

# Guidance for resilience analysis



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# Abbreviations and acronyms

EU	European Union	SDG-C	Sustainable Development Goals contract
OECD	Organisation for Economic Co-operation and Development	SRBC	state and resilience building contract
		SRPC	sector reform performance contract
SDG	Sustainable Development Goal	ToR	terms of reference

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# 1 Introduction

Complex and prolonged crises – where multiple risks converge with weak economic, governance, political, security and social systems and diminishing natural resources – require structured, long-term and resilience-focused approaches. Such crises can be either natural disasters or human-engineered conflicts. Based on this understanding, the European Union (EU) has, over the last decade, developed a **robust policy framework anchoring resilience as one of the main priorities of the EU Global Strategy**. This move is in line with current international frameworks such as the [2030 Agenda for Sustainable Development](#), the [Paris Agreement on Climate Change](#) and the [Sendai Framework for Disaster Risk Reduction](#).

As noted in the 2012 Commission Communication on the EU Approach to Resilience (EC, 2012) resilience refers to the **ability of an individual, a household, a community, a country or a region to withstand, adapt and quickly recover from shocks and pressures in a manner that reduces vulnerabilities and risks to an acceptable threshold**. The EU Global Strategy takes the concept further to include ‘democracy, trust in institutions and sustainable development, and the capacity to reform’ (EU, 2016).

The emerging climate change discourse has emphasised resilience as a key concept to deal with issues such as climate change mitigation and adaptation. In its first *Annual Strategic Foresight Report – Charting the course towards a more resilient Europe*, the EU promotes **green resilience** as a means to reaching climate neutrality by 2050 while mitigating and adapting to the consequences of climate change, reducing pollution and restoring the capacity of

ecological systems to sustain our ability to live well within planetary boundaries (EC, 2020). The report also highlights the concept of **digital resilience** as a means to ensure that the way we live, work, learn and interact in this digital age preserves and enhances human dignity, freedom, equality, security, democracy and other fundamental European rights and values. Both concepts reflect the multidimensional nature of resilience as it applies to the different shocks and pressures that pertain to and interact across social, economic, political, security and environmental (including climate and natural resource) dimensions.

According to the 2017 Joint Communication on a Strategic Approach to Resilience in the EU’s External Action (Council of the European Union, 2017), the EU’s **strategic approach to resilience** aims at strengthening:

- the adaptability of states, societies, communities and individuals to political, economic, environmental, demographic or social pressures in order to sustain progress towards national development goals;
- the capacity of a state – in the face of significant pressures – to build, maintain or restore its core functions as well as basic social and political cohesion, in a manner that ensures respect for democracy, rule of law, and human and fundamental rights and fosters inclusive long-term security and progress; and
- the capacity of societies, communities and individuals to manage opportunities and risks in a peaceful and stable manner, and to build, maintain or restore livelihoods in the face of major pressures.

Moreover, the EU should aim to **address root causes and vulnerabilities** and thus reduce the risk of future crises and strengthen capacities to address them. Ultimately, this would build resilience and promote positive peace.

A strategic approach to resilience calls for adapting how the programming, design, implementation and evaluation of EU interventions are undertaken, emphasising a more collaborative, targeted and flexible approach to address the multifaceted and interlinked vulnerabilities and causes of fragility. This requires:

- **moving away from crisis containment to a more structural, long-term approach** to vulnerabilities, with an emphasis on anticipation, prevention and preparedness;
- **integrating resilience analyses** into EU interventions, ensuring that they are risk-informed and gender- and conflict-sensitive;
- **addressing the identified risks and underlying diverse causes of fragility** by integrating risk reduction measures into interventions and building on existing institutional and societal strengths;
- **emphasising the inclusion of vulnerable groups** throughout the resilience programme cycle;
- **building flexibility and adaptability into interventions**, including crisis modifiers and contingency measures, so they can be modified and/or scaled up when and where needed;
- **implementing the humanitarian-development-peace nexus** through closer cooperation and complementary action between development, humanitarian, security and political actors,

building on a shared analysis of risks and vulnerabilities as well as strategic planning;

- **underpinning development interventions with coherent political and policy dialogue**, encouraging partner governments to take more responsibility for chronic vulnerabilities; and
- **driving consensus around the concept of resilience and its necessary components**, the process of building it and the expectations various stakeholders hold of it.

A **resilience analysis** of shocks, pressures, structural causes and vulnerabilities facilitates the development of context-specific options for EU external action and of EU country strategies, programming, design, implementation and monitoring of interventions. Such analysis promotes a coherent, integrated and cooperative approach among EU political, security, humanitarian and development actors, while respecting their distinct mandates.

This document provides guidance on **how to conduct a resilience analysis** to inform decision-making and the development of interventions across humanitarian, development and political domains; and the **use of the analysis and the integration of its results** throughout the EU intervention cycle.

- **Section 2** discusses the meaning of resilience and provides a conceptual framework of resilience, including a description of key elements.
- **Section 3** details a four-step methodology for analysing resilience.
- **Section 4** delineates how to mainstream resilience throughout the EU intervention cycle.

# 2 Understanding resilience

## Conceptual framework of resilience

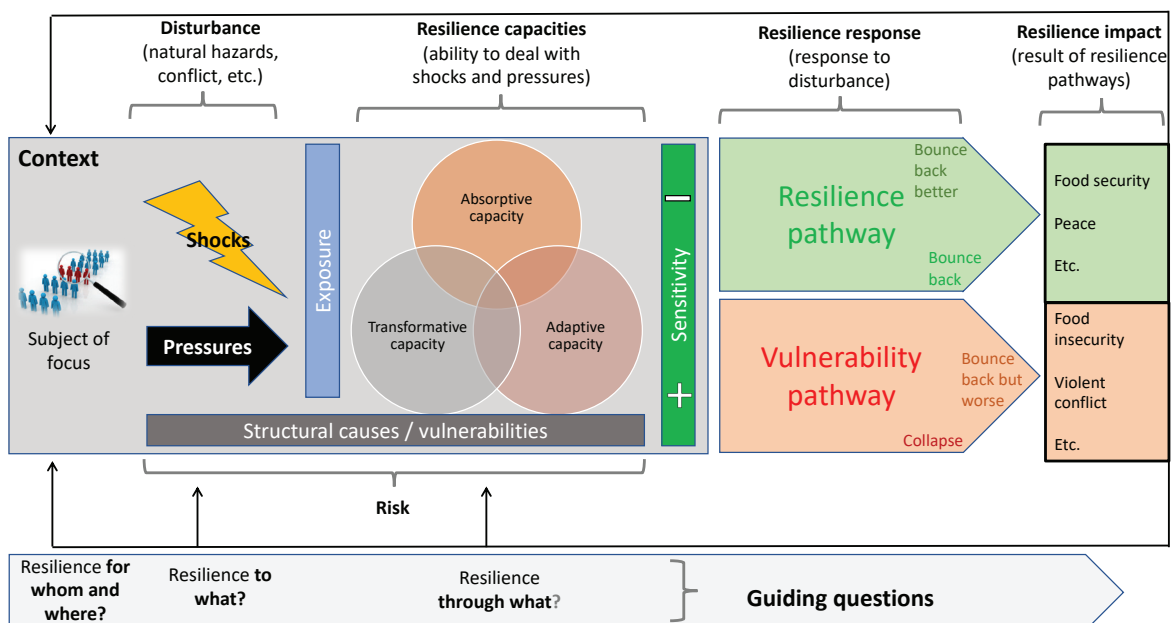
The conceptual framework of resilience shown in Figure 2.1 depicts the **key elements contributing to or undermining resilience**. It shows how individual, household, community, societal and/or state systems use their resilience capacities to manage the shocks or pressures to which they are exposed, which can reduce their vulnerability to disturbances and therefore put them on a **resilience pathway**.

Alternatively, those individuals, communities or systems that do not have or are not able to effectively use their resilience capacities are likely to take a **vulnerability pathway** – leading to a recovery that is worse than their original situation or even to a collapse.

Given constantly changing social, political, economic, environmental and security conditions, the framework depicts resilience to shocks and pressures not as a static state but rather as a **dynamic and non-linear process**.

**FIGURE 2.1** Conceptual framework of resilience

**Context:** social, political, economic, environmental, security



**Source:** Adapted from the TANGO Resilience Assessment Framework, TANGO (2012).

## Key elements

Having a clear understanding of the elements of resilience is imperative to conducting an effective resilience analysis and implementing a resilience framework in a given context. Following are some of the main relevant concepts underpinning the resilience conceptual framework; additional definitions and explanations of key terms and concepts relevant to the framework and resilience analysis are provided in [Annex 1](#).

**Context.** A specific setting defined by political, social, economic, environmental, historical, demographic, cultural, security and policy conditions that affect the resilience of individuals, households, communities, societies and states (i.e. their ability to cope with shocks and pressures).

**Disturbances (shocks and pressures).** Political, economic, environmental, climatic, security, demographic or societal disturbances that may occur as rapid- or slow-onset **shocks** (e.g. earthquakes, floods, conflict, violence) or longer-term **pressures** (e.g. environmental degradation, political instability, drought), weakening a given system and deepening the vulnerability of its actors. Shocks and pressures can overlap and interact with each other, further increasing vulnerabilities and risks. Importantly, resilience to one type of disturbance (e.g. earthquakes) does not necessarily ensure resilience to others (e.g. drought, conflict). [Table 2.1](#) provides examples of shocks and pressures; for more examples of shocks, pressures and focus areas to identify root causes and needed capacities, see [Annex 2](#).

**TABLE 2.1** Examples of shocks and pressures by type and dimension

DIMENSION	TYPE	EXAMPLES
Social <sup>(1)</sup>	Shock	Epidemics; sudden high numbers of deaths or disability; malfunction or destruction of public infrastructure; disruption of basic services affecting people's well-being
	Pressure	Demographic growth/decline; social exclusion or discrimination; ethnic/religious tensions; demographic-based inequalities; gender-based inequalities; land dispossession
Political	Shock	Killing of a political leader; coup d'état; displacement
	Pressure	Human rights violations; migration; endemic corruption/fraud; weak legal and institutional capacities
Economic	Shock	Economic downturn; loss of income-generating activities; price volatility
	Pressure	Youth unemployment; dependency on a single economic sector/activity; dependency on imports; insufficient resources (e.g. energy, water)
Environmental	Shock	Earthquakes; tsunamis; typhoons/hurricanes/cyclones and other windstorms; volcanic eruptions; floods/landslides/avalanches; wildfires
	Shock/pressure	Drought/cold and heat waves; pollution and waste; ocean acidification, sea level rise and melting glaciers
	Pressure	Climate change; coastal erosion; land degradation, deforestation, desertification; depletion of natural resources/overexploitation; invasive non-native species, biodiversity and habitat loss; food insecurity
Security <sup>(2)</sup>	Shock	Natural, accidental or deliberately provoked nuclear, radiological, biological or chemical event
	Shock/pressure	Organised crime; abuse/violence by security forces / non-state armed groups
	Pressure	Migration; social exclusion or discrimination

**Note:** The list is not exhaustive and is purely exemplary. Some shocks and pressures can fall in more than one dimension.

<sup>(1)</sup> Combines two dimensions – societal and human – of the Organisation for Economic Co-operation and Development's (OECD's) most recent (2022) [framework for fragility](#).

<sup>(2)</sup> The International Organization for Standardization published its first comprehensive standard for crisis management, ISO 22361:2022. This standard follows the organization's previous forays into best practices for safety and resilience, including organizational resilience (ISO 22316), crisis tests and exercises (ISO 22398), business continuity management systems (ISO 22301) and emergency management systems (ISO 22320).

**Risk.** The combination of hazard events with three different dimensions: exposure, vulnerabilities and lack of coping capacities (risk = hazard + exposure × vulnerability × lack of coping capacities) (JRC, 2017).

**Resilience capacities.** Set of skills, resources, systems and structures that individuals, households, communities and states need to have in order to deal with and bounce back from the shocks and pressures they face (see Table 2.2). These capacities can be used at the same time, and the interaction of capacities at different levels (i.e. individual, household, community, state) can be mutually reinforcing.

**Resilience responses.** The reactions of individuals, households, communities, societies, states and systems in dealing with a shock or a pressure based on their capacities. Responses can be categorised as **positive or negative** depending on their ability to positively solve a problem without causing negative ripple effects. Certain coping or adaptive strategies are defined as negative since they may initially have a positive effect

(e.g. obtaining cash through the sale of livestock) but may actually have a detrimental long-term effect (e.g. loss of livelihood from sale of livestock) and increase vulnerability. These responses should also be considered from conflict- and gender- sensitive perspectives.

**Resilience impact.** When individuals, households, communities or states can meet their development and peace goals (e.g. food security, environmental protection, security, democracy, economic development, gender equality, human rights, conflict resolution) despite the disturbances they face and to which they must continuously adapt.

Several organisations consider enhanced risk and resilience analysis to be a central element in effectively building resilience. Over the last few years, a number of **analytical tools have been developed to facilitate an evidence-based approach to building resilience**. See Annex 3 for an overview of the resilience definitions and tools used by various organisations.

**TABLE 2.2 Types of resilience capacities**

TYPE	DEFINITION	EXAMPLES
Absorptive capacity	Ability to <b>prepare for, mitigate or prevent negative impacts</b> , using coping responses in order to preserve and restore essential basic structures and functions	<ul style="list-style-type: none"> <li>• Social protection</li> <li>• Cash savings</li> <li>• Public works programmes</li> <li>• Taking children out of school</li> <li>• Delaying debt repayments</li> <li>• Reforestation and land restoration measures</li> <li>• Energy savings and mixed-energy grids</li> <li>• Environmental certification</li> <li>• Community early warning systems (e.g. natural disasters, conflicts, inter-communal violence)</li> </ul>
Adaptive capacity	Ability to <b>adjust, modify or change characteristics and actions</b> to moderate potential future damage and take advantage of opportunities (ensuring continued functioning without major qualitative changes in function or structural identity)	<ul style="list-style-type: none"> <li>• Access to credit</li> <li>• Diversification of livelihoods</li> <li>• Involvement of the private sector in delivering basic services</li> <li>• Introduction of drought-resistant seeds</li> </ul>
Transformative capacity	Ability to <b>create a fundamentally new system</b> so that the shock will no longer have any impact; this can be necessary when environmental, economic, political, security or social structures make the existing system untenable	<ul style="list-style-type: none"> <li>• Conflict resolution / alternative dispute resolution mechanisms</li> <li>• Participatory budgeting</li> <li>• Urban planning measures</li> <li>• Actions to eliminate corruption</li> <li>• Wildlife conservation measures and restoration of ecosystem services</li> <li>• Gender budgeting</li> <li>• Conservation of biodiversity</li> </ul>

Source: OECD (2014).



# A four-step analysis of resilience

## Objective and overview

This section provides methodological guidance on **how to conduct a resilience analysis**. This analysis should then inform decision-making and the development of interventions across humanitarian, development and political domains. In an evolving and increasingly complex global context with multiple overlapping risks across dimensions, the dynamic and non-linear process of the resilience framework (see [Figure 2.1](#)) underscores the utility of the resilience analysis tool presented here, as it is flexible and applicable to varying contexts and in addressing different needs. The resilience analysis seeks to:

- **identify the main shocks and pressures** – including their root causes – that affect the achievement of sustainable development and peace goals in a given context;
- **understand the capacities needed** for target group(s) / system(s) to withstand, adapt and quickly recover from the identified shocks and pressures; and
- **define strategic and actionable interventions** (roadmap) for strengthening resilience in the given context, ensuring that they are gender- and conflict sensitive.

**Resilience analysis is a flexible tool** that can be applied in a full-blown integrated approach with broad participation from relevant stakeholders; conversely, it can take a lighter approach that does not necessarily entail all four steps (outlined in more detail below) and/or can be tailored for a specific group or objective. An overview of the main features of resilience

analysis is presented in [Table 3.1](#) to give a sense of what resilience analysis entails or can entail.

Resilience analyses can be realised in any context and can be **particularly useful in fragile settings**. Do note that, if used in a crisis setting, resilience analysis may take longer as – among other reasons – certain areas and groups may be difficult to access, and institutional capacities and resources may be weaker or directed in places other than they usually are. Also note that there is a difference between the workdays needed to complete a task versus the time frame needed for follow-through, particularly for validation from different groups.

A resilience analysis can be done in both conflict and non-conflict settings. In fragile and conflict settings, however, it **does not replace a conflict analysis**. Rather, both tools are complementary, as each analysis can inform and feed into the other. Additionally, the resilience analysis can highlight the need for a conflict analysis to provide better understanding of the context and inform action.

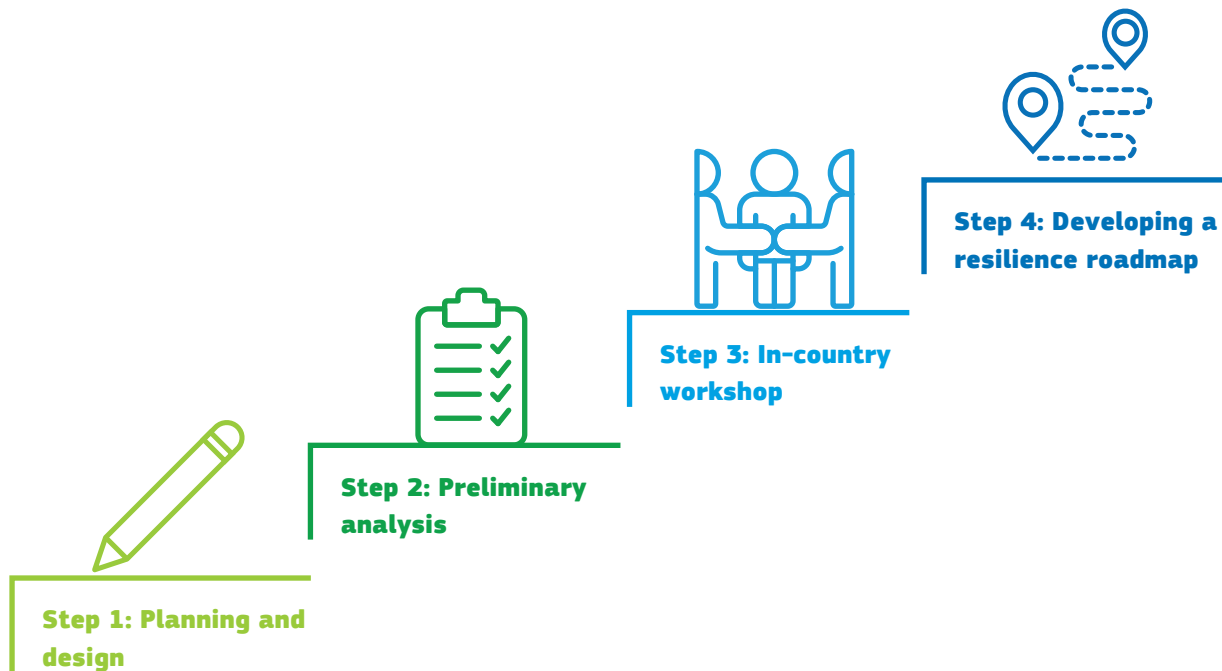
[Annex 4](#) presents a **terms of reference (ToR)** template for undertaking the resilience analysis; the template summarises the basic components entailed in the assessment process.

The analysis has a **modular structure** composed of four distinct steps (see [Figure 3.1](#)). This modular structure allows for a **great degree of flexibility** to adjust the analysis to the specific purposes, needs and resources available for conducting it. While it is

**TABLE 3.1 Resilience analysis at a glance**

ELEMENT	DESCRIPTION
Purpose	In-depth analysis of resilience dynamics to inform and strengthen political and/or policy dialogues, as well as project and programme action frameworks or plans
Application in EU external actions	<ul style="list-style-type: none"> <li>● Programming/programme cycle</li> <li>● Design phase</li> <li>● Mid-term reviews</li> <li>● Dialogue/engagement with governments and partners other than national governments</li> <li>● Country strategies</li> </ul>
Actors involved	<ul style="list-style-type: none"> <li>● Can be <b>initiated</b> by any Headquarters EU service or by an EU Delegation</li> <li>● When collecting primary and secondary data and/or realising an interactive workshop, the analysis should be a <b>participatory learning exercise</b> with relevant actors such as: <ul style="list-style-type: none"> <li>– EU staff from all services</li> <li>– National and local government representatives</li> <li>– Humanitarian actors</li> <li>– Development and climate change actors</li> <li>– Risk analysts</li> <li>– Local communities and civil society actors (including groups representing indigenous peoples, women, youth, disabled people, elderly etc.)</li> <li>– Donors and relevant international partners</li> <li>– International and local private sector</li> </ul> </li> </ul>
Duration	<p>Duration varies greatly depending on the context and the kind of assessment being undertaken (e.g. full-blown or lighter approach). Estimates of broad time frames follow; these include both workdays and validation times:</p> <ul style="list-style-type: none"> <li>● Preparation phase (Steps 1 and 2): 3–8 weeks</li> <li>● Workshop (Step 3): 1½–2 days</li> <li>● Design of the resilience roadmap (Step 4): 2–4 weeks</li> <li>● Finalisation of the report: 1–4 weeks</li> </ul>
Inputs	<ul style="list-style-type: none"> <li>● Existing data, reports and analyses</li> <li>● Collection of primary data through interviews with relevant stakeholders, in-country workshops and/or in collaboration with EU Delegations and EU Member States and other partners as appropriate</li> </ul>
Analysis	<ul style="list-style-type: none"> <li>● <b>Detailed analysis of context, trends and resilience dynamics</b>, including deeper characterisation of shocks, pressures and capacities (including for peace)</li> <li>● <b>Reflection of multidimensional nature of resilience</b> and interactions with social, economic, political, security and environmental (including climate and natural resources) dimensions</li> <li>● <b>Inclusion of conflict-sensitivity considerations and vulnerable or marginalised groups' perspectives</b> (disabled people, ethnic and minority groups, elderly, ex-combatants, youth, women, rural or urban communities etc.) to determine how shocks and pressures affect them differently and which resilience capacities they might or might not have</li> </ul>
Output	In-depth report, including a resilience roadmap and recommendations for programming



**FIGURE 3.1 Resilience analysis: key steps**

recommended that all four steps be carried out, it is possible to conduct only a preliminary analysis (Steps 1 and 2) if, for example, the purpose of the analysis is to inform political and policy dialogue. Conversely, only the analysis and the workshop (Steps 1, 2 and 3) can be conducted if the purpose is to design specific sectoral programmes.

The length and level of engagement required by the process differ depending on each situation. While there is no requirement to conduct every step, or every process within each step, for the resilience analysis, employing less steps will yield less information and substance. Thus, the **objective, desired outputs and contextual needs should be clearly thought out and articulated in Step 1** to determine the depth and kind of analysis that is needed.

### **Step 1: Planning and design**

In the planning and design step, the **purpose and scope of the resilience analysis** are defined through a set of guiding questions:

1. **Resilience for whom and where?** The focus of the analysis should be defined by identifying the primary unit and level of analysis that is being examined – individuals, households, communities, societies, state or systems (e.g. ecosystem). There can be multiple levels of analysis – i.e. the resilience analysis could look simultaneously at individual, community, societal and state levels. It is also critical to identify the geographical area of analysis, whether a specific city, district or region or the overall country.
2. **Resilience to what?** Identify the risks on which the analysis will focus in terms of shocks and/or pressures (e.g. environmental, climate or conflict risks, economic shocks). The analysis can take a multihazard approach or can focus on a specific shock or pressure, while considering the multidimensionality of the shock/pressure.
3. **When?** A time frame should be established for the analysis. The time frame is closely linked to the purpose of the analysis – e.g. corresponding to the programming cycle, if the purpose is to inform programming or to the duration of a specific intervention if the purpose is to inform the design of a project. Depending on factors such as purpose, scope, data collection, structure and actors involved, the time frame for the

analysis can typically range from three to six weeks.

4. **By whom?** The assessment team should be composed of EU staff from all services, from Headquarters or in a Delegation, reflecting a mix of thematic and geographical knowledge (relevant regional/country desks, thematic/sector focal points etc.). A number of external actors should also be involved throughout the assessment, including government representatives (national and local level), EU Member States, national/international partners in the country, civil society organisations / civil society, the private sector, academia and representatives of regional organisations as relevant. The leading EU service can consider recruiting **external experts and consultants** to provide support throughout the process or during specific steps (e.g. to conduct consultations with external actors during primary data collection or to facilitate the workshop).

Although the involvement of external actors is highly recommended, the decision on which and how many actors to engage needs to be considered in light of the needs, purpose and context of the country. While it is assumed that Member States would regularly be engaged, sensitivity issues related to associating with government counterparts or to the use of classified information might need to be taken into account, which can limit the involvement of external stakeholders.

## Step 2: Preliminary analysis

The main element of the preliminary analysis is a **desk review** of existing information and data. For a fuller analysis, the desk review should be complemented by **primary data collection**, but this is not always a requirement. The desk review should help the assessment team identify:

- main shocks and pressures;
- structural causes and vulnerabilities;

- positive sources of resilience; and
- existing capacities (absorptive, adaptive and transformative).

All the information collected through the desk review and the primary data collection should be consolidated in an overview table – the **Analytical Framework** (see [Table 3.2](#)) – and accompanied by a narrative report. This material should provide the content, analysis and basis for discussion for the next step of the assessment, the workshop.

Adopting a forward-looking approach is crucial so as to take into account development trends as well as the possible evolution of the pressures over the time frame of the assessment. Considering **projected demographic/economic growth or projected climate change impact** should, for example, be key in defining the nature of the interventions the roadmap suggests.

### Desk review

The in-house desk review should comprise a broad mix of existing data and information across EU internal documents (e.g. country strategies, conflict analyses, risk management frameworks, country environmental profiles, gender analyses, conflict prevention reports) as well as available United Nations, World Bank, government and domestic and international non-governmental organisation reports and assessments, academic studies and evaluations. For more information on potential sources of information and data, see [Annex 5](#) and [Annex 6](#). The desk review serves to identify both the risks (associated with shocks and pressures) and the sources of resilience relevant to the group(s) / geographical area(s) of focus.

Suggested analytical questions that should guide the desk review follow:

1. **What are the levels of well-being and development of the target group(s)/system(s) and geographic area(s)?** Explore the current levels of well-being and development indicators of the target group(s)/system(s) in relation to national/sectoral development plans and the SDGs, highlighting development trends. The overview should

**TABLE 3.2 Analytical framework**

SHOCKS/ PRESSURES	DIMENSION	STRUCTURAL CAUSES/ VULNERABILITIES	EXISTING RESILIENCE CAPACITIES		
			ABSORPTIVE	ADAPTIVE	TRANSFORMATIVE
Shock/ pressure A	Social				
	Political				
	Economic				
	Environmental				
	Security				
Shock/ pressure B	Social				
	Political				
	Economic				
	Environmental				
	Security				

help frame the risk landscape and resilience issues emerging from the analysis.

If national/sectoral development plans/strategies do not exist or are outdated, alternative sources of information could be the United Nations Development Programme's [Human Development Reports](#) for the country or reports produced by other international/multilateral organisations or Member States operating in the country.

- 2. What are the main shocks and pressures that the target group(s)/system(s) and the geographic area(s) are facing?** Define the specific shocks and pressures that the unit(s) of analysis is experiencing in terms of their type, severity, frequency, duration and impact. This analysis will help in identifying the key structural causes and vulnerabilities behind the shocks and pressures. It will also help define the resilience issues (i.e. lack of capacities, vulnerabilities) that are most relevant and that need to be addressed in order to strengthen resilience and promote positive recovery.

Some **tools and resources** to identify the relevant shocks and pressures that are readily available to the EU are listed in [Annex 5](#).

- 3. How does the target group(s)/system(s) usually respond to the shocks and pressures it experiences?** Identify how the target group(s)/system(s) react and respond to disturbances by mobilising their capacities. The review should consider both positive and negative coping mechanisms (e.g. selling assets, requesting loans, social protection mechanisms, insurance) and how these possibly exacerbate the risk of ongoing conflict or disaster events.
- 4. What are the existing positive sources of resilience for the target group(s)/system(s) and the geographical area(s)?** Highlight formal and/or informal sources of resilience, such as institutionalised or community-based resources, systems, practices and norms, that people have utilised (e.g. remittances, community funds).

The desk review can be complemented with more in-depth information and the elements listed in [Table 3.3](#).

**TABLE 3.3 Elements of analysis**

ELEMENT	ANALYSIS
Outline relation between shocks and pressures to development trends/goals	Link development trends and constraints to the identified shocks and pressures, clarifying the causal relationship between them. Briefly define the <b>level of impact</b> that the trends/goals might experience given the shocks/pressures in the time frame agreed by the assessment.
Identify and characterise structural causes and vulnerabilities and sources of resilience (capacities)	List key structural causes and vulnerabilities and relate them to the existing resilience capacities of the target group(s)/system(s). Shocks and pressures can act as enabling conditions and disabling factors (access/use barriers) that underpin the ability to use such capacities. Thus, the existing resilience capacities the target group(s) and system(s) have to mitigate the impact of shocks and pressures should be analysed as this provides the baseline for a <b>gap analysis</b> of what resilience capacities are needed.
Deepen understanding of stakeholders	Establish a preliminary overview of the relevant stakeholders, institutional factors and processes that influence the target group(s) and system(s) both formally and informally. Such <b>stakeholder analysis</b> (ODI, 2009) can also facilitate the identification of actions by external actors to support existing strategies when facing shocks and pressures and can reveal sources of resilience in a given context. Stakeholder analysis should, at a minimum, be informed by conflict sensitivity and focused on different levels (state/society/household/individuals). A gender approach is also essential.

### Primary data collection

Collecting primary data is useful to expand, validate and fine-tune the information collected during the desk review and fill in specific gaps in knowledge, particularly in countries where existing research and data are scarce. The **methods for primary data collection** may vary:

- structured or semi-structured interviews with key informants;
- structured or semi-structured group discussions with focus groups;
- collection of public opinion data (through media); and/or
- conduct of perception and household surveys.

Determination of the appropriate methods for data collection will depend on the extent of the analysis (lighter versus fuller) and the **stakeholders involved**, which can be broadly categorised into two groups:

Community representatives	EU, government and partner representatives
<ul style="list-style-type: none"> <li>● Affected households/villages</li> <li>● Civil society groups</li> <li>● Private sector</li> <li>● Trade unions</li> <li>● Academia</li> <li>● Human rights defenders</li> <li>● Women's groups</li> <li>● Indigenous peoples</li> <li>● Minorities etc.</li> </ul>	<ul style="list-style-type: none"> <li>● EU services</li> <li>● EU Member States</li> <li>● National and local-level government representatives</li> <li>● Experts on resilience analysis, including risk experts, technical specialists, researchers and scientists</li> <li>● Civil society groups</li> </ul>

**Consultations with community representatives** should go beyond token inclusion of certain groups and incorporate deeper forms of engagement and communication. Practitioners charged with realising the resilience analysis should consider power dynamics at play in given contexts and make an effort to understand and address those dynamics. Two initial ways of engaging different groups involve broadening and diversifying communication methods and tools and increasing accessibility for participation. Practitioners should also think through the incentives different groups may have to join the conversation in order to reflect a more holistic and representative analysis. Importantly, voices of marginalised groups, who often reflect the greatest needs, should be accessed and incorporated into the analysis.

**Consultations within the EU as well as with Member States** are an important part of primary data collection. Building across humanitarian, development, political and diplomatic communities – and in line with the EU integrated approach and in the spirit of the humanitarian-development-peace nexus – the analysis should integrate consultations between humanitarian (Directorate-General for European Civil Protection and Humanitarian Aid Operations), development (Directorate-General for International Partnerships, Directorate-General for Neighbourhood and Enlargement Negotiations, Service for Foreign Policy Instruments), and political (European External Action Service) EU services as well as EU Member States.

Based on the preliminary results generated by the desk review, meetings should be convened with relevant staff from all services to gather their inputs, knowledge and viewpoints on the initial findings. The consultations should involve **a mix of thematic and geographical knowledge from the services at both the Headquarters and country levels**. Moreover, the consultations should aim to generate common understanding and consensus among the different services on resilience issues in the country of analysis.

This consultative process should also support the **mapping of ongoing and planned EU interventions** (humanitarian actions, development interventions and political efforts) in the country of analysis and indicate if these are already addressing the identified shocks and pressures. The mapping will also facilitate the identification of potential synergies, overlaps, gaps or contradictions among the different interventions and indicate whether these are actually targeting the identified issues.

### **Step 3: In-country workshop**

A **multi-stakeholder** and **participatory** in-country workshop (see [Box 3.1](#)) is a core step of the resilience analysis. The workshop aims to:

- build common understanding and consensus on the key shocks and pressures, their root causes

#### **BOX 3.1 Workshop participants**

The workshop should be organised as a participatory and multi-stakeholder learning exercise, involving **key EU staff as well as external stakeholders and experts**. While the exact composition of participants will always depend on the specific purpose and scope of the resilience analysis, it should usually reflect the stakeholders identified in the desk review and include relevant staff from the EU development, humanitarian and political services (EU Delegation and Headquarters) and EU Member State representatives. As appropriate, it should include external stakeholders such as government representatives (national and local levels), international partners and in-country organisations, as well as civil society.

and resilience factors identified in the preliminary analysis;

- define the capacities that need to be developed/strengthened towards resilience; and
- develop a shared roadmap of interventions to strengthen resilience.

The workshop builds on the preliminary analysis as the starting point for discussion and validates its findings. It can also address any information gaps and/or refine information collected through the preliminary analysis.

The workshop consists of a two-day event; [Table 3.4](#) presents a suggested five-session structure. The discussion held in Session 5 can be consolidated in a table (see [Table 3.5](#)) that relates the specific resilience objectives identified by the workshop participants to the interventions that should strengthen the capacities required to achieve such objectives. The table should provide a detailed description, as these interventions relate to social, political, economic, security and environmental dimensions (system approach) and the type of capacity that should be reinforced or developed (absorptive, adaptive, transformative).

It is generally good practice to avoid providing sweeping ‘wish lists’ and to instead suggest interventions that are grounded in an understanding of the local, national, and broader context. To help frame the

**TABLE 3.4 Suggested workshop organisation**

	SESSION	OBJECTIVE/CONTENT	OUTPUT
DAY 1	<b>Session 1:</b> Why and what is a resilience analysis?	<ul style="list-style-type: none"> <li>• Discuss the added value of adopting a resilience approach and the need for a resilience analysis</li> <li>• Set out definitions and concepts related to resilience (shocks, pressures, vulnerability, risk, conflict sensitivity, resilience capacities, resilience)</li> <li>• Provide an overview of the purpose, scope and process of the resilience analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Common understanding and consensus of resilience approach/analysis, key definitions and concepts</li> <li>• Common understanding of the links between resilience and peacebuilding where relevant, and of do-no-harm principles and approaches</li> </ul>
	<b>Session 2:</b> Context: shocks and pressures	<ul style="list-style-type: none"> <li>• Present the target area development goals and development trends</li> <li>• Present and validate the set of prioritised shocks and pressures affecting the target group(s)/system(s)</li> <li>• Describe the structural causes and vulnerabilities behind shocks and pressures and describe the effects on the target group(s)/system(s)</li> <li>• Ensure that the resilience analysis is gender and conflict sensitive</li> <li>• Consider using a <b>problem tree analysis</b> as a tool to discuss, identify and/or present the shocks, pressures and underlying causes/vulnerabilities</li> </ul>	<ul style="list-style-type: none"> <li>• Shared vision of the shocks and pressures affecting the target group(s)/system(s), including structural causes/vulnerabilities, and trends within the time frame of the analysis</li> <li>• Build shared context vision now and within the agreed time frame (trends)</li> </ul>
	<b>Session 3:</b> Stakeholder analysis	Analyse and discuss how different stakeholders influence the relevant group(s)/system(s), in relation to mitigating the impacts of shocks and pressures (including sources of resilience and peace)	<ul style="list-style-type: none"> <li>• Shared power analysis and mapping of key stakeholders and processes through which they exert influence using a conflict-sensitive lens</li> <li>• Identification of gender issues related to power</li> </ul>
DAY 2	<b>Session 4:</b> Capacity gap analysis	Identify and analyse the gaps in existing capacities (absorptive, adaptive, transformative) of the target group(s)/system(s)	<ul style="list-style-type: none"> <li>• Identification of the resilience capacities to be strengthened through a series of interventions</li> <li>• Mapping of EU ongoing interventions (also of partners' if workshop timing/participants allow)</li> <li>• Identification of synergies between resilience building and peace where relevant</li> </ul>
	<b>Session 5:</b> Definition of specific objectives and interventions (i.e. capacities to be strengthened)	<ul style="list-style-type: none"> <li>• Define a set of specific resilience objectives within the agreed time frame; the number of objectives may vary, but should remain limited</li> <li>• Identify the interventions that would strengthen the capacities required to achieve these objectives and prioritise them</li> <li>• Identification of the interventions and resilience objectives should be informed by a gender perspective and conflict sensitivity</li> </ul>	Intervention framework

**TABLE 3.5 Intervention framework**

SPECIFIC RESILIENCE OBJECTIVE(S) (OUTCOME)	DIMENSION	INTERVENTIONS FOR STRENGTHENING REQUIRED RESILIENCE CAPACITIES (OUTPUT)		
		ABSORPTIVE	ADAPTIVE	TRANSFORMATIVE
What specific objective is to be achieved through the strengthening of the resilience capacities?	Social			
	Political			
	Economic			
	Security			
	Environmental			

### BOX 3.2 Considerations in prioritising resilience interventions

The interventions identified during the resilience analysis should always reflect the unique conditions and needs of the country and target group(s)/system(s) concerned. They also should:

- leave no one behind and focus on the most vulnerable and at-risk populations;
- follow the 'Do no harm' principle.

Prioritising these interventions should first and foremost be based on criteria specific to the context. Some useful considerations follow; these are not in order of importance:

- comparative advantages of the interventions
- opportunities for greater impact of the interventions – i.e. spillover effect
- interventions that build on local and national capacities for ownership and leadership
- most urgent needs expressed by the population
- interventions that can yield early results quickly (within 18 months)
- level of institutional and technical capacity of national and local counterparts
- geographic areas with most urgent needs
- initiatives that contribute to peace where relevant
- ongoing or near-term events that might affect the interventions (e.g. elections)

intervention framework and portray stronger feasibility of suggested activities, [Box 3.2](#) lists some helpful considerations to facilitate prioritisation of resilience interventions.

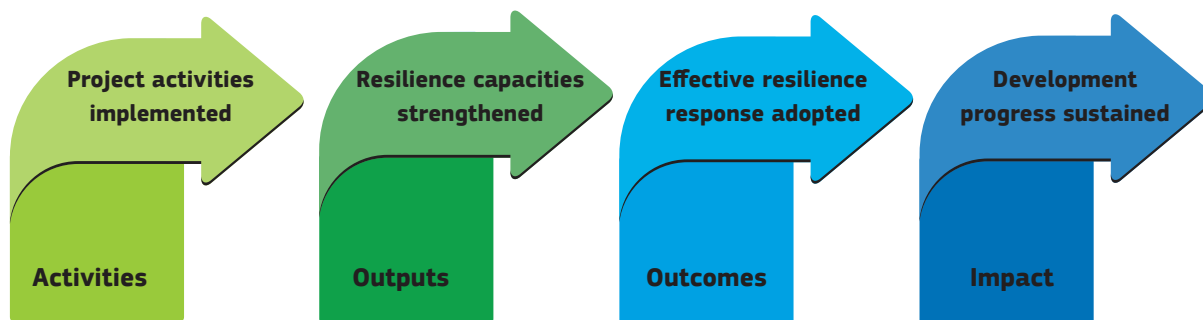
The information and analysis generated during the workshop should be captured in a brief report. This report will include the intervention framework and considerations for prioritisation of suggested resilience intervention activities.

## Step 4: Developing a resilience roadmap

In the final step of the resilience analysis, the intervention framework developed during the workshop is translated into a resilience roadmap and ultimately an assessment report. Based on a resilience-focused theory of change (see [Figure 3.2](#)), the roadmap defines the strategic interventions for strengthening resilience of the target group(s)/system(s) in the given context.

The resilience theory of change should depict how resilience can be strengthened in support of relevant development and peace goals, based on the cause-and-effect interactions analysed between shocks and pressures, resilience capacities and their application (resilience response) to sustain development progress.

The roadmap links the specific resilience objectives identified in the workshop to the broader development

**FIGURE 3.2 Resilience theory of change****TABLE 3.6 Resilience roadmap**

OVERALL DEVELOPMENT AND PEACE GOAL (IMPACT)	SPECIFIC RESILIENCE OBJECTIVE (OUTCOME)	TIME FRAME	LEVEL	INTERVENTIONS REQUIRED RESILIENCE CAPACITIES (OUTPUT)
Overall development and peace goal for the country/ sector	What specific objective is to be achieved through the strengthening of the resilience capacities?	Short/ medium term	State (national and local)	A B ...
			Society (community and household)	A B ...
		Long term	State (national and local)	A B ...
			Society (community and household)	A B ...

objectives of the given context and consolidates the identified interventions, categorising them along a broad time frame of implementation (short, medium and long term) and the level of the target group(s)/ system(s) of the intervention (state and/or society). The roadmap can be presented as shown in [Table 3.6](#) and should support the design, adaptation and/or revision of strategies, interventions and programme/ project activities aimed at building resilience.

The roadmap is accompanied by a narrative report that summarises the overall assessment and the

process that has been followed. A suggested **outline for the full resilience analysis report** follows:

- Background and objectives
  - Methodology
  - Timeline
  - Management and coordination arrangements
  - Reporting template
- Geographic and temporal scope of the analysis
  - Analysis of shocks and pressures (including underlying causes)
  - Existing resilience capacities



- Workshop results: main resilience issues to be addressed in the country and proposed objectives and interventions
- Resilience roadmap
- Mapping of EU and other partners' ongoing/ planned interventions
- Bibliography (data sources)

Together, the resilience roadmap and the report should provide a **vision** of what strategic, policy, programming, design and implementation changes are needed to strengthen resilience in the specific context.

The roadmap and report should be shared for comment and validation with stakeholders who participated in any step of the resilience analysis process.

## Conclusion

It is imperative to have a **well-defined vision of the purpose and objectives of the resilience analysis** process. Without this understanding, it will be impossible to develop the questions and research that underpin the resilience analysis or define the depth to which the analysis should be taken.

The **success of the resilience analysis** will depend on numerous factors, most importantly:

- the rigour of the preliminary analysis and of the workshop discussions;

- access to and engagement of multi-sectoral expertise;
- ownership of the process by the users of the analysis;
- clarity of purpose and use of the analysis and resilience roadmap;
- quality and scope of the resilience roadmap;
- timing of the conduct of the analysis (stakeholders might be more receptive to resilience building in a post-crisis context or when designing new programming cycles); and
- potential of new funding tied to resilience building (specifically if government counterparts are involved).

Remember that building resilience into a given activity or intervention is **a process and not a one-off exercise**. Investing the time, commitment, and resources into measuring and analysing resilience can help the EU effectively design, manage, and implement programmes and projects to enable application of a long-term structural approach, address root causes and vulnerabilities, and ultimately reduce the risk of future crises and strengthen capacities to address them. Such an analysis would also promote a coherent, integrated and cooperative approach among EU political, security, humanitarian and development actors and partners, in line with the humanitarian-development-peace nexus.



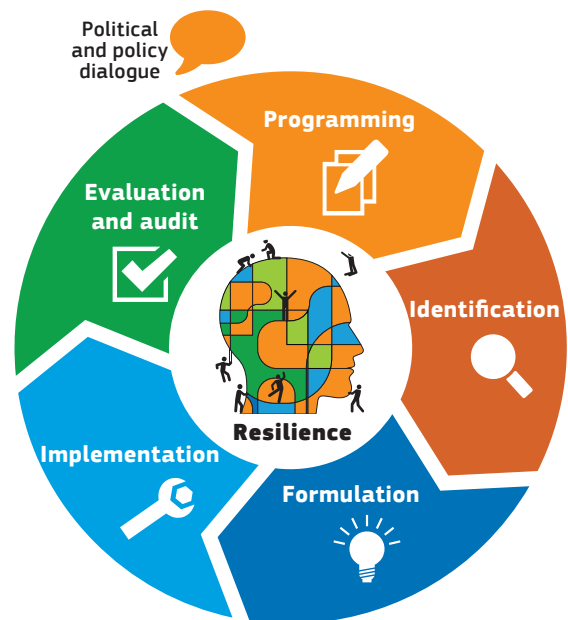
# Mainstreaming resilience throughout the EU intervention cycle

**M**ainstreaming is defined by the EU as ‘the process of systematically integrating a selected value/idea/theme into all domains of EU development cooperation to promote specific (transposing ideas, influencing policies) as well as general development outcomes’ (EC, 2017b). Strategically integrating resilience throughout the EU intervention cycle entails adapting how programming, design, implementation and evaluation of interventions are conducted. Note that, because of its multidimensional and cross-cutting qualities, resilience should not be thought of as an independent sector or one-off initiative, but rather an imperative emphasis that should be layered into each part of the EU intervention cycle (see Figure 4.1).

In practice, **integrating resilience means ensuring that EU interventions adopt a forward-looking risk management approach that focuses on strengthening capacities to respond to shocks and pressures at all stages** (i.e. programming, identification, formulation, implementation, evaluation and audit).

Integrating relevant humanitarian, development and political actors in analyses, dialogue and roll-out of interventions is imperative for achieving collective outcomes in the humanitarian-development-peace nexus. This entails **transitioning from emergency to development and strengthened resilience**, particularly in countries and regions in crisis, post-crisis, or fragile situations. Improving synergies and promoting coherence between the EU and its Member States is highly encouraged, especially in fragile states. This coherence and collaboration should be realised throughout all phases of the intervention cycle, beginning with programming.

**FIGURE 4.1** EU intervention cycle around resilience



## Programming phase

Because the programming phase targets the identification of in-country support programmes, resilience analysis can play a critical role in fine-tuning specific focus areas for **Multi-Annual Indicative Programmes (MIPs)**. Specifically, the resilience analysis can help ensure that the objectives, expected results and indicators of the MIPs reflect identified risks, vulnerabilities, needs, marginalised groups, coping capacities and priority activities that would shift towards resilience. Particularly in contexts of conflict and fragility, the resilience analysis can be a useful tool in support of operationalisation of the humanitarian-development-peace nexus.

Programming includes **joint programming**, which is the EU's preferred option as per the Neighbourhood, Development and International Cooperation Instrument (NDICI-GE) proposal. When conducting joint programming with Member States, resilience analysis is a useful tool to encourage joint analysis, bringing all relevant stakeholders around the table to agree on what resilience would look like in the context in which they are working. See [Box 4.1](#) for more on joint programming.

## Design phase: identification and formulation

The design phase offers the opportunity to ensure that resilience is addressed by EU-supported interventions by identifying different implementation options for an intervention and formulating the Action Document.

### Identification

The resilience analysis provides a risk-informed outlook towards interventions as it ascertains relevant shocks and pressures as well as structural vulnerabilities and capacities that need to be strengthened. By assessing the institutional setup and the government's

#### BOX 4.1 Joint programming in fragile states

In line with the New European Consensus for Development (EC, 2017c), the EU and its Member States should enhance joint programming to increase their effectiveness and collective impact, especially in contexts of fragility, conflict and violence. Fragile states can be particularly vulnerable to international assistance being ineffective given limited government capacity to coordinate humanitarian and development actors as well as overlapping efforts. In such contexts, joint programming processes can benefit from resilience analysis as a way to build an assessment of risks into the joint planning exercise.



For more guidance on joint programming, including in fragile states, see EEAS (2018).

capacity to address resilience, the **resilience analysis provides insights to identify the appropriate type of implementation modality** for a given action (see [Box 4.2](#)).

**Budget support** can be a mechanism through which to integrate resilience; it can be provided in three forms:

- **state and resilience building contracts (SRBC)** to support fragile and transition situations;
- **Sustainable Development Goals contracts (SDG-C)** to support national policies and strategies in progressing towards the Sustainable Development Goals (SDGs); and
- **sector reform performance contracts (SRPC)** to support sector reforms and improve service delivery.

#### BOX 4.2 Aid delivery modalities

The resilience analysis can inform the development of Action Documents, ensuring that the proposed action is risk-informed and takes into account the relevant resilience challenges and opportunities, according to the different aid delivery modalities employed by EU development cooperation:

- **Project modality.** The type of action that funds implementation of a specific and predefined series of development activities over a specified period of time to support a partner government to implement policy and improve service delivery or support civil society and the private sector.
- **Budget support.** Un-earmarked contribution to the partner government's budget, which is then managed using national systems to strengthen country ownership and the financing of national development strategies. The specific budget support approach used in situations of fragility and transition is state and resilience building contracts.



For more guidance on integrating resilience considerations into the drafting of the Action Document, see the Action Document guidance and template.

A resilience analysis can facilitate integrating resilience for budget support in the following ways:

#### For SRBCs<sup>(1)</sup>

- as an assessment of fragility, risks, and resilience factors that would determine whether a given context fits the criteria to receive such budget support;
- to provide contextual information that would facilitate and guide actions to support recovery, development and democratic governance, address structural causes of fragility, ensure vital state functions and prevent the collapse of government structures or serious deterioration of the economy (e.g. by strengthening the government's capacity to provide basic services to the population); and
- as the basis for budget support of a Risk Management Framework, which identifies the specific related risks linked to budget support and develops a risk response strategy that includes mitigating measures<sup>(2)</sup>.

#### For SDG-Cs and SRPCs

- to assess national policies or strategies that would receive budget support and apply resilience considerations and related international commitments;
- to strengthen how supported policy or strategies address resilience challenges and opportunities;
- to provide recommendations for the revision of policies and strategies to enhance resilience integrating that could include complementary actions such as awareness raising, technical assistance, and capacity development; and
- to highlight how resilience capacities of relevant institutions could be strengthened.

<sup>(1)</sup> SRBCs are provided on a case-by-case basis as countries in situations of fragility and transition face specific challenges and are high-risk environments for investment. They are subject to particular criteria in terms of eligibility, design and implementation. For more details on budget support in general and SRBCs specifically, see EC (2017a).

<sup>(2)</sup> Examples of these measures include complementary capacity-strengthening activities, safeguards, political dialogue, reducing environmental damage etc.

If resilience is well-integrated and if the relevant institutional capacities seem adequate, the focus for integrating resilience during the design phase should primarily be on reflecting **appropriate considerations in the budget support performance assessment framework**.

For the performance assessment frameworks used to ensure budget support operations delivery, expected results should include indicators that consider resilience aspects – in particular, if there are any key resilience challenges or opportunities, as informed by the resilience analysis, associated with the supported sector. The [Results and Indicators for Development](#) page on the Capacity4dev platform provides guidance on potential indicators that could be valuable in this regard.

#### Formulation

The resilience analysis can ensure that the interventions section of a programme and/or project are risk-informed and incorporate risk reduction measures, crisis modifiers and contingency measures as necessary so assistance can be adapted and/or scaled up as needed (see [Box 4.3](#)).

**The Action Document can be based on the resilience analysis's theory of change and roadmap for interventions.** The resilience roadmap feeds directly into the log-frame matrix portion of the Action Document, as it provides an overall vision of the desired impact, outcomes and related outputs and broadly defines the interventions that can lead to their achievement. The resilience analysis can also inform other components of the log-frame matrix such as the risks and assumptions, the baseline, and sources of data as these were also identified in the analysis.

The resilience analysis can support the identification and integration of issues as **gender, conflict sensitivity, environment, climate change, and human rights** in the design of the action and can provide elements to determine how these can be addressed.

Finally, the resilience analysis can inform the assumptions of the Action Document and identify possible mitigation measures that could counteract risks.

### BOX 4.3 ECHO Resilience Marker

To implement its commitment to resilience, the European Commission is systematically including resilience in its Humanitarian Implementation Plans and has developed a Resilience Marker in this regard. The marker is a tool to assess the extent to which the humanitarian actions funded by Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO) integrate resilience considerations. The marker seeks to enhance the quality of humanitarian actions by:

- ensuring systematic consideration and inclusion of resilience considerations in project proposals, implementation and assessments;
- creating a platform for partners and ECHO staff to discuss how resilience can best be included in humanitarian programming;
- encouraging reflection on what resilience means in practice in different contexts; and
- allowing ECHO to monitor its own performance in supporting resilience.



For more information, see EU (2022).

## Implementation phase

The implementation phase, during which interventions are carried out, is a critical stage to ensure that resilience is addressed. Although the primary responsibility for implementation is often with the implementing partners, the following steps of the implementation phase provide an opportunity to integrate a resilience approach:

- preparation of implementation documents; and
- monitoring and evaluation of quality indicators.

### Preparation of implementation documents

Resilience considerations can be integrated into **contractual documents and agreements** (e.g. through specific ToRs, the detailed project description, the budget and the logical framework) to ensure these are adhered to during the implementation phase.

Based on the resilience analysis, the assumptions and risk sections should address the relevant risks associated with the main shocks and pressures that may directly or indirectly affect implementation of the intervention and possible mitigating measures under the control or influence of the implementing organisations. Provisions for monitoring risks and verifying implementation of mitigating measures and their effectiveness to contain adverse resilience impacts should also be considered.

Where additional measures for strengthening resilience are foreseen (e.g. in the framework of SRPCs), these should be reflected and incorporated as appropriate in contracts and agreements.

### Monitoring

As measures to strengthen resilience are integrated into the Action Document, **appropriate indicators need to be incorporated into the monitoring system** of the intervention to promptly identify if, during the implementation:

- key resilience challenges and opportunities are being addressed;
- resilience measures are having an adverse impact ('do no harm'); and
- resilience-strengthening measures are effective.

Resilience-strengthening interventions face the same sorts of monitoring challenges as other types of interventions. However, because resilience is a multi-dimensional concept affected by contextual changes over time, the set of indicators chosen to monitor the effectiveness of an intervention should be designed to measure changes in the well-being of the target group(s) or system(s). Capturing changes in resilience over time requires monitoring resilience capacities and responses, as well as the relevant shocks and pressures.

Considerations in designing and applying monitoring frameworks for resilience follow.

- **Context matters.** Resilience is highly context specific. Therefore, the indicators always need to be defined based on the type of disturbances, as well as by the social, economic, security, environmental

and political context (including the existing institutional setup).

- **Defining the what.** When identifying relevant indicators, it is critical to define the object of measurement. With regard to resilience, this can be determined by focusing on capacities and responses to shocks or pressures. The indicators would then focus on measuring the improvement of such capacities and the decrease in negative coping mechanisms in responses. Additionally, indicators can focus on the process facilitating the intervention to strengthen such capacities (e.g. level of participation and inclusion in decision-making processes; integration of risk considerations).
- **Determining the measurement level.** Since the action might have multiple targets (individual, household, community, system – political, environmental etc.), indicators should be selected that are appropriate to each of these levels.
- **Mixed approach.** Using a mixed-methods approach that draws on quantitative and qualitative, objective and perception-based, data and information is likely to produce the best results in capturing changes in well-being.
- **Build on existing indicators.** Where possible, monitoring indicators should align with those already used by the country to monitor implementation of national policies and strategies or international frameworks – e.g. those related to the implementation of international commitments such as Agenda 2030 and the Sendai Framework for Disaster Risk Reduction.
- **Determining the baseline.** Establishing clear baseline values for resilience capacities and responses is necessary for assessing the positive change brought about by the action.

- **Monitoring frequency.** Given the continuously changing nature of resilience, regular monitoring of action implementation is critical to ensuring prompt adjustment to unforeseen circumstances.
- **Monitoring shocks and pressures.** Shocks and pressures occurring during implementation of the action can simultaneously affect the effectiveness of interventions or help interpret the reasons for higher or lower effectiveness (e.g.: lower number of shocks might result into an apparent increase of resilience). It is crucial to continually monitor the nature, occurrence, severity, duration and trends of shocks and pressures that take place during implementation so as to better understand and attribute changes through action implementation.

Lastly, the monitoring system provides an opportunity to integrate specific indicators that can measure the effectiveness of the Action Document in contributing to resilience building, should a resilience analysis or integration of resilience-building elements not have been realised.

## Evaluation and closure

The resilience analysis – in particular, the objectives identified in the resilience roadmap – can be useful in measuring the contribution of the action, in full or in part, towards the achievement of such objectives. Depending on whether the resilience analysis has been conducted at the country level or for a specific sector, the evaluation of the results of the action can additionally be evaluated against the objectives set in the roadmap. This process can lead to useful recommendations on further action(s) to be undertaken to contribute to resilience.





*Unless otherwise indicated, definitions are based on those used by the United Nations Office for Disaster Risk Reduction.*

**Absorptive capacity.** The ability of individuals, households, communities or higher-level systems to minimise their exposure to shocks and pressures and to recover quickly when exposed (OECD).

**Adaptive capacity.** The ability to make proactive and informed choices about alternative coping strategies based on changing environmental, climatic, social, political and economic conditions (OECD).

**Conflict sensitivity.** Entails various efforts, methods and tools for working in conflict-prone or conflict-affected areas. A conflict-sensitive approach is commonly defined by the ability of an organisation to: (i) understand the (conflict) context, (ii) understand the interaction between the intervention and the conflict context and (iii) act on this understanding to minimise negative impacts and maximise positive impacts on conflict. At the strategic and project/programme level, this can be facilitated by conflict analysis and conflict sensitivity assessments linked to the programme context and the theory of change and its key parameters (who, what, where, when, how). A conflict-sensitive approach is expected to reduce the risks of an intervention unintentionally contributing to escalation of violent conflict and maximise the potential positive impacts on peace and conflict dynamics and sources of resilience.

**Coping capacity.** The ability of people, organisations and systems, using available skills and resources, to

face and manage adverse conditions, risk or disasters. The capacity to cope requires continuing awareness, resources and good management, both in normal times as well as during disasters or adverse conditions. Coping capacities contribute to the reduction of disaster risks.

**Disaster.** A serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental losses and impacts, which exceed the ability of the affected community or society to cope using its own resources.

**Exposure.** The situation of people, infrastructure, housing, production capacities and other tangible human assets located in hazard-prone areas. Measures of exposure can include the number of people or types of assets in an area. These measures can be combined with the specific vulnerability and capacity of the exposed elements to any particular hazard to estimate the quantitative risks associated with that hazard in the area of interest.

**Fragility.** The combination of exposure to risk and insufficient coping capacity of the state, system and/or communities to manage, absorb or mitigate those risks. The levels and types of fragility are differentiated across six dimensions: political, societal, economic, environmental, human and security (OECD Fragility Framework).

**Hazard.** A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage.

**Peace.** Negative peace is commonly defined as ‘the absence of violence or the fear of violence’. Positive peace is defined as ‘the attitudes, institutions, and structures that create and sustain peaceful societies. These same factors also lead to many other positive outcomes which societies consider as important. Therefore, Positive Peace describes an optimum environment for human potential to flourish’ (IEP, 2020).

**Pressure (stress).** Long-term trends or pressures that undermine the stability of a system and increase vulnerability within it (Zselezky and Yosef, 2014).

**Risk.** The combination of three different dimensions, i.e. hazards, exposure and vulnerabilities (risk = hazard × exposure × vulnerability). It is a multiplicative equation, meaning that the risk equals zero if one of the three dimensions is zero.

**Shock.** External short-term deviations from long-term trends that have substantial negative effects on people’s current state of well-being, level of assets, livelihoods or safety; or their ability to withstand future shocks (Zselezky and Yosef, 2014).

**System.** A unit of society (e.g. individual, household, group of people with common characteristics, community, nation), ecology (e.g. a forest) or a physical entity (e.g. an urban infrastructure network) (OECD).

**Transformative capacity.** The ability to create an enabling environment that constitutes the conditions necessary for systemic change (OECD).

**Vulnerability.** The characteristics and circumstances of an individual, ecosystem, community, system or asset that make it susceptible to the damaging effects (impacts) of a hazard.

# Resilience focus areas by root cause and capacities

The following table presents examples of focus areas related to structural causes and capacities (whether existing or to be developed/strengthened) for a society to be more or less resilient to a specific shock/pressure. The list is not exhaustive and is purely

exemplary. Since the various shocks and pressures can be interlinked and might have a causal relationship with or without a cascading effect, capacities associated with a specific shock/pressure might also be of relevance to other shocks or pressures.

RESILIENCE TO WHAT			RESILIENCE THROUGH WHAT
DIMENSION	TYPE	EXAMPLE	POSSIBLE AREAS OF FOCUS
Social	Shock	Epidemic	<ul style="list-style-type: none"> <li>Quality of health system/response and containment capacity</li> <li>Public awareness (how the disease spreads, how to protect oneself etc.)</li> <li>Control of population movements (including migrant workers) within the country / between countries</li> <li>Cultural and social norms</li> </ul>
	Pressure	Demographic growth/decline	<ul style="list-style-type: none"> <li>Family planning policies / reproductive health</li> <li>Quality of social services (health, education)</li> <li>Cultural, religious and social norms</li> <li>Levels of education</li> <li>Economic opportunities and labour policies</li> </ul>
Political	Shock	Displacement (internal/cross-border) / presence of refugees	<ul style="list-style-type: none"> <li>Access to/provision of basic services</li> <li>Social inclusion/exclusion practices/policies</li> <li>Conflict prevention</li> <li>Economic (re)integration</li> <li>Skills development</li> <li>Access to credit / other resources</li> </ul>
	Pressure	Human rights violations	<ul style="list-style-type: none"> <li>Law enforcement / accountability of state apparatus</li> <li>Awareness of rights among the population</li> <li>Legal and policy frameworks to address discrimination, social cohesion initiatives, interfaith and inter-community dialogue, gender equality awareness etc.</li> <li>Freedom of expression</li> </ul>

RESILIENCE TO WHAT			RESILIENCE THROUGH WHAT
DIMENSION	TYPE	EXAMPLE	POSSIBLE AREAS OF FOCUS
Political	Shock	Economic downturn	<ul style="list-style-type: none"> <li>• Economic diversification or dependency of the economy on a single sector or limited number of sectors (e.g. mono-crop, agricultural sector)</li> <li>• Integration into regional/global economy</li> <li>• Existence/coverage of social protection mechanisms</li> <li>• Size of formal/informal sector</li> <li>• Size of private sector</li> <li>• Role of remittances in the national economy</li> </ul>
	Pressure	Youth unemployment	<ul style="list-style-type: none"> <li>• Family/informal safety nets</li> <li>• Labour policies</li> <li>• Education system: skills development</li> <li>• Enabling environment for business/trade development</li> </ul>
Environmental	Shock	Earthquake	<ul style="list-style-type: none"> <li>• Existence and use of risk assessments</li> <li>• Existence and enforcement of building code regulations/policies</li> <li>• Masons' knowledge of earthquake-resistant building techniques/materials</li> <li>• Search and rescue and emergency response capacities (e.g. contingency planning)</li> <li>• Awareness and education of population at risk</li> <li>• Risk transfer mechanisms (e.g. house insurance)</li> </ul>
	Pressure	Climate change	<ul style="list-style-type: none"> <li>• Existence and implementation of adaptation and mitigation policies</li> <li>• Land use policies/practices</li> <li>• Agricultural practices/techniques</li> <li>• Energy production: sources, use, policies</li> <li>• Use and management of natural resources (e.g. deforestation)</li> <li>• Risk transfer mechanisms (e.g. insurance)</li> </ul>
Security	Shock	Terrorist attack	<ul style="list-style-type: none"> <li>• Capacity of security actors, including first responders</li> <li>• Social cohesion</li> <li>• Control of access to/ circulation and export of weapons, including control of nuclear, radiological, biological, chemical or explosive hazardous materials</li> <li>• Dialogue between key state and non-state actors</li> </ul>
	Pressure	Migration	<ul style="list-style-type: none"> <li>• Social cohesion / responses to exclusion</li> <li>• Resolutions to ethnic/religious/political tensions</li> <li>• Socioeconomic opportunities</li> <li>• Conflict sensitivity</li> <li>• Mechanisms to address climate-induced disasters/pressures</li> </ul>

# Resilience definitions and analytic tools

Across all institutions and approaches, it is widely acknowledged that resilience is a complex outcome of many different institutional, economic and social changes, and is therefore challenging to measure, assess or analyse. Nevertheless, enhanced analysis of risk and resilience factors are considered a central element in effectively building resilience. A

number of analytical tools have been developed by various organisations to facilitate an evidence-based approach to building resilience. These tools often reflect the owners' conceptual approach to resilience and respond to their specific operational mandates, i.e. focus on particular risks, systems or specific sectors, as the following table illustrates.

**TABLE A3.1 Overview of resilience definition and analysis tools**

ORGANISATION	DEFINITION	ANALYTIC TOOL
Organisation for Economic Co-operation and Development (OECD)	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 <a href="#">Risk and Resilience webpage</a> )	<a href="#">Resilience System Analysis</a> (OECD, 2014)
Swiss Development Cooperation (SDC)	None	<a href="#">Climate, Environment and Disaster Risk Reduction Integration Guidance (CEDRIG)</a>
World Bank Group	The ability of a system and its component parts to anticipate, absorb, accommodate or recover from the effects of a hazardous event in a timely and efficient manner, including through ensuring the preservation, restoration or improvement of its essential basic structures and functions (World Bank, 2013, p. 4)	Risk and Resilience Assessment (RRA) – previously Fragility Assessment; guidance and details about the RRA methodology are not publicly available
United Nations Development Programme (UNDP)	An inherent as well as acquired condition achieved by managing risks over time at individual, household, community and societal levels in ways that minimize costs, build capacity to manage and sustain development momentum, and maximize transformative potential (UNDP, 2013, p. 34)	None
Group of 7 Plus (G7+)	The ability of social institutions to absorb and adapt to the internal and external shocks and setbacks they are likely to face (G7+, 2013, p. 2)	<a href="#">Fragility Spectrum</a> (G7+, 2013)

ORGANISATION	DEFINITION	ANALYTIC TOOL
U.K. Department for International Development (DFID) – now the Foreign, Commonwealth & Development Office (FCDO)	The ability of countries, communities and households to manage change by maintaining or transforming living standards in the face of shocks or stresses without compromising their long-term prospects (DFID, 2016, p. 33)	<a href="#">Multi-Hazard Disaster Risk Assessment</a> (DFID and UKAid, 2012)
German Federal Ministry for Economic Cooperation and Development (BMZ)	The ability of people and institutions – be they individuals, households, communities or nations – to deal with acute shocks or chronic burdens (stress) caused by fragility, crises, violent conflicts and extreme natural events, adapting and recovering quickly without jeopardising their medium- and long-term future (BMZ, 2013, p. 7)	None
Agence française de développement (AFD)	The capacity of a society, a household or an individual to absorb and recover from shocks, while adapting their organisation and lifestyles to cope with the uncertainty these shocks generate (AFD, 2017, p. 42)	None
United States Agency for International Development (USAID)	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 (USAID, 2012, p. 5)	<a href="#">Risk and Resilience Assessment</a> (Vaughan and Henly-Shepard, 2018)

# Terms of reference for resilience analysis

The terms of reference (ToR) for the resilience analysis should cover the following information.

**5. Background and objectives of the resilience analysis.** This section provides a brief overview of the reasons for which the resilience analysis is being undertaken and its specific objectives (e.g. programming, design of an Action Document, political dialogue).

**6. Methodology summary.** This section describes the process by which the resilience analysis will be conducted, i.e.:

- planning and design;
- desk review and primary data collection, including analysis of the desk review and data;
- in-country workshop, including a tentative list of the stakeholders involved and a tentative agenda;
- development of a resilience roadmap and assessment report; and
- final report dissemination.

For each of the above elements of the process, the ToR should provide a brief description of its content and coverage; e.g. the section on the workshop should include a tentative list of stakeholders and an agenda.

**7. Timeline.** This section provides an indicative timeline for the process to be completed.

**8. Management and coordination arrangements.** This section defines the management and coordination structures to be put in place to guide the exercise, including:

- management and coordination team (i.e. the EU leading service and additional actors associated with the exercise, including any external actors and consultants involved in the project);
- reporting arrangements (roles and responsibilities for report writing and dissemination).

**9. Reporting template**

- Geographic and temporal scope of the analysis
- Analysis of shocks and pressures (including underlying causes)
- Existing resilience capacities
- Workshop results: main resilience issues to be addressed in the country and proposed objectives and interventions
- Resilience roadmap
- Mapping of EU and other partners' ongoing/planned interventions
- Bibliography (data sources)

# Potential sources of data

OWNER	DATA AND MATERIALS	SOURCE
EU	Index for Risk Management (INFORM)	EC: <a href="https://drmkc.jrc.ec.europa.eu/inform-index">https://drmkc.jrc.ec.europa.eu/inform-index</a>
	Global Conflict Risk Index (GCRI)	Disaster Risk Management Knowledge Centre: <a href="https://drmkc.jrc.ec.europa.eu/initiatives-services/global-conflict-risk-index#documents/1059/list">https://drmkc.jrc.ec.europa.eu/initiatives-services/global-conflict-risk-index#documents/1059/list</a>
	EU Early Warning System	INTPA and EEAS: restricted
	Risk management frameworks (budget support)	INTPA: restricted
	Integrated Analysis Framework (IAF)	ECHO: restricted
	Forgotten Crisis Assessment (FCA)	ECHO
	Science4Peace	EEAS and JRC: currently being developed
	Risk assessments in Action Documents	INTPA: restricted
	Conflict analysis	INTPA and EEAS: restricted
	Single country assessment	EEAS: restricted
	Political economy analysis	INTPA and EEAS: restricted
	Humanitarian implementation plans	ECHO: <a href="https://ec.europa.eu/echo/funding-evaluations/funding-humanitarian-aid/financing-decisions-hips-2021_en">https://ec.europa.eu/echo/funding-evaluations/funding-humanitarian-aid/financing-decisions-hips-2021_en</a>
	FicheOps	ECHO: restricted
	Evaluations	INTPA and ECHO
	Mid-term reviews	INTPA
	Stakeholder analysis	INTPA and EEAS
	Gender analysis	INTPA
	Environmental profiles	INTPA
	Post-disaster needs assessments (PDNAs)	INTPA and FPI (in partnership with the World Bank and UN): <a href="https://www.gfdr.org/en/post-disaster-needs-assessments">https://www.gfdr.org/en/post-disaster-needs-assessments</a>
	Recovery and peacebuilding assessments (RPBAs)	INTPA and FPI (in partnership with the World Bank and UN): <a href="https://ec.europa.eu/fpi/sites/fpi/files/rpba/rpba_fast_facts.pdf">https://ec.europa.eu/fpi/sites/fpi/files/rpba/rpba_fast_facts.pdf</a>
EU Aid Explorer	INTPA: <a href="https://euaidexplorer.ec.europa.eu/index_en">https://euaidexplorer.ec.europa.eu/index_en</a>	



OWNER	DATA AND MATERIALS	SOURCE
Others	Risk and resilience assessments	World Bank: internal
	State of Fragility Reports	OECD Development Assistance Committee: <a href="https://www.oecd.org/dac/states-of-fragility-fa5a6770-en.htm">https://www.oecd.org/dac/states-of-fragility-fa5a6770-en.htm</a>
	Fragility assessments	International Dialogue on Peacebuilding and Statebuilding: <a href="https://www.pbsdialogue.org/en/documents/">https://www.pbsdialogue.org/en/documents/</a>
	Human Development Reports	UNDP: <a href="https://www.hdr.undp.org/en">https://www.hdr.undp.org/en</a>
	Common Country Analysis / United Nations Assistance Development Framework (UNDAF)	UN Resident Coordinator Office
	Reports of Integrating, Acceleration, Policy Support (MAPS)	UN Resident Coordinator Office
	Risk assessment reports	GFDRR, UNDP
	Vulnerability assessments	As applicable
	Government reports and assessments	As applicable
	Other donor reports and assessments	As applicable
	Non-governmental organisation reports and assessments	As applicable
	Conflict analysis from other stakeholders	As applicable
	Evaluations from other stakeholders	As applicable
Academic literature	As applicable	

# Resources and contacts

Action Aid, 2016. [Resilience Handbook – A Guide to Integrated Resilience Programming](#).

Béné et al., 2017. [Squaring the Circle: Reconciling the Need for Rigor with the Reality on the Ground in Resilience Impact Assessment](#).

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United States Global Change Research Program. [U.S. Climate Resilience Toolkit](#).

**Contact details for further guidance and support:**

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