



# A resilience-based development response to the Syria crisis

*Position Paper - 2014*



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DEVELOPMENT GROUP**

Arab States, Middle East, North Africa

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# **A resilience-based development response to the Syria crisis**

A Regional United Nations Development Group position paper.

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# Contents

<b>Foreword</b>	1
<b>Abbreviations and Acronyms</b>	2
<b>Executive Summary</b>	3
<b>I. Introduction</b>	6
<b>II. Situation Analysis</b>	8
<i>The international Response</i>	11
<b>III. Resilience-Based Development response</b>	13
<i>Approach</i>	13
<i>Principles</i>	14
<i>Resilience-based development and humanitarian assistance</i>	16
<b>IV. Implementation</b>	19
<i>Prioritisation</i>	19
<i>National Plans</i>	19
<i>Financing</i>	21
<b>Annex A: The concept of resilience</b>	22
<b>Annex B: An Indicative Results Framework</b>	23
<b>Annex C: Comparing levels of vulnerability</b>	28
<b>Annex D: Resilience Marker</b>	31
<b>Annex E: Frequently asked questions about resilience</b>	33
<b>Annex F: Sources</b>	36



# Foreword

Now into its fourth year, the conflict in Syria continues to cause vast suffering and loss of life, above all inside Syria, but also in neighbouring countries.

Displacement inside Syria has reached nearly 7 million, while the number of refugees in neighboring countries has surpassed 3 million. The massive refugee presence in these countries poses enormous challenges on the social, economic and political conditions of the host communities and countries. This protracted crisis threatens to severely roll-back hard-won development gains — it is at once a humanitarian and a development crisis.

This crisis has prompted an enormous humanitarian response from Governments and Host Communities in the region, as well as from Donors, UN Agencies, and national and international NGOs. With limited financial resources and an ever-increasing array of needs in affected countries, all involved are clear that the need for a more sustainable response is no longer an option, but an imperative.

Recognising the longevity of the crisis, and the need to go beyond humanitarian aid, before the end of 2013 the Regional UN Development Group endorsed **a resilience-based development response to the Syria crisis.**

This response aims to develop and scale-up activities that help impacted communities cope and recover from the crisis, while also putting in place sustainable measures to return to national development pathways. Informed by consultations since then, this promotes a more comprehensive understanding of the crisis, and supports the preparation of national plans to respond to the impact of the crisis in neighboring countries.

I recommend the paper to those concerned with the vital task of co-ordinating humanitarian and development assistance and increasing their combined impact. Above all, the paper will help to galvanise practical planning and action to bring about lasting benefits for all who have been affected by the Syria crisis.

## **Sima Bahous**

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## Abbreviations and Acronyms

<b>IDP</b>	Internally displaced person
<b>ILO</b>	International Labour Organization
<b>NGO</b>	Non-Governmental Organisation
<b>OHCHR</b>	Office of the High Commissioner for Human Rights
<b>RRP</b>	Regional Response Plan
<b>SCPR</b>	Syrian Center for Policy Research
<b>SHARP</b>	Syrian Humanitarian Assistance Plan
<b>UNDG</b>	United Nations Development Group
<b>UNDP</b>	United Nations Development Programme
<b>UNHCR</b>	Office of the United Nations High Commissioner for Refugees
<b>UNICEF</b>	United Nations Children's Fund
<b>UN OCHA</b>	United Nations Office for the Coordination of Humanitarian Affairs
<b>UNRWA</b>	United Nations Relief and Works Agency
<b>WASH</b>	Water, sanitation and hygiene
<b>WFP</b>	World Food Programme



# Executive Summary

This paper outlines a resilience-based development approach for responding to the impact of the conflict in Syria on neighbouring countries. The paper briefly reviews the situation and international aid response to date, and then discusses the approach and principles of a resilience-based development response, and its implementation.

## Situation

As of mid-2014 the United Nations estimated that 10.8 million people were affected by the conflict and in need of humanitarian assistance. Of this total, 6.45 million were internally displaced, 2.8 million were refugees in neighbouring countries, and around 241,000 were living under siege conditions. The conflict has also had an enormous impact on the economy of Syria. Estimates indicate that GDP has been contracting by as much as 30% per year, whereas prior to the conflict the economy was able to grow by 3%-7% per year.

Beneath these headline figures are others which show important aspects of the human impact of the crisis. For example, around half of Syrian refugees are under eighteen years old. As of mid-2014, the Syrian refugee population in Lebanon represented roughly a 27% increase on Lebanon's pre-2011 population of around 4.1 million – or one refugee for every four Lebanese in the country. Unlike other conflicts where the influx of refugees into neighbouring countries is usually managed through formal refugee camps, more than 80% of Syrian refugees live in communities and cities.

The magnitude of the humanitarian crisis has prompted an enormous response, from governmental and local authorities in the region, donors, United Nations agencies, and national and international NGOs. So far, the main overarching frameworks and plans for international aid have been the annual Syrian Humanitarian Assistance Response Plan (SHARP) inside Syria and the annual Regional Response Plan (RRP) in affected neighbouring countries.

To make resilience-building a key priority, the international humanitarian community is committed to identifying, in coordination with host governments, activities and sectors where the provision of humanitarian assistance can be responsibly transitioned to increased delivery through national systems, with appropriate international support. For those sectors and activities which must be responsibly delivered through humanitarian actors, the international community is committed to ensuring robust, credible and cost-effective implementation plans. Through this process, the risk of duplicative plans will be mitigated.

In this regard, consultations have taken place at the global, regional and country levels, under the co-leadership of UNDP and UNHCR to develop the next generation of the UN's regional response plan, called the Regional Refugee and Resilience Plan (3RP). 3RP builds upon the excellent work done through the UN Comprehensive Regional Strategy Framework (CRSF) which underscored the need to collectively contribute to the shared goals of humanitarian, resilience/development and macro-fiscal interventions. In this context, the 3RP will be articulated around two inter-linked refugee and resilience components, addressing the needs of refugees and impacted communities while looking to support, and where possible transition to, national service delivery systems. The 2015-16 3RP will be a country-driven plan, yet regionally coherent, and will serve as a regional partnership platform.

## A resilience-based approach

In view of the nature of the crisis, the regional context, and lessons from other crises, UN agencies and their partners should take a comprehensive and resilience-based approach to supporting development for Syrians and host countries affected by the Syrian conflict. The following principles should inform the design and implementation of this assistance:

- Local and national ownership of assistance should be encouraged;
- Assistance should be context-specific;
- Planning should be informed by longer-term perspectives about needs, as well as short-term perspectives;
- Responses should be financially sustainable;
- Human rights and gender equality should be embedded in responses;
- Aid interventions should be sensitive to conflict and conflict risks;
- Programmes and projects should be closely monitored.

### Positive change can be brought about by pursuing three inter-related strategic objectives:

- i. **Coping:** individuals, communities, authorities, institutions and systems are strengthened in their ability to manage sudden increases in pressure without complete or partial collapse.
- ii. **Recovering:** individuals, communities, authorities, institutions and systems are able to recover from setbacks and return to prior levels of development and prosperity, or better.
- iii. **Transforming:** individuals, communities, authorities, institutions and systems are strengthened and transformed in their ability to accelerate development and to prevent crises.

A resilience-based approach to development does not replace humanitarian assistance: rather, it builds on it and aims to gradually reduce the need of beneficiaries for long-term emergency assistance, helping people to develop independently and self-sustainingly. For people at the first stages of being affected by conflict, displacement and flight, who are still living in critical conditions because of threats to life and well-being, emergency humanitarian assistance is the priority. Where situations and conditions have stabilised, and people and communities are coping and beginning to recover, development assistance that builds resilience can accelerate their recovery and path to independently prospering.

### A resilience-based approach to development covers the following areas:

- Housing and habitat;
- Economic recovery, job creation and livelihoods;
- Education and health services;
- Social cohesion and rule of law;
- Local governance; and
- Natural resource management.

## Implementation

In taking a resilience-based approach to supporting communities and countries affected by the Syrian crisis, it is appropriate to prioritise those that are most affected. These may be communities or places hosting the highest refugee numbers, or with lesser numbers but with a particularly weak ability to cope; or it may be other communities identified as being especially vulnerable to shocks. Annex 3 proposes a method for systematically measuring vulnerability, using national, sectoral and geographic indicators to create an 'index of stress'.

Recognising the capabilities of host countries and the efforts they have made in responding to the inflows of refugees, where possible international development assistance for managing the regional impact of the conflict in Syria should be aligned with and support national development plans.

To optimise use of funds from humanitarian and development funding baskets, the UN Country Team and partners should map and rationalise existing funding mechanisms; establish dedicated pooled funds and multi-donor trust funds, where suitable; ensure that these cover the full spectrum of resilience-based development needs; and help national governments to access the benefits of full cooperation with international donors and financial institutions.

# I. Introduction

1. This paper outlines a resilience-based development approach for responding to the impact of the conflict in Syria on neighbouring countries. More than three years into the armed conflict in Syria, neither peace nor a political settlement to the conflict is yet in sight. Meanwhile the conflict has taken a terrible toll and continues to do so: more than 191,000 have been killed, and millions have been displaced inside Syria or have fled abroad as refugees.<sup>1</sup> Severe damage has been done to the social, economic and political fabric of the country. Enormous pressures have been placed on neighbouring countries – Iraq, Jordan, Lebanon and Turkey – and pressures have been placed on other countries in the region, such as Egypt.
2. The scale of population movements, and their impact on host communities and countries, has demanded an urgent and sustained response. Existing local and national means to cope with the burdens are being stretched and in some places are eroding. Progress in development and stability is in jeopardy, and political and social tensions are increasing in many places. This is evidenced in deteriorating trends in human development and economic growth, and in rising vulnerabilities, especially in the countries that are host to the largest numbers of Syrian refugees.
3. Given the scale and growing length of the crisis, responding purely with life-saving humanitarian aid is neither sufficient nor sustainable. Coupled with essential humanitarian aid, a development-oriented approach is needed, that builds the resilience of individuals, communities and institutions, and helps them to cope better with the longer-term challenges of their situations, reducing the longer-term need for humanitarian aid. Humanitarian and development aid must not be mutually exclusive: with the right foresight and approach, they can foster the resilience that Syrians and neighbouring countries need in order to cope better and prosper more over the longer term.
4. As of mid-2014, the costs of stabilising the communities, settlements, towns and cities affected by the crisis are already beyond state capacities. The costs include:
  - Provision of more basic services (education, health, water and sanitation);
  - Building and maintaining infrastructure (such as housing and roads) needed to cope with refugee populations;
  - Management of heightened community tensions (in order to maintain social cohesion and peace); and
  - Support for national governmental and non-governmental organisations providing aid.
5. Given this situation, and the need to always improve the effectiveness of aid, this paper aims to:
  - Provide national and international development partners with a set of principles for the preparation of resilience-based development responses for refugee host countries in the sub-region;
  - Highlight common areas of programming, communication and financing within and across countries; and
  - Contribute to improving partnerships, between national and local authorities, donors, United Nations agencies and national and international NGOs.

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<sup>1</sup> Human Rights Data Analysis Group, 'Updated Statistical Analysis of Documentation of Killings in the Syrian Arab Republic', report commissioned by the Office of the UN High Commissioner for Human Rights (San Francisco: August 2014).

6. In this paper, resilience refers to *the ability of individuals, households, communities and societies to cope with the adverse impacts of shocks and stresses, to recover from them, and to work with communities and national and local governments to bring about transformational change that supports sustainable human development*. A resilience-based development approach is therefore a set of principles and a conceptual framework for building resilience against shocks and stresses supporting sustainable human development.

7. Following this Introduction, Section II of this paper reviews briefly the context in which a resilience-based approach to aid is being recommended, summarises the scale of the crisis and the vulnerabilities. Section III outlines the principles and conceptual framework for a resilience-based development response, and its relationship with humanitarian aid delivery. The paper concludes in Section IV by discussing how a resilience-based development approach can be put into practice.

## II. Situation Analysis

8. As of mid-2014, the United Nations estimated that 10.8 million people affected by the conflict were in need of humanitarian assistance – 1.5 million more than at the start of the year, and an increase of over 9 million since the first year of the conflict in 2011. Of this total, 6.45 million were internally displaced, 2.8 million were refugees in four neighbouring countries, and around 241,000 were living under siege conditions.<sup>2</sup> The conflict has also had an enormous impact on the economy of Syria. Estimates indicate that GDP has been contracting by as much as 30% per year, whereas prior to the conflict the economy was able to grow by 3%-7% per year.<sup>3</sup> Translated into overall measures of development, the conflict has at least temporarily undone three decades of growth.<sup>4</sup>

9. The large outflows of refugees from Syria have caused a demographic shock wave in neighbouring countries, affecting economic and human development in many ways. As of September 2014, according to UN data, 95% of a total 3m refugees from Syria were hosted in the four neighbouring countries, with approximately 1.18m in Lebanon, 832,500 in Turkey, 615,500 in Jordan, and 215,300 in Iraq.<sup>5</sup> Other figures indicate a still higher number of refugees: according to national data, Turkey was hosting 1.1m refugees as of mid-2014.<sup>6</sup> Whatever the exact number, these inflows of Syrian refugees add to other refugee and displaced populations in some neighbouring countries, such as Iraqi refugees in Jordan and displaced persons in Iraq.

10. Beneath these headline figures are others which show important aspects of the human impact of the crisis. For example, around half of Syrian refugees are under eighteen years old. As of mid-2014, the Syrian refugee population in Lebanon represented roughly a 27% increase on Lebanon's pre-2011 population of around 4.1 million – or one refugee for every four Lebanese in the country. And unlike other conflicts where the influx of refugees in neighbouring countries is usually managed through formal refugee camps, more than 80% of Syrian refugees live in communities and cities.<sup>7</sup> In some host communities, this has dramatically shifted the demographic balance between nationals and refugees. In one respect the massive influx of refugees represents a *de facto* acceleration of urban growth, but this is not matched by a sufficient increase in housing stock, basic service provision, infrastructure, and market capacity to provide goods and services needed by the increased population.

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2 Figures from UNHCR 1 July 2014; and UN Office for the Coordination of Humanitarian Affairs (OCHA), 'Statement to the UN Security Council on Syria', by the Under-Secretary-General for Humanitarian Affairs and Emergency Relief Coordinator, Valerie Amos, New York, 26 June 2014.

3 UNDP, UNRWA and Syrian Center for Policy Research (SCPR), 'Syria: Squandering Humanity' socioeconomic monitoring report, combined third and fourth quarter report (July – December 2013), May 2014.

4 The contraction of the economy has not yet translated into a sustained decline in the overall assessed level of development in Syria, but this will gradually happen as long as the conflict and crisis continue. In the 2013 Human Development Index Syria was ranked 118th out of 187 countries, compared with 116th out of 187 countries in 2012. See UNDP, 'Human Development Report 2014 – Sustaining Human Progress: Reducing Vulnerabilities and Building Resilience' (New York: UNDP, July 2014). Another report has calculated that the decline is much greater: see UNDP, UNRWA and SCPR, 'Syria: Squandering Humanity' (2014), p. 6.

5 UNHCR, 'Inter-Agency Regional Response for Syrian Refugees', report 5 September 2014; and see <http://data.unhcr.org/syrianrefugees>

6 As of mid-2014, Turkey's national Disaster and Emergency Management Presidency (AFAD) estimated that there were around one million Syrian refugees in Turkey; in July 2014 figures from the office of the prime minister put the total at 1.1m refugees, of whom 219,000 were in camps.

7 As of end-2013, 23%, 39%, and 13% of refugees respectively in Jordan, Turkey and Iraq were residing in designated camps. Lebanon and Egypt had not established any official camps.

11. In general, the impact of the refugee inflows is highly regressive, due to the large numbers and consequent pressure on basic services, infrastructure, natural resources and the labour market. Areas and communities which were already among the poorest and most deprived before the crisis (for example, in peripheral areas in Lebanon and the northern governorates in Jordan), have been particularly hard hit. These areas have had to absorb some of the largest number of refugees, yet have less resources and wealth than towns and cities located further away from the Syrian border. Inevitably, increased pressure on already inadequate resources or on a delicate social and political equilibrium can lead to negative reactions, such as discrimination, reprisals and unrest (for example, protests, riots or attacks against refugees).<sup>8</sup> Refugees are also vulnerable to exploitation as cheap labour or as tenants. Furthermore, attitudes in host countries are unlikely to be static, and receptiveness to hosting refugees may decline.<sup>9</sup>

12. While the most acute pressures are usually in the areas which have received and are hosting the most refugees, some areas and communities close to refugee camps and the Syrian borders are also affected. Proximity to areas of open conflict and insecurity can impinge on the normal functioning of the economy, both with and without spillovers of actual violence. It is therefore useful to think more in terms of **host countries and vulnerable communities, than just host communities**. (Box 1, next page, summarises the contrasting ways in which the Syrian conflict affects neighbouring countries.)

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8 Examples in Turkey in July 2014 alone included protests in Gaziantep and Kahramanmaraş, and an attack on Syrian shops in Adana. Incidents have also occurred in Hatay, Kilis and Şanlıurfa. In December 2013 local residents burnt down a refugee campsite in the eastern Beqaa, in Lebanon. See also UNDP/UNDG, 'The Syrian Crisis – Tracking and Tackling Impacts on Sustainable Human Development in Neighbouring Countries: Insights from Lebanon and Jordan', February 2014.

9 For example, a poll in Turkey in January 2014 found that 65% of Turks surveyed thought that Turkey should immediately stop receiving Syrian refugees. See International Crisis Group, 'The Rising Costs of Syria's Turkish Quagmire', Europe report no. 230 (Brussels: April 2014), p. 20.

### Box 1: Description of How the Conflict Impacts Different Settings

The following five scenarios outline the impact the Syria conflict has had on communities in neighboring countries. Understanding these nuances is critical for designing targeted context-specific and resilience-based development responses.

**Scenario 1: Communities with a high concentration of Syrian refugees.** This describes the visible presence of Syrian refugees and the demographic stress these refugees place on hosting communities. Stresses include pressure on basic social services (water, sanitation, food, health-care, housing etc.). While international support has been heavily concentrated on these communities, the sudden increase in local populations, coupled with a scarcity of resources, has exacerbated social tensions, petty crime and gender-based violence in these communities. In sum the common characteristics of this setting include stressed basic social services, price inflation in rent and food, drop in wages due to increased labor supply and social tensions.

**Scenario 2: Communities near refugee camps.** In many areas refugees leave the camps and go into neighboring communities in search of resources including food, water, jobs, and services. Because they are not officially residing in the communities, these districts/areas are not identified as 'host communities' and do not benefit directly from international assistance. Increasing demand on sources of livelihood and labor market competition has exacerbated tensions between communities and refugees. Although these communities do not host refugees per se, regular interactions with refugees over limited resources lead to similar tensions seen under Scenario 1.

**Scenario 3: Communities near the Syrian border.** While they are not 'refugee hosting' settings, these communities suffer because of their proximity to violence and are exposed to bombing, movements of armed groups, and sometimes serve as transit points for fleeing Syrians. The livelihood and economic activities in these communities are severely at risk. Some families have already abandoned their agriculture fields, while markets have closed and goods do not reach markets or other points of sale. Communities that depend on produce from Syria are experiencing scarcity, which has led to a sharp increase in the price of basic commodities. Access to international assistance is also hampered as the level of distrust between the local population and fleeing refugees is high since it is difficult to determine who is classified as 'armed personnel'. Tribal feuds – that have been exacerbated due to the various factions operating within Syria – are also intensified in these communities.

**Scenario 4: Communities highly dependent on the Syrian economy.** The conflict has interrupted a complex network of regional trade, economic exchange and seasonal migration of workers on both sides. Syria's geo-economic position in the Middle East has fostered vigorous cross-border trade, which is promoted by familial ties across borders. This vibrant trade has suffered significant disruption and has led to serious economic loss, unemployment and the loss of private investment. This scenario points to a decline in economic growth in all neighbouring countries and an increase in poverty, especially amongst the most vulnerable communities.

**Scenario 5: Economic and social environment.** Although demographic shocks constitute a significant stress factor in countries affected by the crisis, the regional insecurity created by the Syria crisis has had negative socio-economic impact across the region. The decrease in regional trade, as well as business activity in key sectors such as real estate, tourism and banking has also impacted the State's fiscal capacity.



13. The refugee inflows have short- and long-term consequences for the pre-crisis vulnerabilities in neighbouring countries. These vulnerabilities include sluggish economic growth; high levels of poverty and unemployment (especially among youth and women); high public deficits and levels of public debt; and political tensions. There is evidence that refugee inflows can in some cases contribute to a localised rise in economic activity and decline in local unemployment; but this is far from universally the case. Considering only the issue of unemployment, in Lebanon it has been estimated that unless significant remedial and preventive action is taken, the unemployment rate could double to 49% of the labour force (including refugees) by the end of 2014, and that an additional 170,000 Lebanese could fall below the poverty line, beneath which 1 million Lebanese already live.<sup>10</sup> Understanding the impact that the refugee inflows and the crisis in Syria itself has on current politics in the neighbouring countries is complex; predicting the longer-term impact is even more difficult.<sup>11</sup>

14. Further to these current and near-term pressures is the issue of the longer term: the outlook for an end to the conflict in Syria is poor. Despite the June 2012 Geneva Communiqué and its endorsement by the UN Security Council,<sup>12</sup> and despite the Montreux international conference for Syria in January 2014 and the government–opposition talks in Geneva in January and February 2014, a successfully negotiated settlement to the conflict is not yet in sight. Moreover, as the cases of other complex and protracted conflicts and their resolutions show, even after a formal settlement or peace agreement is reached, it is likely to be years before positive and sustainable peace is built within the country. Building peace and the economic, political and social conditions in which refugees and the displaced can safely return home is a long-term challenge. Factoring this into the planning and provision of aid, while still pursuing this ultimate goal, is a challenge too for aid organisations.

### The international response

15. The magnitude of the humanitarian crisis has prompted an enormous response, from governmental and local authorities in the region, donors, United Nations agencies, and national and international NGOs. So far, the main overarching frameworks and plans for international aid have been the annual Syrian Humanitarian Assistance Response Plan (SHARP) inside Syria and the annual Regional Response Plan (RRP) in affected neighbouring countries. In 2013 total funding received for the RRP was 71% of the US\$2.98bn sought, and total funding for the SHARP was 72% of the US\$1.4bn sought.<sup>13</sup> In 2014 the UN and partners sought a total of US\$6.5bn for the SHARP and RRP combined. These figures do not include the efforts and expenditure of authorities within Syria and neighbouring countries, which run into billions of dollars. By 2014 the Government of Turkey had already invested more than \$2 billion in maintaining 17 refugee camps, and local authorities in Turkey have been at the forefront of managing these camps. As of mid-2014 Jordan had spent more than \$1.2 billion while Lebanon had committed \$1.6 billion.<sup>14</sup>

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10 World Bank and United Nations, 'Economic and Social Impact Assessment of the Syrian Crisis on Lebanon', 2013, Washington DC.

11 See for example Jaber, Hana, 'Jordan: Protests, Opposition Politics and the Syrian Crisis', Policy Alternatives paper, Arab Reform Initiative, July 2014.

12 Action Group for Syria, 'Action Group for Syria Final Communiqué', Geneva, 30 June 2012; UN Security Council Resolution 2118, S/RES/2118 (September 2013); and UN Security Council resolutions 2139 (February 2014) and 2165 (July 2014).

13 UN, 'How Humanitarian Funds for the Syria Crisis Were Spent: Covering January to December 2013', report on SHARP and RRP (January 2014); and updated figures.

14 One estimate suggests that total Turkish government spending in response to the first three years of the conflict amounted to US\$3bn. See International Crisis Group, 'The Rising Costs of Syria's Turkish Quagmire', Europe report no. 230 (Brussels: April 2014), p. i.

**16.** The humanitarian aid provided under the RRP and SHARP has covered sectors ranging from food security, health, water, sanitation and protection, to education, nutrition and livelihoods.<sup>15</sup> Despite these positive efforts, the continuing growth of the crisis, and the shortfalls in funding, show that the international response must improve. With the crisis lengthening, and refugees and host countries facing years more of the current situation, the international response needs to improve its strategy and scope by adopting a resilience-building approach and bridging the gaps between humanitarian and development assistance. This means building on the strong humanitarian basis of aid so far, and working to strengthen the capacities of refugees and host countries – their populations, governments and national systems – to cope better with and recover from the consequences of the conflict in Syria, and to prosper over the longer term.

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<sup>15</sup> For a review of aid delivered in 2013 under the RRP, see UNHCR, 'Syria Regional Response Plan 5: 2013 Final Report' (Geneva: May 2014).

# III. Resilience-based development response

17. In fields, such as ecology, engineering and psychology, resilience is perhaps a more established and developed concept. However, the concept of resilience and its application are not new in humanitarian and development aid, despite some discussion about the subject.<sup>16</sup> The common element in all ideas of resilience is the ability of people, institutions or systems to bounce back after shocks and stresses, and to become better able to cope with future stresses. In this paper, the term resilience refers essentially to

*the ability of households, communities and societies to cope with shocks and stresses, to recover from those stresses, and to work with households, communities and national and local government institutions to achieve sustained, positive and transformative change.*

18. Resilience is therefore a positive concept. It is not, however, a panacea, and discussion of resilience should not prevent recognising situations in which vulnerable individuals, communities and institutions are trapped and are resilient only to the limited circumstances in which they live or operate. Individuals and communities can be trapped in coping or survival mode (for example, when an inequitable distribution of power encourages exclusionary practices and resistance to wider change). Building resilience that benefits all and fosters equitable development requires making changes in wider structures, institutions and systems in a polity.

19. Protracted conflicts and humanitarian crises are not new, nor is international aid in response to such crises. Similarly, criticisms and debate about aid responses are not new. Aid delivery in complex situations is prone to overly sectoral approaches, and short-term planning and projects at the expense of longer-term and more sustainable initiatives. Debate about strategy, goals and the relationship between humanitarian, recovery and development needs is not new and should form a part of efforts to improve effectiveness. With lessons from the past in mind, the UN and its partners, in responding to the regional impact of the conflict in Syria, should continually strive to improve their performance.

## Approach

20. In view of the nature of the crisis, the regional context, and lessons from other crises, UN agencies and their partners should take a comprehensive and resilience-based approach to supporting development for Syrians and host countries affected by the Syrian conflict. As part of this they should attempt to do the following:

- Think in terms of the whole system (economic, political and social) and what it will take over the longer term to build sustainable, positive peace, and to make humanitarian, recovery and development aid more effective.

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<sup>16</sup> For a brief review of technical arguments about resilience, see Simon Levine, 'Political flag or conceptual umbrella? Why progress on resilience must be freed from the constraints of technical arguments', ODI Policy Brief no. 60, July 2014. For some examples of different institutions' definitions and interpretation of resilience in humanitarian and development contexts, see Annex 1 of this paper.

- Collaborate and coordinate among aid organisations so that constructive and synergistic linkages are made between sectors of work, and that duplication of effort is minimised.
- Build on the existing capacities and advantages of the countries concerned – all of them middle-income countries with high rates of literacy, capable public institutions and strong civil society organisations.
- Build strong and innovative partnerships among stakeholders – Syrians, nationals of host countries, donors and aid organisations.
- Incorporate medium- and long-term vision and considerations into projects, where appropriate, to minimise the risks of short-term focusing.
- Monitor and analyse trends in the impact of the conflict, in order to revise responses and projects in a timely manner.

## Principles

21. The following principles should inform the design and implementation of development assistance addressing the impact of the Syrian crisis in the region:

- **Local and national ownership of assistance should be encouraged.** National, provincial and local authorities in the affected countries have already shown much ownership and leadership in addressing the impact of the crisis in the region. Governments in the region have been primary humanitarian and development responders to the affected communities. Where possible, international assistance should seek to strengthen local and national mechanisms for coordination, planning, monitoring and accountability. It should avoid creating parallel or disconnected systems for providing development aid.
- **Assistance should be context-specific.** Initiatives, projects and programmes should be based on accurate situation analyses which recognise variations in the context – be it variations in the refugees, the host communities, the local or national authorities, and the drivers and constraints on change. Rapid and inclusive situation assessments should be conducted where up-to-date assessments are not available, as a precursor to project design.
- **Planning should be informed by longer-term perspectives about needs, as well as short-term perspectives.** The protracted nature of the conflict in Syria means that its related humanitarian crisis is likely to last years, even if the intensity of the crisis subsides. Even after peace is formally re-established in Syria, it may take years before refugees can safely return to Syria, re-establish their lives and sustain themselves. Where aid can anticipate and address longer-term needs (be it in education, employment, health, housing, sanitation, or other matters), the better.
- **Responses should be financially sustainable.** Development assistance should be sustainable not just from the viewpoint of donor and implementing agency resources, but sustainable in terms of the resources and capacities of local and national partners (governmental and non-governmental). Public-private partnerships should be encouraged where these can be beneficial for project delivery and for sustainability. Assistance should support multi-year planning.
- **Human rights and gender equality should be embedded in responses.** Protecting the rights of refugees does not only mean protection from the violence they have fled from, and from violence in the places where they now reside. It also means protecting the rights of men, women and children to access basic services, justice and livelihoods, and freedom from discrimination and persecution. Advancing gender equality and women's equal participation is not only a matter of rights: women's participation is crucial to fulfilling the development potential of a society.
- **Aid interventions should be sensitive to conflict and conflict risks.** The risk that development assistance will inadvertently exacerbate conflict tensions is real. The arrival and presence of refugees can create tensions in host communities, by challenging existing power dynamics, causing sharp increases in prices and wages, and increasing competition over scarce resources. Unless aid interventions are sensitively planned and implemented, they can worsen such tensions (for example by creating perceptions that refugees are being unfairly privileged). Conflict prevention and early warning capacities in host countries should be supported or further developed, where necessary.

- **Programmes and projects should be closely monitored.** Situations can change rapidly because of factors outside the control of a programme or project, especially in the complex environment of the Syrian conflict, developments in the conflict, and the impact on neighbouring countries. Effective and up-to-date monitoring is important if changes in the situation and in programme and project implementation are to be recognised and responded to in a timely manner.

22. By respecting the above approach and principles, development assistance can bring positive change to those affected by the Syria crisis, increasing the ability of people and institutions to cope with and recover from crises, and fostering the potential for step changes in development. Positive and lasting change is possible. The capacities and resources that can contribute to change and development are present among the refugees and host countries: for example, refugees bring skills and financial resources which can make them assets in their host countries. Moreover, some significant development trends in the host countries have been positive (prior to and since 2011), illustrating the capacity of their economies and societies to address human development needs.

23. Positive change can be brought about by pursuing three inter-related strategic objectives, respectively summarised by the terms ‘coping’, ‘recovering’ and ‘transforming’:

- Coping:** individuals, communities, authorities, institutions and systems are strengthened in their ability to manage sudden increases in pressure without complete or partial collapse.
- Recovering:** individuals, communities, authorities, institutions and systems are able to recover from setbacks and return to prior levels of development and prosperity, or better.
- Transforming:** individuals, communities, authorities, institutions and systems are strengthened and transformed in their ability to accelerate development and to prevent crises.

It is by moving from coping, through recovery and to transformation that resilience can be nurtured and strengthened.

24. The table next page summarises examples of steps that can lead towards each of these objectives for Syrian refugees and host countries:

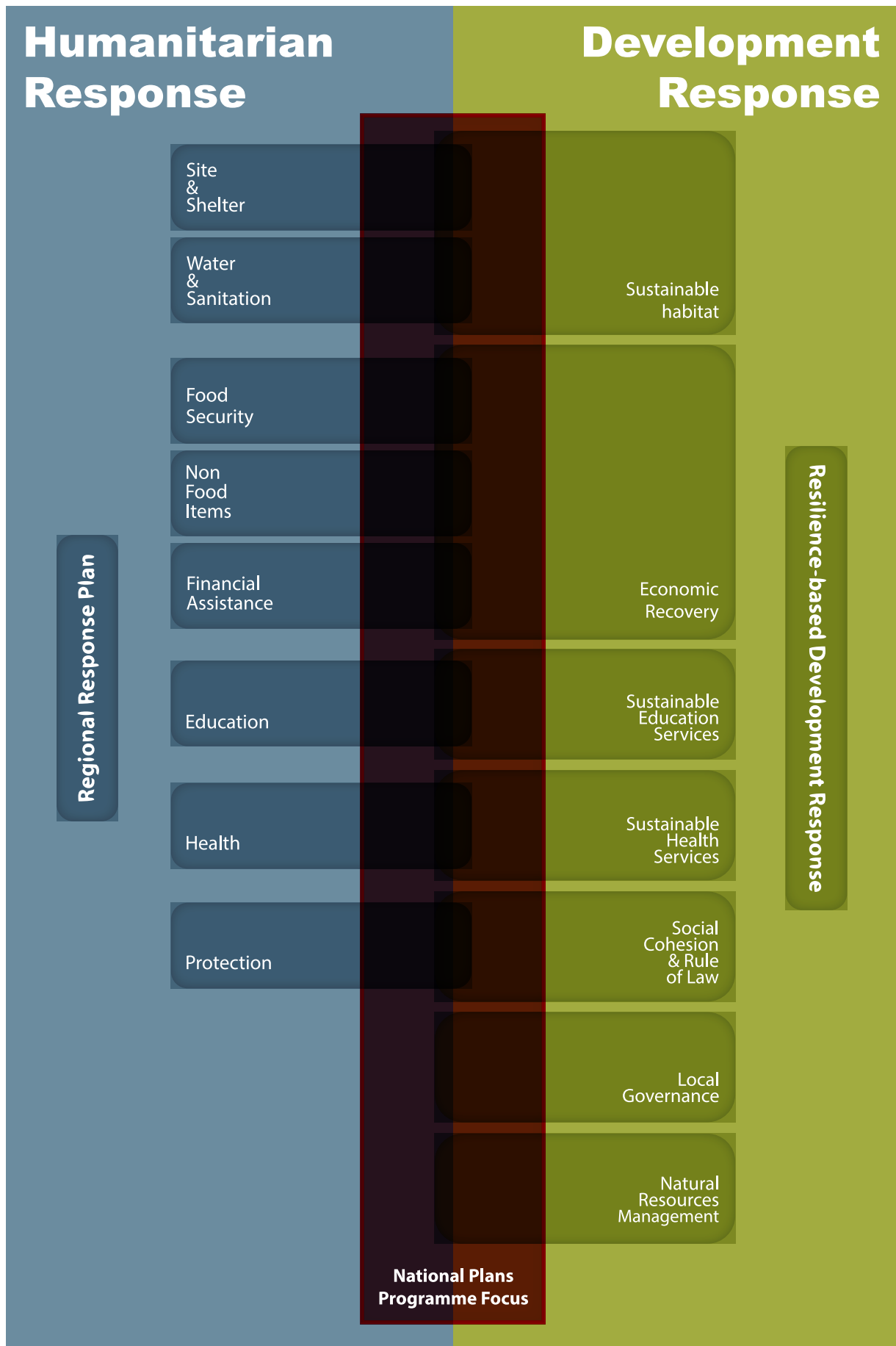
Objective	Examples of steps towards the objective
<p><b>Coping</b></p>	<p><i>Individuals and communities</i></p> <ul style="list-style-type: none"> <li>• Provide protection and basic services to help people to survive critical conditions.</li> <li>• Help people to escape trapped situations, where they are confined to negative coping strategies.</li> </ul> <p><i>Governments, institutions and systems</i></p> <ul style="list-style-type: none"> <li>• Support and strengthen capacity to provide essential basic services (in particular in health, education, and water and sanitation).</li> </ul>
<p><b>Recovering</b></p>	<p><i>Individuals and communities</i></p> <ul style="list-style-type: none"> <li>• Support physical and psychosocial recovery from trauma</li> <li>• Enable people to find or renew sources of income and livelihood, and support initiatives that encourage entrepreneurship</li> <li>• Facilitate the re-establishment of community mutual support networks (inside and outside camps)</li> </ul> <p><i>Governments, institutions and systems</i></p> <ul style="list-style-type: none"> <li>• Rehabilitate or develop new infrastructure (housing, sanitation, roads, electricity) to serve refugee host areas</li> <li>• Develop capacity to increase access to and quality of services (especially education and health)</li> <li>• Support efforts to access national and international financial and material aid</li> </ul>
<p><b>Transforming</b></p>	<p><i>Individuals and communities</i></p> <ul style="list-style-type: none"> <li>• Increase opportunities for long-term capacity development (for example through vocational training and employment schemes)</li> </ul> <p><i>Governments, institutions and systems</i></p> <ul style="list-style-type: none"> <li>• Support revision and development of wider policies and systems for successful long-term management of the impact of refugee inflows</li> <li>• Enhance mechanisms for monitoring and early warnings on risks</li> <li>• Support development of appropriate policies for effective management of scarce natural resources (especially land and water)</li> </ul>

### Resilience-based development and humanitarian assistance

25. A resilience-based approach to development does not replace humanitarian assistance: rather, it builds on it and aims to gradually reduce the need of beneficiaries for long-term emergency assistance, helping people to develop independently and self-sustainingly. For people at the first stages of conflict, displacement and flight, who are still living in critical conditions because of threats to life and well-being, emergency humanitarian assistance is the priority. Where situations and conditions have stabilised, and people and communities are coping and beginning to recover, development assistance that builds resilience can accelerate their recovery and enhance their capacities to prosper independently.

26. **Figure 1** (Next page) illustrates the continuity between humanitarian and development assistance, across the conventional sectors covered by aid.<sup>17</sup>

<sup>17</sup> The categories under the heading 'humanitarian assistance' are those used in the Syria Regional Response Plan 2014.



27. A resilience-based approach to development covers the following areas:

- **Sustainable habitat.** For example:
  - The growth of urban and rural settlements needs to be well planned and accompanied by appropriate growth or improvement of basic services and infrastructure.
  - Housing market pressures need to be managed, to minimise negative repercussions for refugees and host communities and to limit the wider inflationary impact.
- **Sustainable economic recovery.** For example:
  - Opportunities for job creation need to be encouraged, along with widening access to financial services, for men and women, and for young and old.
  - National policies and systems for insurance, healthcare and other means of social protection need to be developed in order to cope with increased demand.
  - Policies and frameworks for local economic development need to be improved, including measures affecting urban and rural enterprise, markets, cross-border trade, and private sector development.
- **Sustainable education and health services.** For example:
  - The capacities of existing schools, clinics and hospitals need to be increased in the short and longer terms.
  - Where possible, Syrian refugees should benefit from employment opportunities created in the expansion of education and healthcare (for doctors, nurses, teachers and support staff).
  - A wide range of short- and long-term measures need to be taken to prevent gender-based violence and to provide support to victims of violence.
- **Social cohesion and rule of law.** For example:
  - Opportunities for dialogue and co-operation to promote peaceful relations between refugees and host populations should be pursued.
  - The rights of refugees need to be respected by local police, security forces and justice systems.
  - Opportunities to encourage peaceful inter-communal relations among refugees and engagement with initiatives for the future of Syria should be encouraged.
- **Local governance.** For example:
  - Managerial and technical capacities of local government (for example in budgeting, planning and procurement) need to be strengthened
  - Public consultation and participation in local governance need to be increased, especially for women and youth.
  - Local policy and practices should be improved, reducing inconsistencies and applying lessons from examples of good practice.
- **Sustainable management of natural resources.** For example:
  - Measures need to be taken to increase efficient use of non-renewable or scarce resources (such as water, grazing and arable land, urban land for construction, and wood for construction and fuel).
  - Measures need to be taken to anticipate and prevent competition over use of scarce natural resources escalating into confrontations and violence.
  - Disaster risk reduction policies and capacities need to be reviewed and improved, to respond to the changes in population and land use.

28. **Annex 2** presents an indicative 'Results Framework' for programmes and projects that take a resilience-based approach to development assistance for refugees and host countries affected by the Syrian conflict.



# IV. Implementation

29. As this paper aims to inform the planning and design of resilience-based development assistance addressing the regional impact of the conflict in Syria, it is not appropriate to set out detailed implementation, monitoring and evaluation arrangements. However, some guidelines for putting specific programmes and projects into action can be outlined.

## Prioritisation

30. In taking a resilience-based approach to supporting communities and countries affected by the Syrian crisis, it is important to prioritise those that are most affected. These may be communities hosting the highest refugee numbers, or hosting lesser numbers but with a particularly weak ability to cope; or it may be other communities identified as being especially vulnerable to shocks.

31. Annex 3 proposes a method for systematically measuring vulnerability, using national, sectoral and geographic indicators to create an 'index of stress'. This index can be used to identify priority communities and areas for assistance. If developed further, the index can also be used to monitor changes in levels of vulnerability over time, from before 2011 through to the present and during implementation of programmes. The index combines district-level data about the level of poverty and the numbers of refugees.

## National plans

32. Recognising the capabilities of host countries and the efforts they have made in responding to the inflows of refugees, where possible international development assistance for managing the regional impact of the conflict in Syria should be aligned with and support national development plans. Putting national plans and capacities at the centre of development assistance helps to build resilience in the relevant institutions, and is in line with good practice for international aid.<sup>18</sup>

33. As middle-income countries, Syria's neighbours have significant government capabilities and growing civil societies. However, they also face significant challenges and problems.<sup>19</sup> With its large population and economic strength, Turkey has been most able to absorb the influx of refugees without being destabilised. However, in Iraq GDP growth driven by the rise in oil production and revenues has not translated into an equal improvement in access to services for the poor, nor has security and the unity of the country increased (as illustrated by the escalation in conflict in north-western Iraq in 2014). In Jordan, economic growth has struggled to keep pace with population growth, and the unevenness of growth has caused some tensions. In Lebanon, the conflict in Syria has provoked outbreaks of violence, and there is a risk of greater turmoil due to the exceptionally high ratio of refugees to nationals and the political connections between the two countries.

18 See 'The Paris Declaration on Aid Effectiveness' (2005), the 'Accra Agenda for Action' (2008), and the 'Busan Partnership for Effective Development Cooperation' (2011); and principles of UN General Assembly A/Res/46/182 on strengthening coordination of UN humanitarian emergency assistance (1991).

19 Between 2008 and 2013 Turkey rose 16 places in the Human Development Index, to 69th out of 187 countries; Lebanon rose from 63rd to 65th; Jordan fell from 69th to 77th; and Iraq fell from 119th to 120th. See <http://hdr.undp.org/en/content/table-2-human-development-index-trends-1980-2013> and UNDP, 'Human Development Report 2014 – Sustaining Human Progress: Reducing Vulnerabilities and Building Resilience' (New York: UNDP, July 2014).

**34.** Humanitarian and development assistance in the countries neighbouring Syria have to adapt to the socio-economic background and expectations of refugees and host countries. Thus, for example, the concentration of refugees outside camps entails that methods of delivering aid must be adapted to this context, with greater involvement by the private sector.<sup>20</sup> The development and extension of voucher systems is one example of positive collaboration between aid and the private sector, offering some benefits in efficiency and effectiveness.

**35.** Aligning development assistance for the regional impact of the Syrian crisis with national development plans can make it easier to:

- Harmonise local development goals.
- Find synergies and economies of scale between external assistance, domestic expenditure and priority setting.
- Find opportunities to leverage partnerships and strengthen coordination within and across sectors, making possible more integrated responses to problems.
- Improve budget planning and sustainability.
- Improve definition of short-term, medium-term and long-term priorities and goals
- Organise and operate funding mechanisms efficiently (minimising the bottlenecks that commonly affect multi-donor and multi-party aid situations).
- Pursue effective dialogue about policies, particularly on sensitive issues such as employment and inclusion of refugees in social safety nets.
- Mobilise and coordinate stakeholders.

**36.** With international assistance, and informed by relevant baseline studies, national plans for responding to the Syrian crisis have been developed in Jordan and Lebanon.<sup>21</sup> Use of these plans should be encouraged, as they complement national development plans and provide opportunities to expand partnerships and to foster positive longer-term strategies for the Syrian refugee presence and to deal with further impacts of the conflict in Syria. The UN system and international partners should also do the following:

- Support local (community and municipality) efforts to formulate development plans, and for these to feed into national planning.
- Help to ensure that the interests of the poor and otherwise disadvantaged are addressed in all development plans.
- Strengthen national and local government capacity to implement plans.
- Improve coordination and information sharing between national and international humanitarian and development funding.
- Support improvements in national aid coordination architecture.
- Encourage efforts to involve the private sector in national responses (for example in the development of housing and essential infrastructure) and to attract investment to refugee host areas (creating new employment opportunities).

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<sup>20</sup> Steven Zyck and Justin Armstrong, 'Humanitarian crises, emergency preparedness and response: the role of business and the private sector', ODI paper, January 2014.

<sup>21</sup> See: Government of Jordan, Ministry of Planning and International Cooperation, 'National Resilience Plan 2014–2016: Proposed Priority Responses to Mitigate the Impact of the Syrian Crisis on Jordan and Jordanian Host Communities' (Amman: January 2014); Government of Lebanon, 'Lebanon Roadmap for Stabilisation' (Beirut: November 2013).

## Financing

**37.** The availability, reliability and speed of disbursement of multi-year funding is important in responding to crises, whether they are short-term or long-term crises. This is true in the case of the Syria crisis, given its scale and how large a region it has affected. To optimise the use of funds from humanitarian and development funding baskets, the UN Country Team and partners should undertake the following steps:

- Map and rationalise existing funding mechanisms for ongoing programmes and projects, in order to decide how best the priorities of a resilience-based development response can be funded.
- On a country-by-country basis, establish dedicated pooled funds and multi-donor trust funds, where suitable, ensuring that these cover the full spectrum of resilience-based development needs (including gender-related priorities).
- Help national governments to access the benefits of full cooperation with international donors and financial institutions, such as policy and budget support.
- Support national and local governments with the technical assistance needed to mobilise private sector finance, including through corporate social responsibility schemes and commercial investments.

## Annex A: The concept of resilience

As is often the case with the practical application of concepts, there are multiple definitions of what *resilience* means. The definitions summarised below are those that are most used by UN agencies, international organisations, donors and other development actors.

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***'The ability of a system, community or society exposed to hazards to resist, absorb, accommodate and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions.'*** (Office of the United Nations Strategy for Disaster Risk Reduction, and World Food Programme)

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***'The capacity of vulnerable households, families, communities and systems to face uncertainty and the risk of shocks, and to withstand and respond effectively to shocks, as well as to recover and adapt in a sustainable manner.'*** (Global Alliance for Action for Drought Resilience and Growth)<sup>22</sup>

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***'The ability to prevent disasters and crises, as well as to anticipate, absorb, accommodate or recover and adapt from them in a timely, efficient and sustainable manner. This includes protecting, restoring and improving livelihoods systems in the face of threats that impact agriculture, food and nutrition (and related public health).'*** (Food and Agriculture Organization)

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***'The ability of people, households, communities, countries and systems to mitigate, adapt to and recover from shocks and stresses in a manner that reduces chronic vulnerability and facilitates inclusive growth.'*** (United States Agency for International Development)

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***'A transformative process of strengthening the capacity of men, women, communities, institutions, and countries to anticipate, prevent, recover from and transform in the aftermath of shocks, stresses and change.'*** (UNDP)

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***'The ability of countries, communities and households to manage change, by maintaining or transforming living standards in the face of shocks or stresses (such as earthquakes, drought or violent conflict) without compromising their long-term prospects.'*** (UK Department for International Development)

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***'The ability of communities and households to endure stresses and shocks.'*** (UN OCHA)

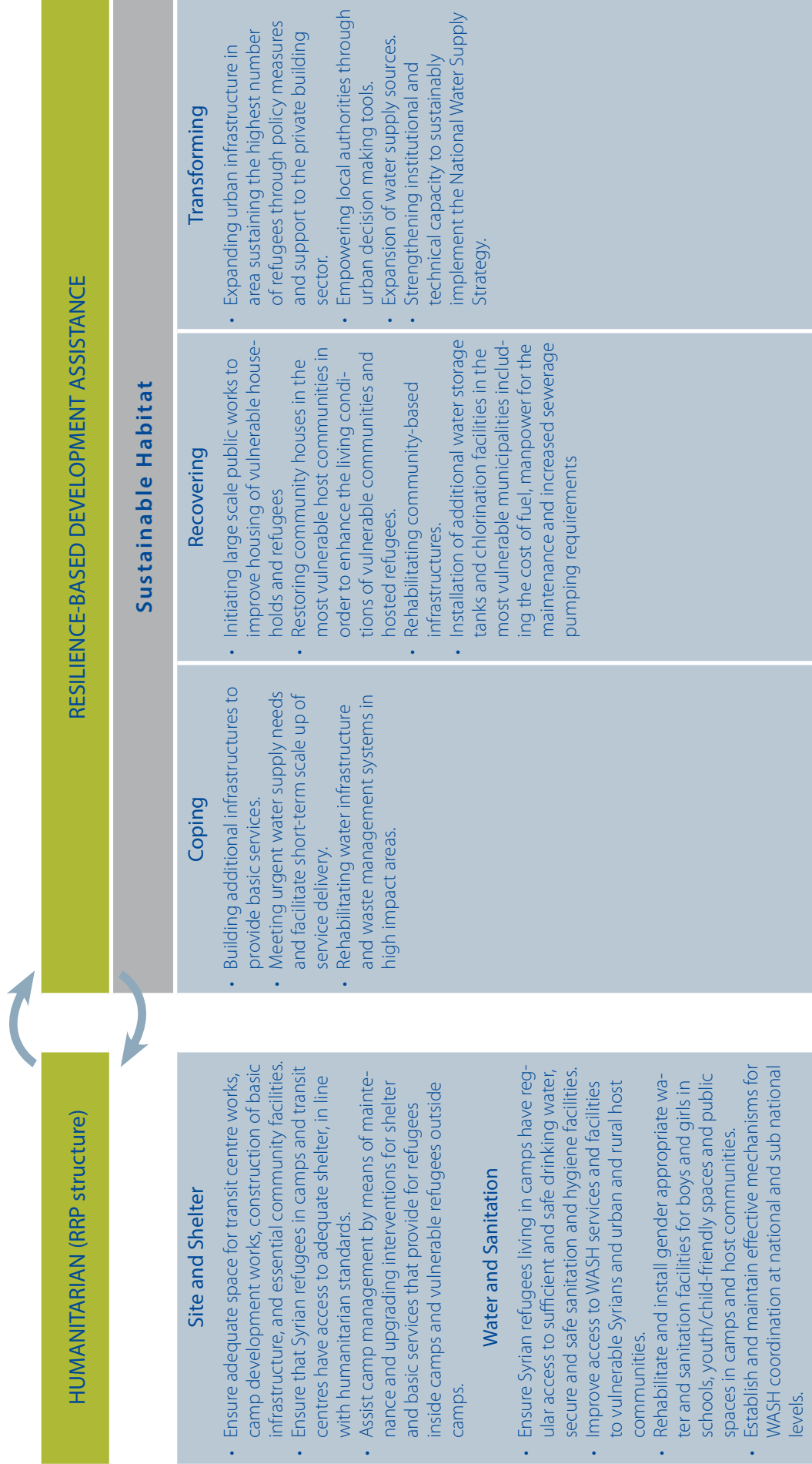
Shared across these definitions is the idea of resilience as **the ability and strength of individuals, communities and institutions to cope with, withstand, recover, adapt and transform in the face of specific shocks.** This means all interventions in the wake of a crisis begin with identifying and building upon existing capacities and resources.

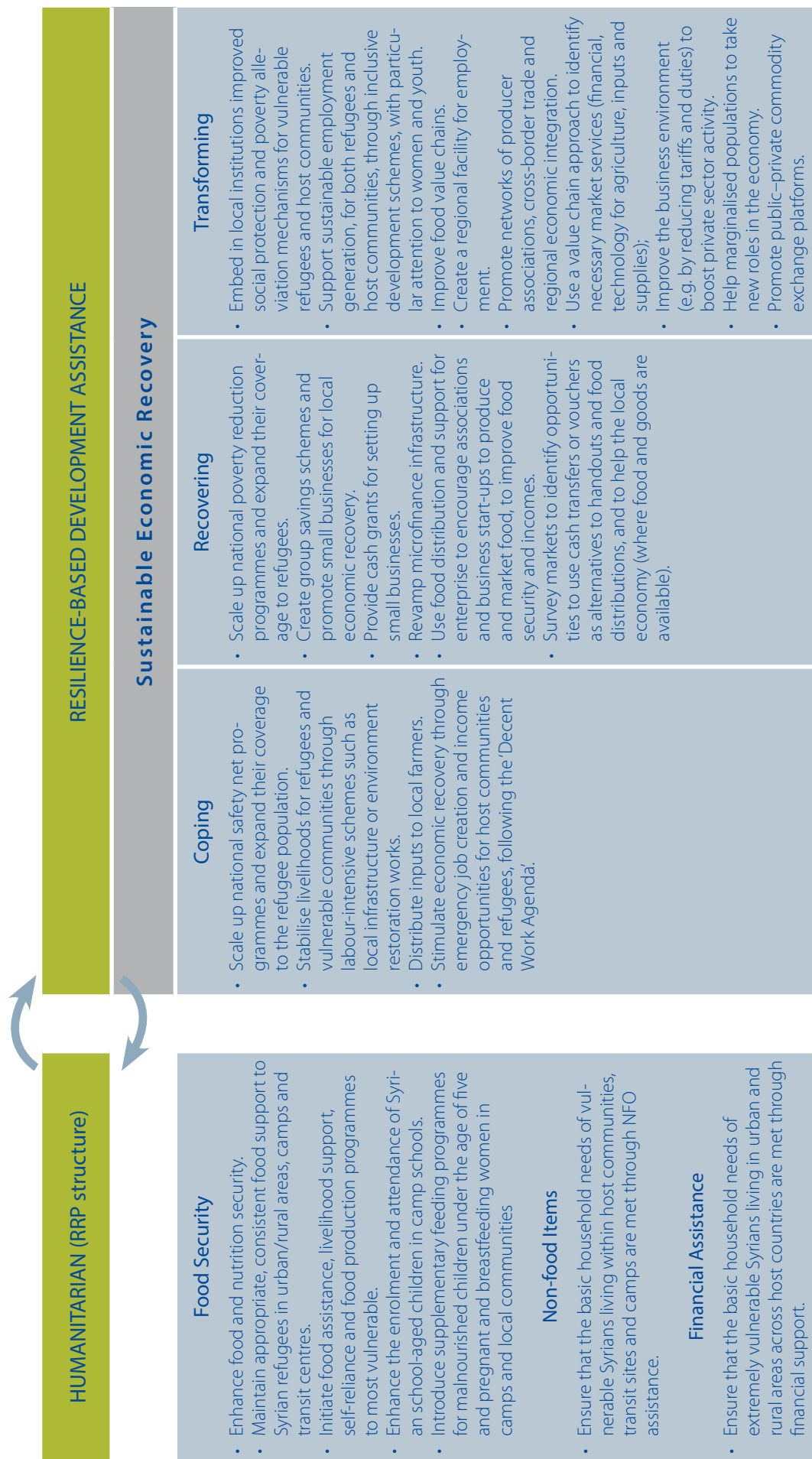
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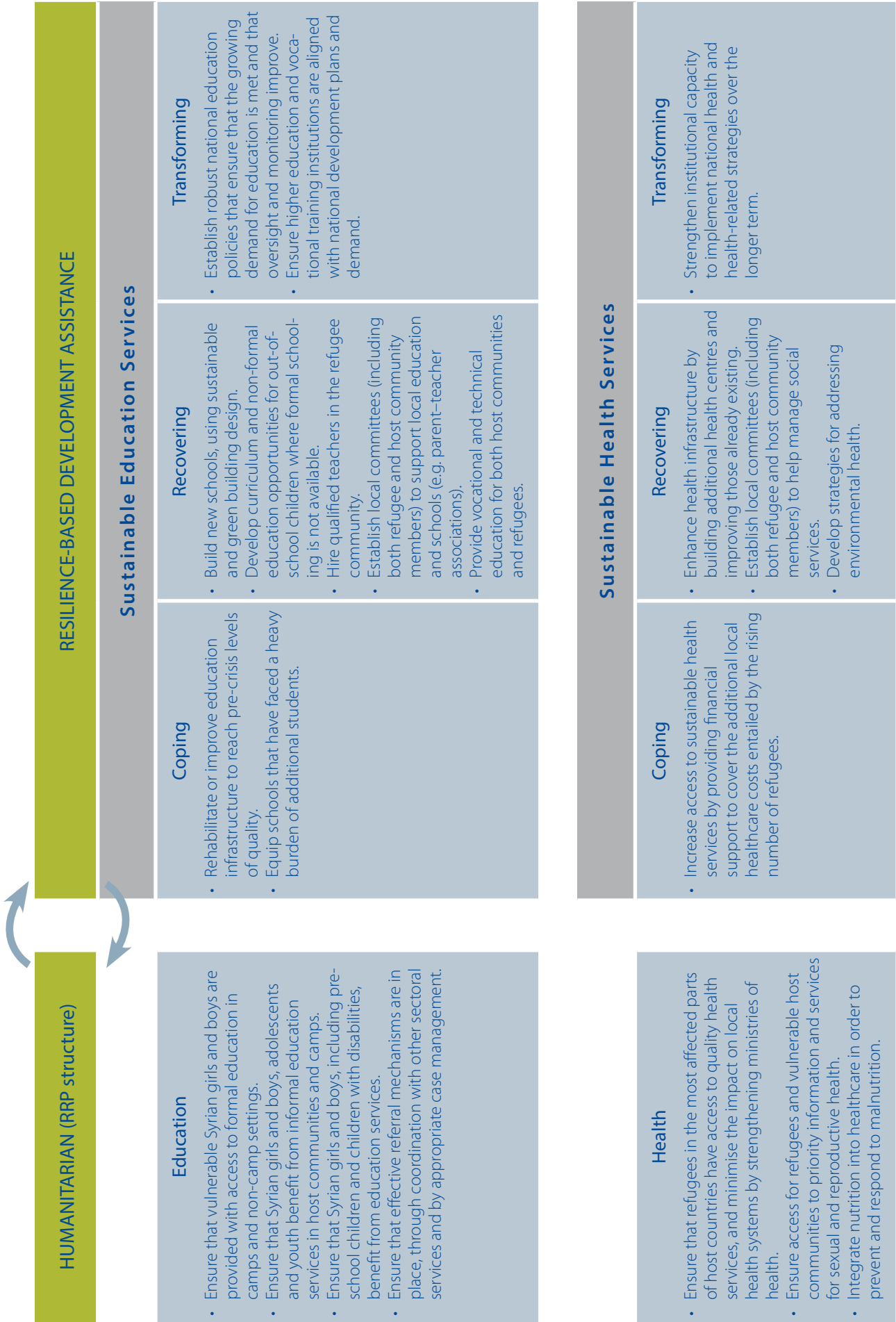
<sup>22</sup> A network of over 51 donor and international development partners convened by USAID.

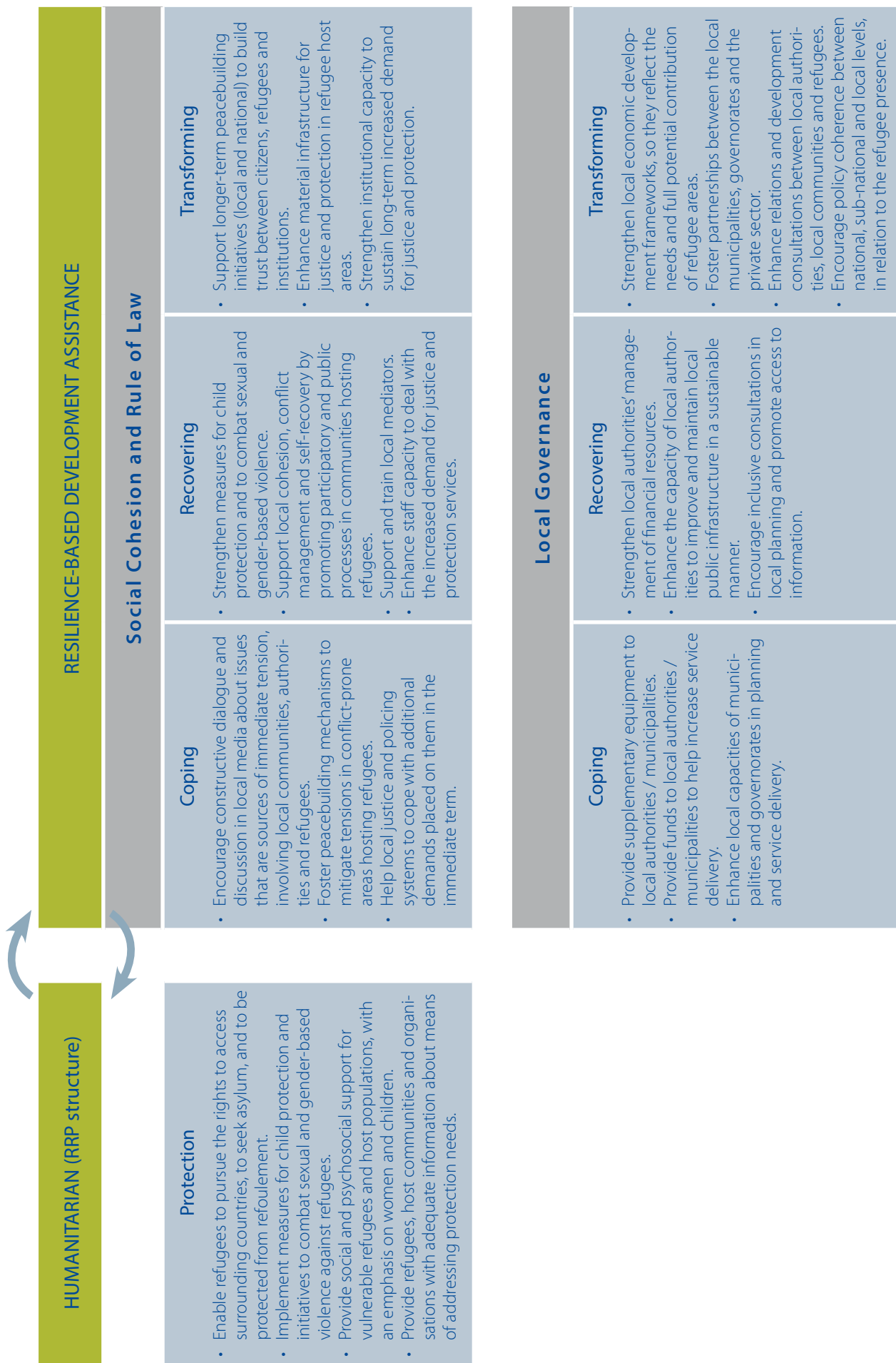
## Annex B: An Indicative Results Framework

The left column presents standard components of the RRP model, while the right column presents the complementary components of a resilience-based development framework, namely (1) *coping*, (2) *recovering*, and (3) *sustaining*.













## Annex C: Comparing levels of vulnerability

In order to make systematic comparisons of levels of vulnerability, by district or municipality, and to help with prioritisation of communities being aided, UNDP proposes the development of a composite Index of Stress (IS). The index has been endorsed by the Comprehensive Regional Strategy Framework (CRSF) of the UN. It considers three critical spheres of vulnerability that are relevant to a resilience-based response to the Syrian crisis: the level of human development of each district or municipality; the availability (or lack of) health and education services; and the magnitude of the pressure from the Syrian refugee crisis.

### *Rationale*

The communities impacted by the Syrian crisis vary not just in the magnitude of the pressure they face from the influx of refugees, but their level of development and the availability of basic social services.

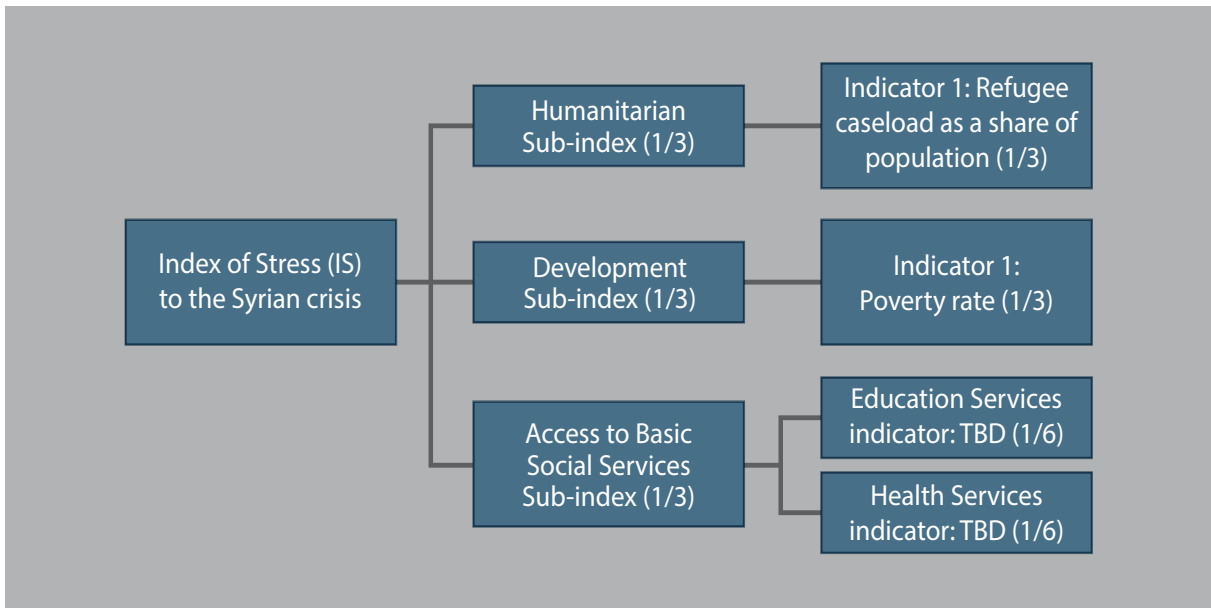
The countries in the sub-region around Syria are all middle-income countries, with a level of development that is better than most low-income countries but not high enough to provide the resilience to deal with as large and prolonged a humanitarian and economic crisis as that caused by the conflict in Syria. State capacities in these countries are relatively strong and are expanding, but they still fall short when compared to the capacities of high-income countries. These countries lack the excess or buffer capacities needed to accommodate the demographic shock brought by the Syrian refugee crisis without disruption or strain. Moreover, the geographic inequality (for example between rural and urban) in levels of development and access to social services is very high.

A well-targeted resilience-based response requires a method to prioritise the most vulnerable communities, based on the magnitude of pressure from the Syrian crisis, the level of development, and the capacities of local social services. The Index of Stress provides a simple and quick way to combine these three pieces of information into a single index, ranking vulnerable communities based on their overall level of stress experienced from the crisis. This provides an alternative to depending on only discrete, one-dimensional measures of vulnerability and stress. However, the index does not identify the drivers of community vulnerability: such identification requires further analysis of the communities highlighted by the index.

### *Composition and data*

The proposed Index of Stress can be composed from three equally-weighted sub-indices:

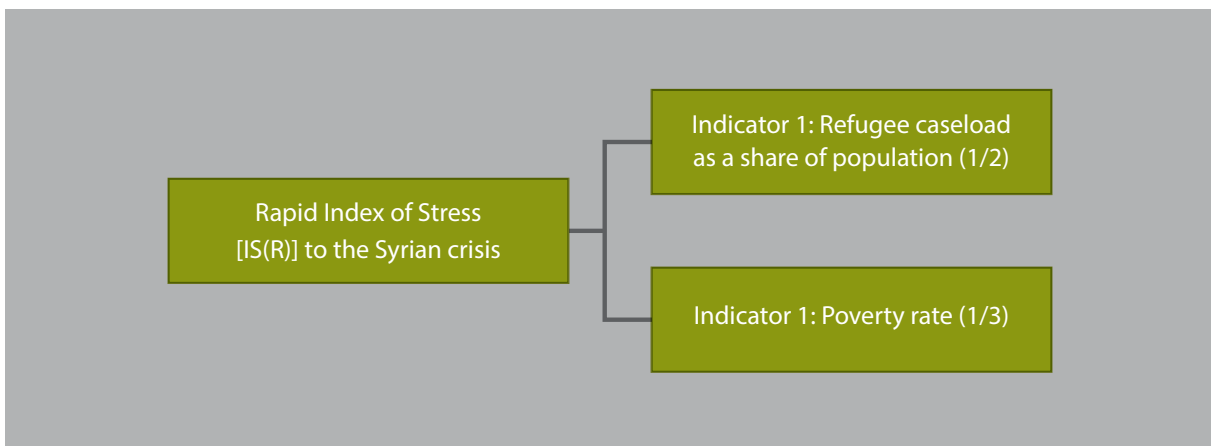
- i. A humanitarian sub-index that measures the magnitude of the refugee crisis, by district;
- ii. A development sub-index that measures the level of human development, by district; and
- iii. An access to social services sub-index that measures the level of access to basic health and education services.



As can be seen from the figure above, the humanitarian sub-index and the development sub-index are each composed from a single indicator, whereas the sub-index of access to basic social services is composed from two indicators, respectively measuring access to education and health services. This composition offers scope for development with further detail within each sub-index. The overall index uses a geometric mean of all three sub-indices, with an equal weight for each sub-index.

### *A Rapid Index of Stress*

Development of a full Index of Stress will require standardised analysis of access to education and health services across four countries, by district or municipality. To develop and standardise this sub-index will take more time than for the two other sub-indices. Therefore, until a standardised sub-index of access to basic services is completed, UNDP proposes that a Rapid Index of Stress (IS(R)) be used, composed only of the two other sub-indices, as shown in the figure below.



The poverty rate approximates the existing vulnerabilities of host communities since poor communities are the ones most likely to suffer deprivations in human development, a lack of opportunities to generate livelihoods and secure jobs, and also shortages in infrastructure and access to basic social services. Moreover, poverty data (collected through Household Income Expenditure and Consumption Surveys (HIECS) is available for all countries at a highly disaggregated level (by district or municipality).

The number of registered refugees captures the degree of stress the crisis is placing on these communities. The larger the number of refugees in a given area, the more likely it is that this area will suffer the adverse impacts of the shock.

A similar methodology was used by the Government of Lebanon in the 'Lebanon Stabilisation and Recovery Roadmap' (2013) to identify and rank vulnerable municipalities. The same methodology was recommended by ODI reports and interviews conducted to support the development of the Comprehensive Regional Strategy.

### **Method and data**

The IS(R) is a geometric mean of the two indicators with both indicators receiving equal weights, i.e.:

$$IS(R) = \sqrt{PR \times RP}$$

Where,

- *IS(R) = Rapid Index of Stress of communities affected by the Syrian crisis. The index ranges upwards from 0 (no stress).*
- *PR = the percent of households living below the national poverty line ranging from 0 to 100.*
- *RP = the ratio of refugees to total population ranging from 0 to 100.*

The IS(R) requires two indicators. Poverty data is available from the latest household income surveys in each of the countries concerned (Egypt, Iraq, Jordan, Lebanon, Syria and Turkey), applied at the greatest possible level of geographic detail (district or municipality). Refugee and population data is available from UN and national sources.

## Annex D: Resilience Marker

### Guidance on Developing the Resilience Component of the Regional Refugee and Resilience Plan (3RP)

The Regional Refugee and Resilience Plan (3RP) for 2015-16 adopts a two-track approach:

1. **REFUGEE COMPONENT:** Will address the protection and assistance needs of refugees living in camps, settlements and local communities in all sectors, as well as vulnerable members of impacted communities. It will strengthen community-based protection by identifying and responding to immediate support needs of communal services in impacted communities.
2. **RESILIENCE COMPONENT:** Will enhance capacities of impacted household, communities, national, sub-national institutions and systems to cope with, recover from the effects of the refugee crisis in all sectors, and provide opportunities for transformational changes in their ability to withstand future shocks, preserve and sustain development gains.

In the spirit of the 3RP, The Resilience Marker: provides a 'screening tool' to help Sectoral Working Groups and other 3RP stakeholders make informed decisions about Output/Activities to be considered under the Resilience Component, based on individual country circumstances, ensure some degree of coherence among Resilience Component Output/Activities across the five countries and 3RP sectors, and provides an opportunity to rethink and possibly review Output/Activities with a particular focus on how Output/Activities are **contributing to Resilience Building on a sustainable basis**.

The Marker screening process (See Annex C.1 – Marker Matrix) is designed as a two-step process articulated around a set of 10 questions calling for simple YES or NO answers. Questions are not sector-specific, but meant to apply to all sectors and diversified country situations.

**STEP 1: (CATEGORIZING):** Questions Q1 to Q2 are basic questions checking for the strategic linkages of proposed Outputs/Activities with the goals that were set forth for the Resilience Component of the 3RP, as per Guidance Note 2<sup>23</sup>. *If answer to any of these three questions is YES, the Output/Activities would in principle fall under the Resilience Component.*

**STEP 2: (ASSESSING AND SCORING)** Questions Q3 to Q10 are checking for *the extent to which* Outputs/Activities that qualify for the Resilience Component of the 3RP (as per STEP1), are embedding some of the key dimensions and principles of Resilience-based planning and programming in terms of **outreach, implementation processes and expected impacts**, with a special focus on sustainability issues.

#### STEP 2 Results

Number of YES (Q3 to Q10)	Score	What does it mean?
0	0	Whilst Output/Activities are aligned with Resilience Component goals, further adjustments (design, scope, implementation processes) may be considered to maximize contribution to resilience building on a more sustainable basis.
1 to 4	1	Outputs/Activities are likely to contribute to Resilience Building on a sustainable basis
5 to 8	2	Outputs/Activities are most likely to contribute to Resilience Building on a sustainable basis.

23 Guidance Note on Refugee and Resilience Components of the 3RP, September 2014.

# Annex D.1 : Resilience Marker

STEP 1		STEP 2								
Output/ Activities	Outreach		Linkages With National Priorities and Systems			Impact Sustainability				
	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10
	Will the Output/Activities contribute to create and/or enhance opportunities (e.g jobs, income generation, livelihoods, business development..)	Will the Output/Activity contribute to strengthen the capacities of national/sub-national service delivery systems (public or private) to meet the needs (social protection, security, health, education, water and sanitation, agricultural extension, energy, infrastructure...)	Are the Output/Activities intended to benefit members of impacted communities or both refugees living in communities and members of impacted communities?	Do the Output/Activities address some of the priorities set forth in existing national plans to address the impacts of the Syrian crisis?	Are Output/Activities foreseen to be directly implemented by or involve partnering (cum capacity-building and facilitation) with national or subnational institutions (public, private, NGOs, CBOs)?	Is the Activity foreseen to be at least partially funded from domestic resources (public or private)?	Are the Output/Activities expected to produce lasting socio-economic benefits for impacted individuals/HHs/Communities/Systems?	Will the Output/Activities contribute to address and, possibly transform (e.g through policy changes) some of the root causes of vulnerability in impacted communities? (e.g chronic poverty; inequalities, including gender terms of access to resources and services, poor governance)	Will the Output/Activity help enhance the effectiveness and impact of activities undertaken in other sectors?	Are Output/Activities sensitive/responsive to social cohesion issues?
<b>Notes</b>	Whilst there may be variations across sectors, activities under the Resilience Component are indeed expected to meet the needs of individuals, households and communities, primarily in an indirect manner, through addressing capacity gaps of national and sub-national institutions and systems delivering services on which affected populations are depending on.	While activities under the Refugee component are expected to prominently address the specific needs of refugees living in camps or in communities, and to some extent the needs of most vulnerable members of impacted communities, activities under the Resilience Component are expected to address the broader needs of impacted individuals, households and communities. In this regard, the relative outreach of activities to members of impacted communities would be expected to be larger under the Resilience Component compared to the Refugee Component. Efforts to balance support to refugee and impacted community members are also important for social cohesion. The ratio of targeted members of impacted communities/targeted refugees may be used here for guidance.	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No
				For sustainability the context of a protracted crisis, and consistent with aid effectiveness principles, activities under the Resilience Component of the 3RP would be expected to involve a significant degree of engagement with national governments and to support, in a catalytic manner, delivery on existing national plans,			Activities under the Resilience Component are expected to include but also to go beyond short-term or temporary increases in resources or capacities to help impacted individuals, households and communities to cope with the effects of the Syrian Crisis, towards enhancing recovery/adaptive and transformative capacities (bringing in new approaches and technologies) for more sustainable results	The underlying principle is that activities that contribute to address roots cause of vulnerability of people and households in impacted areas will have more long-lasting impacts than others	Maximizing inter-sectoral synergies is key to making the overall response more effective both in terms of costs and results on the ground	Mainstreaming social cohesion issues in the design and implementation of Resilience-based interventions is also important for sustainable results

## Annex E: Frequently asked questions about resilience

### 1. Why a 'resilience-based response' to address the impact of the Syria crisis in neighbouring countries?

- i. The **protracted nature** of the conflict and the low probability that a successful political settlement will be reached soon and implemented rapidly mean that an international response is needed which both helps countries to cope with the ongoing stresses caused by the conflict and reduces dependence on long-term humanitarian relief.
- ii. A purely development-focused response is inadequate in the face of sudden stresses caused by the conflict in Syria and sudden changes in the needs of refugees and host communities. Equally, a purely humanitarian response is inadequate and unsustainable over the medium and long term, because it does not enable beneficiaries to prosper and develop in line with their potential. A resilience-based approach to development, combined with humanitarian assistance, **strengthens people's capacity to deal with shocks, minimises longer-term dependence** on humanitarian assistance, and improves wider prospects for prosperity and development.
- iii. The host countries are neither least developed countries (LDCs) with little or no state capacity, nor advanced economies with well-developed economies and capacities that can overcome the shock of the crisis without external assistance. They are middle-income countries (**MICs**) which have achieved some advances in development over the past two decades but are still vulnerable to significant setbacks from shocks such as those associated with the Syrian crisis (e.g. demographic, economic, social). Humanitarian assistance may be necessary in some communities or localities in the **short term**, to cope with the impact of events. But in the longer term assistance is required to overcome setbacks and to return to an **upward development trajectory**.
- iv. The refugee problem is not isolated from the economic, physical and social environment of the host countries. The vast majority of refugees (more than 80%) are living in host communities and competing for the same limited pool of livelihoods, basic social services and resources. A purely humanitarian response that focuses solely on individuals with refugee status can create new inequalities and tensions between refugees and host communities. A resilience-based approach supports entire communities while remaining alert to the particular hardships faced by the Syrian refugees.
- v. Crises and shocks in the region around Syria are not new, although the scale of the population displacements in and from Syria exceeds anything seen in many decades. However, the region is likely to face further crises, both related or unrelated to the Syrian conflict, such as external economic shocks, effects of climate change, and political crises. Addressing capacities of resilience helps countries to effectively withstand future shocks.

### 2. Resilience for whom and what?

A resilience-based response aims to build the resilience of individuals, communities, sectors and national systems, to enable them to better cope, adapt and recover from shocks. It entails **inclusive, multi-sectoral and multi-level** planning and coordination.

- i. At the **individual** level, a resilience-based response should encourage progress on gender equality, aiming to ensure that both women and men have equal opportunities to participate in economic and social decision-making.
- ii. At the **community** level, a resilience-based response should create livelihoods, expand social safety nets, and increase basic social services for the communities and localities that are facing the largest deprivations and setbacks in human development. This includes communities that have the highest concentration of refugees, communities that had strong economic and trade linkages with Syria, and communities that are near refugee camps or the Syrian borders.

- iii. At the **sectoral** level, a resilience-based response should address housing and basic social services, including education, health, water, sanitation and waste management. Building resilience at the sectoral level entails, for example: strengthening the structures and systems through which basic services are provided; increasing the number of qualified personnel that administer these services; providing training; introducing new technologies and innovative solutions; and building new infrastructure.
- iv. At the **national** level, a resilience-based response should support improvements in macroeconomic performance (such as faster GDP growth, lower unemployment, and a more balanced external trade account). It should also strengthen fiscal capacity to deal with shocks and to finance development efforts.

### 3. What would be the first steps in building resilience in the sub-region, why and how?

The first step in moving beyond a purely humanitarian response is to identify the areas of priority (both geographic and sectoral) that are facing the biggest shortfalls in capacity. In a context of shortages in financial and material resources for aid, prioritisation is critical if the positive impact of aid is to be maximised. Sectoral priorities may include scaling up support to local and national governments to provide basic social services, life-sustaining actions, support for livelihoods, support for social cohesion and conflict management, and measures to increase housing stock. Prioritisation should be based on a thorough analysis of vulnerability, using consistent criteria and taking into account specific complexities of the situation in each country affected by the Syrian crisis.

### 4. What is the difference between 'resilience' and 'early recovery'? Do they match each other in the sub-region?

Resilience and early recovery are neither synonymous nor entirely distinct from each other. The concept of early recovery is primarily applicable in post-conflict areas where there is much emphasis on rebuilding communities, infrastructure and livelihoods. In general, this concept and approach is not appropriate in the countries neighbouring Syria, because these countries are not emerging from conflict and sustained destruction of infrastructure and livelihoods, and they therefore do not require 'rebuilding'. Instead, these countries are mostly facing a series of somewhat unprecedented stresses to their existing capacities, and increased competition for jobs, livelihoods, and resources. Thus, if early recovery is primarily about **rebuilding**, resilience is primarily about **strengthening** and expanding existing capacities, and transforming the formal and informal institutions that foster such capacities. However, differences in the conflict and development situation in refugee countries mean that it is appropriate to think in terms of early recovery in places where destructive conflict has occurred and rebuilding is necessary.

### 5. How do you sum up the main development challenges of the sub-region?

The sub-region suffers from a number of long-standing political, economic and structural development challenges. These include sluggish economic growth, high levels of poverty and unemployment (especially among youth and women), high budget deficits and public debts (in some countries), political tensions and violent conflict.

The Syrian refugee crisis is exacerbating some of these challenges. For example, in Lebanon, it has been estimated that unless preventive action is taken the unemployment rate could double to 49% by the end of 2014 (and potentially rise to 65% in 2015), while an additional 170,000 Lebanese may join the 1 million who are already living in poverty.



**6. Do we have to have a new programme area called 'Resilience,' or is it cross-cutting? Is resilience to be mainstreamed in all our programmes or projects? If so, how is this to be done?**

Resilience will have to be built into your existing programming. If necessary, implementation arrangements should be reshaped to deliver results differently. What is important is to define the resilience results that you seek, agree these with governments and other partners (including donors), and then implement your programmes and projects accordingly.

**7. What is the relationship between resilience and vulnerability?**

Resilience and vulnerability are sometimes used in everyday language interchangeably. In development aid, however, there are nuanced differences. Vulnerability usually refers to people as individuals or groups and measures their susceptibility to harm from a specified source or sources. Resilience usually refers to a system and its overall capacity to cope with, recover from, and transform as a result of shocks and stresses.

**8. How is success measured? What indicators are normally used to measure resilience**

Success is measured by how many people are able to maintain and improve their livelihoods in a context of shocks and stresses, and to do so in the future without help from outsiders. A fundamental indicator of success in building resilience is reducing the number of people requiring humanitarian support.

**9. Are baselines available for the situations in which you propose to work?**

In some cases baseline data can be drawn from government or agency data and estimates for the number of people who are food insecure (WFP), refugees (UNHCR), vulnerable children (UNICEF), unemployed (ILO), or living in poverty (UNDP). In other cases new baseline data will have to be gathered, for example by conducting a disaggregated multi-dimensional livelihoods assessment.

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*(...) Reducing vulnerability and increasing resilience will require strong governance capacities to ensure that state institutions have the capacity to implement long-term and multisectoral risk reduction approaches, and to become more effective, accountable, and responsive to the needs of all – most of all, the poorest and most vulnerable in communities. (...) Our experience in the response to the Syria crisis, for example, suggests that while policies of donor governments recognize that more integrated and multi-sectoral approaches and “co-ordinated and comprehensive strategies” are essential to transition from humanitarian responses to sustainable development, this understanding has yet to be translated into predictable and multi-year funding.*

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