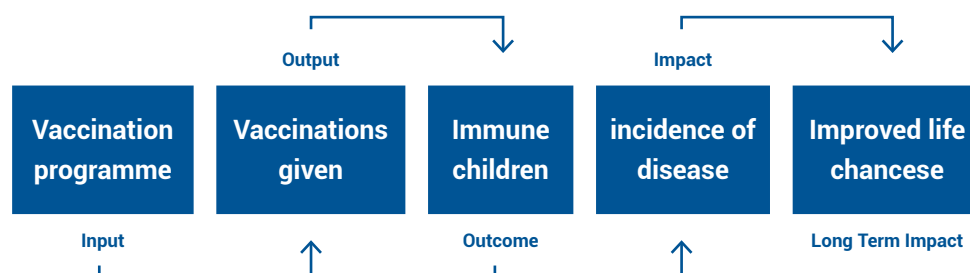


Appendix 10: Capacity Development Process

It is important to develop a theory of change for each capacity development initiative or project that is developed for implementation of the Sendai Framework. The following two examples aim to explain the process of developing a theory of change in simple terms:

Theory of Change example 1: Vaccination

Assertion: We know we need to vaccinate to decrease the incidence of disease and that we can improve people's lives. The eradication of smallpox has been a triumph for risk reduction. In this example (figure 2), vaccination programmes (*Input*) deliver vaccines (*Output*) which immunize children (*Outcome*) which decrease incidence of disease (*Impact*) and help improve chance of life (*Long-term Impact*).



But what about, e.g., capacity development, national ownership and sustainability? Who gives the vaccine (e.g. mitigating incorrectly given vaccines)? Who measures the changes? Who are the partners? How is it sustained? How is it monitored for change? (e.g. strain replacement when there are variations in flu)? How are the risks understood and relevant actions planned (e.g. changing climate in the global South where increasing temperatures put vaccine storage at risk)? Not addressing these aspects can lead to confusion. **Assumptions are a critical part of the programme and theory of change development and management.**

Theory of Change example 2: International Health Regulations

Assertion: The International Health Regulations (referenced thrice in the Sendai Framework) provide a strong legal foundation for health disaster risk reduction. In this example (figure 3), we see a path where capacity development and technical assistance (**Activities**) support increased skills, networks established, systems strengthened, and inter-sectoral capacity improved (**Outputs**) which lead to the strengthening of systems and coordination in partner countries, the workforce strengthened to address threats, and protective and technical systems enhanced and expanded (**Outcomes**), which ultimately improve global health security at all levels (**Impact**).



Though capacity development is a complex task, formulating a coherent theory of change can help achieve the objective efficiently.

Additionally, certain steps are proposed as a sample of steps to be taken when designing a capacity development project. Before following these steps, an articulation and definition of the problem and a theory of change is suggested.

Step 1: Stakeholder Engagement

The Sendai Framework calls for “a broader and a more people-centred preventive approach to disaster risk,”⁷³ because the community of stakeholders engaged in or otherwise affected by DRR is all-encompassing. Everyone and every entity is affected by risk, and therefore each of these stands to benefit from its reduction. DRR is an endeavour for which efficiency and effectiveness are contingent on efforts not only addressing all-hazards, but also all sectors and stakeholders, and therefore it – and the CD efforts to enable it – must each be inclusive and accessible.

Each project will differ with regards to what people, organizations, and communities are influenced or affected by it. Planning for CD should begin, not end, with engagement of those who stand to be affected in some manner⁷⁴ (as recipient, contributor, provider, or otherwise), and it is contingent on programming staff to understand what that means for their project or endeavour. This is not a simple task, yet it is critical and thus necessary because:

1. It fosters the commitment and active participation of leaders who can drive the change, and key players
2. It creates buy-in, a common understanding, and a sense of ownership (thereby reducing resistance and antagonism)
3. It calibrates assumptions and enhances the accuracy of assessments
4. It helps to validate targets
5. It increases the appropriateness and acceptability of interventions
6. It establishes accountability, transparency, complementarity, and sustainability

73 UNISDR, 2015b. Paragraph 7.

74 UNDP, 2009.

The aim of this first step is to initiate the relationships and the dialogue that will inform and resource the project, and perhaps form the basis of partnerships that support implementation, monitoring, and evaluation. It also helps planners to better understand who the key actors are, and what influence they have within and outside their area of influence. While there are common targets for engagement at the international, national, local, and nongovernmental and private sector levels, it is also critical that engagement occur or be sought even with those relevant groups that are weak or have very little representational capacity.⁷⁵

Stakeholder engagement typically involves the following three activities:

1. A preliminary assessment of possible CD needs, and identification of any informal or formal political social or political dimensions⁷⁶
2. Mapping of all key stakeholders and relevant actors (including those with need, resources, expertise, and influence)⁷⁷, and the relationships and dependencies that exist between them⁷⁸
3. Identification of strategic partners

Step 2: Capacity Needs Assessment

CD interventions must be based on actual assessed needs and not just on desired output or outcomes. It is through the comparison of existing and desired capacities, within a unique local context, that CD interventions take form. Research has found that such assessments are often conducted too late in the process to be effective, and sometimes not at all, with the result being reduced impacts and unintended outcomes.⁷⁹ In order to ensure that CD programmes are addressing a real problem, and are realistic in terms of their goals and timelines, planners first need to answer the following questions:

75 UNDG, 2017.

76 LenCD, n/d.

77 CADRI, 2011.

78 Hegelsteen and Becker, 2014.

79 Few, P.14.

- What CD efforts have taken place, are ongoing, or are planned?
- How much capacity already exists, what is that capacity, and what changes are already happening?
- How ready for change are targeted stakeholders, as based on their motivations and constraints, and what do they hope to achieve with regards to DRR (including their role in making that possible)?
- What is the local political, social, cultural, economic, physical, and environmental context into which interventions will be introduced?⁸⁰

In doing so, it will be possible to determine with greater accuracy the following points of reference which together form the foundation of planning and subsequent assessment baseline.⁸¹

- Why CD is needed
- What CD is needed
- Who will participate in and/or benefit from CD

A capacity assessment typically involves three steps:⁸²

1. Mobilizing actors and designing the capacity assessment
2. Conducting the capacity assessment
3. Assessing and interpreting the results

An effective capacity needs assessment considers a broad range of perspectives and experiences to ensure a 'one-size-fits-all' approach is avoided. Even within the same geographic area, it is possible for there to be differences in capacity among stakeholder groups, and patterns of capacity or the lack thereof. The capacity needs assessment articulates capacities, gaps, and points of entry (for CD intervention) at each of the three levels (individual,

80 Hagelsteen and Becker, 2014.

81 CADRI, 2011.

82 UNDP, 2011; UNDP, 2009.

organizational, and enabling environment), seeks to understand the cause and impact of such gaps, and sets the stage for the identification of effective interventions. Finally, it provides the initial indicators by which progress is measured in both process and outcome evaluations to follow.

Resources to support capacity assessment include:

- Asian Development Bank. 2008. Capacity Assessment and Capacity Development in a Sector Context Tool Kit. <http://bit.ly/2jOu3ul>.
- Japan International Cooperation Agency (JICA). 2008. Capacity Assessment Handbook: Project Management for Realizing Capacity Development. <http://bit.ly/2BJCwr9>.
- LenCD. N/d. How to Assess Existing Capacity and Define Capacity Needs. <http://bit.ly/2BznHGO>.
- UN Development Group. 2008. UNDG Capacity Assessment Methodology: User Guide for National Capacity Development. <http://bit.ly/2zPcUrz>.
- UNDP. 2008. The UNDP Capacity Assessment Methodology <http://bit.ly/2Anrg3g>
- UNDP. 2008. The UNDP Capacity Measurement Framework <http://bit.ly/2i3aePx>

Step 3: Defining the Intervention

With stakeholders engaged and a needs assessment in hand, planning staff are prepared to design and develop the intervention(s) required. This could be in the form of a capacity development plan. It is important that those involved in planning draw from the same representational community that was involved in the assessment process, and that a mix of engagement techniques targeting multiple levels of capacity (individual, organizational, and enabling environment) be considered. Efforts will ideally follow a timeline that allows for both short-term 'quick wins' and more heavily-impactful and perhaps more complex and protracted methods. An approach that sets forth explicit prioritization by both impact and order (e.g., immediate, medium-term, and long-term) will improve the dedication of resources and improve alignment with other policy directives (e.g., 2030 Agenda and Paris Agreement). Any interventions should link to targets and indicators, and there must be an exit strategy.

Interventions typically focus on developing one or more of the following capacity elements:⁸³

1. Institutional Arrangements

Institutional arrangements include the policies, practices and systems that allow for effective functioning of an organization or group. These may include 'hard' rules such as laws or the terms of a contract, or 'soft' rules like codes of conduct or generally accepted values. To better understand institutional arrangements, think of the rules that govern a sports game. These tend to be a combination of formal written rules, for example on what constitutes a goal, and unwritten codes of conduct, such as good sportsmanship.

2. Leadership

Leadership is the ability to influence, inspire and motivate others to achieve or even go beyond their goals. It is also the ability to anticipate and respond to change. Leadership is not necessarily synonymous with a position of authority; it can also be informal and be held at many levels. Although leadership is most commonly associated with an individual leader, from a village elder to a country's prime minister, it also exists within the enabling environment and at the organizational level. Think of a government unit that takes the lead in pushing for public administration reform, or of large social movements that bring about change at the more systemic level.

3. Knowledge

Knowledge, or 'literally' what people know, underpins their capacities and hence CD. Seen from the perspective of our three levels (identified above), knowledge has traditionally been fostered at the individual level, mostly through education. But it can also be created and shared within an organization, such as through on-the-job training or even outside a formal organizational setting through general life experience and supported through an enabling environment of effective educational systems and policies.

4. Accountability

Accountability exists when rights holders can make duty bearers deliver on their obligations. From a CD perspective, the focus is on the interface between public service providers and its clients or service providers and oversight bodies. More specifically, it is about the willingness and abilities of public institutions to put in place systems and mechanisms to engage citizen groups, capture and utilize their feedback as well as the capacities of the latter to make use of such platforms. Accountability also refers to establishing an understanding of who will do what, who will ensure it gets done, and what will the consequences be if it doesn't. It should flow both upward and downward through clearly stated goals and responsibilities.

83 UNDP, 2011.

Through the development of these and other capacity elements, CD efforts will ideally result in the production of actual capacity, considered an 'output' of the intervention. Through these capacity outputs, it goes to reason that beneficiaries will be equipped to initiate actions, which are the outcome of the CD efforts. And from these outcomes, measurable impacts may be noted. The literature review noted five distinct capacities that are relevant to achievement of DRR targets and goals per the Sendai Framework, including:⁸⁴

1. Capacities for engagement

Capacities of relevant individuals and organizations to engage proactively and constructively with one another to identify, assess, and manage disaster risk.

2. Capacities to generate, access and use information and knowledge

Capacities of individuals and organizations to research, acquire, communicate, educate and make use of pertinent information to be able to identify and assess hazard risk and analyse and implement risk reduction opportunities.

3. Capacities for policy and legislation development

Capacities of individuals and organizations to plan and develop policy and legislation, including strategies and plans, that support or otherwise affect DRR.

4. Capacities for management and implementation

Capacities of individuals and organizations to enact DRR policies, plans, strategies and/or regulatory decisions, and plan and execute relevant sustainable risk management actions and solutions.

5. Capacities to monitor and evaluate

Capacities of individuals and organizations to effectively monitor and evaluate project and/or program achievements against expected results and to provide feedback for learning, adaptive management and suggesting adjustments to the course of action if necessary.

Interventions should seek to strategically integrate with ongoing and completed CD efforts, especially those that have engaged directly with targeted stakeholders. Recognition of and building upon such efforts allows for the benefit of lessons learned and best practices, especially in light of stakeholder motivation built through positive outcomes and celebrated successes.

84 Adapted from Global Environmental Facility, 2010. P.8.

A good plan of intervention includes the following:⁸⁵

1. Identification and formulation of pathways (could be a theory of change) to CD, based on evidence and tested approaches
2. Identification and formulation of CD goals
3. Integration of strategic partnerships and establishment of a division of labour

Step 4: Building Partnerships for Implementation of Capacity Development

CD implementation can be strengthened dramatically through the building of partnerships. Implementation partners may have a broad range of benefits to offer, including credibility, access, human and financial resources, expertise, knowledge, information and more. Partners also stand to benefit themselves, and in fact the motivations for partnership are greatest when such conditions exist. It is important that clear and mutually acceptable roles and responsibilities are established for all partners, and the partnership must in no way violate the guiding principles or undermine the project goals. The partnerships will help conduct Step 5.

Hagelsteen and Burke identified a set of questions planners can ask when assessing partnership opportunities. These include:

- Are the drivers (motives) for partnering on the part of different actors clear?
- Is the purpose of the partnership clear?
- Do the partners have a written agreement, and if so, what does it include?
- Are the benefits and risks of collaborating articulated?
- How is accountability of the partners described?
- What are the provisions for building, maintaining, reviewing and evaluating the partnership's impact and collaboration process?
- Is there a clear project management structure and operating procedures with timetables?
- Do the terms of reference consider both technical and softer CD elements?

85 UNDG, 2017.

The type of service provider or partner to engage depends on the task at hand, the target group, complexity of the task and the coverage area.⁸⁶ Guidance on stakeholder engagement should be referred, to help build the right partnerships. Considerations for such decisions might include the following criteria:

- What relationship does the partner have with the target audience? Are they considered credible, and can they organize or mobilize that community?
- Will the partnership be cost-effective?
- Is the partner likely to stay engaged in the project, and do they have the capability to foster project scalability?
- Does the partner possess knowledge or skills relevant to the identified capacity needs?
- Does the partner have the resources, systems, and infrastructure needed to support implementation?
- Does the partner have relationships with key networks, decision-makers, or policy makers?
- Does the partner have any political clout, and are they considered politically neutral?

Step 5: Implementation of Capacity Development Efforts

Implementation partners can begin to address capacity gaps once the design of a needs-based, demand-driven intervention program has been completed. Due consideration must be given to the partner leading the effort, the one in the driving seat e.g. the national government. The implementation effort should begin and remain flexible to adapt as conditions and needs change as dictated by monitoring and process evaluation.

Recipient stakeholders' interface with implementation efforts should be through a known and trusted source, at least in the early stages of the process. Research on implementation by the United Nations Development Program found that where internal and external partners were involved, implementation that was managed through national systems and processes rather than through the parallel systems of external partners, chances for sustainability were considerably improved.⁸⁷ More detailed discussion of this issue is in Section 4 and Section 5.

⁸⁶ UNDP, 2011.

⁸⁷ UNDP, 2011.

Step 6: Monitoring and Evaluation

Monitoring and evaluation is a vital yet largely-undervalued part of CD.⁸⁸ It is conducted not only to ensure implementation partners are progressing towards their intended goals, and to ensure those goals are resulting in the changes required to meet capacity needs – it also helps in the identification of and accommodation for unintended consequences. For this reason, evaluation must not be limited to the completion of implementation efforts, as it is too late to redirect if things do not occur or progress as expected once this point has been reached. It helps to identify the extent to which capacity has been reached.

Monitoring and evaluation efforts must be part of the implementation plan and should address both the process and its impact. Evaluation efforts can look at several different factors that help the implementation team to better understand how they are doing, such as whether planning assumptions are proving valid, whether the foundational principles are being adhered to, or whether progress towards the meeting of target indicators has resulted (and if so, the degree to which it has).

Whether planned as a continuous monitoring effort or a series of periodic evaluations, there must exist measures of performance (indicators) as well as standard protocols to guide the process, data systems to collect what is found, authority to carry out the tasks required, and access to necessary human and financial resources. There are three foci of assessment efforts that together provide a full picture of project or program effectiveness, including:⁸⁹

- Output (what capacity has been produced or provided, and what learning has been facilitated)
- Outcome (what changes in performance have occurred because of capacity improvements)
- Impact (how has disaster risk been reduced or otherwise affected)

Monitoring and evaluation are pointless in the absence of an effective strategy to communicate and report on findings. Consultation participants noted that the body of knowledge on CD for DRR was stunted by a lack of published or otherwise available project reports. Moreover, in the absence of a commonly-adopted set of quality standards, planners need to develop their own.

88 Hegelsteen and Becker, 2016.

89 UNDG, 2017.

Monitoring and evaluation plans should consider:⁹⁰

1. What will be monitored and evaluated
2. What processes will be employed?
3. How, when, how often, and by whom will monitoring and evaluation occur?
4. Which monitoring, evaluation, and learning approaches are described?
5. Are there dedicated resources for monitoring evaluation and learning activities?
6. Will a mixture of quantitative and qualitative methods be used?
7. Who is responsible for project reporting – to whom, how often, and in what language?
8. How are the lessons learned assessed, documented, shared, and put into practice?

Tools and resources that can be used to guide monitoring and evaluation planning and conduct include:

- The Capacity Development Scorecard. In A Framework to Monitor Capacity Development Initiatives. Global Environmental Facility (GEF). <http://bit.ly/2isXBRS>.

The Capacity Development Results Framework. World Bank. <http://bit.ly/2By2VrA>

These indicators have been adapted to the DRR context from Monitoring Capacity Development in GEF operations:

A Framework to Monitor Capacity Development Initiatives, GEF, 2011, pp. 12-16

90 Hagelsteen and Burke, 2016.