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USAID Ethiopia Resilience Learning Activity

RESILIENCE EVIDENCE GAP ANALYSIS

A Review and Gap Analysis of USAID Ethiopia's Resilience Evidence

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ACRONYMS AND ABBREVIATIONS

Acronym	Meaning
BCC	Behavior Change Communication
BDS	Business Development Services
CBO	Community-Based Organization
CBHI	Community Based Health Insurance
CDCS	Country Development Cooperation Strategy
CVA	Cash and Voucher Assistance
DO	Development Objective
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
ETB	Ethiopian Birr
EWS	Early Warning System
FAO	United Nations Food & Agriculture Organization
FCDO	United Kingdom's Foreign, Commonwealth, and Development Office
GiZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GBV	Gender-Based Violence
GRAD	USAID Graduation with Resilience to Achieve Sustainable Development Activity
GoE	Government of Ethiopia
HDP	Humanitarian, Development and Peace
ICT	Information and Communications Technology
IFPRI	International Food Policy Research Center
IR	Intermediate Results
L4R	Livelihoods for Resilience (Implemented by CARE)
LEO	USAID Leverage Economic Opportunities Activity
MFI	Microfinance Institution
NGO	Non-Government Organization
PRIME	Pastoralist areas Resilience Improvement and Market Expansion project
PSNP	Productive Safety Net Program
RIPA	Ethiopia Resilience in Pastoral Areas
RFSA	Resilience Food Security Activities
RLA	Resilience Learning Activity
SBCC	Social Behavior Change Communications
SILC	Savings & Internal Lending Communities
SLI	Sequencing, Layering, and Integration
SME	Small and Medium Enterprise
SNNPR	Southern Nations, Nationalities, and Peoples' Region
SPIR	Strengthen PSNP4 Institutions and Resilience
TA	Technical Assistance
TIGER-OR	Transition into Graduation through Enhanced Resilience Operations Research
TVET	Technical & Vocational Education & Training
UNIDO	UN Industrial Development Organization (UNIDO)
USAID	United States Agency for International Development

Acronym	Meaning
USTDA	United State Trade & Development Agency
VESA	Village Economic and Social Associations
VSLA	Village Savings & Loan Association
WASH	Water, Sanitation & Hygiene
WE	Women's Empowerment groups
WFP	World Food Program
WoLSA	Woreda Office for Labor & Social Affairs

1. BACKGROUND AND INTRODUCTION

USAID/Ethiopia and the Government of Ethiopia (GoE) have spent considerable energy and resources addressing food insecurity and climate vulnerability and have increasingly designed layered interventions and sophisticated programming to enhance community and household vulnerability. While drought and conflict have been significant recent shocks, the work is inclusive of other household-level and community-level shocks as well. Over the course of this evolution in thinking and design, USAID has cultivated a significant library of research, evaluations, and reports that catalog how, when, where–and under what conditions–interventions result in meaningful resilience outcomes.

The Resilience and Evidence Gap Analysis (REGA) is designed specifically to: first, consolidate a library of USAID-funded documentation focused on resilience within Ethiopia; and second, to systematically analyze the library in order to isolate how interventions contributed to more resilience, and across which dimensions of resilience as defined by development objective two (DO2)[1] and its intermediate results, namely:

- IR 2.1 Household food security increased
- IR 2.2 Shock-resilient livelihoods are increasingly adopted and maintained.
- IR 2.3 Natural resource and water management improved Sustainable National Resource Management (NRM) optimizes the use of resources to meet current livelihood needs, while maintaining and improving local resource stocks for future needs.
- IR 2.4 Barriers to social services reduced.

The REGA specifically addresses the following research question: What USAID-supported interventions, sequence, or combination of interventions leads to more resilient households, communities, and systems in Ethiopia?

1.1 Scope, Deliverables and Findings

With the objective of providing both USAID and implementing partners (IPs) the most focused and relevant findings to the Ethiopia context to date, the evidence library was developed with 249 documents that specifically referenced USAID-supported resilience programming in Ethiopia. The REGA, therefore, is not a meta-analysis of resilience literature, nor a review of the total universe of resilience cases, nor even of USAID-supported resilience programming, given its intentional focus on Ethiopia-specific written documentation.

The REGA resulted in three principle deliverables: a presentation of initial findings as part of the USAID Resilience Learning Activity's (RLA's) Learning Agenda Workshop, held in Addis Ababa during the Week of March 22nd (2023) with broad participation among USAID-supported IPs; this report, with more detailed findings and the inclusion of feedback provided during the workshop; and

[1] DEVELOPMENT OBJECTIVE 2: Resilience of vulnerable populations to key shocks increased: IF households, communities, and systems are strengthened through a systems-based, integrated approach to address the root causes of chronic vulnerability, THEN the resilience capacities of targeted populations to shocks and stresses will be improved, which is crucial to creating a prosperous and self-reliant Ethiopia.

the compilation of the library itself, which will be maintained and added to as part of the RLA knowledge management systems.

There are many, nuanced findings that arise from the REGA, but some of the most consistent findings to emerge include the following:

- "Systems approaches," which refers mostly to the deployment of multiple interventions at once, are additive, and consistently more impactful than interventions conducted in isolation.
  - Evidence of purposeful sequencing, layering, and integration (SLI) of multiple interventions was far less consistent, both pointing to the need to strategize around SLI in light of multiple interventions, and to more rigorously examine what is working and what is not.
- Early Action
  - Early action and early spending consistently lead to more cost-effective results (e.g., in terms of the number of people reached or harm avoided). However early action (such as crisis modifiers) face significant administrative barriers at USAID.
- Social Capital
  - The emergence of bonding, bridging, and linking social capital from programming – particularly as part of a multi-faceted approach (including SLI) – leads to a consistent perception by households and communities of greater preparedness or resilience to future shocks.

1.2 Using the REGA Report and Limitations

As was already noted above, the REGA is not an exhaustive literature review, nor meta-analysis of impact evaluations. It therefore does not purport to answer definitively what creates resilience under all conditions, in all places, if such a thing exists. Instead, it examines what documentation exists regarding USAID-supported interventions in Ethiopia. This means that findings are on the one hand focused, but on the other hand a function of what is reported, how, and to what extent.

With these relative limitations acknowledged, the variety of the interventions examined across the document library nevertheless allow for good comparison and the ability to determine "effectiveness" based on consistency of reporting across documents (and thus cases, contexts, timing, and interventions).

Despite, for example, the Ethiopia-specific focus, the REGA allowed for an examination of resilience to various shocks. While measuring resilience in Ethiopia essentially began as a response to the 2011-2012 droughts, the documents included in the REGA evidence review – dating back to 2010 – are broad enough to capture far more than drought resilience – a concern raised by workshop participants when preliminary results were presented. In addition to drought resilience, for instance, the evidence reviewed covers resilience to conflict (including the most recent/ongoing conflict), COVID-19, climate change, as well as economic and household-level shocks.

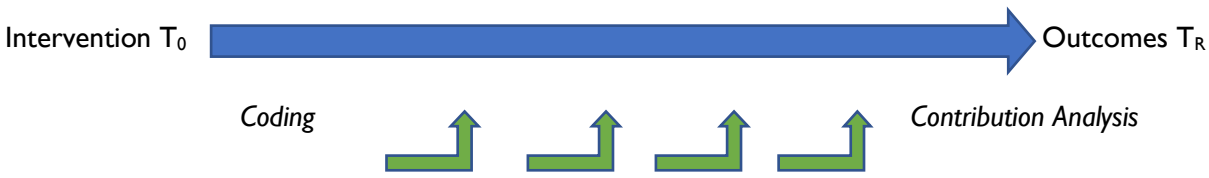
Also, some aspects of resilience (e.g., positive coping mechanisms) are useful regardless of the shock or stress (e.g., access to finance and bonding social capital). The REGA therefore will assist USAID and IPs with highlighting each of what has worked well, what has been examined through evaluations and research, and gaps in evidence and thus areas for greater research and new research questions.

2. METHODOLOGY AND APPROACH

Contribution Analysis structured the analysis, though the nature of the data set – comprising existing reports and evaluations rather than, for example, primary data or transcripts – allowed for only its loose application. For the REGA, contribution analysis was intended to identify the specific contributions of each piece of evidence and how it relates to the stated outcomes identified by each report. Through contribution analysis, investigators attempted to determine a plausible causal pathway – while also identifying gaps and holes in the story or theory of change by interrogating assumptions directly. Contribution analysis allows for the identification of new information or insights provided by each study and how they contribute to overall understanding. The same process allowed, to the extent that they were present in the documents themselves, the identification of confounding and intervening variables that affect outcomes, or complicate outcomes of otherwise well-designed or evenly applied interventions.

The goal is to systematically unpack the intervening steps between an intervention's start, and resilience outcomes, while further embracing the complexity inherent among communities and systems, necessary versus sufficiency, and layering and sequencing (See Figure 1).

Figure 1. Contribution Analysis Depiction: Coding across implementation chain



As the document library itself varied in regard to methods, details, and analysis, a neat, linear 'causal chain' was not always so readily detectable or decipherable. Instead, REGA findings hinge most on the co-occurrence of codes (discussed more immediately below), an analysis of the coded text itself, and the correlation between interventions and outcomes as aggregated by coding across the library.

2.1 Approach: Library Development and Qualitative Coding

The 'universe' of documents that form the dataset began with the initial Transition into Graduation through Enhanced Resilience Operations Research (TIGER-OR) DO2 database developed for the DO2 Evidence Review. USAID/Ethiopia has continued to add to the data set since the original report, and RLA conducted an additional search to compile a library of 249 documents.

The principal **selection criteria** for inclusion in the dataset included:

- Direct relevance to USAID-supported resilience-building investments
  - With a particular emphasis on DO2 related programming
  - Findings from DO1 and DO3 related activities were included if they directly addressed resilience outcomes.[2]
- Interventions and activities are specific to the Ethiopia context.

[2] The Ethiopia Country Development Cooperation Strategy (CDCS), available here, describes its development objectives (DO) as DO 1: Disaster Risk Management Strengthened; DO 2: Resilience of vulnerable populations to key shocks increased; DO 3: Private-sector Led Economic Growth Promoted; and DO 4: Sustained Improvement in Essential Service Delivery Outcomes Focused on Women and Girls.

This resulted in a ranking of first, second, and third tier documents, with first tier documents consisting of the most relevant, and rigorous, reports and evaluations. Relevance refers to the focus of the document, specifically whether it examines resilience interventions, or their sequencing and layering, and resilience outcomes. Rigor is based on the presence or absence of an intentional, structured methodology to assess outcomes and impact. It is not a value judgment of quantitative versus qualitative methods, notably—as there is a diverse range of research and evaluation methods represented within the library—but rather a means to distinguish whether the document is objectively assessing resilience outcomes (in contrast to a blog, concept note, or marketing document). Most publications are dated between 2019-2022, with some individual documents predating this range because of their relevance. The research team ultimately coded 89 documents, inclusive of all first and second tier documents. This allowed for both depth and breadth of cases, interventions under examination, and context. Given this variety, consistency in outcomes is a "strong" indicator of robustness and plausibility. The source documents are compiled and cited in Annex I, which also includes a key outlining the assessment of relevance of the source documents as well as hyperlinks to the USAID Google Drive. Thus, the reader should find it simple to refer to the individual documents for additional context as needed.

2.2 Codebook Development and Strength of Evidence

The codebook – or set of labels developed by investigators to apply to text in each document – is the analytical backbone of the REGA. The codebook was first organized by the REGA research questions, outcomes, and findings–delineated first by IRs and expected outcomes, for example–and drivers. Thus, a preliminary codebook was developed *deductively* based on what was expected already, from theories of change, and from intervention work plans.

With a preliminary codebook established, investigators conducted an initial "pre-coding" process to assess the utility of the codebook, revise it, and add codes *inductively* after reviewing an initial sample of random documents. Inductive analysis (coding) involves discovering patterns, themes, and categories as they emerge from the text, and independent of preconceived expectations.

After pre-coding, the research team compared notes and finalized the codebook for application across the entire data set. The team then began systematic coding of priority documents using NVivo qualitative data analysis software, allowing for a more systematic approach to assessing text, and the aggregation of codes for analysis. The final codebook is available in Annex II for reference, along with the number of references to each "parent code" and "child code". NVivo allows the analysis team to highlight sections of text in each document and apply codes that organize the content into excerpts by subject matter.

Analyzing coded text is not the same as analyzing a numerical data set, however. On the one hand, the frequency of codes can indicate regularity, and consistency, especially if a specific finding is identified across multiple contexts or interventions. The analysis team gathered coded segments of text and annotations to conduct expanded search options, queries, comparisons, explorations of interlinking among codes, and further description of relationships between codes and data. The frequency of co-occurrence of distinct codes, or of "parent codes" and "child codes", can also prove valuable by suggesting a strong linkage between two different factors. But frequency alone is insufficient to constitute a strong finding, and even individual excerpts can be revealing for an analysis of documents spanning diverse reports and foci. Researchers were therefore "flexible," by determining what was consistent across documents and what appeared frequently while also being alert to less frequent, but highly relevant instances of codes such as "conflict," for example, and

finally by analyzing the highlighted text itself for substance, inclusive of context, conditions, or causality.

A strength of evidence framework related to the internal, REGA, validity of findings is below in Table 1. This is underpinned by three broad considerations, including extent of triangulation across documents/data sources; consideration of the position, analytical capacity, and potential biases of sources; and consideration of the broader Ethiopia resilience context. We have used these considerations to develop a qualitative approach to assessing the strength of evidence for the REGA – see the table below – to ensure the evaluative judgements are made systematically and are consistent and comparative across the REGA.

Table 1. Strength of Evidence Framework

Strength	Justification	Evidence is…
Good	The finding is supported by multiple data sources of generally strong quality (Good triangulation).	• Finding is seen across documents, by different organizations, and in different contexts. • What exists is reasonably reliable/robust. • Considering the position, analytical capacity, and potential biases of documentation. …and considering what we know about the broader context around resilience in Ethiopia.
Moderate	The finding is supported by a few data sources of strong quality or multiple sources of lower quality (limited triangulation).	• Implemented by different organizations and in different contexts. • Shortcomings with regards to triangulation, and/or • Concerns that the position, analytical capacity, and potential biases of documentation lowers the reliability of evidence. …and considering what we know about the broader context around resilience in Ethiopia.
Limited	The finding is supported by very limited evidence (1-2 source) or by incomplete or unreliable evidence.	• Comes from a small number of sources (1-2) with limited triangulation, and/or • There was no good way to compare or dig into results because other examples were incomplete or limited to a particular organization/context. • There are major concerns that the position, analytical capacity, and potential biases of documentation lowers the reliability of evidence. …and there are contradictory insights related to the broader context around resilience in Ethiopia.

3. RESILIENCE EVIDENCE

3.1 Necessary Conditions for Resilience

Given the diverse documentation populating the REGA library, REGA researchers attempted to identify *under what conditions* and in what ways USAID/Ethiopia's interventions (alone or in sequence) result in more resilient households, communities, and systems. Conditions, conventionally, are separated between necessary versus sufficient conditions.

Conditional statements are ones that have a relationship between them—this often takes the form of an "if...then" statement. A *necessary* condition is one that *must* be present for the other half of the condition to be true. A *sufficient* condition *guarantees* that another event will happen, though there may be other events that would also cause the same result. So, for example, having your car filled with fuel is *necessary* for it to move forward, but it is not *sufficient* (if the engine has a fault, it still won't move).

> A **necessary** condition is one that is needed for the other half of a conditional statement (if x, then y) to be true. X *must* be present for Y to occur.
>
> A **sufficient** condition is one that is enough to guarantee the truth of the other part of the statement, *though there may be other conditions that could also affirm the statement to be true*. If X will *always* produce Y, then it is sufficient.

In the context of Ethiopian resilience, *necessary* conditions generally relate to access to infrastructure, including social infrastructure. Specifically, this means access to water, access to land, a minimum level of food security, access to finance, adequate roads, access to healthcare, access to education, access to veterinary services, a functional market system, and minimum energy requirements are met. These are the fundamental resources upon which resilience is built, and they are necessary for different types of resilience to take place, whether that resilience relates to a household, a community, or a system. For example, capacity building on good agricultural practices is irrelevant if a household has no access to land at all (neither owns land nor has 'right of use').

Sufficient conditions for resilience–a high if not impossible bar–are dependent upon the type of resilience desired (household, community, or system) and the shocks and/or stresses that one must be resilient to, including how long the effects of the shock/stress will be experienced. Existing capacities (of the household, community, or system) are also likely to play a role in whether a condition is *sufficient.* The interconnected nature of USAID's interventions and the complexity of resilience generally make it very difficult to determine if a type of intervention is sufficient, without referring to a specific household, community, system, or context. This research will provide clarity on the types of activities—individually and in combination—that are sufficient in many contexts, and those that are promising but need additional research.

3.2 Systems-Based Approaches and Sequencing, Layering and Integration (SLI)

Several large projects (most notably SPIR and PRIME) were able to clearly demonstrate greater resilience impacts when interventions across multiple sectors were sequenced, layered, and/or integrated. This evidence was largely available due to very robust final impact evaluations. Many programs had some elements of systems approaches (**moderate evidence**), but implementation

was not as robust (**limited evidence** of layering and integrating) or did not specifically measure the impacts of that layering and integration on resilience outcomes.

There is **good evidence** of using systems approaches in market-based programming (e.g., increasing smallholder access to financial services, access to markets, and infrastructure) to increase resilience. This includes livestock/agriculture production and management and financial services. Most frequently this took the form of linking inputs and extension services (for production), access to financial services, and strengthening of market systems (for example working with agri-dealers or vets). There is also **good evidence** of how savings groups contribute to resilience when linked with a wide variety of other types of activities.

There is **moderate evidence** of using systems approaches with regards to nutrition (including BCC), natural resource management, climate change activities, emergency response, and disaster risk management activities. However, there is **limited evidence** demonstrating how activities interact with each other to increase resilience outcomes.

There is **limited evidence** of how digital access contributes to resilience (and where it meaningfully links to existing agriculture and livestock market programs); how NRM and climate resilience activities contribute to household or systems resilience; and how policy (e.g., land use policy, environmental protection, water policies, policies around mobile money) contributes to systems work and/or improves resilience.

3.3 Sequencing, Layering, and Integrating and the HDP Nexus

Of the documents reviewed for the REGA, 15% presented **moderate evidence** of SLI (evidence on at least two of the components – S, L, or I). Of these, the strongest evidence is from PRIME, PSNP, RIPA, and L4R. The intervention types with the strongest correlations with SLI are the following:

- Access to food safety nets
- Agriculture and livestock production
- Availability of cash
- Early warning systems (EWS) and disaster risk reduction (DRR)
- Emergency response
- Markets, livelihoods, and SMEs development

Layering with development programs makes crisis response more effective and both types of programs should be closely coordinated with local governments to ensure effective implementation. Further evidence is required on the specific cost-benefits and impacts of different combinations and packages of resilience interventions.

There is **good evidence** on the benefits of early action (through Crisis Modifiers and other mechanisms) both in terms of the contributions to household resilience, as well as cost savings for humanitarian action. Evidence from 2018 indicates *"When these estimates are applied to total U.S. Government (USG) spending on emergency food aid in Ethiopia, the USG could have saved US$1.2 billion over 15 years, a savings of 35% of total emergency spend."* [3]

[3] USAID (2018). *Economics of Resilience to Drought: Ethiopia Analysis (January 2018)* (Available: Economics of Resilience to Drought: Ethiopia Analysis (January 2018) - Ethiopia | ReliefWeb)

Multiple donors (USAID, FCDO, GiZ) have recognized the cost savings from preemptive/early response, and designs for PSNP5 explore "shock-responsive social protection and service delivery." Early response under PSNP is estimated to have saved $859 million in one year in reduced aid costs and prevention of lost income and livestock. The same economic modeling suggests that a timely response to COVID-19 would have saved more than $269 million.[4]

Reports from GRAD, PRIME, RIPA, and L4R also identify several resilience benefits arising from humanitarian, development, and peace (HDP) Nexus activities (**good evidence**). These include limiting negative coping mechanisms (e.g., selling productive assets), maintaining food supply, increased confidence in managing future shocks, lower livestock mortality, and less borrowing from risky mechanisms.

There is also **good evidence** that early cash and voucher programming (CVA), specifically, maintains food security and prevents the sale of productive assets, which contributes to greater resilience in light of additional shocks. For example, PRIME reports that those receiving veterinary vouchers experienced 20% lower livestock mortality than a comparison group; and under RIPA 70% of households reported that vouchers for livestock inputs helped maintain the supply or quantity of milk produced, having a direct impact on food security and nutrition. Interestingly, 85% of RIPA respondents also believed the use of vouchers left them better prepared for future shocks. This may in part be due to the Nutrition SBCC that accompanied the CVA. L4R's monitoring survey also found ownership of productive assets critical to adapting to and recovering from shocks, further underlining the importance of protecting development gains with humanitarian action.

However, there is **limited evidence** of sequencing or layering HDP activities, beyond CVA programming designed to protect development gains. There appears to be an opportunity to include forecasting data, water interventions, governance and peacebuilding, and climate resilience programming more meaningfully into HDP and pre-crisis activities.

Combination of Interventions to Reach Graduation from Social Protection Programs

The Productive Safety Net Program (PSNP) was introduced as one component of Ethiopia's Food Security Program (FSP) in 2005. Among the objectives of PSNP is *to provide complementary support to assist these families to graduate out of dependency on food aid or cash transfers*. PSNP therefore aims to smooth food consumption and protect household assets – it is not in itself a mechanism for 'graduation,' which is achieved through complementary interventions. PSNP transfers (cash and food) play an instrumental role in helping households absorb shocks and minimizing the use of negative coping strategies (such as selling off productive assets, or consuming seed stock, etc.)

In Ethiopia, a 'Graduation Guidance Note' describes graduation from the PSNP as a transition from 'chronically food insecure' to 'food sufficient', defined as follows: "A household has graduated when, in the absence of receiving PSNP transfers, it can meet its food needs for all 12 months and is able to withstand modest shocks."[5] PSNP as a social protection program aims to provide full family targeting for a household under the intervention to increase their likelihood to graduate. There is **good**

[4] Courtenay Cabot Venton (2020). *Economics of Early Response and Resilience to COVID-19: Ethiopia* (Available: Economics of Early Response and Resilience to COVID-19: Ethiopia | ResilienceLinks)
[5] CGAP (2009). Creating Pathways for the Poorest: Early Lessons on Implementing the Graduation Model (Available: Creating Pathways for the Poorest: Early Lessons on Implementing the Graduation Model (cgap.org))

evidence that the concept and practice of full family targeting were crucial for households which enabled them to accumulate assets and increase graduation rates.

However, graduation rates have fallen far behind expectations, with only 9% of recipients having graduated until 2009, rising to 14% under PSNP-4 (far short of the 50% expectation)[6][7] and many of them are facing food shortages even after graduation, as the overwhelming numbers of food insecure households dilutes even the large resources mustered by the government and donors.

The REGA reveals several underlying factors associated with graduation, including:

1. *Access to Agriculture Inputs and Livestock Ownership*: Livestock ownership is considered in rural Ethiopia as the most crucial asset and factor in increasing resilience and reaching PSNP graduation. Additionally, livestock ownership enhances the capacity of the beneficiaries to adapt to shocks (Asset Building). Household access to agriculture inputs are also associated with graduation.

2. *Enabling Environments*: Institutional factors, such as availability of financial services (including access to credit), and technology advisory services to diversify household income, are crucial for graduating PSNP beneficiary households at the specified time.

3. *Early Warning and Climate Adaptation*: Because drought and flooding are the main natural shocks to affect PSNP graduation, interventions supporting climate change adaptation, early warning systems (EWS) and disaster risk reduction (DRR), emergency response, access to food safety nets, and water infrastructure (irrigation) contribute to graduation from PSNP.

4. *Irrigable Land Ownership*: Households that own irrigable land are more likely to be food self-sufficient and more likely to graduate from PSNP than households that do not have access to irrigable land.

5. *Off-Farm Employment:* Households with off-farm participation, including employment, are more likely to graduate from PSNP.

Additional factors related to graduation that emerged from the document analysis include the following:

Incentives for graduation from PSNP:

- Encouragement and community recognition,
- pride in graduation (perception),
- access to agricultural inputs,
- external livelihood options, and
- district level incentives such as recognition by the Woreda/District

Disincentives for graduation from PSNP:

- dependency
- lack of access to irrigation
- lack of agricultural technology

[6] John Burns (2014). *PSNP GRADUATION IN ETHIOPIA: Evidence From Two Project Case Studies* (Available: https://www.researchgate.net/publication/331928786_PSNP_Graduation_brief).

[7] Matt Hobson (2014). Pathways to graduation: a work in progress in Ethiopia. (Available: https://www.worldbank.org/content/dam/Worldbank/Event/social-protection/Hobson%20-%20Pathways%20to%20graduation%20a%20work%20in%20progress%20in%20Ethiopia.pdf).

- lack of in-kind transfer
- low initial asset
- inflation and price fluctuations of goods and services
- natural shocks (mainly drought)

Table 2. Positive association between interventions and graduation (in descending order).

Asset Building	• An increase in the log of household per capita expenditures and of asset value are both associated with a reduced risk of transitory escapes. • An increase in cultivable land makes female-headed households less likely to experience a transitory escape or become impoverished, with results dependent on conditions of production, land tenure, and other factors. An increase in the amount of cultivable land owned makes female-headed households less at risk of transitory escapes and impoverishment.
Financial Inclusion	• The savings group approach (i.e., VSLA/SILC) is one of the most relevant models for graduation with resilience for the very poor. A key part of the methodology is the PSNP members' regular group meetings, which build social capital and creates an opportunity for community members to learn from each other. • Participation in *iddir*, an informal risk sharing arrangement where members receive a pay-out in the face of specific adversities, increases the likelihood of transitory escapes and impoverishment. • USAID Graduation with Resilience to Achieve Sustainable Development (GRAD) effectively improved households' abilities to cope with climate change through improving financial safety nets.
Agriculture and Livestock Production	• Agriculture can become more effective in generating poverty escapes if households are well connected to markets. Indeed, access to local market towns is important for rural households to engage in economic transactions and comprise as much as half of their purchases of inputs for agricultural production. • For highland farming households, livelihood activities linked to livestock rearing can be a route out of poverty. • Helping households accumulate livestock and encouraging livestock-related businesses (such as cow fattening) can improve poverty dynamics. Livestock are an asset that households liquidate in the face of negative shocks, and it is also often associated with strategies of poverty escape.

There were interventions that did not yield enough evidence to demonstrate an association (positive or negative) with graduation, specifically. These interventions include improved technology; conflict prevention and management; disease and pest management; pastoral natural resource management; mental health; social capital building; and WASH and water infrastructure (besides irrigation).

3.4 Fragility and the Identification of Root Causes

Fragility is closely linked to resilience, and in particular to Necessary Conditions for Resilience (see Section 3.1). Defined by the OECD, fragility is "the combination of exposure to risk and insufficient coping capacities of the state, system and/or communities to manage, absorb or mitigate those

risks".[89] It identifies Ethiopia as facing moderate to severe fragility across six dimensions: economic, environmental, human, political, security, and societal. Evidence from this REGA provides nuance and contextualization to those ratings.

There is **good evidence** that Ethiopia's private sector is struggling to meet the needs of rural households and communities as they respond to unforeseen shocks, including conflict, drought, and health crises. Ethiopia's nascent rural private sector is struggling to meet the needs and demands of rural households and communities who are increasingly experiencing shocks of conflict, drought, and health crises. Shocks are exacerbated by weak systems, such as limited access to finance (especially to smallholder farmers in rural parts of the country) and lack of foreign currency. Additionally, there are indications that Ethiopia's dependence on imported farming inputs (i.e., seeds and fertilizers) and manufacturing inputs is one of the primary challenges that make Ethiopia vulnerable to external shocks. For example, currently no artificial chemical fertilizers are manufactured in Ethiopia; all are imported at a high cost. Lowering agricultural input costs would have positive impacts on resilience.

At present, and based on this analysis, agriculture sector services in particular are not correlated with to challenges such as climate change; soil fertility constraints; limited availability; poor quality of seeds and fertilizers; economic constraints such as low income and lack of financial support; and insufficient policies and guidelines which all impede crop productivity. This limits household resilience capacities (as described more in Section 3.5). Smallholder farmers with limited resources have difficulties overcoming these obstacles.

Access to finance, an absorptive capacity, increases household ability to respond to risks (i.e., increased food prices, changes in income, droughts, and other emergencies), but financial inclusion rates remain low and regulatory systems weak, leading to high economic fragility (**good evidence**).

The Ethiopian land policy (including land acquisition procedures and limitations of tax incentives) is contentious due to several aspects, one of which is the absence of private land ownership. Since all land in Ethiopia is owned by the government, there are fewer incentives for farmers to make additional investments in it to expand their farms, improve their property, or grow longer-term crops. Additional challenges like market networks, transportation, warehouse storage and access to finance hinder market integration for rural producers and urban areas (**good evidence**).

3.5 Major Contributors to Resilience

3.5.1 Social Capital

Social capital describes the networks and resources available to people through their relationships with others – literature shows it is both an individual resource and a collective good. For example, at the individual level, it refers to the relationships and networks that a person can utilize to improve his or her well-being (in a resilience context this is a 'resilience capacity'); at the community level, it refers to the collective relationships and networks a community can leverage to improve community well-being. Social capital can take the form of bonding (links between individuals/groups with similar characteristics, such as membership in a savings group); bridging (links between individuals/groups that are not similar, for example between a farmer and a pastoralist that use the same water point) and linking (which connects individuals/groups to decision-makers such as elders or government

[8] OECD (2022). *States of Fragility 2022*. (Available: https://www.oecd.org/dac/states-of-fragility-fa5a6770-en.htm).
[9] Compare your country by OECD: States of Fragility (Ethiopia)

officials). A person's social, economic, and political position in society, as well as his or her education level, is often the determinant of the forms of social capital accessible to them.

Strengthening of social capital was most frequently mentioned in the literature in connection with savings groups, DRR committees, Behavior Change Communications (BCC) and gender programs; as well as planning for livelihoods or emergency response programs (through the discussion of coping mechanisms) (**good evidence**). Within this, bridging and bonding were most frequently mentioned and studied. This is likely due to targeting, which often means that program activities are focused on those who have low social capital such as youth. However, several sources suggest that with enhanced social capital, individual preferences shift toward community-oriented concerns, increasing the likelihood citizens will act collectively (**moderate evidence**). This is an important finding for understanding the best type of intervention to layer with efforts to strengthen social capital.

Notably, there was **good evidence** of local social support, and this was true across both highlands and lowland geographies. Historically, social capital has also been central to drought recovery and rebuilding herds after disease outbreaks or raids. Several sources (**moderate evidence**) referenced the ongoing process by which social capital builds and is leveraged: *"nurturing potential sources of future liquidity, beyond one's income, assets and saved resources that can be harvested when they need some extra money to meet daily shortfalls or emergencies"* as one researcher framed it[10].

Behavior change communication (BCC), in particular, relies on social capital. Several studies (**moderate evidence**) noted that respondents were prompted to change their behavior by a combination of two contextual factors: "an unexpected event faced" and, importantly, "the need to comply with rules, norms or laws" which is at the crux of their perception of their social capital (and how it helps them respond to risks).

Social capital is stronger among women savings group members (**good evidence**). Women reported having greater social connections to government officials or NGO staff; experiencing greater emotional, financial, and informational support from the groups in which they are a member; and joining others in their village to address common issues. Compared with non-women, they also experience higher cognitive social capital, including greater trust in other people in the village as well as village leaders, and experiencing a greater sense of social cohesion.

3.5.2 Asset Building and Access to Finance

There is **good evidence** that both asset building and access to finance contribute to individual and household resilience capacities as well as to Shock-Resilient Livelihoods (IR 2.2) over time. Assets most frequently referenced in the literature reviewed were land and livestock, although there was some discussion of vehicles and motorcycles, particularly with regards to businesses.

Land ownership, especially irrigated land, is identified by the International Food Policy Research Institute (IFPRI) as the most crucial factor in how quickly a household can graduate from PSNP (factors identified in other studies as having a large positive effect include: gender, off-farm employment, access to credit, and access to farm inputs). However, there are gendered aspects to most asset ownership – women are half as likely as men to own land, a mobile phone, or to have a bank account in Oromia, and similar trends are seen in SNNPR and Amhara. Only in Tigray (with IP

[10] Fair and Sustainable Ethiopia (2020). Assessment of Challenges, Barriers and Opportunities for Women, Youth and People with Disabilities in Access to and Use of Finance from Financial Service Providers. (Available: https://assets.fsnforum.fao.org/public/discussions/contributions/Report%20-%20FINAL%207-2%20CRS%20Ian%20De%20La%20Rosa.pdf.)

programming) were there shifts away from traditional norms to more inclusive consultation on asset use in homes. Ownership of animals is also gendered (for example, cows are more likely to be owned by men, though women are often responsible for milking them) which is important as ownership of livestock increases the ability of a household to absorb shocks. Lack of women's involvement in household decision-making, however, negatively affects food security of the household, as men do not prioritize household expenses in the same way as women.

There is **moderate evidence** that when BCC activities around women's decision-making are layered with asset programming, women's access to, and control over, assets were improved. Interestingly, one study found PSNP households who also had health insurance (through the government's community-based health insurance, or CBHI program) were significantly more likely to increase their livestock holdings over time, more likely to engage in off-farm work, and have lower debt balances.

There is **good evidence** that access to finance is a key input for asset building and improved livelihoods. The most frequently mentioned type of access to finance activity was savings groups (noted in 42% of reviewed documents). These were frequently used in combination with other interventions, in particular agriculture and livestock production, gender programming, and social capital building.

Access to finance and increased savings are key enablers for resilience in that they augment other factors that support resilience, such as: education, farm and business investments, improved health outcomes, and strengthened social capital. As previously mentioned, savings groups are among the most common form of financial inclusion programming, and these groups most often target women. Therefore, financial inclusion interventions are commonly linked with gender programming and strengthening women's decision-making power in the household and community.

Cash programming in emergencies can also be used as a pathway to financial access when registration for cash programs is used as an opportunity to recruit recipients into savings groups or to open mobile money accounts. However, several studies noted the physical and digital barriers to increasing access to financial inclusion (especially for SMEs and other businesses who have 'outgrown' savings groups), particularly in rural areas.

Another barrier noted in the literature is that many smallholder producers do not possess a business or "growth" mindset (though there is **limited evidence**). SLI programming around behavior change, business skills, and access to finance may be necessary to fully develop these resilience capacities, and additional research will be needed to understand the appropriate mix of interventions for the desired resilience outcomes.

3.5.3 Early Warning and Early Action

The **(good) evidence** points to three main resilience outcomes or benefits when resources are put into preparedness, early warning, and early action activities: reduced number of individuals suffering, reduced cost to the government and aid donors, increased social capital and confidence in preparedness.

The number of people affected by shocks can be significantly reduced with adequate planning. For example, from 2020 to 2021 USAID's in-depth assistance on flood disaster preparedness and response in five sub-districts of Afar reduced the number of people affected by floods from 24,000 to only 600. More than 5,000 households relocated to safe zones before flooding occurred in 2021.

Intervening early – i.e., before negative coping strategies are employed - can deliver significant gains and should be prioritized.

'No regrets' spending early in a disaster leads to large cost savings. There is **good evidence** that early investments in resilience and emergency response (such as crisis modifiers) significantly reduce future expenditures for the government and donors. A 2018 analysis by USAID calculated that investing in early response and resilience measures would yield average benefits of $3.3 for every $1 invested in the Somali region, and US$2.4 for every $1 invested in Tigray. Follow-on studies after COVID, conducted by FCDO and the German government, found that routine support already available under the PNSP and humanitarian assistance saved $859m in one year in reduced aid costs (54%) as well as avoided income and livestock losses (46%). If during COVID the caseload had been expanded to cover 18m (those who would have been covered if assistance had increased at the same rate (+49%) as those estimated as falling under the poverty line), additional $145m in aid and emergency response could have been saved – a return on investment of $3.5 for every $1 spent.

Studies show that early intervention after a shock allows households to avoid a descent into a poverty trap. IFPRI found that while the share of food insecure households in Ethiopia increased by 11.7 percentage points in the six months prior to June 2020, inclusion in PSNP offsets virtually all this adverse change. Early responses through existing safety nets that provide early, and predictable transfers can reduce this descent even further and avoid household losses.

There is also **good evidence** that efforts to build social capital can have spillover effects that support early response. For example, PCI's 'Women Empowered' (WE) savings groups found that group membership was associated with taking action to prepare for a disaster and perceived preparedness for a disaster, and that social capital mediates these relationships. The proportion of individuals taking action to prepare for shocks was 37% higher in WE groups compared to non-WE groups. Additional research found that collective action not only expedites the disaster recovery process, but also provides a foundation on which to build future disaster prevention and mitigation strategies by fostering a sense of solidarity and social cohesion and can even affect those who are not immediately within the network.

Conversely, there is **moderate evidence** that prevention can fail when stakeholders do not coordinate and collaborate. The failure by local government actors, development partners, and communities to leverage their relationships and foster more collaborative networks prior to the 2020 Afar flooding resulted in greater displacement, loss of assets, and loss of life. Early warning information alone may not be enough – programs found it was critical for all actors to recognize their role in mitigation and be equipped to act on the early warning information provided. Better coordination, collaboration, and communication are required across sectors to successfully implement DRM strategies.

3.5.4 Migration

Both seasonal and permanent migration are driven by multiple factors, including many of the underlying shocks and stresses discussed in this evidence review. Migration can be categorized into forced and voluntary migration (typically due to climate patterns or job seeking/livelihoods), though this is not always a clear distinction. Forced migration and displacement, due to conflict or climate emergencies, especially among women and youth, has a negative contribution to resilience according to the evidence reviewed. One of the major contributing factors to voluntary migration is livelihoods. In the case of voluntary migration, households with non-farm participation (off-farm employment) are more likely to graduate from PSNP (a positive contribution to resilience). But overall, evidence reviewed related to voluntary migration indicates mixed contribution to migration (both positive and negative).

Migrant

Any person who is moving or has moved across an international border or within a state away from his/her habitual place of residence, regardless of (1) the person's legal status; (2) whether the movement is voluntary or involuntary; (3) what the causes for the movement are; or (4) what the length of the stay is. (IOM 2019).

Forcibly Displaced

Refugees and internally displaced persons (IDPs) are often considered to be forcibly displaced. A distinguishing feature of forced displacement is that individuals may not have sufficient time and choice to determine when and how to leave and where to go. In addition, climate change may be considered a factor in forcing displacement. (World Bank, 2019)

While still relatively uncommon in Ethiopia, and there is **limited evidence**, households that receive a remittance as a coping mechanism have been found under the Leveraging Economic Opportunities project to be less likely to be impoverished and more likely to experience a transitory escape. However, these results were not statistically significant. International remittances have particularly been targeted to support the education of relatives in Ethiopia. Remittances also have the potential to facilitate international migration, hence benefiting poverty dynamics.

The interventions most associated with voluntary migration include (which are consistent with global evidence):

- Markets, livelihoods, and SMEs (**good evidence**)
- Employment and job creation (**good evidence**)
- Agriculture and livestock production (**good evidence**)

The Country Development Cooperation Strategy (CDCS) intermediate result most associated with voluntary migration is IR 2.1 HH Food Insecurity (**good evidence**).

Migration of Women (**moderate evidence**)

Women involved in community-based savings groups (such as VSLAs) are also more likely to have livelihoods in both livestock and crop production (a sign of livelihood diversification when livestock production alone is not sustainable) as well as more likely to *seasonally* migrate with their entire household in search of water (an indicator of exposure to severe and persistent drought). Both indicators demonstrate that women group members may be more vulnerable to drought and other disasters, which makes it difficult for them to build economic capital. This type of seasonal migration, however, has a positive contribution to resilience overall.

Migration of Youth (**good evidence**)

Many parents are reluctant to become guarantors of loans taken by their children. And it was unclear whether there was adequate support from government or NGOs to equip youth with the appropriate skills, behavior, and attitude for business. Parents worried that ineffective capacity-development programs by NGOs and government actors, and inadequate facilities (business development services (BDS), and access to finance), resulted in their children not settling in their localities, but rather considering migration.

Less progress was perceived to have been made in the creation of jobs that are appropriate for educated young people. In rural areas, most young people lacked opportunities to enter the formal job market and they continued to rely on subsistence farming opportunities or seasonal labor migration. Educated youth have also not found the types of jobs they are hoping for in rural areas, leading to rural-urban migration for livelihoods.

Facing food insecurity, landlessness, and unemployment in their kebeles, youth often face no choice other than to migrate to urban areas in search of jobs as day laborers (e.g., as construction workers, security guards, waiters/waitresses, and domestic workers) in all regions. This can have a positive contribution on the resilience of the community, however. A female FGD in a non-L4R kebele in Oromia indicated that unemployed youth with no options of engaging in income-generating activities turn to alcohol, chat, violence, and theft; the same issues were raised in several kebeles in the Southern Nations, Nationalities, and Peoples' Region (SNNPR).

FGDs indicated that voluntary seasonal migration to other parts of Ethiopia, or international voluntary migration, was a common coping mechanism to youth unemployment. During the FGDs, elders reported that migration had a negative impact on the community in terms of economic development. Respondents also said that youth often migrated illegally, that it was dangerous and often led to challenges that required parents to send money to bring them home. The community suggested that access to finance and interest-free loans would be a great stimulant for youth-run enterprises. This should be coupled with essential business skills for different income generating opportunities and could be done by establishing livelihood groups trained in specific skills for such activities as livestock-fattening, agriculture, poultry production, beekeeping, and dairy. Some specifically spoke about vegetable production, and support through small-scale appropriate technology for irrigation as there is ample groundwater.

Forced Migration (**limited evidence**)

Regarding forced migration, there is typically a negative contribution to the resilience of the host community. The arrival of new household members fleeing conflict in other parts of the country (i.e., internally displaced people), or in response to climate change, have increased households' and communities' need to provide food and shelter.

COVID-Specific Migration (**limited evidence**)

The return of migrant workers and students due to COVID-19-related business and school closures and restrictions on movement has increased the economic burden of households already struggling to meet their basic needs.

4. EVIDENCE GAPS

This report has thus far emphasized what evidence is present with regards to what has been most effective in USAID-supported resilience programming. Determining gaps in this body of evidence is not strictly the inverse of what is present, as of course there are yet untested interventions, community characteristics, and even combinations of shocks unknown to researchers and implementers. Nevertheless, there are some key gaps that, when compared against the state of the art, and resilience programming globally, this report can highlight.

4.1 In Answering the Research Question

As previously mentioned, the REGA is intended to specifically address the following research question: What USAID-supported interventions, sequence, or combination of interventions leads to more resilient households, communities, and systems in Ethiopia?

There will always be variation across contexts and thus implementation effectiveness, but when reviewing the body of documents included in the REGA, the evidence emerging from individual reports and evaluations does not always allow for sufficient comparison between interventions to definitively determine "what works" (in a larger sense across programs and contexts, within Ethiopia).

This does not mean that every evaluation needs to be experimental in nature–indeed individual impact evaluations themselves will confront their own external validation challenges. But with individual interventions and programs using tailored indicators, and various methods (including 'sensemaking,' structured performance evaluations, ethnographic and descriptive studies, etc.) to determine effectiveness, and even 'resilience,' it is difficult to gauge what works among even like interventions (like gender empowerment interventions, for example).

Again, each individual assessment has merit, with most providing crucial details, but a comparable set of metrics and observations would allow for greater generalizability.

4.2 Additional Gaps on Resilience Evidence in Ethiopia

Additional gaps that emerged include the following areas that have generated evidence in other contexts:

- Further evidence is required on the specific impacts, cost-benefits, and sustainability of different combinations and packages of resilience interventions.
- There is limited evidence of sequencing or layering of HDP activities, beyond CVA programming designed to protect development gains.
  - This raises an issue of "coherence" as well, and how to sequence, layer, and integrate among various donors and IPs (if, for example, HDP is being organized and led by entities separate of those implementing resilience interventions)
- How digital access (to finance and market information) and digital services contribute to resilience.
  - It is unclear where and how digital services meaningfully link to natural resource management, climate change, and agriculture and livestock market programs.
  - While the roll-out of mobile money has expanded financial inclusion, a better understanding of the links between humanitarian cash programming and current access to finance activities is needed.

  - There is limited evidence on how digital services (including digital finance) are supporting market system resilience broadly and SMEs.
  - While we do know that distance to travel to financial services is a key constraint affecting PSNP households, there is limited evidence on the impact of digital services and mobile money on resilience when last mile services are lacking (e.g., whether individuals need to travel/walk long distances to access mobile money funds from financial institutions under PSNP or MPCA).
- Increased nuance is needed on how NRM and climate resilience activities contribute to household or systems resilience.
- Despite evidence that NRM can improve connections between the community and the government and reduce resource-based conflict, there is limited data on participatory NRM intervention design, such as beneficiaries' (including older youth) ability to participate in decision making processes related to NRM.
  - There are established tools for increasing community participation in NRM that can be applied to improve resilience in Ethiopia.[11]
- How policy work (e.g., land use policy, environmental protection, water policies, policies around mobile money) contribute to systems work and/or improves resilience.
- As already mentioned, there are limitations in water policies coupled with limited evidence on inclusive community and household WASH systems to prevent and respond to shocks and stressors related to water and sanitation issues (such as water-borne illnesses). There is also a lack of evidence on the cost of these WASH interventions (i.e., facilitating access to piped water and sanitation services; improved water user committees, household, and community groups knowledge, attitudes, and practices on water safety, and hygiene) which hinders financial planning and the pathway to resilience.
- As was already noted above, there is mixed evidence on the contribution of migration to resilience. This topic can be explored with greater relation to which resilience capacities are increased, and which decrease, and in relation to which shocks.
- Local solutions including indigenous governance mechanism, and CSO engagement, are not adequately explored in resilience documentation.
- Domestic (urban-to-rural) and international remittances in Ethiopia are still relatively uncommon and evidence is limited. Additional evidence is required around how remittances impact migration, the poverty cycle, and resilience overall.

These gaps will directly inform RLA's learning space analysis and subsequent Resilience Learning Agenda and to form the foundation for RLA activities – to address the gaps directly and meaningfully.

[11] These toolkits include, for example, the Community Options Assessment and Investment Toolkit (COAIT) and the Communities Advancing Resilience Toolkit (CART).

ANNEX 1: RESOURCE FILES, FILE NAMES AND LINKS

Key:

1	Document contains high relevant evidence - High priority for review
2	Document contains medium relevant evidence - Medium priority for review
3	Document contains less relevant evidence - Lower priority for review
NR	Not Relevant - Contains no evidence (although it may contain frameworks or methodology descriptions that may be useful for determining coding)
NCBU	Not Coded But Used

Category	Document name	Year	Major Theme
1	ETHIOPIA CLIMATE CHANGE FACT SHEET	2022	Climate
1	Livelihoods for Resilience (L4R) Report of Recurrent Monitoring Survey II, Round 3 - Conflict in Tigray	2021	Emergency
1	Meeting Immediate Needs and Protecting Development Gains: Lessons from Ethiopia's Drought Response	2022	Emergency
1	CRS FtF Ethiopia Livelihoods for Resilience - Oromia. (2018). Barrier Analysis to Promote Financial Linkage to Productive Safety Net Programme (PSNP IV) Beneficiaries.	2018	Financial Services
1	Refinement Period Results Summary: Access to formal financial services	2022	Financial Services

I	CRS FtF Ethiopia Livelihoods for Resilience - Oromia DFSA Assessment of Challenges, Barriers and Opportunities for Women, Youth and People with Disabilities in Access to and Use of Finance from Financial Service Providers.	2020	Financial Services
I	Leveraging Economic Opportunity: ENSURING ESCAPES FROM POVERTY ARE SUSTAINED IN RURAL ETHIOPIA	2016	multi-sector
I	Impact Evaluation of the Strengthen PSNP4 Institutions and Resilience (SPIR) Development Food Security Activity (DFSA)	2021	multi-sector
I	Economics of Early Response and Resilience to COVID-19: Ethiopia	2021	VfM
I	Economics of Resilience to Drought, Ethiopia Analysis	2018	VfM
I	CRS Community Conversations Assessment Report	2020	multi-sector
I	Livelihoods for Resilience (L4R) Gender Analysis and Outcome Mapping	2018	Gender
I	WV DFSA Learning Brief 3: The Effects of SPIR Livelihoods and Nutrition Interventions on Women's and Men's Well-being, Evidence from the SPIR Midline Study	2020	Gender
I	CRS FY21 DFSA Annual Report annex A	2021	multi-sector
I	Complementarities between Social Protection Policies and Health Sector Policies: Evidence from the Productive Safety Net Program in Ethiopia	2017	Health
I	CRS FtF Ethiopia Livelihoods for Resilience - Oromia. (2017). Multi-stakeholder Assessment of Youth Development.	2017	Labor
I	Final Performance Evaluation of the Community-Managed Disaster Risk Reduction (CMDRR) Activity	2017	Climate
I	The impacts of feed shortage on livestock and crop production: Implications for rural poverty: Refinement Period Results Summary	2022	Livestock
I	USAID BHA SHARP-SEE PROJECT: Phase II Learning Brief	2022	Markets
I	Digital Agriculture Profile: Ethiopia	2022	Digital

I	Development Food Security Activity Targeted Response for Agriculture, Income and Nutrition Project (TRAIN), Fiscal Year 2020 Annual Results Report	2020	multi-sector
I	FtF CARE Livelihoods for Resilience (L4R) Quarterly report Apr - June 2022	2022	multi-sector
I	Feed the Future Ethiopia CARE Livelihoods for Resilience Activity FY 2022 Annual Report	2022	multi-sector
I	Livelihoods for Resilience (L4R) Impact Evaluation Report of Recurrent Monitoring Survey 2019-20	2020	multi-sector
I	World Vision SPIR DFSA Fiscal Year 2020 Annual Results Report	2020	multi-sector
I	Catholic Relief Services/Ethiopia Development Food Security Activity-(DFSA), Annual Results Report, FY21	2021	multi-sector
I	Fiscal Year 2020 Annual Results Report for the Tigray Productive Safety Net Program 4 (TPSNP4), REST	2020	multi-sector
I	PRIME Learning Brief Final Report	2019	multi-sector
I	RiPA South 2022 Annual Report	2022	multi-sector
I	SAVINGS GROUPS ON THE PATHWAY TO GRADUATION: PSNP PLUS IN ETHIOPIA	2012	multi-sector
I	CRS FtF Ethiopia Livelihoods for Resilience - Oromia. (2019). Cost of Diet Analysis in the Rift Valley of Ethiopia	2019	Nutrition
I	Ifaa: Rapid Review of Home Gardens and Dietary Diversity in Ethiopia	2022	Nutrition
I	WV DFSA Learning Brief 2: The Effects of SPIR Interventions on Nutrition and Childcare, Evidence from the SPIR Midline Study	2020	Nutrition
I	Impact of Ethiopia's Productive Safety Net Program on Household Food Security and Child Nutrition: A Marginal Structural Modeling Approach	2020	Nutrition
I	CARE L4R Innovation Brief 1: Poultry Voucher	2020	Poultry
I	WV DFSA Learning Brief 1: The Effects of Poultry and Unconditional Cash Transfers on Livelihoods Outcomes, Evidence from the SPIR Midline Study	2020	Poultry
I	Market-Based Sanitation Formative Research	2022	WASH

1	Integrated Watershed Management (IWM) in Ethiopia: A baseline study in Dire Dawa, Deder and Zeway Dugda	2020	Water
1	Sustaining rural water services in Ethiopia: A life cycle-costs analysis	2018	Water
1	Building resilience to climate change-related and other disasters in Ethiopia	2022	Climate
1	Ethiopia's Digital Economy: Market Systems for Growth (MS4G)	2020	Digital
1	DFSA/LRO Joint Assessment on Gender-based Violence (GBV), Food Insecurity, and Effective GBV Response	2019	Gender
1	BUILDING RESILIENCE TO CLIMATE SHOCKS IN ETHIOPIA	2019	Climate
1	Pastoralist Areas Resilience Improvement Project (PRIME) Project Impact Evaluation, Endline Survey Report	2019	Livestock
1	Final Performance Evaluation Graduation with Resilience to Achieve Sustainable Development (GRAD) Activity	2017	multi-sector
2	Learning from Disaster: How CLA helped mitigate disaster	2022	Emergency
2	Producers Marketing Group (PMG) and Extended Market Agent (EMA) Participative Learning Assessment	2022	Agri Mkts
2	World Bank Climate Risk Profile Ethiopia	2021	Climate
2	2020 Digital Finance Bright Spot: Support for Market Growth with USAID/Ethiopia	2020	Digital
2	Protecting Development Gains: The Crisis Modifier	2021	Emergency
2	Outsmarting La Nina: Lessons and Recommendations for strengthening resilience through drought response	2022	Emergency
2	CRS FtF Ethiopia Livelihoods for Resilience - Oromia Crop-Value/Market Systems Assessment Report and Crop Business Plans Models	2018	Agri mkts
2	Realizing Rural Resilience and Inclusive Growth by Reducing Risk: Is Agricultural Insurance the Key?	2015	Financial Services

2	Rapid Gender Analysis for Afar Flood	2020	Gender
2	The Joint Effects of a Health Insurance and a Public Works Scheme in Rural Ethiopia	2017	Health
2	CARE L4R Learning Brief 2: Cash Transfers for Livelihoods Recovery	2020	CVA
2	Digital Ethiopia Strategy 2020 - 2025	2020	Digital
2	Ifaa Refinement Period Off-farm Opportunities Value Chain/Market System Assessment	2022	SME
2	Social Capital and Disaster Preparedness	2020	Emergency
2	CRS FtF Livelihoods for Resilience - Oromia, Financial Service Providers Capacity Assessment. (2019). Addis Ababa: Catholic Relief Services.	2019	Financial Services
2	CARE GRAD Learning Brief 8: VESA-MFI Linkage Model	2018	Financial Services
2	Ecosystem-Based Adaptation in Tigray, Northern Ethiopia: A Systematic Review of Interventions, Impacts, and Chal...	2019	Climate
2	Productive Safety Net Program Phase 5 (PSNP5) 2020-2025 Design Document	2020	Policy
2	CRS, DFSA and Feed the Future Ethiopia Livelihoods for Resilience - Oromia. (2018). Gender and Youth Assessment. Retrieved from DEC: https://pdf.usaid.gov/pdf_docs/PA00STN9.pdf Green-3	2018	Gender
2	ETHIOPIA POVERTY ASSESSMENT: Harnessing Continued Growth for Accelerated Poverty Reduction	2020	poverty data
2	Analysis of Factors Affecting Graduation from PSNP	2017	poverty data
2	Labour Market Assessment: Refinement Period Results Summary	2022	Labor
2	The Evolving Livestock Sector in Ethiopia: Growth by heads, not by productivity	2018	Livestock
2	Pathways to Resilience: A Synthesis of Research in the Horn	2017	Livestock
2	PRIME Endline Impact Evaluation Brief	2016	multi-sector

2	Targeted Response for Agriculture, Income and Nutrition (TRAIN) Project 3rd Qtr report (reporting on topics below - Gender Media and Soil Quality)	2019	multi-sector
2	L4R - CRS Oromia (FY 20 Annual Report) - Assessment of challenges, barriers, and opportunities for women, youth, and people with disabilities	2020	multi-sector
2	Review of 16 mid-Term Evaluations of USAID-funded Food Security Development Programs 2015-2020	2020	multi-sector
2	Building Stable Livelihoods for the Ultra Poor	2015	multi-sector
2	SYNTHESIS OF EVIDENCE FROM RESILIENCE PROGRAMMING -	2020	multi-sector
2	CARE L4R Learning Brief 1: Perma-gardening	2020	Nutrition
2	IFPRI PSNP Home Garden Evidence review	2018	Nutrition
2	Private sector landscape assessment: USAID BUREAU FOR HUMANITARIAN ASSISTANCE (USAID/BHA) ETHIOPIA	2021	PSE
2	CRS FtF Ethiopia Livelihoods for Resilience - Oromia Off-Farm Model Business Plans (English).	2018	SME
2	World Bank Reporting on PSNP	2022	Social Protection
2	Social Protection and Resilience: Case of PSNP in Ethiopia	2022	Social Protection
2	Assessment of integrated soil and water management measures on key soil properties in south Gonder, Northwestern Highlands of Ethiopia	2010	Water
2	Youth Context Analysis (YCA): Refinement Period Results Summary	2022	Labor
NCBU	Social Capital and Good Governance Research Brief	2017	
NCBU	Program Considerations for HDP Coherence for USAID IPs	2021	
NCBU	Resilience Measurement Practical Guidance Note #4: Resilience Analysis	2018	
NCBU	Resilience Measurement Practical Guidance Note #3: Resilience Capacity Measurement	2018	

3	CRS DFSA and FtF Livelihoods for Resilience - Oromia (LRO) Internal Collaboration Paper	2017	Collaboration
3	Conflict and Economics: Lessons Learned on Measuring Impact	2010	Conflict
3	Review of Commodity Management of the Ethiopia Joint Emergency Operation Program (JEOP)	2018	Emergency
3	MICROINSURANCE DECISIONS: EVIDENCE FROM ETHIOPIA	2012	Financial Services
3	CRS FtF Ethiopia Livelihoods for Resilience - Oromia. (2019). Value Chain Financing Assessment and Primary Actors' Mapping for Priority Value Chains.	2019	Financial Services
3	Measuring Empowerment, World Bank, 2017	2017	Gender
3	CRS FtF Ethiopia Livelihoods for Resilience - Oromia Labor Market Assessment Report.	2018	Labor
3	Livelihoods for Resilience Activity Labor Market Assessment Report	2018	Labor
3	Analysis of Economic Growth in Afar Region	2021	Labor
3	CRS FtF Ethiopia Livelihoods for Resilience - Oromia. (2018). Livestock Value-Chain Assessment.	2018	Livestock
3	Livelihoods for Resilience Activity: Resilience Strategy	2018	multi-sector
3	Feed the Future Ethiopia Livelihoods for Resilience (L4R) Learning Activity Impact Evaluation Baseline Report	2019	multi-sector
3	ASPIRE: GRAD book	2016	multi-sector
3	Baseline Study of Food for Peace Development Food Security Activities (DFSAs) in Ethiopia	2017	multi-sector
3	2017 National Review of SDGs of Ethiopia Government Commitments, National Ownership and Performance Trends	2017	multi-sector
3	DAI_Stocktake Report _FINAL (Africa Agricultural Development Program Ethiopia Pillars)	2009	
3	Business Drivers for Food Safety	2021	Nutrition
3	2015/16 Household Income and Consumption Expenditure Survey (HICES) data and documentation	2016	poverty data

3	CRS FtF Ethiopia Livelihoods for Resilience - Oromia Off-Farm Value Chain and Market Systems Analysis.	2018	VCs
NR	Resilience Platform- Technical Kick off meeting presentation	2022	
NR	Highlands Resilience Platform for Adaptive Learning (R-PAL) Activity: ACTIVITY MONITORING, LEARNING, AND EVALUATION PLAN (AMELP)	2022	
NR	DRM DE-Resilience Learning Activity Introductions	2022	
NR	CLIMATE CHANGE RISK PROFILE, Ethiopia: Fact sheet	2016	climate
NR	Stock-take of Climate Smart Practices, Risk, and Vulnerability in PSNP Woredas - Brief Version	2020	Climate
NR	CRS FtF Ethiopia Livelihoods for Resilience - Oromia Household Debt Management Training Manual	2018	Financial Services
NR	Draft WASH quick win gap Analysis Findings and next step	2022	
NR	RFSAs deep dive missing summary in culmination workshop	2022	
NR	RLA CULMINATION WORKSHOP: USAID Ethiopia resilience learning activity	2022	
NR	YEAR 1 WORKPLAN Final: August 5, 2022, to September 30, 2023	2022	
NR	SPIR II Refinement period Proposed adaptations due to drought	2022	
NR	Livelihoods for Resilience Activity Collaboration, Learning, and Adaptation (CLA) Plan (including Learning Agenda)	2017	
NR	Livelihoods for Resilience Activity Resilience Strategy	2018	
NR	Operation Evaluation, Ethiopia PRRO 200290, Responding to Humanitarian Crises and Enhancing Resilience to Food Insecurity: An Evaluation of WFP's Operation (2012-2013) Evaluation Report	2014	
NR	CRS FtF Oromia Youth Employability Skills Training: Facilitator Guide	2018	Labor
NR	CRS FtF Livelihoods for Resilience - Oromia. (2019). Establishing and Growing A Productive Garden Lesson Plans - Job Aid	2019	Nutrition

NR	CRS FtF Ethiopia Livelihoods for Resilience - Oromia. (2019). Household Resource Plan Guide for Field Staff	2019	
NR	CRS FtF Ethiopia Livelihoods for Resilience - Oromia. (2019). Islamic Family House Manual for Trainers (Afaan Oromo. High Res)	2019	
NR	CRS FtF Ethiopia Livelihoods for Resilience - Oromia. (2019). Nutritious Diets Job Aid for Household-Level Planning and Budgeting. Retrieved from DEC: English: https://pdf.usaid.gov/pdf_docs/PA00XG38.pdf; Afaan Oromo: https://pdf.usaid.gov/pdf_docs/PA00XG36.pdf Red	2019	Nutrition
NR	CRS FtF Ethiopia Livelihoods for Resilience - Oromia. (2019). The Faithful House Manual for Trainers (Afaan Oromo. High Res).	2019	
NR	CRS FtF Ethiopia Livelihoods for Resilience - Oromia. (2019). Youth Peace Ambassador's Conflict Mitigation and Management Training Manual (Afaan Oromo Version). Retrieved from DEC: https://pdf.usaid.gov/pdf_docs/PA00XG31.pdf Red	2019	
NR	CRS FtF Livelihoods for Resilience - Oromia. (2019). Leadership Training. The Center of Creative Leadership.	2019	
NR	CRS FtF Livelihoods for Resilience - Oromia. (2020). Nutritious Diets Manual for Household-Level Planning and Budgeting. Retrieved from DEC: English https://pdf.usaid.gov/pdf_docs/PA00XG35.pdf; Afaan Oromo: https://pdf.usaid.gov/pdf_docs/PA00XG34.pdf Red	2020	Nutrition
NR	A Practical Approach for Applying Resilience Thinking: MERCY CORPS' STRATEGIC Resilience Assessment	2017	
NR	Guidelines for Resilience Systems Analysis: How to analyse risk and build a roadmap to resilience	2018	
NR	RESILIENCE MEASUREMENT PRACTICAL GUIDANCE NOTE SERIES #7: Cost-Benefit Analysis	2018	VfM
NR	RESILIENCE MEASUREMENT PRACTICAL GUIDANCE NOTE SERIES #6: Recurring monitoring system	2018	

NR	RESILIENCE MEASUREMENT PRACTICAL GUIDANCE NOTE SERIES #5: Design and Planning for Resilience Monitoring And Evaluation at the Activity Level	2018
NR	RESILIENCE MEASUREMENT PRACTICAL GUIDANCE NOTE SERIES #4: Resilience Analysis	2018
NR	RESILIENCE MEASUREMENT PRACTICAL GUIDANCE NOTE SERIES #3: Resilience Capacity Measurement	2018
NR	RESILIENCE MEASUREMENT PRACTICAL GUIDANCE NOTE SERIES #2: Measuring Shocks and	2018
NR	RESILIENCE MEASUREMENT PRACTICAL GUIDANCE NOTE SERIES #1: Risk and Resilience Assessments	2018
NR	RESILIENCE MEASUREMENT PRACTICAL GUIDANCE NOTE SERIES: An Overview	2018
NR	STRESS- Strategic resilience assessment-Guidelines	2017
NR	WHAT LEARNING LOOKS LIKE AT USAID: A synthesis of interviews with USAID learning initiatives	2018
NR	HUMAN AND INSTITUTIONAL CAPACITY DEVELOPMENT HANDBOOK: A USAID model for sustainable performance improvement	2010
NR	KNOWING WHEN TO ADAPT: Decision tree	2019
NR	PROGRAM CYCLE- Discussion Note: Adaptive Management	2018
NR	Resources to Strengthen Adaptive Management for Livelihoods Programming in Emergency Settings: Challenges and opportunities	2022
NR	PROGRAM CYCLE RESOURCE: USAID evaluation and monitoring terms	2017
NR	USAID EVALUATION POLICY: Evaluation Learning from Experience	2016
NR	Tools for Knowledge and Learning: A Guide for Development and Humanitarian Organizations	2006
NR	Case study: Assessing the value of learning	2018
NR	Putting Learning at the Center: Adaptive development programming in practice	2016

NR	A framework for Monitoring, Evaluating, and Learning from Conservation Enterprises	2020	
NR	CONSERVATION ENTERPRISES: Using a Theory of Change Approach to Examine Evidence for Biodiversity Conservation	2016	
NR	Outcome Harvesting method Brief	2012	
NR	Shock responsive programming and adaptive mechanisms	2017	
NR	Developing a Project Logic Model (and its Associated Theory of Change)	2017	
NR	Nature Based Solutions for Climate Change Adaptation – Knowledge Gaps: An Analysis of Critical Knowledge Gaps, Needs, Barriers and Research Priorities for Adaptation: Working paper	2014	
NR	Analyzing Resilience for better targeting and action: Resilience Index Measurement and Analysis (RIMA)	2016	
NR	Contribution Analysis for Adaptive Management: Briefing note	2020	
NR	Lowlands Resilience Project Approved Design		
NR	CRS Ethiopian Livelihoods and Resilience Program (ELRP) Joint Monitoring Review (J-SMR) Recommendations	2019	
NR	Household Economy Analysis Results Amhara Regional Overview: 2017 and Changes in Livelihoods Since 2005/06	2017	
NR	Safety Nets, Resilience, and Food Security in Ethiopia	2019	
NR	FH FY20 (DFSA) - Gender media tools effectiveness	2020	
NR	FH FY20 (DFSA) - Soil quality and water conservation assessment	2020	
NR	Kimetrica Early Warning System Final Report Policy Brief and Summary	2020	EW
NR	Targeting Study in Somali Regional State, Ethiopia, Final Report	2019	
NR	TIGER PAD Annex 5. Conflict Analysis Summary	2020	

NR	Transition into Graduation through Enhanced Resilience (TIGER), Highlands Resilience Project, Project Appraisal Document (PAD)	2020
NR	Lowlands Resilience Project Design Plan	
NR	Best Practices and Lessons Identified Standardized Provision of Non-Food Items (NFIs), NDRMC Capacity Development (Internship Activity) and After-Action Review Process Oromia, SNNPR and Somali Regions, Ethiopia (NIMS)	
NR	2015/16 Welfare Monitoring Survey (WMS) data and documentation	
NR	Draft Report--HEA-based GRAD Analysis	
NR	RiPA South Annual Report	
NR	CRS JSMR Recommendations	
NR	FH JSMR Recommendations	
NR	REST JSMR Recommendations	
NR	World Vision JSMR Recommendations	

ANNEX II: CODEBOOK AND NUMBER OF REFERENCES

Name	Description	Number of Files	Number of References
Address the needs gaps	Document evidence that talks about how USAID resilience interventions are addressing/isn't addressing the right needs/gaps in the right way	19	34
Conditions of resilient outcomes	RQ1. What are necessary versus sufficient conditions for more resilient outcomes?	22	98
Necessary condition	Document evidence of necessary conditions for more resilient outcomes. This can include, for example, contextual factors and enablers. - Lowlands, midlands, highlands - Gender focus - Training - Economic support - Early warning - Government - Diversification	19	47
Sufficient condition	Document evidence of sufficient conditions for more resilient outcomes. This can include, for example, contextual factors and enablers. - Lowlands, midlands, highlands - Gender focus - Training - Economic support - Early warning - Government - Diversification	5	9
Evidence	RQ5. From what source-types, and based on what evidence, are findings generated? RQ6. What is the validity of the evidence?	36	251
Rigor	Document evidence of rigor of evidence found in the document. Also include analytical memos to make reflections on the rigor of evidence (because much of this will not be explicitly mentioned in the text and therefore unable to code).	22	55
Source-types of evidence	Document evidence of the source-type of evidence in each document.	38	102
Validity of evidence	Document evidence of validity of evidence found in the document. These can include, for example, instances and mentions of the following: - Limitations of the methods - Limitations of the implementation context - Ability or inability to make causal claims - Strategies included to mitigate identified limitations (i.e., limiting bias) - Instances of triangulation and/or substantiation of evidence	36	76

What evidence	This code can be used as a catch-all during initial coding to capture the evidence itself	10	15
Identification of root causes	RQ3. How are root causes identified?	21	81
Intervention qualifiers			
Crisis modifier	Identification and documentation of the following: A tool used by development programs to repurpose internal budgets or new contingency funding for quick action to protect development gains, preserve recipient assets, and prevent or delay the need for humanitarian response.	12	57
HDP Nexus (coherence)	Identification and documentation of the following: An intentional process to promote appropriate sequencing, layering, and/or integration across humanitarian, development, and peace assistance in pursuit of a common agenda.	7	28
Systems-based approach	Only use this code if you cannot identify which intervention to code to, but you want to say it is systems-based	29	99
Interventions	When the specific type of intervention is unclear (or unable to be coded)	11	19
Access to food safety nets	Code any instances of this intervention in the documents	16	43
Agriculture and livestock production	Code any instances of this intervention in the documents	36	168
Asset building	Code any instances of this intervention in the documents	30	106
Availability of agriculture vet inputs and services	Code any instances of this intervention in the documents	23	56
Availability of cash	Code any instances of this intervention in the documents	21	62

Behavior Change Communication	Code any instances of this intervention in the documents	15	59
Climate change adaptation	Code any instances of this intervention in the documents	11	23
Conflict prevention and management	Code any instances of this intervention in the documents Conflict: An inevitable aspect of human interaction, conflict is present when two or more individuals or groups pursue mutually incompatible goals. "Conflict" is a continuum. When channeled constructively into processes of resolution, conflict can be beneficial; however, conflict can also be waged violently, as in war.	11	32
Disease and pest surveillance	Code any instances of this intervention in the documents	3	3
Early warning systems (EWS) and disaster risk reduction (DRR)	Code any instances of this intervention in the documents DRR: Aimed at preventing new and reducing existing disaster risk and managing residual risk, all of which contribute to strengthening resilience and, therefore, to the achievement of sustainable development.	27	123
Emergency response	Code any instances of this intervention in the documents	17	77
Employment and job creation	Code any instances of this intervention in the documents	21	71
Financial inclusion, financial services, and access	Code any instances of this intervention in the documents	39	273
Gender	Gender is cross-cutting, so if you select gender, you will likely also select another type of intervention as well	26	131
Governance	Code any instances of this intervention in the documents	15	44
Health	Code any instances of this intervention in the documents	20	51

Improved technology	Code any instances of this intervention in the documents	12	40
Inclusive natural resource management (land, water, etc.)	Code any instances of this intervention in the documents	11	33
Pastoral natural resource management	Including pastoral natural resource management	3	6
SWC	Including SWC	7	95
Markets, livelihoods, and SMEs development	Code any instances of this intervention in the documents	40	177
Mental Health	Code any instances of this intervention in the documents	5	21
Nutrition	Code any instances of this intervention in the documents	27	91
PWD - People with Disabilities	Code any instances of this intervention in the documents	3	12
Roads and infrastructure (warehousing, transport)	Code any instances of this intervention in the documents	14	28
Social capital building	Consists of reciprocal obligation networks that give people the ability to lean on each other during times of need. Social capital makes collective action toward goals possible and is a capacity that people, households, and communities can draw on to protect against, mitigate, or manage shocks or stresses.	19	88
Bonding	Referring to aspects of 'inward looking' social networks that reinforce exclusive identities and homogeneous groups. Bonding social capital exists within a group or community. It is characterized by high levels of demographic, attitude, and resource similarities. Bonding social capital often exists between family members, friends, and neighbors.	11	24

Bridging	Referring to 'outward looking' social networks across different social and ethnic groups that do not necessarily share similar identities. Bridging social capital exists between groups or communities that may be otherwise divided along the lines of race, class, religion, or the like. Bridging social capital refers to the relationships and associations that "bridge" the divides between groups and communities.	6	7
Linking	Referring linking social capital to norms of respect and trusting relationships across power or authority gradients. Linking social capital is often viewed as an extension of bridging social capital. It describes the norms of respect and trust that guide the relationships between individuals interacting across explicit lines of institutional power, often vertical. Examples of linking social capital include the interactions between community-based organizations and national governments.	5	11
Training (as an intervention)	You will likely need to code for two intervention codes if you select training. One for training, another linked to the type of training.	19	61
WASH and water infrastructure (irrigation)	Code any instances of this intervention in the documents	19	55
IR 2.1 HH food insecurity	Instances of IR. 2.1 Household food security increased	33	140
IR 2.2 Shock-resilient livelihoods	Instances of IR 2.2 Shock-resilient livelihoods are increasingly adopted and maintained	34	89
IR 2.3 NRM to meet livelihoods	Instances of IR 2.3 Natural resource and water management improved Sustainable NRM optimizes the use of resources to meet current livelihood needs, while maintaining and improving local resource stocks for future needs.	9	30
IR 2.4 Social service barriers reduced	Instances of IR 2.4 Barriers to social services reduced	21	33

Lessons observed	Code any instances of explicit lessons learned in the documents	8	23
Resilience capacities	Identification and documentation Absorptive/Adaptive/Transformative examples of resilience capacities but use the sub-codes for the coding	27	156
Absorptive resilience capacities	Absorptive resilience capacities are abilities used to minimize exposure and sensitivity to shocks and stresses through preventative measures and appropriate coping strategies that ensure short-term survival while trying to avoid permanent, negative impacts. For example, DRR, financial services, and health insurance.	16	46
Adaptive resilience capacities	Adaptive resilience capacities are abilities that enable informed choices and changes in livelihood and/or other strategies in response to longer-term social, economic, and environmental change. For example, income diversification, market information, and trade networks	18	37
Transformative resilience capacities	Transformative resilience capacities are the governance mechanisms, policies and regulations, cultural and gender norms, community networks, and formal and informal social protection mechanisms that constitute the enabling environment for systemic change. For example, infrastructure, good governance, and formal safety nets.	18	72
Risk (profile)	Identification and documentation of the following: The possibility of harm or losses resulting from natural or human-induced shocks and stresses (or interactions between these). Risks are assessed according to their likelihood (probability) and impact (severity).	19	70
Shock	Identification and documentation of the following: External, short-term deviations from long-term trends that have substantial, negative effects on people's current state of well-being, level of assets, livelihoods, safety, or their ability to withstand future shocks. Shocks can be covariate events that directly affect large numbers of people in each geographic area (e.g., drought and pandemic) or idiosyncratic events that affect specific individuals or households within a community (e.g., illness or de	19	76
Stress	Identification and documentation of the following: Long-term trends or pressures that undermine the stability of a system and increase vulnerability within it. Stresses could	11	35

	include factors such as population pressure, climate variability, chronic poverty, persistent discrimination, and protracted crises like intergroup conflict. Like shocks, stresses can be covariate, affecting large numbers of people in each geographic area, or idiosyncratic, affecting specific individuals or households within a comm		
Sequencing, layering, and integrating (SLI) interventions	OBJ. What USAID-supported interventions, sequence, or combination of interventions leads to more resilient households, communities, and systems in Ethiopia? Due to the complex and adaptive nature of resilience crises, sequencing, layering, and integrating (SLI) of interventions is required to reach intended outcomes and drive collective impact.	12	38
Integration of interventions	Instances where specific resilience outcomes were reached as a result of integration/combinations of interventions. Integration of interventions is the intentional layering and sequencing of multisectoral interventions (across projects) and the coordination of actors to address needs and prevent or reduce the drivers and effects of shocks and stresses that undermine long-term well-being.	13	26
Layering of interventions	Instances where specific resilience outcomes were reached as a result of layering of interventions. The strategic coordination of geographically overlapping interventions (within a project) across the different sectors and stakeholders that complement each other to achieve resilience objectives. Interventions can be designed to layer over and build on the completed interventions in the recent past or ongoing interventions within or across sectors, stakeholders, and different pillars of assistance.	13	26
Sequence of interventions	Instances where specific resilience outcomes were reached as a result of well-sequenced interventions. Sequencing is the intentional organization and phasing of interventions and the way they are delivered, to coordinate the order in which activities are implemented and actors are engaged to maximize outcomes and sustainability.	9	13
Variables related to outcomes	RQ2. What are the most repeatable and consistent variables under scrutiny and related to outcomes?	9	24
Climate	Instances where documents are discussing outcomes related to climate.	4	10
Consistent variables	Document any mention of consistent variables	5	9

Graduation	Instances where documents are discussing outcomes related to graduation, graduation process, evidence-based graduation, graduation outcomes, etc.	10	74
Highlands	Instances where documents are discussing outcomes related to highlands or outcomes specific to the highlands.	11	64
Local solutions	Instances where documents are discussing outcomes related to local solutions, indigenous governance, CSO engagement, etc.	13	25
Lowlands	Instances where documents are discussing outcomes related to lowlands or outcomes specific to the lowlands.	7	35
Men	Instances where documents are discussing outcomes related/specific to men.	5	10
Migration	Instances where documents are discussing outcomes related to migration.	6	17
Repeatable variables	Document any explicit mention of repeatable variables	1	3
Variables under scrutiny and related to outcomes	Document any variables under scrutiny and related to outcomes (analysis will allow us to identify which are repeatable and which are consistent)	21	46
Diversification	Including diversification	1	2
Gender Focus	Including gender focus	8	28
Women	Instances where documents are discussing outcomes related/specific to women.	16	87
Youth	Instances where documents are discussing outcomes related/specific to youth.	12	92