Appendix 6:
Foundational Elements of Effective Capacity Development

Several elements that are vital to any CD for DRR effort have been identified through the literature review and consultative process. While most of these are indicative of a strong supportive environment, they are influential at the individual and organizational levels as well.

• **Financial Resources**

Leaders must commit to supporting CD not only through their leadership and authority, but also through their willingness to provide or encourage dedicated funding. Without the expectation of financial support, CD is not possible.

• **Political Support**

Capacity is most likely to be both developed and effectively utilized where there exists strong political ownership and commitment at the highest levels of authority. Organizations and societies are both driven by policy, rules, and norms, and individuals are likely to follow the example of their leaders. Support provided by elected officials and other community leaders sets the tone and establishes the culture. On the other hand, a lack of support can have a detrimental impact on the ability to identify and recruit project champions and likewise to encourage participation.

• **Incentives**

All stakeholders, whether traditional recipients or providers of CD efforts (or both) need to be motivated by a desire to effect positive outcomes through change. This requires an accurate understanding of what is required and on what basis. Where motivation is weak or does not exist, incentives can be used. Incentives can be used to increase motivation factors that are either intrinsic (e.g., a desire to: feel safe, gain acceptance, address corruption, provide a sense of order, achieve independence) or extrinsic (e.g., a desire to receive: financial compensation, qualification for employment, a promotion, an award).

• **A Supportive Culture**

CD efforts cannot succeed unless they are being provided within an environment that understands and supports their value. This is addressed in the enabling environment, but it is also in and of itself a critical element without which success and sustainability of any effort at any level is unlikely.

• **Existing Structures and Mechanisms**

CD initiatives should not only account for but should also be based on countries' national development policies, strategies, governance structures and mechanisms. Programs and projects that are donor-supported should therefore coincide with primary development processes and reinforce the existing policy framework and reform processes.

• **Relevant and Valid Information**

Planning and implementation of CD relies on the accurate input and analysis of contextual and operational information. It must remain up-to-date, relevant, and accessible to support informed decision-making.

• **Flexibility and Adaptability**

CD planning and design efforts need to ensure there exists a high degree of flexibility to accommodate a shifting operational context (e.g., political, organizational), changing needs, and differences that exist between stakeholders. Rigid processes and strategies will pose a challenge to programmes that aspire to be both demand-driven and responsive to beneficiaries' needs.

• **Complementarity**

Efforts need to be knowledgeable of existing and previous activities and likewise must build upon those issues wherever possible. Those involved in programming need to establish whether stakeholders have participated in activities that are relevant to what is planned and incorporate that information into project design.

• **Innovation**

Business as usual cannot sustain CD efforts. Staying abreast of human and technological innovations and opportunities to innovate approaches to CD should be considered and explored. Innovations may also include new use of existing or traditional knowledge.

- **An Exit Strategy**

Exit strategies help to ensure that programs, or the gains that have been achieved through them, will continue in a sustainable manner once external support has been withdrawn. Such strategies are most effective when developed early in the planning process and in consultation with partners, beneficiaries, and other CD stakeholders. In addition to minimizing the likelihood of conflict and tension that may arise from misunderstanding, they reduce attitudes of dependence by ensuring all stakeholders understand very early in the process their long-term roles and responsibilities.[72]

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72   Gardner, Greenblott, and Joubert, 2005.