LUTHERAN WORLD RELIEF'S APPROACH TO RESILIENCE

PART II: APPLYING RESILIENCE IN DEVELOPMENT PRACTICE

Lutheran World Relief (LWR) is strongly committed to building the resilience of vulnerable communities in Africa, Asia and Latin America. Based on decades of international programming experience in agriculture, climate change and disaster relief initiatives, **LWR defines resilience as the capacity of a system (e.g., a community) to absorb the impacts of shocks and stressors, to adapt to change and to potentially transform, in a manner that enables the achievement of development results (e.g., sustainable livelihoods, well-being, poverty alleviation)** (Figure 1)[1].

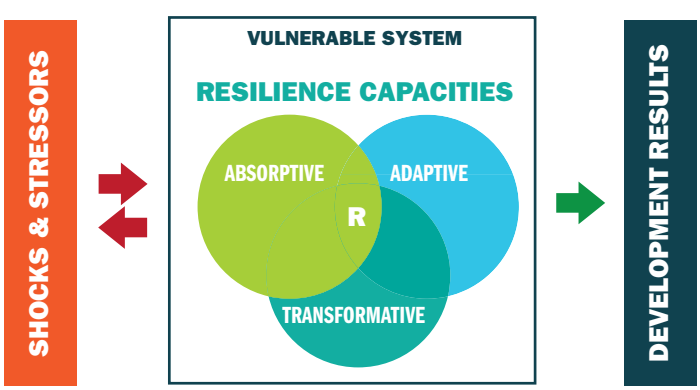

Figure 1. Resilience Capacities of a Vulnerable System

By strengthening existing capacities or building new absorptive, adaptive and transformative ones (Annex 1), development initiatives can help vulnerable populations not only better prepare for and overcome the impacts of short-term shocks, but also face unexpected changes over the long term.

This document is a work in progress. Its scope and contents will continue to be built and developed over time, reflecting experiences and learning about resilience at LWR and in the wider resilience field.

LWR has outlined its institutional Approach to Resilience in a technical document produced in 2015. Building on the foundations laid out in LWR's approach, this document goes one step further: It provides the basis to apply resilience thinking in development practice, offering guidance to LWR staff and partner organizations on the integration of resilience as part of international disaster relief and sustainable development programming.

Lutheran World Relief
SUSTAINABLE DEVELOPMENT. LASTING PROMISE.
800.597.5972 | lwr.org

KEY PRINCIPLES FOR RESILIENCE PRACTICE

Applying resilience in development practice is not about reinventing the wheel or relabeling traditional development approaches. It is about modifying *how* we program rather than *what* we program,[2] and about consciously engaging in development programming from a more creative, holistic and in-depth perspective.

The following five principles are at the core of resilience practice:

- **UNDERSTAND COMPLEX ENVIRONMENTS**
- **ADOPT A PROCESS-ORIENTED APPROACH**
- **CONSIDER MULTIPLE LEVELS**
- **ENSURE FLEXIBILITY AND LEARNING**
- **ENCOURAGE COMPREHENSIVE MEASUREMENT**

These principles are closely interconnected and complement one another. Together, they strengthen the project cycle and contribute to building the resilience of vulnerable communities affected by shocks and stressors, facilitating the achievement of development results (Figure 2).

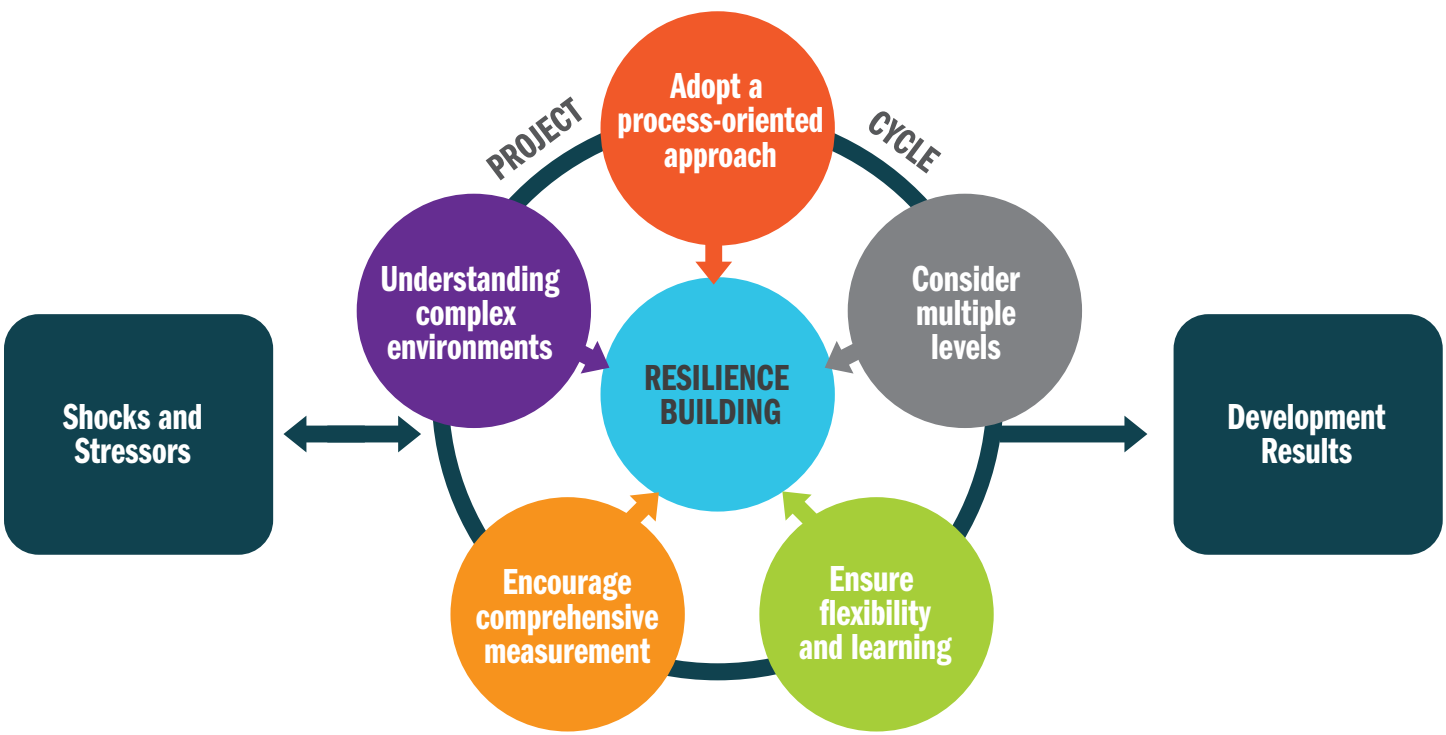

Figure 2. Principles of Resilience Building in Development Practice

UNDERSTAND COMPLEX ENVIRONMENTS

A solid understanding of complex development environments is essential for the design, planning and monitoring of resilience initiatives. It recognizes that vulnerable communities are affected by multiple, and often simultaneous, shocks and stressors and uncertainty. In practice, resilience is about shifting the programming focus from reaching a state of stability or equilibrium to equipping those communities with the capacities needed to cope with surprises and navigate change. This principle helps practitioners to:

- Adopt a more holistic lens to understand the developing environments where they operate
- Acknowledge that socioeconomic, political and ecological factors are closely interlinked and that those linkages are crucial for building more sustainable development pathways[3]
- Consider the short- and long-term impacts of shocks and stressors on vulnerable communities, as well as the strategies to respond to those effects[4]
- Recognize that gender influences sensitivity to shocks and stressors and that even within the same household, men, women, boys and girls perceive and respond to those impacts in different ways[5]

How do I ensure a solid understanding of complex environments? Examples:

A solid understanding of complex development environments is essential for the design, planning and monitoring of resilience initiatives. It recognizes that vulnerable communities are affected by multiple, and often simultaneous, shocks and stressors and uncertainty. In practice, resilience is about shifting the programming focus from reaching a state of stability or equilibrium to equipping those communities with the capacities needed to cope with surprises and navigate change. This principle helps practitioners:

- By strengthening the project's needs assessments and considering the short-term shocks and long-term stressors that affect the project area and the way in which they are perceived and experienced by men, women, boys and girls
- By identifying how those shocks and stressors are linked to existing risks and vulnerabilities in the project area
- By continuously monitoring contextual factors that may affect the project's implementation (e.g., political unrest, economic instability, environmental degradation, risk of natural disasters)
- By consulting and engaging with the wide variety of stakeholders that influence the project area

"Resilience shifts the attention away from long-term equilibria and toward the system's capacity to respond to short-term shocks and stresses in a constructive and creative way." Alinovi, L. et.al, (2010)[6]

ADOPT A PROCESS-ORIENTED APPROACH

Resilience building is a process, not an end result. Adopting a resilience approach is not a standalone technical solution but a long-term commitment to strengthen local capacities throughout the project cycle.

Resilience thinking should be integrated from the initial stages of project planning and design, to the implementation and final evaluation of initiatives seeking to strengthen the absorptive, adaptive and transformative capacities of vulnerable communities. In line with LWR's institutional values, the integration of resilience into the project cycle involves the participation of all project stakeholders — beneficiaries, local partners, funding institutions — in order to ensure relevance, ongoing learning and sustainability.:

How do I adopt a process-oriented approach? Examples:

- By integrating a resilience framework and Theory of Change (ToC) in the design of the project
- By strengthening livelihood capitals and resilience attributes as part of the project activities
- By measuring/monitoring change in the resilience capacities (absorptive, adaptive and transformative) in the project area
- By ensuring spaces for reflection, flexible timelines and systems that allow changes to the project (e.g., budget, work plan, targets, staffing adjustments) as a result of regular monitoring and learning

"It is not possible for any single actor or intervention to build resilience to everything, for everyone and forever, but by improving analysis and working together to ensure that resilience building programs support community-driven processes, the breadth and sustainability of impact will be improved."Fox, R. et. al, (2012)[7]

CONSIDER MULTIPLE LEVELS

Resilience is an approach that considers the linkages and interactions that take place between multiple stakeholders in a system (such as a community), at multiple levels:

- **Micro:** Local individuals, households and communities
- **Meso:** Regional institutions or associations
- **Macro:** National institutions and international organizations

Although development projects often focus on the micro level, resilience involves identifying, understanding and integrating the linkages that exist between the micro, meso and macro levels. These cross-level linkages are crucial to the ability of vulnerable communities to prepare for, respond to and overcome the impact of shocks and stressors.

How do I consider multiple levels? Examples:

- By identifying, in the project's needs assessment, the key stakeholders that operate or that play a role in the project's target area (stakeholders at the local, regional and national levels)
- By identifying the role of those stakeholders in local responses to shocks/stressors (e.g., the role of community organizations, municipal governments, national authorities in adaptation strategies)
- By assessing project impact at different levels (e.g., new collaboration mechanisms between the community and the regional government, increased awareness at the meso/macro levels)
- By ensuring clarity on the project's targeted level of intervention (i.e., at what level is the project trying to make change — at the individual, household and/or institutional level?), as well as measures that correspond to that level

Cross-level linkages "provide the connections to, and support from, higher levels of governance, so there is mutual learning and adapting." Berkes et.al, (2005)[8]

Allison Shelley for LWR

ENSURE FLEXIBILITY AND LEARNING

Resilience is deeply rooted in the ability of project stakeholders to respond and adapt to change. Within developing contexts characterized by unpredictability and uncertainty, the ability to be flexible, to reflect, learn and adjust accordingly, is key for resilience programming. Ensuring flexibility in project management and ongoing learning can also help practitioners operate more effectively in complex developing environments. Ongoing monitoring, reporting and reflection meetings among project stakeholders are important components of the resilience project cycle:

How do I ensure flexibility and learning? Examples:

- By adopting adaptive management practices, negotiating with donors on adjusting work plans and spending lines
- By budgeting time and money for periodic reflection meetings to review data and adjust planning
- By integrating mechanisms into the project design and planning to respond to changing priorities during the project cycle (e.g., the occurrence of a natural disaster)
- By ensuring that the lessons that emerge during the project cycle are used to inform/strengthen activities and next steps

"A significant part of resilience is that it brings the notions of dynamic change, risk, uncertainty and options into development planning and implementation, alongside rights, needs and vulnerability. … This approach encourages people to be ready for change and is underpinned by the ability to undertake comprehensive monitoring and analysis, and to actively learn." Fox, R. et al, (2012)[9]

ENCOURAGE COMPREHENSIVE MEASUREMENT

Resilience programming requires comprehensive measurement approaches that capture change in the absorptive, adaptive and transformative capacities of the target population over the project cycle, and even after (so as to account for the project's impact on long-term change). While there is no one-size-fits-all measurement approach, as resilience is highly context-specific, the following considerations can strengthen the project's monitoring and evaluation strategy (Figure 3):

- ***Objective and subjective measures***, to capture numeric data on events, behaviors and material conditions (objective measures), as well as measures that gauge the perceptions, opinions, preferences or self-assessments of specific stakeholders (subjective measures).[11]
- ***Increased frequency of measurement***, to document change more intermittently over the project cycle and capture changes in resilience capacities (i.e., identifying the resilience capacities that are in place before a shock/stressor happens, during the occurrence of a shock/stressor and after its occurrence). Increasing the frequency of measurement of a few key variables can help capture adaptive processes in rapidly changing shock environments,[12] and it can also facilitate the identification of smaller shocks that might be having an impact on the project's beneficiaries but that are not easily identifiable through traditional benchmark measurement (i.e., baseline/midterm/endline).
- ***Quantitative and qualitative methods***, to capture the wealth of knowledge and information available in developing contexts, and to enable mixed method analysis, a more comprehensive approach to explain and predict resilience outcomes.[13]
- ***Sex and age disaggregated data***, to analyze the project's impact on men, women, boys and girls, and to assess the different perceptions, skills and strategies that are in place to respond and adapt to shocks and stressors.
- ***Impact over time,*** to document short-, medium- and long-term project impacts.

Ultimately, adopting comprehensive measurement approaches to resilience helps practitioners determine not only if households or communities are resilient, but also why they are (or not) resilient, and adjust programming accordingly.

> ***"Important information might be missed altogether if measurement were to occur only at baseline and endline. Development of 'lighter' questionnaires and other measurement tools would allow for more frequent collection of data without adding to assessment burden and fatigue among households." FSIN (2015)[14]***

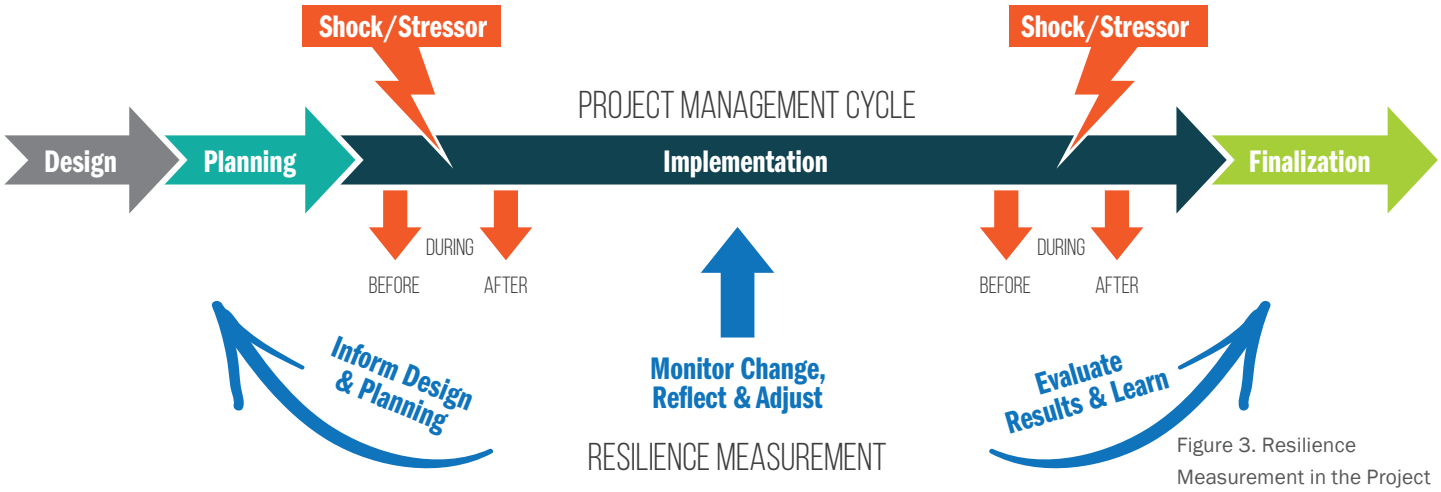

Figure 3. Resilience Measurement in the Project Management Cycle

How do I adopt a comprehensive measurement approach?

Examples:

- By developing a clear ToC and M&E plan that maps resilience capacities, livelihood capitals and resilience attributes to project outcomes and indicators
- By acknowledging gender differences, gathering gender-sensitive information and integrating these findings into the project's design and delivery
- By integrating both qualitative and quantitative methods to the regular monitoring and benchmark data collection, in order to ensure a deeper understanding of resilience components
- By considering realistic timelines needed for resilience impact as part of the project's design and planning: for short-term changes on absorptive capacity, medium-term changes on adaptive capacity and long-term changes on transformative capacity
- By adding and budgeting for lighter measurement approaches, on top of regular systems, that allow for more frequent data collection (e.g., rapid resilience assessments through short survey questionnaires, periodic checks/short interviews with key informants)
- By planning and budgeting for measurement if an (unexpected) shock occurs during the project cycle, which can provide valuable opportunities to understand coping strategies and identify gaps

"Resilience measurement requires multiple method assessment approaches that capture perceptions, opinions, judgments and the nature of social interactions as well as the observable or easily measurable characteristics of social ecological systems." FSIN (2015)[15]

BOX 1. ADVANTAGES OF MULTI-POINT, EVENT-SENSITIVE MEASUREMENT

Resilience fosters the adoption of time- and event-sensitive measurement approaches, allowing practitioners to map the trajectory and better understand the nuances of change in the context of implementation. This approach is attuned with the complex and dynamic nature of developing countries, and fosters a more holistic evidence base of the project´s impact over time through the integration of:

Measures **before** a shock/stressor:

- Existing vulnerabilities (social, physical, human, economic, environmental, political) and contextual factors (e.g., geographic, historic, cultural)
- Local perceptions of risk and of the impact of shocks and stressors on well-being
- Existing capacities, skills, abilities and relationships that are accessed/mobilized in response to those impacts

Measures **during** a shock/stressor:

- The magnitude/intensity of multiple shocks and stressors that affect the project area and the interactions between them
- Local perceptions of shock/stressor impact on well-being and future aspirations
- Responses/coping mechanisms to shocks/stressors

Measures **after** a shock/stressor:

- State of local capacities after the occurrence of a shock/stressor
- Perceptions of risk and future aspirations
- Development outcomes related to the shock/stressor of focus (e.g., food security)[16]

See Annex 3 for a summary table of resilience measurement tools.

APPLYING RESILIENCE: A PROJECT CYCLE PERSPECTIVE

The following are key considerations for the operationalization of resilience as part of international development initiatives. These considerations are based on three important premises:

- Resilience is a process, not an end result, that better enables us to arrive at our end development goals. The integration of resilience must be addressed in each of the stages of the cycle: from the project design or initiation to planning, implementation and finalization.
- Efforts to operationalize resilience should not seek to replace, but rather to integrate and strengthen, existing programming and M&E strategies. In the case of LWR, resilience integration is linked to the structure and processes that have been developed as part of the agency's Design, Monitoring, Evaluation and Learning (DMEL) framework.
- Gender integration in programming is a critical component for enhancing household and community resilience. For LWR, resilience programming is closely interconnected with the gender integration principles that apply to each of the stages of the DMEL framework.

"It is impossible to build resilience in households and communities without also addressing systemic gender inequality. As an aid community, when we do not account for and address gender inequality, we ignore factors that entrench vulnerability for the entire population. We also miss factors that would enable us to support households and communities to become more resilient." Shean and Alnouri (2014)[17]

INTEGRATING RESILIENCE: PRACTICAL CONSIDERATIONS

In international development practice, resilience initiatives require the integration of a series of technical and operational considerations. These considerations are crucial to ensure the relevance of development interventions and the sustainability of positive change.

Key considerations for each stage of the resilience project management cycle (design, planning, implementation and finalization) are reflected below. They can help strengthen the formulation of project objectives, verify the logic of potential solutions, foster continuous learning, and complement and contribute to the project's M&E plan.

A. INTEGRATING RESILIENCE IN THE PROJECT'S DESIGN

- **Conduct a comprehensive needs assessment** of the project's target area, integrating the following factors:
  - What are the short-term shocks and long-term stressors that affect the project area?
  - How do those shocks and stressors affect the project area?
  - Whom do they affect, and how? (e.g., differentiated impacts on women, men, boys and girls)
  - Rank the stakeholders that are most affected, to inform the selection of the project's target population.
  - What is the availability of livelihood capitals and resilience attributes of the target population?
  - Which of the livelihood capitals and attributes are stronger/weaker in the target area?
  - What strategies are in place to cope with/adapt to the effects of shocks and stressors identified?
  - What are the local perceptions of absorptive/adaptive/transformative capacities? Are there other sources available that could be used to compare/verify/complement those perceptions?

- **Use the results of the needs assessment to inform the resilience problem analysis**, ensuring a clear causality between the weaknesses/gaps identified (e.g., weak resilience capacities, capitals and attributes) and the problem tree.
- Ensure clear linkages between the **proposed project outputs** and the **resilience capacities** (integrating the resilience capacities that the project seeks to strengthen at the outcome level; see example in Annex 3).
- As part of the design of the **project's indicators and assumptions** (logframe), consider resilience indicators and measurement requirements (Box 1). Review existing approaches to resilience measurement (Annex 4).
- Ensure that the project design is conducted with a **gender lens**, by recognizing gender-based differences in the project area, targeting gendered needs, addressing gendered power relations, and monitoring and evaluating gender-related outcomes.
- **Design the project's M&E plan** by considering the budget and the M&E staff needed to conduct additional resilience measurement, based on the resilience indicators chosen, and on the need to collect data more frequently (e.g., before, during and after a shock takes place). This helps increase the accuracy of measures and ensure that observed patterns of adaptation and transformation are not short-lived.
- Ensure that there is **sex- and age-disaggregated data**, including sex-based disaggregation of indicator targets, as well as mechanisms to identify and analyze the impact of project activities on men, women, boys and girls.

REMEMBER TO:

- Plan enough time to conduct the resilience needs assessment, including a risk and vulnerability assessment, and budget accordingly. Depending on the project area (e.g., multi- or single-country focus), a complete needs assessment can take one to three months.
- A strong resilience design requires qualitative and quantitative data. Data can be collected through key informant interviews, surveys and/or participatory mapping with target communities, among other methods.
- If the team decides to use qualitative data, ensure that staff is properly trained on the use of participatory rural appraisal (PRA) techniques (Annex 2), and that the choice of PRA methods and tools is clearly linked to answering the key resilience questions.
- If there is not enough time and/or budget to gather field data, the team can conduct the resilience assessment by desk review/secondary sources. In this case, ensure that there is sufficient time and budget to conduct it more comprehensively once the project begins.
- Standard assessment tools like the vulnerability and capacity assessment (VCA) and hazard, vulnerability and capacity assessment (HVCA) can also be used in this stage (Annex 2).
- Design and implement a gender assessment as part of the VCA. This entails consideration of how activities are addressing people's practical and/or strategic needs and whether they reinforce gender inequalities.[18]
- Seek technical support to input into the design of the resilience needs assessment, including risk and vulnerability assessment, and translate the results into the next stages of project design/planning.
- Consider the time required to build and measure impact for each of the resilience capacities (absorptive: short-term changes, adaptive: medium-term, transformative: long-term), and compare that with the project's time frame and budget. Use these considerations to formulate viable objectives (e.g., are the time frame and budget realistic/viable to build and measure impact on those capacities?).
- Develop a clear ToC to inform the project's resilience learning questions. These questions help to inform the project's data collection approach and the reflection process about resilience impact.
- Identify who is responsible for resilience measurement analysis, decision-making and learning throughout the life of the project.

B. INTEGRATING RESILIENCE IN THE PROJECT'S PLANNING

- As part of the project planning, develop a methodology for resilience data collection by taking into account the project's resilience framework, the baseline data collection methods and the resilience learning questions developed by the project team.[19]
- Prepare the project's baseline by integrating the work done earlier as part of the resilience project design (e.g., tool development, measurement plans). Implement it as you would any baseline, based on the previously completed selection of indicators, questions and other methods that were already integrated with resilience or designed from a resilience lens.
- Plan enough time and technical support for the analysis of the resilience data collected.

REMEMBER TO:

- During this stage of the process, all the project's data collection tools get built and rolled out. Ensure that there is enough capacity/technical support for participatory methods design for resilience data collection and staff training. The resilience technical support needed may or may not be the same support needed for traditional M&E.
- Adjust/review the project's resilience ToC in collaboration with local partners, to ensure a common understanding of resilience and resilience capacities in the context of the initiative.
- Ensure time during the project kickoff and M&E kickoff meetings to focus on the resilience approach. If required, plan for capacity building of staff/partners and other key stakeholders on resilience concepts.
- Ensure sufficient flexibility in funding and institutional arrangements to allow for project adjustments in response to changes in the project's operating environment when shocks occur. If funding flexibility cannot be ensured, get an early sense of how tolerant/receptive the donor is to engaging in discussions about ongoing project learning and to consider changes, within reason.
- Prepare a data collection timeline. Make room for provisions/unexpected shocks that may occur during the project cycle. For example, if you identified drought as a potential risk, make room for time to collect data and react to it at a given point in the farming cycle.
- As per the resilience design, capture objective (e.g., resource access) and subjective (e.g., perceptions and beliefs) measures of change, through both qualitative and quantitative methods of data collection.
- Ensure sex-based disaggregation of indicator targets, as well as the disaggregation of targets for other vulnerable groups that are present in the project area. This is key in order to ensure a gender-sensitive approach to resilience building.

Check out LWR's Design, Monitoring, Evaluation and Learning (DMEL) Framework and toolkit at dmel.lwr.org

C. INTEGRATING RESILIENCE IN THE PROJECT'S IMPLEMENTATION

- Conduct project reflection meetings using the resilience learning questions.[20]
- Integrate as part of the project's midterm evaluation a review of the project's resilience learning questions; complement and add emerging questions based on the analysis of progress indicators.

REMEMBER TO:

- Analyze project progress and resilience change using quantitative progress data (activity and indicator), midterm data and qualitative data collected.
- Organize a participatory resilience midterm learning workshop among project stakeholders, focused on data analysis, reflection and planning for the remaining period of implementation. As part of that meeting, reserve one to two days for a collective analysis/reflection of progress reports from a resilience perspective.
- Make adjustments to the project's management and/or implementation based on learning.

Sean Hawkey for LWR

D. INTEGRATING RESILIENCE IN THE PROJECT'S FINALIZATION

- As part of the final project evaluation, consider data collected before, during and after the shock (if applicable), so as to understand project impact over time on absorptive, adaptive and transformative capacities of project participants.

REMEMBER TO:

- Refer to DMEL evaluation guidelines for detailed guidance on planning the project's final evaluation. Plan with sufficient time in advance, developing the terms of reference and recruiting carefully for a qualified evaluator. Request resilience-specific technical assistance to complement the services provided by the evaluator, if needed.
- When developing the objectives of the evaluation, refer to the project's resilience conceptual framework and ToC, so as to ensure focus on absorptive, adaptive and transformative capacities of the target population.
- If needed, collect additional data to address the project's resilience learning questions.
- Ensure that the final learning and reflection include transferable lessons to complement current/strengthen future resilience programming in other regions.
- Consider the "last mile" of M&E accountability and learning by making sure that evaluation findings are validated and shared with participating communities and stakeholders, and that they have an opportunity to work with the findings so that they can use them effectively.
- Ensure that the findings are packaged and communicated in a way that other project teams can refer to them and easily use them to inform the design of new projects.
- Organize internal and external events to share the project's learning and engage in the broader dialogue about resilience.

Check out other LWR resources on resilience at lwr.org/resilience

RESILIENCE MEASUREMENT

Resilience measurement constitutes one of the most critical aspects for practitioners applying resilience in development practice. While there is no magic bullet to measure resilience impact in complex developing environments, nor a single approach that can be equally applied across countries or regions, there are a number of tools and approaches that can assist practitioners to quantify and measure changes in resilience.

The table presented in Annex 3 provides an overview of the key resilience measurement tools and guidance resources available at the time of this publication. These resources include qualitative, quantitative and mixed-methods approaches to resilience measurement, as well as sample indicators that are based on project experiences from around the world.

Resilience building is not a linear pathway, nor a technical solution that can be implemented in isolation from broader development strategies. Applying resilience principles in development practice provides the opportunity to plan, implement and evaluate development initiatives from a novel, more comprehensive and flexible perspective.

The contents of this document will continue to be updated as resilience experience and learning continues to evolve as part of LWR's programming in Africa, Asia and Latin America.

See Annex 3 for a summary table of resilience measurement tools.

For further information and support on resilience integration, please contact LWR's Program Quality and Technical Support Unit.

Prepared by Angelica V. Ospina, Ph.D., with input from LWR's Program Quality and Technical Support Unit. 2016

ANNEX 1: DEFINITIONS OF RESILIENCE CAPACITIES[21]

Absorptive capacity is the ability of a system to mitigate the impacts of shocks on its livelihoods and basic needs. Examples include risk awareness and prevention, as well as coping strategies such as cash savings, reserve food stocks and access to safety nets, which enable withstanding and short-term recovery.

Adaptive capacity is the ability of a system to adjust to the impacts of shocks and stressors, to moderate potential damages and to take advantage of opportunities that may emerge with change. Examples include the adoption of new seed varieties or farming techniques, the diversification of livelihoods and connection with broader social networks, which enable medium- to long-term change.

Transformative capacity is the ability of a system to achieve a new state through a combination of technological innovations, institutional reforms, behavioral shifts and cultural changes, among others. Examples include new governance mechanisms, more inclusive community-based institutions and novel forms of social engagement, which enable the achievement of long-term development goals.

ANNEX 2
SUPPORT RESOURCES: RESILIENCE NEEDS ASSESSMENT

Participatory Rural Appraisal

- go.worldbank.org/H20XFLV650
- ids.ac.uk/files/Dp311.pdf

Vulnerability and Capacity Assessment (VCA)

- ifrc.org/Global/Publications/disasters/vca/how-to-do-vca-en.pdf
- ifrc.org/Global/Publications/disasters/vca/vca-toolbox-en.pdf

LWR's Resilience Approach

(working definitions of shocks, stressors, livelihood capitals, resilience attributes and more)

- programs.lwr.org/resilience

Hazard, Vulnerability and Capacity Assessment (HVCA)

- preventionweb.net/files/21713_21713participatoryhazardvulnerabili.pdf
- academia.edu/6254681/Tools_and_Methods_of_Conducting_Vulnerability_and_Capacity_Assessment_in_a_Community
- undp-alm.org/sites/default/files/downloads/draft_cbdrm_maunal.pdf

Resilience Needs Assessment														
Project's Target Population	Livelihood Capitals					Resilience Attributes								
	Economic	Social	Human	Natural	Physical	Robustness	Self-Organization	Learning	Rapidity	Redundancy	Scale	Flexibility	Diversity	Equity
Group A [*If different stakeholders/groups are targeted]														
Strengths														
Weaknesses														
Contribution to **Absorptive Capacity**														
Contribution to **Adaptive Capacity**														
Contribution to **Transformative Capacity**														

- Completing this table can help strengthen the project's needs assessment. It can help to map and visualize the weaknesses/strengths of the target population in terms of the livelihood capitals and resilience attributes available/lacking in the project area, and their contribution to resilience capacities.
- In order to narrow the analysis, strengths and weaknesses can be those that are related to the main development issue that the project seeks to address (e.g., agricultural production).
- The issues identified in the table can help inform the project design process (i.e., problem analysis, problems to solutions, creating goals and objectives in a results framework).
- The table can be filled out using secondary sources of information (e.g., literature review, case studies, reports) and/or primary data (e.g., survey and interviews).
- Fields where there is no data available can be filled out with "N/A" (not available).

ANNEX 3: SUMMARY TABLE OF TOOLS FOR RESILIENCE MEASUREMENT (May 2016)

OVERVIEW OF RESILIENCE MEASUREMENT TOOLS AND GUIDANCE DOCUMENTS This table summarizes key resilience measurement resources publicly available at the time of publication of LWR's Resilience Approach, Part II. It consists of two sections: Section A focuses on resilience measurement tools and Section B on resources that provide broader guidance on resilience measurement.	
Section A. RESILIENCE MEASUREMENT TOOLS	
Acronyn:	**SHARP**
Tool/Resource:	Self-evaluation of Holistic Assessment of climate Resilience of farmers and Pastoralists
Organization:	Food and Agriculture Organization (FAO)
Description:	The tool allows practitioners to identify areas of poor resilience and provide a baseline upon which changes can be assessed. It assesses the climate resilience of farmers and pastoralists through: 1. A participatory self-assessment of climate resilience addressing environmental, social, economic, agricultural practices and governance aspects. 2. A gap analysis and assessment of the responses with farmers and pastoralists in a rapid assessment and at the regional and national levels through a more in-depth, cross-sectional assessment. 3. Engaging with local government officials and policymakers to assess agricultural and pastoral policies regarding effectiveness and gaps 4. Informing and improving
Comments:	Description of the process to apply SHARP, including data collection tools and further resilience resources. Android version of the survey is available in the SHARP website. The report can be accessed in English, French and Spanish.
Further Information:	Full report: http://www.fao.org/documents/card/en/c/a78ba721-9e03-4cfc-b04b-c89d1a332e54/ http://www.fao.org/agriculture/crops/thematic-sitemap/theme/spi/self-evaluation-and-holistic-assessment-of-climate-resilience-of-farmers-and-pastoralists-sharp/en/
Acronyn:	**BRACED**
Tool/Resource:	Building Resilience and Adaptation to Climate Extremes and Disasters (BRACED) Program M&E Guidance Notes
Organization:	UK Department for International Development (DFID)
Description:	Guidance document originally developed for BRACED Implementing Partners for project-level monitoring and evaluation from a resilience lens. BRACED is one of the world's largest resilience-strengthening programs in terms of investment and geographical coverage. The program supports 15 projects through three-year grants. Implementing partners include Mercy Corps, CRS, CARE, Plan International and Christian Aid, among others.
Comments:	The document provides detailed M&E guidance for resilience initiatives. It presents the program's interpretation of climate resilience (the 3As framework: Anticipatory, Adaptive and Absorptive) and an adapted outcome mapping approach to measuring change using progress markers ("Areas of Change").
Further Information:	**M&E Guidance Notes:** http://www.braced.org/contentAsset/raw-data/761757df-7b3f-4cc0-9598-a684c40df788/attachmentFile **The 3As framework:** http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9812.pdf **About BRACED:** http://www.braced.org/

Acronyn:	**CREFSCA**
Tool/Resource:	Climate Resilience and Food Security in Central America
Organization:	International Institute for Sustainable Development (IISD)
Description:	Approach to understanding and monitoring food system resilience to climate change. It describes an emerging conceptual tool designed to support analysis of community-level food security and resilience of food systems. The goal of the CREFSCA project is to strengthen the long-term food security of vulnerable populations in Central America by improving the climate resilience of food systems.
Comments:	It provides a useful basis to pose learning questions about resilience building, linked to food security and climate change. The tools can be used to support analyses at both the community and national levels. At the community level, it is suggested to complement CREFSCA with CRiSTAL (Community-based Risk Screening Tool – Adaptation and Livelihoods).
Further Information:	http://www.iisd.org/sites/default/files/publications/adaptation_CREFSCA.pdf
Acronyn:	**STRESS**
Tool/Resource:	Assessment
Organization:	Mercy Corps
Description:	Methodology for applying a resilience lens to strategy development or long-term program design. It builds an understanding of the dynamic social, ecological and economic systems within which communities are embedded.
Comments:	Useful approach to help teams develop a measurable theory of change for resilience projects. It helps practitioners articulate how programs build resilience in support of humanitarian and development goals.
Further Information:	https://d2zyf8ayvg1369.cloudfront.net/sites/default/files/STRESS_Doc_R7%20(1).pdf **Myanmar case study:** https://d2zyf8ayvg1369.cloudfront.net/sites/default/files/MercyCorps_DryZoneStudyMyanmar_2015.pdf
Acronyn:	N/A
Tool/Resource:	Agroecological Risk and Resilience Screening Tool
Organization:	Mercy Corps
Description:	Structured approach to looking at the potential agroecological impacts of agricultural interventions. The tool uses a food system perspective and agroecological principles to guide those who design and implement agriculture and food security programs through a series of inquiries into how their interventions may affect the crucial natural capital of smallholder farmers.
Comments:	Focused on food systems resilience. Useful application of agroecological principles to context analysis and program design, a perspective that is crucial in socioecological systems resilience.
Further Information:	https://d2zyf8ayvg1369.cloudfront.net/sites/default/files/MercyCorps_ARR_Screening%20Tool_V1.0.pdf
Acronyn:	**RIMA**
Tool/Resource:	Resilience Index Measurement and Analysis model
Organization:	FAO
Description:	Econometric approach that builds on the Resilience Index. This index weighs the six dimensions that contribute to household resilience: income and food access; access to basic services; assets; adaptive capacity; social safety nets; and sensitivity to shocks. The index gives a clear indication of critical areas for investment.
Comments:	Useful to inform quantitative approaches to resilience measurement. It provides different techniques for resilience profiling as well as examples of country-level applications.
Further Information:	http://www.fao.org/3/a-i4102e.pdf

Acronyn:	N/A
Tool/Resource:	The Resilience Tool
Organization:	FAO
Description:	Framework designed for understanding the most effective combination of short- and long-term strategies for lifting families out of cycles of poverty and hunger. It identifies the key factors that make households resilient to food security shocks and stresses and combines them into an index that gives an overall quantitative resilience score.
Comments:	Quantitative approach to resilience measurement. The document identifies common indicators for each component of the resilience model proposed (income and food access; access to basic services; social safety nets; assets; adaptive capacity; and stability), which can be useful to inform.
Further Information:	http://www.fao.org/docrep/013/al920e/al920e00.pdf
Acronyn:	**SEPLs**
Tool/Resource:	Indicators of Resilience in Socio- ecological Production Landscapes (SEPLs)
Organization:	United Nations University Institute of Advanced Studies (UNU-IAS)
Description:	The indicators of resilience encompass a set of 20 ecological and sociocultural factors. The indicators measure elements of SEPLs resilience that are interrelated. The practices and institutions are grouped into four areas: ecosystems protection and the maintenance of biodiversity; agricultural biodiversity; knowledge, learning and innovation; and social equity and infrastructure.
Comments:	The approach is focused on participatory "assessment workshops." These involve discussion and a scoring process for the set of 20 indicators designed to capture communities' perceptions of factors affecting the resilience of their landscapes and seascapes. The toolkit includes the complete list of indicators and a scoring system, plus step-by-step guidance on how to implement the approach in the field. The policy report also provides examples of indicators and reference resources.
Further Information:	http://archive.ias.unu.edu/resource_centre/Indicators-of-resilience-in-sepls_ev.pdf **Toolkit:** http://satoyama-initiative.org/wp/wp-content/uploads/2014/11/TOOLKIT-X-WEB.pdf
Acronyn:	**RABIT**
Tool/Resource:	Resilience Assessment Benchmarking and Impact Toolkit
Organization:	University of Manchester, United Kingdom
Description:	The toolkit enables the measurement of resilience baselines and the measurement of the impact on resilience of development interventions, particularly the introduction of ICTs. It focuses on resilience in low-income communities.
Comments:	It provides a detailed explanation of resilience attributes in vulnerable communities. It includes a practitioner handbook to implement the toolkit and guidelines for resilience data collection.
Further Information:	http://www.niccd.org/resilience
Acronyn:	**CoBRA**
Tool/Resource:	Community Based Resilience Analysis
Organization:	UNDP Drylands Development Centre
Description:	Conceptual framework and standardized methodology to quantitatively measure the impact of various sector-based resilience interventions. It examines resilience through five sustainable livelihoods framework categories (physical, human, financial, natural and social) in a participatory and community-led manner. It suggests seven steps to: 1. Identify the priority characteristics of resilience for a target community 2. Quantitatively assess the communities' achievement of these characteristics at the time of the assessment and during the last crisis/disaster 3. Identify the characteristics and strategies of existing resilient households 4. Identify the relative impact of local interventions or services in building resilience
Comments:	The methodology includes a strong training component. It also integrates a table with potential indicators of resilience.
Further Information:	http://www.undp.org/content/undp/en/home/librarypage/environment-energy/sustainable_land_management/CoBRA.html

Section B. RESILIENCE MEASUREMENT GUIDANCE	
Acronyn:	N/A
Tool/Resource:	Community Resilience: Conceptual Framework and Measurement Feed the Future Learning Agenda
Organization:	Feed the Future, USAID
Description:	Measurement framework for community resilience to model the dynamics of resilience capacities (capacity for collective action) in relation to key well-being outcome indicators and shocks and stressors. The paper proposes indicators for five types of collective action, which can be aggregated to create an index that is a proxy measure of community resilience capacity.
Comments:	Useful holistic framework for resilience measurement approaches. It highlights the role of social capital and the capacity for community collective action as a distinguishing attribute of community resilience.
Further Information:	https://agrilinks.org/sites/default/files/resource/files/FTF%20Learning_Agenda_Community_Resilience_Oct%202013.pdf
Acronyn:	N/A
Tool/Resource:	Assessing Resilience in Social-Ecological Systems: Workbook for Practitioners
Organization:	Resilience Alliance
Description:	Step-by-step approach to assessing resilience of a social-ecological system with the long-term goal of sustainable delivery of environmental benefits linked to human well-being.
Comments:	It provides a useful conceptual basis for resilience analysis, to assess the resilience “of what,” “to what,” and to consider cross-level interactions.
Further Information:	http://www.resalliance.org/files/ResilienceAssessmentV2_2.pdf
Acronyn:	N/A
Tool/Resource:	Food Security Information Network
Organization:	FAO, United Nations World Food Program (WFP) ,International Food Policy Research Institute (IFPRI)
Description:	Key reference resources for resilience measurement: · A common analytical model · Household data sources for measuring and understanding resilience · Qualitative data and subjective indicators for measuring resilience · Measuring shocks and stressors as part of resilience measurement · Systems analysis in the context of resilience
Comments:	Series of technical publications that provide a solid basis for the implementation of resilience measurement in development practice, including concrete guidance on indicators and multiple method assessment techniques.
Further Information:	http://www.fsincop.net/topics/resilience-measurement/outupts/en/
Acronyn:	**CRA**
Tool/Resource:	Climate Resilient Agriculture module
Organization:	CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS), CARE International, World Agroforestry Centre (ICRAF)
Description:	Participatory research tools to support research and development partners in gathering information that will help them design inclusive and gender-sensitive programs in climate resilient agriculture.
Comments:	The module includes a group of tools that when implemented sequentially provide information for designing an agriculture program that can integrate gender, with special consideration for vulnerable groups.
Further Information:	http://careclimatechange.org/wp-content/uploads/2015/09/CCAFS_CARE-Gender_Toolbox.pdf

Acronyn:	N/A
Tool/Resource:	A Multidimensional Approach to Measuring Resilience
Organization:	Oxfam
Description:	Describes the conceptual framework underlying the resilience approach of Oxfam GB based on five dimensions affecting the ability of households and communities to minimize risks from shocks and adapt to emerging trends and uncertainty. It applies a method proposed by Alkire and Foster for multidimensional poverty analysis to define thresholds of resilience, and assigns weights to different characteristics of resilience, to produce an overall index.
Comments:	The approach identifies five key dimensions affecting the ability of households and communities to minimize risks from shocks and adapt to emerging trends and uncertainty. It explains the utility of this approach using primary data collected from Ethiopia's Somali Region.
Further Information:	http://policy-practice.oxfam.org.uk/publications/a-multidimensional-approach-to-measuring-resilience-302641
Acronyn:	N/A
Tool/Resource:	CityStrength Diagnostic
Organization:	World Bank
Description:	The framework and methodology were designed to help facilitate a dialogue among stakeholders (for example, government, civil society, residents and the private sector) about risks, resilience and the performance of urban systems. The "city strength diagnostic" results in the identification of priority actions and investments that will enhance resilience as well as increase the resilience building potential of planned or aspirational projects. It is implemented in five stages.
Comments:	Although focused on urban resilience, it has elements that could be adapted to rural settings. The guidebook includes useful examples and guiding questions on key diagnostic modules of resilience (including Community and Social Protection, Disaster Risk Management, Education, Energy, Environment, Health, Information and Communications Technology, Local Economy, Logistics, Municipal Finance, Sanitation and Solid Waste, and Water).
Further Information:	http://www.worldbank.org/en/topic/urbandevelopment/brief/citystrength

ENDNOTES

[1] Béné, C. et al (2012), Resilience: New Utopia or New Tyranny?, IDS Working Paper v. 2012, No. 405. USAID (2012), "Building Resilience to Recurrent Crisis," USAID Policy and Program Guidance, usaid.gov/sites/default/files/documents/1870/USAIDResiliencePolicyGuidanceDocument.pdf

[2] Fox, R. et al (2012) "The Characteristics of Resilience Building: A Discussion Paper," Interagency Resilience Working Group, http://technicalconsortium.org/wp-content/uploads/2014/05/The-Characteristics-of-Res_Building.pdf

[3] "A Common Analytical Model for Resilience Measurement," Food Security Information Network (FSIN), Resilience Measurement Technical Working Group. Technical Series No 2. November 2014. http://fsincop.net/fileadmin/user_upload/fsin/docs/resources/FSIN_Paper2_WEB_1dic%20(WEB).pdf

[4] Alinovi, L. et al (2010) "Livelihoods Strategies and Household Resilience to Food Insecurity: An Empirical Analysis to Kenya," prepared for the Conference on "Promoting Resilience Through Social Protection in Sub-Saharan Africa," organized by the European Report of Development in Dakar, Senegal, June 28-30, 2010. http://erd.eui.eu/media/BackgroundPapers/Alinovi-Romano-D'Errico-Mane.pdf

[5] Shean, A., and Alnouri, S. (2014) "Rethinking Resilience: Prioritizing Gender Integration to Enhance Household and Community Resilience to Food Insecurity in the Sahel," Mercy Corps, September 2014. mercycorps.org/sites/default/files/Mercy%20Corps%20Gender%20and%20Resilience%20September%202014.pdf

[6] Alinovi, L. et al, (2010) "Livelihoods Strategies and Household Resilience to Food Insecurity: An Empirical Analysis to Kenya", Paper prepared for the Conference on "Promoting Resilience through Social Protection in Sub-Saharan Africa", organized by the European Report of Development in Dakar, Senegal, 28-30 June 2010. p. 9.

[7] Fox, R. et al, (2012) p. 4.

[8] Berkes, F., Bankes, N., Marshke, M., Armitage, D., Clark, D. (2005) "Cross-Scale Institutions and Building Resilience in the Canadian North,", Chapter 11, p. 244.

[9] Mercy Corps, "Managing Complexity: Adaptive Management at Mercy Corps," d2zyf8ayvg1369.cloudfront.net/sites/default/files/Adaptive%20management%20paper_external.pdf

[10] Fox, R. et al, (2012) p. 4.

[11] FSIN (2015) "Qualitative Data and Subjective Indicators for Resilience Measurement," Food Security Information Network (FSIN), Resilience Measurement Technical Working Group. Technical Series No 4. September 2015, fsnnetwork.org/sites/default/files/1_FSIN_TechnicalSeries_4.pdf

[12] Frankenberger, T., Nelson, S. (2013), p. 7.

[13] FSIN (2015) Ibid.

[14] Ibid.

[15] Ibid.

[16] Ibid.

[17] Shean, A. and Alnouri, S. (2014) p. ii.

[18] Le Masson, V., Norton, A., Wilkinson, E. (2015) "Gender and Resilience," Overseas Development Institute (ODI) Working Paper, odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9890.pdf

[19] The identification of resilience learning questions at the onset of the project cycle is meant to facilitate and support the project's learning on resilience. The questions should reflect key areas that will be explored during the project's implementation through knowledge sharing, analysis and reflection with local partners and peer agencies. The learning questions should be in line with the project's design and should contribute to the broader institutional learning agenda on resilience.

[20] Examples of resilience learning questions are available in LWR's Approach to Resilience document, downloadable at lwr.org/resilience.

[21] IPCC (2001) "Third Assessment Report: Climate Change," Intergovernmental Panel on Climate Change (IPCC), Contribution of the Working Group to the Third Assessment Report of the IPCC.