

the partnership for RECOVERY AND resilience (PfRR)

DRAFT REPORT OF THE INSTITUTIONAL ARCHITECTURE FOR RECOVERY AND RESILIENCE WORKSHOP IN YAMBIO, SOUTH SUDAN

FEED THE FUTURE: BUILDING CAPACITY FOR AFRICAN AGRICULTURAL TRANSFORMATION (AFRICA LEAD II)

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FEED THE FUTURE: BUILDING CAPACITY FOR RESILIENCE AND ECONOMIC GROWTH

(AFRICA LEAD II)

REPORT OF INSTITUTIONAL ARCHITECTURE FOR RECOVERY AND RESILIENCE IN YAMBIO, SOUTH SUDAN

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# **EXECUTIVE SUMMARY**

On 18th to 22nd March, 2019, Africa Lead facilitated an Institutional Architecture Assessment for Recovery and Resilience (IA4R) and Joint Planning Workshop (JWP) event in Yambio, South Sudan for the Partnership for Resilience and Recovery (PfRR). A total of 107 people attended the three-day event on diverse dates (See Annex II). The participants were drawn from local NGOs, Private sector, civil society, Community Based Organizations, international NGOs, UN Agencies, Development Partners, Traditional and local authorities (See Annex III).

At the event, results from the South Sudan Community Resilience Household Perception Survey of 2018 conducted by the USAID-funded Monitoring and Evaluation Support Project (MESP) was used to provide a basis for discussion of Yambio’s Institutional Profiles. These data that had been collected from fieldwork were presented and validated thereby setting the scene to better understand the institutional architecture in Yambio respect to capacity, institutions and the systems in place.

This event marked the first time that Africa Lead tested out a the Institutional Architecture for Resilience (IA4R) tool that was created and customized for South Sudan and other fragile States (see Annex I for the conceptual framework and tool). This customization was based on the fusion of the Resilience Conceptual framework that incorporates Absorptive, Adaptive and Transformative Capacities and the Partnership for Recovery and Resilience Pillars (Rebuilding Trust in people and Institutions; Re-Establishing Access to Basic Services; Restoring and Building Productive Capacities and Economic Opportunities and Nurturing Effective Partnership).

The institutional architecture survey was administered in written form on the last day of the Workshop to the present participants. Sixty two (62) participants completed and submitted the survey questionnaire. The findings were later analyzed and the results presented below. Based on responses, it appears that the tool was understandable and appropriate for people to fill in. However, in future sessions the facilitation team would recommend more discussion among participants post-questionnaire that wasn’t possible this time due to other priorities and logistics. The results indicate that while some institutions and institutional aspects were optimal, there are several that were sub-optimal and will require capacity development to guarantee the implementation of the JWP and the eventual success of the PfRR.

The role of institutions as a major element for the development and implementation of JWP and for the success of PfRR was exemplified during the Yambio IA4R and JWP workshop. The results of the administration of the IA4R tool offer a critical validation for the Institutional Profiles as obtained from the Community Resilience Household Perception Survey. This implies that the Community Resilience Household Perception Surveys are invaluable to the IA4R just as much the IA4R itself simultaneously informsJWP and PfRR.

# **Background**

## 1.1 Institutional Architecture Assessment (IAA)

The Institutional Architecture Assessment (IAA) framework was designed to examine the capacities fundamental to policy development and implementation; and to align with the commitments and principles of the African Union’s Comprehensive Africa Agriculture Development Programme (CAADP).

Since 2013, the USAID Bureau of Food Security, USAID Missions, local policymakers and other key stakeholders have guided in-depth Institutional Architecture (IA) assessments to better understand possible constraints that could prevent effective policy change in countries such as Ethiopia, Tanzania, Malawi, Ghana, Senegal, Kenya and regionally for the East African Community (EAC). IA’s have emerged as a core component of a country’s successful agricultural transformation because it brings together local policy makers, key stakeholders, and development partners to collectively analyze a country’s capacity to undertake agriculture and food security policy change.

The depth of vulnerability in South Sudan has led partners to a shared position that there is no recourse but for individual UN entities, donors, NGOs and technical organizations to act together to reverse the trends of growing vulnerability. There is no silver bullet to solving the problem of declining coping capacity that underpins the growing vulnerability.

It was noted that all the stakeholders needed to bring to bear all of the tools available to tackle the challenge, including conflict resolution, basic health, education, and WASH services; agriculture and livelihood support; infrastructure; reconciliation, social cohesion, and peace building efforts.

But from the significant efforts now underway in South Sudan to reduce vulnerability and build resilience, we can learn, we can adapt and we can bring a focus to achieving results that lay a foundation for recovery and future development.

## 1.2 Partnership for Recovery and Resilience

In the recent past in many parts of South Sudan communities were calling for change— resisting conflict and focusing on recovery. To support this groundswell, a different partnership model was called for -- one which relies directly on communities and civil society to both demand and drive gains in governance, health, education, food and nutrition security and economic well-being. This model calls for increased partnership and accountability between donors, UN agencies, and nongovernmental organizations at both national and local levels to ensure that support reaches the communities and households that require it.

It is with this background that the Partnership for Recovery and Resilience (PfRR) in South Sudan was formed. The PfRR unites donors, UN agencies, and non-governmental organizations at both national and local levels to ensure that support reaches the communities and households that require it. PfRR targets seven geographic areas of South Sudan and builds on community-identified strengths and priorities, while tapping into the remarkable survival abilities of local populations.

The PfRR in South Sudan is committed to a “New Way of Working” that shifts the focus from “meeting needs” to “reducing needs, risks, and vulnerability”. The Partnership promotes a comprehensive approach that brings together collective efforts to address political solutions, peace building, development, humanitarian, security and environmental dimensions, and by doing so increases the likelihood of achieving durable solutions.

Consequently, the PfRR in South Sudan agreed to the following as the core Partnership Commitments:

• Stop the trend of increasing vulnerability

• Work together across peace building-humanitarian development efforts to meet basic needs and protect coping capacities

• Improve coordination, collaboration and strategic integration

• Advance comprehensive frameworks and partnerships in selected geographic areas

• Scale up delivery of integrated efforts in selected geographic areas

• Enhance mutual accountability and learning.

To operationalize its functions, the PfRR developed a Partnership Common Framework that puts Communities first in pursuing four pillar objectives that shape and facilitate alignment around a shared agenda: These four Pillar objectives were defined as:

• Rebuild Trust in people and institutions

• Re-Establish Access to Basic Services

• Restore and Build Productive Capacities and Economic Opportunities

• Nurture Effective Partnership

USAID supports the specialized units of the United Nations (UN) such as United Nations Development Program (UNDP), whose core mandate in South Sudan is recovery and stabilization. The Partnership for Recovery and Resilience is focused on durable solutions and agenda-setting between the United Nations, donor partners, agencies and state and local actors in various partnership areas of South Sudan. This is a large challenging partnership arrangement for development partners working within the resilience and recovery space in South Sudan; and significant and achievable opportunities exist to leverage those relationships, provide facilitative and collaborative support to the Partnership, bolster champions at the local level and create a momentum toward stability and improved livelihoods.

To address these issues, Africa Lead in collaboration with USAID South Sudan, MSI-MESP Project, and other PfRR partners like UNDP, developed a strategic support program that is aimed at enhancing understanding and strengthening of the Institutional Architecture for resilience and recovery in South Sudan.

Accordingly, Africa Lead in partnership with the South Sudan Partnership for Recovery and Resilience facilitated the first IA for recovery and resilience session that was embedded within a broader Joint Work Plan (JWP) Workshop conducted in Yambio, South Sudan from 18th March to 21st March. The IA Sessions were intended to inform the JWP through a critical examination of the institutions and institutional aspects in Yambio.

# **2.0 Institutional Architecture Assessment for Recovery and Resilience (IA4R)**

Based on the lessons learned and deep experience with the IA, Africa Lead customized the IA tool in 2018 to respond to the Institutional Architecture for Recovery and Resilience in South Sudan; introduced a bottoms-up approach to resilience and recovery planning, including mutual accountability, under the Partnership for Recovery and Resilience. The customized recovery and resilience IA provides a framework for assessing institutional infrastructure and the tools and approach that can be adapted and replicated by other missions and countries in contexts similar to South Sudan.

## 2.1 A Preview of Institutional Architecture for Resilience and Recovery (IA4R) in Yambio

### 2.2.1 Resilience Context and Community First Approach

The significant role of Institutional Architecture in vulnerable communities is well illustrated by the Community first approach that links Household and Communal assets to IA4R within the Resilience Context through the three core Resilience Capacities as shown in the figure below.

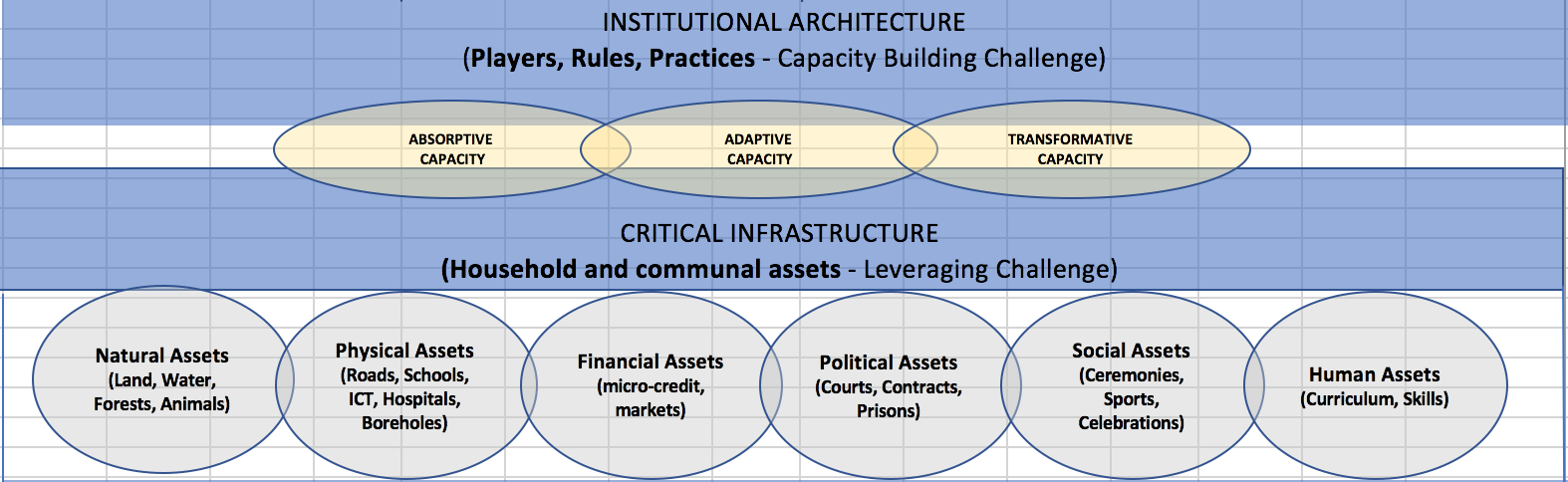


Figure 1: Institutional Architecture, Households and Communal Assets

### 2.2.2 Institutional Aspects from the Yambio Resilience Profiles Study

In 2018, USAID-funded Monitoring and Evaluation Support Project (MESP) conducted the Community Resilience Household Perception Survey that offered an insight into institutional aspects in Yambio. The results from the survey developed resilience profiles that provide a first view of institutional arrangements and consequently sets that foundation for discussions on institutional architecture in Yambio. Selected resilience profiles from the study and the attendant implications are discussed below with respect to responses to questions that give an institutional perspective.

In responding to the question on major institutions affecting people, the Yambio Community’s response in ascending percentages is shown below.

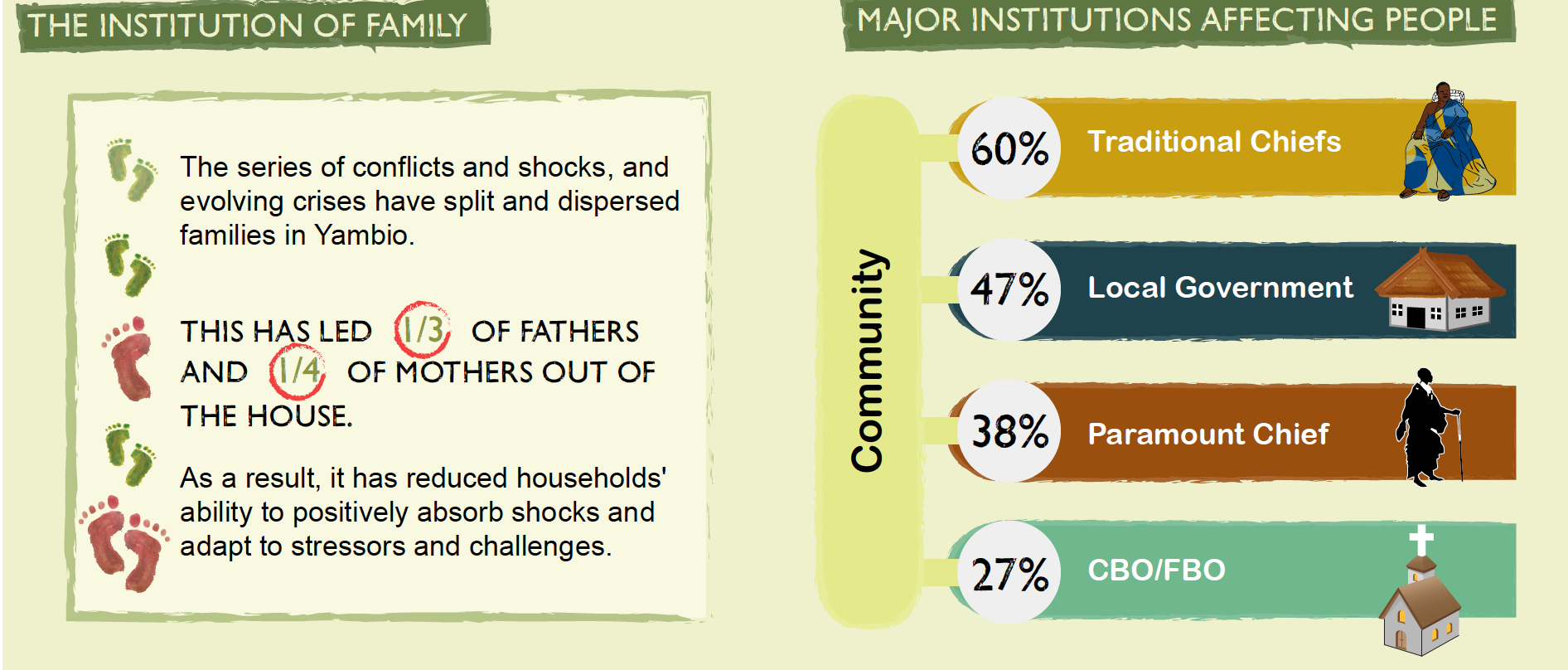


Figure 2: Major Institutions Affecting People

The response depicted in Figure 2 shows that Traditional Leaders have significant influence over the community members and ultimately underpins the success or otherwise of PfRR. These results may determine how future PfRR development interventions are decided. A case in point is the question on the most effective conflict resolution mechanism that elicited the following responses:

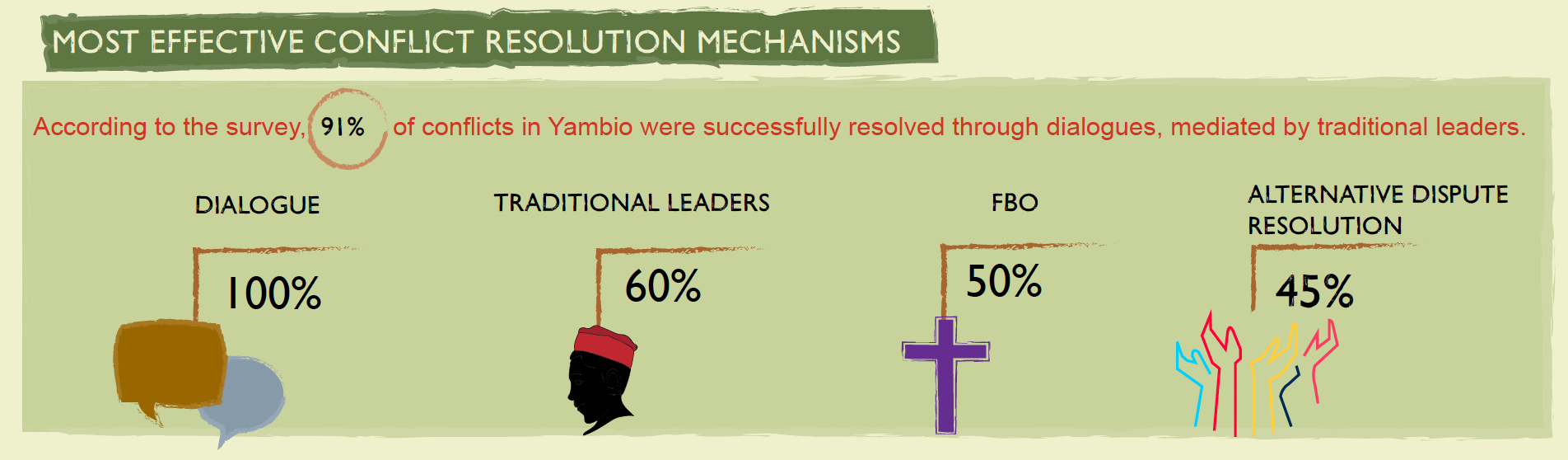


Figure 3: Most Effective Conflict Resolution Mechanisms

The responses to the question of the most effective conflict resolution mechanism (Figure 2) as obtained from the Yambio Resilience Profiles show that the institution of Traditional Leaders (60%) leads the pack ahead of Faith Based Organizations (FBOs) or Alternative mechanisms. A more incisive view of the role of Traditional Leaders was gleaned by probing for the functions of the Traditional Leaders as in the Table below.

Table 1: Functions of Traditional Leaders

|  |  |
| --- | --- |
| Functions | Percentage (%) |
| Settling disputes | 95 |
| Settling land disputes | 85 |
| Keeping law and order | 55 |
| Protecting subjects | 28 |
| Humanitarian coordination | 28 |
| Public relations | 25 |

From the above Profile (Table 1), the role of Traditional Leaders in the Yambio Community is much more pronounced in settling disputes particularly land disputes. These results on the institution of Traditional Leaders has a bearing on the performance of the PfRR and therefore has to be taken into account during identification of intervention areas, intervention processes and implementation.

### 2.2.3 Critical Institutions per Pillar

The perceived critical institutions as identified by two Pillars (One and Three) members are shown in the Table below. While the results on the critical institutions indicate each Pillar registers key differences they also exhibit some commonalities. For instance, Pillar One focuses on governance institutions while Pillar Three choices focuses on institutions that offer technical services.

Table 2: Perceived critical Institutions by Pillar

|  |  |  |
| --- | --- | --- |
| Pillar One Institutions | Pillar Three Institutions | |
| Traditional Leaders | | Community development committees |
| CSO ( women groups, CBOs, youth groups) | | Cooperative societies (YAFA etc….) |
| Network for Civil society Organizations (NeCSOs). | | UN agencies (FAO, WFP, UNDP and UNOPS and UN women) |
| Faith based organizations | | CBOs, NNGOs & INGOs (CSD, STO, WVI, AGRA) |
| Government institutions ( Local Government, Physical Infrastructure, Agriculture & Co-op) | | MAFF, MCRD, & CADs, MoF&EP, MoPI |
| Judiciary and Law enforcement agencies | | Private sector (Agro dealers, financial institutions) |
|  | | Research and academic Institutions (ATTC, Mikesse University |

## 2.1 Customizing Institutional Architecture for Recovery and Resilience (IA4R)

The fragile nature of the South Sudan situation and the focus on recovery and building resilience necessitated the adoption of the Resilience Context in operationalizing the four Pillar objectives of the PfRR.

The Resilience Context covers absorbing or simply coping in the short term, adapting in the medium term, and transforming structurally over the long term resulting in the Concepts of three capacities viz Absorptive, Adaptive and Transformative. The development of these capacities is the basis of the Resilience Context and therefore guides succeeding interventions. This is premised on the fact that Recovery and Resilience interventions are designed to address both Humanitarian (Short and medium Term) and Development Assistance (Long term).

Absorptive capacities reflect the ability to cope, typically over the short term, with a shock and its effects. Adaptive capacities support a household or community to not only withstand shocks but to positively adapt in the face of social, economic and environmental change. They tend to be more pre-emptive than absorptive capacities and operate on a longer time scale. Transformative capacities tend to be part of longer-term responses that fundamentally address vulnerabilities at community, environment or systems level. As a result of these capacities, a cycle of vulnerability caused by stressors can be disrupted, the negative effects of shocks avoided, and resilience ensured. Each of these capacities is not mutually exclusive (i.e. they overlap, and they can be mutually reinforcing).

In 2018 the IA for Food security questionnaire was modified into a conceptual framework referred to as the IA for Resilience (IA4R) by incorporating the Partnership for Recovery and Resilience Pillars i.e. Re-Building Trust in people and institutions, Re-Establishing Access to Basic Services; Restoring and Building Productive Capacities and Economic Opportunities and Nurturing Effective Partnership for the mutual accountability and commitment of local partnerships. This conceptual framework was then further developed into a traffic light (red/ yellow/ green for poor, problematic, and good) as an indicator of the status of the corresponding institutions.

The IA4R tool is therefore predicated on a framework that assesses institutions using the resilience context and the three capacities (Absorptive, Adaptive and Transformative) in operationalizing the four Pillars of PfRR with their specific components as below:

1. Pillar one: Rebuilding trust in people and institutions.

This includes aspects such as:

* Local governance
* Early warning, preparedness, and early action
* Hazard, risk and vulnerability mapping and conflict analysis
* Conflict and risk informed gender responsive planning and budgeting
* Access to justice, community policing and SGBV elimination
* Local reconciliation and peace-building to support voluntary and sustainable return, re-integration and resettlement

1. Pillar Two: Re-establish access to basic services

This Pillar involves:

* Re-establishing access to basic services
* Humanitarian assistance
* Social protection and safety nets
* Social service delivery strengthening (WASH, health, education, shelter)
* Capacity development for service providers

1. Pillar Three: Restore Productive capacities

Pillar Three therefore addresses:

* Agriculture production and productivity (value chain, access to resources etc.)
* Livelihood skills development
* Employment generation and SME development
* Financial inclusion and risk financing
* Market development and infrastructure support
* Climate change adaptation

1. Pillar Four: Nurture effective Partnership

This aspect incorporates mutual accountability and coordination elements some of which are:

* Resilience M&E and investment tracking system
* Knowledge management and resilience analysis platform
* Multi-mode flexible financing facility
* Coordination Platform

To make the IA4R tool (Annex I) tractable, the three capacities of recovery and resilience (Absorptive capacity, Adaptive capacity and transformational capacity) were used as the basis for developing the indicators of institutional capacities for Recovery and Resilience within the four Pillars of PfRR. The IA4R tool was administered to the participants during the Yambio workshop.

# **3.0 Results from the Administration of the IA4R Tool in Yambio**

The Institutional capacity for resilience assessment framework (IA4R) tool examines institutions critical for each Pillar objective from a recovery and resilience perspective (Absorptive capacity, Adaptive capacity and Transformative Capacity). The complete description of the Resilience capacity Institutions and elements are in the IA4R Tool in Annex I.

The participants of the Workshop were first taken through a session on IA4R and ultimately introduced to the IA4R tool through subsequent sessions. These sessions included presentations and plenary discussions on the specific institutions and elements covered in the IA4R tool as well as the scoring process. The participants were then requested to individually complete the IA4R tool. However, due to logistical issues and time constraints this exercise was conducted on the last of the Workshop and this may have diminished its direct input into the JWP. The results will nonetheless be availed to the PfRR leadership in Yambio and should ultimately inform the JWP and the Partnership.

Each Institutional element was scored on the basis of the attention required to achieve the specific Pillar objective and expressed in percentage terms. The attention required was categorized as red, yellow or green with the corresponding definitions shown below.

Red : Institutions require significant attention to ensure the Pillar Objective is achieved (poor).

Yellow : Progress is mixed. The conditions required to achieve Pillar Objective are partially achieved, but additional attention is required (problematic).

Green : The Pillar objective, from an institutional perspective, is realized to a sufficient degree, and additional attention to this area is not required now (good).

Each Participant scored only the specific Pillar objective to which they belonged except for Pillar four (4) that was scored by all the Participants given its cross-cutting nature. There was a total of 62 responses for all the Pillars completed separately i.e. Eighteen (18) for Pillar One, Twenty Two (22) for Pillar Two and Twenty Two (22) Pillar 3. Pillar 4 was completed by Thirty Three (33) participants.

It should be noted that while the Resilience components (Absorptive, Adaptive and Transformative) may have similar expressions under the different Pillars in the results table, the specific contributions are different ie it is instructive to use the Results tables together with the IA4R Tool to get a clearer understanding.

## 3.1 Results from Pillar One Objective – Re-building Trust in People and Institutions

The Institutional perspectives for Pillar one objective on Re-building trust in people and institutions are shown in the Table below.

Table 3: Institutional Perspectives for Pillar One

|  |  |  |  |
| --- | --- | --- | --- |
| Institutions’ Absorptive Capacity Elements |  | Score (%) |  |
|  | **Red** | **Yellow** | **Green** |
| Institutions are present | 16.7 | 66.7 | 16.7 |
| Institutional roles are clearly defined | 27.8 | 44.4 | 27.8 |
| Institutions have Human resources | 50 | 38.9 | 11.1 |
| Institutions have clearly defined roles | 27.8 | 55.6 | 16.7 |
| Institutions have access to resources | 50 | 38.9 | 11.1 |
| Institutions have social bonding capital | 16.7 | 44.4 | 38.9 |
| Institutions’ Adaptive Capacity Elements |  |  |  |
| Institutions are shock aware | 33.3 | 27.8 | 38.9 |
| Institutional know early warning signs and stages of shocks | 38.9 | 50 | 22.2 |
| Institutions have emergency response plans | 38.9 | 38.9 | 22.2 |
| Institutions have access to resources for emergency plans | 50 | 33.3 | 16.7 |
| Institutions have social bonding and linking capital | 11.1 | 55.6 | 16.7 |
| Institutions’ Transformative Capacity Elements |  |  |  |
| Institutions’ stakeholders participate in preparedness and response planning | 33.3 | 38.9 | 27.8 |
| Institutions employ evidence-based approaches | 5.6 | 72.2 | 22.2 |
| Institutions action ready | 22.2 | 44.4 | 33.3 |
| Institutions employ a cooperative approach | 22.2 | 27.8 | 50 |
| Institutions have a and use resilience feedback loops | 27.8 | 61.1 | 11.1 |
| Institutions are inclusive | 22.2 | 66.7 | 11.1 |
| Institutions have social bonding and linking capital | 11.1 | 38.9 | 50 |

The key consolidated institutions assessed under this Pillar covered:

* Local government
* State Ministry of Local Government
* County Department of Local Government
* State and County Legislative Councils
* Police/Army/Judiciary
* Church
* Peace committees
* Traditional leaders
* NGO, CBO, FBOs addressing security, peace building, reconciliation, social cohesion, conflict resolution and rule of law
* Civil society

The results indicate that all institutional aspects in Pillar one require attention except for cooperative approaches and social bonding and linking capital. This is based on the observation that the scores falling under Red and Green constitute the larger proportion and according to the tool, this indicates inadequacy. The institutional aspects under this Pillar that require urgent attention are human resource and access to resources particularly with respect to emergency plans.

# **3.2 Results from Pillar Two objective – Re-establishing access to basic services**

The administration of IA4R tool to members of Pillar two whose objective is to Re-establish access to basic services gave the responses in the Table below. There was no institutional aspect that does not require attention.

Table 4: Institutional Perspectives for Pillar Two

|  |  |  |  |
| --- | --- | --- | --- |
| Institutions’ Absorptive Capacity Elements |  | Score (%) |  |
|  | **Red** | **Yellow** | **Green** |
| Institutions are present | 4.5 | 59.1 | 36.4 |
| Institution’s services meet minimum standards | 22.7 | 63.6 | 13.6 |
| Institutions have Human resources | 31.8 | 45.5 | 22.7 |
| Institutions services are accessible to households during shocks/stresses | 72.7 | 22.7 | 4.5 |
|  |  |  |  |
| Institutions’ Adaptive Capacity Elements |  |  |  |
| Institutions are shock aware | 13.6 | 63.6 | 22.7 |
| Institutions know early signs and stages of shocks | 31.8 | 45.5 | 22.7 |
| Institutions have emergency response plans | 13.6 | 72.7 | 13.6 |
| Institutions have access to resources for emergency plans | 22.7 | 63.6 | 13.6 |
| Institutions have resourced human resources |  |  |  |
|  |  |  |  |
| Institutions’ Transformative Capacity Elements |  |  |  |
| Institutions’ stakeholders participate in preparedness and response planning | 27.3 | 52.4 | 19 |
| Institutions employ Evidence-based approaches | 19.0 | 57.1 | 23.8 |
| Institutions are action ready | 14.3 | 57.1 | 28.6 |
| Institutions have and use resilience feedback loops | 47.6 | 38.1 | 14.3 |
| Institutions are inclusive | 23.8 | 57.1 | 19.0 |
| Institutions have social bonding capital | - | - | - |

The institutions scored under Pillar Two included:

* State Ministry of Social Services
* County Department of Social Services
* Schools
* Health facilities
* Water committees
* NGO/CBOs/FBOs providing education, health services, WASH, and basic infrastructure
* Local government

The general observation from the scores obtained indicate that all the institutions scored under the different resilience components of this Pillar require some form of capacity development attention. A more indepth discussion is required to reveal the specific form of attention required for each institution and resilience component. However, a key institutional aspect under this Pillar that elicited responses for urgent attention is the inaccessibility of services to households during shocks and stresses. This may imply that the institutions assessed under this Pillar provide limited services during shocks/stresses and that clients/households have over-strained savings, assets or social capital to access basic services. It may also imply the absence of or strained social safety nets to survive/endure shocks and stresses. From the provisions of the IA4R tool it is difficult to discern the specific scores for each institution.

## 3.3 Results from Pillar three objective – Strengthening Productive Capacities

The results from Pillar Three members whose objective is to strengthen productive capacities are in the table below.

The Institutions assessed under this Pillar were:

* Extension Service
* Private sector input suppliers, off-takers, and supporting businesses
* Markets actors
* Financial Services
* Government – relevant regulatory, production and commerce departments
* NGOs, CBOs, FBOs providing productive inputs, market access, extension services, financial services and business support
* Production Cooperatives
* Land Commissions
* State and County Ministries/Departments of Agriculture
* State and County Ministries/Departments of Infrastructure

In general, all the institutional aspects in this Pillar require attention with the exception of shock awareness. It is apparent that institutions have the capacity to identify the primary shocks and stresses that impact the local community and can easily name them and describe their impact. A prominent institutional aspect that requires urgent attention is the inaccessibility of services to households during shocks and stresses.

Table 5: Institutional Perspectives for Pillar Three

|  |  |  |  |
| --- | --- | --- | --- |
| Institutions’ Absorptive Capacity Elements |  | Score (%) |  |
|  | **Red** | **Yellow** | **Green** |
| Institutions are present | 18.2 | 77.3 | 4.5 |
| Institutional services meet minimum standards | 13.6 | 77.3 | 9.1 |
| Institutions have Human resources | 13.6 | 68.2 | 18.2 |
| Institutions services are accessible to households during shocks /stresses | 45.5 | 54.5 | 0 |
|  |  |  |  |
| Institutions’ Adaptive Capacity Elements |  |  |  |
| Institutions are shock aware | 9.1 | 40.9 | 50 |
| Institutional know early warning signs and stages of shocks | 36.4 | 45.5 | 18.2 |
| Institutions have emergency response plans | 31.8 | 40.9 | 27.3 |
| Institutions can access resources for emergency plans | 22.7 | 63.6 | 13.6 |
|  |  |  |  |
| Institutions Transformative Capacity Elements |  |  |  |
| Institutions’ stakeholders participate in preparedness and response planning | 13.6 | 50 | 36.4 |
| Institutions employ evidence-based approaches | 18.2 | 59.1 | 22.7 |
| Institutions are action ready | 22.7 | 59.1 | 18.2 |
| Institutions have and use resilience feedback loops | 28.6 | 61.9 | 9.5 |
| Institutions inclusive | 22.7 | 50 | 27.3 |
|  |  |  |  |

## 3.4 Results from Pillar Four objective – Nurturing Partnerships

IA4R Pillar four component was the only one completed by all the participants irrespective of Pillar membership. The responses are in the table below. In this Pillar, all the institutions under Pillar One, Two and Three were assessed.

Table 6: Institutional Perspectives for Pillar Four

|  |  |  |  |
| --- | --- | --- | --- |
| Institutions Absorptive Capacity Elements |  | Score (%) |  |
|  | **Red** | **Yellow** | **Green** |
| Information is available to identify new Partners | 18.2 | 54.5 | 27.3 |
| Institutions have the capacity to partner | 15.2 | 57.6 | 27.3 |
| Development Partners are present for humanitarian assistance | 3.0 | 39.4 | 57.6 |
| Private sector exists, but is largely subsistence | 18.2 | 48.5 | 33.3 |
|  |  |  |  |
| Institutions Adaptive Capacity Elements |  |  |  |
| Institutions have partnership strategies | 27.3 | 51.5 | 21.2 |
| Development Partners are present for Humanitarian and Development assistance | 9.1 | 45.5 | 45.5 |
| Institutions have structured Partnerships | 12.2 | 57.6 | 30.3 |
| Diversity and inclusion in institutional partnerships | 31.3 | 43.3 | 25.0 |
|  |  |  |  |
| Institutions Transformative Capacity Elements |  |  |  |
| Institutions’ stakeholders participate in regular Coordination meetings | - | 37.5 | 67.5 |
| Institutional Coordinating Bodies employ evidence-based approaches | 6.3 | 65.6 | 62.5 |
| Institutional Coordinating Bodies provide joint accountability to Constituents | 34.4 | 46.9 | 28.1 |
| Coordinating Bodies are Action-Ready | 28.1 | 34.4 | 37.5 |
| Coordinating Bodies have and use Resilience Feedback Loops | 12.5 | 71.9 | 15.6 |
| Coordinating Bodies are inclusive | 28.1 | 46.9 | 25.0 |

Pillar four results for Yambio affirm the presence of Development Partners for Humanitarian and Development assistance. This is a confirmation that several capable organizations implementing Donor-funded programs are operating in the area. However, key partnership and coordination aspects still require significant attention including identification of new Partners, capacity to partner, structuring Partnerships, diversity, the use of evidence and resilience feedback loops.

# **4.0 Conclusion and Recommendations**

## 4.1 Conclusion

The role of institutions as a major element for the development and implementation of JWP and for the success of PfRR was exemplified during the Yambio IA4R and JWP workshop. The results of the administration of the IA4R tool offer a critical validation for the Institutional Profiles as obtained from the Community Resilience Household Perception Survey. This implies that the Community Resilience Household Perception Surveys are invaluable to the IA4R just as much the IA4R itself simultaneously informsJWP and PfRR.

## 

## 4.2 Recommendations

### 4.2.1 Technical

1. The IA4R as currently planned, remains inadequate. It would be critical that the IA4R study be separated from the validation process that the IA4R Workshop serves. From the Yambio experience, it appears the two processes were lumped together and further combined with the JWP. This constrained the application of the IA4R Tool and the attendant results.
2. Review the IA4R tool to better capture issues of coordination and mutual accountability. The IA4R Tool as spelled out in Pillar 4, alludes to various institutions that are involved in coordination functions but the specific roles cannot be extracted given that the institutions are all lumped together. This also applies to the other Pillars. It is imperative to be aware that the IA4R is being applied at a much lower level than initially intended.
3. The CPA should be adequately prepared prior to the IA4R workshop. A clear road map leading tho the IA4R should be developed and followed to assure a more informative IA4R validation workshop. This should include sensitization, socialization, study and finally the IA4R worksop.
4. Preliminary data analysis should be done and the results shared in the course of the workshop to offer Stakeholders an opportunity to interrogate the results and infer relevance.

### Process

1. The duration for the IA4R workshop should be at least two full working days in order to provide for an understanding of the concepts, skills transfer and administration of the tool. This should however be preceded by the preliminary arrangments (sensitization, socialization and study).
2. The sequencing of the IA4R and the JWP Sessions is critical to the outcome of the processes. The IA4R has to be conducted separately prior to the JWP so as to be informative.
3. The number of participants in each group should be kept at a manageable level that permits small group discussions.

# Annex I: Institutional Capacity for Resilience Assessment Framework (IA4R) Tool

Key:

Red : Institutions require significant attention to ensure the Pillar Objective is achieved.

Yellow : Progress is mixed. The conditions required to achieve Pillar Objective are partially achieved, but additional attention is required.

Green : The Pillar objective, from an institutional perspective, is realized to a sufficient degree, and additional attention to this area is not required now.

**Institutional Capacity for Resilience Assessment Framework**

| **Institutional Capacity for Resilience Indicators** | **Status** | | |
| --- | --- | --- | --- |
| ⃝ | ⃝ | ⃝ |
| **Pillar 1: Trust in People and Institutions**  Relevant institutions: (select those that apply to the community being assessed)  Local government  State Ministry of Local Government  County Department of Local Government  State and County Legislative Councils  Police/Army/Judiciary  Church  Peace committees  Traditional leaders  NGO, CBO, FBOs addressing security, peace building, reconciliation, social cohesion, conflict resolution and rule of law  Civil society | | | |
| **Institutions Exist and have Absorptive Capacities** | | | |
| **Institutions are Present:**  With the assessed community, institutions and/or their representatives exist and provide **security, peace building, reconciliation, social cohesion, conflict resolution and rule of law** on a regular basis. |  | | |
| **Institutional Roles are Clearly Defined:** Institutions have defined roles that are known within the community and respected by other institutions and people, regardless of how they are carried out. |  | | |
| **Institutions are Predictable:** Institutions consistently follow formal or informal processes (*i.e.* *play by the rules*). |  | | |
| **Institutions have Human Resources:** Institutions have capable staff and/or volunteers with assigned responsibility to respond to shocks/stresses in the community, and they have known how to carry out their role. |  | | |
| **Institutions have Access to Resources:** Institutions have the capacity and/or relationships to access basic resources in response to shocks and stresses from relevant sources (government, donors, private sector, and community members). |  | | |
| **Institutions have Social Bonding Capital:** Families and localized community groups cooperate internally with each other to provide safety nets for those in need and organize collective action (ex: community gardens, donations for needy families, etc.) when needed. |  | | |
| **Institutions have Adaptive Capacities** | | | |
| **Institutions are Shock-Aware:** Institutions have identified the primary shocks and stresses that impact the local community, and can easily name them and describe their impact. |  | | |
| **Institutions know Early Warning Signs and Stages of Shocks:** Institutions have clear criteria to detect early warning signs of shock and identify the stages of shocks (warning, eminent, early, full, recovery) including knowing whose role it is to apply the criteria and who to report the assessment to. |  | | |
| **Institutions have Emergency Response Plans:** Institutions have, or participate in, emergency response plans for all identified primary shocks and stresses. They can describe their response plans in sufficient detail or provide response plan documents. |  | | |
| **Institutions can Access Resources to carry out Emergency Plans:** Institutions have identified resources to implement emergency response plans and have relationships and regular communication with these sources. |  | | |
| **Institutions have Social Bonding and Linking Capital:** Families and localized groups cooperate internally with each other, and with their Local Government and Humanitarian/Development Partners to provide social safety nets and organize collective actions. |  | | |
| **Institutions have Transformational Capacities** | | | |
| **Institutions’ Stakeholders participate in Preparedness and Response Planning:** Institutions have built consensus around solutions to overcoming shocks and stresses with stakeholder buy-in, and conduct periodic updates. |  | | |
| **Institutions employ Evidence-Based Approaches:** Institutions use evidence to evaluate and improve their services. They can easily identify a recent improvement they made and the evidence that led to the decision. |  | | |
| **Institutions are Action-Ready:** Institutions proactively seek resources to implement preparedness and response solutions. A green rating is justified if an institution currently has two or more identified sources covering their key shocks. |  | | |
| **Institutions employ a Cooperative Approach**: Institutions in the community work cooperatively to undertake collective actions and produce development coalitions. |  | | |
| **Institutions have and use Resilience feedback loops:** Institutions have and regularly use methods to measure community satisfaction on their performance. |  | | |
| **Institutions are Inclusive:** Institutions are inclusive of vulnerable groups (women, widows, orphans, youth, religious/ethnic minorities, etc.) as demonstrated by their service records and/or feedback from vulnerable groups. |  | | |
| **Institutions have Social Bonding, Bridging and Linking Capital**: Families and other localized groups cooperate internally, with each other, with other communities, Local Government and Development Partners in creating institutional arrangements to mitigate against future shocks. |  | | |
| **Pillar 2: Restoring Basic Services**  Relevant institutions: (select those that apply to the community being assessed)  State Ministry of Social Services  County Department of Social Services  Schools  Health facilities  Water committees  NGO/CBOs/FBOs providing education, health services, WASH, and basic infrastructure  Local government | | | |
| **Institutions Exist and have Absorptive Capacities** | | | |
| **Institutions are Present:**  Within the assessed community, institutions and/or their representatives exist and provide **education, health services, WASH, and basic infrastructure** (roads, etc.) services on a regular basis. |  | | |
| **Institution’s Services meet Minimum Standards:** Institution’s services meet the most basic quality and reliability standards during non-shock periods. |  | | |
| **Institutions have Human Resources:** Institutions have capable staff and/or volunteers with assigned responsibility to respond to shocks/stresses in the community, and they have known how to carry out their role. |  | | |
| **Institution Services are Accessible to Households During Shocks/Stresses:** Not only do institutions provide services during shocks/stresses, but their clients/households have savings, assets or social capital to access basic services and social safety nets to survive/endure shocks and stresses. |  | | |
| **Institutions have Adaptive Capacities** | | | |
| **Institutions are Shock-Aware:** Institutions have identified the primary shocks and stresses that impact the local community, and can easily name them and describe their impact. |  | | |
| **Institutions know Early Warning Signs and Stages of Shocks:** Institutions have clear criteria to detect early warning signs of shock and identify the stages of shocks (warning, eminent, early, full, recovery) including knowing whose role it is to apply the criteria and who to report the assessment to. |  | | |
| **Institutions have Emergency Response Plans:** Institutions have, or participate in, emergency response plans for all identified primary shocks and stresses. They can describe their response plans in sufficient detail or provide response plan documents. |  | | |
| **Institutions can Access Resources to carry out Emergency Plans:** Institutions have identified resources to implement emergency response plans and have relationships and regular communication with these sources. |  | | |
| **Institutions have Resourced Human Resources:** Institutions have capable staff or volunteers with assigned responsibility to respond to shocks/stresses in the community and the ability to pay them competitive wages or retain them with other incentives. |  | | |
| **Institutions have Transformative Capacities** | | | |
| **Institutions’ Stakeholders participate in Preparedness and Response Planning:** Institutions have built consensus around solutions to overcoming shocks and stresses with stakeholder buy-in, and conduct periodic updates. |  | | |
| **Institutions employ Evidence-Based Approaches:** Institutions use evidence to evaluate and improve their services. They can easily identify a recent improvement they made and the evidence that led to the decision. |  | | |
| **Institutions are Action-Ready:** Institutions proactively seek resources to implement preparedness and response solutions. A green rating is justified if an institution currently has two or more identified sources covering their key shocks. |  | | |
| **Institutions have and use Resilience feedback loops:** Institutions have and regularly use methods to measure community satisfaction on their performance. |  | | |
| **Institutions are Inclusive:** Institutions are inclusive of vulnerable groups (women, widows, orphans, youth, religious/ethnic minorities, etc.) as demonstrated by their service records and/or feedback from vulnerable groups. |  | | |
| **Pillar 3: Strengthening productive capacities**  Relevant institutions: (select those that apply to the community being assessed)  Extension Service  Private sector input suppliers, off-takers, and supporting businesses  Markets actors  Financial Services  Government – relevant regulatory, production and commerce departments  NGOs, CBOs, FBOs providing productive inputs, market access, extension services, financial services and business support  Production Cooperatives  Land Commissions  State and County Ministries/Departments of Agriculture  State and County Ministries/Departments of Infrastructure | | | |
| **Institutions Exist and have Absorptive Capacities** | | | |
| **Institutions are Present:**  Within the assessed community, institutions and/or their representatives exist and provide **productive inputs, market access, extension services, financial services and business support** services on a regular basis. |  | | |
| **Institution’s Services meet Minimum Standards:** Institution’s services meet the most basic quality and reliability standards during non-shock periods. |  | | |
| **Institutions have Human Resources:** Institutions have capable staff and/or volunteers with assigned responsibility to respond to shocks/stresses in the community, and they have known how to carry out their role. |  | | |
| **Institution Services are Accessible to Households During Shocks/Stresses:** Not only do institutions provide services during shocks/stresses, but their clients/households have savings, assets or social capital to access basic services and social safety nets to survive/endure shocks and stresses. |  | | |
| **Institutions have Adaptive Capacities** | | | |
| **Institutions are Shock-Aware:** Institutions have identified the primary shocks and stresses that impact the local community, and can easily name them and describe their impact. |  | | |
| **Institutions know Early Warning Signs and Stages of Shocks:** Institutions have clear criteria to detect early warning signs of shock and identify the stages of shocks (warning, eminent, early, full, recovery) including knowing whose role it is to apply the criteria and who to report the assessment to. |  | | |
| **Institutions have Emergency Response Plans:** Institutions have, or participate in, emergency response plans for all identified primary shocks and stresses. They can describe their response plans in sufficient detail or provide response plan documents. |  | | |
| **Institutions can Access Resources to carry out Emergency Plans:** Institutions have identified resources to implement emergency response plans and have relationships and regular communication with these sources. |  | | |
| **Institutions have Transformative Capacities** |  | | |
| **Institutions’ Stakeholders participate in Preparedness and Response Planning:** Institutions have built consensus around solutions to overcoming shocks and stresses with stakeholder buy-in, and conduct periodic updates. |  | | |
| **Institutions employ Evidence-Based Approaches:** Institutions use evidence to evaluate and improve their services. They can easily identify a recent improvement they made and the evidence that led to the decision. |  | | |
| **Institutions are Action-Ready:** Institutions proactively seek resources to implement preparedness and response solutions. A green rating is justified if an institution currently has two or more identified sources covering their key shocks. |  | | |
| **Institutions have and use Resilience feedback loops:** Institutions have and regularly use methods to measure community satisfaction on their performance. |  | | |
| **Institutions are Inclusive:** Institutions are inclusive of vulnerable groups (women, widows, orphans, youth, religious/ethnic minorities, etc.) as demonstrated by their service records and/or feedback from vulnerable groups. |  | | |
| **Pillar 4: Nurturing partnerships**  Relevant institutions:  All listed in pillars 1 through 3 | | | |
| **Institutional Partnerships - Absorptive Capacities** | | | |
| **Information is Available to Identify New Partners:** Information on institutional activity/services exists and is generally available to institutions. |  | | |
| **Institutions have the Capacity to Partner:** Institutions know how to contact potential partners and have designated staff/volunteers to lead partnership activities. |  | | |
| **Development Partners are Present:** Several organizations implementing donor-funded programs and/or government-funded programs are operational in the area and capable of providing humanitarian assistance when needed. |  | | |
| **Private sector activity exists, but is largely subsistence:** Actors are mainly smallholder farmers with only minimal market orientation. Trade and service sector exists but is nascent. |  | | |
| **Institutional Partnerships have Adaptive Capacities** |  | | |
| **Institutions have Partnership Strategies:** Shock preparedness and response plans are analyzed to identify key partnership areas (ex. land tenure policy reform, etc.) and partnership strategies to address them. |  | | |
| **Development Partners are Present:** Several organizations implementing donor-funded programs and/or government-funded programs are operational in the area and capable of providing humanitarian ***and development*** assistance when needed. |  | | |
| **Institutions have Structured Partnerships**: Structures/Forums are operational for coordination based on geographic or sector criteria, and incorporate most the relevant stakeholders (traditional, formal, private, public, etc.). |  | | |
| **Diversity and inclusion in institutional partnerships:** Institutional partnerships span sectoral boundaries and include often neglected sectors such as local institutions, civil society, private sector and traditional administration. |  | | |
| **Institutions have Transformative Capacities** | | | |
| **Institutions’ Stakeholders participate in Regular Coordination Meetings:** Coordinating bodies/forums have active representation and participation from various sectors/geographies to build consensus around solutions to overcoming shocks and stresses. |  | | |
| **Institutional Coordinating Bodies employ Evidence-Based Approaches:** Coordinating bodies/forums use evidence to improve services and inform decisions. |  | | |
| **Institutional Coordinating Bodies provide Joint Accountability to Constituents:** Partners/members provide constructive feedback to each other and are proactive against bad actors. |  | | |
| **Coordinating Bodies are Action-Ready:** Coordinating bodies/forums proactively seek resources and plan collective action to implement joint solutions. |  | | |
| **Coordinating bodies have and use Resilience Feedback Loops:** Coordinating bodies/forums have and regularly use methods to measure member and/or community satisfaction on their performance. |  | | |
| **Coordinating Bodies are Inclusive:** Coordinating bodies/forums are inclusive of vulnerable groups (women, widows, orphans, youth, religious/ethnic minorities, etc.) as demonstrated by their service records and/or feedback from vulnerable groups. |  | | |

# Annex II: List of Participants

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
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# Annex III: Participants analysis

**Participation- Categories: Yambio JWP 2019**

# Annex IV: Participants by Gender analysis

**Participation by Gender: Yambio JWP 2019**