA) used to measure resilience in Somalia as part of a joint FAO-UNICEF-WFP resilience strategy started in 2012. Qualitative and quantitative methods were used to inform and complement each other, allowing an understanding of resilience that is appropriate to its complexity and dynamism. The quantitative methodology for measuring resilience in this exercise was based on FAO's econometric approach, RIMA, which has been integrated with and complemented by qualitative data collection including from community consultations, focus group discussions and strategic research. The process for the impact evaluation for that joint resilience strategy follows the sequence below (also see Figure 3):

- Step A: Qualitative data are collected to form a context-specific picture of resilience and the structured household survey corresponding to it.
- Step B: The RIMA model is applied to panel or longitudinal data using statistically proportionate household sample sizes. The data used must have been collected over at least three years.
- Step C: Qualitative data are used to validate and complement the econometric results.
- Step D: Based on the results of the qualitative analysis (Step C), additional structured surveys are carried out to generate more panel data.

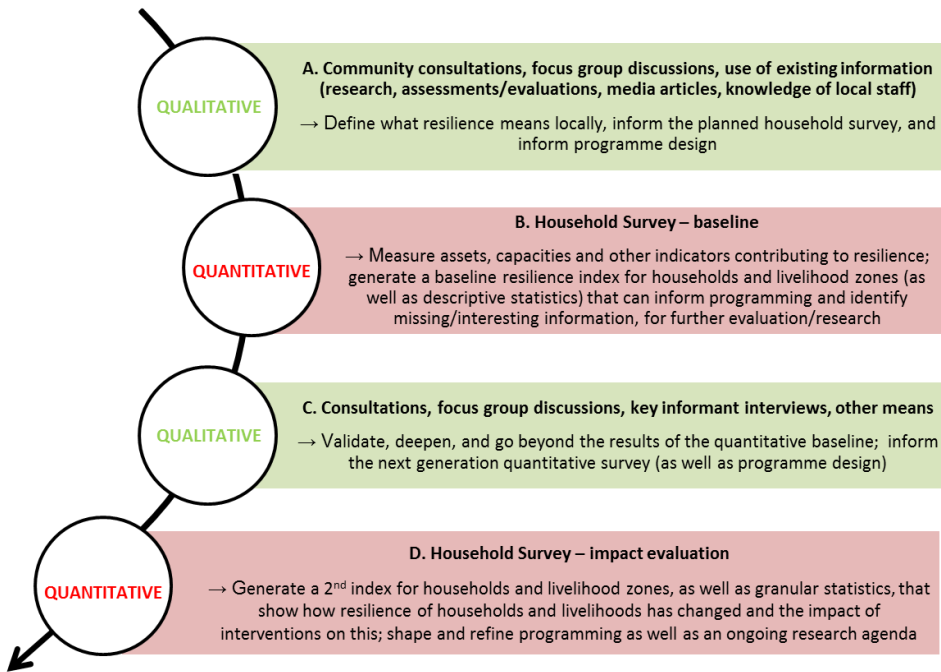


Figure 3: Integrating qualitative and quantitative methods in the mixed-methods approach.

This method generates a resilience index for a household that can be aggregated to livelihood zones and gender groups. It also provides a set of descriptive statistics that allows cross-tabulation and analysis of interactions between variables relevant to resilience, as well as assessment of their impact on the overall resilience index. Together with qualitative data from consultations, the index-based and quantitative findings are accompanied by a narrative analysis on the determinants of resilience in the contexts where the data were collected. Over time, with a panel data set, the impact of interventions on resilience of different groups can be evaluated using this method.

Community-based resilience analysis

Community-based resilience analysis (CoBRA)¹⁷ is a participatory, qualitative resilience measurement tool developed in 2012 through the facilitation of the UNDP Drylands Development Centre and tested in selected pilot counties, subregions and woredas in Ethiopia, Kenya and Uganda. A community's perceptions of resilience are qualitatively explored in consultations, ensuring that resilience is defined according to the local realities and aspirations rather than preconceived (external) frameworks. The communities then quantitatively assess their progress in achieving this locally specific version of resilience, identify households that are more (or fully) resilient, and specify the interventions they believe would best build resilience.

The CoBRA methodology has four broad objectives:

- To identify the priority characteristics of disaster resilience for a target community;
- To quantitatively gauge the community's possession of these characteristics at the time of the assessment and during the last crisis or disaster;
- To identify and rank the characteristics and strategies of disaster-resilient households;
- To identify the most highly rated interventions or services in building local disaster resilience.

Figure 4 provides an overview of the CoBRA model, while Figure 5 outlines the steps to be taken for the CoBRA field assessment, including the questions to be addressed in each step.

¹⁷ <http://www.disasterriskreduction.net/drought-online/cobra/en/>

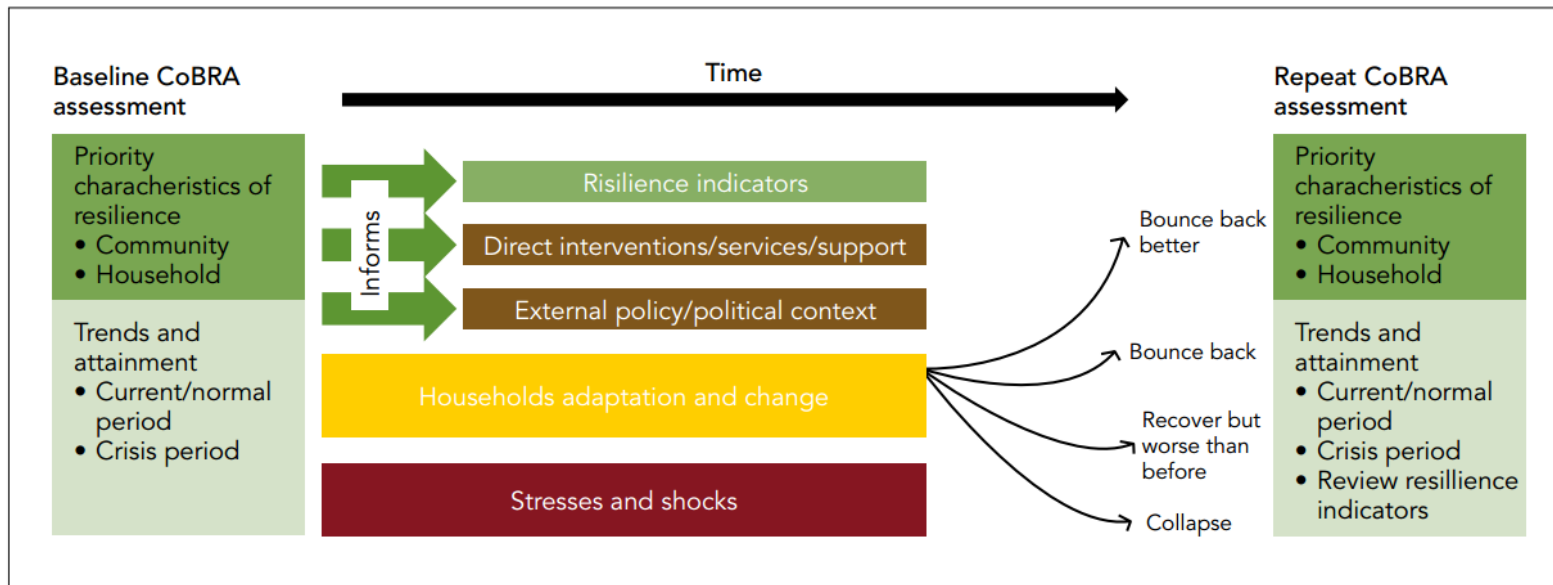


Figure 4. The CoBRA model.

FGD Step 1. Agree on the definition of resilience: What does a 'resilient' community look like? What are the main hazards or shocks facing the community?

FGD Step 2. Identify resilience characteristics: What does a 'resilient' community look like? What are the characteristics of a resilient community?

FGD Step 3. Prioritize resilience characteristics: What are the three most important characteristics of resilience in the community, ranked by importance?

FGD Step 4. Rate the community's progress in attaining the priority resilience statements: On a scale of 0 to 10, to what extent has this community achieved each of these characteristics in the current period and in the last crisis period?

FGD Step 5. Identify the households in the community that have achieved (fully or partially) the resilience characteristics and list their common features and attributes

FGD Step 6. Identify interventions that have contributed to household resilience: What interventions have helped to enhance households' level of resilience, and what additional/future interventions would help to build resilience further?

KII with nominated resilient households: What factors or characteristics have contributed to your household's resilience? How did your household become resilient? Why do you think your family coped better with shocks and crises affecting the community? What interventions do you think would best build wider resilience in this community?

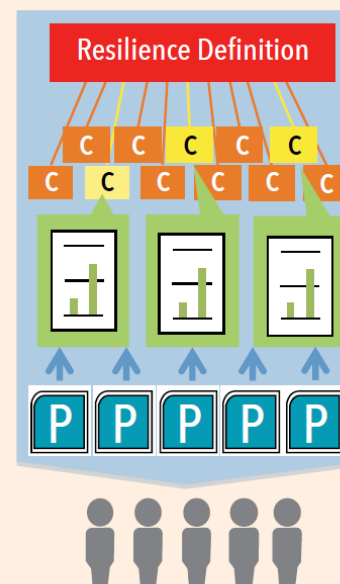


Figure 5. The CoBRA field assessment steps and questions addressed.

Way forward for RAU's application of mixed-methods approaches in resilience analysis and measurement

- RAU will develop a coherent analytical framework and relevant methodological approaches based on those that exist or are in development such as the mixed-methods application of RIMA jointly developed in Somalia by FAO, UNICEF and WFP and the CoBRA tool developed by UNDP. Through this, RAU will develop a core set of process and outcome indicators relevant to resilience that may be compared across the region or across contexts to guide evidence-based advocacy and the development of regional and cross-border policies and programmes.
- RAU will link with existing sets or sources of data in Member States' central bureaus of statistics – especially those available within the UN system and those from regional or national partners and stakeholders, including the World Bank (LSMS) – to generate analyses that can inform policy and programming to build the resilience of vulnerable groups to shocks.
- RAU will consider how and *when* new data are collected for indicators relevant to resilience – since some indicators or aspects of resilience may need to be analysed and measured more frequently than others – and generate M&E guidelines on collection of indicators for countries across the region.
- RAU will link resilience with policy by viewing policy as one of the key determinants of resilience, for instance through interventions on social inclusiveness and equity, public investment programming, and social protection and development, as well as striving to inform policies in ways that strengthen the resilience of vulnerable groups to shocks and stresses.
- RAU will create knowledge sharing mechanisms to institutionalise resilience programming or policy informed by evidence and to promote capacity development in this regard.
- Following a learning-by-doing approach, RAU will select a set of initial countries to engage in resilience analysis, ensuring that its support is demand driven and in line with existing work and requirements of the actors supporting resilience.

Annex 4. RAU's budget and work plan, 2016–2018

Result	Outputs	Summary of activities	No. of activities or items	Cost/unit	2016	2017	2018	Total Budget
1. Monitoring and evaluation systems enhanced	1.1 Baseline data for CPPs collected	Organise baseline survey design and data analysis learning workshops that will involve at least 50 experts from 7 countries	2 workshops	85,000	85,000	85,000		170,000
	1.2 Thresholds of resilience identified	Analysis of secondary data, including spatial data evaluation research to establish a baseline for resilience measurement	7 studies, at least 1 in each country	120,000	480,000	360,000		840,000
	1.3 Resilience dimensions identified and incorporated in the M&E systems	Organise participatory consultation forums to discuss results of resilience threshold to link them with the M&E frameworks of the CPPs	5 country participatory M&E review workshops	120,000	360,000	240,000		600,000
Subtotal for result 1					925,000	685,000		1,610,000
2. Resilience research and networking enhanced	2.1 Joint resilience research undertaken	Undertake resilience research in selected areas of the 7 IGAD Member States, including across borders	7 studies, at least 1 in each country	120,000	480,000	60,000		840,000
	2.2 CPPs/RPP risk mapping developed	Develop a regional risk map	1 regional risk map	25,000	25,000			25,000
	2.3 Resilience context analysis undertaken	Undertake resilience context analysis in IGAD Member States	3 resilience context analyses	60,000	180,000			180,000
	2.4 Resilience knowledge management mechanisms developed and implemented	Profile knowledge products from series of researches across the RAU result areas and others; Establish a platform focusing on resilience measurement (e.g. National Resilience Analysis Task Force)	National resilience analysis established in the IGAD Member States (7)	45,000	180,000	135,000		315,000
	2.5 Knowledge sharing and learning promoted	Knowledge sharing events and peer learning through exchange visits and seminars	At least 4 collaborative events and 5 learning workshops and/or conferences	50,000	150,000	150,000	150,000	450,000
	2.6 Scientific advisory board established operational	Establish membership and engagement of scientific advisory board to provide expert inputs and assurance of RAU technical work	1 scientific advisory board involving 9 members	Estimates	80,000	80,000	80,000	240,000
	2.7 Establish sentinel data collection site	Establish 4 sentinel data collection sites in selected countries	4 sentinel data collection sites	50,000	100,000	100,000		200,000
Subtotal for result 2					1,195,000	825,000	230,000	2,250,000

Result	Outputs	Summary of activities	No. of activities or items	Cost/unit	2016	2017	2018	Total Budget
3. Policies and programmes for resilience strengthened	3.1 Country policies and strategies reviewed for their contribution to strengthening resilience in line with CPPs	Review of macro-economic policies and strategies in 6 IGAD member states	4 policy reviews in 4 countries	25,000	100,000			100,000
	3.2 Relevant studies on resilience analyses profiled to inform policy-makers and resilience programming at regional and national levels	Organise policy dialogue to inform resilience policies and programmes in the IGAD Member States	7 policy dialogue workshops	120,000		480,000	360,000	840,000
Subtotal for result 3					100,000	480,000	360,000	940,000
4.Capacity development for resilience measurement and analysis	4.1 On-the-job learning on resilience measurement and analysis conducted	Organise series of learning workshops for technical and policy-makers from the IGAD member states	Phase 1 workshop (50 participants)	96,000	96,000	106,000		202,000
			On-the-job training package 1 for selected Member States		77,000	82,000		159,000
			Phase 2 workshop (35 participants)	67,000	67,000	73,700		140,700
			Post-training evaluation	12,000	12,000			12,000
			Phase 3 workshop (35 participants)	67,000	67,000	73,700		140,700
			On-the-job training package 2 for selected Member States		72,000	95,000		167,000
	4.2 Revise the two learning modules based on review of the first series	Commission a panel of experts to review two resilience learning modules	Revision of 2 modules	50,000		50,000		50,000
	4.3 Organise learning workshop for policy and technical experts	Learning workshops organised	1 workshop	45,000		45,000		45,000
Subtotal for result 4					391,000	525,400		916,400
Subtotal of results 1–4 (programme costs)					2,611,000	2,515,400	590,000	5,716,400
5.Coordination and management of RAU	5.1 Staff cost							
	Technical staff	1 coordinator and 8 experts in various fields	Estimate		850,000	850,000	850,000	2,550,000
		Econometricians			78,870	78,870	10,100	167,840
	Short-term technical assistants	Technical experts (GIS, data management)	80 days	250	20,000	20,000		40,000
	Short-term technical assistants	Programming & policy expert (translating RAU analysis into programming & policy implications)	6 months	12,500	75,000	75,000		150,000
	Administrative staff	Provide RAU with the sufficient support staff (IT assistant, programme assistant,	Estimate		240,000	240,000	240,000	720,000

Result	Outputs	Summary of activities	No. of activities or items	Cost/unit	2016	2017	2018	Total Budget
		administration and finance assistant, communication officer)						
Subtotal of staff costs					1,263,870	1,263,870	1,100,100	3,627,840
	5.2 Operational costs (provide RAU with the necessary institutional facilities for effective and efficient operations)	Office rent contribution	15	2000	30,000	30,000	30,000	90,000
		Laptops	12	1600	19,200			19,200
		Software (10 single-user STATA/MP 13 (32-core) licenses		12,950	12,950			12,950
		Vehicle running expenses	Estimate		10,000	10,000	10,000	30,000
		Communications	Estimate		15,000	20,000	15,000	50,000
		Security contribution	Estimate		6,000	6,000	6,000	18,000
		General office expenses	Estimate		10,000	10,000	10,000	30,000
		Internet utilities	Estimate		12,000	12,000	12,000	36,000
		Travel for partnership and networking	Estimate		7,000	7,000	4,500	18,500
Subtotal of operational costs					122,150	95,000	87,500	304,650
Subtotal for result area 5					1,386,020	1,358,870	1,187,600	3,932,490
Grand total					3,997,020	3,874,270	1,777,600	9,648,890