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OPERATIONAL STRATEGY FOR SHOCK RESPONSE FOR THE RISE PORTFOLIO

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USAID Senegal Monitoring and Evaluation Project

CONTENTS

ACRONYMS

BDL	Bio-Reclamation of Degraded Lands
BRACED/Sur1M	Building Resilience and Adaptation to Climates Extremes and Disasters / sur un million
CC/SAP/PC	Cellule de Coordination du Système d'Alerte Précoce et de Prévention des Catastrophes
CESAO	West African Center for Social and Economic Research
CFW	Cash for Work
CILSS	Comité permanent de Lutte contre la Sécheresse au Sahel
CONASUR	Conseil National de Secours d'Urgence et de Réhabilitation
CRA	Centre Régional AGRHYMET
CRS	Catholic Relief Service
DFAP	Development Food Assistance Program
DFID	Department for International Development (UK)
ECHO	European Civil Protection and Humanitarian Aid Operations
EW/EA	Early Warning Early Action
EWS	Early Warning System
FASO	Families Achieving Sustainable Outcomes (FFP development activity)
FEWS-NET	Famine Early Warning System Network
FFP	Food for Peace
HEA	Household Economy Approach
I3N	Initiative les Nigériens Nourrissent les Nigériens
LAHIA	Livelihoods, Agriculture and Health Interventions in Action (FFP activity)
NGO	Non-Governmental Organization
OAA	Office of Acquisition and Assistance
OS	Operational Strategy
OSV	Observatoire de Suivie de la Vulnérabilité
PASAM-TAI	Programme d'Appui à la Sécurité Alimentaire des Ménages - «Tanadin Abincin Iyali » (FFP development activity)

PTFs	Partenaires Techniques et Financiers
REGIS-AG	Resilience and Economic Growth in the Sahel – Accelerated Growth
REGIS-ER	Resilience and Economic Growth in the Sahel – Enhanced Resilience
RMS	Resilience Recurrent Monitoring Surveys
RISE	Resilience in the Sahel Enhanced
SAREL	Sahel Resilience Learning Project
SAWKI	Development Food Aid Program Sawki (FFP development activity)
SCAP-RU	Système communautaire d'alerte précoce et de réponse aux urgences
SE-CNSA	Secrétariat Exécutif du Conseil National de Sécurité Alimentaire
SPRING	Strengthening Partnerships, Resources and Innovations for Nutrition Globally
SRO	Sahel Regional Office
USAID	United States Agency for International Development
USG	United States Government
USGS	United States Geological Survey
VIM	Victoire sur la Malnutrition (FFP development activity)
WFP	World Food Program

PHOTOS AND FIGURES

TABLES

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EXECUTIVE SUMMARY

The RISE portfolio aims to strengthen resiliency in communities and governments in selected, somewhat adjoining areas of Burkina Faso and Niger (see maps in Figure 2). The portfolio, worth about $330 million, consists of a diversity of projects and programs with different aims, objectives, mandates, approaches, funding levels and durations. The physical, political and economic environment in these areas can be unpredictable, and vulnerability and exposure to risks is often high. To protect the investment and to mitigate potential risks, an operational strategy for shock response has been developed. Studies have shown that the returns on shock response are high – in the order of 3 to 1.

GUIDING PRINCIPLES FOR THE STRATEGY

1) Information and data supported
2) Anticipatory
3) Resource efficient
4) Differentiated responses
5) Added value, complementarity and integration
6) Adaptability, flexibility and practicality

The principles guiding the strategy are in the text box above. Although there are numerous important potential and real shocks in the RISE zone, he operational strategy focuses on two different potential physical shocks: droughts and floods (with some emphasis also on prices of food). Since the strategy is a new approach focusing on a limited number of shocks to start allows for focus and testing of the strategy before it is expanded. In addition, since shocks are not stove-piped at the community level the strategy builds in a process to be response to other shocks. Reflecting the variable environment, an adaptive management approach is used which emphasizes tracking of a limited number of key predictive indicators – at the international, national and local levels - and continuous adjusting of projects as needed. With the exception of local level indicators all the indicators are well known and already monitoring by national and international organizations, including those already supported by USAID.

KEY INDICATORS TO TRACK

Local level – multi-shock

1. Community or local group perception of potential shocks and threats
2. Community or local group preparations/strategies for shocks

National and international level - droughts

3. Rainy season predictions
4. Normalized Difference Vegetation Index (NDVI)
5. Sowing/planting date
6. Cumulative rainfall
7. Rainfall between emergence and tillering of millet
8. Rainfall after tillering

National and international level – floods

9. Water levels in major water courses and rivers
10. Cumulative rainfall in areas of flood risk
11. Rainfall intensity in areas of flood risk

National and international information: cereal prices

12. Market prices of millet

A number of initiatives to undertake early warning and early action on shocks exist, including host government and regional approaches; and the strategy not only takes into consideration their strengths and weaknesses but contributes to them over the long run.

Thresholds or triggers are developed which provoke a joint decision-making process on whether to continue as normal, modify programs within general

project parameters or significantly modify programs with supplemental resources. SAREL[1] is in the best position to both track indicators and information, and together with USAID, to convene and manage the decision-making process. The strategy is not an implementing organization and each program needs to develop a simple and practical contingency mechanism that plays to their strengths and mandate, and that complements the overall operational strategy. The strategy gives advice on how this should be done emphasizing illustrative early actions, administrative tools and other elements. The partner contingency mechanisms should be sufficiently developed to be able to quickly absorb additional financing if needed. The contingency mechanisms need to be developed in a coordinated and integrated manner to promote synergies and value added.

The strategy essentially unfolds in an adaptive management cycle. The first phase relates to monitoring of the indictors outlined in the text box above. This is a continuous process regardless of the status of the indicators or of any actions. If thresholds for these indicators are exceeded a decision-making process phase is triggered by the SAREL shock response coordinator in consultation with USAID. This is followed by a resource allocation and implementation phase for which USAID's participation is essential. The continued monitoring of the indictors will show if the situation is deteriorating or improving and whether additional thresholds are being exceeded which call for additional action. The situation may deteriorate to a point where RISE programs are compromised and humanitarian assistance takes over.

The two most important thresholds are from normal to stress and from stress to crisis. As thresholds indicate a progression to stress, RISE partners and USAID will jointly decide whether actions are necessary. Resources for these actions will come from the existing flexibility within programs and be carefully coordinated – the development response. As thresholds from stress to crisis are exceeded RISE and USAID will need to decide if additional resources are needed (and where and how they might be obtained) and, if so, activate contingency mechanisms for additional resources – embedded response.

The strategy is an innovative approach for USAID and its partners and has the potential to be a model for risk management and shock response for develop programs. To increase the chances of success is has purposely been crafted with a limited focus and to be relatively resource efficient. It merits careful monitoring and support to enable the maximum amount of learning that is possible.

Performance indicators for the strategy have been developed and include time between a threshold being exceeded and a decision on how to react, the time between a decision and actual supplemental actions on the ground, the existence of contingency processes at the partner level, etc.

The strategy builds upon existing project, national and international resources. Nevertheless additional limited resources are needed especially in terms of personnel to track indicators, compile and disseminate information and to convene partners for decision-making.

1 While SAREL is best positioned to oversee the data collection, coordination and decision-making processes of the SRRP operational strategy, they do not currently have the resources and expertise to play this role, particularly in the short/medium term (e.g., 2017 rainy season). This document describes SAREL's role within shock response with the assumption that USAID will secure additional support in the near term and will provide SAREL the necessary means to play this key function in the longer term.

FIGURE 1: FIELD VISITS IN THE REGION OF TILLABÉRY, COMMUNE OF COURTEY, VILLAGE OF MARA. DISCUSSIONS WITH A WOMEN'S GROUP. RISK MAP AND TABLE IN BACKGROUND.

INTRODUCTION

Background

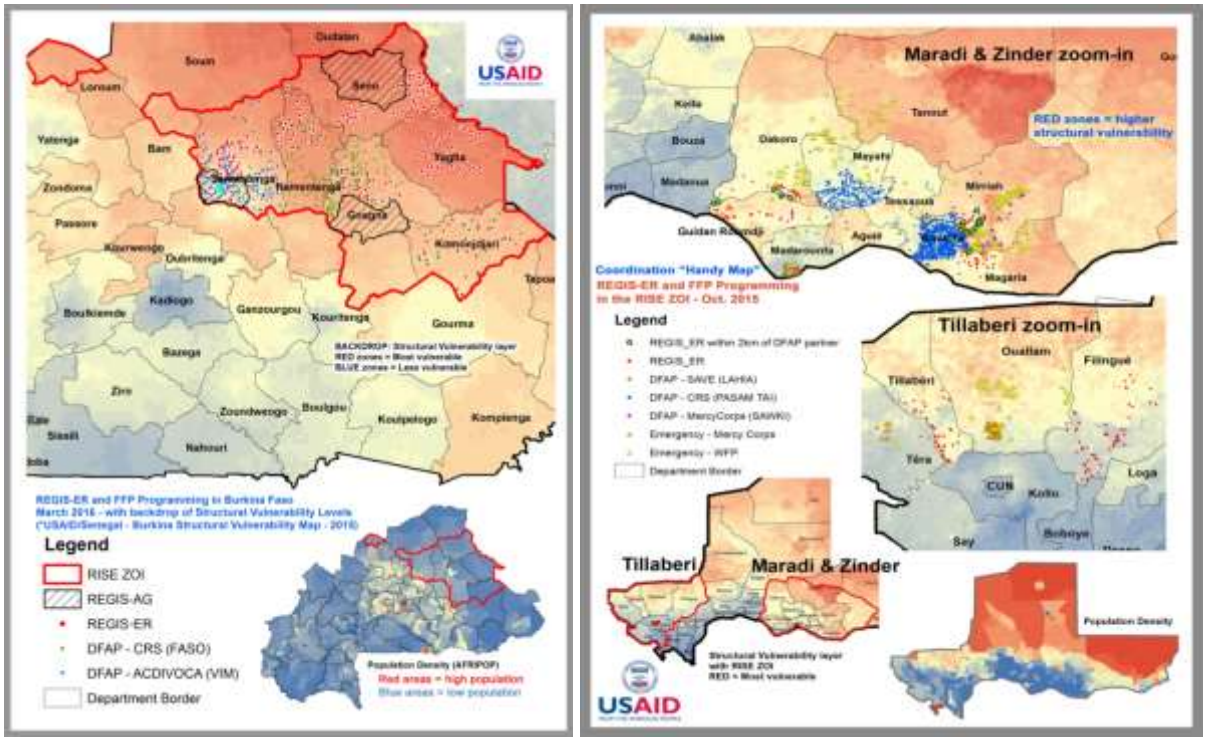
The Resilience in the Sahel Enhanced (RISE) initiative, launched in February 2013 by USAID, aims to increase the resilience of chronically vulnerable populations in subsistence and marginal agro-pastoral farming areas in the Sahel. It consists of a package of projects implemented in Burkina Faso (Center-North, Sahel and East regions) and Niger (Maradi, Tillaberi and Zinder). Over a five-year period (2013-2018), RISE seeks to build resilience by strengthening sustainable economic welfare, local institutions and governance, and improving community health and nutrition.

To this end, several implementing partners have combined their expertise in humanitarian and development assistance to address the root causes of persistent vulnerability in their areas of interventions. Activities such as Resilience and Economic Growth in the Sahel – Enhanced Resilience (REGIS-ER), Resilience and Economic Growth in the Sahel – Accelerated Growth (REGIS-AG), Sahel Resilience Learning Project (SAREL), Families Achieving Sustainable Outcomes (FASO), Victoire sur la Malnutrition (VIM), Livelihoods, Agriculture and Health Interventions in Action (LAHIA), Development Food Assistance Program Sawki (SAWKI), etc. are implementing various complementary activities in the target areas of this part of the Sahel. It is the combination of all their actions that will help communities cope better with the potential shocks. The specific objectives of all these projects contribute to achieving the overall objective of the RISE initiative with over $ 330 million mobilized to finance their various activities in the target areas.

RISE is on track to enable about 1.9 million of the most vulnerable in the area to have a real chance to break their cycle of crisis and reduce their need for humanitarian assistance in the future.

It is in this impetus of articulation between humanitarian and development aid that a range of RISE activities promoting development assets are implemented according to the populations' resiliency strengthening needs. The context of vulnerability prevailing in the Sahel region exposing its populations to recurrent shocks (floods, droughts, locust attacks, etc.) lead USAID to equip the RISE projects with a practical operational strategy for actions to respond rapidly to shocks and to efficiently link those actions to an early warning system. These rapid response actions should secure the development gains accumulated over the years by the communities and contribute to saving lives threatened by the shock.

FIGURE 2: MAPS OF THE PROJECT AREA AND MAJOR INTERVENTION AREAS



Methodology

On the basis of the deliverables selected for this study, the methodological approach developed by the team was based on:

- Working sessions with USAID personnel, including the staff of the Sahel Regional Office (particularly with their focal point for this study);
- Desk review of relevant documentation;
- Individual and group interviews with RISE implementing partners in Niger and Burkina Faso;
- Individual and group interviews, informal discussions with actors in the Sahel area (humanitarian or development NGOs, Technical and Financial Partners (PTFs), etc.)
- Exchanges with State early warning structures (SAPs) in both countries;
- Field visits to the RISE sites in Niger and Burkina Faso; and,
- Workshops organized with the collaboration of RISE and non-RISE partners to jointly define the main lines of the Strategy.

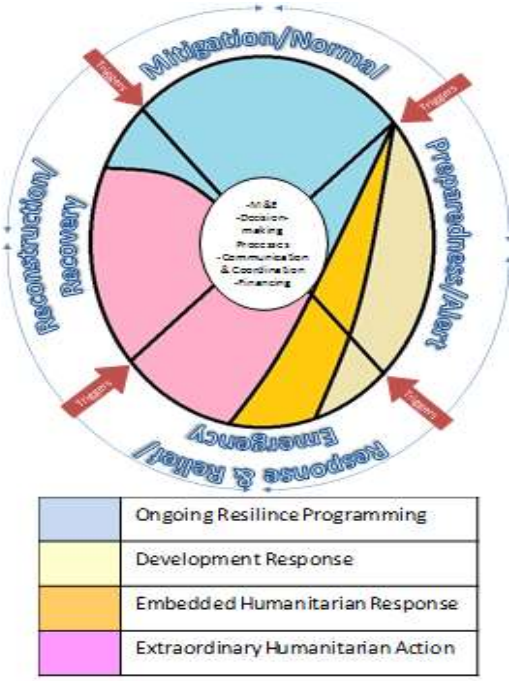
For more details on the methodology, see Annex I.

BACKGROUND

Main Shocks in the RISE Projects' Area

The populations in Sahel countries are extremely vulnerable to shocks, given their high poverty, weak states and markets, and the fragile environment in which they live. This vulnerability has been aggravating over time due to man-made factors including population growth, conflicts, poor economic management, and climatic change. Owning little or no land or animals or other assets, and depending mainly on unskilled labor to earn incomes and on markets for food, the poor and very poor households constitute the socio-economic category that is most vulnerable to shocks.

FIGURE 3: DROUGHT CYCLE MANAGEMENT MODEL



Source: IIRR, ACACIA & CordAid (2004)

Drought and flooding constitute the two main shocks affecting the RISE intervention areas of Niger and Burkina Faso, as they occur most frequently and have most negative impact on populations' well-being and livelihoods. Although they only occurred in localized areas during the last three years, this is an exceptional situation in the Sahel as serious drought and/or flooding historically happened nearly every other year in Niger and Burkina Faso.

Among the other major shocks that occur in the RISE zone are:

- Price instability for food cereal staples;
- Various diseases and pests affecting crops and livestock production, such as millet head miners and stem borers, cricket invasions, or Newcastle disease in the poultry sub-sector;
- Conflicts and migration (which is also a response);
- Economic shocks due to price increases or currency devaluations;
- Human epidemics, such as meningitis.

The SRRP operational strategy initially addresses three main shocks: drought, flooding and to a lesser extent high food prices (cereals). Many other types of shocks are important and could be included. The limited scope of the strategy is meant to ensure that it is manageable and implementable by RISE projects during the fiscal year 2017. The limited scope also allows the maximum amount of learning from this innovative approach which will inform future iterations of the strategy where additional shocks can be added or the approach modified to be more integrated. In addition, local level information collection permits the integration of other types of shocks into the adaptive management process. Lastly some RISE partners are already tracking additional kinds of shocks such as malnutrition. These efforts should continue and need to be integrated into the strategy.

Early vs. Traditional Responses to Shocks

Many shocks such as drought and pest attacks to crops set in gradually; these are referred to as slow onset shocks as they can sometimes be predicted months ahead of time and pro-actively addressed before they become serious. Of particular interest are seasonal rainfall forecasts which give probabilities for abnormalities (shortfalls or excesses) two or three months before the start of the season, thus theoretically allowing a pro-active, early response to anticipated shocks. This kind of response may avert large scale crises or emergencies such as excessive morbidity and mortality. More prosaically, pro-active responses allow averting the high administrative and logistical costs associated with emergencies (Venton, 2013) (Fitzgibbon, 2013).

The RISE projects have so far focused on resilience creation and development at the expense of systematic disasters and risk management. Projects that have a disaster risk reduction component have struggled to proactively manage shocks. A gap analysis of the majority of RISE projects looking at existing shock response administrative capacity (gap analysis for 6 projects) showed that it was rare for projects to have any of the following:

- contingency funds,
- contractual or agreement mechanisms for fast response,
- risk indicator tracking,
- in-kind reserves or stocks.

Expanding the Drought Cycle Management (DCM) Model, developed in the 1980s as part of the Turkana (Kenya) Rehabilitation Project, RISE projects can better engage in proactive, adaptive, agile disaster risk management in their intervention coverage areas. As in the DCM model, the projects will continue to carry out their resilience and development activities while being ready to carry out shock responses early enough to avert degeneration into crises and emergencies. Yet, in the long term, only resilience and development will really alleviate vulnerability and avert many humanitarian crises, hence the need to integrate resilience building and disaster risk management.

Prior Experience in Early Warning/Rapid Response

Though some RISE projects have the tools or mechanisms, such as trigger indicators and crisis modifiers to facilitate rapid response, it does not appear that RISE portfolio projects have proactively managed shocks in the last three years. While no major emergency occurred in the intervention area during that period, localized and important shocks have occurred in project intervention areas. There is therefore little experience and lessons in pro-active shock management to draw upon in the RISE portfolio. Some RISE implementing organizations such as World Food Program (WFP) and Catholic Relief Service (CRS) do have large experience in humanitarian crisis response, but they have been responding to emergency needs instead of acting to reduce the probability that shocks develop into crises and emergencies. Also within these agencies there is often a separation between development and humanitarian staff.

Operating in the same Sahelian zones, the DFID-funded BRACED (Building Resilience and Adaptation to Climate Extremes and Disasters) resilience projects successfully managed in 2016 local pests and drought stresses or crises responses without waiting that they become emergencies. The systematic dissemination of key rainfall information to BRACED projects, the creation of a shock contingency funding mechanism, the use of a standard template for funding applications, and the relatively rapid approval of funds applications for rapid responses seem to have been instrumental to the BRACED's response initiatives.

Food security and nutrition projects in the Horn of Africa (Kenya, Ethiopia and Somalia) have some experience in linking early warning and response, despite some missed opportunities during the 2015-2016 food security and nutrition emergency. The UK funded, World Vision-implemented SomReP Project in Somalia has accumulated more experience in rapid response, in particular with respect to multi-sector trigger indicators, decision-making processes, contingency planning and pro-active responses to avert humanitarian crises (World Vision, May 2016).

Strengths, Weaknesses, Opportunities and Threats (SWOT) Analysis of Early Warning and Response Systems Currently Operating in the RISE Zone

A SWOT analysis of the current early warning and early action (EW/EA) systems in the RISE region, including both national systems and those embedded within RISE activities was conducted to help make an informed choice among possible operational strategy approaches. The results of the SWOT analysis for the different functions of the system (early warning, decision making process, coordination, response activities) are summarized in Table 1 and presented in more detail in Annex II.

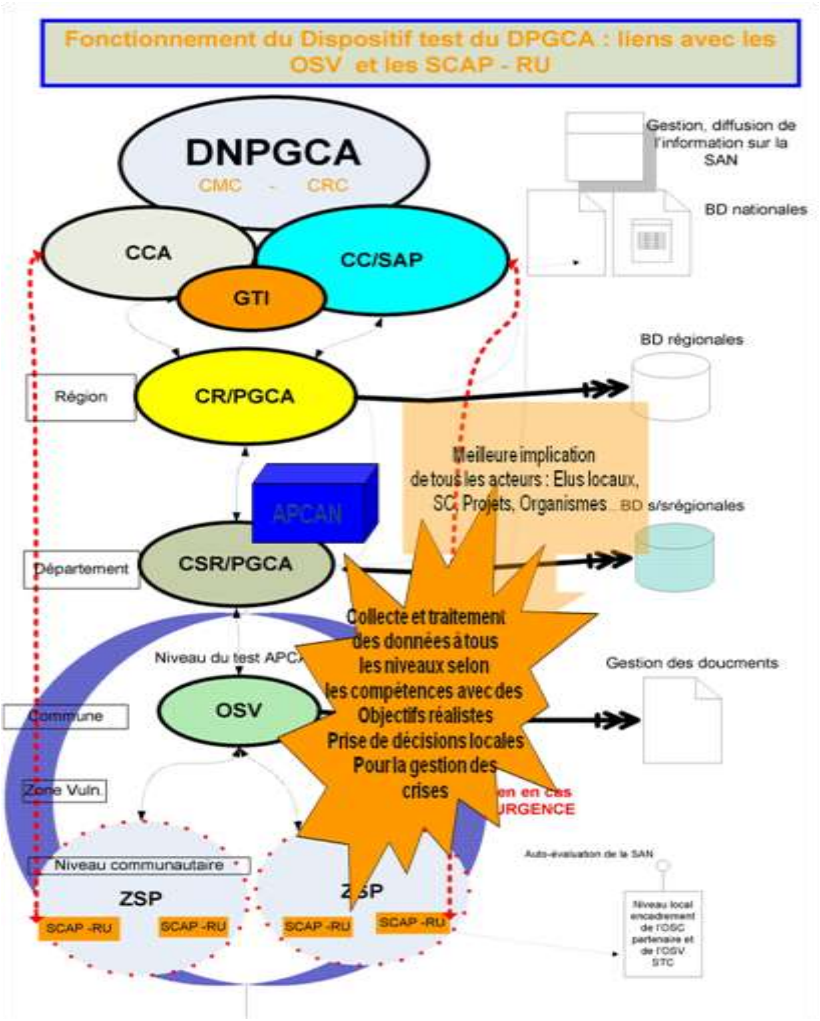
TABLE 1 : SWOT ANALYSIS OF EXISTING NATIONAL EW/EA SYSTEMS IN RELATION TO RISE

Strengths and Opportunities	Weaknesses and Threats
• Good quantifiable technical data at international and national levels (e.g., rainfall, vegetation and food prices monitoring) • Existence of anticipatory indicators (e.g., rainfall and price forecasts) • Formal early warning systems well designed • RISE and its main stakeholders feeling the need for rapid shock response • General recognition especially among RISE implementing partners of the importance of institutional and governance aspects • Office of Acquisition and Agreement (OAA) and others developing administrative tools to facilitate early response • Some communes already earmarking resources to allow rapid response at community level.	• Shock response within RISE mainly reactive and slow, instead of anticipatory and pro-active • Staff overwhelmed by activities' implementation, monitoring and reporting of performance indicators, hence having no time left for early warning and response activities • Information gathering on local level is extractive, leading concerned village-level organizations (e.g. SCAP/RU in Niger) to lose interest and successive donor-supported projects to work hard putting them back in place Lack of: • Alignment between planning, decision-making and resources allocation (e.g., decision-makers sometimes not involving data collection and analysis organizations) • Appropriate administrative funding instruments (e.g., crisis modifiers and budget lines for risk management) and decision-making tools (e.g. contingency plans) for rapid response • Recognition of the social and political aspects of access to resources at communal and village levels for rapid and targeted responses.

The Sahel national and international early warning and early action systems are in place in both Burkina and Niger. These systems are theoretically well-conceived but often do not function well and are bureaucratic and somewhat politicized. See

Figure 4 for an example of a national system.

FIGURE 4: EXAMPLE OF A NATIONAL EARLY WARNING AND EARLY ACTION STRUCTURE



RISE Operational Strategy Approaches

Objective

The main objective of the SRRP operational strategy (OS) is to provide a process, framework and tools that facilitate USAID and implementing partners' employment of a full range of development and humanitarian resources in anticipation of shocks, or as rapidly as possible after a shock has occurred, in order to mitigate its impact and to speed up recovery once conditions subside.

Main Strategic Approaches

The strategy options summarized in Table 2 below could all help better link early warning and response. Based on the SWOT analysis and on extensive consultations of stakeholders, the final strategy option choice is a hybrid of the rigorous technical approach and of the more qualitative, participatory approach aligned with national and local early warning and response systems. That option combines the following advantages:

1) streamlined tracking and analyzing of key early warning indicators;

2) joint decision-making and response implementation within the RISE portfolio; and,

3) integration with national and local early warning/response systems.

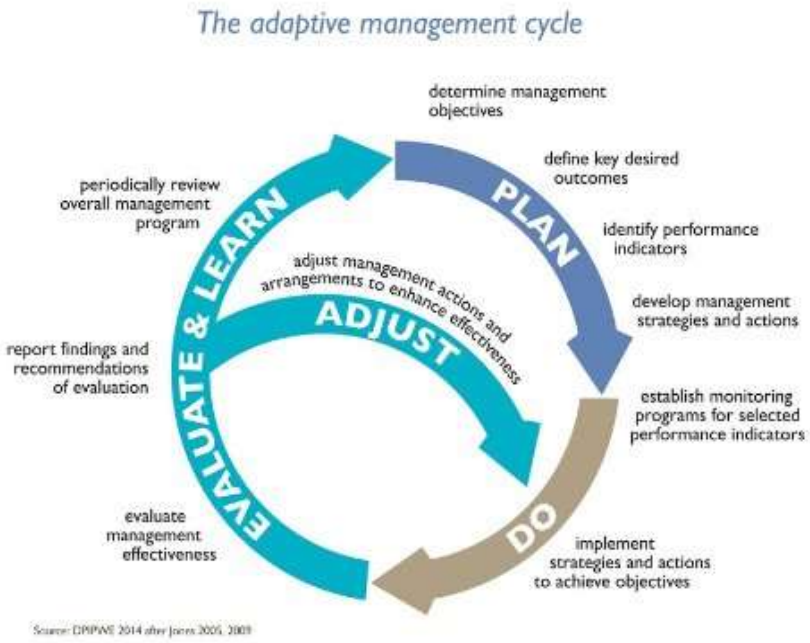
Guiding Principles

The following guiding principles below resulted from consultations with main RISE program's stakeholders (Government representatives of the national early warning and response structures, authorities at communal level, local communities and RISE implementing partners) and were validated in the Niamey and Ouagadougou SRRP design workshops:

- **Information and data supported** – The OS depends on the availability and use of data and information to support decision-making. It emphasizes the use of validation and triangulation and the collection of good, sound data from a variety of sources and from a variety of fields – not just technical.
- **Anticipatory** – the strategy attempts to anticipate shocks in order to maximize the benefits of mitigation activities and avoid losses later on. Existing systems are usually reactive and provide somewhat adequate responses after the fact.
- **Resource efficient** –to the extent possible, the OS attempts to integrate and use existing capacity, resources and mandates (such as national early warning systems). It requires a minimum amount of additional resources. In addition, the OS attempts to maximize the efficiency of resources "set-aside" for shocks while assuring that the resources to anticipate and react quickly are in place.
- **Differentiated responses** – the OS recognizes that each partner has its own mandate and strengths and builds on these. In addition, the OS recognizes that shocks can be different and require different kinds of responses and that situations vary geographically and in terms of local capability as well as other factors.
- **Added value, complementarity and integration** – The RISE portfolio can benefit from economies of scale and added value as a portfolio typifying the saying that the whole is greater than the sum of its parts. Limited additional investment will allow for significant returns in the long run as the programs and projects work together on shock response and avoid duplication and costs associated with lack of preparedness.
- **Adaptability, flexibility and practicality** – The OS aims to be a practical and efficient tool for the portfolio. Given the unpredictable nature of the local environment – physically, economically, socially and politically – the ability to adjust, adapt and be flexible is key to success.

The approach adopted in the strategy is one that privileges adaptive management – the ability to closely monitor situations and adjust interventions. This approach is appropriate in unpredictable environments where it is difficult to predict outcomes, results or future scenarios with any certainty. Figure 5 schematically shows the adaptive management cycle upon which the OS is based.

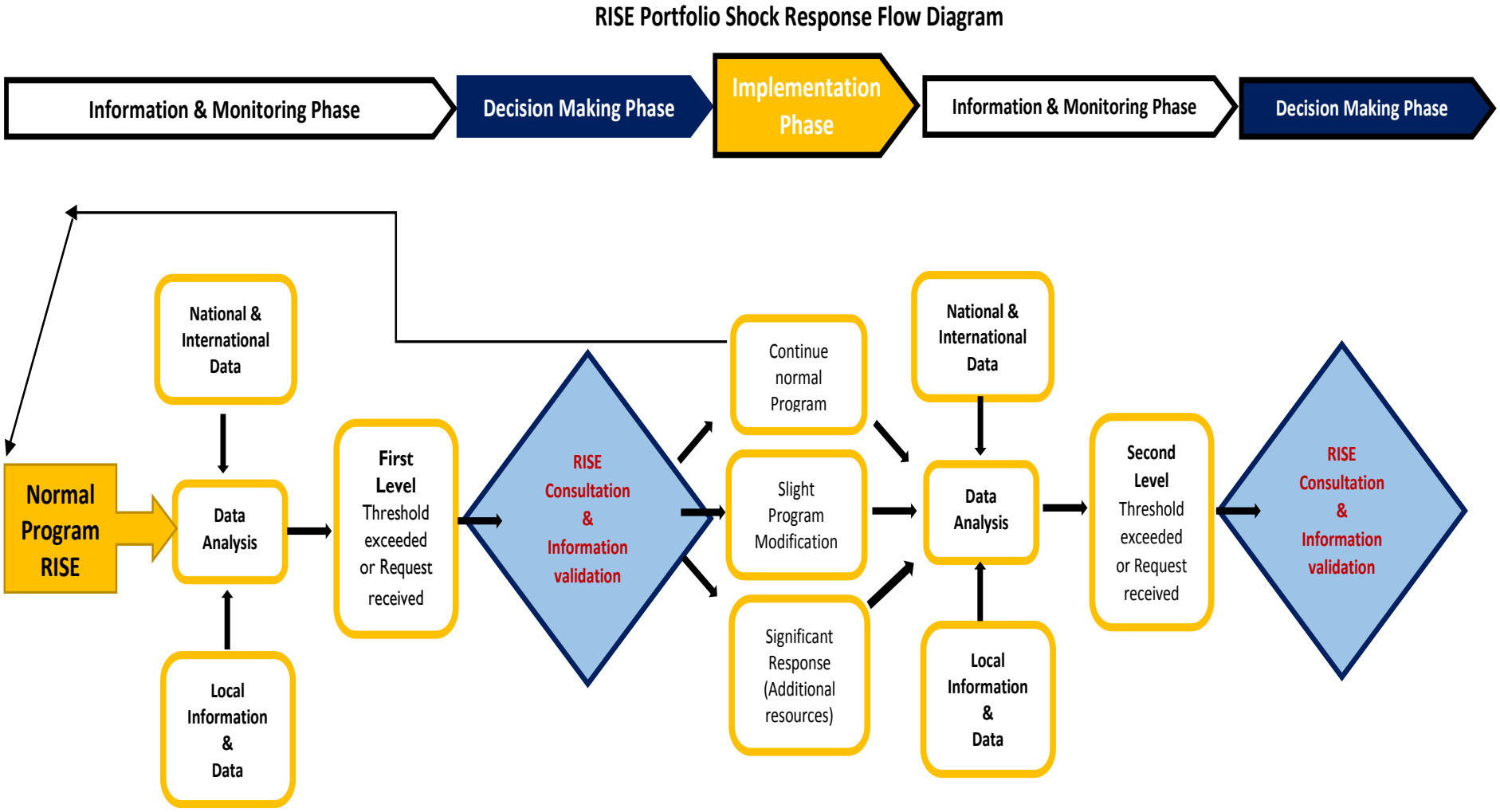
FIGURE 5: THE ADAPTIVE MANAGEMENT CYCLE



Design of the SRRP Operational Strategy for Early Actions

The figure below lays out the flow of shock response decision-making with the RISE portfolio. The figure attempts to show clearly how monitoring takes place and how information is fed into a decision-making process and how programs are adjusted.

FIGURE 6: RISE PORTFOLIO SHOCK RESPONSE FLOW DIAGRAM



OVERVIEW OF STAFF, ROLES AND RESPONSIBILITIES

The table below gives an overview of the level of human resources needed for the SR OS and the functions of various staff both new and existing. Additional human resources will be needed to fully implement the strategy. See also the accountability framework tables for more information.

TABLE 2 : USAID/RISE STAFF ROLES AND RESPONSIBILITIES FOR SHOCK RESPONSE

Project/ Program/ Activity	Position	New or Existing	LOE	Functions	Role of USAID
USAID	-SRO Focal Point -Niger Focal Point -Burkina Focal Point -FFP officers -OAA officers	Existing	Part time	Oversight, convener (as needed), decision-maker, resource allocation, advisor, monitor	See functions. Includes key role in donor and government coordination and dialogue and resource allocation
SAREL	Overall RISE SR coordinator - Niamey	New	FT	The RISE SR coordinator tracks the 12 indicators on a daily basis; communicates with the focal points of other activities; compiles and analyzes information from the field; follows the work of the national EW/EA systems; coordinates closely with USAID both nationally and regionally and other donors; and performs other functions to ensure that SR capacity is in place.	Approval by USAID needed
	RISE SR co-coordinator - Ouagadougou	New	50%	The Burkina RISE SR co-coordinator communicates with the focal points of other activities; assists in compiling and analyzing information from the field; follows the work of the national EW/EA systems; coordinates closely with USAID nationally and other donors; and performs other functions to ensure that SR capacity is in place.	Approval by USAID needed
REGIS-AG*	Headquarters focal point	Existing	5%	The focal points, through SAREL, track the status of indicators. They are responsibility for assuring the partner level contingency process is functional.	Name of focal point communicated to USAID
	Field staff	Existing	10% (each)	Existing field staff, as a complement to their ongoing field work and contact with communities and groups, will systematically and simply track local perceptions and knowledge of shocks and strategies and report this information to the SAREL coordinator on a weekly basis (or immediately if there is a sign of a shock).	NA

Project/ Program/ Activity	Position	New or Existing	LOE	Functions	Role of USAID
REGIS-ER*	Headquarters focal point	Existing	5%	The focal points, through SAREL, track the status of indicators. They are responsibility for assuring the partner level contingency process is functional.	Name of focal point communicated to USAID
	Field staff	Existing	10% (each)	Existing field staff, as a complement to their ongoing field work and contact with communities and groups, will systematically and simply track local perceptions and knowledge of shocks and strategies and report this information to the SAREL coordinator on a weekly basis (or immediately if there is a sign of a shock).	NA
DFAPs*	Headquarters focal point	Existing	5%	The focal points, through SAREL, track the status of indicators. They are responsibility for assuring the partner level contingency process is functional.	Name of focal point communicated to USAID
	Field staff	Existing	10% (each)	Existing field staff, as a complement to their ongoing field work and contact with communities and groups, will systematically and simply track local perceptions and knowledge of shocks and strategies and report this information to the SAREL coordinator on a weekly basis (or immediately if there is a sign of a shock).	NA

* The exact configuration and time commitment of these partners will be defined in the partner level contingency mechanism.

EARLY WARNING

Shocks to Be Monitored in the Operational Strategy

As mentioned earlier, for simplicity and ease of implementation, the Operational Strategy will target three recurring shocks in the Sahel: drought, flooding and high cereal market prices. RISE projects may choose to include a few more shocks they may already be monitoring, such as malnutrition, in their own contingency mechanisms. The main characteristics of the three strategy shocks selected are summarized below.

Drought

Rainfall shortage is the most frequent shock affecting the populations living in the RISE project areas, especially in the semi-arid northern regions of Tillaberi in Niger and Sahel in Burkina Faso where the June-September rains usually do not exceed 500 mm. Although the total quantity of rains per season seems to have slightly increased over the last 20 years to now be at par with the 1960–89 averages (USGS/FEWS NET, 2012), rainfall has become more erratic, resulting in drought and flooding occurring during the same season. In the last three years, there was no major drought in the Sahel, which is rather

unusual. However, due to late starts or ends of seasons, poor distribution of rains, or low water soil retention capacity, localized droughts occur every year. Most agricultural extension activities within the RISE resilience program are geared towards drought adaptation and mitigation.

Drought is a slow onset shock. Crops or animals do not suffer its impacts overnight. The rainfall seasonal forecast, which international, regional and national meteorology services normally release in April for the June-October rainy season, gives the probabilities for below normal rainfall which are good predictors of total rainfall for the region overall, although not necessarily for localized differences. Remote monitoring of rainfall via satellite and the readings of rain gauges installed across the country allow quite good estimates of actual rainfall received. Along with remote monitoring of vegetation conditions, their potential impact on agricultural performance can be well known weeks or months before harvests.

No new data collection is needed for drought monitoring. Efforts should be put instead on data compilation and analysis against pre-set threshold, rapid field validation assessments, efficient decision-making and, of course, implementation.

Flooding

This shock, usually localized, occurs nearly at every rainy season. The years for which the rainfall is forecast with higher probabilities for above normal rainfall, floods are likely to be more frequent and more widespread. Similarly to droughts, the April rainfall forecast helps anticipate flooding.

Flooding is considered a rapid onset shock, given the relative uncertainty of rainfall distribution. Depending on how much rain has fallen in previous days, one more day of heavy rainfall can provoke massive floods that may abruptly destroy crops and houses, damage road infrastructure and make some localities inaccessible for weeks. Successful, rapid interventions require a good level of preparedness, including pre-positioning of food and non-food relief kits. If USAID supports participatory flood risk mapping in the RISE zone, then partners and communities can be better prepared for possible flood events.

In terms of risk management, flooding can be classified in two types:

1) Flooding along permanent water bodies such as the Niger River and major water retention lakes. Based on the readings on gauges installed on the banks of those water bodies. The related shocks can be anticipated with relatively good certainty and accuracy, and alert messages can be disseminated with longer lead time to help move populations away ahead of the shock.
2) Flooding occurring in low plains or near intermittent rivers. This type of flooding is more difficult to predict with sufficient lead time to reduce losses. A broader risk management perspective, such as helping populations have access to safer settlement areas could considerably reduce vulnerability to this type of flood. Flood risk mapping can assist in the identification of safer locations for communities and infrastructure investments.

FIGURE 7: FIRST NIAMEY WORKSHOP WITH AN OVERVIEW OF THE PARTICIPANTS

High Cereal Prices

High cereal prices are often cited along with drought in terms of frequency and impact severity on the wellbeing of populations in the RISE intervention areas. In the RISE program area, few farmers produce enough food to meet their consumption needs, even in normal years. Most households, particularly among the poor and very poor who cultivate little and infertile land, rely instead on markets to buy the food they need. The urban population typically depends exclusively on markets to acquire food. When the prices increase, while incomes remain stagnant or decrease, households have difficulty accessing food and other essential goods and services.

Drought typically reduces crop production and livestock performance, creating food supply and demand unbalances which ultimately results in food price increases. Food shortages and/or rapidly rising food prices are

CRITERIA FOR INDICATOR SELECTION

- At least partially inclusive of local participation and knowledge
- Limited in number – within the manageable interest of RISE
- Focused on drought and floods – considered among the most important shocks
- Currently monitored - by organizations or tracking can be integrated into ongoing activities
- Anticipatory – indicate a shock is likely, versus reactive
- Relevant – to RISE and local communities
- Understandable – to RISE and partners

relatively easy to predict, which in principle allows planning and implementing responses that reduce the use unsustainable coping strategies such as distress sale of hard-won livelihood assets.

Phases, Indicators and Thresholds

Models of shock response and EW/EA often propose several phases of a developing emergency. A common approach is to look at four phases: normal, stress, crisis and emergency. Normal conditions may still prevail if a shock has not been very severe, if pre-shock conditions were extremely good, or if the affected households are capable of dealing with the shock with habitual coping strategies. Threshold triggers are set between normal and stress, and between stress and crisis. This corresponds roughly to the development response and the embedded response. This also allows the portfolio to start responding, if needed, early enough to prevent the shock's impact from becoming a crisis and emergency. The phases mirror the phases 2 to 4 of the *Cadre Harmonisé* (CH) framework which the ECOWAS countries have adopted in their food security analysis. This operational strategy does not keep the CH's phase of famine, as this should normally never happen with a well working early warning and early response system. In the unlikely event that a famine would occur, USAID would deploy its humanitarian interventions mechanisms, possibly without the participation of the RISE implementation partners in order to save lives.

For this strategy the most important transitions are between normal and stressed and between stressed and crisis. In general terms the stressed phase can be addressed through a development response. Projects and programs can use their existing flexibility to modify programs to address the stress. At the crisis stage this flexibility may not be adequate and therefore additional resources are needed. This can be called the "embedded response" where additional humanitarian resources are channeled through development programs to address a more severe shock. For shocks that are more severe yet than "crisis", the rules of the game have changed and a more robust humanitarian response may be needed. At this phase development programs are severely compromised and humanitarian approaches take over. Since the operational strategy is for a development portfolio, this case is not dealt with here.

Specific indicators and thresholds (also called triggers) were determined for the three shocks (drought, floods and cereal prices) retained in the SRRP operational strategy, in close collaboration with M&E experts in Niger and Burkina Faso. The criteria for selection of indicators can be found in the text box. To be relevant for early action, they had also to be anticipatory, i.e. not based on validated impacts of a shock. To ensure that the OS is rapidly operational, the indicators selected had to be limited in number (focusing mainly on drought and flooding), familiar or easily understandable, and already regularly monitored by projects or by a specialized partner institution.

Local Information

Good international and national data and information on high-level indicators is an important part of the strategy. However, it is important to collect and analyze local data and information with local communities. Present attempts to do this, through the SCAP-RU or listening post systems for example, appear to be extractive, top-down, and do not align information, decision-making and resources. These approaches are very likely unsustainable as they are. There is urgent need for more participatory and decentralized approaches.

In this regard, close collaboration with the Resilience Recurrent Monitoring Surveys (RMS) should be established. This approach recognizes the need for both objective and subjective data metrics. It states that "Subjective shock and stresses data can be collected from project beneficiary households themselves as a part of regular project monitoring."

The RMS emphasizes:

> *Qualitative data analysis:* The data collected during Key Informant Interviews and Focus Group Discussions are transferred into topically-structured matrices and then analyzed to identify patterns in responses and contextual information to better understand and help explain the quantitative findings. Responses from participants from all survey rounds can be used to interpret and supplement findings from quantitative data analysis and to identify differences in perceptions between groups, including gender, as well as over time.
>
> *Adaptive Management and Use of RMS Findings:* As resilience programming gains more and more prominence as an approach for addressing chronic vulnerability, approaches like the RMS can provide timely information that enables implementing partners, donors, host governments, and other stakeholders to make important adjustments in interventions to improve resilience program investments (Resilience Recurrent Monitoring Surveys: an overview, 2016).

Sustainable and participatory local EW/EA is a difficult exercise for a number of reasons. Local knowledge and information is rarely quantitative but can be equally valid and useful. It is also often integrated in the sense that there is little separation between types of shocks and it is hard to defend a project approach that would not deal with a village-level shock because it was not drought or flood related. Village level risks and vulnerability may in fact be related to State and market failure. Village level information may be expressed in qualitative terms linked to local knowledge systems and related to perceptions of risk which may impact behavior. A key element for local monitoring of shocks will be usefulness in local arenas and broad understanding at the local level (non-extractive and participatory approaches)

The approach to local EW/EA suggested here is twofold. First and very simply, it requires a logbook and decision-making process and response to any and all written requests from the field. Presently RISE partners do not appear to have a process for this. Second, it will use participatory methods to monitor local indicators based on local perceptions. The full extent of local EW/EA will depend on the contingency mechanisms that each partner develops. This may include careful selection of staff and of reporting in order not to overburden partners' field agents. To the extent possible however it is essential that existing staff and existing encounters with village groups be used to systematically collect qualitative and group information in transparent ways. This is part of resilience implementation. Using a simple questionnaire (see Annex 3), village perceptions on potential shocks can be collected and compiled and can be used to track and report on village perceived threats. Thresholds can be identified together with local communities. The approach uses collective input so there is transparency at the local level and discussion and a sort of validation. Questionnaires can be sent to a focal point at SAREL who can assemble and weigh the need for action. This approach does not necessarily run counter to the SCAP-RU approach but aims to be less extractive and more efficient in terms of transaction costs for the local community.

While it is clear that participation in, if not the ownership of, shock response should be in the hands of those most affected and knowledgeable, namely local communities, this is difficult for a number of reasons. In fact, many programs take an extractive approach to local information gathering or insisting that it be gathered at the local level, yet positioning analysis, resources and decision-making at other levels. Eventually it will be necessary to align resources, knowledge, and decision-making at the local level. This is the principle of subsidiarity but has yet to be fully implemented in Niger and Burkina. Local information can be qualitative and expressed in different terms than, for example, national and international data but it is still valid and, in fact, key to developing resilience and shock response. In addition, shock response is integrated at the local level. There is no sectoral division of shocks and

threats. It is difficult therefore for external partners to solely focus on drought and floods when local communities are suffering from another type of shock.

The approach taken in the OS is to recognize local knowledge of possible threats and adaptive strategies and integrate this knowledge into shock response. Another key element of the approach is to use projects and programs as forums for collecting information that is simple practical and does not require new staff. The OS uses existing resources on the ground (e.g., RISE field staff, SCAP-RU) where appropriate to systematically collect qualitative and collective information. It tracks and reports on village perceived threats, identifies thresholds together with local communities and avoids responses that compromise local capacity (do no harm). This process will track 3 elements:

- Local perception of potential threats in the forthcoming 2 week period
- Implementation of local, community based adaptive strategies (as described by local communities), and
- The status of the agricultural season (as the major determinant of well-being.

A short questionnaire is found in the Annex III that should be used to gather this information.

It is important also that RISE has a procedure for dealing with **formal requests for shock response assistance from the local level**. This has posed a problem in the past. Working through the RISE partners' Shock Response focal points, requests need to be logged in and responded to within 3 days.

In total the RISE portfolio should track the following 12 indicators:

Local level – multi-shock

1) Community or local group perception of potential shocks and threats
2) Community or local group preparations/strategies for shocks

National and international level - droughts

3) Rainy season predictions
4) Normalized Difference Vegetation Index (NDVI)
5) Sowing/planting date
6) Cumulative rainfall
7) Rainfall between emergence and tillering of millet
8) Rainfall after tillering

National and international level – floods

9) Water levels in major water courses and rivers
10) Cumulative rainfall in areas of flood risk
11) Rainfall intensity in areas of flood risk

National and international information: cereal prices

12) Market prices of millet

Based on their specific contexts, RISE projects can adjust the thresholds levels, making sure that the later are not set too low, which could lead to bringing in external resources when communities and communes are able to adequately deal with the impacts of some shocks. Unwarranted interventions

could aggravate the dependency mentality that has become a serious inhibitor of development in some RISE coverage areas.

When a threshold is reached or exceeded, a collective decision about a response should be taken. Before that, it is however important to first check whether thresholds are reached for other indicators as well, (convergence of evidence) and to conduct a quick field assessment to ensure that there is sufficient justification for external response interventions. The indicators and thresholds to be piloted in 2017 within the RISE portfolio are presented Table 3 in below.

TABLE 3 : INDICATORS AND THRESHOLDS BY PHASE[2]

Types of Shocks and Indicators	Data Collection Methods		Phases and Thresholds		
	Sources	Frequency	Normal	Stress	Crisis
Local Information – Multiple Shocks					
Village/local group perception of potential shocks/threats	SCAP/RU reports; CVD; RMS; Questionnaires during ongoing activities	Continuous/rolling collection Monthly report	Low reporting of possible near-term shocks (<10% reporting)	Between 10% and 20% of interviews indicate concerns	Over 20% of the interviews indicate concerns
Village/local group preparations/strategies for shocks	SCAP/RU reports; CVD; RMS; Questionnaires during ongoing activities	Continuous/rolling collection Monthly report	No or little preparations or adaptive strategies underway	Between 10% and 20% of interviews indicate adaptation	Over 20% of the interviews indicate adaptation
National and International Information: Drought					
Rainy season predictions	CILSS/Agrhymet/ Meteorology services	Once - April/May	Probability of less than 35% below normal rainfall	Probability between 35% and 40% for less than normal rainfall	Probability of 40% -50% of precipitation below normal
Normalized Difference Vegetation Index (NDVI)	FEWS NET/CILSS/AGRHYMET	Every 10 days	Over 90% for the NDVI	75 to 90% normal	Bellow 75% normal
Sowing/planting date	Agriculture Services, Statistics Direction	Once - May/June/July	Normal dates for the zone *	Sowing between 15-31 July	Sowing between 31 July and 31 August
Cumulative Rainfall	FEWS NET and Meteo services	Daily during periods of rain	90% of the normal	75% to 90% normal	Bellow 75% normal
Rainfall between emergence and tillering of millet	Agriculture Services, Statistics Direction	Daily during periods of rain	Less than 15 days	Between 15 and 20 days	Between 21 and 30 days
Rainfall after tillering	Agriculture Services, Statistics Direction	Daily during periods of rain	Less than 10 days	Between 10 and 15 days	Between 15 and 20 days
National and International Information: Floods					

2 The thresholds indicated here may need revision over time. They should motivate early discussion of situations even if no concrete action is eventually necessary.

Types of Shocks and Indicators	Data Collection Methods		Phases and Thresholds		
	Sources	Frequency	Normal	Stress	Crisis
For major water courses/rivers – water levels	ABN and hydraulic (water level gauges)	Daily from floods	Normal to minus	10% to 20% about normal	Over 20% about normal
In areas of flood risk – cumulative rainfall	Flood risk mapping [3] and FEWS NET and Meteo services	Daily	>110% of normal rainfall	110%-120% normal rainfall	>120% normal rainfall
Rainfall intensity	CILSS/Agrhymet/Meteorology services	Daily	No consecutive days of heavy rain	2 consecutive days of heavy rain	3-4 consecutive days of heavy rain
National and International Information: Millet Prices					
Differences in % price p / r to average 5 last years	SIMA/RESIMAO	Daily	Between zero and more or less15%	Between more or less 16 and more or less 30%	Between 31 and 50%

Figure 8 : Meeting with the Mara village's Early Warning and Emergency Response System (SCAP-RU). A village member explains the local risk map

Rapid Responses

The process through which the RISE projects could respond to shocks and disasters is outlined in Figure 6. It somewhat reflects the REGIS-ER's disaster risk management strategy and expands to cover all phases of shock impacts, rather than focus on disasters/emergencies. This would ensure that the strategy can also prevent shocks from deteriorating into emergencies. The REGIS-ER risk management strategy has six pillars: capacity building among project staff, strengthening of community early warning systems, strengthening local communities' skills, raising awareness of community concerning the disasters prevention measures, contingency planning, and response activities in case of disasters.

Contingency Mechanisms

A contingency mechanism is a documented process for identifying and prioritizing how to make decisions and adjustments for each major potential threat, the response activities to be carried out, the resources to use (including mobilization mechanisms), as well as the assignment of roles and responsibilities for management, staff and external partners. The time to respond can be significantly reduced if a project already has a contingency mechanism identifying and prioritizing for each major potential threat the response activities to be

3 It would be useful is USGS could undertake flood risk mapping for the RISE area.

carried out, the resources to use (including mobilization mechanisms), as well as the assignment of roles and responsibilities for management, staff and external partners.

Contingency Mechanism for Each RISE Partner

There are economies of scale and added value from having an operational strategy for shock response for the RISE portfolio as a whole. However every organization and program has its unique strengths, advantages and mandates. This specificity means that, in addition to an operational strategy for the portfolio each organization/program needs to have its own simple and practical contingency mechanism. The contingency ***process*** is emphasized here because the environment is unpredictable enough to make traditional contingency plans extremely difficult and likely to lack flexibility to help programs adjust quickly.

A description of the contingency mechanism appropriate to each partner should not take more than several days to develop and should be expressible within 10 pages.

The following are suggested as important elements for a partner specific contingency process document.

Scenarios – It is suggested that scenarios be developed for two cases – first for shocks and shock warnings that require relatively minor modifications of ongoing programs (basically within existing budgetary limits and partner contractual flexibility) and second for more significant modification requiring some level of additional resources and possible modification to awards. These two scenarios will be the result of thresholds being exceeded and discussion of the RISE partners.

Staff and accountability - Each partner needs to identify a focal point from within existing staff for shock response. The focal points should track the status of indicators through SAREL. They should also take responsibility for assuring the partner level contingency process is in place and is functional. If shock response is triggered the partner will have to decide whether additional staff is required and have in place arrangements to quickly procure such staff as resources become available. Generic Position Descriptions should be developed reflecting the organizations strength and mandate.

Validity, duration and review – The partner specific contingency process needs to be in place before April 15, 2017. It should be valid for one year and reviewed quarterly regardless of any notification of the need to discuss a potential shock and shock response. In early 2018, the entire process within RISE should be reviewed and modified.

Integration and complementarity – While plans are specific to a partner they should be complementary to one another to avoid duplication and to achieve economies of scale. Therefore it is suggested that USAID, either through SAREL or an alternative form of technical support, participate in the development and compilation of partner plans for the 2017 rainy season. Once the plans are completed in draft SAREL should convene a meeting where they are presented and reviewed and ensure ongoing coordination of RISE partners' shock response efforts.

Administrative options and tools – Each partner needs to verify that they have the administrative and bureaucratic tools, such as grants under contract or crisis modifiers, to response quickly to a shock. The potential options in the operational strategy (see Table 5) should be useful in assessing what tools may be the most appropriate for each partner and their specific situation, including grant or contract funding. If the internal assessment leads to a decision that specifics tools need to be developed and put in place this should happen by the end of April 2017. These instruments can be put into place without funding as a first step and to facilitate the quick absorption of funds when they become available.

Description of early actions – Each partner has its domain of strengths and competencies. A list of early actions in case of drought or flooding shocks specific to each partner should be developed/compiled. See Table 3 for a general list of early actions. A partner specific list will be needed to quickly develop scopes of work that could be funded with additional resources. The list could be combined with the administrative tool developed above.

Monitoring - Each partner must be able to monitor their shock response and to assess if further adjustments are necessary. Partners should lay out how this will be done in several paragraphs emphasizing the collection of local data and feedback, and the ability to compile and report on progress in the field.

Adjusting – If monitoring reveals the need for adjustments to the shock response partners should make the adjustments and inform the SAREL focal point in order to avoid conflicting or duplicating adjustments.

Collaborating and communication – SAREL should be the main coordinator for RISE and be responsible for information monitoring, tracking and analysis, and dissemination of information and, in consultation with USAID, convening of partners for decision-making. SAREL needs to ensure that partners are aware of evolving situations before and during a shock. Main communication means will be email. Decision-making for the portfolio as a whole should be done in meetings.

Suggested documentation or components for the contingency process

- A description of how local information and knowledge of shocks will be integrated into ongoing efforts with local communities
- Draft position descriptions for additional staff in case of need to go beyond a development response and obtain additional resources (related to mandate of the organization and the early actions that have been designed)
- Draft illustrative early actions or scope of work (related to the organization's mandate and strengths)
- Administrative tools/protocols – completed agreement or contract arrangement permitting quick response (these may be from the list of potential administrative tools found in the OS)
- Simple accountability framework – this lays out who is responsible for what within the organization for the contingency process
- Table describing actions under the 2 scenarios – this provides additional specificity given the extent of the shock
- Estimates of resources required if shock is significant – this attempts to budget, in rough terms, the resources required to address a significant shock
- A short description of the monitoring process
- A brief communication and collaboration description

If additional resources are available, the first RISE contingency plan will be collaboratively prepared in May-June 2017, i.e. shortly after the release of the seasonal rainfall forecast. This timing would allow RISE to get the information required for the selection of the most likely rainfall scenario. Individual projects may decide to adapt the RISE-wide contingency plan to their context.

Illustrative Response Activities

As was found during the preparation of this strategy, the staff of each RISE project were able to identify for each impact severity phase the best response activities to put in place. During the Niamey and Ouagadougou workshops, working groups were able to generate a menu of illustrative activities appropriate to each phase, see Table 4. Each project should develop, in its specific contingency plan, its own response activities by impact severity phase.

TABLE 4 : *ILLUSTRATIVE* RESPONSE ACTIVITIES IN CASE OF FLOODING

Sector	Stress	Crisis
Governance	• Inform /alert local communities and authorities • Activate early warning structures such as CVD, CODESUR, CORESUR, COPROSNR • Mapping of vulnerable areas, delimitate risk areas	• As time permits, support the creation or capacity strengthening of crisis management units which fairly represent all groups
Health	• Monitor information of the quality of drinking water • Make water treatment products more available • Monitor operation of water treatment equipment • Sensitize communities on good hygiene practices	• Treatment of diarrheic diseases • Put in place sanitation facilities in refugees/IDPs centers • Drinking water distribution
Household well-being	• Inform/raise household awareness about the need to store well food commodities • Support availability of early maturing crop varieties; • Monitor wells and other water points' management	• Promote creation of alternative income generating activities • Support destocking and opening to new outlet markets • Focus more on livelihoods diversification, kitchen gardens, vegetable gardening, strategic destocking, put more efforts on poultry production (vaccination, supply of subsidized vaccines)

Targeting

Even in crises and emergencies, the RISE response should remain well targeted to the groups most in need. Targeting only saves resources, which can be reinjected back in resilience creation, and gives more chance to the poor and very poor households which otherwise would proportionately receive less than more assertive wealth groups. Response activities will also ensure gender equity.

Many baseline assessments have been conducted in the RISE intervention area, using the Household Economy Approach (HEA).This approach allows a good knowledge of the sources of food and incomes, of vulnerability to shocks and of strategies the various groups use to cope with shocks. A good HEA-based analysis allows to determine the level of severity of shock impacts to various groups and to recommend more appropriate responses. A severe drought may, for example, have a direct, severe impact on the households that depend on agriculture for their livelihoods, but less severe impact on the very poor households who do not grow much food even in good years because they do not possess enough land. However, the poor wealth group is much more vulnerable to food price increases.

While there are differences in vulnerability among local populations, there is widespread and pervasive poverty and vulnerability. Since needs are fairly general, "targeting" should not slow down response.

There is in the RISE program coverage area a pool of HEA experts (see Annex 4) who can among other things help determine the most likely outcomes on different wealth groups of various shock-based scenarios during contingency and response planning sessions. It would be useful to develop a system where these experts could be "on-call" and rapidly mobilized.

Administrative Options for Shock Response

Resilience programming aims to build the capacity of local structures to withstand and recover from shocks. However there are a number of shocks that happen at a scale or time frame that makes it very difficult for communities to respond on their own. Development projects often have some flexibility to respond to a level of shock. However some shocks exceed this capacity and require additional resources. Even if additional resources can be made available, sometimes administrative tools are not in place to allow quick movement on securing and using resources.

The present strategy does not deal with the case where thresholds are exceeded to the extent that major additional resources are needed and a completely different approach is necessary. This phase would jeopardize the investments being made in development and would require a response beyond the capacity of partners. In many cases national governments would declare an emergency or a disaster and humanitarian approaches and resources would take center stage. Some partners, especially the Development Food Assistance Programs (DFAP), since they have humanitarian expertise, may be involved in the humanitarian response (stand-alone) and undertake activities within their competency including cash transfers.

The Contingency Processes should include those actions /processes for both the development response (i.e., using existing resources) and the embedded humanitarian response (i.e., using additional resources)

This strategy is based on three main scenarios after a threshold warning (see flow diagram above). In the **first** scenario a consultation among partners leads to a determination that no particular action is needed. Some form of validation may be needed, however, and partners should already have a good feel for what is going on in the field to facilitate validation.

The **second** scenario is driven by a threshold consultation and a determination (decision) that a response is appropriate and that the response is able to be made with resources in hand (perhaps

allocated slightly differently) using administrative tools and ongoing activities already available. This can be seen as the development embedded response; development response programming and re-alignment/re-allocation of development funds. This response may not require new tools and resources and is within the remit of the ongoing projects and programs. The changes needed should be within the capacity of partners. Joint decision-making mechanisms, an agreement on monitoring, and close coordination among the partners are essential to obtain synergies and value added.

The **third** scenario is driven by a threshold consultation and a determination that a response is appropriate and that the response requires additional resources. This determination triggers the contingency processes that the partners have developed and that include pre-defined early actions and administrative tools that are prepositioned and ready to be funded. Luckily USAID's Office of Acquisition and Agreement (OAA) has worked with the Center for Resilience and has defined a number of tools which have potential to facilitate quick response. Table 5 below lays out a number of these tools. For more detail see Annex 5. There is a rich toolbox of options that partners and Procurement Officers can work together on selecting. The USAID Center for Resilience and OAA are working together to finalize this "toolbox."

TABLE 5 : *ILLUSTRATIVE* ADMINISTRATIVE OPTIONS FOR SHOCK RESPONSE

Acquisition or Assistance	Name of Tool/Method
Acquisition	Indefinite Delivery Indefinite Quantity IDIQ Multiple Award
	Recurrent Response
	General Service Agreement Task Order (GSA TO: Time & Material (T&M)/Fixed Price (FP) Hybrid
	Agency-wide Blanket Purchase Agreement (BPA)
	Single or Multiple Award contracts ("taskings"; not task orders since this is already a TO) and 3P approach (Pause, Pivot, Proceed)
	Verbal request for services needed
	Class J&A/JRE Justification and Approvals)J&A/ Method: Obtain a class J&A/JRE from the administrator to use other than full and open competition to respond to a shock.
	IDIQ Single Award
Assistance	Grant - Program Contribution Agreement Method: Funding a wide range of projects where USAID makes program contributions to a fund for use in a number of activities
	Phased Implementation
	Annual Program Statement
Either	Grants Under Contract
	Crisis Clause/Provision Include a Crisis Clause/Provision in all activities which provides authority to adapt and respond to a shock.

Collaboration and Coordination among Resilience Partners

In the most vulnerable areas of the Sahel, projects often operate in the same administrative units, even at commune levels. Due to development or humanitarian needs being too high to be met by a single partner, projects, including those financed by the same donor, will continue to overlap. Within the RISE portfolio, there has been increasing coordination and a quest for complementarity and synergies among projects, most often through quarterly experience-sharing meetings on specific themes organized by SAREL. As projects have their specificities and cannot excel in all areas, RISE projects will further benefit individually and collectively, from formal and informal coordination. Given the relative lack of experience

in linking early warning and response, the RISE projects will need to coordinate more among themselves and gradually extend that coordination to other donor-funded resilience projects. Donors such as USAID, ECHO and DFID encourage collaboration among their humanitarian assistance and resilience strengthening projects. At policy level, public organizations at different levels are best placed to guide and lead coordination among various actors in the field.

Accountability and Coordination through Various Phases of the Early Warning and Response Continuum

The collaborative models proposed for testing in critical phases of the early warning and response processes are presented in the following tables. SAREL, which plays a central role within RISE in collecting information on the implementation approaches and in convening coordination and experience sharing meetings, it should gather relevant early warning which it would compare to the pre-set thresholds, before convening decision-making meetings as required.

Information Phase

SAREL will play a key role compiling for all RISE partners the data pertaining to the indicators, analyzing them against the trigger thresholds agreed upon and sharing the data and analysis with all RISE partners. During the same time, partners will use existing structures and local consultations to efficiently track the local indicators, and occasionally conduct rapid field assessments especially when local communities (SCAP/RU and CVD) may have expressed concern or made requests for assistance to help respond to local shocks.

TABLE 6 : ROLES AND RESPONSIBILITIES OF RISE IMPLEMENTING PARTNERS' AT EARLY WARNING PHASE

Phase	Task	Responsibility within RISE	Source of input	Frequency	Monitoring	Communication
Information phase	Track selected indicators at national level (see separate description)	SAREL, USGS with additional resources	External (FEWS, Agrhymet, etc)	Daily, weekly Monthly	Indicators Triggers	Weekly emails
	Normal situation – update during monthly coordination meetings	SAREL and all partners (standing invitation to USAID)	External	Monthly	Notes of meetings	Email updates to partners, discuss during regular coordination meetings
	Thresholds exceeded – convoke special coordination meeting	SAREL and all partners	RISE	As needed	Notes of special meeting, notes of meetings with USAID	Email convocation, Contact USAID, USAID may convene special meeting; inform host country government
	Track selected indicators from local level (perceptions of shocks) but with additional resources	SAREL and all partners	SCAP-RU, OSV	Monthly	Report	Report to partners

Phase	Task	Responsibility within RISE	Source of input	Frequency	Monitoring	Communication
	Review reports from the field (i.e. SCAP-RU monthlies) Define modalities and with additional resources	All partners, with SAREL compiling	RISE	Monthly	Report of review	Report to partners
	Track exceptional requests from local level, information and warnings from the field with additional resources	All partners, with SAREL compiling	RISE partners	As needed	Log of requests, log of responses. Written responses within 10 days	Letters, emails
	If local level reports, both systematic and ad hoc, indicate potential shock, review information	All partners, with SAREL compiling	RISE partners	As needed	Notes of coordination meetings	Notes distributed
	Dialogue with relevant national programs and organizations ; and other donors	SAREL SR coordinator	RISE partners	As needed	Notes of meetings	Meetings

Decision-Making Phase

When national or local threshold levels are reached, and additional evidence -including that coming from communities converge into validating a shock, SAREL will convene one or several meetings to decide on whether a response is needed and, if so, the level of response.

TABLE 7: ROLES AND RESPONSIBILITIES OF RISE IMPLEMENTING PARTNERS DURING THE DECISION-MAKING PHASE

Phase	Task	Responsibility	Source	Frequency	Monitoring	Communication
Decision-making Phase	Assess quality of information both national and local level: Define methodology	SAREL and all RISE partners	RISE	Once thresholds exceeded	Notes of meetings with resource organizations	Share notes
	Validation of information if necessary	Selected partners	SAP, FEWS, USGS, Agrhymet,	As thresholds crossed	Notes of meetings with	Confirm

Phase	Task	Responsibility	Source	Frequency	Monitoring	Communication
	both national and local level		Government, PTFs		resource organizations	
	Validation of national information with local resource organizations, both national and local levels	Partners with field presence	SCAP-RU, OSV, other local organizations	As thresholds crossed	Review of local orgs reports, notes from field visits	Field trips, discussions, rural radio
	Validation of local information with national information and field trips	Partners with field presence	RISE partners	As thresholds crossed	Field trip reports	Field trips, discussions, rural radio; Report to USAID and national organizations as necessary
	Coordinate action with Governments and other partners (PTFs)	USAID	Cross verified, triangulated information	As needed	Notes of meetings	Meetings, information sharing
	Decide if action required	All (USAID)	RISE	As needed	Action memo	USAID contacted and decision of who convenes decision meeting. Email, reports, rural radio
	Form task force if necessary	All including USAID plus external if needed	RISE	As needed	Action memo	Email, report of nominations
	Discuss value added and synergies of coordinated action	All including USAID	RISE	As needed	Action memo	distribution
	Start preliminary actions	All including USAID	RISE	Immediately after agreement reached	Rapidity of response	Project documentation, rural radio

Resource Allocation and Action Planning Stage

When shocks affect limited areas, the concerned projects will decide on the best ways to address the impacts of those shocks so that the later does not spread or deepen. If shocks affect large areas, the RISE partners will determine whether they will be able to address its impacts with existing resources or whether additional funding will be required.

TABLE 8: ROLES AND RESPONSIBILITIES OF RISE IMPLEMENTING PARTNERS AT RESOURCE-ALLOCATION AND ACTION-PLANNING PHASE

Phase	Task	Responsibility	Source	Frequency	Monitoring	Communication
Resource-allocation phase	Assess existing resources	All RISE partners, coordination SAREL	RISE partners	Once decision made	Reports	Activation of contingency mechanisms
	Decide how to best manage and coordinate existing resources	RISE coordination group with USAID	RISE	Once decision made	Reports	Activation of contingency mechanisms
	Decide if additional resources needed	RISE coordination group or task force with USAID	RISE		Reports	Action memo
	Redeploy resources as necessary	RISE coordination group	Partners	If needed	Reports	USAID approval
	Request additional resources	Each organization	Partners	If needed	Reports	Requests to USAID
	Coordinate resources with other actors	Each organizations with USAID	RISE	If needed	Reports	Coordination meeting notes
Action-planning phase	Assess early actions that have been preliminarily identified	RISE partners with USAID	Partners	As needed	Reports	Contingency mechanisms
	Decide on coordinated package of early actions	RISE partners with USAID	RISE and partners	As needed	Action memo	USAID approval

Implementation and MEL Phase

Coordination among implementing partners is particularly important for projects working in the same areas to avoid duplication of efforts and create opportunities for complementarity and synergy. Coordination with non-RISE projects is equally critical during implementation, ideally under the auspices of government institutions at the appropriate decentralization level, in order to avoid contradictory approaches. SAREL should continue to promote collaboration in experience sharing and in identifying and disseminating best practices.

TABLE 9 : ROLES AND RESPONSIBILITIES OF RISE PARTNERS DURING THE IMPLEMENTATION AND MEL PHASE

Phase	Task	Responsibility	Source	Frequency	Monitoring	Communication
Implementation phase (see separate description of early actions)	Begin early actions	RISE partners	NA	NA		
	Coordinate actions	RISE partners report weekly to SAREL and USAID	NA		Weekly updates	Email, rural radio, agent visits, video, others
	Begin monitoring plan (see separate description of plan)					
Monitoring, Evaluation and Learning Phase	Assess progress monthly and identify red flags	SAREL and RISE coordination group			Monthly meeting notes	Report to USAID with red flags
	Initiate after action review	SAREL and RISE coordination group	NA	Once	Decision document	
	Produce lessons learned and review report	All RISE partners, SAREL to compile	NA	Once		Report to USAID, national organizations, OSV, SCAP-RU
	Consensus on report (RISE coordination meeting)	SAREL and RISE coordination group	NA		Report	Submit report to USAID
	Decision to return to "normal" implementation/programming	SAREL and RISE coordination group	RISE	Once	Decision document	

Strengthening Relevant Government Partner Institutions for Early Actions

USAID designed RISE to strengthen local institutions, particularly with respect to governance, which is key to resilience. Some communes are assisted to prepare multi-year plans and annual budgets with line items related to disaster risk management. Budget allocation to disaster risk management and alignment of resources and decision-making at the local level however remains inadequate in Niger and Burkina Faso, due in large part to incomplete decentralization including of financial resources by the central governments. Where appropriate RISE projects will help local governments, especially communes, allocate more human and financial resources to disaster risk management, including in early warning and response systems. However, as the SWOT analysis revealed there are weaknesses at both the national and local levels in EA/EA which are beyond the manageable interest of RISE to remedy.

Projects have also been helping put in place village early warning and early response groups, and in training them to carry out their roles. Resources have however not followed, which makes the SCAP/RU model in Niger unsustainable at the end of projects. Efforts should focus on building the capacity of village early warning and response groups, including by helping them put in place their own systems of self-help and early response.. A proper balance should be struck as excessive assistance would aggravate the existing dependence mentality in some communities, which would go against resilience strengthening.

PERFORMANCE EVALUATION OF THE SRRP OPERATIONAL STRATEGY

SRRP Monitoring System

The RISE implementing partners already monitor many performance indicators, and the SRRP operational strategy will not burden them with other performance indicators. Since all RISE projects would nearly all monitor the same rainfall and food price indicators, it is more cost-effective to entrust that function to SAREL, a project that was designed to collect and analyze information pertaining to all other projects for various reasons, the main one being collective learning.

Twelve indicators were selected for monitoring the main climate and market prices shocks most affecting the Sahel. For national and international data and information there are enough systems in place that collect those indicators, RISE will not put in place additional systems; rather, through SAREL, it will establish relations with the best providers of the data or information needed. Examples of such providers are FEWS NET and CILSS/AGRHYMET for climate related information and national crops and/or livestock Market Information Systems. For local information RISE partners will use existing staff for data collection and may need to dedicate resources for analysis and coordination.

SAREL will not only monitor the selected indicators, it will also compare their values to the thresholds predefined to indicate the severity of the impact and trigger a set of anticipated responses. It will communicate both the collated indicators and their percentage gap or surplus to the normal (e.g. decadal rainfall estimated at 100 mm in Dori, i.e. 20% above normal for the period). When maps are available, they will be shared with the partners.

Local information on perceptions of threats and adaptive strategies will be collected by each partner during regular field work relating to other matters. Simple forms will be submitted to SAREL on a weekly basis and analyzed on a simple percentage basis using very basic software.

The operational strategy itself needs to be monitored and assessed. The table below contains the indicators, the measures as well as target, and frequency.

TABLE 10 : OPERATIONAL STRATEGY PERFORMANCE MONITORING: INDICATORS, MEASURES, TARGETS AND FREQUENCY

Indicator	Measure	Target	Frequency
Time between an indicator threshold is exceeded or a demand is received and a decision from RISE on how to proceed	Days	7 days	As needed
Time between a decision to intervene is made and concrete actions are undertaken	Days	7 days	As needed
Existence of "contingency processes" in all RISE projects	Count	100%	Once
The existence in each RISE partner agreement or contract of an administrative mechanism to respond to shock	Count	100%	Once
Measure of effective use of resources - if no crisis – avoid underutilized funds	Budget analysis	Zero contingency resources at project end	Once
Measure of effective use of resources - if crisis – resources saved by acting early	Special study	Ratio of 7 to 1 (costs avoided to investment)	As needed

Support for the Operational Strategy

In order to complete the process of design of the strategy and partner contingency processes resources are needed to work with each partner to facilitate the process of development of simple contingency process for each partner. The content and form of these processes is described above in Table 10. Given the pressure already put on partners, the need to get these in place before the rainy season and the need for some complementarity between processes it would be useful to have a resilience facilitator work with each of the partners over two days in order to assist in the definition and design of processes. In total this is about 16 days of work. While the partners have the knowledge already to work with a facilitator to define most elements of a process there is a need for support from OAA and a contracting/agreement specialist to assist in the definition of administrative tools.

Once the operational strategy is adopted and the partners have their individual processes designed there will be a need for limited additional resources to render the strategy functional for the next year. While the strategy is designed to be as low cost and as cost efficient as possible, maximizing the use of existing resources and systems, it requires some level of dedicated resources (including staff) to be effective. At a minimum SAREL needs to have one person who is dedicated 50% of their time to the tracking, monitoring, coordination and documentation of the strategy. Once partner level contingency processes are designed, partners will also have to allocate staff time to the process. Shock focal points should be identified and named at headquarters' level and will have to dedicate 10% of their time to this activity. Since some projects have disaster reduction strategies those in charge of these components are natural choices. In addition field staff, probably without exception, needs to spend 5% of their time in the field monitoring community perception of risk/shock and reporting on these issues.

TABLE 11 : INDICATIVE RESOURCES NEEDED FOR THE STRATEGY

Stage	Resource needed	Level	Observation
Finalize the integrated shock response strategy Partner processes	Facilitator/Consultant	16 days	Help partners develop partner level contingency processes
	Procurement specialist	8 days	Advise partners on administrative tools
Customization of data on indicators	i.e. request to FEWS	4 day	Request USGS/FEWSNET to provide customized information
Implementation of the strategy	Coordinator SAREL	1@100% (Niamey) 1@50% (Ouaga)	Ensure coordination and consultation as needed
	Focal points	7 @10%	Partner level accountability
	Field agents	all@10%	Participatory data collection and reporting
	Training[4]	7 @ 3 days	Socialize within each partner
	Additional OE	tbd	Support
	Additional equipment/material	tbd	Support
	Other	tbd	Support

Timeline for Operational Strategy Implementation

The table below lays out a general timeline for the development and implementation of the strategy. Most of the activity needs to get done before the rainy season of 2017 since the rainy season determines the possibility of droughts or floods (and relative prices of local foodstuffs). The intensity of the implementation of the strategy depends on whether thresholds are exceeded either at a national or a local level. It is possible that thresholds are not exceeded and the RISE partners have no need to meet and/or adapt their programs. This would be good news but would shed little light on whether the strategy is useful or not.

This strategy is a new attempt for a portfolio of projects to be prepared to respond to shocks particularly drought and flooding. Therefore it is crucial that the strategy be closely monitored and assessed in order to improve it in subsequent iterations. The strategy suggested that, because of the pilot nature of the activity, semester reviews are undertaken with all stakeholders including USAID. If there has been no need to adjust programs these can be very light and might be accomplished remotely. However these could be very valuable if project and program modifications have been needed.

4 A simulation exercise which might be useful for training is found in Annex 6.

TABLE 12 : INDICATIVE TIMELINE FOR THE STRATEGY

Activity	Start date	End date	Responsible
Finalize strategy	January 2017	March 2017	SRO and MSI
Develop partner processes	April 2017	May 2017	Consultant and each partner
Allocate resources	April 2017	May 2017	SRO
Implement strategy	June 2017	March 2018	RISE
Semester reviews*	August 2017 November 2017 Jan 2018		SRO and RISE
Assess strategy	February 2017	March 2018	Consultant
Modify strategy as needed	March 2018	March 2018	RISE and SRO
Implement revised strategy	May 2018	May 2019	RISE II

* This is unique to this year and reflects the fact that this is a pilot activity.

LONG-TERM CONSIDERATIONS

This strategy is, in essence, a pilot activity to contribute to the readiness of a portfolio to address potential shocks in a fairly unstable environment. As such it requires careful monitoring and adjusting over the short term. A review should be undertaken in January of 2018, at least. However, to the extent possible, it has been conceived to contribute to long-term goals of shock response at national, regional, communal and village levels.

In terms of strengthening relevant Government and regional partner institutions, the first priority is to avoid compromising these organizations by setting up parallel structures and systems. The strategy integrates and uses existing processes to the extent possible. In addition, the strategy aims at stressing the need to support the local level and decentralization and promote better alignment of information, resources and decision-making. In addition it hopes to contribute to a dialogue about the relative emphasis on finding the "perfect indicator", the importance of social and political processes and on improving decision-making at all levels.

Strengthening communities requires resources at the local level for real decision-making and monitoring (do not request communities to monitor and report on indicators unless they have a clear role in decision-making and have some control over resources and response); participatory data collection which is owned at the local level; and better understanding of local adaptive strategies especially in order to avoid compromising these strategies and creating dependence. Surprisingly not enough is known about these strategies and some strategies, such as migration, are often viewed negatively at a national and international level. Since these strategies only become visible during actual shocks close attention and learning from mini-crises may be valuable. To the extent possible, the strategy should support and enhance local adaptive strategies and avoid the dependency mentality therefore thresholds should not be set so low as to rob local communities of agency.

There are additional and perhaps emerging shock responsive program areas, such as insurance, that should be explored in order to put risk management on a more sustainable footing. It is recommended that RISE (SAREL) do a study of sovereign, project, crop and index insurance experience and products in the Sahel.

In future iterations of the SRRP additional shocks should be considered since shock identification often sparked intense debate and partners often listed other shocks (migration, refugees, conflicts, currency devaluation, pests, epidemics, etc.).

It is also useful to follow up on the SAREL report and explore markets and State role in creating vulnerability and the political economy of risk management and shock response.

Finally several of the RISE portfolio partners have collected vast quantities of good data which is vastly underexploited. This data should be mined for the contributions it can make to a better understanding of shock and shock response.

CONCLUDING REMARKS

The RISE portfolio consists of large and productive investments in resiliency and development. However, they operate in an area prone to physical, economical, and political shocks, perhaps more so than other areas of the world. While these programs work towards longer term resiliency and sustainable development it is in their interest to be prepared for shocks that might arise in order that the investments and progress are not compromised. This operational strategy, using an adaptive management approach, lays out a system whereby the portfolio can be better prepared and address certain kinds and intensities of shocks. The process identifies certain indicators, suggests approaches for monitoring and adjusting programs and takes into consideration each program's strengths. The strategy aims at being as cost effective as possible and integrating existing systems and processes.

Ideally, the strategy will never have to move beyond the phase of tracking indicators and process planning. But in the event of an emerging shock the strategy should help the partners and the portfolio react quickly and avert future losses and costs. This will depend to a large degree on the partners' readiness and a strong coordination role within the portfolio.

ANNEX I: METHODOLOGY

A three-person team carried out different stages of development of this "Operational Strategy for Response to Shocks". Its team leader, a rural development specialist in charge of the political dimension of this strategy (actors' play, decision-making process, etc.), a resilience expert in charge of linking early warning and rapid response (indicators, trigger levels, etc.) and a MEP / Senegal monitoring and evaluation partner (logistical support and support to consultants in their tasks).

Specifically, the methodology consisted of:

A desk review: Several documents were handed to the team by the focal point of the Sahel Regional Office of this study. All these documents were reviewed and analyzed to not only have a better insight into the Sahelian context in terms of vulnerability and disaster risks but also to have a better knowledge of RISE projects (objectives, targets, Intervention, implementing partners, types of contracts, etc.) and of the institutional arrangements for early warning in Niger and Burkina Faso. Strategic reports and documents also enabled the team to identify existing models of early warning systems (DCM Model used for El Nino in the Horn of Africa, RISE Baseline Survey Report produced by SAREL, etc.). This allowed for more clarification on the level of decentralization of the alert and the mechanisms of responses already in place (actors involved in the process, data sources and methods of collection, feedback, answers Etc.). The relevance of this approach lies in the fact that USAID wished, in the terms of reference, that the operational strategy be built on the existing one. A bibliographical list is attached to this report for more details on the documents consulted.

Individual interviews, group interviews and informal discussions: In total, 32 meetings were held in Dakar (06), Niamey (13) and Ouagadougou (13) using one of these three approaches. The list of contacts of the persons met and their membership structure can be found. The team met with RISE implementing partners (COP, DCOP and other members of their technical staff), humanitarian NGOs working in the area such as WFP, State structures (I3N, SAP, CONASUR, SESECNA, CC/SAP/PC, etc.). All these meetings were conducted based on a semi-formal interview guide. Among other things, interviewees provided information on the types of priority shocks, sources of household vulnerability, existing mechanism within the projects for response to shocks (crisis modifiers, MoU, pre-positioning of stocks, lines or contingency funds, etc.), level of effectiveness of early warning systems, collection and retrieval of data, decision-making processes, etc.). This was a major step that led to reflection among the RISE partners as a prelude to the workshops they themselves had to feed.

Field visits. These were organized in Niger and in Burkina Faso. In Niger, a visit to the beneficiaries of the REGIS-ER project at SCAP-RU level in the villages of Mara and Djadja Kado, commune of Kourteye in Tillabéri Region made it possible to meet the support group Mother to Mother / MtM with the nursing mothers and leading mothers, the BDL and SECCA as well as the community relays. This was an opportunity to gather their perceptions of the shocks as well as their assessments (in terms of effectiveness) on the answers provided by the authorities.

In Burkina Faso, in the Center-North region, in Kaya, the village of Konean was visited to learn about the functioning of the "Listening post". It was an opportunity for the team to meet with the VIM field team, the Mayor of Kaya and the mothers of the children followed in the "Listening post". This enabled the team to gain a better understanding of the approach used with this indicator tracking tool on malnutrition (linkages with market prices, changes in mothers' behavior in terms of monitoring their children's health).

These field visits made it possible to better understand the challenges at the local level, at the community level, and to identify the major constraints linked to data uptake and the lack of feedback that nevertheless remain essential to the Success of a Shock Responsive Strategy.

Workshops. Whether in Niger or Burkina Faso, workshops were organized after a few days of gathering information from the resource persons identified for this Strategy. These were half-day workshops on "Institutionalization of response to shocks in the RISE portfolio". The objective was first to share experiences of responses to shocks and then to brainstorm for the development and implementation of the Strategy. They were structured around PowerPoint presentations on preliminary observations and analyzes in plenary and group work on four themes: (i) Planning and decision-making process, (ii) Coordination, communication, MEL, (iii) Staffing, budget, modalities (Iv) Types / examples of rapid response actions. The two attendance lists are attached.

All these different levels of information gathering and the many tools used made it possible to carry out a robust triangulation of the data to analyze the quintessence and to feed the Strategy.

ANNEX II: SWOT ANALYSIS

Strengths	Weaknesses
-At global and regional levels, availability of good quality information on rainfall and crop development, including as satellite imagery maps from NOAA/USGS/FEWS NET, CILSS, etc... - Projects can easily revive early warning/response committees in villages, in which unpaid committee members become able to map village risk profiles, prepare contingency plans, collect and send regular information from villages - Communities such as SCAP/RU in Niger able to collect relevant disaster risk information and to transmit it to concerned commune-level EW/EA structures - Systematic use of the Cadre Harmonise in the ECOWAS countries, using a rigorous, multi-sectoral methodology for analyzing food security and nutrition and assigning severity phase	-There is no early response culture or practice in RISE projects. Projects monitor dozens of indicators but those are mainly performance indicators to be reported for quarterly reporting. - Governments at various levels (central government for communes, communes for local communities) allocate no resources to allow entities closest to where the impacts of shocks have taken place to carry out early response. - The RISE implementing partners rarely use the rainfall and crop development data and information available - Commune-level structures do not provide feedback to reports or EW information coming from villages (e.g., CVD in Burkina Faso, SCAP/RU in Niger) or transmit information coming from national and regional early warning and response system - Decision concerning response to disasters, including at national level, are too often made outside the formal early warning system that collect and analyze the relevant information.
Opportunities	**Threats**
-USAID, Governments at all levels, other donors, as well as the senior RISE project management, strongly support a pro-active of disaster risk management - Some communes started creating budget lines for disaster risk management and funding response activities on their own or from resources mobilized from donor supported projects and the private sector. -CILSS has among other key players, is instilling a culture of evidence-based decision making and of triangulating information within the development and humanitarian community. -USAID's Office of Contracting and Acquisitions is receptive towards funding mechanisms such as crisis modifiers and MoUs that facilitate speedier responses to shocks.	-The projects' requirement to monitor a big number of performance indicators is likely to wane interest on the RSSP operational strategy when the current momentum is lost - The tendency to demand of village/local communities much effort to collect and send up disaster risk information, without providing them with minimum resources to deal with shocks' impacts, is likely to discourage village-level participation in EW/EA - Decisions to provide responses occasionally made without sufficiently involving the official EW/EA members and villagers makes the national EW/EA lose credibility

ANNEX III:VILLAGE RISK AND SHOCK QUESTIONNAIRE

Purpose: to get early warning on village perceptions of potential shocks

Frequency – every 2 weeks

Client – village groups such and Village Development Committees, SCAP-RU, MtM groups, producer organizations, etc. This is not a questionnaire for individuals.

This questionnaire should be used during regular meetings on other topics.

Village:

Group:

Interviewer:

Date:

1. At present what are the 3 major threats to your well-being?
    1)
    2)
    3)
2. Do you see any threats coming in the next 2 weeks?
3. How are you preparing for any upcoming threats?
4. How is the agricultural campaign going?
    a. Excellent?
    b. Good?
    c. Average?
    d. Below average?
    e. Poor?

ANNEX IV: LIST OF CERTIFIED EXPERTS IN LIVELIHOOD OUTCOME ANALYSIS (OA) IN THE SAHEL AS OF JANUARY 2017

Pays	Nom et Prénom	Organisation	Compétences en animation de formations				Email
			Ateliers OA	Outils de HEA (baseline)	Conduite d'étude Baseline	Classification	
Tchad	Abdourahamane Kadaf	Oxfam	4	4	4	14	kadaf.abdourahamane@gmail.com
Mali	Abdoulaye Diaw	Oxfam	4	4	4	14	diawlaye01@gmail.com
Mali	Nouhou Sidibé	SAP Mali	4	4	4	14	sapsidibe@gmail.com
SENEGAL	Demba Touré	Save the Children	4	4	4	14	Demba.Toure@savethechildren.org
SENEGAL	Abdou Malam Dodo	Save the Children	4	4	4	14	abdou.malam@savethechildren.org
SENEGAL	Amadou Demba Diop	FEWS NET	4	4	4	14	adiop@fews.net
SENEGAL	Ousmane Faye	Save the Children	4	4	4	14	Ousmane.Faye@savethechildren.org
Tchad	Mingueyambaye Naiban	SISAAP Tchad	4	4	4	14	naibanfils@yahoo.fr
Burkina	Sosthene Konate	Oxfam	4	4	4	14	ksosthene@OxfamIntermon.org

ANNEX V: ILLUSTRATIVE ADMINISTRATIVE OPTIONS TABLE[5]

Acquisition or assistance	Name of tool/method	Description of tool	Advantages	Disadvantages
Assistance	Phased Implementation	Because this is a phased approach to implementation, work plans are living documents that do not have to show plans for more than six months, for instance. When an emergency or non-emergency situation triggers the need to pivot, you can revise the work plan as needed. The AO can also used this phase strategy in the procurement using concepts, oral presentations and co-design to have a potentially quicker award time.	• There would be less administrative burden during implementation • Program description is written at a broader level to give flexibility in any situation • This could result in multiple awards and give more choices • Language can be incorporated to allow funding to move from one Contract Line Item Number (CLIN) to another without prior AO approval	• The Recipient may not have the ability to respond quickly in an emergency situation • Funding may not always be available to move quickly
Acquisition	Recurrent Response	When considering a fixed price approach for your activity, you should sit down with your A&A team and work through the different fixed price contract scenarios. For instance, one type of fixed price could be for professional services, which is differs from a level of effort labor hours contract.	• There would be less administrative burden during implementation • Program description is written at a broader level to give flexibility in any situation • This could result in multiple awards and give more choices • Language can be incorporated to allow funding to move from one Contract Line Item Number (CLIN) to another	• The Recipient may not have the ability to respond quickly in an emergency situation • Funding may not always be available to move quickly

5 This table was developed based on a draft document provided by the Center for Resilience

Acquisition or assistance	Name of tool/method	Description of tool	Advantages	Disadvantages
			without prior AO approval	
Acquisition	GSA TO: Time & Material (T&M)/Fixed Price (FP) Hybrid	Language used in this particular situation includes statements like "...to contribute to the knowledge base of what works and does not work…," which lends itself to the 3Ps (Pause, Pivot Proceed) approach. Individual tasking requests will be issued as needs arise. Do not confuse the term tasking with work order. In this context, the term "tasking" is referring to an assignment or particular task USAID will request the Contractor to do. Since the contract is, in actuality, a task order under a GSA Schedule, the terms needed to be distinguished from each other so there is no confusion.	• "Taskings" are not IDIQ task orders or GSA TOs so no additional administrative (GLAAS) actions needed; this helps speed up the process • The Contractor will have a limited number of days to respond with a brief proposal and budget. The tasking will provide specific instructions. This is not to be considered a competition and each implementer will not be *competing* for assignments. As this is clearly stated in the solicitation and in the post award kick off. • Use of a full-time COR who monitors contractor performance on a regular basis is expected to reduce cost and technical risks. • Flexibility in moving money between CLINS due to its need for T&M but fixed price nature (Fixed Ceiling)	• A single award may not be as helpful when "taskings" start coming out quickly and need quick turnaround time • There is a considerable risk of selecting a contractor without sufficient capability to perform all aspects of the performance work statement • One awardee can potentially get overused and not be able to keep up so from past experience (DRG/LER team) consider a multiple award with 3 to 4 implementers • Some aspects of price will be fixed since you will utilize labor rates set by GSA.
Acquisition	Agency-wide Blanket Purchase	Authority at lowest level possible may result in a more expedient	• Potential for multiple	• Call orders would have to be issued and executed in

Acquisition or assistance	Name of tool/method	Description of tool	Advantages	Disadvantages
	Agreement (BPA)	process (i.e., Mission Director, AOR, COR). Under FAR Part 8.405-3, a BPA can be established under any GSA schedule contract.	contractors to choose from ● Each BPA holder could have specific capabilities needed in any particular situation that one could call upon ● Could potentially sole source if one of the BPA holders is a small business or other economically disadvantaged small business category (review FAR 19 for specific details and your OSDBU representative) ● No funding required on the initial BPA ● GSA has already determined that prices under GSA Schedule contracts are fair and reasonable, so USAID does not need to make a separate determination except, in accordance with FAR 8.405-2(d), when considering the level of effort and the mix of labor in a task order	GLAAS, with funding ● Administratively, the procurement of call orders could slow up the need to respond as quickly as you like ● No funding on the initial BPA so would need to have funding ready for any specific situation where you would need one of the contractors
	Single or Multiple Award contracts ("taskings"; not task orders since this is already a TO) and 3P approach			

Acquisition or assistance	Name of tool/method	Description of tool	Advantages	Disadvantages
	(Pause, Pivot, Proceed)			
Either	Grants Under Contract	An Operating Unit could include a Grants Under Contract CLIN specifically for shock response and clearly explain under what circumstances the CLIN could be triggered. Once a shock happens, the implementer would follow pre-negotiated procedures to award the grants	• Useful to get money to NGOs quickly • Can be setup as part of existing awards to be triggered at USAID's direction	• Limit of $100,000 grants for US NGOs (no limit for non-US NGOs) • Need upfront planning and inclusion in awards, which might not be used if there is not an emergency
Acquisition	Verbal request for services needed	These contracts could lend themselves to a quick letter contract.	• Can be done quickly through a phone call or in-person • Oral RFPs can also be done and authorized when processing a written solicitation would cause detriment to the Government • Documentation is much less in a FAR 13 Oral RFP situation	• Funding would need to be available soon after the oral contract is made • Would still have to write up a contract after the fact so there are still typical administrative actions that need to be done
Assistance	Grant - Program Contribution Agreement Method**:** Funding a wide range of projects where USAID makes program contributions to a fund for use in a number of activities	Funding will typically go directly as a grant, not a cooperative agreement, as some other Purpose Accomplished Upon Disbursements (PAUD) actions have resulted in. General Counsel recommends that we seek PAUD authority for a grant like this. The funding not only demonstrates USAID continued commitment to the fund and your fellow funding partners so all involved would want to see this succeed. Ensure your	• Administration in procurement is low • Once the agreement is done the tasks completed and written into the agreement already have funding and just need to be triggered • Requires GC/RLO guidance throughout • Multiple donors/partners can be involved	• New to USAID and has not been used in an emergency situation as of yet • Can not be done without close guidance by your GC/RLO representative • Not recommended for new or inexperienced teams in the field or in Washington • Agreement should be fully funded for at least one year

Acquisition or assistance	Name of tool/method	Description of tool	Advantages	Disadvantages
		financial officer is integrated directly into the design if you are considering using this method.		of performance, but additional installments for each year are possible through an additional tranche of funding made through a second Program Contribution Agreement - would have to modify each year • Multiple donors/partners are expected to contribute monetarily as well
Either	Crisis Clause/Provision Include a Crisis Clause/Provision in all activities which provides authority to adapt and respond to a shock.	The clause/provision would need to be developed hand in hand with GC and OAA Policy. Sample language for the clause could be: Crisis Clause (a) Data indicates that there is a high probability of a crisis developing in the operating environment during the life of this activity. If a crisis develops, it is imperative to use adaptive management principles to respond immediately to the crisis as well as maintain development gains achieved through activity implementation up until the crisis. (b) When the Mission Director has formally declared a	• Could be written based on the changes clause so that all contractors and IPs at a Mission are on notice that if a crisis occurs, USAID will expect a proposal in a set period of time with a plan to respond to the crisis • Minimal administrative work if planned up front • Would be a way to engage all current implementing partners at a Mission	• Could be abused without clear standards and procedures • Would need to work with GC to go forward with this approach • Need clear plan on how this will work so that Mission does not allow other procedures to bleed into this procedure and it is used properly • Would limit any response to only the contractors/IPs currently working in the Mission

Acquisition or assistance	Name of tool/method	Description of tool	Advantages	Disadvantages
		crisis in writing, the Contracting Officer will, through oral or written communication, solicit a crisis response proposal for adjustment from the contractor to respond to the crisis and maintain gains. (c) The contractor will submit the crisis response proposal for adjustment to the contracting officer in the time period indicated by the contracting officer. (d) If through negotiation the parties agree on a crisis response which increases or decreases the cost of, or time required for performing the work, the contracting officer shall make an equitable adjustment upon submittal of a final crisis response proposal for adjustment before final payment under the contract. (e) Failure to agree to any adjustment shall be a dispute under the Disputes clause.		
Acquisition	**Class J&A/JRE** **Method:** Obtain a class J&A/JRE from	**Class J&A/JRE** **Method:** Obtain a class J&A/JRE from the administrator to use	• As long as conditions in the class waiver are met, operating	• Large up front administrative burden

Acquisition or assistance	Name of tool/method	Description of tool	Advantages	Disadvantages
	the administrator to use other than full and open competition to respond to a shock.	other than full and open competition to respond to a shock. **Response Time:** Can be triggered in the moment **When is this approach appropriate:** For any quick response situation AIDAR 706.3, Other Than Full and Open Competition, ADS 302.3.4.5, Limiting Competition, and ADS 303.3.6.5, Restrictions to Eligibility, provide procedures to use other than full and open competition. For a region or country where a shock is probable to occur, USAID could put in place a Class J&A/JRE to set forth triggers and streamlined actions to respond to the shock.	unit can amend existing awards or issue new awards without worrying about competition. This can be a useful way to obligate and spend funds quickly. • Operating units could use a class waiver to pilot multiple small interventions and then scale successful interventions seamlessly	• Would most likely need to get the Administrator's approval which is estimated as a 6 month process • Without proper management, costs have limited checks • Could be abused without clear standards and procedures
Assistance	**APS**	**Method:** Single Announcement **Response Time:** Can be triggered in the moment and/or incorporated into your design **When is this approach appropriate:** For any quick response situation ADS 303.3.5.2(b): An APS is used when USAID intends to support a variety of creative approaches towards developing	• When only using NGOs, there are multiple ways to tailor an APS, such as prescreening applicants then getting emergency specific proposals when needed • Could be a way to engage creative NGOs and solicit new approaches	• Would require upfront planning and administrative support • Would not include contractors • Would require additional administrative steps at time of emergency

Acquisition or assistance	Name of tool/method	Description of tool	Advantages	Disadvantages
		methodologies to assess and implement development objective activites. When used, USAID will publish an APS at least once a year, either with an open-ended response time or a closing date of at least six months after issuance.		
Acquisition	**IDIQ** Single Award	Response Time: Can prepare and incorporate at design phase When is this approach appropriate: For any quick response situation, once the IDIQ itself has been awarded. PEB 2014-01 provides detail on using a single award IDIQ as a method in Shock Response Programming. A single-award, project-based IDIQ contract to enable shorter, more iterative planning cycles in support of project objectives.	• Useful where fewer than 80% of the interventions are known or where the operating environment is anticipated to shift in uncertain but significant ways; proposals would not have to be extensive	• Task orders would still have to be executed and may be a hold up to implementation if not done quickly • Once the IDIQ is awarded, it is sometimes more difficult to secure the price reductions and contractor performance improvements at the task order level that could occur if the contractor were in a competitive environment
Acquisition	**IDIQ** Multiple Award	**Response Time:** Can prepare and incorporate at the design phase **When is this approach appropriate:** For any quick response situation...once the IDIQ itself has been awarded, and the task	• Allows USAID to take advantage of the competitive forces of the commercial marketplace, which will result in lower prices, better quality, reduced time from requirements identification to award, and improved	• The contract must require the Government to order and the contractor to furnish at least a stated minimum quantity of supplies or services, in accordance with FAR 16.504 • Potential delays in evaluating multiple

Acquisition or assistance	Name of tool/method	Description of tool	Advantages	Disadvantages
		order has been competed and awarded IDIQs are competed for same or similar supplies or services (from the same solicitation) to two or more sources. This process entails: RFP, GLAAS, and Req.	contractor performance in satisfying customer requirements ● Federal Acquisition Streamlining Act (FASA) authorizes use of broad statements of work (at the IDIQ level) that generally describe the government's requirement for supplies or services ● FASA authorizes deletion of the public notice requirement when placing orders ● FASA limits protests in connection with issuance of orders except on the groups that the order increases the scope, period, or maximum value of the contract.	proposals during the solicitation process.

ANNEX VI: SIMULATION EXERCISE

The following simulation was developed in order to test the strategy and in the longer term provide an element for training. It was productively in a workshop in Niger and could be used in future training with some modifications.

1. It's May 2017. The CILSS PRESAO report has just come out today. It predicts that rains will be below or significantly below normal for large areas of Burkina and Niger. It also predicts that the season's start will be normal to slightly late. It recommends:

> *Utiliser des calendriers prévisionnels des dates de semis pour identifier et respecter les périodes optimales de semis selon les zones.*
> *· Sélectionner les variétés de cultures résistantes à la sécheresse,*
> *· Eviter les apports supplémentaires d'engrais pendant la période végétative.*
> *· Privilégier les techniques culturales favorisant l'économie de l'eau du sol,*
> *· Augmenter la vigilance contre les adventices et les ravageurs des cultures (criquets et autres insectes).*

As the shock response focal point for RISE what do you do?

As a RISE partner what do you do?

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2. It's June 30, 2017. FEWS NET indicates to RISE focal point that there will be a gap in rains of about 11 days in Burkina and Niger. Reporting from the field reveals that 5% of local people are concerned about a drought threat in the next 2 weeks, but 15% are worried about price rises for millet.

As the shock response focal point for RISE what do you do?

As a RISE partner what do you do?

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3. It's now July 15. FEWS NET reports that the rains have recovered and have been close to normal with no large gaps. FEWS NET also indicates that millet prices that are normally around 800 CFA per kilo are now at 1050 CFA in markets in Eastern Burkina and Western Niger. Local reporting reveals that 25% of local people are concerned about the possibility of a locust attack in the coming weeks.

As the shock response focal point for RISE what do you do?

As a RISE partner what do you do?

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4. It's now the end of August. The rains continue to be normal to above normal. FEWS NET reports that Niger River water levels in Gao are 23 meters. Normal water levels are 17 meters. Local reporting

reports that 35% of the local people are concerned about a disease that seems to be killing livestock perhaps Rift Valley fever.

As the shock response focal point for RISE what do you do?

As a RISE partner what do you do?

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5. It's now the end of December. RISE partners have prepositioned 18 tons of millet in Kaya and Tillaberi, along with 20,000 does of water purification tablets, and 1000 does of rift valley fever vaccine. They also have $100,000 of a contingency in Burkina and $150,000 in Niger. However as luck would have it there have been no major shocks in the RISE area and these resources have not been tapped.

As the shock response focal point for RISE what do you do?

As a RISE partner, what do you do?

ANNEX VII: SRRP / BACKGROUND ON THE RISE PORTFOLIO

Project/activity	Goal/Objective	Implementing organization	Start date	Finish date	Budget	Geographic coverage	Illustrative activities
REGIS-ER	Augmenter la résilience des populations chroniquement vulnérables dans des zones agro-pastorales et des zones agricoles marginales en termes de moyens de subsistance	NCBA-CLUSA	01/11/2013	31/10/2018	$ 70.039.011 USD	**Burkina Faso :** Sahel/Dori, Centre Nord/Kaya, Est/Fada **Niger** : Maradi, Zinder, Tillabéry	Production agricole et pastorale Pratiques optimales de nutrition et de santé Gouvernance
REGIS-AG	Accroître les revenus des ménages vulnérables, y compris les hommes et les femmes, grâce à la transformation de certains, les chaînes de valeur à fort potentiel : niébé, petits ruminants et volaille.	CNFA	28/01/2015	27/01/2020	34 390 909 $ USD	**Niger :** Maradi, Tillabéri et Zinder **Burkina Faso :** Centre Nord, EST et Sahel	Développement des chaines de valeurs Mise en relation entre producteurs et marchés
DFAP STC (Lahia)	Réduire l'insécurité alimentaire et la malnutrition dans les ménages ruraux pauvres	Save The Children International World Vision International (WVI)	Août 2012	Août 2017	N/A	**Niger** : Maradi	Santé Nutrition Agriculture et Moyens d'existence La résilience
DFAP MC & HKI (Sawki)	Réduire l'insécurité alimentaire et nutritionnelle des populations vulnérables	Mercy Corp & HKI	2012	2017	N/A	**Niger** : Maradi et Zinder	Agriculture Elevage Chaines de valeurs Hygiène assainissement, santé nutrition
DFAP CRS (PASAM-TAI)	Réduire l'insécurité alimentaire et la malnutrition dans les ménages ruraux	CRS	Juillet 2012	Juin 2017	N/A	**Niger** : Maradi et Zinder	Agriculture Nutrition WASH Urgence

FASO	Contribuer a la reduction durable de la vulnerabilite a l'insecurite alimentaire des menages	CRS	Juin 2010	Septembre 2017	$55 millions	**Burkina Faso : Centre Nord et Est**	Agriculture Moyens d'existence Sante Nutrition &WASH Gouvernance Locale
VIM	Réduire l'insécurité alimentaire parmi les populations rurales vulnérables	ACDI/VOCA					

ANNEX VIII: INTERVIEW GUIDE / OPERATIONAL STRATEGY FOR SHOCK RESPONSE FOR THE RISE PORTFOLIO – OSSRRP

Link for meeting notes

Interviews notes Dakar: https://drive.google.com/drive/folders/0B0nM6T-r8hKhQ0k2SGZ6LUtxVGc

Interviews notes Niger: https://drive.google.com/drive/folders/0B0nM6Tr8hKhaHRzVThoSkZzQjQ

Interviews notes Burkina: https://drive.google.com/drive/folders/0B0nM6T-r8hKhMkh2NllaaXJSYjQ

Key questions - *guidelines* for interviews - Focus groups and individuals

These are guidelines **only** – they are meant to assure consistency and comprehensiveness in interviews. They can also provide a record of conversations.

Name of individual/group: _____

Type of interviewee (donor, government, NGO, private sector, village group, university/research, international, etc.) _____

Name of interviewer: _____

Date: _____

Place: _____

Note to interviewer - Introduction of activity – so that discussants know a bit about the activity. We are not focusing on specific interventions or the "why" question. This is more about the "how".

1. Describe briefly the major shocks in the Sahel?
2. Briefly what are the major sources of vulnerability of households to these shocks?
3. How would these shocks affect your development gains?

Resilience programming and implementation are already underway in the Sahel. Implementation may allow you to carry out some shock response, which occur along a continuum from normal development programs to humanitarian assistance. These programs link early warning to early action in order to act quickly, decisively and at-scale in anticipation of a shock. Please describe your experiences and lessons learned with the following:

4. Early warning systems to inform programming or a response (e.g., trigger indicators, thresholds, source/frequency of collection, validation of data, determining the scale of intervention).
5. Linking early warning into early/proactive action (how do you ensure that triggers are followed by action)
6. Types of pre-planning and planning (e.g. scenario development, forecasting, etc.)
7. What are the decision-making processes along the continuum from data to action?
8. Resources (e.g.,) mobilization/allocation for these early actions (Financial, human or material)
9. Organizational set up/Coordination (e.g., host government, HA actors, ongoing development programs, other donors)
10. Describe the communication and coordination mechanisms for shock response.
11. Adaptive management in response to changing conditions (e.g., scaling-up, scaling-down, phasing out)
12. Closer collaboration and even integration between humanitarian and development assistance are often cited as fundamental. What are the incentives and frameworks to make this work in practice?

    How about collaboration between PTF and other actors? (as needed)
13. How do you feel development partners could strengthen their institutional capacity and that of partners to undertake shock response?
14. Do you have any other ideas and or recommendations?

ANNEX IX: SRRP LIST OF PEOPLE INTERVIEWED

N°	Prénom Nom	Structure	Poste	E-mails	Type d'entretien	Lieu/Pays	Date	N° E
1	Marie Th. Ndiaye	Food For Peace (FFP)	Food Security Specialist	mtndiaye@usaid.gov	Entretien de groupe	USAID/Senegal Mission	10/01/2017	1
2	Dramane Mariko	Food For Peace (FFP)	M&E Specialist	dmariko@usaid.gov	Entretien de groupe	USAID/Senegal Mission	10/01/2017	1
3	Dona…	Food For Peace (FFP)	Regional Director		Entretien de groupe	USAID/Senegal Mission	10/01/2017	1
4	Gray Tappan	United States Geological Survey (USGS)	Geographer, Land Cover Applications and Global Change	tappan@usgs.gov	Entretien individuel	Par téléphone (South Dakota/USA)	10/01/2017	2
5	Jenna Diallo	USAID/SRO	Field Investment Officer	jdiallo@usaid.gov	SRRP Methodological Debrief	USAID/Senegal Mission	11/01/2017	0
6	Sam Turano	USAID/SRO	Regional OH Officier	sturano@usaid.gov	SRRP Methodological Debrief	USAID/Senegal Mission	11/01/2017	0
7	Patrick Smith	USAID/SRO	Agriculture Officer	psmith@usaid.gov	SRRP Methodological Debrief	USAID/Senegal Mission	11/01/2017	0
8	Bescaye Diop	USAID/SRO	M&E	bdiop@usaid.gov	SRRP Methodological Debrief	USAID/Senegal Mission	11/01/2017	0
9	Abdourakhmane Ndiaye	USAID/SRO	Env Specialist	abndiaye@usaid.gov	SRRP Methodological Debrief	USAID/Senegal Mission	11/01/2017	0
10	Doudou Ndiaye	USAID/SRO	Agriculture Specialist	dndiaye@usaid.gov	SRRP Methodological Debrief	USAID/Senegal Mission	11/01/2017	0
11	Isabelle Mulin	USAID/SRO	Program Officer	imulin@usaid.gov	SRRP Methodological Debrief	USAID/Senegal Mission	11/01/2017	0
12	Cam Saint-Cyr	USAID/SRO	Director of SRTO	Csaint-cyr@usaid.gov	SRRP Methodological Debrief	USAID/Senegal Mission	11/01/2017	0
13	Tyre Shideler	USAID/SRO	Program Officer	tshideler@usaid.gov	SRRP Methodological Debrief	USAID/Senegal Mission	11/01/2017	0

14	Tony Wolak	USAID/SRO	Department Controler	awolak@usaid.gov	SRRP Methodological Debrief	USAID/Senegal Mission	11/01/2017	0
15	Scott Debriskin	USAID/SRO	Regional Director	cdebriskin@usaid.gov	SRRP Methodological Debrief	USAID/Senegal Mission	11/01/2017	0
16	Yves Kore	USAID/SRO	Regional Supervisory Officer/Senegal and Sahel	ykore@usaid.gov	Entretien individuel	USAID/Senegal Mission	11/01/2017	3
17	Amadou Demba Diop	FEWS NET Sahel and West Africa Regional Office	Regional Food Security Specialist Livelihoods	adiop@fews.net	Entretien individuel	FEWS NET Office (Senegal)	12/01/2017	4
18	Nicolas Govaert	ECHO	Sahel Coordinator	nicolas.govaert@echofield.eu	Entretien individuel	ECHO Office (Senegal)	12/01/2017	5
19	Patrick Vercammen	DFID	Sahel Humanitarian Advisor	p-vercammen@dfid.gov.uk	Entretien individuel	DFID Office, UK Embassy/Senegal	13/01/2017	6
20	Mody Diop	SESECNA	Assistant du secrétaire exécutif SESECNA	775594261	Entretien individuel	Bureau SESECNA/Sénégal	13/01/2017	7
21	Bill Stringfellow	REGIS-ER	COP	BStringfellow@ncba.coop	Entretien de groupe	REGIS-ER Office/Niger	16/01/2017	8
22	Amath Diop	REGIS-ER	DCOP	adiop@ncba.coop	Entretien de groupe	REGIS-ER Office/Niger	16/01/2017	8
23	Seydou Yayé	REGIS-ER	Gestion Risques et Catastrophes	yayesaidou@gmail.com	Entretien de groupe	REGIS-ER Office/Niger	16/01/2017	8
24	Halidou Idrissa	REGIS-ER	Monitoring and Evaluation Expert	ihalidou@ncba.coop	Entretien de groupe	REGIS-ER Office/Niger	16/01/2017	8
25	Ibrahim Combasse Zongo	REGIS-ER	Responsable gouvernance et développement	combasset@yahoo.fr	Entretien de groupe	REGIS-ER Office/Niger	16/01/2017	8
26	Stephen Reid	SAREL	SAREL Office/COP	sreid@sarelproject.com	Entretien de groupe	SAREL Office/Niger	16/01/2017	9
27	Amal Reidwan Mohammed	SAREL	SAREL Office/Coordinatrice de la gestion des connaissances au sein de RISE	aredwan@sarelproject.com	Entretien de groupe	SAREL Office/Niger	16/01/2017	9
28	Issa Souley	SAREL	SAREL Office/M&E Specialist	isouley@sarelproject.com	Entretien de groupe	SAREL Office/Niger	16/01/2017	9

29	Sidiki Traoré	WFP	Chargé de programmes transfert monétaire/développement rural/PAM	Sidiki.traoreboubacar@wfp.org	Entretien de groupe	WFP/Niger	17/01/2017	10
30	Tidiani Aliou Ibrahim	WFP	Chargé de programmes d'urgence/PAM	Ibrahim.tidjani@wfp.org	Entretien de groupe	WFP/Niger	17/01/2017	10
31	Nivo Ranaivoarivelo	Save The Children	Chief of Party DFAP	nranaivoarivelo@savechildren.org	Entretien de groupe	CRS/Niger	17/01/2017	11
32	Caroline Agalheir	CRS (Catholic Relief Services)	Chargée de programmes	caroline.agalheir@crs.org	Entretien de groupe	CRS/Niger	17/01/2017	11
33	Georgette Pokou	Mercy Corps	Acting Chief of Party Programme SAWKI	gpokou@mercycorps.org	Entretien de groupe	CRS/Niger	17/01/2017	11
34	Yacouba Hama Abdou	FEWS NET (Niamey)	Coordonnateur Technique National	HYacouba@fews.net	Entretien individuel	FEWS NET Office/Niger	18/01/2017	12
	Halidou Idrissa Issa Souley Ibrahim Combasset Zongo	REGIS-ER & SAREL	Technical staff	Voir au dessus	Entretien de groupe	REGIS-ER Office/Niger	18/01/2017	13
35	Oumar Amadou	CC/SAP/PC	Chef du département Alert pour le SAP/Niger	yarouh@gmail.com	Entretien de groupe	CC/SAP/PC/Niger	19/01/2017	14
36	Adamou Oumarou	CC/SAP/PC	Département Alert CC/SAP/PC	oumardou@yahoo.fr	Entretien de groupe	CC/SAP/PC/Niger	19/01/2017	14
37	Mme Foukori Fati	CC/SAP/PC	Département Alert CC/SAP/PC	fatifoukori@yahoo.fr	Entretien de groupe	CC/SAP/PC/Niger	19/01/2017	14
38	Moussa Abari	BRACED/SUR1M	Responsable Gouvernance/RRC	Moussa.abari@crs.org	Entretien de groupe	BRACED/Sur1M	19/01/2017	15
39	Zakari Saley Bana	BRACED/Sur1M	Chargé de programme de Réduction de Risques de Catastrophes	ZSBana@cafod.org.uk	Entretien de groupe	BRACED/Sur1M /Niger	19/01/2017	15
40	Maguette Kaïré	Centre Régional AGRYMET	Expert forestier/Projet GCCA/CILSS	maguettekaire@yahoo.fr	Entretien de groupe	AGRYMET/Niger	19/01/2017	16
41	Iro Mamane	I3N	Coordonateur régional de l'initiative I3N à Tillabéri	iromamoune@gmail.com	Entretien individuel	Hotel/Niger	22/01/2017	17
42	Abdoulaye Ndiaye	SERVIR	West Africa Coordinator	ANdiaye.SERVIR@gmail.com	Entretien informel	Hotel/Niger	22/01/2017	18

43	Pascal Payet	GIZ	Conseiller technique/Projet d'Appui au Dispositif National de Prévention et de Gestion des Catastrophes et des Crises Alimentaires au Niger-DN PGCCA	Pascal.payet@eco-consult.com	Entretien individuel	GIZ/Niger	23/01/2017	19
44	Bernardin Zoungrana T. G.	FEWS NET III Office/Burkina Faso	Coordonnateur Technique National	bzoungrana@fews.net	Entretien individuel	FEWS NET/Burkina Faso	25/01/2017	20
45	Patrice Beaujault	REGIS-ER	DCOP	pbeaujault@ncba.coop	Entretien individuel	REGIS-ER/Burkina Faso	26/01/2017	21
46	Vewonyi K. Adjavon	FASO/CRS	COP	vewonyi.adjavon@crs.org	Entretien individuel	CRS/ Burkina Faso	26/01/2017	22
47	Ouedraogo Oussimane	CONASUR	Chef du Département des Etudes et de la Planification	oussiman@yahoo.fr	Entretien de groupe	CONASUR/Burkina Faso	26/01/2017	23
48	Millogo Firmin	SAP	Gestionnaire des entreprises à économie sociale et solidaire	millogofirmin@yahoo.fr				
49	Gaoussou Nabaloum	SPRING	Coordinateur des activités SPRING au Burkina	gnabaloum@spring-nutrition.org	Entretien individuel	Burkina Faso	27/01/2017	24
50	Amidou Kabore	VIM	Chief of Party	akabore@acdivoca-vim.org	Entretien individuel	Burkina Faso	27/01/2017	25
51	Georges Dimithe	REGIS-AG	Chief of Party	gdimithe@cnfa.org	Entretien de groupe	Burkina Faso	27/01/2017	26
52	Bruno Ouedraogo		Deputy Chief of Party	bouedraogo@regisag.net				
53	Charles Stathacos		Responsable Composante Chaines de valeurs	cstathacos@regisag.net				
54	Konate Issiaka & Technical Saff (M&E agent & Responsable volet changement de comportements)	Save the Children/VIM CILSS/ Programme Régional d'Appui Sécurité alimentaire, lutte contre désertification et population et développement	Coordinateur Santé Nutrition	Issiaka.konate@savethechildren.org	Entretien de groupe	Burkina Faso	29/01/2017	27
55	M. Keïta Abdou Karim		Chargé des interventions		Entretien de groupe	CILSS/ Burkina Faso	30/01/2017	28
56	M. Hector		Chargé de l'animation					
57	Dr Hamadoun		Coordinateur	Mahalmoudou.hamadoun@cliss.bf		USAID/Burkina Faso		

58	Jim Parys	USAID/Burkina Faso USAID/Burkina Faso	Représentant	jparys@usaid.gov	Entretien de groupe Entretien de groupe	USAID/Burkina Faso	30/01/2017	28
59	Siaka Millogo	PAM	Senior Food Security Specialist	smillogo@usaid.gov	Entretien de groupe	PAM/Burkina Faso	30/01/2017	29
60	Jonas Soubeïga		Program Assitant	Jonas.soubeiga@wfp.org			1/02/2017	30
61	Pie. Ouatara		M&E coordinator	pie.ouattara@wfp.org				
62	Jonh A Grayzel	Independant	International Develpment Consultant for RISE	jagrayzel@gmail.com	Entretien individuel	Burkina Faso	1/02/2017	31

ANNEX X: SRRP QUESTIONNAIRE ON READINESS SENT TO PARTNERS

SHOCK RESPONSE RISE PORTFOLIO (SRRP) ------ OPERATIONAL STRATEGY

REQUEST FOR COMPLEMENTARY INFORMATION

Please answer the following questions as completely as possible. We would appreciate responses by Feb 1.

Please send responses to Aïssatou Mbaye at ambaye@msi-senegal.com

Thanks for your assistance.

The Operation Strategy SRRP Team

QUESTIONS	INPUTS
1) **Does your project track indicators of the national early warning system(s)? If so what indicators do you track?**	
2) **Does your project have additional indicators of potential shocks and does your project have specifics threshold for these? If so, what are they?**	
3) **Does your agreement/contract have a Crisis Modifier? If so what has been the experience with its use?**	
4) **Does your project have MOUs in place to allow quick collaboration with other partners especially humanitarian? (**For example with local NGOs for extending reach of food relief)**. If so, what has been the experience?**	
5) **What has been your experience with any other modality, other than a MOU or Crisis Modifier, that would facilitate arrangements and early action in case of a shock warning?**	
6) **Does your project have a reserve of food, funds or other resources that can be used at the projects' discretion to address shocks? If not, do you feel such a reserve would be useful?**	
7) **What is the fungibility between budget lines in the project budget (e.g., % variance) ? Is it sufficient to deal with small shocks and to prepare for potential shocks?**	

8) What is the overall total budget flexibility in your project /activity? Is it sufficient?	
9) Does the project budget have a contingency line? If so, what percent of the total budget is it? How is it managed?	
10) Does you project have a Disaster Risk Reduction strategy? If so, can you please share it?	
11) Does your project have or participate in a coordination mechanism that discusses threats and shocks (among perhaps other things)? If so, could you briefly describe how it works?	
12) How does your project deal with requests for disaster assistance especially from local communities? (For example if a community requests help for a fire or limited flood?)	
13) In your opinion what should be triggered by an indicator passing a threshold?	
14) Please describe your experience with other innovative mechanisms to prepare for or respond to shocks (i.e. crop insurance, sovereign insurance, etc.)	
15) Any other suggestions or observations?	

ANNEX XI: NIAMEY SRRP WORKSHOP / AGENDA

Link to Niamey workshop notes: https://drive.google.com/drive/folders/0B0nM6T-r8hKhLVVSa0FDVWIzMEk

Objet	**Stratégie opérationnelle de réponse au choc pour le portefeuille RISE – OSSRRP**
Ordre du jour de l'atelier des partenaires	
Objectif	Partager les expériences de réponses aux chocs et faire un brainstorming pour le développement et la mise en œuvre d'une stratégie de réponse aux chocs dans le portefeuille RISE.
Approche générale	L'équipe de consultants aidera à faciliter et à organiser les discussions lors d'un atelier informel d'une demi-journée afin d'apprendre systématiquement auprès des partenaires RISE les meilleures façons de répondre aux chocs.
Lieu	Salle de conférence de CRS
Date	Le lundi 23 janvier 2017
Durée	De 8h30 à 13h00, suivi d'un déjeuner

Sujets clés de l'atelier

1. Systèmes d'alerte rapide - un certain nombre de systèmes d'alerte rapide ont été et sont en cours d'élaboration. Comment fonctionnent-ils ? Peuvent-ils être améliorés ? Sont-ils suivis les bonnes choses à la bonne fréquence ? Quelle est l'utilité des déclencheurs et des seuils ? Comment les résultats sont-ils triangulés ?

2. Premières mesures - En cas de chocs, les premières mesures visent à améliorer la qualité de vie, les moyens de subsistance et les gains de développement et sont plus rentables. Existe-t-il un menu et des conseils sur les premières mesures ? Les moyens de mettre en œuvre les premières mesures sont-ils disponibles ? Les premières actions tiennent-elles compte des conditions préalables et du plus long terme ?

3. Lier l'alerte précoce à une action précoce - L'alerte précoce est inutile sans une action rapide. Comment l'avertissement et l'action sont-ils liés ? Comment renforcer ces liens ? Quels types de planification sont à la fois efficaces et efficaces ? Quel est le compromis entre planification préalable et gestion adaptative et responsabilisation ? Comment améliorer les processus décisionnels ?

4. Coordination et communication - Comment mieux coordonner les institutions et les approches ? Quels types de communication sont nécessaires avant, pendant et après les chocs ?

5. Ressources et modalités de l'accord - Quelle est l'expérience de la mobilisation des ressources humaines, financières et matérielles ? Quelle est l'expérience des modalités telles que les protocoles d'entente, les modificateurs de crise, les modifications des contrats et des accords ? Quelle est l'expérience des fonds de prévoyance, des assurances et d'autres outils financiers ?

6. Suivi, évaluation et apprentissage - Comment la réponse aux chocs est-elle évaluée ? Comment les leçons apprises et intégrées ? Quel ordre de grandeur des ressources sont nécessaires ? Qu'est-ce qui fonctionne le mieux ?

7. Problèmes à plus long terme, incluant le renforcement des capacités et le ressourcement à tous les niveaux - Peut-on construire la capacité des partenaires d'exécution en réponse aux chocs? Quelles sont les clés pour renforcer les capacités locales, régionales et nationales de renforcement de la résilience et de réaction aux chocs ?

Agenda :

Horaires	Thématiques	Approche
8:30 – 10:00	Introduction, auto-présentation, logistique, etc. Présentation de l'activité et de l'atelier, réponse aux chocs, aide humanitaire et intégration de l'aide au développement, bénéficie d'une réponse rapide aux chocs	Discussion plénière
10:00 – 10: 45	Liens entre l'alerte précoce et l'action précoce	Discussion en plénière
10:45 – 11:00	Pause-café	
11:00 – 11:45	Groupe de travail 1 : Processus de planification et de prise de décision	Groupes de travail parallèles
	Groupe de travail 2 : Coordination, communication et MEL	
	Groupe de travail 3 : dotation, budget, modalités de réponse aux chocs	
	Groupe de travail 4 : Types / exemples d'actions de réponse rapide	
	Rapports de groupes	
11:45– 12:30	Problèmes à plus long terme incluant le renforcement des capacités et les réponses innovantes (assurance) à tous les niveaux et avec tous les partenaires	Plénière
12:30 – 13:00	Résumé, recommandations et prochaines étapes	Plénière
A partir de 13H	LE DÉJEUNER	

ANNEX XII: NIAMEY SRRP WORKSHOP / ATTENDANCE SHEETS

ATELIER SUR L'INSTITUTIONNALISATION DES REPONSES AUX CHOCS DANS LE PORTEFEUILLE DE RISE

Niamey, lundi 23 Janvier 2017

Feuille de présence

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22	Mame Aïssatou Mbaye	USAID/MEP-Senegal	M&E Associate	ambaye@msi-senegal.com

ANNEX XIII: OUAGADOUGOU SRRP WORKSHOP / AGENDA

Link to Ouagadougou workshop notes: https://drive.google.com/drive/folders/0B0nM6T-r8hKhY0VPX2FjUUEwczA

Objet	**Stratégie opérationnelle de réponse au choc pour le portefeuille RISE – OSSRRP**
Ordre du jour provisoire de l'atelier des partenaires	
Objectif	Partager les expériences de réponses aux chocs et faire un brainstorming pour le développement et la mise en œuvre d'une stratégie de réponse aux chocs dans le portefeuille RISE (Resilience in the Sahel Enhanced).
Approche générale	L'équipe de consultants aidera à faciliter et à organiser les discussions lors d'un atelier informel d'une demi-journée afin d'apprendre systématiquement auprès des partenaires RISE les meilleures façons de répondre aux chocs.
Lieu	Salle de conférence de CRS
Date	Le jeudi 02 Février 2017
Durée	Une demi-journée (De 8H30 à 13H00)

Sujets clés de l'atelier

1. Systèmes d'alerte rapide - un certain nombre de systèmes d'alerte rapide ont été et sont en cours d'élaboration. Comment fonctionnent-ils ? Peuvent-ils être améliorés ? Sont-ils suivis les bonnes choses à la bonne fréquence ? Quelle est l'utilité des déclencheurs et des seuils ? Comment les résultats sont-ils triangulés ?

2. Premières mesures - En cas de chocs, les premières mesures visent à améliorer la qualité de vie, les moyens de subsistance et les gains de développement et sont plus rentables. Existe-t-il un menu et des conseils sur les premières mesures ? Les moyens de mettre en œuvre les premières mesures sont-ils disponibles ? Les premières actions tiennent-elles compte des conditions préalables et du plus long terme ?

3. Lier l'alerte précoce à une action précoce - L'alerte précoce est inutile sans une action rapide. Comment l'avertissement et l'action sont-ils liés ? Comment renforcer ces liens ? Quels types de planification sont à la fois efficaces et efficaces ? Quel est le compromis entre planification préalable et gestion adaptative et responsabilisation ? Comment améliorer les processus décisionnels ?

4. Coordination et communication - Comment mieux coordonner les institutions et les approches ? Quels types de communication sont nécessaires avant, pendant et après les chocs ?

5. Ressources et modalités de l'accord - Quelle est l'expérience de la mobilisation des ressources humaines, financières et matérielles ? Quelle est l'expérience des modalités telles que les protocoles d'entente, les modificateurs de crise, les modifications des contrats et des accords ? Quelle est l'expérience des fonds de prévoyance, des assurances et d'autres outils financiers ?

6. Suivi, évaluation et apprentissage - Comment la réponse aux chocs est-elle évaluée ? Comment les leçons apprises et intégrées ? Quel ordre de grandeur des ressources sont nécessaires ? Qu'est-ce qui fonctionne le mieux ?

7. Problèmes à plus long terme, incluant le renforcement des capacités et le ressourcement à tous les niveaux - Peut-on construire la capacité des partenaires d'exécution en réponse aux chocs? Quelles sont les clés pour renforcer les capacités locales, régionales et nationales de renforcement de la résilience et de réaction aux chocs ?

Agenda :

Horaires	Thématiques	Approche
8:30 – 9:30	Introduction, auto-présentation, logistique, etc. Présentation de l'activité et de l'atelier, réponse aux chocs, aide humanitaire et intégration de l'aide au développement, bénéfices d'une réponse rapide aux chocs	Discussion plénière
9:30 – 10:00	Liens entre l'alerte précoce et l'action précoce	Discussion en plénière
10:00 – 11:30	Groupe de travail 1: Processus de planification et de prise de décision	Groupes de travail parallèles
	Groupe de travail 2: Coordination, communication et MEL	
	Groupe de travail 3: dotation, budget, modalités de réponse aux chocs	
	Groupe de travail 4 : Types / exemples d'actions de réponse rapide	
11:30 – 11:45	Rapports de groupes	
11:45 – 12:30	Problèmes à long terme incluant le renforcement des capacités et les réponses innovantes (exemple : assurance) à tous les niveaux et avec tous les partenaires	Plénière
12:30 – 13:00	Résumé, recommandations et prochaines étapes	Plénière
13H00	Clôture de l'atelier suivi du déjeuner (Café et petits fours disponibles durant tout l'atelier)	

ANNEX XIII: OUAGADOUGOU SRRP WORKSHOP / ATTENDANCE SHEETS

ATELIER SUR L'INSTITUTIONNALISATION DES REPONSES AUX CHOCS DANS LE PORTEFEUILLE DE RISE

Ouagadougou, jeudi 2 février 2017

Feuille de présence

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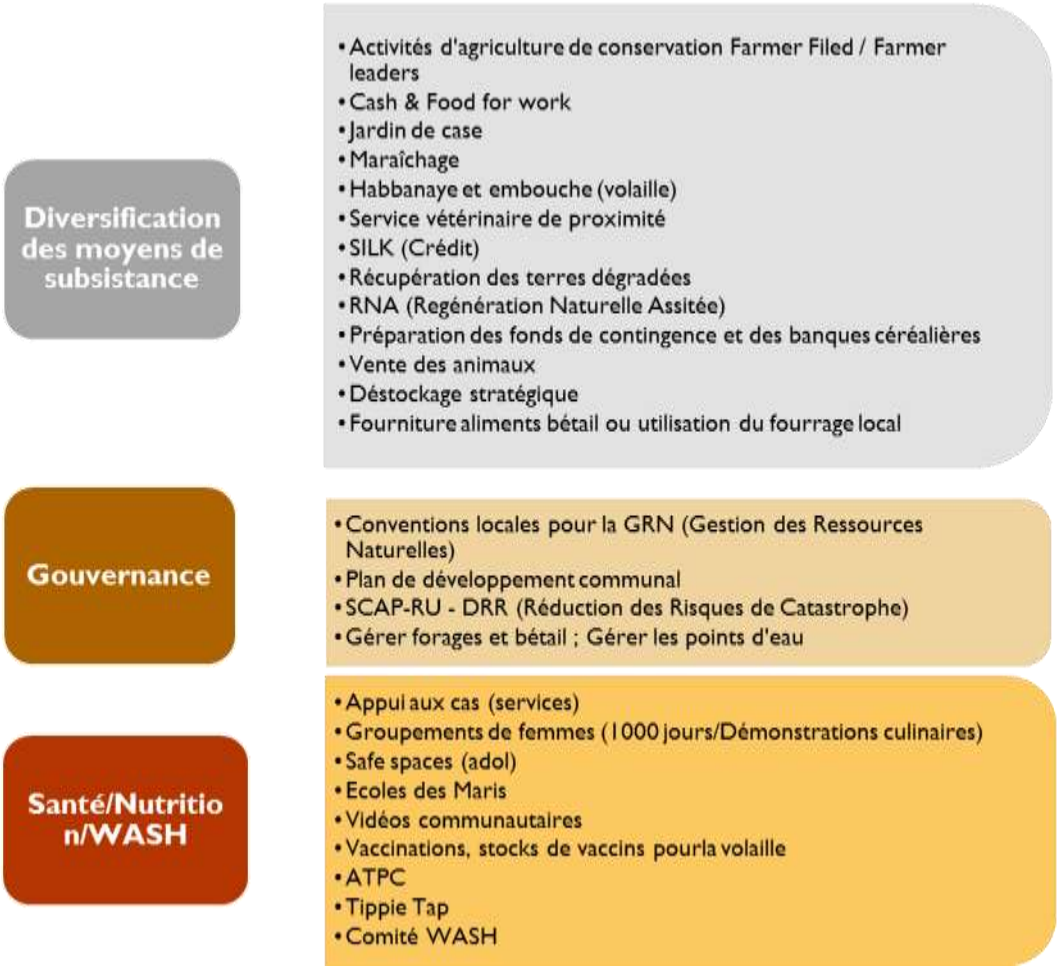
20	Epitace Nobera	Consultant	Resilient expert	enobera@gmail.com
21	Jon Anderson	Consultant	Team Leader	andersonjc1591@gmail.com
22	Mame Aïssatou Mbaye	USAID/MEP-Senegal	M&E Associate	ambaye@msi-senegal.com

ANNEX XIV: ILLUSTRATIVE LIST OF EARLY ACTIONS, AS SUGGESTED BY PARTNERS / NIGER



ANNEX XV: ILLUSTRATIVE LIST OF EARLY ACTIONS, AS SUGGESTED BY PARTNERS / BURKINA FASO

Types/exemples d'actions de réponses rapides	**Actions à mener en matière de santé en cas d'inondations (phase de stress)** • Suivi des informations sur la qualité de l'eau de boisson et des sanitaires • Eau potable disponible • Rendre disponible les produits de traitement de l'eau • Suivi de la qualité des ouvrages d'assainissement • Sensibilisation, informations des communautés sur les bons comportements (pour éviter les maladies et les contaminations) **Actions à mener en matière de santé en cas d'inondations (phase de crise)** • Traitement des maladies diarrhéiques • Mise en place de dispositif d'assainissement dans les zones d'acceuil • Distribution d'eau potable • Réalisation d'infrastructures **Actions à mener en matière de santé en cas de sécheresse (phase de crise)** • Mettre en place un dispositif de dépistage et de prise en charge des enfants malnutris • Réalisation d'ouvrages d'eau potable et pastoraux **Actions à mener en matière de gouvernance en cas d'inondations (phase de stress)** • Informations/sensibilisation des collectivités locales et administrations, conseiller villageois • Information/sensibilisation, organisation des structures phares : CVD, CODESUR • Activer les structures d'alerte précoce : CVD, CODESUR, CORESUR, COPROSNR • Cartographie des zones sensibles, baliser, délimiter les zones à risques • Formation/actualisation des outils de collecte d'informations **Actions à mener en matière de gouvernance en cas d'inondations (phase de crise)** • Appui à la création et au renforcement des capacités d'une cellule de crise représentative des différentes sensibilités **Actions à mener en matière de gouvernance en cas de sécheresse (phase de crise)** • Appui à la collectivité pour la gestion des stocks de sécurité (redevabilité, transparence, participation…) **Actions à mener en matière de bien-être économique des ménages en cas d'inondations (phase de stress)** • Information, sensibilisation des ménages sur la protection des biens matériels et financiers, les comportements à adopter • Conseiller les ménages de constituer des stocks de… **Actions à mener en matière de bien-être économique des ménages en cas d'inondations (phase de crise)** • Mise en place d'AGR • Réhabilitation des habitats et des actifs **Actions à mener en matière de bien-être économique des ménages en cas de sécheresse (phase de stress)**

Types/exemples d'actions de réponses rapides	• Déstockage des animaux • Sensibilisation des ménages sur la gestion des stocks de vivres • Constitution de besoin de stockage d'eau pour l'irrigation de certaines cultures • Réapprovisionner en semences, en engrais • Suivi des marchés pour les semences, intrants et produits de consommation **Actions à mener en matière de bien-être économique des ménages en cas d'inondations (phase de crise)** • Approvisionnement des populations en vivres et eau potable, aliments bétail à prix social • Appui à la recherche de marché et d'écoulement des animaux **Actions à mener en matière de protection sociale et aspects sécuritaires en cas d'inondations (phase de stress)** • Baliser les zones à risques • Identifier des potentiels sites d'accueil (Ecoles, églises, mosquées…) **Actions à mener en matière de protection sociale et aspects sécuritaires en cas d'inondations (phase de crise)** • Créer des sites d'accueil • Mise en place de filets sociaux • Assistance et prise en charge psychosocial **Actions à mener en matière de protection sociale et aspects sécuritaires en cas de sécheresse (phase de crise)** • Mise en place de filets sociaux **Clarifications** • Déstockage des animaux : lorsqu'il y'a sécheresse d'habitude les éleveurs gardent leurs animaux ce qui n'est pas favorable à la santé animale. Alors qu'un accompagnement peut être mené pour mettre en relation les éleveurs avec les marchés nationaux, régionaux. • C'est le même constat qui est fait aussi pour les semences.

ANNEX XVI: LITERATURE REVIEWED

N°	Titles	Sources
1	Concept Note on the Integration of Humanitarian Assistance and Development Support, May 2016	SAREL
2	Shock-Responsive Social Protection Systems study	UK Aid/DFID
3	CRISIS MODIFIER OPERATIONAL PLAN 'Improved food security and resilience of communities in Lahj and Taiz, Yemen'	UK Aid/DFID/The Food Economic Group/StheC
4	Africa RiskView BULLETIN MENSUEL | OCTOBRE 2016	African Risk Capacity (ARC)
5	Early Warning as a Human Right Building resilience to climate-related hazards	UNEP/ Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety
6	USAID/Ethiopia Drought Response	USAID/Ethiopia
7	MOU from Economic Growth and Transformation Office (EG&T) to OFDA	USAID/Ethiopia
8	A dashboard linking Early Warning to Early Action in Somalia	Food Security and Nutrition Analysis Unit (FSNAU)/OCHA & DFID
9	Household Economy Analysis: Lessons from Practice	Save the Children
10	Poor Households' Productive Investments of Cash Transfers Quasi-Experimental Evidence from Niger	World Program/ Social Protection and Labor Global Practice Group
11	Pastoralist Livelihood Initiative/ Guidelines for livelihoods-based livestock/Relief interventions in Pastoralist Areas	PLI Technical Coordination Team/Feinstein International Famine Center/ Tufts University
12	Lessons for Effective Resilience Programs: a case study of the RAIN program in Ethiopia	Mercy Corps
13	Resilience in Africa's Drylands Revisiting the Drought Cycle Management Model	Agriculture Knowledge, Learning Documentation and Policy (AKLDP) Project, Ethiopia

N°	Titles	Sources
14	RISE General Indicators Table	USAID/SRO
15	RISE: Resilience Leadership Council Check-in	USAID/Feed The Future
16	Early Response to Drought In Pastoralist Areas: Lessons from the USAID Crisis Modifier in East Africa	USAID/Feed The Future
17	Building Resilience to Reduce Humanitarian Cost	Global Humanitarian Assistance
18	FoodSecure - Food Security Climate Resilience Facility Supporting community resilience-building before and after climatic shocks	World Food Program
19	Shock-Responsive Social Protection Systems Research/ Shock-Responsive Social Protection in the Sahel: Community Perspectives	Oxford Policy Management
20	Providing Humanitarian Assistance to Sahel Emergencies	ECHO/DFID/UKaid
21	Building Resilience and Adaptation to Climates Extremes and Disasters (BRACED) Project Summaries	UKaid
22	RISE – Resilience Project Sheets	SAREL
23	RISE – Knowledge Products	SAREL
24	RISE – Good Practices	SAREL
25	Cadre Stratégique de gestion des risques	REGIS-ER
26	Fiche Technique : Mise en place et opérationnalisation d'un système communautaire d'alerte précoce et de réponse aux urgences (SCAP/RU)	Oxfam/Niger
27	Proposition d'un Guide consensuel des outils et méthodologies des OSV et SCAP/RU au Niger	Oxfam/Niger
28	Fitzgibbon, C. (2013). *The economics of early response and disaster resilience: lessons from Kenya.* Retrieved from http://odihpn.org/magazine/the-economics-of-early-response-and-disaster-resilience-lessons-from-kenya/	Website
29	idumolu, J. E. (2014, April). The collaboratiion imperative. *Harvard Business Review*.	
30	ER. (2015). *Cadre stratégique Gestion Risques et Catastrophes-REGIS-ER.*	REGIS-ER
31	FEWS NET. (2012). *A Climate Trend Analysis of Niger.* Retrieved from https://pubs.usgs.gov/fs/2012/3080/fs2012-3080.pdf	USGS/FEWS NET
32	, C. C. (2013). *Value for Money of Multi-year Approaches.* Retrieved from https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/226161/VfM_of_Multi-year_Humanitarian_Funding_Report.pdf	Website

N°	Titles	Sources
33	Vision. (May 2016). *Early Action for Resilience: SomReP's EW/EA Crisis Modifier to Address Slow Onset Disaster in Somalia.*	World Vision

ANNEX XVII: WORK ITINERARY

DATES	ACTIVITIES	PLACES	COUNTRIES
January, 9 2017	Technical Plannig Meeting Meeting with Thibaut Williams SRO Focal Point for SRRP	USAID/MEP-Senegal Office	**SENEGAL**
January, 10 2017	SRRP Draft Work Plan (with tools)	USAID/MEP-Senegal Office	
	Food For Peace Meeting	USAID/FFP office	
	Meeting call with Gray Tappan (USGS)	USAID/MEP-Senegal Office	
January, 11 2017	Meeting with Regional Supervisory Officer/Senegal and Sahel	USAID/SRO office	
	SRRP Débriefing	USAID/SRO office	
	Meeting call with Jon (before his travel to Dakar)	USAID/MEP-Senegal Office	
January, 12 2017	Meeting with FEWS NET	FEWS NET Office	
	Meeting with ECHO	ECHO Office	
	Introduction e-mail with REGIS-ER Niger and other some RISE partners	USAID/MEP-Senegal Office	
January, 13 2017	Meeting with DFID	Britanic embassy	
	Logistical preparation before leave Senegal	USAID/MEP-Senegal Office	
	Field work planning for Niger	USAID/MEP-Senegal Office	
	Meeting with SESECNA	SESECNA Office	
	Introduction e-mail with USAID Niger and USAID Burkina Faso, SAREL, etc.	USAID/MEP-Senegal Office	
	SRRP Desk review finalization	USAID/MEP-Senegal Office	
January, 14 2017	**SRRP team travel to Niamey**		
January, 15 2017	Meeting with REGIS-ER COP	Niamey Hotel	
January, 16 2017	Weekly call with Thibaut	SAREL Office	
	Meeting with REGIS-ER technical staff	REGIS-ER Office	
	Meeting with SAREL technical staff	SAREL Office	

DATES	ACTIVITIES	PLACES	COUNTRIES
January, 17 2017	Meeting with WFP	WFP Office	**NIGER**
	Meeting with DFAP (LAHIA, PASAM-TAI and SAWKI)	CRS Office	
January, 18 2017	Meeting with FEWS NET Niger	FEWS NET Office	
	Meeting with technical staff for REGIS-ER and SAREL	REGIS-ER Office	
January, 19 2017	Meeting with Regional Center AGRHYMET	RCA Office	
	Meeting with BRACED/Sur1M	BRACED/Sur1M Office	
	Meeting with CC/SAP/PC	CC/SAP/PC Office	
January, 20 2017	Desk review for some technical documents	SAREL Office	
	Preliminary data analysis		
	Logistical aspects for the Niamey workshop with CRS and REGIS-ER		
January, 21 2017	Field visit in Tillabery, Courtey commune, village of Mara	Region of Tillabery	
January, 22 2017	Meeting with SERVIR	Niamey Hotel	
	Meeting with I3N		
	Finalize the SRRP Bi-weekly report		
January, 23 2017	Workshop with RISE partners	CRS Office	
	Meeting with GIZ Program	GIZ Office	
January, 24 2017	**SRRP team travel to Ouagadougou**		**BURKINA FASO**
January, 24 2017	Making appointments for Burkina meetings	Ouaga Hotel	
	Scheduling for field visit in Burkina		
	SRRP Team meeting for exchange on the Burkina context about EWS		
January, 25 2017	Meeting with FEWS NET Burkina	FEWS NET Office	
January, 26 2017	Meeting with REGIS-ER DCOP	RISE Burkina Office	
	Meeting with FASO COP	CRS Office	
	Meeting with technical staff for CONASUR and SAP	CONASUR Office	
January, 27 2017	Meeting with USAID staff/SRO Point Focal, FFP Officer, Resilience Advisor (FFP), a climate change specialist from USAID/Washington,	Ouaga Hotel	
	Meeting with SPRING		

DATES	ACTIVITIES	PLACES	COUNTRIES
	Meeting with VIM COP	VIM Office	
	Meeting with REGIS-AG COP, DCOP, Value Chain advisor	RISE Office	
January, 28 2017	Logistical aspects for Ouaga workshop	Ouaga Hotel	
	Preliminary data analysis	Ouaga Hotel	
January, 29 2017	Meeting with USAID/Burkina Staff	USAID Office	
	Meeting with CILSS	CILSS Office	
	Meeting with RISE consultant	Ouaga Hotel	
January, 30 & 31 2017	Continue with Desk review and preliminary data analysis	Ouaga Hotel	
February, 1 2017	Continue with Desk review and preliminary data analysis	Ouaga Hotel	
February, 2 2017	Workshop with RISE partners	CRS Office	
February, 3 2017	**SRRP team travel to Dakar**		**SENEGAL**
February, 6 & 7 2017	Preparation for the PowerPoint presentation to USAID/SRO	USAID/MEP-Senegal Office	
February, 8 2017	USAID initial SRRP presentation	USAID/SRO Office	

ANNEX XVIII: SCOPE OF WORK

USAID
FROM THE AMERICAN PEOPLE

OPERATIONAL STRATEGY FOR THE SHOCK RESPONSIVE RISE PORTFOLIO

STATEMENT OF WORK

SHOCK RESPONSIVENESS OPERATIONAL STRATEGY

STATEMENT OF WORK

Contracted under AID-685-C-15-0000

USAID Senegal Monitoring and Assessment Project

DISCLAIMER

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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DEFINITIONS

Activity	An activity is a "sub-component of a project that contributes to a project purpose. It typically refers to an award (such as a contract or cooperative agreement), or a component of a project such as policy dialogue that may be undertaken directly by Mission staff." (ADS 200.6)
Project	A project is "a set of executed interventions, over an established timeline and budget intended to achieve a discrete development result (i.e., the project purpose) through resolving an associated problem. It is explicitly linked to the CDCS Results Framework." (ADS Glossary)
AOR	Agreement Officer's Representative
COP	Chief of Party
COR	Contracting Officer's Representative
CV	Curriculum Vitae
GOS	Government of Senegal
IP	Implementing Partner
LOE	Level of Effort
LogFrame	Logical Framework
M&E	Monitoring and Assessment
MEP	Monitoring and Assessment Project
PAD	Project Appraisal Document
POC	Point of Contact
RISE	Resilience in the Sahel Enhanced
SOW	Statement of Work
SRO	Sahel Regional Office
SRRP	Shock Responsive RISE Portfolio
TPM	Team Planning Meeting
USAID	United States Agency for International Development
USG	United States Government

1. STATEMENT OF WORK DETAIL

USAID SOW Manager	Thibaut Williams, USAID/Sahel Regional Office
MEP SOW Manager	Sadio Coulibaly, M&E Coordinator
Geographic Coverage	Burkina Faso and Niger
Task	Operational Strategy for the Shock Responsiveness
Task Start and End Dates	November 1, 2016 – January 20, 2017

2. PROJECT DESCRIPTION

Launched in 2013, Resilience in the Sahel Enhanced (RISE) is the totality of USAID's development and humanitarian efforts aimed at increasing the resilience of chronically vulnerable populations in agro-pastoral and marginal agricultural livelihood zones in Burkina Faso and Niger. Recurrent climatic shocks – namely drought and flooding - and their effects are perennial features that routinely exceed the resilience capacity of vulnerable households and erode long-term development gains. USAID and its partners must act quickly, decisively, and at-scale through an integrated response that combines humanitarian and development action to mitigate the impacts of these shocks and speed recovery once adverse conditions subside.

What is shock responsiveness?

It's the ability to employ a full range of development and humanitarian assets in anticipation of a shock to mitigate its impact

USAID's Sahel Regional Office (SRO) is seeking the services of a consultant team to develop an operational strategy for the Shock Responsive RISE Portfolio (SRRP). The operational strategy will serve as an implementation guide to the SRRP, linking early warning to early action. It will allow RISE to proactively assess and adjust its portfolio according to the nature, extent and severity of a shock. The operational strategy will also describe the role the SRRP will have in guiding how USAID supports and influences other key partners (e.g., host governments, regional institutions, other donors) before, during and after a shock.

3. BACKGROUND INFORMATION SOURCES

Burkina Faso and Niger are among the poorest countries in the world, characterized by extremely high rates of food insecurity and malnutrition. Underlying drivers of vulnerability such as scarce natural resources, climate change, weak governance and rapid population growth continue to undermine the resilience of these populations. Even in the best years many vulnerable households require humanitarian assistance during the annual lean season. Furthermore, climactic

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

shocks – namely drought and flood – and their downstream impacts (e.g., food price hikes, animal diseases, conflict over natural resources) have become a recurrent feature in this landscape, rather than anomalies.

USAID launched RISE in 2013 to increase the resilience of chronically vulnerable populations in agro-pastoral and marginal agricultural livelihood zones in Burkina Faso and Niger. RISE builds resilience by increasing sustainable economic well-being, strengthening local institutions and governance, and improving health and nutrition. According to the RISE theory of change, those who are chronically vulnerable will adapt and become resilient, thus achieving improved economic security.

Populations within the RISE zone lie at the intersection of chronic poverty and exposure to recurrent shocks and stresses. The vicious cycle of recurrent crises in the Sahel results in excessive humanitarian losses and erodes long-term development gains. Shock responsive planning enables robust, timely and integrated action to anticipate crises and sustain an upward development trajectory. This proactive response will mitigate the immediate impacts of these shocks and speed recovery once adverse conditions subside.

Shock responsiveness requires advanced planning and flexibility to assess and adjust programming and engagement with other humanitarian and development partners well in advance of an actual crisis. USAID's response to the current El Nino -induced drought in the Horn of Africa drew on the Drought Cycle Management model to adapt its entire portfolio in advance of an extraordinary crisis (see Figure 1). While the Sahel has not experienced a large-scale climactic shock since 2013, it is highly likely that one will occur during the current phase of RISE. Early planning is urgently required so that USAID is positioned to quickly deploy its full range of humanitarian and development assets well in advance of this next crisis. USAID must also know how it will work with, influence, and support other partners – including host governments, other donors, and regional institutions – throughout the integrated response.

Examples of Shock Responsiveness from the El Nino Induced Drought in Ethiopia:

Ongoing Resilience Programming: USAID programs have helped nearly 170,000 farmers and pastoralist apply new technologies or management practices.

Development Response: The ENGINE activity adjusted its nutritional behavior change communications to include messaging on how best to manage the drought.

Embedded Response: USAID activated the Crisis Modifier for the main pastoralist activity – PRIME – twice in 2015 to provide vouchers for fodder.

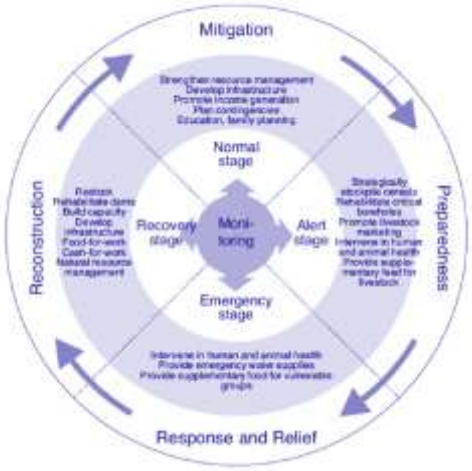
Emergency Humanitarian Response: OFDA activated rapid response platforms for nutrition and WASH to meet emergency needs in hot spot areas.

In addition to the above, the Government of Ethiopia's Productive Safety Net System, which is partially funded by FFP, absorbed an additional two million people experiencing transitory food insecurity.

Based on the Horn of Africa's experience with Drought Cycle Management, the SRRP will include the following types of shock response actions:

- **Ongoing Resilience Programming in Drought-Affected Regions:** This includes RISE's core programming aimed at building resilience capacities in areas subject to recurrent shocks. Examples of this type of programming include: diversifying livelihoods; building household assets and savings; insurance; credit; increasing access to markets, infrastructure, services, and communal natural resources; providing formal and informal safety nets; and investing in human capital. Sustaining these investments in the face of a shock will make the difference between a crisis being a temporary pause on an upward trajectory from which households quickly recover or a watershed event that erodes resilience and development gains.

Figure 1. Drought Cycle Management



- **Development Response:** This type of response channels realigned or new development resources through existing programs to mitigate the impact of a crisis and speed recovery. A development response can include either additions or adjustments to ongoing activities or adding new zones of intervention. Some of these adaptations do not require a modification to the existing award. For example, the awards for Food for Peace (FFP) development programs include provisions to allow implementing partners to quickly divert up to 15 percent of commodities available in-country to respond to a crisis. USAID may need to proactively modify other awards to ensure that adequate flexibility exists to pivot programming in anticipation of a shock.
- **Embedded Humanitarian Response:** These mechanisms – commonly called Crisis Modifiers – enables development programs working in areas subject to recurrent crises to quickly meet urgent humanitarian needs without compromising development gains. An embedded response mechanism is generally built into the initial design of a resilience activity in recognition that climactic shocks are a perennial feature of these landscapes. These mechanisms are included in awards in order to allow the implementing partner to receive additional humanitarian assistance funds in a timely manner and with as little contractual processes as possible. While only REGIS-ER – RISE's multi-sector resilience activity – has a Crisis Modifier built into its award, other ongoing or future RISE mechanisms may be well suited to including contractual provisions for an embedded response.
- **Humanitarian Response:** USAID mobilizes humanitarian action in response to large-scale shocks that overwhelm the host country's ability to respond. Such a response requires additional humanitarian cash and/or in-kind resources (i.e., USAID's Office of Foreign Disaster Assistance [OFDA], FFP) and prioritizes life-saving interventions. These responses can be scaled progressively as funding allows.

4. TASK PURPOSE, AUDIENCE AND INTENDED USES

The purpose of this task is to develop the SRRP operational strategy, which will enable RISE to proactively assess and adjust its program portfolio in advance of a shock based on early warning triggers. The SRRP operational strategy will also guide how USAID supports and influences other key partners (e.g., host governments, regional institutions, other donors) throughout the crisis cycle. The SRRP will initially focus on the most probable and severe shocks - namely drought and flood - and their impacts (e.g., food price hikes, animal diseases, crop diseases and pest infestations, conflict over natural resources).

The audience of the SRRP operational strategy will be:

- USAID staff in Washington, D.C., its regional platforms (i.e., USAID's Sahel Regional Office or "SRO," OFDA, FFP, West African Regional Mission) and the Country Offices in Burkina Faso and Niger
- RISE implementing partners

- Host government entities involved in resilience programming and disaster early warning & response at the national and local levels
- Regional Institutions (e.g., CILSS)
- Other humanitarian agencies (e.g., IFRC, Oxfam)
- Other key stakeholders with whom USAID may enegage throughout the crisis cycle (e.g., WFP & other UN agencies, EU's DEVCO/ECHO, DFID, World Bank)

5. APPROACH

Design

The consultant team will work closely with USAID staff in the SRO, the Country Offices in Niger and Burkina Faso and Washington, DC (e.g., Center for Resilience, FFP) throughout the development of the SRRP operational strategy. The team will also work in consultation with RISE implementing partners and host government counterparts to ensure that the strategy is well adapted to the Sahelian context and leverages existing processes and structures to the greatest extent possible.

The SRRP operational strategy will outline the following:

- **Early Warning Systems (EWS)/Trigger Indicators**: The SRRP operational strategy will identify trigger indicators and thresholds for each phase of the integrated response. The SRRP will leverage existing EWS at the regional (e.g., FEWS, cadre harmonisé), national (e.g., the Government of Niger's National Mechanism for the Prevention and Management of Disasters and Food Crises, or DNPGCCA, the Government of Burkina Faso's Technical Committee of the National Food Security Council, or CT-CNSA), and sub-national level (e.g., SCAP-RU/OSV, Household Economy Analyses). The SRRP operational strategy will also consider linkages to other data sources, including regional/national meteorological services, SERVIR and other shock responsive programs (e.g., WFP's FoodSECuRE facility, IFRC's Forecast-based Financing). The strategy will identify the source of the selected indicators, the frequency of collection and who will be responsible for collecting the information. Trigger indicators will take into account the compound nature of shocks, recognizing that seasonal stresses and/or multiple moderate shocks over the course of a year may have serious impact on household well-being. This portion of the SRRP strategy will also identify additional processes that may be required to activate a particular type of shock response (e.g., disaster declaration for Emergency Humanitarian Assistance).
- **Internal Decision-Making Processes**: The SRRP operational strategy will outline the decision-making processes necessary to implement the SRRP. The strategy will determine how USAID will activate the appropriate shock response when certain thresholds are reached and will guide operations throughout the mitigation, preparedness, relief, and recovery stages. The strategy will identify potential roles and responsibilities within decision-making processes and will make recommendations on the participation of implementing partners and host government counterparts. The strategy will also describe how USAID will link with other decision-making structures and processes within the USG inter-agency, host governments, and other donors.
- **Scenario-based Early Contingency Actions**: The SRRP operational strategy will map out the technical and programmatic actions to allow RISE to flex its full range of programming options for each phase of the integrated response. Contingency actions will be based on the extent, severity and onset time of the shock. Scenarios will reflect responses to a variety of shocks most common in this region, including but not necessarily limited to severe drought affecting the whole or part of the RISE zone, a more moderate drought affecting several regions, multiple shocks over the course of a year, seasonal hunger, and a more geographically-contained, quick onset crisis (e.g., acute flooding affecting a handful of villages).The consultant team will work closely with USAID, RISE

implementing partners and other agencies (e.g., host governments, WFP) to identify potential interventions for both the development and embedded humanitarian responses. The team can look retrospectively at responses to past crises as well as prospectively to identify appropriate programming options across all of RISE's sectors.[6] The SRRP will ensure coherence of programming across each level of response (e.g., ensuring that direct assistance provided through an embedded humanitarian response doesn't undermine the longer-term transformational changes promoted through ongoing resilience programming). Shock preparations will take into account the realities of the RISE operational environment (e.g., poor roads, heat/spoilage, limited local response capacities). The strategy will inform how certain development program approaches, such as beneficiary targeting, may need to be shifted during an integrated response. Likewise, contingency actions will need to address the gender dynamics of these shocks as droughts often disproportionately affect women and other vulnerable groups. Where appropriate, the strategy will recommend the pre-placement of response assets, including the storing of in-kind goods or reserves of contingency funds. This section of the SRRP will also map out the programmatic and administrative processes (e.g., building in greater flexibility in an award ahead of time, pre-established sub-awards to respond quickly) to allow a more timely, more robust response. The strategy will also identify potential funding sources - either from OFDA, FFP, SRO, or other donors - for each aspect of the integrated response and the procedures for obtaining this funding.

- **External Coordination and Communication**: The SRRP operational strategy will provide specific recommendations on how USAID will liaise with other stakeholders - including host governments, regional organizations (e.g., CILSS) and other donors (e.g., World Bank, European Union, the UK's Department for International Development, UN) throughout the crisis cycle at the regional, national and sub-national levels. To the greatest extent possible, the SRRP will leverage existing coordination systems, such as Niger's Humanitarian Coordination Cell (CCH). The strategy will describe how USAID will communicate externally throughout the crisis cycle. The document will also define the SRRP's monitoring (e.g., fact checking, oversight) and collaborating, learning & adapting (CLA) components.
- **Longer-Term Considerations:** The SRRP operational strategy will make recommendations on how RISE can strengthen host government leadership and disaster early warning and response systems throughout the crisis cycle. The team will also recommend additional crises (e.g., political upheaval, human and animal epidemics) that USAID should consider in an expanded SRRP.

Working closely with USAID staff, the consultant team will collect data to inform the development of the SRRP operational strategy through the following:

- Review of published and grey literature, including program documentation and information related to previous disaster responses, including but not limited to:
    - SAREL Concept Note on the integration of Humanitarian Assistance and Development Aid
    - USAID/Ethiopia document on Resilience and Development in the Face of an El-Nino Inducted Drought
    - Revisiting the Drought Cycle Management Model technical brief (May 2014)
    - RISE program fact sheets
    - RISE Baseline Assessments (SAREL/TANGO)
    - Shock-Responsive Social Protection Systems Research (DFID)
    - Early Warning as a Human Right: Building Climate Resilience to Climate-related Hazards (UNEP)
    - Food Security and Climate Resilience (FoodSECuRE) facility brief (WFP)
    - Forecast-based Financing: an Approach for Catalyzing Humanitarian Action Based on Extreme Weather and Climate Forecasts (IFRC)

[6] USAID's Sahel Resilience Learning (SAREL) contract has published a report that includes many case studies on the integration of humanitarian assistance and development support

- Key stakeholder interviews with RISE implementing partners, host government counterparts, regional organizations and other donors/agencies (e.g., WFP, IFRC).
- Field visits to better understand existing mitigation, preparedness and response activities and to get the input of community members themselves.
- Group sessions with RISE partners and other key stakeholders to build consensus on SRRP approach and content. These workshops will also provide an opportunity to conduct table-top exercises based on likely scenarios.

6. DELIVERABLES

The consultant team will complete the following deliverables as part of this task:

- Workplan: the team will submit a draft workplan to SRO indicating methodology, schedule of activities, and resources necessary for the development of the SRRP operational strategy within one week of the start of the task.
- Initial Presentation: Once the workplan is submitted, the consultant team will hold a video teleconference with USAID staff in Washington, the SRO, and the Country Offices to describe the proposed approach. This presentation will be an opportunity to get early feedback into the team's methodology.
- Bi-weekly Progress Reporting: The team will provide bi-weekly progress reports to a specified point of contact (POC) within the SRO.
- Weekly Phone Calls: The team will set aside time for weekly phone calls with the USAID POC to report on progress and discuss pending technical issues.
- SRRP Workshops: The team will hold a one-day workshop with high-level representation from RISE implementing partners and other key stakeholders in each country to get their input into the components of the SRRP and to conduct table-top exercises that illustrate shock responsiveness in action. These workshops will be focused working sessions rather than representational events. The team will prepare the terms of reference and agenda for the workshops at least one week prior to the first workshop. These workshops may be co-facilitated with USAID's Sahel Resilience Learning (SAREL) contract.
- SRRP Validation: The consultant team will share an outline with critical proposed approaches for the SRRP operational strategy following the structure indicated in Section 5 of this SOW with USAID by December 12, 2016. The team will then convene a half-day meeting with RISE partners in Niamey to get their final input.
- SRRP Operational Strategy document: The team will submit the draft SRRP Operational Strategy document to the SRO by January 16, 2017. This document will include the following sections: executive summary, table of contents, background, methodology, EWS/trigger indicators, internal decision-making processes, scenario-based early contingency actions, external coordination & communication and longer-term considerations. USAID will provide comments within 10 working days prior to finalization of the report by January 27, 2017.

7. TEAM COMPOSITION

The consultant team will consist of a Team Leader and a Resilience Expert. Their primary duties and required qualifications are:

- Team Leader (59 days LOE): S/he will provide overall leadership in the development of the SRRP operational strategy. The Team Leader will serve as the primary point of contact with USAID and lead interactions with host governments, implementing partners and other stakeholders. S/he will have significant relief and development experience in Africa and be familiar with USAID programming, resilience, disaster preparedness & response (including working with early warning systems) and food security/nutrition. S/he must speak both English and French and be willing to travel within the region. As s/he will lead the writing of the SRRP operational plan, the Team Leader must be able to write clearly and succinctly in English.
- Resilience Expert (39 days LOE): S/he will provide technical expertise in resilience programming and disaster preparedness & response within the Sahelian context. S/he will advise on strategies to link the SRR with existing programs and systems (e.g., DNPGCCA). The Resilience Expert will be instrumental when collecting information through the key stakeholder interviews, field visits and group sessions. The Resilience Expert will preferably be from the Sahel, or at least have extensive experience living and working in the Sahel.
- A MEP Monitoring and Evaluation Associate will travel with the team to support the arrangements of meetings, logistics and note taking during meetings and stakeholder workshops in each country.

TABLE 13: SRRP OPERATIONAL STRATEGY

Dates	Tasks/Deliverables	Estimated LOE (in days)		Total
		Team Leader	Resiliency Expert	
October 3, 2016	Signature of SOW			
November 9-12, 2016	Desk research	4		4
November 13, 2016	International travel	1	1	2
November 14-15, 2016	MEP technical planning meeting (TPM) and initial briefing with SRO, development of a work plan with activities, approach, travel and Operational Strategy outline	2	2	4
November 16, 2016	Morning presentation of work plan, Dakar-based interviews and Niamey and Burkina field work. Afternoon stakeholder meeting to present strategy approach	1	1	2
November 17-18, 2016	Meetings with GOS stakeholders, implementers and donors, preparing appointments in Niger and BF	2	2	4
November 19, 2016	Travel to Niamey	1	1	2
November 21-29, 2016	Field work in Niger and SRRP workshop	8	8	16
November 30, 2016	Travel to Ouagadougou	1	1	2
Dec. 1-9, 2016	Fieldwork in Burkina Faso and SRRP workshop	8	8	16
December 10, 2016	Return to Dakar	1	1	2
December 12-13	Debrief with SRO on initial findings, brainstorming and review of strategy outline	2	2	4
December 14, 2016	International travel – depart Dakar	1	1	2
December 19-Jan. 9, 2016	Analysis and strategy development	15	6	21
January 15, 2016	International travel – to Dakar	1		1
January 16, 2017	Presentation of Strategy to USAID/Senegal and SRO	1		1
January 17-19, 2017	Revisions to Strategy	3	1	4
January 20, 2017	Submission of revised Strategy document	1		1
January 21, 2017	Travel to Niamey	1		1
January 23, 2017	Presentation of Strategy to Niamey stakeholders	1		1
January 24, 2017	International travel Niamey-Dakar	1		1
January 25-26, 2017	Additional revisions to Strategy based on stakeholder input	2	1	3

January 27, 2017	International travel – depart Dakar	1			1
Total Estimated LOE		59	39		

8. PARTICIPATION OF USAID STAFF AND PARTNERS

The Sahel Regional Office will appoint a focal person to coordinate USAID's active in the development of the operational strategy. It is expected that the SRRP operational strategy team will interview stakeholders working on resiliency issues in the Sahel to gather their lessons learned and perspectives on key issues in the sector (See Section 6).

The SRRP operational strategy team will require in-briefing by the SRO on their interests and expected outcome of this task; this meeting will be held during the first day of the team planning meeting in Dakar at the MEP Office. The SRO team will prepare a detailed workplan and itinerary for meetings in Niger and Burkina Faso and will present this workplan to the SRO team for their approval, prior to departing Dakar. Weekly progress reports and calls will be made by the team to SRO, via MEP and any issues or concerns observed by SRO should be raised for immediate action with MEP. SRRP Workshops will be held in each of the two countries and full participation of RISE implementing partners and other key stakeholders will be required for this to be an effective exercise.

Upon return from the fieldwork in Niger and Burkina Faso, the SRRP operational plan team will prepare a presentation to the SRO team and partners with overarching approach and strategies to be included in the operational strategy. The SRO team will provide feedback to the SRRP strategic plan team to ensure that the ideas are well-developed, and provide a clear path for moving forward with the detailed strategic plan. The team leader will depart Dakar upon completion of this briefing and will develop the report from their home base. Once the draft report is completed, the team leader will return to Dakar for a full presentation of the strategy for the SRO team. The team leader will then travel to Niamey to provide a presentation of the draft report to resiliency partners. The draft report will be shared with SRO and RISE implementing partners for their input to be taken into account for the final revised strategy paper.

9. SCHEDULING AND LOGISTICS

The MEP office will handle all meeting arrangements and logistics for this task. MEP will work with the RISE partners in Burkina Faso and Niger to coordinate invitations to partners and stakeholders and arrange a meeting room for the SRRP workshops. MEP will support the team in organizing the interview schedule as well as the fieldwork schedule with the team and provide all necessary flight and vehicle arrangements to support the fieldwork.

10. REPORTING REQUIREMENTS

It is expected that the operational strategy will be drafted and finalized in English and then translated into French. Annexes must include the original SOW, the detailed calendar, with all stakeholder interviews conducted, tools and analysis methods. The plan will be branded with the standard USAID branding requirements and will be formally submitted to the DEC. Additional copies of the final report in French will be made available to all RISE partners and stakeholders participating in the SRRP workshops. Copies in

English will be shared with relevant USAID Offices including the Office of Resiliency, Africa Bureau, OFDA and FFP.

11. ATTACHED REFERENCE DOCUMENTS

Please check all that apply below.

X	Gantt chart
X	Budget
	CVs

12. AUTHORIZATIONS

The undersigned hereby authorizes the following items (checked below) for the Statement of Work (SOW) described above:

X	Completion of the SOW, as described above;
X	SOW staffing, as described above;
X	Concurrence with Contracting Officer's Travel Approval for the Consultant(s), requested above (if received prior to review).

[COR to either sign below or indicate approval in a return email]

Contracting Officer's Representative (COR)

Roy Geiser, or designate

10/11/2016

Date

Office Director

oct. 7, 2016

Date

APPENDIX II: GANTT CHART

Gender assessment		October				November					December					January			
Steps	Weeks	03 to 08	10 to 15	17 to 22	24 to 31	01 to 05	07 to 12	14 to 19	21 to 26	28 to 30	01 to 03	05 to 10	12 to 17	19 to 24	26 to 31	02 to 07	09 to 14	16 to 21	23 to 28
Signature of SOW		♦																	
Desk review																			
MEP technical planning meeting (TPM) and initial briefing with EGO Team, development of work plan with activities, approach, focus group interview guides, selection of villages, etc																			
Morning presentation of work plan, Dakar-based interviews and Niamey and Burkina field work. Afternoon stakeholder meeting to present strategy approach																			
Meetings with GOS stakeholders, implementers, NGOs																			