OECD
BETTER POLICIES FOR BETTER LIVES

Guidelines for Resilience Systems Analysis – Facilitation Guide

THE DEVELOPMENT ASSISTANCE COMMITTEE:
ENABLING EFFECTIVE DEVELOPMENT

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Introduction

The following guidelines provide detailed guidance on how to organize a Resilience System Analysis workshop. They support the OECD's "Guidance for Resilience System Analysis". The steps for the workshop are outlined in Figure 1.

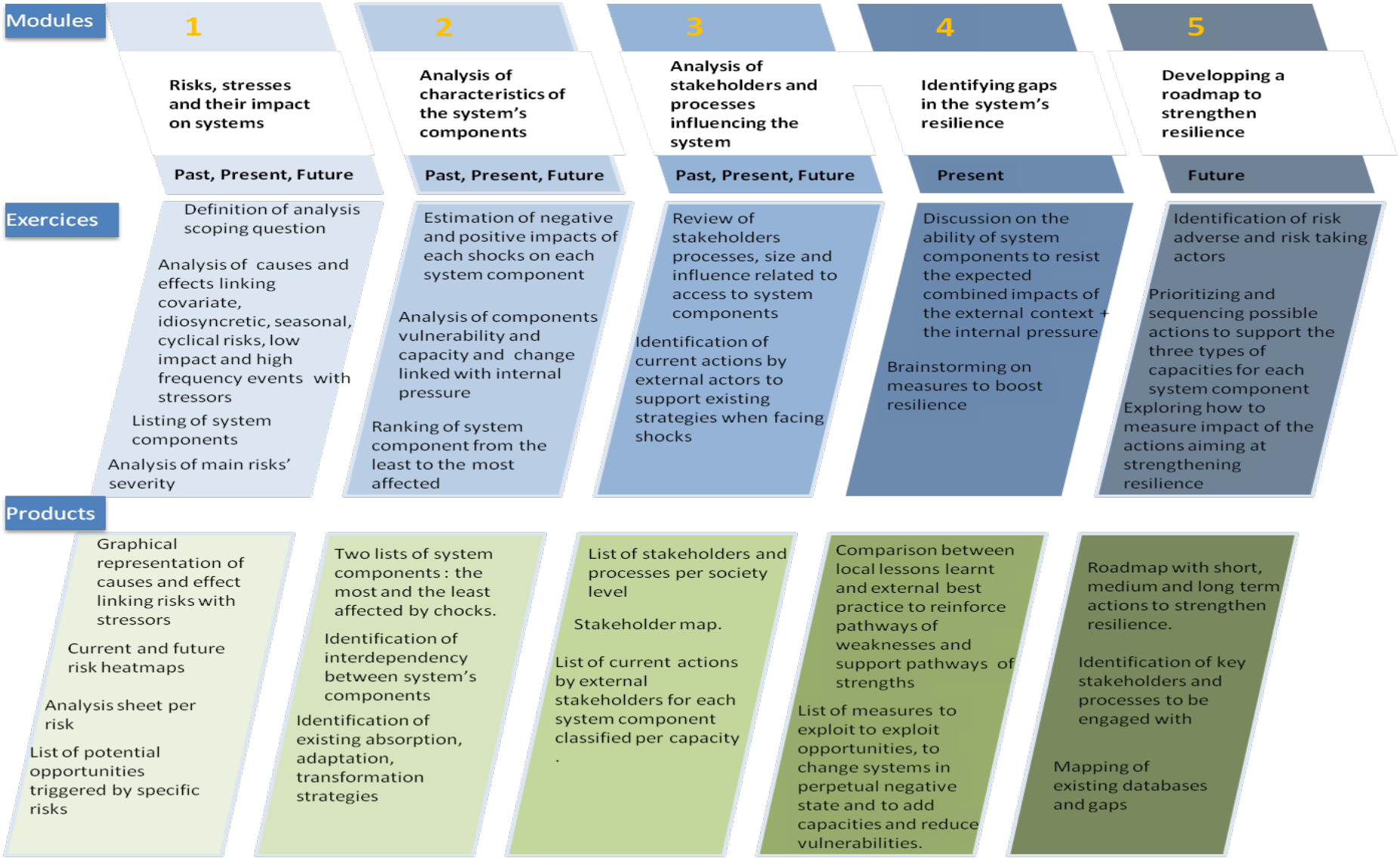
The guidelines have been written in a generic manner so that they can be applied to all contexts, and with all scoping questions – the resilience of what, for whom, to what risks over what timeframe?

A successful workshop will require at least two facilitators. These people should alternate their leadership of different workshop sessions based on their various areas of expertise.

Two days of preparation, on-site, will be needed to set up the workshop. The workshop itself takes two days. One further day will be required to ensure a good debriefing after the workshop.

PowerPoint presentations to support the workshop are available on the OECD's resilience website: www.oecd.org/dac/governance-development/resilienceroadmap.htm. The PowerPoint slides include notes to help the facilitators prepare the workshop sessions. Thumbnails of these PowerPoints, and supporting notes, can be found at the end of this Facilitator's guide. All the hand-outs for the workshop are attached as annexes.

Figure 1: Five steps of the Resilience System Analysis Workshop



Workshop Agenda

Resilient Systems Analysis		Day 1	Day 2
Morning	8.00 – 9.00	**Opening** Registration of participants, introductions and security briefing **Workshop Objectives**	Feedback on Day 1: Evaluation and suggestion box **Review of Day 1**
	9.00 – 10.30	**Introduction: What is resilience?**	**Module 3** **Analysis of stakeholders and processes influencing the system**
	30' break		
	11.00 – 12.30	**Module 1** **Risks, stresses and their impact on the system**	**Module 4** **Identifying gaps in the system's resilience**
12.30 to 13.30		**Lunch**	
Afternoon	13.30 – 15.00	**Module 2** **Analysis of characteristics of the system**	**Module 5** **Constructing a road map to boost resilience**
	30' break		
	15.30-17.00	**Module 2 (continued)**	**Module 5 (continued)**
	17.00 – 17.10	**Evaluation of Day 1**	**Individual action plans and final evaluation**

Overview of Workshop Structure

By the end of the workshop participants will be able to:

- Describe concepts linked to resilience such as risks, shocks, stresses, vulnerabilities and capacities,
- Share a vision of current and future risks and their impact on the system
- Develop a road map to boost the system's resilience.

DAY ONE

Modules	Module Aim	By the end of the module participants will be able to :
Introduction **What is resilience?**	Provide an overview of definitions and concepts to understand what resilience is	• List key words to define idiosyncratic and covariate shocks, risk and stresses. • Describe the added value of resilience compared to risk reduction approaches. • Explain the three types of capacities which contribute to boosting resilience.
Module 1 : **Risks, stresses and their impact on systems**	Share a vision of the covariate, idiosyncretic and low-impact recurring shocks, as well as stresses and their long-term role fuelling change and uncertainty for the system under analysis	• Identify the key events and stresses that have impacted on and will impact on the system • Describe the cause and effect relationships between these shocks and stresses • Plot the likelihood and impact of shocks to prioritise the most severe ones, now and within the agreed timeframe
Module 2 **Analysis of characteristics of the system's components**	Explain how different risks affect the various parts of the system differently, depending on capacities and vulnerabilities, and on cascading impacts or new opportunities triggered by shocks	• Explain why some components are less affected and some more affected by shocks • Identify key variables and links between key system components that accelerate vulnerabilities or capacities • List existing capacities for priority components

Modules	Module Aim	By the end of the module participants will be able to :
Module 3 Analysis of stakeholders and processes influencing the system	Analyse how stakeholders and processes influence level, quality and access to system components	• Identify key stakeholders influencing system parts • List the processes through which they are influencing different parts of the system, in term of level, quality and access • Map stakeholders' current and future influence on the system
Module 4 **Identifying gaps in the system's resilience**	To share a vision on resilience gaps to be filled now and in the future	• Capture which current programming by external stakeholders contributes to boosting which capacity, for each system component • Weigh up the different positive and negative impacts of the risk landscape, stakeholders' influence and external support on different components of the system • Discuss the resilience gaps to be filled per component
Module 5 **Constructing a road map to boost resilience**	To construct a road map to boost resilience in the short, medium and long terms	• Decide on measures to fill in resilience gaps and boost system resilience • Identify which stakeholders and their processes need to be engaged with • Prioritize and sequence measures • Brainstorm on a measurement framework

Logistics and Workshop Preparation

List of equipment and stationery required for the workshop

EQUIPMENT			
Item	Amount	Unit	Comments
LCD Projector	1	piece	
Laptop	1	piece	connected to the Projector
Remote Control	1	piece	to circulate in the room while using PowerPoint
Printer	1	piece	Need a portable printer in the room
Printer Cartridge	1	piece	Spare
CD driver for the printer	1	piece	to set up the printer software on facilitator's laptop
STATIONERY for the room			
Item	Amount	Unit	Comments/Status
Flip Chart paper	5	rolls	
Empty badges with white cards	40	pieces	
Standard Envelopes	15	pieces	
Pens	50	pieces	Ensure mix of 4 colours
A4 white paper for printing and photocopying	2	pack 500	
A4 plastic Folder for Participants	40	pieces	To keep hand-outs safe
Blue tack	1	pack	
Transparent small tape	1	roll	
Staplers & staples	2	set	
Scissors (medium)	1	Piece	

STATIONERY per table			
Item	Amount	Unit	Comments/Status
Baskets or containers	6	pieces	1 per table for stationery
Large width Masking tape	10	rolls	1 per table + 4 for the room
Pen	50	pieces	Ensure mix of 4 colours per table
Large multicolour Post-it / sticky notes	30	packs	5 packs of 50, different colours per table, ensure they stick
Permanent markers	40	pieces	4 different colours, ten of each of good quality
Highlighters	40	pieces	1 per participant
UHU stick/ glue sticks	6	pieces	1 per table

List of hand-outs, printing instructions, preparation and distribution instructions

DAY ONE

Module	File title	Printing instruction	Preparation instruction	Where do I find the hand-out?	Distribution instruction
Opening	Participants list for registration	1	A4, Black & White	To be designed	For registration on arrival
Opening	Workshop agenda	1 per person	A4, Black & White	Page 4 of this guidelines	1 per person
Opening	Workshop overview	1 per person	A4 Black & White	Page 5 of this guidelines	1 per person
Opening	A Workshop in 5 Steps	1 per person	A4 Colour	Slide 7	1 per person
Introduction	What is risk?	1 per person	A4 Colour	Slide 13	1 per person
Introduction	Definition of resilience	1 per person	A4 Black & White both sides	Slides 15 and 16	1 per person
Introduction	Definitions	2 for each group	A4 Black & White	In Annex	1 per group in A4 format and 1 per group cut out in envelope, refer to the exercise for instruction
Module 1	Examples of assets per capital group	1 per person	A4 Black & White	Slide 41	1 per person
Module 1	Causes and effect of shocks	1per person	A4 Colour	Prepare graph in PPT following guidelines	1 per person
Module 1	Causes and effect of shocks	1 per group	A2 Colour	Same as above	1 per group
Module 1	Risk heat map	1 per person	A4 Colour	Prepare graph in Excel, following guidelines	1 per person
Module 1	Risk heat map	1 per group	A2 Colour	Same as above	1 per group
Module 1	Set of risk profiles	1 per group	A4 Colour	Prepare following guidelines/ Excel template	1 per group

Module	File title	Printing instruction	Preparation instruction	Where do I find the hand-out?	Distribution instruction
Module 2	Questions underpinning module 2	1 per group	A4 Black & White	Slide 42	1 per group
Module 2	Example of capacities at various levels of society	1 per person	A4 Black & White	In Annex	1 per person

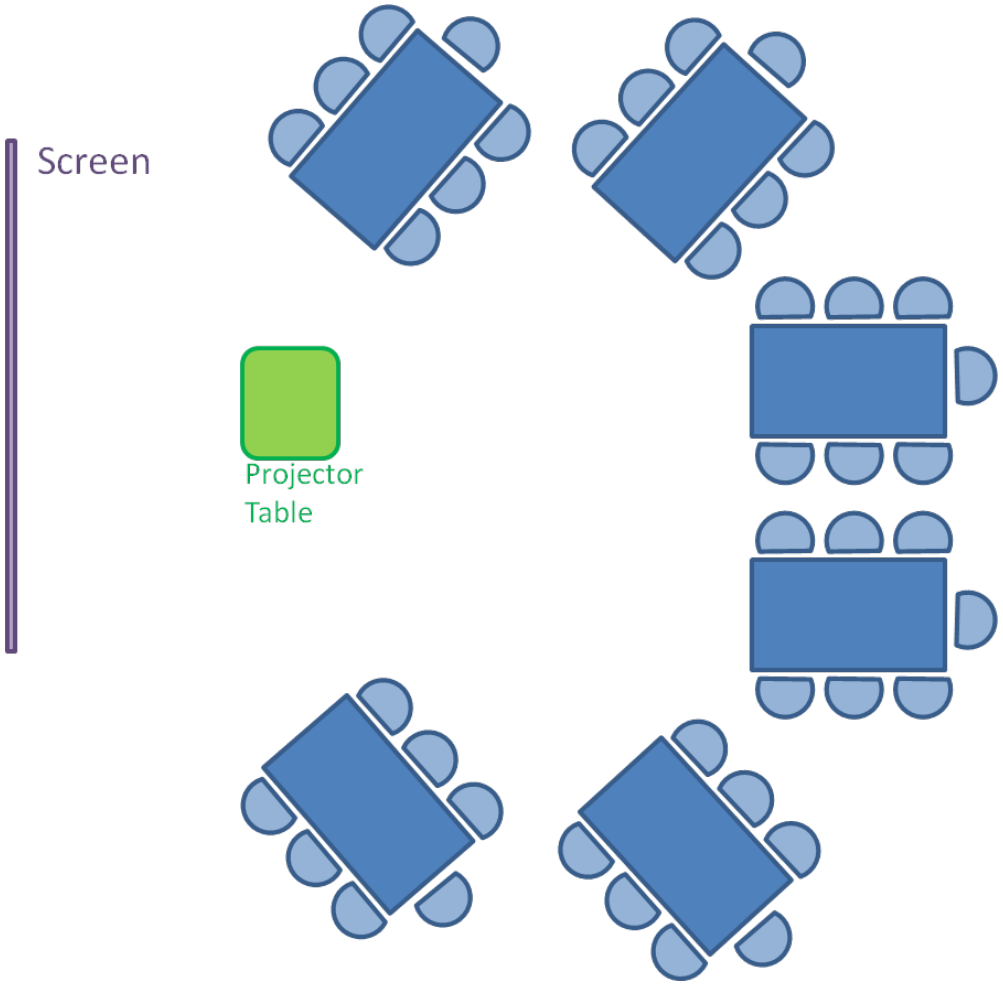
DAY TWO

Module	File title	Printing instruction	Preparation instruction	Where do I find the hand-out?	Distribution instruction
Module 4	Slide Identifying the resilience gaps	1 per group	A4 Black &White	Slide 64	1 per group
Module 5	Table : Principles of resilience	1 per person	A4 Black & White	In Annex	1 per person
Closure	Individual action plan	1 per person	A4 Black & White	In Annex	1 per person
Closure	Final evaluation	1 per person	A4 Black & White	In Annex	1 per person

Setting up the workshop room

The day before:

- Confirm the time of the coffee breaks with the hotel/ catering, and give the hotel a print out of the agenda
- Ensure all participants know where the meeting room is, and at what time the workshop starts.
- Set up the room in “café style” as shown here:



Workshop Opening

Duration	60 ‘
Room set up	• Day 1 : set up the registration table with the participants list with 2 columns for Day 1 and Day 2 • Put the clearly marked Suggestion Box at the back of the room • Prepare 3 empty flip charts with following titles: “ Parking lot” “ Acronyms” “ Additional expectations” • Prepare a flip chart with the “Workshop Objectives” and one with the “Ground Rules?” • Stick the flip charts to the wall with blue tack or masking tape. Test if the ink of markers goes through the paper and make sure you avoid damaging the wall! • Test the projector, the remote control and that the screen can be read from the back of the room. • Ensure your facilitator table is well positioned so that you don’t walk between the projector and the screen
Print outs	• Agenda • Overview of the workshop structure

Detailed Module Plan

Duration	Content	Guidance for the facilitator	Material Needed
15’	Welcoming participants	Welcome participants to sit freely at any table after having signed the register. Ask them to correct their names on the list if spelt wrong. Ask them to write their names on the blank badges with a marker pen.	Name Badges Marker pens on tables List of participants
10’	Opening words	The organizing body welcomes participants, setting the stage for the workshop and its expected outcome.	
3’	Exercise 1	Participants take one sticky note each and each write, with a marker pen, a key word to describe resilience	Post–it (sticky) notes on each table
10’= 15”*40 participants:	Plenary: Participant introductions	Each participant stands up and shares his/her name, organization and title/ job. They also read out their key word for Resilience. The organizers and administrative team also introduce themselves. All participants then stand up and stick their note on the flipchart titled “Resilience”	Flip chart “Resilience”

Duration	Content	Guidance for the facilitator	Material Needed
5’	Slide: Workshop Objectives	*Facilitator’s preparation :* *Throughout the presentation, green boxes with red font indicates modifications/ adaptations you need to prepare before the workshop starts, to adapt the PowerPoint to the particular context of your workshop group* *Insert pictures relevant to your context on the slides where there is the instruction to do so. Ensure their size is reduced to avoid designing a PowerPoint presentation which would slow computers down* *You can refine the objectives according to your specific context and scoping question* • Let one participant read out loud one Workshop Objective, then another participant will read the next one etc. (you can use this method for all the slides referring to objectives during the workshop) • Show the flipchart where you have written the Workshop Objectives and explain that it will stay on the wall until the end to guide the group. • Ask participants to write any other expectations they have on post-its and put them on the “Additional Expectations” flipchart on the wall, after having read them out loud. Explain which ones are realistic within the timeframe of the course, and which ones should be put in the “Parking Lot”.	Flip chart “workshop objectives” Flip chart “additional expectations”
5’	Slide: Ground Rules	Ask participants if they have any other ground rules they want to encourage. Ask them to write each one on a sticky note and put them on the “Ground Rules” flipchart after having read them out loud	Flip chart “Ground Rules”
5’	Slide: Agenda	*Facilitator’s preparation :* *After designing your agenda in Word, copy and click on paste special/ Select in the Menu “Picture PNG”* Walk participants through the Agenda and give them each a print out. Let the admin person explain the logistics of the breaks, where bathrooms are located, expense forms and flight confirmation arrangements if appropriate	Print out of the agenda & the workshop structure
5’	Slide: Scoping Question	*Facilitator’s preparation: The last column provides you with an example from Eastern DRC. After reviewing it, delete its content and replace with key points from your scoping question.* Explain the 4 axes defining the boundaries of Resilience Systems Analysis	

Duration	Content	Guidance for the facilitator	Material Needed
2’	Slide: Evaluation	Explain that participants will do an evaluation on day 1, and a final evaluation on day 2. They can use the Suggestion Box at the back of the room at any time. To ensure that the workshop will have a real impact on their daily work, they will have to develop an Action Plan at the end of the workshop, in which they will individually commit to three actions.	
5’	Slide: Security and Logistics	*Facilitator’s preparation :* *Add a few key points to the slide* Highlight key points on security including fire exits and write an emergency contact number on a flipchart	

Introduction: What is Resilience?

Duration	**90 ‘**
Module Aim :	Provide an overview of definitions and concepts to understand what resilience is
Module Objectives:	At the end of the module participants will be able to: • List key words to define idiosyncratic and covariate shocks, risk and stresses. • Describe the added value of resilience compared to risk reduction approaches. • Explain the three types of capacities which contribute to boosting resilience
Preparation	• Ensure the presentation is revised for your context Print in black and white : • Hand-out : Pressure and Release model (1 per participant) • Hand-out : Definition of Resilience (1 per participant) • Hand-out definitions : 2 per each group (= 12), 1 to be cut according to instructions and pieces put into an envelope

Detailed Module Plan

Duration	Content	Guidance for the facilitator	Material Needed
3’	Slides: Aim and Objectives	Involve participants by encouraging them to read each objective out loud and in turn	PPT
10’	Slide: What is a Risk?	Distribute the Pressure and Release hand-out. Let participants read it for 5 minutes. Ask participants if they have already seen the figure and complement their inputs.	Hand-out: Pressure and Release model, 1 per participant.
5’	Slides: Terminology	Explain the terms while referring to the slide’s notes	
5’	Slide: Definitions of Resilience	*Facilitator’s preparation :* *Include definitions of Resilience of the host of the workshop, the participating agency, or the country you are working in* Explain that the next two slides present some definitions which might be useful, but that we are not there to debate the semantics of words used.	Hand-out : definitions of resilience

Duration	Content	Guidance for the facilitator	Material Needed
		The important thing is for participants to remember key words that are related to "resilience". Ask participants to read the hand-out and highlight key words for themselves.	
5'	Slide: Capacities	Explain the three types of capacities necessary to boost resilience	
2'	Slide: Rock /Hammer	Explain the image to summarise resilience	
5'	Slide: Resilience/ DRM	Refer to Table 1 of the Guidelines and walk participants through the matrix line by line.	
10'	4 slides: Philippines Case study	Walk through the case study highlighting learning for the group	
20'	**Exercise 1 :** Boosting capacities at different levels of society	<u>*Facilitator's preparation :*</u> *You will have drawn Matrix 1 (Annex 4) by joining together 4 flipcharts in landscape format. The empty matrix should be stuck on the wall, so that all participants can see where they have to put their sticky (post-it) notes* Explain that we have seen the importance of various actors combining their efforts at various levels of society. We would like to explore now how far this is also the case for the workshops country or area of focus. Leave the instructions on the screen during the exercise, so that participants can easily refer to them. Do this throughout the workshop.	
5'	Debriefing	Debrief in plenary by looking at the pattern on the wall. Are most sticky notes concentrated at one level of society? In support of one or more capacities?	
15'	**Exercise 2 :** Definitions	<u>*Facilitator's preparation :*</u> *You will have printed out 2 hand-outs on "Definitions" per table.* *One remains as an A4 sheet, and will be distributed to the group to assess whether they managed the exercise properly.* *The other copy will be cut into pieces. Separate each term from its definition* *Put all the cut out papers into one envelope and write the number of the group on it.* Distribute the envelopes to each group, along with one clean flip chart paper and glue stick.	Hand-out: Definitions : 1 per table in A4, and one cut out in an envelope

Duration	Content	Guidance for the facilitator	Material Needed
	Debriefing	When all groups have finished gluing pieces of paper onto the flipchart, give them the A4 "Definition" sheets for them to correct their exercise.	
5'	Slide: Review of the module's objectives	Ask the first question to one participant and let him/ her answer Do the same with each objective. Use this method (questioning Objectives) throughout the workshop, to check whether each module's objectives have been reached. Clarify if answers are incorrect, or ask someone else in the room to respond.	
Explain where the break will take place; provide the wireless internet code, only to be used during breaks. When you are back from break, ensure all PCs are closed and set aside before you start the next session.			

Module 1: Risks, Stresses and their Impact on Systems

Duration	**90 '**
Module Aim :	Share a vision of the covariate, idiosyncratic and low-impact recurring shocks, as well as stresses and their long-term role in change and uncertainty for the system under analysis
Module Objectives:	At the end of the module participants will be able to : • Identify the key events and stresses that have impacted, and will impact, on the system • Describe the cause and effect relationships between these shocks and stresses • Plot the likelihood and impact of shocks to prioritise the most severe, now and within the selected timeframe
Preparation	• Hand-out : Cause and Effect panorama in colour A4 (1 per participant) • Hand-out for the 6 groups : 6 colour print outs of the Cause and Effect panorama on A2 or A3 (larger) paper • Hand-out : Risk heat map in colour A4 (1 per participant) • Hand-out for the 6 groups : 6 colour print outs of the risk heat map on A2 or A3 paper • Hand-out for the 6 groups: 6 sets of risk profiles taken out of the Briefing Pack

Detailed Module Plan

Duration	Content	Guidance for the facilitator	Material Needed
3'	Slides: Aim and Objectives	Involve participants by having them read each objective out loud and in turn	PPT
3'	Slide: External events triggering change	Read each question and then have silence, time for participants to reflect. Explain to participants that these questions underpinned the preparation of the Briefing pack outputs such as the risk profiles, the causes and effects panorama and the risk heat map. They will have to keep these questions in mind during this module's exercise	
1'	Slide: Analysing causes and effects between shocks	*Facilitator's preparation :* *Replace this graph with the one you prepared for the briefing pack.* *You can prepare it in PowerPoint, then save the slide as a PNG picture and paste it there.* *You can also select all the elements in your slide, and click on paste/ paste special/ Picture (PNG)*	6 colour print outs in A2 format + 1 colour A4 hand-out per participant

Duration	Content	Guidance for the facilitator	Material Needed
40’	**Exercise 2 :** Causes and effects between shocks	*Facilitator’s preparation :* *Ensure you have 6 colour print outs in A2 format + 1 colour A4 hand-out per participant* Distribute the A2 hand-out one per group and the A4 to each participant, and ask groups to discuss and modify. Participants might want to add some risks, to change causal relations, or to change categories (i.e. considering some risks as stressors, or changing risks from covariate to idiosyncratic etc…)	Colour pens on each table
10’	Debriefing	Silent gallery walk by group: Each group moves from one table to another and take notes on the suggestions of other groups. If you have time, ask some questions in plenary At the end of the exercise, collect all sheets and explain you will produce a synthesis of all inputs and include it in the report it as a key output from the workshop.	
5’	1 slide: Severity	Walk participants through the formula to calculate risk severity	PPT
3’	1 slide: Heat map	*Facilitator’s preparation :* *Replace with a picture of the risks heat map you came up with for the Briefing pack* Summarize how you came up with the heat map for the Briefing pack	PPT
20’	**Exercise 4** : Risk heat map	For each point or triangle representing a risk, ask each group to •Discuss if they agree on its position. They can refer to the risk profiles in the briefing pack. •Draw a black arrow towards the area where the risk should be positioned now •Draw a red arrow towards the area where the risk will be positioned in the future, within the timeframe of the analysis At the end of the exercise, collect all sheets and explain that you will produce a synthesis of all inputs and put it in the report it as a key output from the workshop.	6 colour print out in A2 format + 1 colour A4 hand-out per participants + 1 set of risk profiles from the briefing pack per table
10’	Debriefing	Silent gallery walk per group: each group moves from one table to another and takes notes of other groups’ outputs. If you have time, ask some questions in plenary At the end of the exercise, collect all sheets and explain you will produce a synthesis of all inputs and include it in the report it as a key output from the workshop.	

Duration	Content	Guidance for the facilitator	Material Needed
5’	Slide review of the module’s objective	Ask a participant the first question and let him/ her answer. Do the same with each objective, asking different participants. Use this method throughout the workshop, to check whether each module’s objective/s has been reached. Clarify if answers are incorrect, or ask someone else in the room to respond.	

Module 2: Analysis of Characteristics and Resilience of the System

Duration	**180 mins (3 hours) + 30 min. break in the middle**
Module Aim :	Explain how different risks affect various parts of the system differently, depending on capacities and vulnerabilities, and on cascading impacts or new opportunities triggered by shocks
Module Objectives:	At the end of the module participants will be able to : • Explain why some system components are less affected and some more affected by shocks • Identify key variables and links between key system components that worsen vulnerabilities or boost capacities • List existing capacities for priority components
Preparation	• Hand-out : Examples of Assets per capital group (1 per participant) • Hand-out : Questions underpinning Module 2 (1 per group) • Hand-out *Example of capacities at various levels of society* (1 per participant)

Detailed module plan

Duration	Content	Guidance for the facilitator	Material Needed
3.	Slides: Aim and Objectives	Involve participants in taking turns to read each objective out loud	PPT
15’	4 Slides: Sustainable Livelihood Approach	Ask participants if they know the figure and let them explain it to the group. Refer to the Guidelines section on Conceptual Framework and add content if required. Show the picture from DRC and ask participants to identify various elements of the Sustainable Livelihoods Approach Distribute the hand-out with examples from DRC and ask participants to read it	Hand-out: Examples of assets per capital group
7’	Slide questions underpinning Module 2	Read each question and then respect a silence to let participants reflect on the question. Explain that participants will have to keep the questions in mind during the whole module.	Hand-out: 1 copy of the questions per group

Duration	Content	Guidance for the facilitator	Material Needed
60’	**Exercise 5 :** Characteristics of System Components	*Facilitator’s preparation :* *For each of the 6 groups, you have to prepare Matrix 2 (Annex 4). During the lunch break, put the 6 matrices on the walls of the main room and break out rooms.* *Participants should not write directly on the flipchart if permanent markers might damage the wall. Instead they can write on post-it notes and stick these to the wall in the appropriate matrix cell.* *Ensure the post-its stick well, or provide transparent tape to secure them on the flipchart. Ask participants to avoid using acronyms because as a facilitator you need to understand what is written on the post it. You will have to type up the content of all matrices in the evening* Don’t forget to show the example next slide before putting instructions for the exercise back on the screen. Participants select the group looking at the part of the system they are most interested in. Try and identify one able person in each of group to lead the discussions. First, participants have to complement the list of components according to the workshop’s context, for 10 minutes For each component they : - discuss answers to key questions listed on the hand-out - write on a sticky note key points coming from the discussion - stick the note onto the matrix Components are the livelihoods assets (as listed under each capital) – starting with the list from the briefing pack Participants can add livelihoods assets (or delete some if they feel they are not important) After having contributed to one group, participants can move to another group if they wish.	Prepare 6 matrices as per instructions
30’ Tea break, groups should have tea at their tables if they have not finalised discussions			
36’=6’per group*6	Debriefing in plenary :	Each group comes to the front to present its flipchart of key points, line by line. This is the only time such detailed feedback will be presented like this during the workshop and	

Duration	Content	Guidance for the facilitator	Material Needed
groups		it enables participants to get an overview of all components of the system under analysis.	
15 mins	**Exercise 6** Selection of system components that will be further analysed	*Facilitator's preparation :* *For each of the 6 groups, you have to prepare Matrix 3 (Annex 4), which becomes an extension to the matrix prepared for Exercise 5.* Groups need to stick their matrix on the wall When Exercise 6 is over, groups will feed back the name of the components they selected in each line of the new matrix They then stick the relevant sticky notes in the appropriate cells, in order to capture the findings from exercise 5 on the new matrix, for the selected items only.	Preparation of 6 matrix
10'	**Exercise 7** Examples of strategies for each type of capacity	*Ask participants to read the hand-out individually and highlight some strategies that are relevant to the workshop's context*	Hand-out : Example of capacities at various levels of society
30'	**Exercise 8** Existing capacities for priority components	For the priority components participants selected during exercise 6, they fill in the next three columns of their matrix: What are the existing absorptive, adaptive and transformative capacities that help this asset cope with the risk landscape? Do not offer external help at this stage. Walk from one group to another to guide participants and answer questions. Explain to participants that they will continue filling the matrix in tomorrow and will debrief at a later stage.	
3'	Slide: Review of Module Objective	Ask the first question to one participant and let him/ her answer Do the same with each objective.	

Day 1 evaluation

Duration: 5'

- Prepare the following flipchart and ask participants to stick their three responses on it on their way out.

•

	☺	😐	☹
Content			
Facilitation			
Logistics			

Ask participants to write on 3 sticky notes: one for their remarks on content, one on facilitation and one on logistics. They should stick these up according to their level of satisfaction, as above.

Ask two participants to prepare a list of 10 key questions covering the content of the Day 1. They will start Day 2 by asking the questions to participants as a recap of day 1.

You will start Day 2 by debriefing on the first day's evaluation and suggestion box. In the evening, you need to capture the content of participants' matrices and prepare the new version of the heat map, including participants input, to be distributed on day 2.

Module 3: Analysis of Stakeholders and Processes Influencing the System

Duration	**90 mins.**
Module Aim :	Analyse how stakeholders and processes influence level, quality and access to system components
Module Objectives:	By the end of the session participants will be able to : • Identify key stakeholders and how they influence different parts of the system • List the processes through which they are influencing different parts of the system, in terms of level, quality and access • Map stakeholders' current and future influences on the system
Preparation	• Prepare 6 flipcharts in landscape (horizontal) format with pre- drawn tables • Prepare one set of 4 flipcharts with a pre- drawn matrix for each layer you will deal with in Exercise 10

Detailed Module Plan

Duration	Content	Guidance for the facilitator	Material Needed
5’		Ask people to sit at a table with the other people they worked with on Day 1. Split the 6 groups into 6 new groups, by counting 1 to 6 in each group and around the room. All the number 1s will form a new group and so on. In this way, each group from Day 1 is represented in each new group.	
3’	Slides: Aim and Objectives	Involve participants in reading each objective out loud	PPT
5’	2 Slides with key questions guiding the analysis	Go through these questions, which participants should keep in mind throughout the module	PPT
30’	**Exercise 9** Listing the different actors and relevant processes per category	*Facilitator’s preparation : Prepare 6 flip charts as in Matrix 4 (Annex 4)* Group 1 : Community stakeholders Group 2 : Government and public stakeholders Group 3 : Private sector Group 4 : Civil society Group 5 : International organisations Group 6 : Informal actors For their allocated group of actors. In the template provided, participants have to : • List all the actors • For each stakeholder, list the processes through which that stakeholder is influencing the system or system components • Specify at which level(s) of the system it is operating Walk from one group to another and explain that the debriefing will take place after the next exercise.	6 flip charts with the table, as per instructions

Duration	Content	Guidance for the facilitator	Material Needed
7’	Slides: Graphically represent stakeholders influence & strategy	*Facilitator’s preparation :* *Prepare Matrix 5 (Annex 4), for each level of the system you think is relevant to your workshop and paste them on the wall.* Explain to participants that this matrix is for the national level, and that other matrices are also prepared on the wall for other levels of the system.	
30’	**Exercise 10** Mapping actors’ sizes and influences on the system	Participants now fill in the matrices on the wall, based on their discussions from Exercise 9 For their allocated group of actors, participants have to write each actor’s name on a sticky note, and stick it on the appropriate matrix on the wall. With a pencil, draw an arrow towards the future position of this actor within the timeframe of the scoping question	Prepare a set of 4 flipchart for each system layers relevant to your workshop.
15’	Debriefing	Stand up in front of the matrix and ask questions for clarifications, or prompt participants if one actor’s name appears in two quadrants. Ask participants if any changes are expected between now and the timeframe of the scoping question. for any actor’s size of influence on the system	
3’	Slide: Review of Module Objectives	Ask the first question to a participant and let him/ her answer Do the same with each objective, asking different participants.	

Module 4: Identifying the Gaps in the System's Resilience

Duration	**90 mins.'**
Module Aim :	To share a vision on the gaps in resilience to be filled now and in the future
Module Objectives:	By the end of the session participants will be able to : • Capture which current programming by external stakeholders contributes to boosting which capacity, for each system component • Assess different positive and negative impacts of the risk landscape, stakeholders' influence and external support on different components of the system • Discuss the resilience gaps to be filled
Preparation	• Slide: Identifying the resilience gaps , with one copy printed for each of the 6 groups

Detailed Module Plan

Duration	Content	Guidance for the facilitator	Material Needed
3'	Slides Aim and Objectives	Involve participants in reading each objective out loud	PPT
15'	**Exercise 11** Existing external support for each system's component	For the three priority components that participants selected during exercise 6 (Matrix 3), they have to fill in the next three columns. The person who was in this group on Day 1 can provide clarification if needed. What are the existing external absorptive, adaptive and transformative capacities to support this component to face the risk landscape? For many items there might not be any external capacities. "External" can mean from another country or another layer of society than the one currently being considered and analysed.	
5'	Slide: Identifying the resilience gap	Explain the formula and the guiding questions that will be used by participants during the next exercise	

Duration	Content	Guidance for the facilitator	Material Needed
35’	**Exercise 12** Identifying resilience gaps for each system component	Identify the resilience gap for each of the three components that your group has prioritised. Use the questions on the hand-out and take into account your own work on the risk landscape, internal and external capacities, and the influence of various stakeholders. Capture key points for each component on a flip chart. You will present for 1 minute for each component.	Hand-out: Slide on Identifying the resilience gap, 1 per group
30’	Debriefing : 3 mins per group + 2 mins.	Each group presents for 3 minutes the resilience gap they came up with during the discussion. Allow 2 minutes for questions, per group.	
3’	Slide: Review of Module Objectives	Ask one participant the first question and let him or her answer. Do the same with each objective.	

Module 5: Constructing a Road Map for Boosting Resilience

Duration	**180 mins (3 hours) + 30 mins. tea break**
Module Aim :	To construct a road map to boost resilience in the short, medium and long terms
Module Objectives:	By the end of the session participants will be able to : • Decide on measures filling in resilience gaps and boosting system resilience • Identify which stakeholders and their processes need to be engaged with • Prioritize and sequence measures • Brainstorm on a measurement framework
Preparation	• Table on Principles of Resilience (1 per participant)

Detailed Module Plan

Duration	**Content**	**Guidance for the facilitator**	**Material Needed**
3 mins.	Slides: Aim and Objectives	Involve participants in reading each objective out loud	PPT
15’	Slide: Principles of Resilience	Distribute the hand-out: Table of Principles of Resilience Leave 10 minutes for participants to read it individually	Hand-out: Table on Principles of Resilience (1 per participant)
5’	Slide : 3 Types of Risk	Ask participants to explain the difference between the three types of risks	
5’	Slide: Strategic Approaches	Different stakeholders have different appetites for contextual, programming and institutional risk. This needs to be clarified before starting to develop the road map.	
40’	**Exercise 13** Determine ways of boosting resilience	For each priority component , participants will discuss with their group • What capacities need to be added/ vulnerabilities reduced to fill the resilience gap? • What measures can be taken to enhance opportunities arising from changes in the system, the risk landscape or the stakeholders’ influence?	

Duration	Content	Guidance for the facilitator	Material Needed
		• Which stakeholders need to be engaged with for these suggested measures? Participants will take notes on a flipchart, and they will have 5' to present the additional suggested measures per component to the plenary. They will also explain if these measures are for risk averse or risk taking stakeholders.	
21'= 7*3 groups	Debriefing in 3 groups	Time each group so that they present for maximum 5 minutes Allow for 2 minutes for questions per group.	
30'		Tea break	
21'= 7'*3 groups	Debriefing	Time each group so that they present for maximum 5 minutes Allow for 2 mins for questions per group.	
5 mins.	Slide: Prioritization and Sequencing	Ask participants if they have other suggestions of criteria for prioritization and sequencing activities? What?	
20'	**Exercise 14** Prioritization and Sequencing	*Facilitator's preparation :* *Prepare one matrix per group – Matrix 6 (Annex 4)* *Prepare a larger version of Matrix 6 (Annex 4) that you put on a wall, with the title « Road map to boost system resilience » and draw a copy of the same suggested table, to capture the findings of all groups on one matrix*	
5'	Debriefing	After each group has finished, ask one person per group to reposition the sticky notes from the group's flipchart in the corresponding cell of the larger matrix	
7'	2 slides on Measurement	Explain to participants that there are many initiatives worldwide currently working on a resilience index and exploring how to measure resilience. The objective here is not to develop a new index but rather to try and derive intelligence on resilience levels from the data already collected by stakeholders in this context.	
20'	**Exercise 15** Brainstorming on a measurement framework for the road map to resilience	*Facilitators preparation :* *Prepare Matrix 7 (Annex 4)* During the first part of the brainstorm: Participants write down existing systems of data collection for each cell, and stick them on the matrix. The idea is to see what already exists and try to expand on existing systems of data collection, instead of setting up a totally new system.	

Duration	Content	Guidance for the facilitator	Material Needed
		Then facilitate discussion around the other guiding questions	
3’	Slide: Review of Module objectives	Ask the first point to one participant and let him/ her answer Do the same with each objective.	

Closing the Workshop

Individual Action Plans

Duration: 10 mins.

Ask participants to individually fill in their action plan

Final evaluation

Duration: 10 mins.

Ask participants to individually fill in the final evaluation form. Insist on the importance of providing constructive feedback to improve the quality of future workshops.

Closure

Duration: 10 mins

Ask participants to stand and form a large circle. Throw a small ball to one participant who needs to say a single word summarizing his/her feeling or state of mind at the end of the workshop. For example: “enthusiastic”, “challenged”, “motivated”. That participant immediately throws the ball to another, until all have spoken.

Annex 1: Final Evaluation of Resilience Systems Analysis workshop and Individual Action Plan

Your honest feedback would greatly assist us to further improve our practice and future workshops

1. **What is your overall level of satisfaction with the workshop? Write in the box a grade, from 1 (lowest) to 10 (highest)**

2. **Assessment of Pre-workshop Arrangements:**

On a scale of 1☹-10 ☺, How would you rate….	
1. Logistics and information shared before arriving at the workshop?	
2. The quality of the Briefing pack sent to you before the workshop?	

Did you read the Briefing pack before coming to the workshop? ……..

In which ways was the briefing pack useful?

……

What do you suggest to improve the briefing pack?

……

……

……

3. **Assessment of Logistical Arrangements (on a scale of 1-10 as above):**

How would you rate...	
1. Quality of Meals/ Tea	
2. Quality of Training venue	

Overall Assessment of Workshop:

How would you rate...	
1. Overall delivery of the workshop	
2. Usefulness of tools provided	
3. Time allocation for different sessions of workshop	
4. Level of group work during the workshop	
5. Flow between the sessions	
6. Opportunity to raise concerns and discuss issues	

4. Assessment of Achievement of Workshop Objectives:

By the end of the workshop, participants will be able to:	**Not achieved**	**Partially achieved**	**Well achieved**	**Fully achieved**
Describe concepts linked with resilience such as risks, shocks, stresses, vulnerabilities and capacities				
Share a vision of current and future risks and their impact on the system				
Develop a road map to boost a system's resilience.				

What other feedback would you like to give **the facilitator**s?

……

……

To what extent did this workshop meet **your expectations**?

……

……

Describe **the three most important** things you learnt during this workshop

1……

2……

3. ……

What would help you to make good use of what you have learned in this workshop?

……

If you were given the task of revising, adjusting, or redesigning this course, what would you **change**?

……

Any other **recommendation(s)**?

……

……

Individual action plan

Name	
Email	

Write down 3 actions and expected results you commit to carrying out after attending this course, and within the next three months if possible.

Ensure these actions are **SMART:** Specific, Measurable, Achievable, Realistic and Time bound.

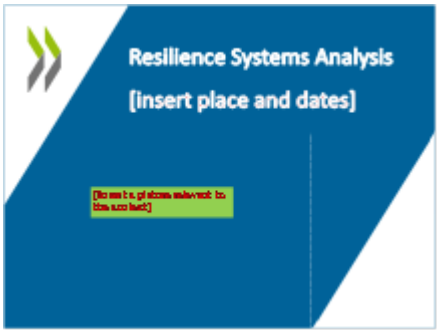
You will get a copy of this Action Plan and the trainer will keep one for the training report

Action	**Expected result/ change**	**Deadline**

Action	Expected result/ change	Deadline

Annex 2 : Slides and Notes

Slide 1



Facilitator's preparation :

Insert a picture relevant to the context

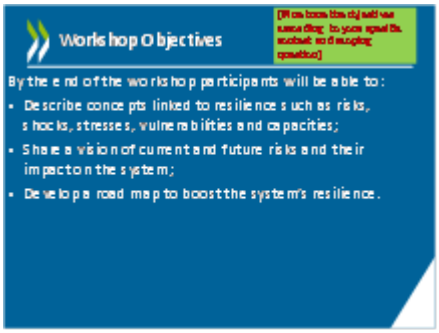
Put the slide on the screen while participants enter the room on Day 1

Slide 2

Throughout the presentation, green boxes with red font indicate modifications or adaptation you need to do, to adapt the PowerPoint to the particular context of your workshop.

Insert pictures relevant to your context on the slides. Ensure the size of pictures is reduced to avoid designing a PowerPoint presentation which would slow computers down

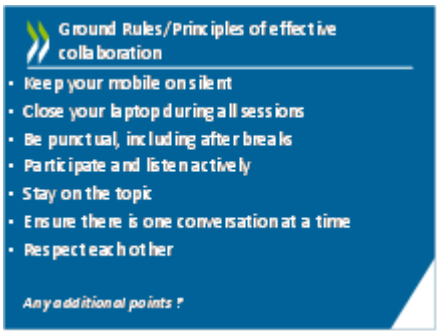
Slide 3



Facilitator's preparation :

You can fine tune the objectives according to your specific context and scoping question

Slide 4



Ask participants to stick additional ideas on the flipchart "Additional Expectations" on the wall

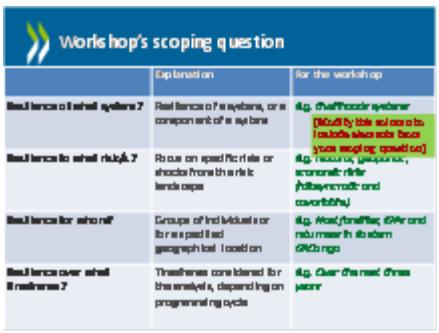
Slide 5

Facilitator's preparation :

After designing your agenda in word, copy and click on paste special/ Select in the Menu Picture PNG

Ask participants to refer to their own copy of the agenda (on a hand-out) while you walk them through it

Slide 6



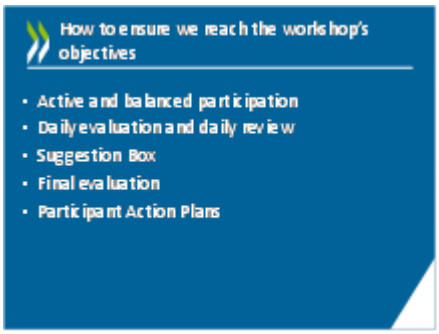
Facilitator's preparation: The last column provides you with an example from Eastern DRC. After reviewing it, delete its content and replace with key points from your scoping question.

Explain the 4 axis defining the boundaries of the resilience systems analysis

Slide 7

Distribute a hand-out of the 5 steps

Slide 8



Explain that participants will do a brief evaluation at the end of day 1, and a final evaluation on day 2.

They are encouraged to use the Suggestion Box at the back of the room, at an time.

To ensure that the workshop will have a real impact on participants' daily work, they will have to develop an Action Plan at the end of the workshop, in which they will individually commit to three key actions.

Slide 9

Facilitator's preparation :

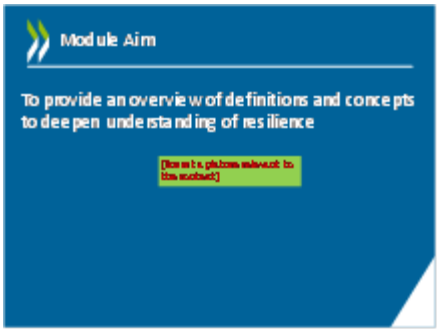
Add a few key points relevant to particular context

Slide 10

Facilitator's preparation :

Insert a picture relevant to the context

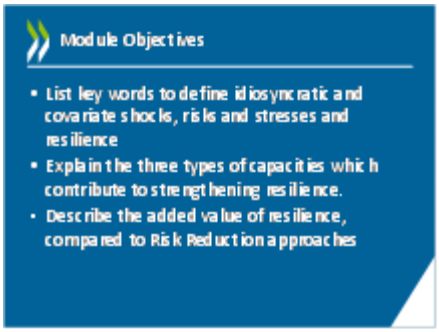
Slide 11



Facilitator's preparation :

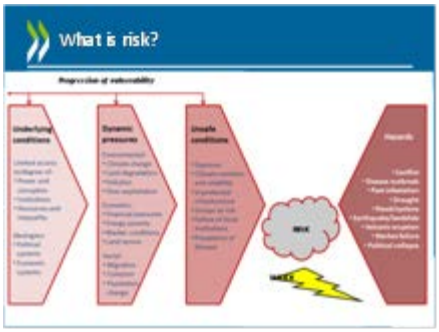
Insert a picture relevant to the context

Slide 12



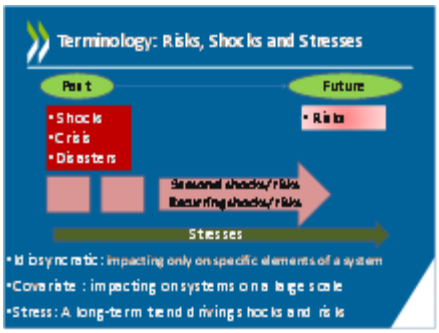
Ask one participant to read the first objective, another participant will read the second one etc.. You can use the same approach throughout the workshop

Slide 13



Distribute this slide as a hand-out. Ask participants if they have already seen the figure and for their reactions and comments. Complement their input.

Slide 14



Explain that the term "Risks" is used to refer to the future.

When risks have actually happened, they are called shocks, crises or disasters.

Covariate shocks - widespread infrequent events such as violent conflict, volcanic eruptions or the sudden introduction of new technology, e.g. cell phones.

Idiosyncratic shocks - significant events that specifically affect individuals and families, such as the death of the main breadwinner or loss of income generating activity.

Seasonality impacts - such as annual flooding, linked to the rainy season and market price changes

Recurring shocks - small but frequent events, such as bouts of diarrhoea in communities, or frequent short-term, short distance displacement due to conflict.

Stresses - long-term, often interconnected trends that drive these events (e.g. Climate Change)

Slide 15

Facilitator's preparation :

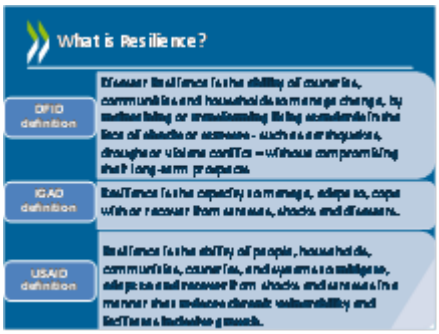
Include the definition of resilience of the host of the workshop, or the participating agency/ agencies, or the country you are working in

Explain that the next two slides present some definitions, but that we are not here to debate the semantics of words used.

The importance is for participants to remember key words that relate to "Resilience"

Ask participants to read the hand-out and highlight key words of particular significance to them

Slide 16



Slide 17

There are three forms of resilience boosting capacities :

Absorptive capacity: This is the capacity of a boxer to take a hit. *The ability of a system to prepare for, mitigate or prevent the impacts of negative events using predetermined coping responses in order to preserve and restore essential basic structures and functions.* This also includes coping mechanisms used duFring periods of shock.

Adaptive capacity: This is the capacity of a boxer to add new strategies to better manage hits coming from new directions. *The ability of a system to adjust, modify or change its characteristics and actions to moderate potential, future damage and to take advantage of opportunities, all in order to continue functioning without major qualitative changes in function or structural identity*.

Transformative capacity: This is the capacity of a boxer to make significant changes in his weight, his strategies and his boxing style in order to take on big hits coming from different directions. *The ability to create a fundamentally new system when ecological, economic or social structures make the existing system untenable.*

Implications moving from absorptive to transformative capacity:

- While absorptive capacities focusing on stabilising a system in its current state, transformative capacity looks at changing it, which often means a different timeframe (it can start at the same time, but it takes longer to achieve impact and system change).
- While supporting absorptive capacity is not a political issue, transforming systems often encounter political resistance. Transformation needs greater investment and longer term commitment.

Often the three capacities can be used at the same time:

For example, a coastal community in Bangladesh may use its **absorptive capacity** to protect their resources against annual flooding given their traditional skills in managing these; use **adaptive skills** to alter how they cultivate crops and collect drinking water that counters progressive salinity impacts due to sea level rises associated with

climate change, and; **transform** the way they manage income through changing basic attitudes on the role and partnership of different community groups, and the role of women, in natural-resource exploitation.

Slide 18

Let us use an image to understand what Resilience System Analysis is actually about. A system is like a rock; weak in some places, but resistant in other places. Various large scale shocks (represented by hammers) and smaller scale or repetitive events (represented by acid) preferentially fracture and eat away the rock along the same system of cracks. These cracks represent weaknesses and vulnerabilities of the system, i.e. sites of relatively high risk for the future . Other untouched and resistant areas of the rock between the cracks are stronger and more resilient components of the system.

Resilient Systems Analysis focuses on the rock's characteristics. What makes it strong in some components while it fractures and fails in other components? What can we learn from the strengths in the system, to reinforce weak components and build the resilience of the system as a whole to a range of shocks from natural phenomena, economic and geopolitical factors?

Slide 19

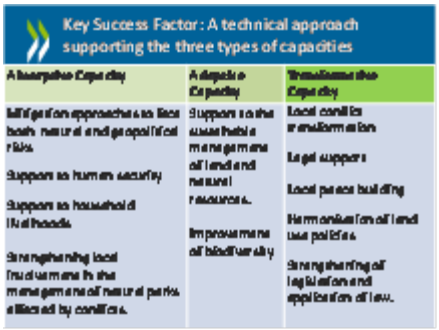
This program in the Phillipines illustrates the conceptual framework just presented.

Led by the German Cooperation, the program was not specifically a "resilience bossting" program, but was planned as an integrated peace-building and poverty reduction strategy.

Slide 20

This slide highlights key features of the context, which are similar to many complex contexts which development and humanitarian actors operate in.

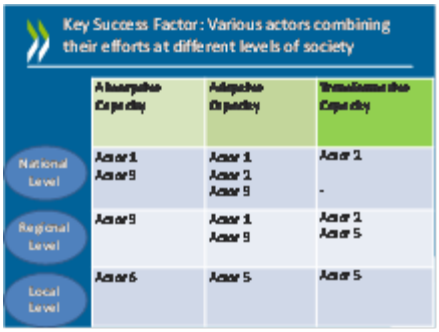
Slide 21



We classified various components of the program according to the three types of capacities presented earlier.

Not only did component the program aim to reinforce absorptive capacity at different levels of the nation, but other programmatic aspects reinforced adaptive and transformative capacity.

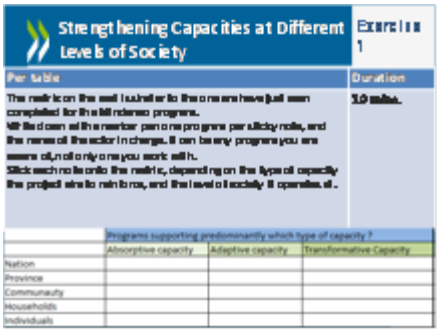
Slide 22



This table shows how the program was able to reinforce resilience, because it acted in a connected manner at various levels of society. Actions at a higher level, for instance, would not compromise the well-being of vulnerable individuals.

Such an approach enables the management of competing interests: indigenous, women, environment, government, companies etc.

Slide 23



Facilitator's preparation:

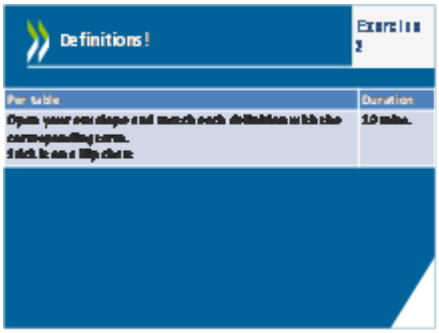
You will have drawn the above matrix by joining together 4 flipcharts in landscape format. The empty matrix should be stuck on the wall, so that all participants can see where they have to put their sticky notes.

Explain that we have seen the importance of various actors combining their efforts at different levels of society. We will now explore how far this is also the case for the workshop's context.

Leave the instructions on the screen during the whole exercise, so that participants can easily refer to them. Do this throughout the workshop.

Debrief in plenary by looking at the filled table and pattern on the wall. Are most sticky notes concentrated at one level of society? In support of one capacity or more?

Slide 24



Facilitator's preparation :

You will have printed out 2 hand-outs of "Definitions" per table.

One of each remains as an A4 sheet, and will be distributed to the group later to assess whether they managed the exercise properly.

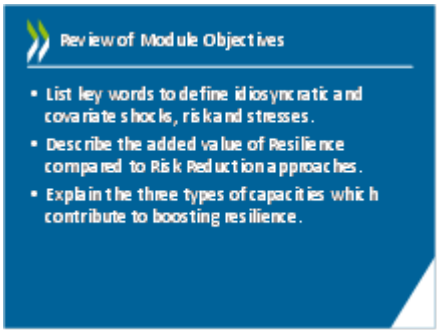
The other copy will have previously been cut into pieces and each term separated from its definition

Put all the cut out papers into one envelope and write the group's number on it.

Distribute one envelope to each group, along with an empty flip chart and glue stick.

When all groups have finished gluing the pieces of paper onto the flipchart, give them the A4 sheets with the correct definitions. Let them correct themselves.

Slide 25



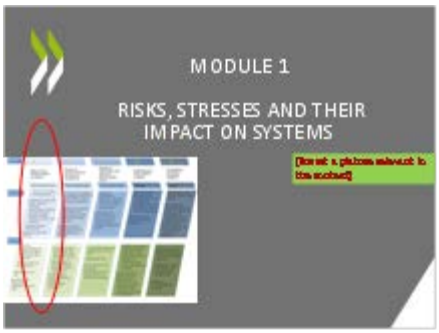
Ask the first point to one participant and let him/ her answer

Do the same with each objective.

This is valid throughout the workshop, to check whether each module's objective has been reached.

Clarify if answers provided are incorrect, or ask someone else in the room to provide an answer.

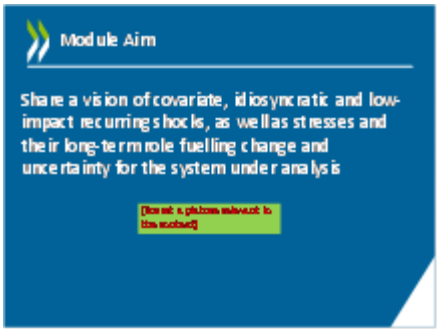
Slide 26



Facilitator's preparation :

Insert a picture relevant to the context

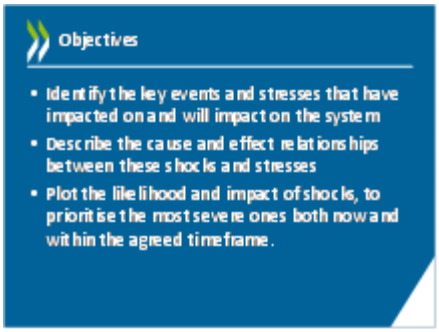
Slide 27



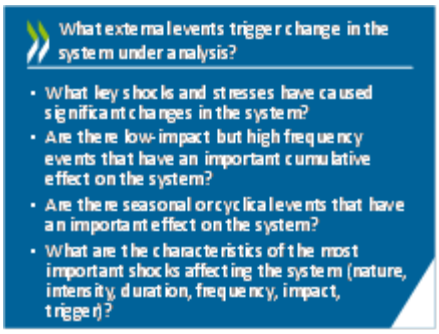
Facilitator's preparation :

Insert a picture relevant to the context

Slide 28

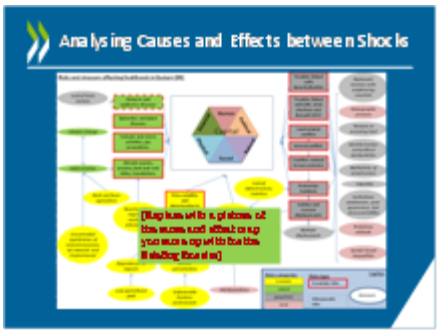


Slide 29



Explain to participants that these questions underpinned the preparation of the briefing pack outputs such as the risk profiles, the causes and effects panorama and the risk heatmap. They will have to keep these questions in mind during this module's exercise

Slide 30



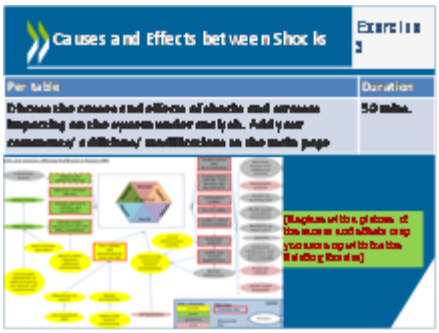
Facilitator's preparation :

Replace this visual with the one you prepared for the Briefing pack.

You can prepare it in PowerPoint, then save the slide as a PNG picture and paste it on the slide.

You can also select all the elements on your slide, and click on paste/ paste special/ Picture (PNG)

Slide 31



Facilitator's preparation :

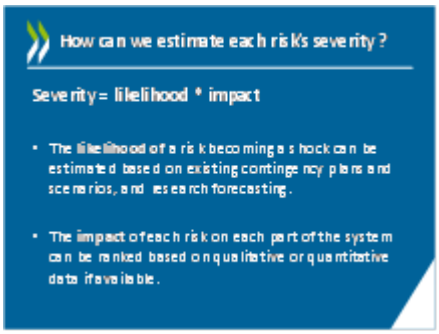
Ensure you have 6 colour print outs in A2 format and 1 colour A4 hand-out per participant.

Distribute the A2 hand-out to each group, and the A4 to each participant. Ask groups to discuss and modify.

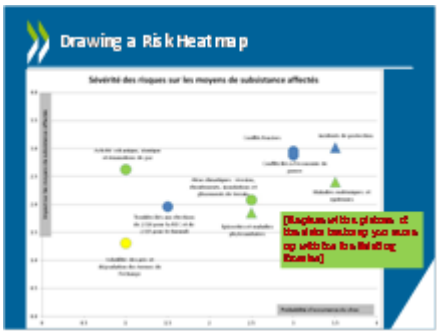
Participants might want to add some risks, or to change causal relations or categories (e.g. considering some risks as stressors, or changing risks from covariate to idiosyncratic etc.)

At the end of the exercise, collect all sheets and explain you will produce a synthesis of all group visuals and include it in the report as a key output from the workshop.

Slide 32



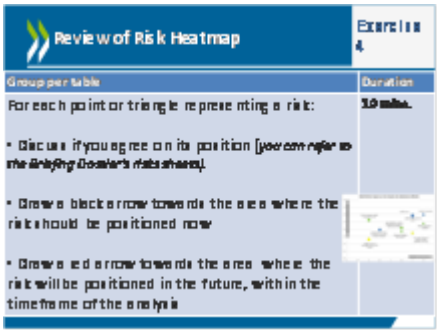
Slide 33



Facilitator's preparation :

Replace with a picture of the risk heatmap you came up with for the Briefing pack

Slide 34



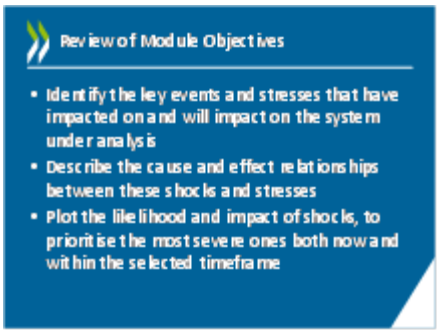
Facilitator's preparation :

Ensure you have 6 colour print outs of the Heatmap in A2 format and 1 colour A4 hand-out per participant.

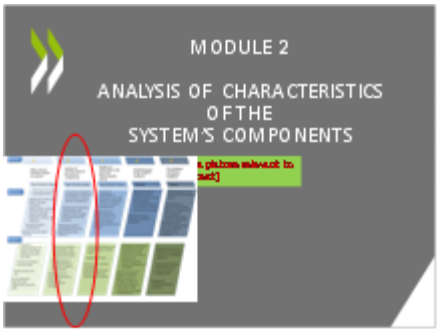
Distribute the A2 hand-out per group, and the A4 to each participant. Ask groups to discuss and modify.

At the end of the exercise, collect all sheets and explain that you will produce a synthesis of all group work and include it in the report as a key output from the workshop.

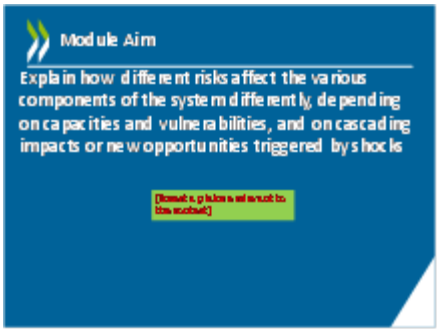
Slide 35



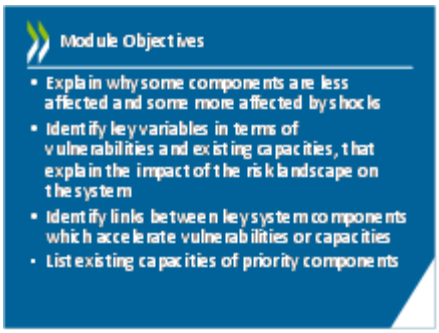
Slide 36



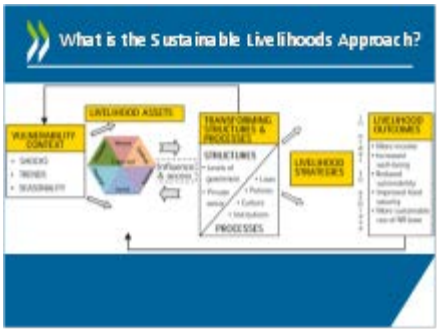
Slide 37



Slide 38



Slide 39



Ask participants if they know this figure and let them explain it to each other.

Refer to the Guidelines Section Conceptual Framework to add content if required.

Slide 40

Ask participants to describe elements of the Sustainable Livelihoods Framework that they can see in this picture , taken on the outskirts of Bunia, Democratic Republic of Congo

Prompt them on

•Risk context

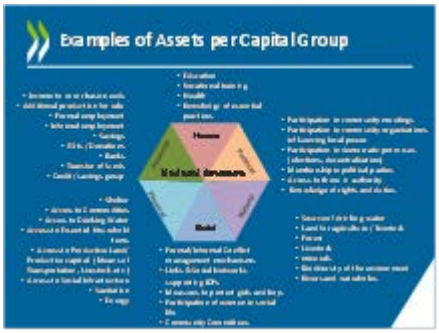
•Capital groups

•Institutions and processes

•Strategies

•Outcomes

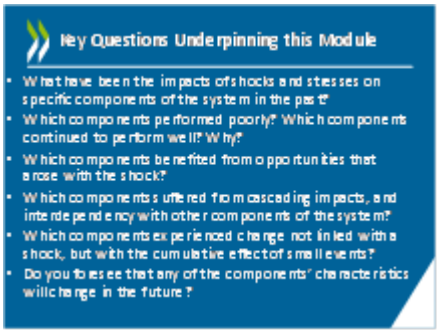
Slide 41



Distribute a print out of this slide as a hand-out. This list of assets per capital group came out of the Eastern Democratic Republic of Congo workshop.

Ask participants to delete or add ideas relevant to the workshop's context.

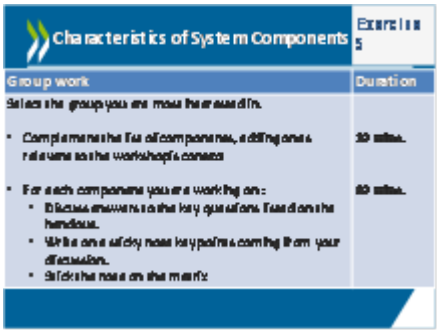
Slide 42



Facilitator's preparation :

Print out 1 copy of these slide per group x 6 groups

Slide 43



Facilitator's preparation :

For each of the 6 groups, prepare a matrix following the example provided on the next slide.

Stick together 4 flipcharts.

Draw 7 lines so each group is able to write down 7 different assets per capital group, Draw the 3 columns.

During the lunch break, put the 6 matrices on the walls of the main room and the break out rooms.

Participants should not write directly on the flipchart because permanent markers might damage the wall. Write on post-it notes and stick these on the chart on the wall, in the appropriate matrix cell.

Ensure the post-its stick, or provide transparent tape to secure them on the flipchart. Ask participants to avoid using acronyms because as facilitator you need to understand everything written on the post-its. You will have to capture the content of all matrices in the evening.

Subsystems are livelihoods assets (as listed earlier under each capital group),

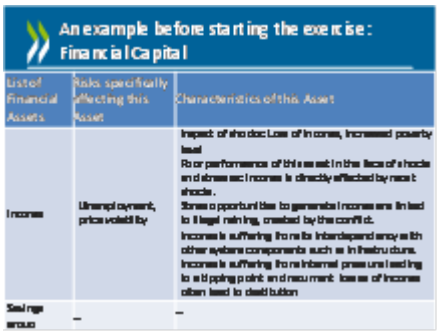
Participants can add some livelihoods assets in the different capitals

After having contributed to one group, participants can move to another group if they wish.

Debriefing in plenary:

Each group comes to the front to present its flipchart of key points, line by line. This is the only time such detailed feedback will be presented like this during the workshop, and it enables participants to get an overview of all components of the system under analysis.

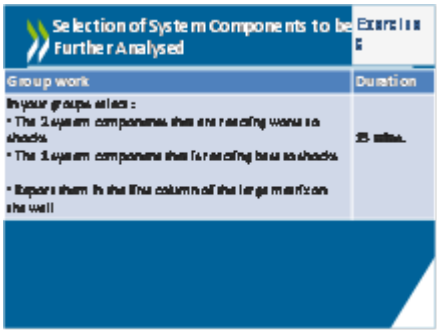
Slide 44



Read the example and explain that this illustrates just one item. The groups have to discuss all items relevant to their capital group.

Observe the groups and tell them to prioritise the most important system component if discussion is taking too long and you can see that a group will not be able to reach a conclusion in the time available.

Slide 45



Facilitator's preparation:

For each of the 6 groups, you have to prepare a large matrix

Stick together 4 flipcharts in portrait (lengthwise), side by side along their long edges.

Flipchart Titles:

Flip chart 1: Asset/ Structure

Flip chart 2 Column 1:

Flip chart 2 Column 2: Characteristics of this asset

Flip chart 3 Column 1: Existing absorptive capacity

Flip chart 3 Column 2: Existing adaptive capacity

Flipchart 3 Column 3: Existing transformative capacity

Flip chart 4 Column 1: Additional absorptive capacity

Flip chart 4 Column 2: Additional adaptive capacity

Flipchart 4 Column 3: Additional transformative capacity

Draw 3 lines across the flip charts, 1 for each item that Exercise 6 will prioritise.

Groups need to stick their matrix on the wall

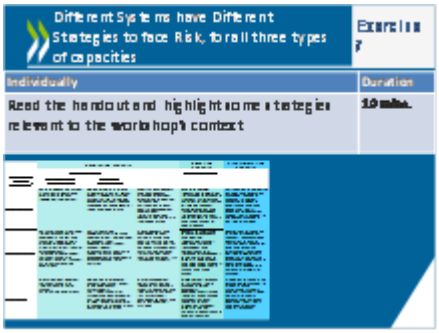
When Exercise 6 is over, groups report the name of the 3 items they selected in each line of the new matrix.

They then stick the relevant sticky notes in the appropriate cells, in order to capture the findings from Exercise 5 on the new matrix, for the selected items only.

Explain that Resilience System Analysis is focusing on learning from the characteristics of the system, looking at which are functioning the best or the worst in face of shocks, and using the lessons derived to apply them to other component of the systems.

We therefore have to choose only 3 components that will be analyzed further.

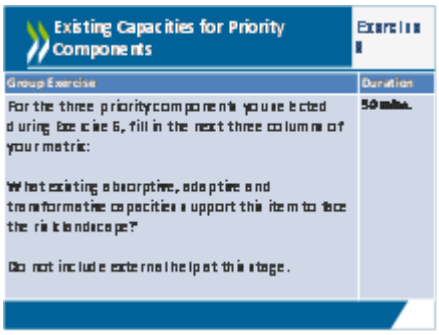
Slide 46



Facilitator's preparation :

Print one copy of the hand-out per participant: Example capacities at various levels of society.

Slide 47

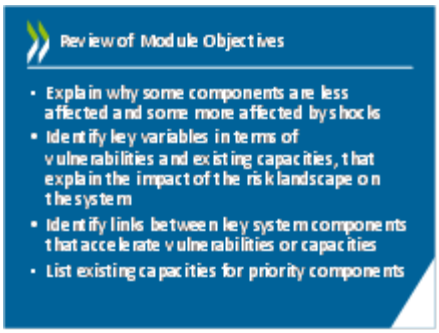


Walk from one group to another to guide participants and answer questions

Ensure that handwriting is clear on the sticky notes

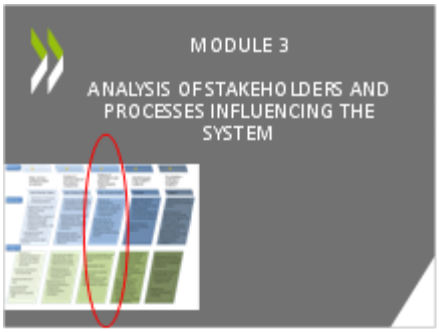
Debrief: Gallery walk

Slide 48

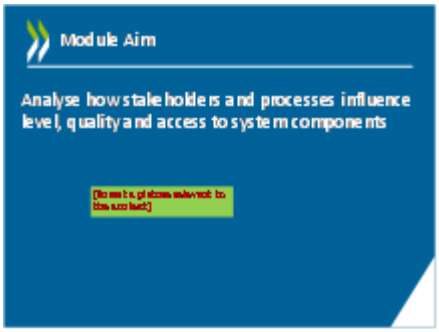


Slide 49

Slide 50



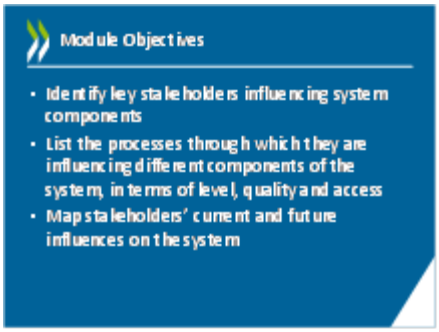
Slide 51



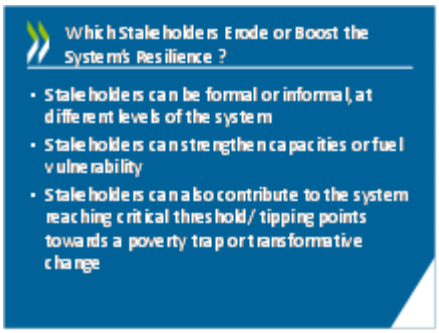
Facilitator's preparation :

Insert a picture relevant to the context

Slide 52

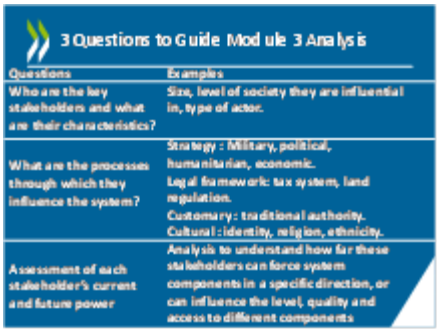


Slide 53



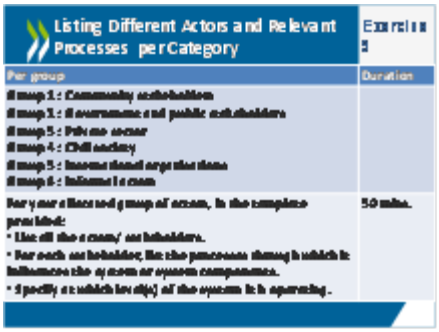
Go through these questions, which participants should keep in mind throughout the module

Slide 54



Walk participants through this slide

Slide 55



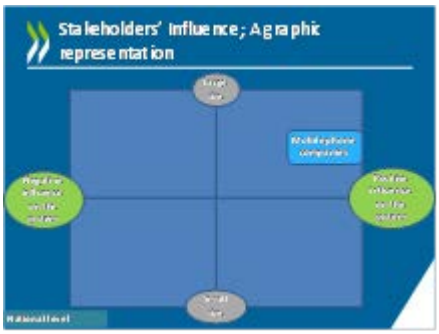
Facilitator's preparation:

Prepare 6 flip charts in landscape format: Draw on each an empty table with 3 columns:

- *Actor/ stakeholder name*
- *Process involved (e.g. peace building, formal business, influence on the security situation, taxation etc..)*
- *Level of the system it is operating at (national, local, community, household, individual, all levels etc…)*

Walk from one group to another and explain that debriefing will take place after the next exercise.

Slide 56



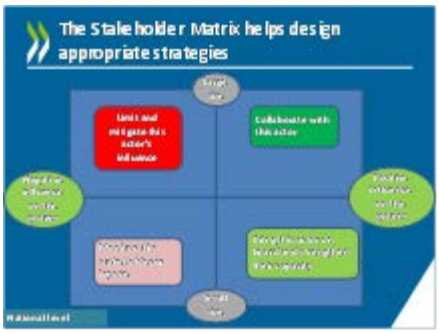
Facilitator's preparation :

Stick 4 flipcharts together in landscape mode, and put them on the wall.

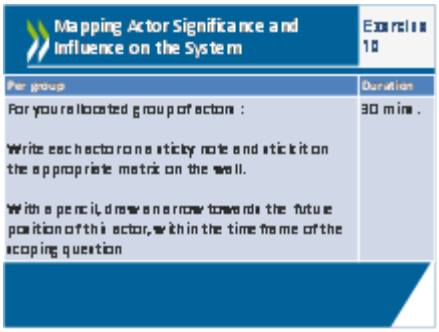
Repeat the same for each level of the system you think is relevant to your workshop

Explain to participants that this matrix is for National level, and that other matrices on the wall are for other levels of the system. Mobile phones are given as an example above. Replace this example with another one more appropriate to your context if appropriate.

Slide 57

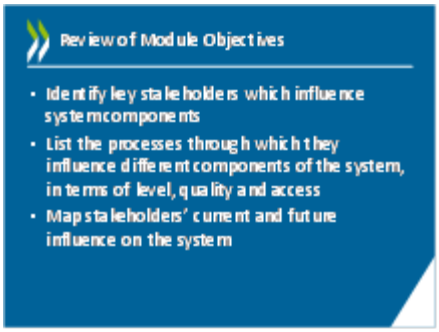


Slide 58

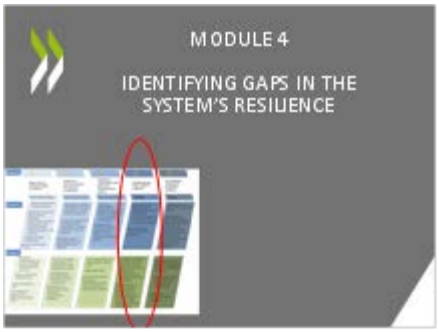


Participants now fill in the matrices on the wall, based on the discussion they had in Exercise 9

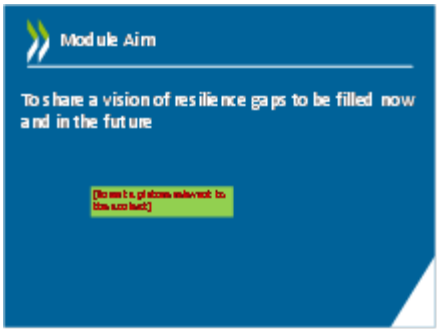
Slide 59



Slide 60



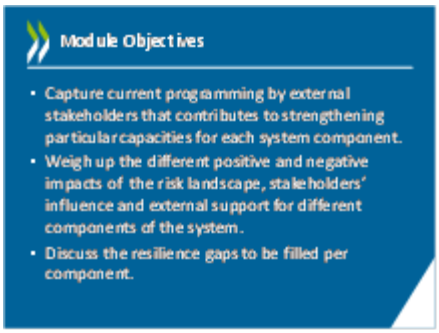
Slide 61



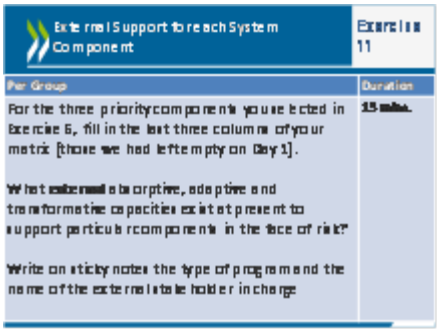
Facilitator's preparation :

Insert a picture relevant to the context

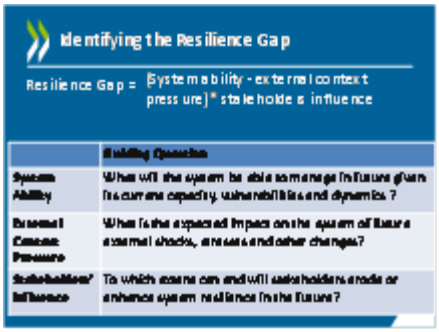
Slide 62



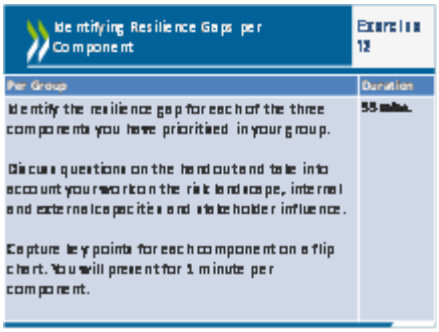
Slide 63



Slide 64

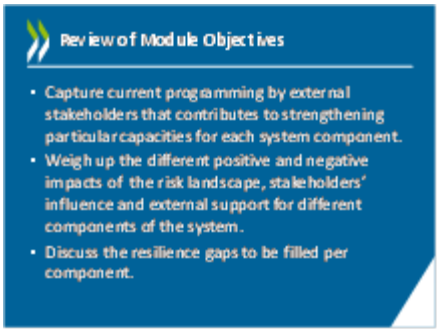


Slide 65

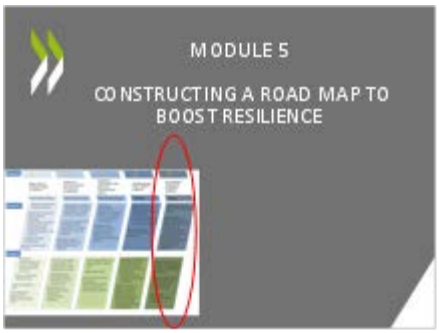


Have hand-out ready.

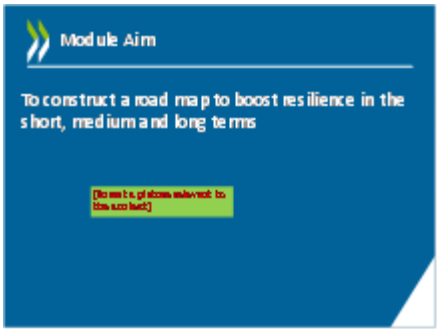
Slide 66



Slide 67



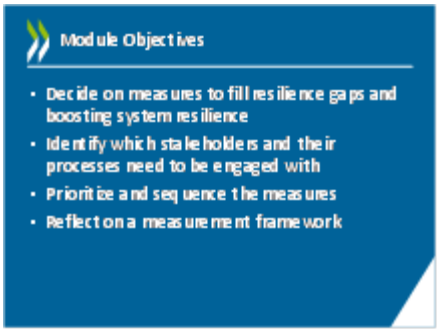
Slide 68



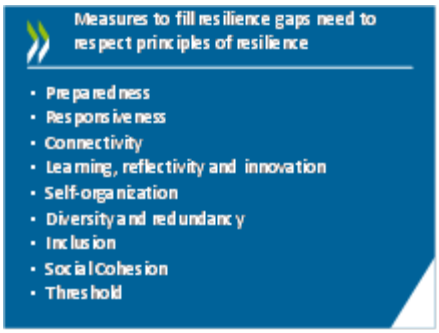
Facilitator's preparation :

Insert a picture relevant to the context

Slide 69



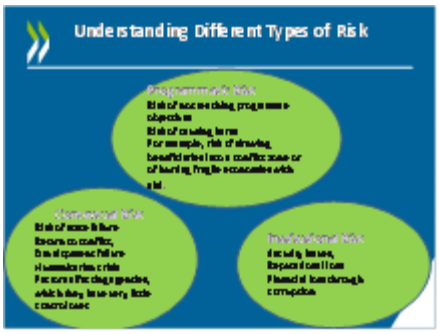
Slide 70



Distribute the hand-out : Table of principles of resilience

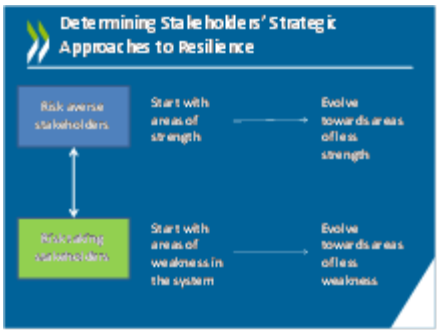
Give participants 10 minutes to read it individually

Slide 71



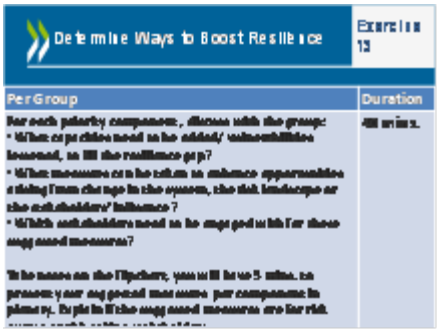
Ask participants to explain the difference between the three types of risks

Slide 72

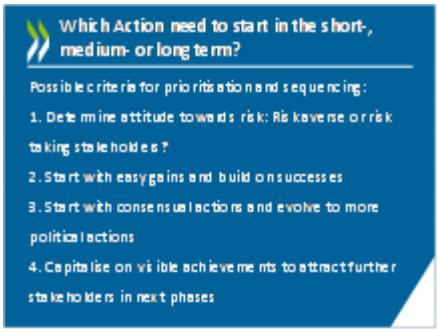


Different stakeholders have different appetites for contextual, programming and institutional risk. This needs to be clarified before starting to build the road map.

Slide 73

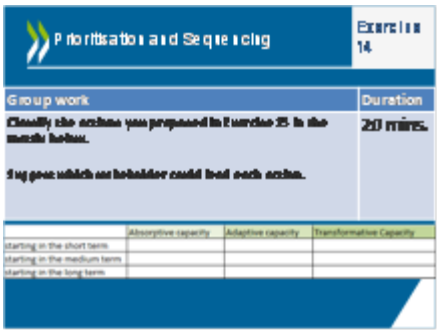


Slide 74



Ask participants if they have other suggestions of criteria for prioritization and sequencing

Slide 75

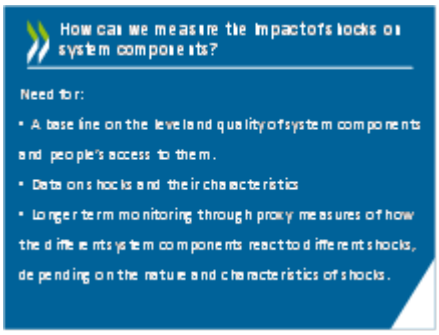


Facilitator's preparation :

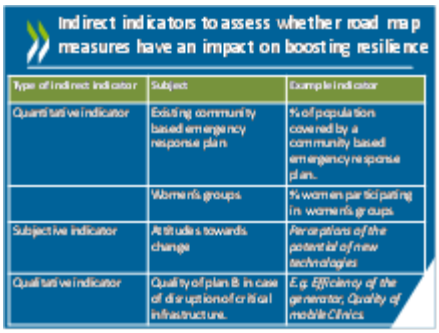
Prepare one matrix per group on one flipchart, landscape orientation, with the suggested table drawn on it.

Prepare a larger matrix, with 4 x 4 and put it up on a wall, with the title 'Road map to boost system resilience'. Draw the same table on this bigger chart, to capture the findings of all groups on one matrix.

Slide 76



Slide 77

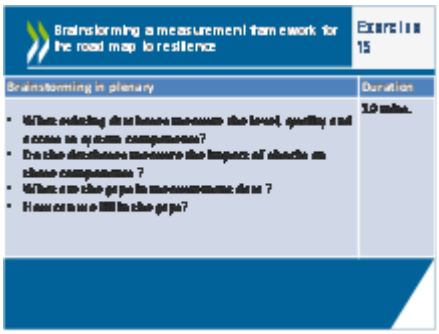


Facilitator's preparation:

The slide presents 3 different types of indicator to measure whether road map activities are boosting resilience or not.

Ask participants to suggest other possible indicators. Have some examples ready to share that are relevant to the context of the workshop.

Slide 78



Facilitators preparation:

Prepare a matrix with 4 flipcharts stuck together in landscape format, and draw a table on it:

In rows, have a row for each subsystem (forms of capital). In each column write in a different level of society.

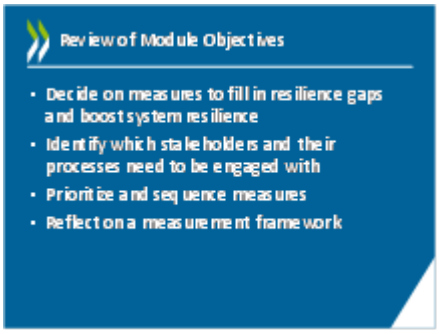
During the first part of the brainstorming:

Ask participants to write down existing systems of data collection for each cell and to stick them onto the matrix.

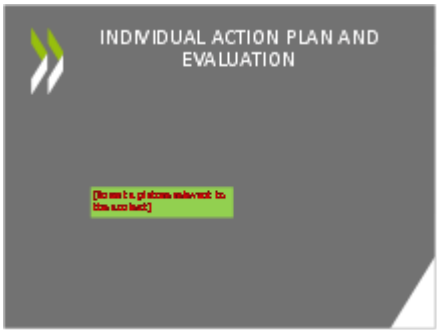
The idea is to see what exists already and try to expand on these existing systems of data collection as necessary, instead of setting up a new system.

Facilitate discussion around the other questions proposed.

Slide 79



Slide 80



Annex 3 : Hand-outs

Hand-out for Exercise 2

Risk	The combination of the probability of an event and its negative consequences (UNISDR 2007
Shock	Sudden events that have a significant impact – usually negative – on livelihoods. They are irregular and vary in intensity and include events such as natural disasters, civil conflict, losing one's job, a collapse in crop prices for farmers etc. (DFID, 2001)
Stress	A long term trend weakening the potential of a given system and deepening the vulnerability of its actors. (DFID, 2011)
Idiosyncratic shock/ risk	Risks related to individual households but not necessarily to the whole community. This includes events such as illness, the death of a wage earner, fires and accidents, theft, etc. Individual household's assets and capabilities may be severely affected while neighbouring households may not be disturbed at all. (Tufts University)
Covariate risk	Risks arising from hazards that tend to affect entire communities, such as drought, floods, or earthquakes and armed conflict. Such shocks involve entire areas or sub-regions, destroying or depleting a range of livelihood assets, including natural and physical capital. Nevertheless, individual households will be more or less exposed to covariate shocks depending on their own asset base. (Tufts University)
Disaster Risk Management	The systematic process of using administrative directives, organizations, and operational skills and capacities to implement strategies, policies and improved coping capacities in order to lessen the adverse impacts of hazards and the possibility of disaster.
Resilience	Resilience is the ability of households, communities and nations to absorb and recover from shocks, whilst positively adapting and transforming their structures and means for living in the face of long-term stresses, change and uncertainty (OECD 2013)
Absorptive capacity	The ability of a system to prepare for, mitigate or prevent the impacts of negative events using predetermined coping responses in order to preserve and restore essential basic structures and functions (OECD 2013)
Adaptive Capacity	The ability of a system to adjust, modify or change its characteristics and actions to moderate potential, future damage and to take advantage of opportunities, all in order to continue functioning without major qualitative changes in function or structural identity (OECD 2013)
Transformative Capacity	The ability to create a fundamentally new system when ecological, economic or social structures make the existing system untenable (OECD 2013)

Hand-out : Examples of actions that strengthen capacities, at different layers of society

	Absorptive Capacity			**Adaptive Capacity**	**Transformative Capacity**
	During shock		Outside shock		
	Crisis/Distress (irreversible)	*Insurance(reversible)*			
Household	Sale of productive assets, starvation, widespread migration to search food/water/protection,	Borrow materials or take credit, migration for casual labour, temporary sale of assets, switch to informal income practices, reduce spending on non-essential items and food intake	Family preparedness and contingency planning measures, monitoring of weather for planning, participation in local conflict management committees, retrofit/strengthen house, build buffers in livelihood assets	Use of long-term forecasting information for change farming and livestock varieties and activities, diversification of income sources, experimentation and taking on technology for income practices, better access to supply and value chains for new products	Participation in collective learning and innovation changing the power balance in families, access of women to inheritance and land ownership rights, labour/care/education human rights leading to permanent change in the role of children
Community	Unsustainable stripping of forest, exhaustion of community stocks and supplies (food, water), closure of community structures (infrastructure, management). Closure of government services, appeal to national level for support. External/national aid operations	Partial closure of community services and administration, borrowing of resources from neighbouring villages, appeal to local organisations and private sector for assistance, engagement of community evacuation and relief activities	Preparedness and contingency plan, natural hazard and conflict early warning and alert systems, risk awareness campaigns, physical protection of infrastructure, local social protection or risk insurance systems.	Access to short-and long-term economic and weather forecasting, support new innovations in technology and collective natural resource management, learning initiatives to diversify employment and production choices, upgrade and diversify supply and value chains	Conversion of standard to alternative energy sources, peacebuilding measures to rebuild trust, address long-term land and resource grievances, rebuilding legitimate community leadership , collective exchange, learning and decision making platforms feeding into national platforms for change,
National	Closure of government services, appeal to international level for support External aid operations	Borrowing of money or access to disaster funds, rapid emergency assessments, start the disaster alert system and deployment of civil protection staff and rescue teams, move relief resources to affected areas ensuring distribution	Risk management policy, construction regulations, disaster-specific legislation and line ministry, national risk assessment, contingency plans and early warning/alert systems	Government research initiatives on future change (climate, economy, demographics) linked to policy and planning changes, national social and fiscal protection schemes, diversification of national productive and energy industries	Promotion of social and technological change to alternative and sustainable systems: energy, transport, food, agriculture, health Accountable action on equitable rules, rights and regulations on natural resources

Hand-out : General Principles of Resilience for a system

Resilience Principles	Definition	Application to programming	Possible guiding questions
Preparedness	The knowledge and capacities…..to effectively anticipate, respond to, and recover from, the impacts of likely, imminent or current hazard events or conditions.	• Early warning / monitoring systems, including exercises, drills & rehearsals • Disaster risk management legislation, policies and procedures • Contingency / continuity planning and emergency funds / buffers / firewalls • Relevant standards, codes of conduct, including monitoring & reporting systems	• Does the system have access to relevant, accurate and timely information on risk? • What are the perceptions of risk of stakeholders? • Are risk assessments and contingency/preparedness plans carried out? Are simulation exercises done? • Are early warning, alert and response systems and resources in place, do they cover the major risks? Are they linked to lower and higher society layers?
Responsiveness	Reacting quickly and positively in the event and aftermath of a crisis.	• Emergency management and response procedures • Recourse to social protection / safety nets / risk sharing mechanisms • Transparent communications / feedback / information management systems • Domestic accountability, including, monitoring, redress & enforcement mechanisms	• Have different types of shocks been adequately managed in the past? What role did local people and organisations play compared to national and international actors? • Do local people and stakeholders have their own emergency plans and resources, beyond those of the state? • What mechanisms are in place to assure decision-making around crises is understood, and accountable when there are shortfalls in action?
Connectivity	The degree of connection or separation between people, places, and things. The nature and strength of the interactions between system components.	• Systems-wide perspectives, integrated approaches • Trans-boundary collaboration, multi-stakeholder partnerships and alliances • Policy coherence, holistic frameworks, coordination mechanisms • Relationships, allies, links between social groups, mutual trading agreements sharing resources, information and creating trust	• Do programming measures address the cause and effect of stresses and shocks of the risk landscape? • Are measures linked between different layers of society and do they responsibly deal with tradeoffs? • Is policy and programming on risk and resilience coherent between major sectors and are stakeholders' actions linked?

Resilience Principles	Definition	Application to programming	Possible guiding questions
Learning, reflexivity and innovation	The acquisition of knowledge or skills through study, experience, or being taught. Part of a process of change in collective awareness, involving collective learning from the past, resulting in new norms, ideologies and institutions.	• Gathering, mapping, analysis and sharing of information and knowledge (formal and informal structures) between and across layers of society. • Blending scientific and indigenous information (including cultural practices and memory) • Formal collection and dissemination of best practice • Critical incident reviews, social learning processes (shared learning by doing) • Bottom-up with top-down innovation, action research, pilots, experimentation, positive use of technology	• How is local knowledge on managing risk and building resilience collected, shared and used? • What are the formal and informal means that people and groups use for learning, and applying knowledge? • How is scientific information on shocks and trends, and external experience on risk management and building resilience used by local stakeholders? • How do stakeholders experiment with livelihoods, are they formally supported to do this? • How do stakeholders use science and technology?
Self-organisation	The capacity to form formal or informal networks, institutions, organisation or other social collectives independently from the state or other central authority. The ability of natural systems to adjust and reorganise in response to disturbance and change.	• Decentralisation of government authority, responsibilities and resources, empowerment of lower layers of society • Devolution, autonomy, self-governance • Freedom of association and assembly • Representative and accountable local leadership. • *Modular structures*: different autonomous components. Horizontal and vertical linkages between formal and informal institutions at different layers of society. • Management of 'slow 'variables that drive change of systems and reinforcement of positive feedback loops that sustain functioning during change.	• What has been the capacity of local actors to manage shocks in the past, before or outside of actions from government or other formal structures? • What is the extent of freedom or obstacles for local organisations to exist and function? • How do formal and informal structures for coordination and decision-making exist and relate to each other? Does this change within, and between, different layers of society? • Are the main drivers for change and feedback loops of systems understood, are they positively managed by formal and informal stakeholders?

Resilience Principles	Definition	Application to programming	Possible guiding questions
Diversity and Redundancy	The quality or state of having many different forms, types or ideas. Excess capacity and back-up systems which enable the maintenance of core functionality in the event of disturbances.	• Multiple, interchangeable and collaborative institutional and management bodies. • Excess capacity and buffers in livelihoods assets and critical infrastructure, inter-changeability. • Options and alternatives for strategies and actions and access to resources and services. • Multi-risk approaches with complementary diversification of solutions (e.g. livelihood assets)	• Are there multiple formal bodies and mechanisms, coordinated behind a common risk management and resilience-building structure and processes? • Do people or groups have access to different forms of functional or social relationships? • Are there back-up systems for critical infrastructure and public services; is there access to multiple sources for basic living means (e.g. WASH, food, shelter, health, energy, and protection/safety)? • Are there measures in place for managing all major risks; are these complementary and coordinated with each other?
Inclusion	A person or thing that is included within a whole (a group or structure).	• Co-existing diverse ethnic, racial, religious, or social groups, multi-party political system • Representation of all sectors/stakeholders of society in decision-making processes • Participatory processes, right to participation and information • Co-responsibilities, social contract, state-citizenry partnerships • Disaggregated data and information across diverse groups	• Were different groups represented and able to participate in elections at different layers in society? • How have different stakeholders (particularly vulnerable or minority groups) participated in planning and major decision-making processes? • How do women participate in power and decision-making structures/bodies? • How does formal and informal action on risk and resilience integrate the participation and understanding of the vulnerability and capacities of different groups?

Resilience Principles	Definition	Application to programming	Possible guiding questions
Social Cohesion	The processes of building shared values and communities of interpretation, reducing disparities in wealth and income, and generally enabling people to have a sense that they are engaged in a common enterprise, facing shared challenges, and that they are members of the same community.	• Equitable rights and entitlements • Just and equitable rules, laws, regulations and underpinning principles • Shared identity, belief and values systems, reciprocity and mutuality, • Conflict transformation & resolution mechanisms, Means of redress and remedy. • Shared aspirations for working towards a positive future	• How equitable are policies, strategies and actions that govern different groups and the access of people to their means of living (e.g. allocation of public resources and services)? Are rules and regulations just, are they enforced? • Are there common value systems and tolerance of differing beliefs and attitudes amongst groups and people? • How is conflict managed between people groups and people? • Are there common and positive visions of the future with the active participation towards these across different stakeholders?
Thresholds	Defined acceptable levels of well-being, clearly defined access rights and sustainable limits to common resources and natural systems.	• Boundaries and thresholds defining geographical limit, quality and sustainable functioning of common resources, with a particular focus on ecosystems. • Defined users, access rules and responsibilities, rights and entitlements, interdependencies between man and the environment. • Social, political, economic, cultural rights: a 'social foundation' for basic standards for sustainable human well-being	• Are common resources clearly defined and understood in terms of their sustainable functioning? • Are there rules and regulations based on this understanding, and are these enforced, that maintain a balance between user access and replenishment of the resource? • Are basic standards for well-being, dignity and choice applied and respected in the actions by all stakeholders? Do all stakeholders understand these, and their rights to these?

Annex 4: Matrices for Group Exercises

Matrix 1: Exercise 1 Boosting capacities at different levels of society

Use four flipcharts, stuck together in landscape

	Absorptive capacity	Adaptive capacity	Transformative capacity
Individual/ Household			
Community			
National Institutions / State			

Matrix 2: Exercise 5 Characteristics of System Components

Use 4 flipcharts, stuck together in portrait

ASSETS	RISKS AFFECTING THIS ASSET	CHARACTERISTICS OF THE ASSET
1.		
2.		
3.		
4.		
5.		
6.		
7.		

Matrix 3: Exercises 6, 7, 8 and 11

Add four more flipcharts to Matrix 2 (Exercise 5)

ASSETS	RISKS AFFECTING THAT ASSET	CHARACTERISTICS OF THE ASSET	EXISTING ABSORPTIVE CAPACITY	EXISTING ADAPTIVE CAPACITY	EXISTING TRANSFORMATIVE CAPACITY	ADDITIONAL ABSORPTIVE CAPACITY	ADDITIONAL ADAPTIVE CAPACITY	ADDITIONAL TRANSFORMATIVE CAPACITY

From Exercise 5

Matrix 4: Exercise 9 Stakeholder power analysis

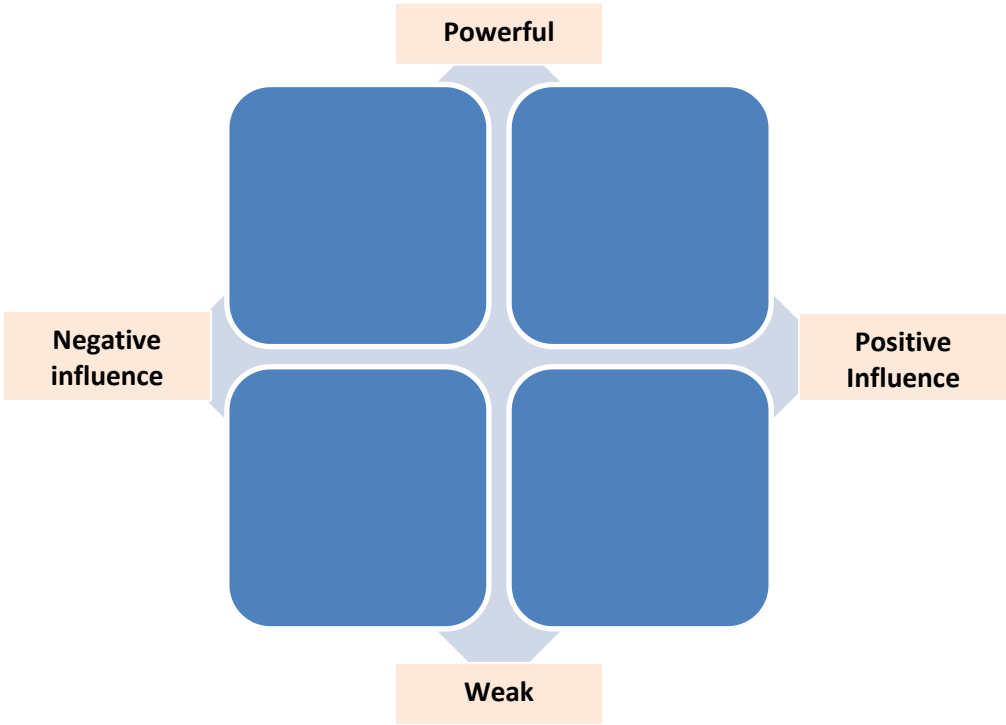
6 flip charts (all the same content)

ACTOR	PROCESS INVOLVED	LAYER OF SOCIETY

Matrix 5: Exercise 9 and 10 Mapping actors and influence

Use four flipcharts stuck together for this matrix

One matrix for each layer of society that is relevant for your analysis (eg household, community, local authorities, national level, etc)



Matrix 6: Exercise 14 Roadmap to boost system resilience

One flipchart per group

	Absorptive capacity	Adaptive capacity	Transformative capacity
Start in short term (now)			
Start in medium term			
Start in longer term			

One flipchart for plenary feedback (larger)

	Absorptive capacity	Adaptive capacity	Transformative capacity
Start in short term (now)			
Start in medium term			
Start in longer term			

Matrix 7: Exercise 15 Measurement

This matrix will need to be adapted for the scope of the analysis. The example shown here is for an analysis based on the sustainable livelihoods approach

	Individual / household layer	Community layer	National layer
Financial capital			
Human capital			
Natural capital			
Physical capital			
Political capital			
Social capital			