Appendix 5:

Driving Principles of Effective Capacity Development [61]

- **Efforts are Guided by a Common Understanding (of terms, concepts, standards, and norms)**

The research, development, and practical application of CD for DRR remain relatively new endeavours.[62, 63] As such, there exists only partial coherence between practitioners and programs, and acceptance of a common set of terms and concepts has yet to occur. Because professionalization in any field is time-intensive, emergence of a common global consensus is unlikely in the near term. Even in the absence of a common doctrine, however, individuals and organizations working together in pursuit of CD for DRR can improve their coordination and cooperation by identifying, agreeing upon, and adopting a common understanding and consistent use of terms and practices. In doing so, conceptual discrepancies and miscommunication will be minimized.

- **Efforts are Coherent Within and Between Levels (National, Sub-national, and Local)**

In order to avoid wasting of resources, duplication of efforts, and conflicting priorities, it is important that national-, sub-national, and local-level actors and processes are cognizant of programs and activities that are being planned and conducted in pursuit of CD for DRR. In this manner, it is possible to bridge capacity and communication gaps that commonly exist between national and local levels.[64]

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61   Also see Appendix 8

62   Hagelsteen and Burke, 2016. pp. 43 and 44.

63   Morgan, 2006. P.2.

64   Few, 2015. P. 15.

- **Efforts Pursue an "All-of-Society" Approach**

The development of DRR is the concern of an entire society, and the interactions between the CD efforts of different individuals, entities, organizations, institutions, and sectors can drastically influence how risk reduction occurs and what successes may be achieved. Programming efforts should consider how their efforts may apply broadly across multiple stakeholders (whether populations, agencies or organizations, professional disciplines, or levels of government), and should consider how cross-sectoral combinations may result in synergistic movement towards common goals. The perspectives of both those with expertise or resources to provide CD and those who are vulnerable and affected by disasters are valuable not only in planning but also in terms of the longer-term relationships created. All stakeholders, including government, national partners, UN agencies, nongovernmental organizations and private sector entities, should be considered, and programming should seek ways to improve stakeholders' capacity to interact with each other.

- **Efforts are Goal-Driven, Impact-Focused, and Transformative**

CD programming must identify clear objectives and expected outcomes that can be judged to make a lasting impact on coherent implementation of national DRR plans and policy, including the Sendai Framework and the 2030 Agenda. Goals need to address both the capacities themselves and the impact of their existence. Identification of effective assessment indicators through which progress and impact may be measured will be contingent on the existence and clarity of these targets. Stakeholders should consider both the outcome-level objectives (Capacity for why? Capacity for whom? Capacity for what) and the output level objectives (Capacity for how well to do what?) in their planning.[65] Because CD is a process of change, goals and impacts must address a greater overall transformation wherein DRR is improved or becomes possible over time rather than as a one-off intervention.

- **Efforts are Demand-driven and Needs-based**

CD programming must align not just with what capacity assessments identify to be gaps or shortfalls, but also with what stakeholders and target audience desire. There are oftentimes many ways to achieve capacity, and the most effective of these will typically be that which is familiar to and preferred by the individuals and organizations for which change is sought. CD programming must also consider what is needed in light of existing capacities and ongoing programmes. Neglecting to address needs according to these two factors will at best waste limited resources, but at worst result in the creation of parallel structures and counterproductive outcomes. Conformance with this standard requires both the knowledge of and adaptation to local conditions, beginning with identification of the requirements and performance expectations of the individuals or organizations supported.[66] This includes consideration of cross-sector issues including gender, marginalization, and economic inequality. A well-planned capacity assessment that enables identification of both demands and needs is a critical tool.

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65   UNDG, 2017. P.10.

66   CADRI, 2011.

• Efforts are Strategic and Sustainable

CD programming must support the strategic implementation of national and sub-regional policy and programming,[67] and do so in a manner that promotes long-term sustainable results. Rather than presenting as an afterthought of DRM policy pursuits, or as a stand-alone measure, it is most effective when embedded in strategy formulation.[68] It should be integrated systematically in programming, starting from the analysis of needs through implementation, operations, and monitoring and evaluation, avoiding insomuch as possible the emergence of parallel structures and mechanisms. Where integration of DRR, SD, and CCA has been achieved, CD programming should conform to those efforts, and speak to those partners, to the extent possible. While short-term results are recognized for their importance both in terms of improving lives and building motivation, it is important that efforts seek longer-term results that enable lives to be improved long after any program or project has ended. Interventions may be scheduled in such a way as to alleviate pressure to show visible results without undermining longer-term capacity gains.[69]

• Efforts are Nationally-Owned and Coordinated

Development partners and international organizations have committed to promoting national ownership for development programmes, and this extends to the CD function. Programming for such efforts must aim to be convened, organized or co-organized, funded or cost-shared, and directed by internal governmental or community institutions if they are to be relevant, effective, and sustainable. Management control should exist at the level that is most appropriate for the impacts that are sought, whether national, sub-national, or local. Assurance at every juncture along the CD cycle that efforts will remain stakeholder-informed and, to the extent possible, managed, is central to the concept of national ownership. This should be apparent even where such processes are heavily-supported by the international development community. Such commitments cannot be imposed from the outside but must occur organically. As such, deliberate design that ensures programming is needs-based and demand driven is critical.

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67 E.g., implementation of national and local disaster risk reduction plans and policies, SDGs, the Sendai Framework for Disaster Risk Reduction, the Paris Agreement on climate change, sustainable economic development)

68 CADRI, 2011.

69 Few, 2015. P15.

- **Efforts are Value-Added**

CD programming should add value, avoid duplication and aim for coherent implementation. Value should be measured both in terms of sustainable capacity that is created and DRR that is achieved. This requires a more "holistic DRR-influenced approach to [disaster risk management] capacity" that requires attention be given to "understanding and planning for long-term changes in risk; moving beyond a focus on short-term emergency management to capacity in disaster prevention, mitigation and long-term recovery; prioritizing the reduction of vulnerability; targeting the needs of vulnerable groups; and addressing gender inequalities in both vulnerability and capacity."[70]

- **Efforts are Practical, Replicable, and Localized**

Planners may wish to pursue an ideal level of capacity that, if attained, could drastically reduce or even eliminate risk. However, if such targets do not account for the motivations, resources, and capabilities of the stakeholders involved (both recipients and providers), such goals will not be practical, including in terms of project timeframes. CD programming must also consider whether their interventions are understood and relevant in local languages and the local context, and whether it is possible for governmental and other affiliated partners to replicate, adapt, and adopt the methods to meet their needs. Approaches should truly aim to develop sustainable individual, organizational, and enabling environment capacity, rather than typifying "fly-in, fly-out" approaches.

- **Efforts Foster Partnerships**

CD programming must be conducted in a manner that enables the identification and engagement of appropriate and viable partners drawn from all appropriate sectors (public, private, and civil society organizations) and levels. Methods and practices that are employed should be based on partners' existing capabilities, identified needs, and organizational objectives, with the aim of enhancing in-country ownership and sustainability. It is important that partners have a clear and significant role in not only program implementation but also design to increase the likelihood that measures are appropriate and effective.

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70   Few, 2015. P15.

- **Efforts are Standard-Conformant or Standard-Setting**

Without standards, it is difficult for those involved in DRR to understand that CD is needed. Where standards exist, whether based on competencies or other measures, CD programming should assess needs accordingly and aid in a manner that addresses gaps. Where required, programming partners should identify or develop and apply quality standards for projects or interventions that enable the measurement of the quality of progress and results prior to implementation and not the other way around.

- **Efforts Employ a Mix of Activities across Multiple Levels and Timeframes**

Traditional CD has favoured classroom-based approaches, and while these are effective they alone limit potential gains. CD can achieve much greater and more sustainable impacts when efforts are varied, do not focus solely on one level (individual, organizational, and enabling environment), and address a range of timeframes. They should be appreciative of the interrelationships that exist between the individual, organizational, and enabling environment levels, and ensure a complementarity of actions that fosters change. Planning needs to have a strategic basis and employ a combination of complementary activities beyond the provision of training and education. Targeted activities can enable engagement across the short, medium, and longer-term timeframes, which ensures both rapid results and sustainable impacts, which together help to keep partners engaged and motivated. The key to all of this is assurance that efforts are not fully-independent projects but rather components of a single, coordinated process.[71]

- **Efforts Strengthen Knowledge Frameworks**

CD programming should provide opportunities to capture, assess, translate, transfer, and broker knowledge to foster innovation.

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71   GFDRR, 2016.