

2024 Planning

Guidance Note #4

Resilience Programming in the 3RP

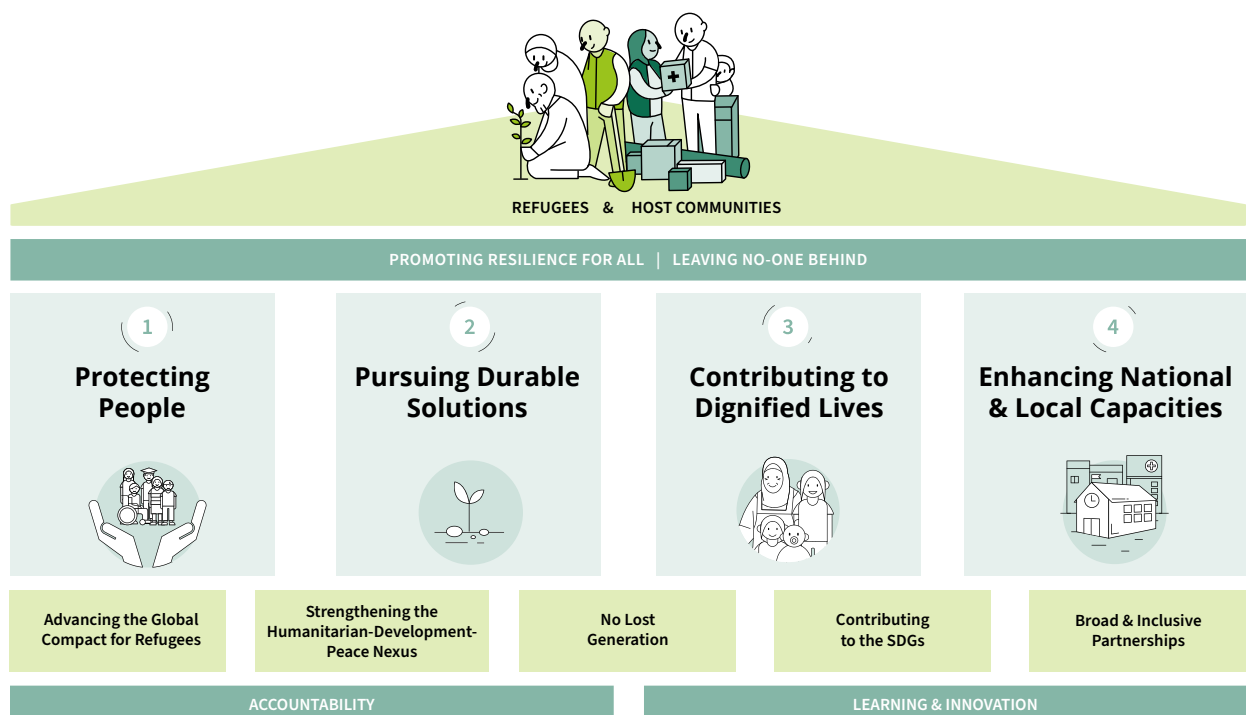
Definition

In the context of the Regional Refugee and Resilience Plan (3RP), resilience refers to *“the ability of individuals, households, communities, institutions, and societies to withstand shocks and stresses, recover from such stresses, and work with national and local government institutions to achieve transformational change for sustainability”*.¹

Resilience programming is expected to build and reinforce the referred capacities to generate sustainable solutions.

Since the inception of the 3RP in 2015, host governments, the UN, (I)NGOs, and key donors have joined- and significantly advanced a resilience-based agenda. The momentum generated by the resilience agenda in the 3RP has been seen by the increase in both the resilience programming (appeal) and funding received of the response. This paradigm shift is reflected in ground-breaking developments such as the London and Brussel Conferences on Supporting Syria and the Region (2015-2023), the World Humanitarian Summit (WHS 2016), Global Refugee Forum (GRF 2019), and in output documents like “The Grand Bargain” which was launched during the WHS (2016), the “New York Declaration for Refugees and Migrants” (2016) and the Global Compact on Refugees (2018) enabled transformational changes in global donor architectures and in host country policies that help strengthening efforts to boost the resilience of both refugees and host communities in the context of protracted refugee crisis.

3RP Strategic Directions:



As widely stressed during the annual Brussels Conferences over the years, compounding crises facing the sub-region make effective resilience programming more critical than ever. The sub-region has been facing crises of financial, public health, disaster and conflict nature over the past years. This includes among others the financial crisis in Lebanon, newly emerging disasters and conflicts including COVID-19, the war in Ukraine, the devastating earthquake affecting Türkiye and Syria, the Sudan crisis affecting Egypt and the impact of climate change.

Building “resilience for all”, guided by the principle of “leaving no one behind” has been placed at the heart of the 3RP cycle since its inception. Achievements in resilience programming will be monitored and tracked through the Strategic Directions Monitoring Framework (in effect since 2021).

The 3RP continues to advance an integrated resilience-humanitarian approach, and is comprised of two inter-connected components:²

①. Refugee protection and humanitarian assistance component (the Refugee Component):

Will address the protection and humanitarian assistance needs of refugees living in camps, settlements and local communities in all sectors, as well as vulnerable members of impacted communities. It will strengthen community-based protection by identifying and responding to immediate support needs of communal services in impacted communities.

②. Building Resilience for refugees and affected host communities (the Resilience Component):

Will assist impacted communities, refugee and host communities alike, to cope with and recover from the refugee crisis across all sectors. It will build the capacities of individuals, communities, institutions, and national systems that have been impacted by the crisis, and provide the strategic, technical, and policy support to advance national response mechanisms.

The synergies and degree of integration between the Refugee and Resilience components may vary from country to country. Factors influencing this include the impact of the Syria crisis and other compounding crisis at national and community levels and the priorities of national planning processes.

Key Principles & Areas of Resilience Programming under the 3RP

Resilience programming emphasizes supporting the absorptive, adaptive, and transformative capacities of refugees, host communities, and the institutions that serve them. As such, the resilience approach puts a heavy emphasis on strengthening existing local and national systems and building on local and national capacities to respond to the multi-layer impacts of the Syria crisis, including the host community, public institutions, and the private sector. Notably, resilience is a means to attaining and maintaining the desired level of well-being, whether at the individual, household, or societal levels.

To facilitate 3RP Resilience Programming and Monitoring efforts, 3RP partners can rely on the Resilience Lens, which translates the key principles in a set of guiding questions that can be mainstreamed throughout the 3RP planning and programming cycle – [See Annex I.](#)

While the Resilience Lens is critical across all 4 of the 3RP's Strategic Directions (SDs), it is most directly connected to SDs 3 and 4 (Supporting Dignified Lives and Enhancing National & Local Capacities):³

SD 3 "Supporting Dignified Lives" reinforces self-sufficiency. The creation of sustainable livelihoods is expected to progressively reduce short-term assistance and contribute to self-sufficiency and self-reliance. Investment in the self-sufficiency of individuals, households, and communities is expected to reduce vulnerability and the practice of negative coping mechanisms. In the context of compounding crises in the sub-region and the protracted nature of Syrians' displacement, support to enhancing self-reliance is ever more critical and can be considered as a precursor to any durable solution.

SD 4 "Enhancing national and local capacities" reinforces and/or uses the local systems in the provision of goods and services to support refugees and host communities. Where possible, international assistance should seek to strengthen and make effective use of in-country capacities and avoid the creation of parallel systems (coordination, planning, implementation, assessment, and evaluation). The main assumption of this principle is that the reinforcement and/or use of existing systems will increase sustainability and prepare local responders to address current and upcoming shocks in a durable manner. This is of particular significance in the context of social protection/ social assistance interventions.

Two additional principles or elements are worth noting (which are cross-cutting):

- **Partnerships with local stakeholders** such as civil society organizations (CSOs), municipalities or line ministries are crucial for providing effective utilization and support of existing local institutions, systems, and infrastructure. Capacity building activities that aim to improve the operation of local organizations and institutions are necessary to enhance the sustainability of the crisis response.
- **Social cohesion-sensitivity programming:** Interventions must consider their contribution to stability and social cohesion to prevent the creation or exacerbation of tensions, especially related to basic needs or livelihoods provision among other sectors.⁴

Together the resilience principles support the resilience-based development approach (see Theory of Change below), which focuses on socio-economic recovery, including women & youth empowerment and climate mitigation as main pillars for building resilient individuals, communities and institutions. Resilience programming supports the operationalization of the Humanitarian Development-Peace (HDP) Nexus, as well as creating synergies between 3RP resilience programming efforts and the implementation of national development plans and the SDGs in 3RP countries, based on country priorities.

Illustration of the 3RP Resilience-based Approach

Pillars of Resilience-Based Programming⁶



For highlights on the linkages between the 3RP and the SDGs see UNDP, 2019 [Perspectives on SDG-based resilience planning in the Arab Region](#), notably Section B-3 on linkages between the Jordan Response Plan, the Lebanon Crisis Response Plan and the SDGs.

⁵ The document explores the synergies between the SDGs and the 3RP, allowing the 3RP to utilize the power of the SDGs Global Frameworks to strengthen the Syria crisis response.

Key Principles & Areas of Resilience Programming under the 3RP

The Resilience Lens is a planning, evaluation and reporting tool. It can assist 3RP partners in each country in identifying, categorizing, understanding, and communicating planned outputs and activities that build resilience, based on the key principles/dimensions highlighted above. Through the Resilience Lens, 3RP planners can more easily:

- ① Identify and assess resilience activities across the 3RP SDs;
- ② Advance resilience across all population groups, sectors, and countries, through adequate planning, monitoring, and reporting; and,
- ③ Create a baseline to monitor how all 3RP partners are strengthening resilience in support of increasingly integrated national plans.

To facilitate adopting a Resilience Lens, a set of questions that measure the extent of resilience integration in the activities and outputs can be asked (see below). Answers can be used not only to score activities and outputs, but to motivate 3RP planners to think how to maximize the resilience-building potential of their intended outputs and programmes. During the planning process, feedback from the lens can assist in fine tuning the outputs included in the plan.

The Resilience Lens can be applied during 3RP annual planning and incorporated in sector and country chapters. The Lens can also be used to monitor and assess progress in strengthening resilience. This can help create a dataset for evaluating contributions to resilience building, taking into account the country circumstances and priorities of the respective agencies and organizations. The evaluation requires stakeholders to consider the four questions below.

The scoring is designed on a five-point scale. Before commencing with the scoring exercise, please see the following page on [Guiding Questions for Scoring](#) for additional information on the review process. The sectors are expected to provide overall quality assurance and define the appropriate monitoring and evaluation process informed by national contexts.

Five-point Scale:

To what extent does the planned output (and related activities) build resilience?	Scale: 0-5
Q1: Does the output reinforce, use, and/or transform local, subnational and national systems in the provision of goods and services?	
Q2: Does the output involve partnering with local responders (e.g., local authorities, civil society, private sector)?	
Q3: Does the output support self-sufficiency?¹	
Q4: Does the output contribute to social cohesion/stability?²	

Scale: 0=Not Applicable; 1= doesn't build resilience, 2= slightly builds resilience, 3 = moderately builds resilience, 4=highly builds resilience 5=significantly builds resilience

To what extent does the planned output build resilience through social protection mechanisms?	Scale: 1-5
Q5: Does the social protection initiative use common platforms and tools?	
Q6: Does the social protection program enhance national capacities?	

Scale: 0=Not Applicable; 1= Not at all, 5=Very Strongly
Scale: 0=Not Applicable; 1= doesn't build resilience, 2= slightly builds resilience, 3 = moderately builds resilience, 4=highly builds resilience 5=significantly builds resilience


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The 'score' for each of the four questions should be entered in the appropriate column for each output in the Sector Response Matrix (Template B of the 3RP planning instructions). Given the criticality of social protection for resilience, 3RP partners are also invited to reflect on the extent to which social assistance initiatives, which cut across many 3RP sectors,⁷ use common platforms and tools and contribute to enhancing national capacities.

Country and Sector teams are also asked to consider these questions while drafting their Vision & Response Plan section in the Country & Sector Chapter Template ([Template A of the 3RP instructions](#)).

Annex I. Guiding Questions for Resilience Lens Scoring

The below table provides a guide to answering the key guiding questions (as applicable) outlined above:

To what extent does the planned Output (and related Activities):	1	2	3	4	5
Q1: Does the output reinforce, use and/or transform local, sub-national and national systems in the provision of goods and services?	Activities do not utilize local, sub-national or national institutions and delivery systems	Activities do make some use of local, sub-national or national institutions and delivery systems but responders are not meaningfully involved in planning & implementation, and M&E	Activities are aligned with national plans/priorities and utilize local, sub-national or national service delivery systems	Activities are aligned with national priorities and plans, use local, sub-national or national systems and build or enhance capacities on the three levels respectively	Activities are in line with national priorities and plans, are implemented and funded jointly with national, sub-national and local responders and seek to strengthen and/or transform local, sub-national or national systems and capacities
Q2: Does the output involve partnering with local responders (e.g., local authorities, civil society, private sector)?	The output is planned, managed, coordinated implemented by international actors without partnership with any local responders	The output is not planned or managed by local responders and only partially implemented by local responders	The output is planned and managed by international responders and implemented by local responders	The output is jointly planned and implemented by international and local responders	The output is planned by and directly implemented by local organizations using local resources and capacities
Q3: Does the output support self-sufficiency?	Activities do not support self-sufficiency	Activities have limited and mostly indirect impacts on building self-sufficiency	Activities have significant but mostly indirect impacts on building self-sufficiency	Activities have direct impacts on advancing self-sufficiency	Activities generate sustainable livelihoods and opportunities for self-sufficiency
Q4: Does the output contribute to social cohesion/stability?	Activities do not consider potential impacts on social cohesion/stability in impacted communities	Activities are somewhat sensitive to social cohesion/stability concerns in impacted communities, but do not involve specific measures to address these issues	Activities are designed so as to prevent/mitigate social tensions in impacted communities (for instance, they are informed by conflict analysis, contain specific measures regarding community dialogue etc.....)	Activities contribute in a direct and substantial manner to supporting social cohesion/stability in impacted communities	The output/activities have social cohesion as a primary objective
To what extent does the planned output build resilience through social protection mechanisms?	1	2	3	4	5
Q5: Does the social protection initiative use common platforms and tools?	Activities are not aligned with national systems	Activities are somewhat using national systems, platforms and joint piloting with national stakeholders	Activities are aligned with and indirectly enhance efficiency of nationally-owned programs	Activities utilize common platforms and tools and contribute to improved transparency, efficiency, and accountability	Activities have the primary objective of strengthening intra-inter social cohesion by guaranteeing equitable levels of social protection
Q6: Does the social protection program enhance national capacities?	Activities are not aligned with long term commitments and national programs	Activities are somewhat supportive of national systems but do not actively contribute to enhanced efficiency of national programs	Activities are aligned with national systems and indirectly contribute to better performance of national systems	Activities directly and substantially promote national social protection frameworks	Activities have the primary objective of streamlining processes and enhancing national capacities

Annex II. Regional Resilience Monitoring

Under the broader Regional Monitoring Framework of the 3RP Strategic Direction, a specific regional resilience monitoring framework is being developed to facilitate monitoring and reporting on resilience building efforts made by 3RP partners, with focus on the progress of achieving gender, livelihood, and environment goals. The framework will be completed by the end of 2023.

Annex III. Definitions

The following definitions have been adapted as a point of reference to assist sectors in the development of their response strategies and their categorization of outputs based on stated goals for the Refugee and Resilience Components.

Refugee Assistance:

(adapted from <http://www.unhcr.org>)

People who are forced to flee their homes and seek safety in another country, or a different part of their own country, invariably need help. Most refugees and internally displaced people leave their homes with little or nothing, and even those with some resources may soon exhaust them. 3RP partners provide vital assistance, which takes many forms. Assistance is provided in the form of food, clean water and sanitation, health care, shelter, and relief items such as blankets, sleeping mats, jerry cans, and household goods. Vital protection services for refugees may also include refugee registration, assistance and advice on asylum applications, education and counseling, and advocacy on law and policy. Given the increasingly protracted nature of the Syrian crisis, support for Syrian Refugees to achieve durable solutions is also a key part of protection and assistance efforts.

Resilience:

(adapted from 'UNDG: Towards a Resilience-based Response to the Syrian Refugee Crisis' at www.jo.undp.org)

Resilience fundamentally concerns the capacities and resources of individuals, households, communities, societies or states to cope with and recover from shocks and stressors. The resilience-based approach aims to support communities and institutions to respond to increased demand and pressure (characterized as "coping"), promote household recovery from the negative impacts of the crisis ("recovering") and strengthen local and national economic, social systems to protect development gains from current and future shocks ("transforming").

Annex IV. Steps to take towards transformation

In light of the main lessons learned from the past plans it is possible to identify some concrete actions that can be taken to accelerate the strengthening of resilience capacities in the Syria crisis response and help scale up successful program elements.⁸

Actions include:

- ①. **Making long term commitments and strategic plans:** this requires the sustained commitment of all relevant actors. International partners/donors to support governments to develop comprehensive national plans and align their support behind those plans in a coordinated manner and according to their comparative advantage;
- ②. **Considering the humanitarian and development aspects of the response as an integrated whole** and making the effort to communicate across departmental and agencies boundaries and agendas and engage in a **collective exploration of responses**.
- ③. **Substantially increasing support for multi-year programming with flexible financing** from both humanitarian and development budgets for resilience programmes. This a key requirement highlighted repeatedly by a variety of agencies, as although there is some progress, it is still far from what is required;
- ④. **Substantially expanding initiatives that strengthen the agency of women and youth.** This should become a cross-cutting component of all interventions, building on the emerging successful models described in the text;
- ⑤. **Integrating interventions at the local and sub-national levels,** including:
 - a. Systematic expansion of **area-based integrated programs**;
 - b. Recognising the **dynamic links between rural and urban populations**;
 - c. **Coordination of local efforts at the sub-national level** (district or equivalent) through a strengthening of institutions at that level with clear leadership and authority for coordination;
 - d. **Linking learning about work with refugees outside of Syria with work in Syria** so that both can benefit from cross-fertilization, harmonization of resilience thinking and preparation of refugees for the transformative tasks that lie ahead.
- ⑥. **Encouraging and supporting the use of consortia** to help implement integrated strategies.
 - a. For **INGO**, this also implies a changing role away from direct service delivery to supporting local actors;
 - b. For **LNGOs/civil society** such approaches can advance the localisation agenda, with particular focus on building capacities to enable more direct funds transferred to local actors;
 - c. For the **UN**, this is part of the push for collective outcomes and increased joint programming;
 - d. From a **donor's perspective**, this would also imply the **pooling of funds** for collective intervention in selected target areas.
- ⑦. **Strengthening national coordination and the specific roles of national ministries to support the sub-national integrated program.** This requires:
 - a. **Coherence and close coordination and collaboration among UN and other multi-lateral agencies.**
 - b. **Increased transparency in planning**, allowing the participation of local NGOs and refugee-led NGOs to enhance collaboration and increase their effectiveness and agency;
 - c. **Strengthening the vertical links of national line ministries to sub-national entities.**
- ⑧. **Adopting a clear results framework at the outcome level for each country;**
- ⑨. **Finalizing of a core set of resilience capacities and their measurement** to encourage convergence in terms of definitions, objectives, measurement and reporting.
- ⑩. **Holding regular learning events within each target area, at the national level and in the region** to exchange learning about strengthening resilience capacities and adjust frameworks and strategies accordingly.

Annex V. Additional Resilience Tools

There has been an increase in efforts to advance resilience measurement for the design and evaluation of humanitarian and development programmes over the past few years. Several networks and communities of practice focus on resilience measurement and measurement tools developed by various agencies. The most notable resilience measurement tools that are incorporated and referenced when designing and evaluating resilience interventions are:

Guidelines for Resilience Systems Analysis:

How to Analyse Risk and Build a Roadmap to Resilience (developed by OECD) is a step-by-step approach to resilience systems analysis, aiming to help field practitioners prepare for, and facilitate, a successful multi-stakeholder resilience analysis workshop, design a roadmap to boost the resilience of communities and societies, and integrate the results of the analysis into their development and humanitarian programming.

RIMA (Resilience Index Measurement and Analysis Model (Developed by FAO)) is a quantitative approach for measuring the resilience capacity of households, it aims to understand the factors making households more or less resilient in order to better inform decision-making and resilience programming. The RIMA model involves a process of data collection on variables about social safety nets, access to basic services, and adaptive capacity and assets. The collected data is cleaned and analyzed to generate the Resilience Capacity Index (RCI) which indicates a household's level of resilience with focus on food security.

Resilience Rating System: A Methodology for Building and Tracking Resilience to Climate Change (by the World Bank):

To better monitor adaptation and resilience-related action, the Resilience Rating System was developed to provide specific assessment and reporting criteria that can be used to track resilience, either by how a project is designed or how it provides the tools, institutions, and infrastructure needed to cope with climate change impacts and natural disasters. The RRS methodology can be applied to any investment, including private sector projects.

Endnotes

¹ <https://www.undp.org/sites/g/files/zskgke326/files/migration/arabstates/A-resilience-based-development-response-to-the-Syria-crisis.pdf>

² Please see [Annex 3](#) for supporting definitions.

³ These are in line with the key principles highlighted in the Dead Sea Resilience for the response to the Syria Crisis (see: <https://reliefweb.int/report/syrian-arab-republic/dead-sea-resilience-agenda-november-2015-enar>)

1. Increase synergies between humanitarian and development investments and approaches.
2. Prioritize the dignity and self-sufficiency of affected populations.
3. Reinforce, don't replace, local capacities.
4. Generate new and inclusive partnerships to build resilience, foster innovation, and promote relevance, effectiveness, and efficiency.
5. Safeguard social cohesion to jointly foster resilience and peaceful cooperation.

⁴ Refer to [Social Cohesion Regional Guidance Note](#) and [Social Cohesion: An overview of host community-refugee dynamics in the 3RP context](#)

⁵ This paper was presented at the 3RP Inter-Sector Coordinators' Meeting; it explores the synergies between the SDGs and the 3RP, allowing the 3RP to harness the power of the SDGs global frameworks to strengthen the response to the Syria refugee crisis.

⁶ <https://www.undp.org/sites/g/files/zskgke326/files/migration/arabstates/THE-STATE-OF-RESILIENCE-PROGRAMMING-IN-THE-SYRIA-CRISIS-RESPONSE-final-edited-12.pdf>

⁷ Please see [Guidance Note on Social Protection](#)

⁸ Rushdy, Sherif (2018) "State of Resilience Programming in the Syria Crisis Response: Strengthening Resilience Capacities"