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REAL
Resilience Evaluation, Analysis and Learning

RESILIENCE MEASUREMENT
PRACTICAL GUIDANCE NOTE SERIES | 5

Design and Planning for Resilience Monitoring and Evaluation at the Activity Level

About the Resilience Evaluation, Analysis and Learning (REAL) Associate Award:

REAL is a consortium-led effort funded by the USAID Center for Resilience. It was established to respond to growing demand among USAID Missions, host governments, implementing organizations and other key stakeholders for rigorous, yet practical, monitoring, evaluation, strategic analysis and capacity building support. Led by Save the Children, REAL draws on the expertise of its partners: Food for the Hungry, Mercy Corps and TANGO International.

Contact information:

The REAL Associate Award
c/o Save the Children
899 North Capital Street NE, Suite #900
Washington, D.C. 20002
Email: mpersson@savechildren.org
Website: https://www.fsnnetwork.org/REAL

Disclaimer:

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This publication was produced for review by USAID, Center for Resilience. It was prepared by Diana Pícon (Consultant), with contributions from Mercy Corps staff: Brad Sagara, Jill Scantlan, Olga Petryniak, Jon Kurtz and Sonia Moldovan, as well as Tiffany Griffin (USAID Center for Resilience).

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Prepared by:

Mercy Corps
45 SW Ankeny St.
Portland, OR 97204
USA

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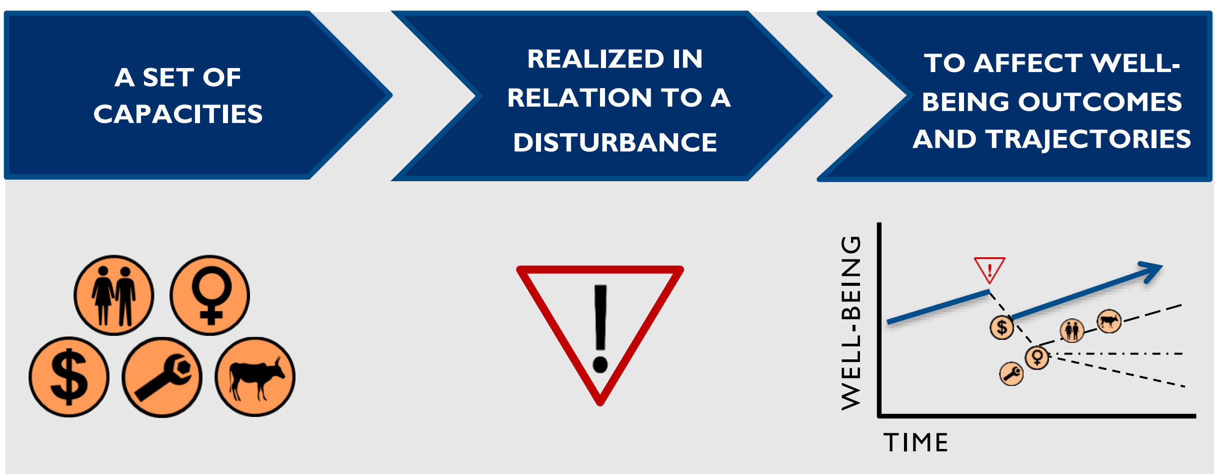
1. Introduction

Resilience has emerged as a way to understand and address the increasing complexity and magnitude of risk in humanitarian and development contexts. Yet, the ability to develop strategies and programs that increase resilience requires robust measurement and analysis methods. The USAID *Resilience Measurement Practical Guidance Note Series* intends to provide new insights based on recent efforts to assess, analyze, monitor and evaluate resilience. The first guidance note in this series, Guidance Note No.1 – Risk & Resilience Assessments, introduces resilience assessments and when, why and how to conduct them. The second, Guidance Note No. 2 – Measuring Shocks and Stresses, describes how to measure and analyze shocks and stresses, while Guidance Note No. 3 – Measuring Resilience Capacities details how to think about and measure absorptive, adaptive and transformative capacities. Guidance Note No. 4 – Resilience Analysis, describes the techniques used for conducting resilience analysis. This guidance note walks readers through the steps to be taken during the program cycle to plan for monitoring and evaluation – to better understand whether the resilience approach is contributing to households' and communities' ability to mitigate shocks and stresses.

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*."[1] This definition describes the relationship between three distinct elements that in combination form the basis of a resilience measurement framework – resilience capacities, shocks and stresses and well-being outcomes (see Figure 1).

Figure 1: Simplified Resilience Measurement Framework[2]



[1] USAID (2013).

[2] Adapted from Mercy Corps (2016): Resilience Framework

1.1. Learning Objectives

In developing this guidance note,[3] we focused on a frequent question from staff in the field who manage resilience activities or lead their monitoring and evaluation: how can we monitor and evaluate resilience in the field for the immediate benefit of target communities? Some common questions that continuously come up with resilience measurement staff include:[4]

Indicators

- Are outcome and impact indicators adequate to capture whether resilience is built?
- What are simple measures field staff can use to understand whether their projects are contributing to resilience building?
- What kind of indicators can we use to track progress on outcomes or impact on resilience?

Planning for resilience M&E

- How can we integrate resilience measurement in M&E plans?
- How do we know whether we are building resilience, not simply positive development gains that may or may not be resilient to shocks?
- What should we measure in the absence of a shock or stress? Can we know if resilience is built in such absence?
- How do we budget for resilience measurement?
- How do we right-size resilience M&E to projects with varying scopes, scales and timelines?

In light of these questions, this guidance note has the following learning objectives which will enable readers to:

- Integrate resilience measurement into activity M&E plans based on activity size, scope and complexity
- Understand when and what to monitor/evaluate for resilience programming in the context of a shock or stress; as well as in the absence of a shock or stress
- Select, adapt, or develop indicative questions, tools, and methodologies for monitoring and evaluating resilience based on the resources available to them.

The guidance note relies on several examples from Mercy Corps' projects in South and East Asia, as significant effort has been invested in developing resilience result chains, logframes and indicative resilience questions that activities can attempt to answer depending on their timeframes and internal capacity.

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[3] It is important to note that this guidance is grounded in the experience of programs addressing resilience to climatic shocks on economic, food security and nutrition outcomes.

[4] Mercy Corps recently conducted interviews with their own staff who work on large and medium-size resilience activities in East Africa, West Africa and South and East Asia to inform guidance on resilience measurement. Lessons and some conclusions have also been documented after the Horn of Africa – Using Resilience Data for Programming Decisions Workshop and the Asia Resilience Monitoring, Evaluation and Learning (MEL) Workshop as well as consultations with USAID's Center for Resilience.

What is so different about resilience measurement anyway?

There are two key differences in the way a resilience-focused measurement plan would be designed: 1) the emphasis on shocks and stresses and their need to be monitored and considered when data is collected and analyzed, and 2) the emphasis on resilience capacities and responses. Both of these aspects are explained throughout this guidance note series, including shock measurement (Guidance Note 2) and capacity measurement (Guidance Note 3), with specific focus on how these aspects are combined in an M&E framework.

2. Before Planning Resilience M&E: Back to Basics

Resilience M&E has some elements that are distinct from traditional tools – however, they still require basic M&E systems to work. M&E capacity, including appropriate financial and human resources, information management systems and sound quality assurance will be needed as the resilience approach requires new and different measurement tools and analysis that will need to be accommodated. This guide assumes that the following pre-requisites have taken place:

1. **Activity meets minimum standards to be defined a resilience activity**. It may seem trivial, but this is an important step. Simply including the word 'resilience' in name only without using a resilience approach in planning, implementation, monitoring and evaluation is insufficient. Organizations writing resilience activity proposals should rely on their internal structures that focus on resilience to give guidance on how to design resilience activities.
2. **A literature review and relevant assessments have been conducted to better understand the development problems, barriers and drivers in your country/zone of influence.** This process should take place regularly to make sure your data is up-to-date. Assessment sizes vary: they can be thorough and broad or more sector-specific assessments. Your selection will largely depend on your financial and human capacity, as well as what you aim to find out.[5] In a resilience context, shocks and stresses that affect households or communities in your programming area will also need to be identified. For further guidance on resilience assessments, see Guidance Note No.1 – Risk & Resilience Assessments.
3. **A theory of change has been developed, or a corresponding activity results framework that is rooted in the assessments you conducted.** A resilience theory of change identifies and describes how the program strengthens resilience capacities to help target populations manage shocks and stresses. Note that your theory of change (much like your results chain and M&E plan) should be reviewed periodically to ensure your hypotheses are based on and consistent with realities observed on the ground.
4. **Staff preparing resilience activity M&E plans have been trained on or exposed to basic resilience concepts**, including USAID's Resilience Approach and Measurement

[5] For a thorough approach to resilience assessments, see Mercy Corps' [Mercy Corps' Strategic Resilience Assessment (STRESS)](). A list of assessments and other M&E tools used by Mercy Corps Resilience activities can be found in Annex 2.

training.[6] Resilience language can be complex, but it is imperative that the staff who are designing, planning and implementing M&E activities understand USAID's resilience approach. This will make sure resilience outcomes (in terms of capacities and responses) are well framed and how they will be monitored and evaluated is clear to staff who will implement M&E.

5. **Internal M&E capacity is understood, both in terms of financial and human resources.** Understanding the skill set the team has will allow you to plan for additional hiring if needed. Resilience M&E in particular will require M&E management that is highly flexible and innovative, along with robust quantitative and qualitative skills.

Does my activity warrant monitoring and evaluating contributions to resilience?

Whether large or small, any resilience activity will have the ability to measure at least some aspects of resilience. The following variables affect your ability to monitor and evaluate resilience:

- Duration of the activity: For short-term activities that may not have a shock or stress happen during their lifetime, consider focusing on how capacities are being built and how they are being used to prepare, mitigate and prevent for the effects of a shock or stress.
- Budget size: If you have a small project, the M&E budget may not be enough to robustly apply a resilience measurement plan that includes measures of how well-being outcomes and intermediate outcomes are linked to resilience capacities.
- Your internal M&E capacity: You will need to decide whether to outsource your evaluation, if your budget size permits it, or to limit the scope of your evaluation and monitoring to what your staff can do with their sets of skills and time available.

Ultimately, all resilience programs should at minimum monitor and evaluate their progress on building capacities before a shock or stress. Larger activities should seriously consider recurrent monitoring and post-shock M&E where appropriate, often with external assistance. Refer to Annex 2 to look at different assessment and monitoring tools for low, medium and high resource requirements.[7]

6. **M&E requirements are understood.** Different initiatives, implementing mechanisms and missions have different M&E requirements. Funders focus more on regular indicators, others are strict on M&E scope, while others are more flexible and encourage learning agenda. Being savvy about how to navigate M&E requirements for resilience is key for managers and M&E staff alike, to manage priorities and expectations, use donor-approved M&E tools and language and communicate results appropriately.
7. **Internal expectations are clear.** Country and program leadership guidance on what the resilience M&E plan should include will ensure that expectations about what will be measured are understood by all parties. Expectations should match budgets, staffing and support from technical teams.

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[6] Resilience Training: An Introduction to Resilience at USAID and Beyond (USAID, 2015) for basics. For M&E experts: Advanced Resilience M&E Training. Participant Guide (USAID, 2016). This e-learning module and the REAL website are also good resources to be familiarized with key resilience concepts.

[7] For an example of recurrent monitoring in a post-shock context, see Pastoralist Areas Resilience Improvement and Market Expansion (PRIME) Recurrent Monitoring Survey 2014-15 Deep Dive: Uncovering the Pathways to Resilience. (USAID, 2017).

3. Activity-level Resilience M&E

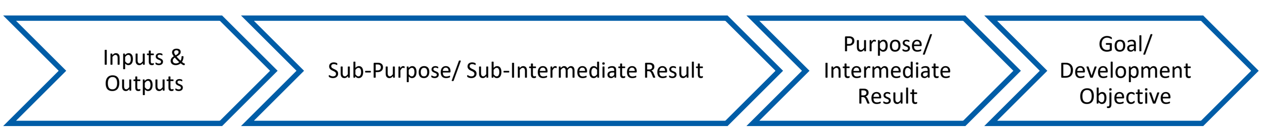
Activities in a project focused on building resilience will require the same M&E basics as any other activity, namely:

1. A deep understanding of the program theory of change or other frameworks, rooted in strategic assessments;
2. An M&E system, along with sufficient and capable staff to plan, collect, aggregate, manage, analyze, interpret and report data in a timely manner; and
3. An M&E plan that guides staff in defining a results chain and indicators, and identifies the tools that will be used to measure, when and how.

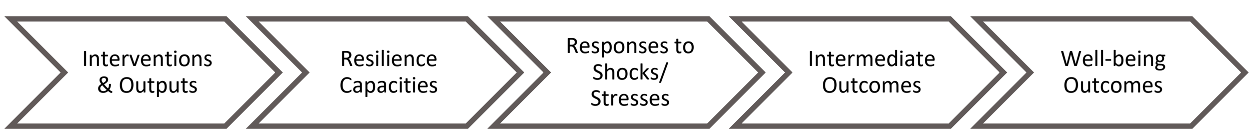
In addition, developing a resilience-focused results framework will require definition of:

1. The set of resilience capacities the program will aim to strengthen, including prevention and mitigation actions;
2. Shocks and/or stresses expected in the program area, as well as indicators and methods for tracking their occurrence and severity;
3. The set of responses we expect will result from the effective utilization of the resilience capacities in the face of shocks or stresses;
4. Resilience capacity and response indicative questions that allow us to understand how resilience is built and how the approach allows individuals, households, communities and systems to bounce back after a shock or stress; and
5. Objective and subjective measures to monitor and evaluate those indicative questions.

While a typical results or logical framework may look like this:



A resilience-focused results framework would look more like this[8]:



Three areas are similar in resilience-focused results frameworks and regular results frameworks: interventions (or inputs) and outputs, intermediate outcomes (purpose/intermediate results) and

[8] Based on Design, Monitoring, and Evaluation of Resilience Interventions: Conceptual and Empirical Considerations, IDS Working Paper, Volume 2015, No. 459. Another good resource to plan your framework is: Urban Resilience Measurement: An Approach Guide and Training Curriculum. USAID, Mercy Corps (2016).

well-being outcomes (or goal/development objective). The main difference between the results frameworks is how sub-Intermediate results/sub-purposes are framed. In a resilience-focused results framework, sub-intermediate results/sub-purposes need to be framed as the sets of resilience capacities (prevention and mitigation actions; including access, availability, use and knowledge of capacities before a shock or stress, for example) and the sets of resilience responses (utilization of resilience capacities) to shocks and stresses to which the program plans to contribute.

The key phases for development of an M&E plan for a resilience activity are:

Phase I: Identification and Design Phase

After the activity has a defined theory of change and a budget for M&E, activities will develop a resilience-focused results chain (see Steps 1-4 below)[9]. This is a lengthy process (depending on the size and scope of the activity), but worth the time spent, especially if the process includes everyone on the activity team to ensure that result statements are clear to everyone engaged.

Phase II: Set Up and Planning Phase

The M&E plan will be developed during this phase, starting with a logframe based on the resilience-focused results chain: to do this, you can start with the templates provided in the section 4.2 below. You will select indicators and develop resilience capacity and response indicative questions. The M&E plan will also include the tools that will be used for monitoring of capacities and responses, both in the context of shocks and stresses and their absence.

Phase III: Activity Implementation

Resilience capacity and response monitoring and evaluation will take place during this phase. This will be done through monitoring tools for activities, and also through baseline/endline evaluations, annual surveys and other methods. Shocks and stresses should be monitored throughout the life of the activity. Where applicable, post-shock recurrent monitoring will need to be included in this period (and in the M&E plan). Reflection and learning sessions should take place after each M&E event and reporting. A working list of tools used in a variety of resilience activities and INGOs can be found at the end of this guidance note, which will evolve as more activities and organizations pilot new, innovative tools.

Phase IV: End of Activity Transition

While documentation of lessons learned will occur throughout the activity implementation phase, the end of activity transition provides the opportunity to review and finalize documentation and communicate internally and externally about the activity's impact on resilience. The M&E results, learning and stories gathered should be used in the design of future activities and projects.

[9] Some elements of the results chain would have been developed earlier in the process, perhaps at the time of the assessment you conducted or as part of the proposal submitted. The process we outline will help you (and any other implementing partners) visualize how activities, outputs and outcomes are related; and have everyone trained on the M&E components of the activity – a process that probably did not occur at the time of proposal submission.

This guidance note focuses on Phases 1 and 2 (Identification and Design, and Set-Up and Planning) since they are the foundation for a resilience-focused M&E plan. It is important to note that at the activity level, M&E activities should focus, at minimum for shorter (1-3 year) activities, on whether resilience capacities are being built and, where possible, how they are used in the face of a shock or stress (responses). For longer activities (3-5 years) with broader scopes, M&E activities should also focus on how intermediate outcomes relate to the capacities being built and used following shocks or stresses.[10]

4. Resilience M&E Planning: Step-by-Step

4.1. Developing a Resilience-focused Results Chain

The first component of your M&E plan will be the activity results chain. The results chain is a visual representation bridging your theory of change, results framework and the interventions the activity will deliver. Depending on the scale of your activity, a results chain could have dozens of result statements and countless associations between outcomes at different levels and interventions.

Follow the results framework for your resilience activity to draft the result statements and outcomes for each of the level/components of the result chain.[11]

Well-being Outcomes

Step 1: Define your well-being outcomes

The program well-being outcome (also called program goal or development objective) will be largely informed by the scope provided by USAID. Take for example Mercy Corps' Promoting Agriculture, Health, and Alternative Livelihoods (PAHAL) activity in Nepal, where the well-being outcome is food security:

Vulnerable populations in the middle and high hills of far western Nepal are food secure.

Each of the key terms in your well-being outcome will need to be carefully defined to ensure clarity on how you will be evaluating each. In the case of the example above, you would have to define who are the vulnerable populations, what are the regions in the hills you would work in and what food security means for the target vulnerable populations.

Intermediate Outcomes

Step 2: Define your intermediate outcomes

Resilience activities are encouraged to develop intermediate outcomes (intermediate results) based on result statements that are rooted in your activity's resilience approach. Result statements articulate what you expect or wish to observe,

[10] Generally speaking, well-being outcomes and how they are linked to resilience capacities/responses will be measured externally by firms with the capacity to do this type of analysis. Data that activities collect could be analyzed by these external firms with a resilience lens and therefore discussions with them at the onset to ensure survey design and other considerations are key to ensure duplication does not take place.

[11] Steps 1-4 are based on the experience of the Mercy Corps' South and East Asia Resilience Hub.

helping to determine the outcomes that will drive or help achieve your results, and therefore should precede developing outcomes. To develop intermediate outcomes result statements, teams should ask themselves:

What do we expect to observe when an individual (or household, community, system) is resilient?

Depending on the focus of the program, the result statements can include statements related to income, food security/nutrition, inclusion, shelter, investment, infrastructure or planning. The following is also an example based on PAHAL.

Example:

Intermediate Outcome Result statement: Grow and sustain income sources in the face of shocks and stresses.

Intermediate Outcome: Increased income for vulnerable households, despite exposure to shocks and stresses.

Resilience Capacities

Step 3: Defining resilience capacities[12,13]

Resilience capacities are the strategies and resources individuals (or households, communities, systems) have access to and knowledge of to prevent, mitigate and make decisions to prepare for shocks and stresses.

After defining the activity well-being outcomes and intermediate outcomes, identify absorptive and adaptive capacities aligned with intervention areas[14] and build result statements for each capacity.

Take for example, the following capacities identified as important for activity beneficiaries' preparation and mitigation in the context of a shock or stress:

- Knowledge of, access to and use of crop insurance
- Knowledge of, access to and use of input markets and buyers
- Knowledge of, access to and use of market information
- Knowledge of, access to and use of land and water management practices
- Knowledge of opportunities to acquire, access and use vocational and business skills

[12] For more information on capacities' definition and their measurement, read [Guidance Note No. 3: Resilience Capacity Measurement]. USAID Center for Resilience, 2017.

[13] An activity could also develop resilience results (Step 3) before resilience capacities (Step 4) – this example reflects one experience, but the order of the steps is not critical: what is key is that the activity develops the products included in the four steps: well-being outcomes, intermediate outcomes, resilience capacities and resilience results (and their statements).

[14] During the design phase, the assessment you conducted may already have identified capacities for the program.

For each of the capacities identified, develop a result statement that explains the change you want to see as a result of the capacity being in place. Guiding questions you may want to ask when developing the statements include:

- Who currently has access to this capacity? Do they know about this capacity and do they use it?
- If access to a capacity is limited, what is the reason for limited access and how does it affect those who do not have access to it?
- How would we want to see this changed?

Example:

Capacity: *Access to financial services*

Medium and large businesses have access to this capacity, know of it and use it, but households, primarily farmers and pastoralists/traders, are not located near financial services and do not know whether they can get insurance. They save very little money from their production at home during non-drought times, but are insecure during drought. They would like to improve their production, to then increase their savings and have access to insurance that would help them survive a drought.

Result statement 1: *Beneficiaries[15] have access to insurance products to avoid the impact of drought [Absorptive capacity]*

Result statement 2: *Beneficiaries have access to low-interest or product-specific loans to improve production and manage risk [Adaptive capacity]*

To define <u>transformative capacities</u>, the formal and informal mechanisms that constitute the enabling environment for systemic change, brainstorm enablers and barriers that resilience capacity building and can exist at the individual or household level (behaviors, attitudes and knowledge, for example), at the community level (access, local governance, community norms, for example), and at the systems level (infrastructure, policies, institutions, for example).

Guiding questions include:

- What mechanisms already exist that help build this capacity? Are they sufficient/ appropriate?
- What barriers exist to building this capacity?
- What gender or social inclusion constraints exist to build this capacity?
- Why do these barriers exist?

[15] 'Beneficiaries', 'farmers' and other general terms are used in this guidance note as examples. In reality, you will need to be more specific about those groups that do not have access to or knowledge of capacities, especially when disaggregating indicators.

- What are the key problem points that need to be addressed?[16]

Next, identify with an asterisk the critical barriers you can[17] affect to achieve transformative change.

Example:

Capacity: *Access to financial services*

Barriers:

- Limited supply of microfinance institutions in rural areas due to hostile regulatory environment*
- Loan products do not exist for inputs/technology to be promoted*
- Strict collateral requirements
- Men manage all financial decisions in the household*
- High dependence on informal high-interest loans

As with absorptive and adaptive capacities, you will then develop results statements for each critical barrier: these will become the transformative capacities the activity will aim to affect. To do so, ask yourself the following guiding question:

As a result of addressing the critical barrier or constraint, what do we expect to change?

Example:

Barrier: Men manage all financial decisions in the household*

Transformative capacity result statement: Men and women perceive that equitable financial decision-making results in better household financial management.

Barrier: Limited supply of microfinance institutions in rural areas due to hostile regulatory environment*

Transformative capacity result statement: Regional government changes legislation to allow microfinance institutions into the credit market, including provisions for their security.

While developing transformative capacity result statements, arrange them in logical order: what results need to take place first? Which should take place simultaneously? As you identify capacities,

[16] For this question, think of both supply- and demand-level bottlenecks. For example, if the capacity you are looking at is financial access, a supply-level bottleneck may include social barriers to women getting loans, while demand-level bottlenecks may include regulation barriers financial service providers face to offer appropriate loan products.

[17] There will be some barriers that take a longer time to affect, like social norms. While you may not expect to see a significant change in these barriers in the span of a short-term activity, that does not mean you shouldn't still try to address that barrier. Make sure that if these are included in your M&E plan, that they have reasonable, achievable targets.

you can link how capacities are related to each other. You may also see that the same capacity applies to different higher-level outcomes of the activity[18].

Response to Shocks/ Stresses

Step 4: Defining resilience responses

A resilience response is how individuals (or households, communities, systems) access and use their different capacities when a shock or stress occurs. To identify these responses and develop response statements, the following guiding question should be used:

How do we anticipate individuals (or households, communities, systems) will respond to a shock or stress given the capacities the program has built?

At this point, you may find gaps in the logic, or find that your results chain needs to be re-arranged: review what you have developed and refine it. Once you are satisfied, the final step is to develop a list of interventions under each capacity. A streamlined example of what a simplified results chain would look like based on the steps described here, is shown below:

Can resilience be measured in the absence of a shock or stress?

Just like you cannot monitor beneficiary, community or system responses without a shock or stress, *it would be impossible to measure whether they were resilient without a shock/stress to be resilient to*. However, you can monitor and evaluate your program's contribution to building capacities that are deemed to be important for resilience.

Example:

Capacity: Access to crop insurance [absorptive and adaptive capacity]

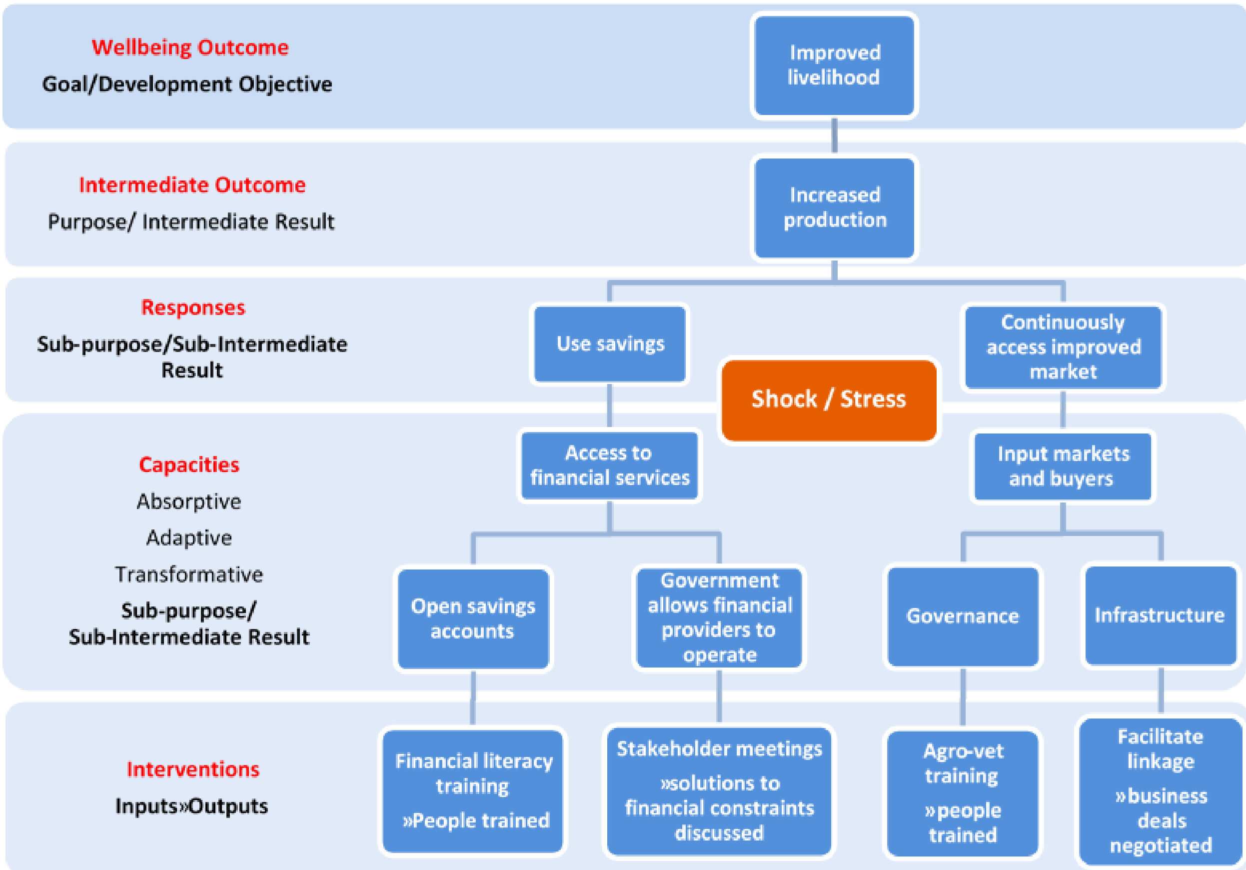
Capacity result statement: Farmers purchase crop insurance before drought to protect food security

Response to a shock/stress: During drought, insurance companies provide timely payouts to policy holders (farmers)

Response result statement: Farmers use insurance payouts to purchase food (absorb the effects of the current drought without resorting to negative coping, such as reducing number/size of meals)

[18] A note on absorptive, adaptive and transformative capacities: rather than spending a lot of time defining whether capacities are absorptive, adaptive or transformative, it is more important to think about how people need to use resources and employ strategies to effectively deal with shocks and stresses.

Figure 2: Simplified Results Chain[19]



4.2. Designing a Resilience-focused Logframe and Indicators

Once a resilience results chain has been developed, the next step is to build a resilience-focused logframe with indicators that can be used whether a shock/stress occurs or not. Since results chains can be very exhaustive – it is not unlikely to have over 75 individual results – the burden on M&E teams to collect this vast amount of data can be daunting, especially for complex and large activities.

[19] Source: Adapted from Measuring Resilience: Progress in South and East Asia's Approach (Mercy Corps, 2017). In red letters, you can find the resilience measurement framework elements, while the traditional elements of a regular results framework are in black letters

One way to manage this is using a Divided Logframe that separates results into an impact and output logframe:[20]

Impact logframe: focuses on high level and well-being outcomes, shock/stress indicators, capacity and response results. Indicators in this logframe will be collected using baseline/endline surveys, other monitoring surveys (such as annual results surveys), recurring monitoring and post-shock monitoring and evaluation in the event of a shock/stress and learning outcomes.

Output logframe[21]: focuses on day-to-day activity data, output monitoring and monthly/quarterly progress. It is meant to provide rapid information for decision-making. Some resilience indicative questions can be added to this level if there is an opportunity to monitor capacities and responses at the output level more frequently.

While a typical non-resilience logframe usually looks like the example in Table 1 below, a Resilience Impact Logframe has different levels and additional columns, with a focus on the result chain statements you previously developed. At the intermediate outcome level, resilience response and capacity outcomes and their indicators will be developed. Annex 1 includes an example of a Resilience Impact Logframe, adapted from USAID's PAHAL activity in Nepal.

Table 1. Typical non-resilience logframe

RESULT	INDICATORS	DISAGGREGATION	MEANS OF VERIFICATION	ASSUMPTIONS
GOAL				
PURPOSE 1				
SUB-PURPOSE 1				
OUTPUT 1				

The key difference in your logframe content compared to a typical non-resilience logframe is the resilience capacities and responses. For each response statement and capacity statement, a regular indicator mandated by your donor or organization will be matched to the statements. Indicative questions will be developed based on these indicators, to provide context on how resilience capacities are being built and the response during a shock/stress.[22]

[20] The divided logframe represents just one method used by Mercy Corps staff – but each activity and implementing unit will have different needs. In the case of Mercy Corps' South and East Asia team, the logframe was divided because it had over 75 indicators and was hard to read in one spreadsheet. The division allowed the team to separate higher-level indicators that were to be measured by robust evaluations from indicators for which data would be captured through activity monitoring.
[21] The South and East Asia region refers to this logframe as a Logic Check logframe.
[22] If several shocks and stresses have been identified, there may be different resilience capacities and responses linked to each of them. In addition, ask open questions when interviewing people in case there are capacities you had not identified as important at the activity design phase, but ended up being used by the target population.

Resilience capacity questions. Whether or not a shock/stress occurs, resilience capacity questions will need to be included in measurement tools to monitor and evaluate the contribution of an activity on building types of resilience capacities (such as financial services, agricultural techniques, disaster preparedness, etc.). These questions will focus on how individual, households, communities or systems have prepared for a shock or stress or have taken mitigation measures to lessen the effects of shocks and stresses. Similarly, psychosocial factors such as motivation, confidence and a general locus of control (the belief that an individual has control over the outcome of life events) can be included under capacity questions.

Resilience response questions. Resilience responses, as previously explained, require a shock or stress condition. Indicative questions under this category would help staff monitor and evaluate how individuals, households, communities or systems responded to the shock or stress; allowing them to learn about whether and how people used the capacities they built, what challenges or barriers they encountered or what allowed them to use their capacities more efficiently.

Cross-cutting outcomes, indicators and disaggregation

The impact logframe allows for the inclusion of cross-cutting outcomes, such as women's empowerment and social capital strengthening outcomes and indicators. The example shows a cross-cutting high-level outcome with resilience capacity and response indicators:

Cross-cutting outcome: Strengthen social capital despite a shock or stress

Resilience Response Statement: *Drawing on social capital to respond to shocks and stresses*

Response indicator: *Number of households reporting receiving assistance from friends/neighbors/other communities following a shock*

Resilience Capacity Statement: *Households prepare plans with others in their community to support each other in the face of a shock*

Capacity indicator: *% of households reporting they feel confident in the plan their neighborhood has in place in preparation for a shock*

It is common to have gender and age disaggregation at the individual level. At the household level, remember to disaggregate by female-headed households and youth-headed households and how this household 'leadership' changes during a shock or stress.[23]

The Impact Logframe will also include monitoring shock and stress indicators. Note that a seasonal calendar, data from local meteorological agencies, FEWSNET, ICIMOD and other sources may be needed for baselines or to establish 'normal', localized conditions in an *objective* manner[24]. An example of the shock/stress logframe is included in the sample Impact Logframe in Annex 1. It includes *subjective* indicators – mainly perceptions from individuals, households and communities. Shock and stress exposure and severity are important in understanding how people use their capacities and respond to shocks and stresses, allowing implementing partners to make decisions in

[23] For more information on how to include gender in resilience programming and MEL, see Integrating Gender into Resilience Analysis: A conceptual overview USAID Center for Resilience (2017).

[24] For more information on shock and stress measurement, read Guidance Note 2: Measuring Shocks and Stresses. USAID Center for Resilience (2017).

the implementation of their activities, such as shifting from resilience-building to emergency response, and prioritizing the areas where resilience could be strengthened, even during shocks and stresses.

The Output Logframe should follow the same format as the Impact Logframe, in a different spreadsheet and focus on output indicators.

5. Resilience Measurement Methods and Tools at the Activity Level

Once a resilience results chain, a resilience logframe with resilience capacities and responses, indicators and resilience questions have been developed, the resilience M&E plan is almost complete. One question remains: how will you collect the necessary data to calculate indicators and answer questions?

The resilience measurement community is still developing the best ways to collect and analyze resilience information. While complex assessment and evaluation methodologies have been developed, field-friendly methods at the activity level are still being piloted by different organizations.

The good news is that this allows for innovation and opportunities for activities to test what works for them. In Annex 2 you can find a matrix of M&E and assessment tools that have been used for past resilience activities. The tools range from sector/capacity-specific to larger baselines/endlines or annual surveys. While most tools do not address resilience specifically, they can be modified to do so.

6. Conclusions

“Finishing” the Resilience M&E plan: results chain, logframe with indicators and a description of the tools you will use is only the beginning. The M&E plan for a resilience activity will require high adaptability and flexibility, allowing change as required based on changes in programmatic conditions, shocks and stresses.

Depending on the activity scope, length and budget, M&E plans will need to be reviewed at least annually. When doing so, and in reviewing results from monitoring and evaluation activities (through learning or reflection events after survey data is analyzed, for example), results chains and even theories of change may also need to be reviewed to ensure you are providing the best possible implementation package to beneficiaries. Resilience M&E tools are still being tested and piloted, so make sure you allow some time to reflect on the lessons learned from each pilot and how resilience questions were able (or not) to be answered by the tools. Feedback and lessons learnt from activities should be sent to resiliencemeasurement@gmail.com.

Helpful Resources

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Annex 1. Resilience Impact Framework Sample

The following example is an adaptation from the PAHAL activity in Nepal, led by Mercy Corps. Note that the response and capacity section of the logframe has indicators and indicative questions at the individual and systems level, focusing on financial services as an example.

Result level	**Result Chain Statement**	**Indicators**	**Disaggregation & Assumptions (D&A)**	**Means of verification**				
				Baseline & endline (BL/EL)	**Annual surveys (AS)**	**Other**	**Post-shock Recurring Monitoring (RM)**	**Post-shock Evaluation (EVAL)**
Well-being outcomes								
Well-being outcome 1: Vulnerable populations in the middle and high hills of far western Nepal are food secure		Well-being Indicator 1: Household Dietary Diversity Score						
Intermediate outcomes (IO)								
IO 1: Increased income for vulnerable households despite exposure to shocks and stresses	IO Result Statement 1: Grow and sustain income source sin the face of shocks and stresses.	IO Indicator 1: Number of livelihood sources per household, including those resilient to shock/stress						
		IO Indicator 2: Percentage of microenterprises supported by the program with increased or regular profits despite exposure to shock/stress						

RESPONSES [post-shock/stress] & CAPACITIES [pre-shock/stress]										
Result level	**Result Chain Statement**	**Indicators**			**D&A**	**BL/ EL**	**AS**	**Other**	**Post-shock RM**	**Post-shock EVAL**
		Regular indicator	**CAPACITY questions**	**RESPONSE questions**						
RESPONSE: Farmers use financial services continuously post-shock/ stress	Farmers use savings, credit and insurance during a shock/stress to manage risk	Number/% of farmers benefiting from financial services due to activity support	Do farmers save for emergencies? Do farmers know how to open a savings account/ request loan? Do they know insurance products available? Do farmers feel like they are prepared for a shock/stress in terms of financial services? Do farmers report self-efficacy in financial management? Were barriers to access, knowledge, use pre-shock/stress still an issue? To whom?	Did farmers use their savings according to plan following a shock/stress? Were farmers able to adapt or change their plans without resorting to negative coping strategies? Are farmers able to claim insurance benefits? Are they satisfied with the insurers' response? Were barriers to respond to shock/stress still an issue? To whom?						
CAPACITY: Farmers have access to financial services, including loans, savings, insurance.	Farmers open savings accounts, take out loans and have insurance to prepare for a shock/stress	Number of informal financial service providers supported	Have informal service providers planned for defaulting members in case of a shock/stress?	Do informal service providers continue services (and for how long) following a shock/stress?						
		Number of formal financial intermediaries serving poor households	Do providers offer products in preparation to a particular shock? Are providers promoting products with the farmers who need them? Are non-supported providers replicating supported-providers' products? Were barriers to access clients to prepare for shocks/stresses still an issue for providers?	Are providers still accessible to affected farmers during and post shock/stress? Do insurers provide payouts in a timely manner? Are providers encountering barriers to respond to the shock/stress?						

SHOCK AND STRESS MONITORING				
Shock/ Stress	**Shock/Stress Characteristics**	**Indicators**	**Means of verification**	
			Annual monitoring and baseline/endline	**Other monitoring/ post-shock evaluation**
Shock 1: Drought	Shock exposure	Number dry spells experience in the last x months. Length of experience per dry spell.		
	Shock severity	Perceived shock severity by month in the last x months. Amount of crop loss Amount of and type of livestock loss		
Stress 1: Land degradation	Stress exposure	Soil fertility Farms with reduced soil erosion Farms with improved soil health		
	Stress severity[25]	Perceived severity by month for the last x months		

[25] Stress severity and exposure are usually difficult to measure. Be realistic about what you can actually monitor.

Annex 2. Working List of Resilience Measurement Tools

Tool	Type, Activity, Donor, Level of Effort	Description	Strengths	Limitations
Climate Vulnerability and Capacity Analysis	Analysis tool, community level. Used as assessment. (PRIME, USAID) LOE: Low to Medium	CVCA is a participatory methodology to analyze community vulnerability to climate change. Under PRIME, they were used to provide baselines under the natural resource management component.	Methodology guide that helps frame analysis. Participatory approach is strong.	Does not quantify vulnerability. Does not provide results that can be generalized. Teams must be familiar with facilitation, hazard mapping, seasonal calendar, historical timelines and vulnerability matrix
Emergency Market Mapping and Analysis	Analysis tool for value chains. Used as assessment and to monitor post-shock/stress. (PRIME, USAID) LOE: Medium	Intended as a tool for humanitarian staff in post-emergency contexts to improve emergency response by understanding, supporting, and using local market systems. PRIME used it in areas that were chronically hit by drought at the beginning of the program and once at the end tail of a shock to observe market changes.	Can have a short turnaround depending on scope. They can be inexpensive if staff is already trained and no consultant is hired.	It does not tackle the question on whether markets/value chains are resilient (or are adaptive, transformative).
Monitoring relationships in market systems development	Monitoring tool, systemic level (PRIME, USAID) LOE: Low	Commissioned as a pilot by PRIME to monitor changes in the quality of relationships, replications and scale-ups of interventions implemented and products developed.	Can be easily done by staff with strong qualitative data collection and analysis skills.	Many questions didn't work out, and several changes had to be made along the way (it was a pilot).
City Resilience Review	Assessment tool, systemic level (ACCRN, Rockefeller Foundation) LOE: High	Used at the systemic level in an urban environment. It describes six systems' level of resilience: institutional, social, economic, human, physical, and ecological. These are further divided into sub-systems/ sectors, proxy indicators and indicators. Government officials or supporting institutions use it to assess city resilience status. The tool is then used to allow city decision-makers to prioritize sectors or activities.	Could be adapted to be smaller and used as monitoring tool in smaller geographic settings – as long as it stays at the systemic level. Step-by-step guideline for practitioners is available.	Large and relatively complex. Lengthy process to develop indicators and data collection (about 8 months). The qualitative analysis methodology is subjective, with large margins of error. The tools must be developed manually, although a template is available.
Systemic adaptability monitoring framework	Framework on scoring tool, systemic level. Monitoring tool. (PRIME, USAID) LOE: Unknown	Framework designed to answer how a market system is moving towards a more stable state of inclusion and adaptability. Pilot commissioned by PRIME.	Step-by-step processes and scoring instructions. Consultant developed it but meant to be operationalized by staff	No limitations at the moment as it is currently being piloted.

Tool	Type, Activity, Donor, Level of Effort	Description	Strengths	Limitations
Farm Resilience Assessment	Indicators and tools to measure them based on Resilience Design. Monitoring and evaluation tools. (TOPS, USAID) LOE: Unknown	Tool designed to support field agents working with farmers in assessing their farms' progress using the Resilience Design in Smallholder Farming Systems. The tool has 14 questions with a scoring system to identify areas of improvement. It is designed as participatory tool that facilitates the learning process through a discussion between the field agent and the farmer as they tour the farm together.	Currently piloted in West Africa. It is highly participatory and engages with farmers so they are part of the consultation and recommendations to improve	Measurements do not have a shock/stress focus, rather information is gathered based on agricultural calendar (harvesting seasons).
Crisis modifier indicator tracking	Monitoring tool, community and systemic level (PRIME, USAID) LOE: Low to medium	Tool helps follow up change in rainfall, pasture condition, water and fodder availability, price of milk and food baskets, etc. Source of information includes community traditional forecasters, national meteorological organization, rangeland councils, businesses, traders, World Food Program monthly market outlook, FEWSNET, etc.	Helps 'categorize' communities in crisis, alert, or normal modes (red, yellow, green system) without a specific threshold. It informs in designing appropriate interventions and when to intervene	Highly subjective. It takes staff time and relationship building.
Institutional database	Monitoring tool, institutions supported (PRIME, USAID) LOE: Low to medium	Used as a single-source of information to profile and follow institutions (and businesses) supported by PRIME.	Monitors institutional performance without the need of big surveys and allows for the recording and analysis of information.	The system was online and required strong internet connectivity. Program staff collected data at different time periods (depending on the institution) but with high attrition staff ended up overwhelmed with data collection of their 'clients'.
City Vulnerability Assessment	Analysis tool/ assessment. (ACCCRN, Rockefeller Foundation) LOE: High	An analytic tool used to assess climate impact related vulnerability and capacity of a city. The smallest analysis unit used is sub-district. To be used by decision makers of administrational area such as city government. Ideally the assessment is conducted every five years to track changes of vulnerability and capacity of climate impact.	It is very contextual and using relevant local data to be used by local stakeholders as their city planning reference. The framework can be scaled-up or down. In either case indicators and smallest unit must be adjusted.	The analysis is made against natural climatic hazard. It requires skillful operator/team to use the tool Perceived risk is not included into the analysis.

Tool	Type, Activity, Donor, Level of Effort	Description	Strengths	Limitations
Zurich Flood Resilience Alliance 5C4R Framework	Framework and guide for assessing community resilience. Can be used as baseline/endline, but requires a shock (flood). (Zurich Flood Resilience Program) LOE: High	Focuses on four dimensions of resilience: robustness, redundancy, resourcefulness and rapidity; as well as 5 capitals: social, human, physical, natural and financial to score community resilience with grades A through D.	Robust methodology with community verification process as well as use of objective and subjective measures. There are very detailed instructions/guide to implementing the framework.	Requires a flood to take place for measurement. It requires a heavy time and resource commitment.
Post-shock Recurrent Monitoring Tool	Coded survey instrument for baseline/endline. (M-RED, Margaret A. Cargill Foundation) LOE: High	Used to measure whether MRED communities used key resilience capacities to cope with several devastating flood events and whether they were able to maintain or increase their well-being outcomes.	Survey was given to households who participate in the full MRED nexus intervention package and comparison households, both living in flood affected communities.	Quantitative structured questionnaire. Focuses on capacities the program was building, not anything beyond it. First generation tool trying to explore how co-occurring shocks and stresses affect household resilience.
SenseMaker® Resilience Signification Framework	Built by Catholic Relief Services for different activities. Used in monitoring. LOE: High	Built around four resilience learning questions: 1) what does being resilient mean for households and what does it take to build it; 2) what are the capabilities or combination of capabilities that makes the difference to respond to different types of shocks and stressors?; 3) what actions or combination of actions do households take to cope and adapt, or to transform their systems and structures, to respond to shocks and stressors?; and 4) what resilience pathways did households (and individuals) experience and how did these pathways influence development outcomes?	SenseMaker® is a complexity-aware method based on people's narratives about their experiences, beliefs, and motivations. It has its own supportive software that helps to generate data patterns for analysis. Story-tellers are asked for their own interpretation and analysis of the story through a series of different quantitative and qualitative tools.	Requires very high investment upfront in building capacity for story collectors, as well as resources to maintain server data and use analytical tools. Training in supportive software for data analysis is a must.
Women's Economic Empowerment in Agriculture Index - Abbreviated	Developed by IFPRI, used often as a tool in high-level baselines/endlines. LOE: High	Household, community and systemic contexts can either foster or inhibit the development and/or utilization of resilience capacities for different genders. The key contextual elements that can affect resilience and are covered by the WEAI are: availability of, access to, and control of resources; decision-making; and roles and responsibilities in the household and community – though not within the context of a shock or stress. Women and men may also have different perspective on what is a shock	Data collection and analysis can be done with a team who knows STATA well and can follow the guidelines provided by IFPRI. Questions can be adapted to local contexts. Indicators in each of the domains can be interpreted on their own if looking at some gender-relevant indicators	While less time consuming and resource intensive than its predecessor, the abbreviated version is still lengthy and data-heavy. It is not possible to measure only a few particular domains of the A-WEAI and still try to measure the index as per IFPRI instructions. When interpreting results note that

Tool	Type, Activity, Donor, Level of Effort	Description	Strengths	Limitations
		or stress and how they affect them or their household and these questions could be added to the survey.	An activity-level WEAI, to be yet more simplified, is being piloted in the field and will be available in 2019. Organizations such as ACDI/VOCA are testing their own version of the tool that can be customized to look at particular domains without compromising the integrity of analysis.	time allocation, leadership and ownership of production/resources can also add to women's stress when already having a full schedule in home management. Literature about this issue can be found in the works cited section of this guidance note.
Financial diaries	Used for monitoring in different developing countries and by those with financial services access challenges. LOE: medium	Introduced as a research method to obtain multidimensional quantitative and qualitative data for low-income households to understand their financial status and issues. The tool gathers all information about the individual/household financial transactions during a specified period (quantitative), while gathering the rationale and motivation behind their decision-making and spending patterns – whether saving, borrowing or investing. Financial diaries can provide a frequent and more in-depth perspective on income, expenses and forma/informal credit from smallholder farmers, and therefore a quick way to note what positive and negative coping strategies households are considering during 'regular' and 'shock/stress' periods.	The thousands of data points that are collected with each study offer a deep rather than broad view, and present tangible suggestions for new policy or product innovations.	It requires staff that is focused entirely on data collection due to the high frequency. Financial diaries are not meant to be representative of the larger geography/community in which they are conducted. Household attrition is a factor since the interviews are so frequent and extensive – and therefore households are not selected randomly.
Analysis of the resilience of communities to disasters	Developed by GOAL as a concise and user-friendly toolkit to measure the level of disaster resilience at community level. Can be used as assessment tool or baseline/endline tool. LOE: Low to medium	The toolkit can be used to give an indicative percentage of resilience based on the assessment of the key components of resilience. It can also be used to determine levels of resilience (minimal, low, medium, resilient, and high resilience).	The toolkit is intended to be used with mobile digital data collection using the CommCare platform but an offline dashboard reporting template can be requested from GOAL (resilience@goal.ie)	It is recommended that this toolkit not be used by itself, but rather as part of stakeholder consultations and risk assessments to understand complexities of disaster resilience at the community level. It focuses on qualitative data collection only. Mostly focused on natural, biological and technical hazards (ie. not conflict).

Implementers can submit other relevant tools to resiliencemeasurement@gmail.com and they will be shared and added to this matrix.

ABOUT THE PRACTICAL GUIDANCE NOTE SERIES

USAID's Resilience Measurement Practical Guidance Note Series synthesizes existing technical documents into pragmatic guidance to assist practitioners in integrating core aspects of resilience measurement into their program assessments, design, monitoring, evaluation, and learning.

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1. Risk and Resilience Assessments
2. Measuring Shocks and Stresses
3. Resilience Capacity Measurement
4. Resilience Analysis
5. Design and Planning for Resilience Monitoring and Evaluation at the Activity Level

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