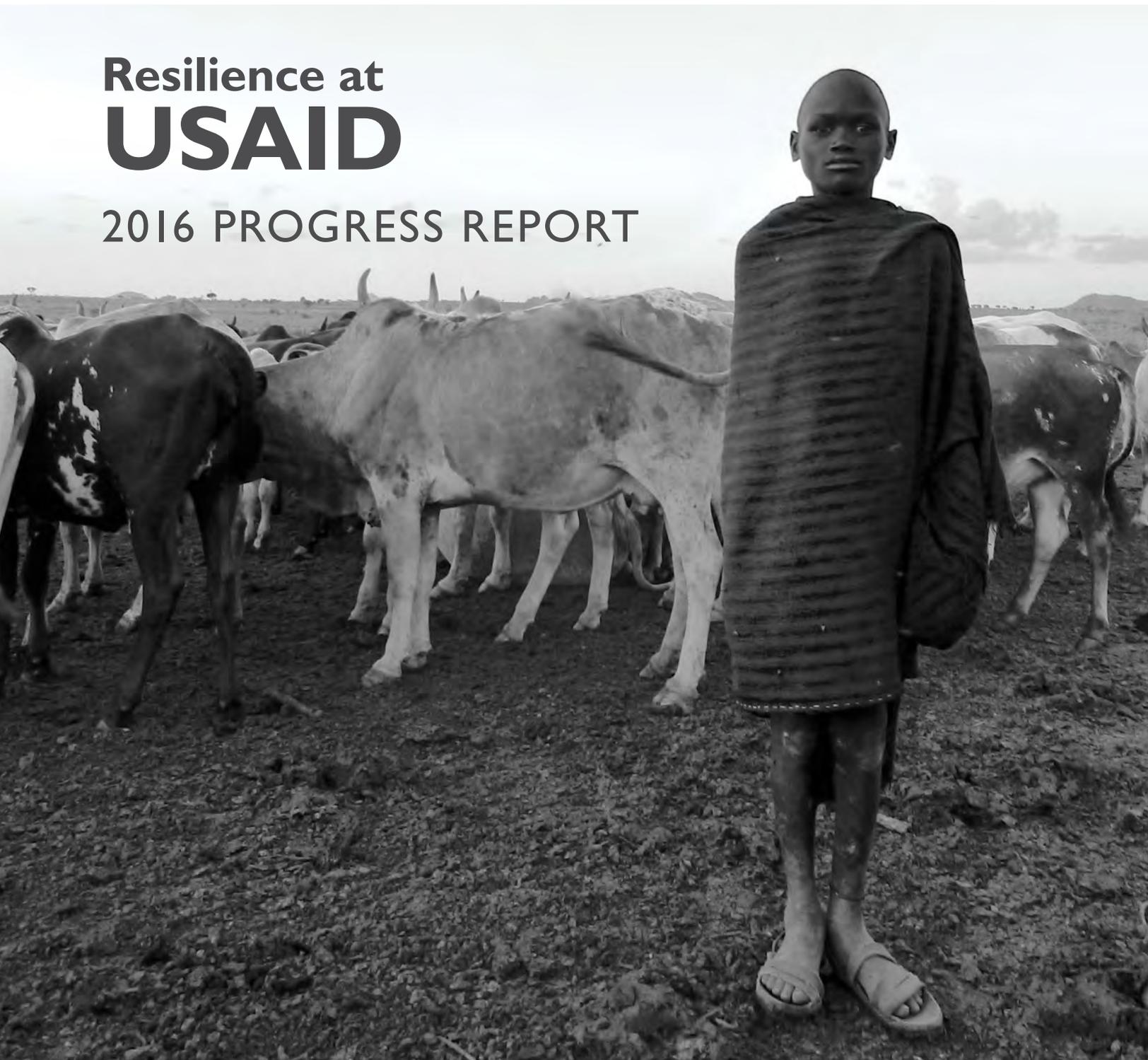


# Resilience at **USAID**

## 2016 PROGRESS REPORT



**USAID**  
FROM THE AMERICAN PEOPLE

CENTER FOR  
**RESILIENCE**



As Co-Chairs of the recently formalized Resilience Leadership Council, we are delighted to share the inaugural Resilience in USAID Progress Report. Our whole-of-agency efforts have come a long way since the large-scale drought emergencies in the Horn of Africa and Sahel in 2011–2012 that gave rise to these efforts and the 2012 Policy and Programming Guidance on Building Resilience to Recurrent Crises.

We have expanded our programs and investment in Africa and Asia in support of country-led efforts and regional institutions, launched the Global Resilience Partnership, advanced thinking and practice on risk and resilience measurement, consolidated learning from our eight case ‘proof of concept’ resilience portfolio in Ethiopia, Kenya, Uganda, Somalia, Niger, Burkina Faso, Mali and Nepal, and established a cross-agency Resilience Leadership Council to guide and grow these efforts. We have also established the Center for Resilience and the position of Agency Resilience Coordinator to provide thought leadership and strategic and technical guidance on resilience to these and a growing number of other countries and missions.

The growing intensity and complexity of risk from climate change and variability to price shocks, health crises, political instability and outright conflict only serves to reinforce the importance of these efforts, as does the global impact of el Niño in 2015–16. Both also underscore the broader relevance of resilience to Agency priorities such as ending extreme poverty, improving food security, and achieving the ambitious aims outlined in the Sustainable Development Goals.

The early results of these efforts and investment in resilience are compelling and speak to the importance and effectiveness of building resilience. In the year ahead, we will continue to advance and expand this critically important work.



Beth Dunford  
Assistant to the Administrator, Bureau for Food Security  
Deputy Coordinator, Feed the Future



Gregory C. Gottlieb  
Senior Deputy Assistant Administrator,  
Bureau for Democracy, Conflict and Humanitarian Assistance



A photograph of a traditional thatched hut with a conical roof, situated in a dry, arid landscape. The ground is rocky and dusty, and there are some sparse, dry plants. The sky is clear and blue. The hut is made of natural materials, with a thatched roof and walls made of sticks and mud. A person's hand is visible in the foreground, holding a piece of wood or a branch.

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**T**his report provides an overview of USAID’s progress in shaping and implementing a vision for building resilience to recurrent crises following the large-scale drought emergencies in the Horn of Africa and Sahel in 2011–12.

**Section 1 – Impetus and Rationale** – describes the impetus and rationale for investing in resilience, how USAID defines and conceives of resilience and distinguishing features of our efforts to date. It also frames our emergent resilience portfolios in the Horn of Africa, Sahel and Asia, as well as core areas of investment.

**Section 2 – Focus Countries for Building Resilience** – describes progress in each of eight focus countries, including our flagship efforts in Kenya, Ethiopia, Niger and Burkina Faso, as well as more recent efforts in Somalia, Uganda, Mali and Nepal. This includes the progress of USAID’s investments and programs, as well as the country-led efforts to which they are aligned.

**Section 3 – Key Partnerships** – provides an overview of key partnerships, including regional partnerships in the Horn of Africa and Sahel/West Africa, as well as the Global Resilience Partnership between USAID, the Rockefeller Foundation, and the Swedish International Development Cooperation Agency (Sida).

**Section 4 – Institutionalizing Resilience** – describes structures we have put in place to drive and expand resilience efforts in USAID. This includes Mission-level resilience coordinators and coordination structures. It also includes the creation of a cross-bureau Resilience Leadership Council, Center for Resilience, and Resilience Coordinator position in USAID Washington.

**Section 5 – Future Directions** – looks forward and outlines our vision for the broader relevance of resilience to ending extreme poverty, achieving the Sustainable Development Goals (SDGs) and engaging fragile states. It also outlines our vision for expanding our efforts in the wake of the current El Niño weather phenomenon.

In the wake of large-scale humanitarian emergencies in the Horn of Africa and the Sahel in 2011–12, there was a collective recognition by USAID, other donors, governments and a wide array of humanitarian and development partners that treating recurrent drought crises as acute emergencies—and chronic vulnerability as a perpetual humanitarian risk—is extremely costly and unsustainable.

This cost includes loss of life, livelihoods, and aspirations. The quarter of a million people that died in Somalia during the famine in 2011–12, half of whom were children under five, is a devastating example. It also includes the cost to national and regional economies. For example, it is estimated that drought crises resulted in over \$12 billion in losses to the Kenyan economy between 2008–2011. Finally, responding to repeat, large-scale humanitarian emergencies is extremely costly. The \$1.5 billion that the United States Government provided in responding to drought emergencies in the Horn of Africa and the Sahel in 2011–12 alone illustrates the scale of this recurrent liability.

Drought and other climate events related to El Niño this year provide a stark reminder of these costs as well as the rationale for investing in resilience. They also demonstrate the value of these investments as described in relation to Ethiopia in section 2: Focus Countries for Building Resilience.

USAID defines resilience as “the ability of people, households, communities, countries and systems to mitigate, adapt to, and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth” (USAID, 2012). In short, it is the ability to manage adversity and change without compromising future well-being. As this suggests, resilience is a necessary condition—or set of capacities—for reducing and ultimately eliminating poverty, hunger, malnutrition, and humanitarian assistance needs in the complex risk environments in which we work and poor and chronically vulnerable people live.

## WHAT’S DIFFERENT (AND WHAT’S NOT?)

The concept of resilience is not new and has a long history in ecology, social psychology and other disciplines. Most of USAID’s development investments—and much of the work we do through humanitarian-funded recovery, rehabilitation or Disaster Risk Reduction (DRR) programs—already contribute to the resilience of the people and places with whom we work. So what’s different?

The use of resilience by USAID (and others) as an organizing concept and framework for analyzing and addressing the underlying causes of chronic vulnerability and recurrent crises is fundamentally changing where and how USAID works. The signature features of our “doing business differently” include:

- Focusing on people and places subject to recurrent crises as a development priority—rather than a perpetual humanitarian risk—with an initial focus where recurrent crises result in repeat, large-scale humanitarian emergencies.
  - There is also a growing recognition of the broader utility of resilience to ending extreme poverty and achieving the Sustainable Development Goals (see Section 5)
- More explicitly recognizing that shocks and stresses such as droughts and floods are perennial features of these landscapes, not anomalies, with a concurrent recognition of the broader set of shocks and stresses that underlie chronic vulnerability.<sup>1</sup>
  - Corresponding investment aimed at reducing and managing risk and building adaptive capacity (both broadly conceived) alongside efforts to facilitate inclusive growth
  - Programmatic flexibility to be responsive to shocks likely to occur during the program cycle, including Crisis Modifiers and broader, developmental responses (see Ethiopia)

<sup>1</sup> Examples include, but are not limited to, price volatility, population pressure, conflict and instability, climate change and variability, and idiosyncratic shocks such as a health crisis or the loss of a wage earner.

- Bringing together humanitarian and development assistance professionals with a wide range of sector expertise to comprehensively analyze the underlying causes of recurrent crises and design and implement interventions to address them.
- Identifying existing risk management and resilience capacities among the households, communities and countries with whom we work as a starting point upon which USAID investment can build.
  - The social capital and informal safety nets that people rely on during times of stress provide a prominent example, as do migration (and remittances) as an adaptive strategy, and the organic expansion of climate-smart agriculture practices, such as Farmer-Managed Natural Regeneration (FMNR) in the Sahel (see Box 1).

## BOX 1. FARMER-MANAGED NATURAL REGENERATION (FMNR) IN THE SAHEL

Farmer-managed (or assisted) natural regeneration is a low-cost, sustainable land-restoration technique that involves the systematic regeneration and management of trees and shrubs from tree stumps, roots and seeds. FMNR has had a profound impact on soil fertility and food and timber production in the Sahel and has proven to be a potent tool for improving food security, resilience and climate change adaptation. Over the last 30 years, the spread of FMNR and associated conservation agriculture practices from farmer to farmer has resulted in the “re-greening” of over five million hectares of farmland in Niger.

## USAID’S RESILIENCE PORTFOLIO IN THE HORN OF AFRICA, THE SAHEL AND ASIA

The humanitarian, development and economic costs resulting from recurrent crises described earlier provide the impetus and rationale for USAID’s \$300 million per year investment in a portfolio of programs aimed at building resilience in chronically vulnerable areas of Kenya, Ethiopia, Somalia, Uganda, Niger, Burkina Faso, Mali and Nepal (Figure 1). These investments support and align behind country-led efforts, as well as the regional and continental processes that support these country-led efforts that are described in Section 3.



**Figure 1.** Expansion of USAID Resilience Efforts: 2012–2016

As outlined in USAID's (2012) Policy and Programming Guidance on Building Resilience to Recurrent Crises, this portfolio serves as a proof of concept for a whole-of-Agency approach to reducing and managing risk,

building adaptive capacity and facilitating inclusive growth. The broader relevance of the concept and approach are explored in Section 4.

## CORE AREAS AND SOURCES OF INVESTMENT

USAID's Investments in building resilience are tailored to local context and need and are based on the joint analysis and planning processes described earlier. Nevertheless, three core areas of investment and programming have emerged across the portfolio:

- **Expanding Economic Opportunities** – This includes high-value crop and livestock value chains as well as off-farm, non-agricultural livelihood opportunities that help diversify risk. It also includes access to financial services and to savings, credit, and innovative risk transfer products such as index-based crop and livestock insurance.
- **Strengthening Governance** – This includes natural resource management (including water), disaster risk management, and conflict mitigation and management. It also includes strengthening local and national institutions in these and other sectors.
- **Improving Human Capital** – This includes health, nutrition, water and sanitation, and workforce development. An area in need of further investment is primary and secondary education, which serves as a foundation for expanding economic opportunities (and resilience) in the future.

The breadth of USAID resources supporting this \$300m per year portfolio reflects these core areas of investment and is a product of the joint analysis and planning processes described earlier. Figure 2 provides an illustrative example from our five-year (2013–2018), \$334 million Resilience in the Sahel Enhanced (RISE) partnership in Niger and Burkina Faso. RISE combines funding from initiatives such as Feed the Future, Global Climate Change and the Global Health Initiative with a wide range of other humanitarian and development resources, including—prominently—those managed by the Office of Food for Peace.

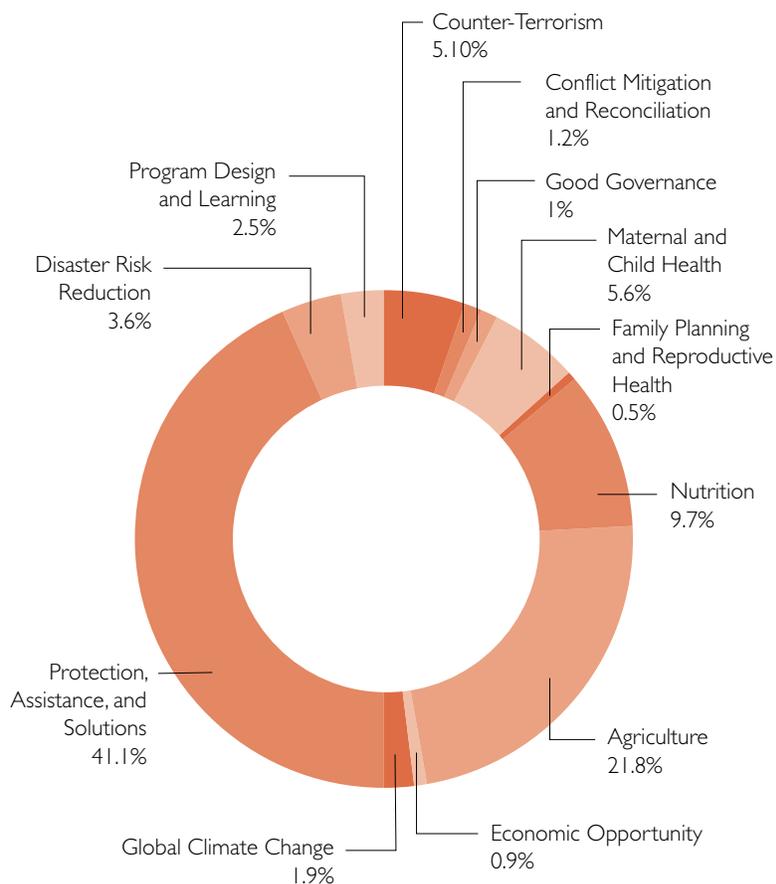
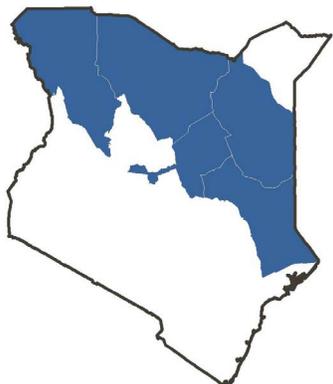


Figure 2. Diversity of Funding Supporting RISE in Niger and Burkina Faso

# Kenya



The devastating drought in the Horn of Africa in 2011 also caused severe food crises and threatened the lives and livelihoods of millions of Kenyans in the northern arid lands, which are chronically vulnerable. Unlike Ethiopia, however, El Niño and associated weather patterns in 2015–16 have had a largely positive effect on pasture and rangeland conditions, so much so that humanitarian assistance needs in the arid and semi-arid lands of Kenya are the lowest since 2008.

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Remarkable progress has been made since 2011 under the Government of Kenya’s (GoK) Ending Drought Emergencies (EDE) initiative and the establishment of a cross-ministerial National Drought Management Authority (NDMA). The GoK’s \$1.6 billion in investment in the EDE is matched by \$1.5 billion in donor investment, including USAID, which aligns to and supports the EDE’s six pillars.<sup>2</sup> The concurrent devolution of authorities and resources to county-level governments has further accelerated investment and local ownership.

A survey by USAID in mid-2015 provides compelling evidence of the results achieved through these collective efforts in just two and a half years, including a 12 percent reduction in the depth of poverty and a 28 percent increase in women’s dietary diversity. The survey also suggests positive trends in children’s dietary diversity, household hunger and access to improved water sources. People’s perceptions about their own resilience and control over their own destiny are also changing in transformative ways. Sixty-six percent of households report that they will be able to cope with future droughts, up from 53 percent in 2012, and 42 percent now believe they are in control of and responsible for their own success, compared to 19 percent in 2012.

## BOX 2. FORWARD-LEANING DROUGHT CYCLE MANAGEMENT

The GoK has proactively insured its own liability for emergency drought response by buying into an innovative sovereign insurance platform through the African Union called the African Risk Capacity. The government has also scaled up an index-based livestock insurance program to provide coverage for vulnerable pastoralist households during drought. Both are indicative of the GoK’s new approach to managing risk, and both are supported by USAID through Feed the Future.



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USAID's Partnership for Resilience and Economic Growth (PREG) programs have contributed to these positive trends by helping to increase the value of livestock sales from \$94 million in 2013 to \$102 million in 2015 in the five counties targeted by livestock sector programs. The programs have also enabled 350,000 farmers and pastoralists to adopt and apply new technologies, and 10,000 small- and medium-sized enterprises to access loans across the arid lands. USAID is further scaling efforts in the livestock sector in partnership with the International Livestock Research Institute, the University of Nairobi's Dryland Center, Kenya Livestock Marketing Council, and Northern Rangeland Trust to complement market infrastructure investment that is already transforming the sector. USAID is also scaling promising workforce development and livelihood diversification strategies, including those with lower climate risk exposure than mobile livestock keeping or dryland crop agriculture.

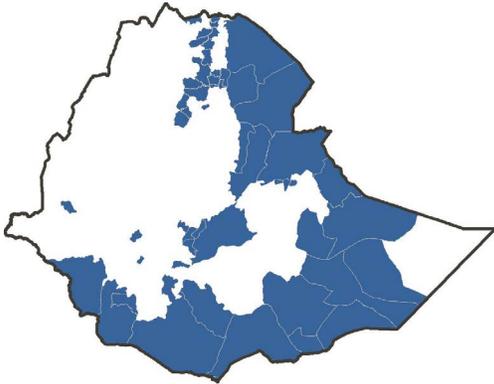
These investments are complemented by concurrent, co-located PREG investment in natural resource management. As a result, six million hectares are now under improved management practices, including rainwater harvesting and community-governed dry and wet season grazing reserves. USAID has also assisted the NDMA to establish county-level

contingency plans that cover over 2 million people and reach over 50,000 people through peace-building activities in targeted conflict hotspots. We have also leveraged the EDE and devolution by supporting county government capacity building and empowering communities through participatory planning. The latter has enabled communities to access more than \$12.8 million from the GoK in the form of infrastructure investment, including schools, markets, health centers, irrigation systems and roads.

These investments in expanding economic opportunities and strengthening governance are further complemented by PREG investments in human capital that have increased access to improved water sources for 225,000 people, reached over 880,000 through nutrition programs, and strengthened more than 400 health facilities. Elevated rates of Global Acute Malnutrition remain a major concern and USAID has significantly increased investment to address this, including scaling up water and sanitation interventions through a Global Development Alliance with Millennium Water Alliance, the Swiss Development Cooperation and private sector partners.

2 The EDE's six pillars are (1) peace and security, (2) climate-proofed infrastructure, (3) human capital, (4) sustainable livelihoods, (5) drought risk management and (6) institutional development and knowledge management.

# Ethiopia



The devastating drought in the Horn of Africa in 2011 caused a severe food crisis and threatened the lives and livelihoods of millions of people in Ethiopia. Today, another historic drought centered in Ethiopia's vulnerable highlands serves as a reminder that efforts to build resilience remain a work in progress but also that significant progress is being made. It also serves as a reminder of the humanitarian, development and economic imperative for sustaining our investments in resilience.

Ethiopia has realized extraordinary social and economic progress over the past 15 years, including double-digit economic growth rates, an estimated 33 percent

reduction in poverty led by development in the agriculture sector, and similarly remarkable improvements in health and education outcomes. One of the centerpieces of USAID's resilience portfolio in Ethiopia is our support to the Government of Ethiopia's Productive Safety Net Program (PSNP) which has helped lift 1.5 million people out of poverty, reduced the annual lean season food gap from 3.09 months to 1.74 months, and reduced the number of households engaged in distressed sales of assets from 50 percent to 25 percent. In 2015, the Office of Food for Peace PSNP partners reached over 1.5 million people.

In the highlands, these investments in the PSNP are complemented by the Feed the Future Graduation with Resilience to Achieve Sustainable Development (GRAD) activity, which has increased beneficiary incomes by an average of \$330 per year and enabled more than 33,000 households (or 200,000 people) to graduate and transition off of the PSNP. In targeted areas of the lowlands, USAID's Pastoralists' Areas Resilience Improvement through Market Expansion (PRIME) activity contributed to a remarkable increase in the value of livestock sales from \$6 million in 2012 to \$67 million in 2015 by attracting over \$15 million in private sector investments and leveraging export market opportunities.

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Complementary investment in improving crop and livestock production, access to financial services, water and sanitation, natural resource management, disaster risk management, workforce development, and nutrition have also achieved remarkable results in both the highlands and lowlands. Indicative results include an estimated 170,000 farmers and pastoralists applying new technologies, 542,000 hectares under improved natural resource management, over 1,500 communities with effective early warning and response systems, 213,000 people with access to improved water sources, and 1.3 million people reached by USAID health and nutrition programs.

The Government of Ethiopia (GoE) has also redoubled its commitment to reducing and managing risk and strengthening resilience among vulnerable households

and communities. This includes the geographic expansion of the PSNP to reach more chronically vulnerable households and communities, as well as nutrition and livelihoods interventions to complement the PSNP. It also includes enhanced GoE and donor coordination through the pastoralism technical working group, the rural economic and food security working group, an emphasis on climate smart agriculture and nutrition efforts in the Agriculture Growth Program (AGP), and the establishment of a new national Drought Risk Management structure.

## RESILIENCE IN THE FACE OF DROUGHT AND EL NIÑO

Evidence from USAID's drought-triggered monitoring system in the Somali region in early 2015 demonstrated that most households were able to maintain or even improve their food security status in the face of a moderate drought. However, data from the Borena region, which was experiencing a more severe drought during the same period, indicates that only 25 percent of households were able to do so. In both cases, the food security status of households with greater resilience capacity—measured by social capital, assets, access to markets, the existence of effective early warning and response systems and other factors—fared better than households with lower resilience capacity.

This and the evidence presented above demonstrate the value of longer-term investments that are helping raise the threshold of people's ability to mitigate, adapt to and recover from shocks and stresses. However, the scale and severity of the el Niño related drought in 2015-16 is clearly exceeding this threshold and overwhelming resilience capacities that have been built. As a result, an estimated 10 million Ethiopians are in need of humanitarian assistance in addition to the already 8 million chronically vulnerable people receiving assistance from the PSNP.

USAID's timely and robust response to the drought is helping to protect lives and livelihoods as well as resilience and development gains. This response includes the triggering of Crisis Modifiers<sup>3</sup> as early as June 2015 that have enabled development programs

in our resilience portfolio to access humanitarian resources and provide cash and vouchers to meet urgent humanitarian needs. It also includes an early and large-scale response by the Office of U.S. Foreign Disaster Assistance and Office of Food for Peace of \$577 million to date to augment Crises Modifiers and address additional humanitarian needs at scale. Finally, it includes shock-responsive adjustments to program activities across our resilience portfolio to further mitigate the drought's impact and speed recovery once drought conditions subside (Box 3).

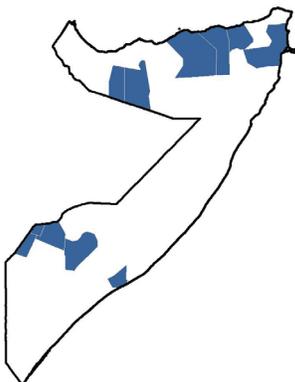
### BOX 3. EXAMPLES OF SHOCK-RESPONSIVE DEVELOPMENT

In June 2015, the PRIME program began ramping up efforts to facilitate loans to livestock traders to scale up commercial destocking and enable households to convert vulnerable assets to cash, providing an example of how we are using the very market systems the program is helping to develop to respond to the drought. Similarly, the GRAD program has combined cash and voucher transfers with its market activities to increase access to seeds ahead of the next planting season. USAID nutrition programs have also adjusted behavioral communications efforts to incorporate strategies for managing the current drought and scaled efforts to support the management of acute malnutrition.

The GoE's own response was early and robust as evidenced by the \$700 million in extra budgetary resources they mobilized to address emergency needs. These and other actions are indicative of significant and positive changes in how the GoE manages drought crises. However, the extraordinary need associated with this historic drought is exceeding their capacity to manage these drought crises, and a robust, collective response by USAID and other donors is still required to avoid loss of lives and livelihoods and protect resilience and development gains.

<sup>3</sup> Crisis Modifiers are written into USAID programs to allow the rapid injection of humanitarian response funds into existing development programs. These funds allow partners to respond rapidly to address humanitarian needs, reducing livelihood and other development losses.

# Somalia



Somalia was the epicenter of the 2011–12 drought emergency in the Horn of Africa during which a quarter of a million people in southern and central Somalia died, half of them children under five. The 2011–12 crisis was an extreme moment in a decades-old complex emergency that continues to threaten lives and livelihoods, constrain Somalia’s ability to fully capitalize on its position and role as trade hub

between Africa and the Middle East, and cost millions of dollars each year in humanitarian spending. Somalia also constitutes a critical security concern for the region and the United States.

USAID supports the United Nations flagship resilience program that integrates the work of FAO, WFP and UNICEF in four districts across Somalia. These investments are complemented by a jointly funded USAID Somalia, Office of U.S. Foreign Disaster Assistance and Office of Food for Peace resilience program and, more recently, a USAID livestock and horticulture value chain program. As elsewhere, these programs collectively aim to expand economic opportunities, improve human capital and strengthen governance with a focus on natural resource, conflict and disaster risk management and strengthening the capacity of local institutions. A baseline survey commissioned in early 2016 will provide a basis for monitoring and evaluating progress.

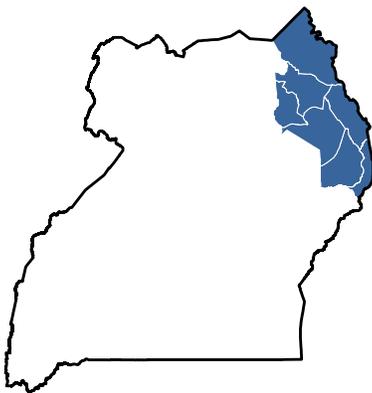
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## Uganda



Uganda's nascent resilience portfolio targets the chronically vulnerable north-east region of Karamoja where international donors have collectively spent an estimated \$210 million responding to humanitarian emergencies over the last 10 years and 94 percent of the population of 1.2 million people continue to live in poverty. This represents a marked shift from treating Karamoja and its people as a perpetual humanitarian risk to addressing the challenges of Karamoja as a development priority and opportunity.

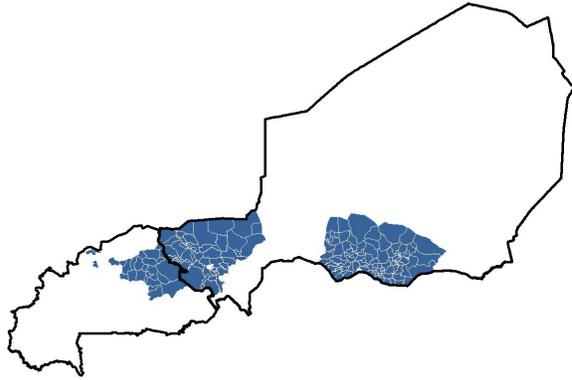
The resilience portfolio in Karamoja builds on existing Office of Food for Peace development programs as well as ongoing health and education programs.

Joint analysis and planning within USAID Uganda has also resulted in the expansion of Feed the Future programming into Karamoja, beginning in 2015 with a pilot livestock value chain program that aims to capitalize on the currently untapped potential of Karamoja's livestock sector to be an engine for inclusive economic growth.

USAID Uganda has also established a resilience secretariat to support joint analysis, planning and implementation among USAID, DFID, the EU, the Government of Uganda's (GoU) Office of the Prime Minister, and other donors and stakeholders engaged in Karamoja. Importantly, this constitutes an externally oriented evolution of the concept of joint analysis, planning and implementation.

USAID Uganda has also incorporated resilience as a development objective in its Country Development and Cooperation Strategy. This reflects both the broader relevance of the concept in Uganda as well as the threat that shocks and stresses—and associated backsliding and descent into poverty—pose to sustainably reducing poverty throughout the country. (See section 4)

# Burkina Faso and Niger



During the 2011–2012 drought, more than 18 million people across the Sahel were in need of humanitarian assistance, including 8.4 million people in Niger and Burkina Faso. Donors collectively spent more than \$1 billion in humanitarian assistance in the Sahel that year. The U.S. Government alone spent over \$500 million.

USAID's Resilience in the Sahel Enhanced (RISE) partnership targets chronically vulnerable people in

agro-pastoralist zones in each country through a combination of multi-sectoral humanitarian and development programming. These investments align with and support country-led efforts, including the Nigeriens Nourish Nigeriens initiative and the Permanent Secretariat for Agricultural Sector Policy Coordination, an inter-ministerial coordination body in Burkina Faso led by the Ministry of Agriculture and Irrigation. These country-led efforts are linked to and informed by regional efforts under the Global Alliance for Resilience (AGIR) process led by the Economic Community of West African States (ECOWAS) and Permanent Interstate Committee for Drought Control in the Sahel (CILSS).

## BOX 4. GOVERNMENT OF NIGER: INSURING HUMANITARIAN RISK

As with Kenya, Niger was one of four early adopters of a sovereign risk-financing product through the African Risk Capacity (ARC)—a specialized agency of the African Union—designed to insure the Government's future humanitarian liabilities. Niger was also among the first in this inaugural insurance pool to receive a payout, enabling the mobilization of early interventions in response to drought based on pre-approved contingency plans developed as part of the eligibility process for ARC.

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RISE programs have benefitted over 2 million people since 2013. As a result of investments to expand economic opportunities, nearly 250,000 farmers are now applying new technologies and management practices, well over 1,000 small and medium sized enterprises have accessed \$6.3 million in loans, and more than 1,300 savings groups have accumulated \$772,000 in capital for investment. RISE partners will scale up value chain development efforts in 2016–2017 with a focus on cowpeas, poultry and small ruminants, leveraging the growing demand in both local and regional markets.



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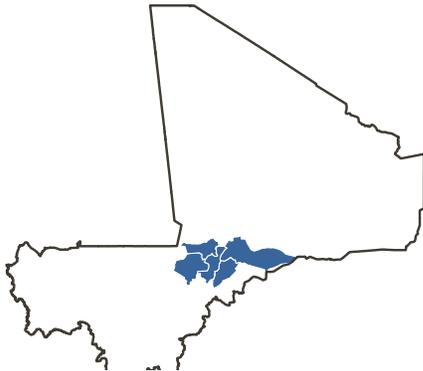
RISE programs are also strengthening natural resource, conflict and disaster risk management. As a result, 243,000 hectares are under improved natural resource management practices such as Farmer Managed Natural Regeneration (Box 1 – Page 1), nearly 600 communities have functioning disaster early warning and response systems, 23,000 people are trained in disaster preparedness, and 106 communities are engaged in conflict mitigation and peacebuilding programs targeting conflict hotspots. Strengthening local institutions and essential service delivery systems in these and other areas of governance are key objectives of RISE in 2016–17.

RISE programs also aim to improve human capital. These programs have reached over 500,000 people through nutrition programs and trained nearly 140,000 caregivers in child care and feeding practices. With support from RISE partners in FY 2015, 83,906

households gained access to potable water and 13,871 began using an improved sanitation facility. Family planning programming is also a critical component of RISE given the extent to which high fertility rates and population pressure exacerbate vulnerability and undermine resilience. In 2014–2015, these programs achieved an estimated 76,793 Couple Years of Protection (CYP)<sup>4</sup> based upon the volume of all contraceptives provided during the implementation period thus far. RISE programs are also addressing illiteracy among beneficiaries through support to functional literacy centers. Improving literacy will ensure sustainability as people are empowered to use information on improved production and husbandry practices, small business management and nutrition behaviors.

<sup>4</sup> CYP is the estimated protection provided by contraceptive methods during a one-year period, based upon the volume of all contraceptives sold or distributed free of charge to clients during that period.

## Mali



USAID's resilience portfolio in Mali targets the chronically vulnerable northern Mopti region where the confluence of climate change and variability and recent conflict and instability have resulted in recurrent crises. USAID's investments are also intended to create a stability buffer between the still volatile northern areas in Timbuktu and Gao and the rest of the country, as well as a forward-leaning platform for pushing resilience and development efforts northward as and when security conditions allow.

In line with efforts elsewhere, Mali's resilience portfolio in northern Mopti combines the efforts of USAID offices and bureaus such as Global Health, Democracy and Governance, Global Climate Change, Education, the Feed the Future initiative, and a new USAID Office of Food for Peace Development Food Assistance Program that was strategically designed to complement existing investments. Collectively, these programs aim to expand and diversify economic opportunities, strengthen natural resource management, mitigate conflict, bolster disaster risk management and improve human and social capital. A comprehensive baseline survey will be conducted in mid-2016 and will provide a basis for gauging progress toward improving resilience capacities and well-being outcomes in the focus zone. Beyond the focus zone, USAID Mali has also incorporated resilience programming and measurement into its broader Country Development and Cooperation Strategy for the country.



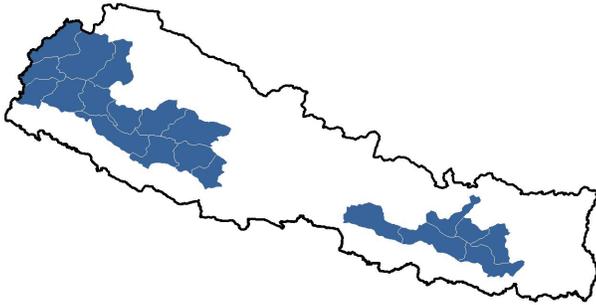
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### BOX 5. MEASURING RECURRENT CRISES

As part of the joint analysis and targeting process, USAID Mali examined the historical frequency of crises at a subnational level as measured by the Integrated Food Security Phase Classification system—an internationally accepted, standardized scale that integrates food security, nutrition and livelihood information into a statement about the nature and severity of a crisis.

The Government of Mali (GoM) is also making progress toward their Resilience agenda. They have actively engaged in the regional AGIR process led by ECOWAS/CILSS and, through that, articulated national-level resilience priorities. Mali has also joined the second risk pool of the ARC sovereign drought insurance program as a means of financing risk and future humanitarian liabilities. As described earlier in relation to Kenya and Niger, the contingency planning processes associated with joining the second risk pool will enhance the GoM's ability to mobilize early and respond appropriately to future droughts.

# Nepal



Nepal's resilience portfolio targets the chronically vulnerable people in the Far West and Center-East Hills regions of the country that are susceptible to flooding and other natural hazards and where people experiencing chronic poverty are exposed to greater risk associated with such recurrent crises. USAID Nepal targeted these regions because they have relatively high Depth of Poverty and Global Acute Malnutrition rates.

This portfolio builds on existing food security and nutrition, maternal and child health, democracy and governance, climate change adaptation and disaster risk reduction programs. In addition, an Office of Food

for Peace development program was strategically designed to expand food security and nutrition activities, bolster livelihood opportunities among asset-poor households and communities not reached by Feed the Future programs, and strengthen natural resource, conflict and disaster risk management. Office of Food for Peace conducted a comprehensive baseline survey in early 2016 that will provide a means of gauging the collective progress of these programs toward improving resilience capacities and reducing poverty, hunger and malnutrition in the target zone.

## BOX 6. ADAPTIVE PROGRAMMING TO BUILD RESILIENCE POST-EARTHQUAKE

Following the devastating earthquake in 2015 USAID expanded programming in earthquake-impacted districts in the Center-East Hills in an effort to both speed recovery and strengthen the resilience of households and communities. These districts are now part of the expanded and overlapping Feed the Future and resilience target zones.

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# Key Partnerships

A critical aspect of USAID's globally recognized leadership on resilience is our effort to forge and advance key partnerships. These partnerships strategically advance and elevate the impact of USAID investments in resilience and ensure that these investments are helping support and drive country-led and regional resilience efforts in the Horn of Africa, the Sahel and Asia.



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## THE GLOBAL RESILIENCE PARTNERSHIP (GRP)

Born of a shared vision for resilience, USAID, The Rockefeller Foundation and Swedish International Development Cooperation Agency (Sida) officially launched the Global Resilience Partnership (GRP) at the U.S. African Leaders Summit in the summer of 2014. A growing network of partners is joining the effort through the GRP's Partnership Alliance, including DFID, the World Bank, Zurich Insurance, Global Environment Facility, Stockholm Resilience Center and UNDP.

Building on the efforts and strengths of each partner, the GRP strives to be an epicenter of innovation by facilitating private sector investment, testing new ideas and implementing locally driven, scalable solutions that empower hundreds of millions of people to increase their resilience. The GRP's programmatic features include a focus on policy and influence, market and financing innovations, technology and infrastructure. These are complemented by cross-cutting features, including measurement and diagnostics as well as learning and convening.

The GRP also spurs innovation through challenges that provide opportunities to identify and support innovative solutions to resilience challenges in the three focal regions. Each challenge brings together multi-sectoral, multi-disciplinary teams to develop and test novel solutions tailored to local contexts. The first was launched in 2015 and resulted in 11 winning teams who are testing scalable solutions now. A second challenge, The Water Window, was

launched in March 2015 in partnership with the Z Zurich Foundation and focuses on innovative solutions in flood-prone communities.

## GLOBAL ALLIANCE FOR ACTION FOR DROUGHT RESILIENCE AND GROWTH (GLOBAL ALLIANCE)

Following the 2011–12 drought in the Horn of Africa, Member States of the Intergovernmental Authority on Development (IGAD) in Nairobi, Kenya mandated IGAD to lead on efforts to build resilience to drought through what would become the regional Drought Disaster Resilience Sustainability Initiative (IDDRSI). It was also agreed that a Global Alliance would be established to “allow donors and partners to better coordinate, harmonize and align programs’ investments and policy” in support of IDDRSI. Key contributions of the Global Alliance include the development of regional and country programming papers that have formed the basis for resilience strategies in the region, institutional capacity building and support to coordinate and align donor investments, and monitoring and evaluation. USAID was asked to lead the formation and secretariat of this informal group of development partners and continues to serve as the chair. USAID is also actively engaged in a similar effort through the Alliance Globale pour la Résilience (AGIR) in West Africa in support of the Economic Community of West Africa States (ECOWAS) and Permanent Interstate Committee for Drought Control in the Sahel (CILSS).

# Institutionalizing Resilience

## RESILIENCE LEADERSHIP COUNCIL, RESILIENCE COORDINATOR AND CENTER FOR RESILIENCE

In 2015, USAID formally established a Resilience Leadership Council (RLC) to guide the strategic vision for the Agency's approach to resilience. The RLC is co-chaired by the Assistant Administrators of the Bureau for Food Security and the Bureau for Democracy Conflict and Humanitarian Assistance. Other RLC members include Deputy Assistant Administrators from the Bureaus for Africa, Asia and Middle East; Global Health; Economic Growth, Education and Environment; and Resource Management, as well as USAID's Gender, Water, and Climate Change Coordinators, the Director of Office of Food for Peace, the Deputy Director of the Office of U.S. Foreign Disaster Assistance, and a range of other offices and stakeholders from throughout the Agency.

The RLC is complemented by the establishment of a new Resilience Coordinator position and Center for Resilience that is housed in the Bureau for Food Security and reports to the RLC. Greg Collins is serving as the Agency's Resilience Coordinator and

Director of the Center. This USAID Washington structure is connected to a network of regional and bilateral mission resilience coordinators and cross-mission coordination structures that support USAID's resilience portfolio in the Horn of Africa, Sahel and Asia.

The priority work streams of the Center for Resilience and this network include:

- Institutionalizing resilience in USAID
- Delivering and measuring results in the Horn of Africa and Sahel
- Expanding resilience efforts in Asia
- Exploring resilience in fragile states contexts
- Consolidating learning and building internal capacity
- Strategic analytics and communications
- Building and operationalizing partnerships

## Future Directions and Priorities

The growing intensity and complexity of risk in the world—from climate change and variability and weather events linked to El Niño, to population dynamics, local and global price shocks, political instability, fragility and outright conflict—represent one of the greatest challenges and threats to achieving the bold vision for progress outlined in the SDGs. It also underscores the broader relevance of resilience beyond USAID's initial focus on people and areas subject to recurrent crises which result in repeat, large-scale humanitarian emergencies. Resilience is not a competing goal but a critical condition and set of capacities for achieving the SDGs in the complex risk environments in which poor and chronically vulnerable people live.

### SUSTAINABLE POVERTY ESCAPES, PREVENTING DESCENTS AND BACKSLIDING

The rate at which households are descending into poverty or escaping poverty only to slide back within a few years as a result of shocks and stresses is alarming and highlights the broader relevance of resilience, including to ending poverty in all its forms.<sup>5</sup>

Analyses supported by USAID in Uganda, Bangladesh and Ethiopia reveal why some households descend or backslide into poverty while other (more resilient) households do not. Women's empowerment and education and off-farm income sources figure

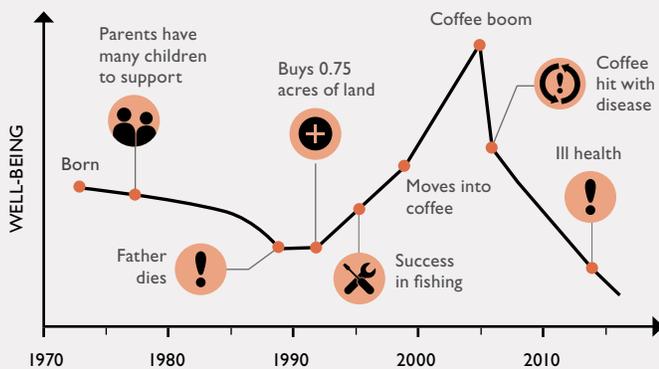
prominently as sources of resilience in these cases. Other sources of resilience vary by country and even within countries, highlighting the importance of context. They also vary between male- and female-headed households, underscoring the need for a gendered understanding of both risk and resilience.

These analytics are already informing USAID strategy and program development in a number of countries and will continue to do so in additional countries in the coming year. They have also helped to substantiate the broader relevance of resilience in relation to Feed the Future and other USAID initiatives and priorities.

and the rest of the country. However, it is also true of the focus zones in northern Kenya, Karamoja in Uganda, the Somali region of Ethiopia, the agro-pastoralist zone of Niger and Burkina Faso, and the hills and mountains of Nepal. As such, governance and conflict interventions are a core part of our resilience programs in each of these countries.

USAID's resilience portfolio is also providing a source of best practices for joint humanitarian and development analysis, planning, and implementation that are informing the Agency's approach to addressing protracted and complex crises. In the year ahead, USAID will also look more deeply at the strategic and programmatic convergence of efforts to build resilience and those aimed at addressing fragility, conflict and violent extremism, particularly in the Horn of Africa and the Sahel where fragility and lack of resilience are empirically associated, if not causally intertwined. Analysis exploring the convergence and divergence of resilience and the New Deal for Fragile States in Somalia in 2014 provides an early example of this work.

## TRANSITORY POVERTY ESCAPE



### EVENTS DRIVING BACKSLIDINGS



**Shocks:** A series of shocks in quick succession, such as ill health or natural events including flooding and drought.



**Systemic stressors:** Changes in prices of food, agricultural inputs and outputs and wages along with longer-term stressors such as land degradation.

## EL NIÑO

The impacts of El Niño are exposing and expanding the rationale for investing in resilience. This is particularly true in southern Africa, where the severity and impact of the current drought has governments and USAID Missions alike reflecting on not only how to respond to and mitigate the current crisis but ways to break the cycle of drought emergencies and ensure that longer-term development investments going forward are flexible and shock-responsive. To leverage this moment of reflection for action, USAID and the Center for Resilience will also provide demand-driven support to governments and USAID Missions on resilience best practices in the coming year.

## CONFLICT-AFFECTED AND FRAGILE AREAS

Conflict and fragility are part of the complex risk environments in which USAID is implementing its focused resilience portfolio. This is most evident in Somalia, as well as the northern Mopti region of Mali where programs are intended to provide a buffer between the volatile regions of Gao and Timbuktu

5 Chronic Poverty Advisory Network. (2014). *The Chronic Poverty Report 2014-2015: The road to zero extreme poverty*. <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/8834.pdf>



