



Oxford Policy Management

# **Strategic Research into National and Local Capacity Building for DRM**

## Ethiopia Pilot Report

Roger Few, Zoë Scott, Marcela Tarazona, Gadissa Bultosa, Tesfa Berhanu  
and Lucrezia Tincani

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This assessment is being carried out by Oxford Policy Management and the University of East Anglia. The project manager is Zoë Scott and the Research Director is Roger Few. For further information contact [zoe.scott@opml.co.uk](mailto:zoe.scott@opml.co.uk)

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Oxford Policy Management Limited

6 St Aldates Courtyard  
38 St Aldates  
Oxford OX1 1BN  
United Kingdom

Tel +44 (0) 1865 207 300  
Fax +44 (0) 1865 207 301  
Email [admin@opml.co.uk](mailto:admin@opml.co.uk)  
Website [www.opml.co.uk](http://www.opml.co.uk)

Registered in England: 3122495

# Executive Summary

## Introduction

In September 2013, the International Federation of Red Cross and Red Crescent Societies (IFRC) contracted Oxford Policy Management and the University of East Anglia to conduct Strategic Research into National and Local Capacity Building for Disaster Risk Management. Our central aim in the research is to draw lessons and guidance on 'how to' build DRM capacity in a range of contexts. Our research will analyse the characteristics, effectiveness and relative importance of a range of capacity building for DRM interventions across a variety of country contexts. To 'road test' the methodological approach and tools, a pilot case study was conducted in March / April 2014 in Ethiopia.

This report sets out the approach taken during the pilot, findings from the data collection and the proposed changes the team intend to make to the case study approach and research tools for the full case studies. The pilot differed from a full case study in that there was less time spent in country, less interviewing was done at a district level, there was less planning time prior to travel and there was no initial stakeholder workshop. Most importantly, the focus of the research team during the pilot case study was on testing and revising the approach and tools, with the collation of evidence as a secondary objective. As a result, the findings presented in this report cannot be considered to be as specific or robust as those of the full case studies. As such this Ethiopia report should be considered as a pilot case study report, not a full case study report.

## Methodology

During the pilot we aimed to analyse the following themes:

- Context/dynamics
- Specific examples of capacity-building activities for DRM
- Actors/programme characteristics
- Approach to CB process
- Content of CB activities
- Effectiveness
- Capacity development for DRM (in general)

In order to investigate CB activities for DRM we selected 2 capacity-oriented DRM intervention programmes for in-depth study. These were UNDP's Disaster Risk Reduction and Livelihoods Recovery Programme (DRM/LR) and the Ethiopia programme of the Africa Climate Change Resilience Alliance.

The data collection tools used were desk review of secondary data sources, 25 key informant semi-structured interviews, 3 group interviews, a rating exercise with interviewees and group exercises at a national workshop. The procedure was:

1. Preliminary desk based study

2. Data collection in country including interviews at national and district (woreda) levels, group interviews at district level and a national workshop with 21 attendees. The workshop included specific exercises to test the draft M&E framework.
3. Analysis of data including coding and compiling data for each activity and for the overall Ethiopian context.

## Revisions to the proposed methodology and tools

Section 3 outlines some proposed revisions to the methodology and tools, following the experience gained in the Ethiopia pilot. Most are minor changes to the approach and procedure presented in the Inception Report, with the exception of the M&E framework. Because of the feedback gained in country on the draft M&E framework, the research team propose simplifying the framework and focusing on outcome indicators rather than output indicators. A revised approach is fully explained with detail of how the team intend to investigate M&E in future case studies.

## Background to the pilot case study

Ethiopia is very vulnerable to the impacts of climate change because its geographical location and topography is highly prone to climate related disasters and because most of the population is highly dependent on crop farming (vulnerable to climate and weather variability). The country has a long history of being prone to extreme weather variability, often suffering floods and droughts. Rainfall is characterised by its high intensity and degree of variability in both when and where it falls. Since the early 1980s, Ethiopia has experienced seven major droughts – five of which have led to severe food insecurity – and several other local droughts (World Bank, 2010).

However, there are a number of positive trends in reducing Ethiopia's vulnerability to disasters and climate change. Emergency management, especially of drought, is widely perceived to have improved in recent years, aided by the development of early warning systems (EWS). Yet despite strong government efforts related to DRR, Ethiopia is still ranked 11th of 233 countries in terms of vulnerability to physical climate impacts, and 9th in terms of overall vulnerability, defined as physical impacts adjusted for coping ability (CGD, 2011).

Ethiopia's DRM governance structures and policies are presented in section 4.1 and section 4.2 gives an overview of recent and current DRM interventions in the country.

## Description of the selected DRM CB programmes

Section 5 provides background information on the two CB DRM programmes selected for in-depth analysis during the pilot case study. For both UNDP's DRM/LR programme and the ACCRA programme the following questions are answered:

- Which actors are involved in the CB activity?
- What is the funding level and duration?
- What is the scope of the activities?
- What is the geographical focus?

## Analysis of the UNDP and ACCRA programmes

Section 6 draws out specific aspects of the approach and content of UNDP's and ACCRA's programmes that relate to the six principles of capacity building that were identified in our Inception Report as being of critical importance to capacity building. These are:

1. Flexibility and adaptability
2. Attention to planning
3. Ownership / partnership
4. Role of functional capacity building
5. Scales / interactions
6. Linkage to disaster resilience

## Existing DRM capacity in Ethiopia

Section 7 outlines the following headline findings (with confidence levels<sup>1</sup>) in relation to existing DRM capacity:

- There have been notable advances in the levels of knowledge and expertise in DRM in Ethiopia in recent years, especially at national level [high].
- The country has high capacity in EWS, especially for drought and food security [high].
- DRM policy has gradually been strengthening in Ethiopia and a new strategic basis for DRM is being established now [high].
- Coordination of organizations working in fields related to DRM has improved, but scope for improvement remains especially at subnational levels [high].
- Concerns remain over the capacity of government structures to implement DRM policy effectively at all levels [high].
- Risk profiling at woreda level can provide a strong basis for local DRM planning, especially if its application is strengthened further [high].
- Capacity shortfalls and resource gaps commonly exist in DRM at local levels [high].
- Frontline community-level capacity to respond to risk needs to be strengthened [high].
- Holistic and long-term DRM has been rising in the political and policy agenda in Ethiopia [high].

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<sup>1</sup> High confidence = conclusion drawn from multiple inputs (3 or more independent sources) with no prominent contradictory views expressed;

Medium confidence = conclusion drawn from more limited inputs (1-2 independent but authoritative sources) with no prominent contradictory views expressed;

(Low confidence (seldom used) = statement drawn from 1 source for which there is doubt over authoritativeness of the source, OR from 1 authoritative source that is countered by contradictory views.)

- Creation of an enabling environment in other senses such as critical awareness and staffing incentives remains underdeveloped [medium].
- Legislation is in place which limits both the scope of INGO and Ethiopian NGO activities and the percentage of their funding which can be spent on non-programme costs including M&E [high].
- There are some encouraging signs of progress toward disaster risk reduction [high].
- Emergency response remains the central focus of DRM implementation, with less emphasis in DRM intervention on reducing risk and vulnerability and building resilience [high].

## Lessons on CB for DRM

The key lessons on CB for DRM that we can derive from the pilot case study (with differing levels of confidence) are:

- CB interventions involving multiple agencies should be organised so that different organisations work to their strengths [medium].
- Build in the flexibility to continuously check that national level ideas match what is feasible/desirable on the ground and make adjustments where necessary [medium].
- It is crucial to undertake a clear capacity needs assessment prior to DRM interventions [high].
- Working with existing structures is desirable wherever possible... [high].
- ...But its success rests on the existence of sufficient capacities within those structures [medium].
- Accept that at the community level engagement in CB in practice may need to provide immediate benefits/incentives for people [high].
- Sufficient time has to be built in to CB interventions to ensure they can match their objectives [medium].
- There needs to be careful planning of programme commitments to ensure that promises made to stakeholders can be fulfilled [high].
- Serious attention needs to be paid to sustainability and an exit strategy, ideally at the design stage of a CB intervention [medium].
- One of the most difficult issues in sustainability of CB is how to work around problems of staff turnover [high].
- Progress remains low in developing effective M&E frameworks for CB that are rigorously applied [medium].
- Active partnership through continuous engagement is a key to fostering a sense of ownership and thereby increasing the chances of sustainability [high].

- One mechanism to increase ownership by partner agencies can be secondment of staff, as long as this is well managed [high].
- Fostering active contribution of the community to planning and implementation of initiatives can sow the seeds of sustainability at the grassroots scale [high].
- ‘Change champions’ are likely to play a key role in galvanizing DRR capacity development at both national and local levels [medium].
- The idea that CB should go beyond provision of technical capacity is not fully recognized by all actors [high].
- Although training may remain the core of CB activity at local level, it can also incorporate aspects of functional capacity [high].
- Working with government to promote dialogue on effective policy and practice is an important step in creating an enabling environment for DRM and DRR [high].
- Staff turnover issues can be addressed in part through special incentives, but if viewed at a societal level this may not be such a problem [medium].
- CB initiatives can be effectively targeted at multiple scales, but available resources may not match the requirements for replication of activity at lower scales [medium].
- Building capacity for actors to work across scales is likely to be beneficial for integrated DRM [medium].
- Another key role for capacity development intervention is to facilitate effective coordination mechanisms across sectors and stakeholder groups [high].
- Capacity development is required in the longer-term and more preventive aspects of DRR [medium].
- The need to build capacity to address long-term change in risk is increasingly recognized [medium].
- Action to raise the capacity of vulnerable groups must recognize and work with the constraints on action associated with poverty [high].
- Much work is still required to bring a gendered approach into CB for DRM [high].

Finally, the results of a ratings exercise are presented. Each interviewee was asked to rate the importance of each of the six principles for effective DRM CB on a scale of 1-4. Results for four of the principles are closely equivalent, with roughly half of the interviewees giving each one top score. One principle – ownership/partnership – emerges strongly as the most highly rated (with 17 out of 20 people giving it top rating). In contrast, attention to functional capacity was prioritized by the fewest people.

## Table of Contents

Acknowledgements	i
Executive Summary	ii
Introduction	ii
Methodology	ii
Revisions to the proposed methodology and tools	iii
Background to the pilot case study	iii
Description of the selected DRM CB programmes	iii
Analysis of the UNDP and ACCRA programmes	iv
Findings related to existing DRM capacity in Ethiopia	iv
Lessons on CB for DRM	v
List of Tables and Figures	ix
List of Abbreviations	x
1    Introduction to the research	1
1.1  Objectives of the pilot:	1
2    Methodology	3
2.1.1  Data collection tools	3
2.1.2  Pilot case study procedure	4
2.1.3  Coverage	5
3    Proposed revisions to the methodology and tools	6
4    Background to the pilot case study	9
4.1    DRM governance structure and policies	10
4.2    Recent history of DRM interventions	11
5    Description of selected CB DRM programmes	12
5.1    UNDP's Disaster Risk Reduction and Livelihoods Recovery Programme	12
5.1.1  Programme actors	12
5.1.2  Funding and timescales	13
5.1.3  Geographical coverage	13
5.1.4  CB activities	13
5.1.5  The African Centre for DRM	15
5.2    Africa Climate Change Resilience Alliance (ACCRA)	16
5.2.1  Programme actors	17
5.2.2  Funding and timescales	18
5.2.3  Geographical coverage	20
5.2.4  CB activities	20
6    Analysis of the UNDP and ACCRA programmes	23
6.1    Approaches to the capacity building process	23
6.1.1  Flexibility and adaptability	23
6.1.2  Attention to planning	24
6.1.3  Ownership/partnership	26
6.2    Content of capacity building activities	27
6.2.1  Role of functional capacity building	27
6.2.2  Scales/interactions	29
6.2.3  Linkage to disaster resilience	30
7    Lessons from the pilot case study on capacity building in Ethiopia	32



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7.1	Existing status of capacity	32
7.1.1	Skills and knowledge	32
7.1.2	Structures and coordination – general / national	32
7.1.3	Structures and coordination – subnational / local	33
7.1.4	Enabling environment	34
7.1.5	Progress toward DRR	35
7.2	Towards capacity building – key lessons	35
7.2.1	Flexibility and adaptability	35
7.2.2	Attention to planning	36
7.2.3	Ownership/partnership	37
7.2.4	Role of functional capacity building	38
7.2.5	Scales/interactions	39
7.2.6	Linkage to disaster resilience	39
7.3	Perspectives of interviewees on key factors in CB	40
	References / Bibliography	43
Annex A	44	
Annex B	Interview Questionnaire Schedules	1
B.1	Overview Meetings (previously referred to as initial meetings)	1
B.2	Interview Question Schedule: CB Actors (running or engaged in the selected CB activities)	3
B.3	Interview Question Schedule: Commentators	6

## List of Tables and Figures

Figure 1: ACCRA's structure (taken from ACCRA 2014).....	17
Table 1: UNDP DRR/LR at a glance .....	12
Table 2: DRR/LR funding .....	13
Table 3: ACCRA at a glance .....	16
Table 4: interviewee perspectives on DRM CB success factors .....	40
Table 5: Results of principles rating exercise .....	42

## List of Abbreviations

ACCRA	Africa Climate Change Resilience Alliance
ACDRM	African Centre for Disaster Risk Management
ADPC	Asian Disaster Preparedness Center
CB	Capacity Building
CCA	Climate Change Adaptation
CD	Capacity Development
CDKN	Climate and Development Knowledge Network
CGD	Center for Global Development
CSO	Civil Society Organisation
DEV	School of International Development, University of East Anglia
DFID	Department for International Development, UK
DPPB	Regional Disaster Prevention and Preparedness Bureaus
DRM	Disaster Risk Management
DRMFSS	Disaster Risk Management and Food Security Sector
DRR	Disaster Risk Reduction
DRR/LR	Disaster Risk Reduction/Livelihoods Recovery, UNDP
EPACC	Ethiopia's Programme of Adaptation to Climate Change
ERC	Ethiopian Red Cross
EWRD	Early Warning and Response Directorate
EWS	Early Warning Systems
FFDM	Flexible and Forward looking Decision Making
FSD	Food Security Directorate
GDP	Gross Domestic Product
GFDRR	Global Fund for Disaster Risk Reduction
IFRC	International Federation of the Red Cross/ Red Crescent
IGAD	Intergovernmental Authority on Development
INGO	International Non Governmental Organisation
M&E	Monitoring and Evaluation

MoA	Ministry of Agriculture
MoEF	Ministry of Environment and Forests
MoU	Memorandum of Understanding
NMA	National Meteorological Agency
NGO	Non Governmental Organisation
NPSDRM	National Policy and Strategy on DRM
ODI	Overseas Development Institute
OPM	Oxford Policy Management
PPCR	Pilot Programme for Climate Resilience of the Climate Investment Fund
PSNP	Productive Safety Nets Programme
RC	Red Cross / Red Crescent
RFM	Risk Financing Mechanism
SLUF	Sustainable Land Use Forum
SPIF	Strategic Programme and Investment Framework
TA	Technical Assistance
ToT	Training of Trainers
ToRs	Terms of Reference
UEA	University of East Anglia, UK
UNDP	United Nations Development Programme
USD	United States Dollars
WASH	Water, Sanitation and Hygiene Sector

# 1 Introduction to the research

In September 2013, the International Federation of Red Cross and Red Crescent Societies (IFRC) contracted Oxford Policy Management and the University of East Anglia to conduct Strategic Research into National and Local Capacity Building for Disaster Risk Management.

To date there has been little formal, empirical research that has been conducted on capacity building for disaster risk management (DRM), and as a result international actors lack robust, evidence-based guidance on how capacity for DRM can be effectively generated at national and local levels. The research project has been designed as an initial step towards filling that knowledge and evidence gap.

Our central aim in the research is therefore to draw lessons and guidance on ‘how to’ build DRM capacity in a range of contexts. We will do this by analysing the characteristics, effectiveness and relative importance of a range of capacity building for DRM interventions across a variety of country contexts.

Our objectives are to research the following overarching issues of concern:

1. How is capacity for DRM generated most effectively at both national and local levels?
2. What factors enable or constrain the building of national and local capacity for DRM?
3. How and why does this vary across different environments?
4. How is the international community currently approaching the task of building national and local capacities for DRM?
5. How can we identify and measure improving capacity for DRM?

The core research is based on a country case study approach. A pilot study was conducted in March / April 2014 in Ethiopia. This report sets out the approach taken during the pilot, findings from the research and the proposed changes the team plan to make to the case study approach and research tools for the full case studies. Six full case study countries will follow from June 2014, using a standardized methodological framework for data collection and analysis. This will enable comparative analysis across countries and interventions. In each case study we will look in depth at 1-3 capacity-oriented DRM intervention programmes.

The Research Team is led by Dr. Roger Few, Senior Research Fellow at the School of International Development (DEV) in the University of East Anglia. The Project Manager is Zoë Scott who is a full-time staff member at Oxford Policy Management. The team also contains technical specialists on DRM, M&E and Local Governance as well as a Fieldwork Leader and Research Assistants. In each country we will work with national partner organizations to conduct the data collection and analysis.

## 1.1 Objectives of the pilot:

A pilot case study was deliberately included in the research design to give the team an opportunity to ‘road test’ the methodological approach presented in the Inception Report. Ethiopia was chosen as the location for the pilot as it was felt that the country incorporated elements of the three types of environment required in the ToRs:

1. Fragile and conflict affected states;
2. Low income countries with repeated and regular natural disaster;
3. States with established DRM infrastructure.

Ethiopia was also a location where the research team had existing contacts and links and so we could mobilise quickly.

Following the pilot, the research team held a two-day retreat to review the entire methodology, revising tools as necessary, and finalising the details of the approach to be taken in the full case studies. Details of those revisions can be found in section 3.

The pilot differed from a full case study in the following ways:

- There was less time spent in country (two weeks as opposed to three weeks for a full case study);
- There was only one short district level trip undertaken (as opposed to 1-2 longer trips for a full case study);
- There was less planning time prior to travel;
- We did not hold an initial workshop with a small group of stakeholders (due to the lack of planning time).

Also, most importantly, the focus of the research team during the visit was on testing and revising the approach and tools, with the collation of evidence as a secondary objective. This means that, although there is a section on the research findings contained in this report (section 7), these findings cannot be considered to be as specific or robust as those of the full case studies. As such this Ethiopia report should be considered as a pilot case study report, not a full case study report.

## 2 Methodology

In the Ethiopia pilot, as in each of the case studies, we aimed to analyse the following themes:

- Context/dynamics
- Specific examples of capacity-building activities for DRM
- Actors/programme characteristics
- Approach to CB process
- Content of CB activities
- Effectiveness
- Capacity development for DRM (in general)

In order to investigate CB activities for DRM we selected 2 capacity-oriented DRM intervention programmes for in-depth study. Prior to selection we undertook a web-based search and literature review to identify possible programmes. From this shortlist we deliberately selected one relatively large programme managed by an international donor and a smaller programme managed by an NGO, in order to test the research approach and tools in different types of organisation and contexts.<sup>2</sup> Both programmes together provided us with a range of types of CB activity to study, including at different levels (human, organisational and institutional). The selected programmes were:

- UNDP's Disaster Risk Reduction and Livelihoods Recovery Programme
- Africa Climate Change Resilience Alliance

### 2.1.1 Data collection tools

During the pilot case study we used the following tools for data collection:

- a) **Desk review of secondary data sources** (documents and databases) such as programme reports, financial data and review articles, which provided key information for several of the research questions.
- b) **Key informant interviews and group interviews** at a range of scales (national / subnational / community). Semi-structured interviews (individual and group) were the primary research tool, and were guided by question schedules (see Annex A). These were flexibly applied according to the interviewee(s). The group interviews were divided by gender.
- c) **Rating exercise** conducted with interviewees and groups. At the close of each interview a brief exercise component was included that asks interviewees to rate the importance of the

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<sup>2</sup> This selection process was specific to the pilot. For the full case studies the choice of intervention programme will be guided by our work on typologies, and we will seek especially to capture experience from a range of 'actor-scale' types and from interventions whose contents span different CD target 'elements' (material, human, structures, processes and political).

six proposed principles of effective capacity building identified in the 'conceptual framework of change'<sup>3</sup> on a scale of 1-4.

## 2.1.2 Pilot case study procedure

In the pilot case study we wanted to replicate the main steps proposed in the Inception Report for each case study country. This was done successfully, although several steps were more compressed in time than will be possible during the full case studies. The only step included in the full case studies that was missing from the pilot was the initial workshop with key stakeholders, which was not included because of pressures on planning time and a shorter period in country.

During the pilot we undertook the following steps in data collection and analysis:

- a) Preliminary desk-based study. During the fortnight preceding the field visit we undertook a rapid desk-based search and analysis of secondary sources and a preliminary stakeholder mapping exercise. Documents such as programme reports, evaluation reports, review articles and general contextual and policy documents on disaster risk, DRM and governance were accessed via internet searches and through liaison with in-country partners and wider networks. Relevant text from these sources was coded and collated in relation to the research questions. The mapping of key stakeholders formed an initial list for the key informant interviews which was refined and added to as the fieldwork progressed.
- b) Main data collection in country. This stage of the pilot comprised the collection of additional secondary sources (including non-electronic sources not previously accessed) and financial data relating to selected programmes, key informant interviews (semi-structured) at a mix of scales, and group interviews divided by gender. The first week in country included preliminary meetings with IFRC, ACCRA and UNDP personnel, some interviews and travel to the districts. The second week involved the interviews at district level, group interviews at community level, multiple interviews in Addis Ababa and the final workshop.

Individual and group interviews were based on pre-selection of relevant questions from the standardized question schedules (please see Annex A), and interviewers asked follow-up questions to expand on and clarify points made. Each individual interview ended with the structured rating exercise outlined above.

- c) M&E Framework Testing. We used the opportunity of the pilot to discuss and reflect on with stakeholders the relevance and appropriateness of the proposed M&E indicators. This took place through group exercises undertaken during a group interview at district (woreda) level and during the final workshop at national scale (see below). The proposed indicators were introduced, scored for utility by the participants, discussed in more depth and subsequently re-scored, and participants were canvassed for additional potential indicators.
- d) Final workshop. At the close of the fieldwork a final workshop was organised with stakeholders at national scale. The workshop's purpose was to provide a debrief, seek validation of the preliminary findings of the case study, and provide opportunity to undertake a large-scale M&E framework testing exercise with national experts. The workshop lasted for 2 hours and 21 individuals attended.
- e) Initial analysis. Preliminary analysis of primary data sources commenced whilst in the field. For qualitative data sources the initial analysis entailed coding/collation of interview

<sup>3</sup> The six principles were identified from a global literature review conducted prior to the pilot. The principles are flexibility and adaptability, comprehensive planning, ownership, attention to functional capacity, integration of actors and scales and contribution to disaster resilience. Please see the Inception Report for detailed explanations of each principle.



transcripts. The coding scheme has a shared core component to facilitate comparative analysis

- f) **Integrated analysis.** Data from across data sources has been compiled for each selected activity and for the Ethiopian context as a whole to provide a narrative analysis. Triangulation of data sources has been employed wherever possible to maximise robustness of the analytical points drawn; and where interpretations of evidence are more speculative this is clearly indicated.

### 2.1.3 Coverage

In total 25 key informants (8 of whom were women) were interviewed during the fieldwork and three group interviews (woreda task force at district level, plus one male and one female group at community level) were conducted. Of the key informant interviews, 15 were interviewed as actors in the two selected CB programmes, with an additional three interviewed as commentators on the programmes. Seven interviews were to provide contextual background. Therefore 60% of key informant interviews were undertaken with actors directly engaged in the DRM capacity building activity, including those engaged primarily as programme implementers and those engaged primarily as programme beneficiaries.<sup>4</sup> The remaining key informants provided contextual information or commentary on the selected programmes. There were 21 attendees at the workshop, only 2 of whom had previously been interviewed.

The Research Team adhered strictly to our ethical guidelines whilst in country, which included gaining verbal consent from all participants in the research prior to interviews. The research was conducted on the basis of anonymity, and therefore in this report we do not disclose the identity of those making statements that are reported.

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<sup>4</sup> This is in line with our aims as stated in the Inception report for the majority of interviews, approximately 60%, to be undertaken with actors in the CB programmes, with the remaining 40% of informants being commentators or individuals able to provide broader contextual information.

### 3 Proposed revisions to the methodology and tools

The Ethiopia pilot offered an excellent opportunity to test the draft research tools and overall methodological approach. In general the case study approach worked well, and enabled the team to extract relevant evidence. The differentiated interview schedules were very useful and the principles exercise produced some interesting findings. However, the testing of the M&E framework demonstrated a need for a change in approach. Following the Research Team debrief and retreat after the pilot, we have identified the following ways in which we believe we can refine and improve the case study approach further:

**Selection of CB programmes for in-depth analysis:** In the Inception Report we proposed selecting 1-3 programmes per country for in-depth study. It became clear during the pilot that, for the research to work well, a considerable amount of time and effort on behalf of the selected programme is required, all of which has to be freely given. To minimise risks, we propose initially selecting 3 programmes in each case study country, with the aim of studying two and having one as a back-up if necessary.

**Initial workshop:** Although time constraints prevented us from holding an initial workshop in Ethiopia, we can anticipate the importance of this step in the research process for providing early validation of findings from the preliminary desk study, confirming the appropriateness of the selection of programmes for in-depth study, finalising the list of interviewees and providing broad, contextual information and opinion. We also noticed that in the Ethiopia pilot we spent considerable time getting interviews with different Red Cross / Red Crescent informants, including Ethiopian Red Cross, IFRC and Swedish Red Cross. In the future case studies we intend to invite all Red Cross informants to the initial workshop, along with the DFID contacts. We believe this will save us time during the fieldwork and should help to ensure early support from these agencies.

**Key informant interviews:** During the pilot we felt that too much interview time was spent collecting background information and conducting general context interviews. Ultimately this information can largely be gleaned from the preliminary desk review, and does not need to be repeatedly collected from key informants. We therefore intend to ensure that the contextual interviews focus more on lessons learned rather than background information. We will aim to focus the interviews with actors more narrowly on a specific selection of research questions relevant to the interviewee (shaping the question schedules as the fieldwork evolves), rather than repeating the same question schedule with multiple informants and duplicating the information collected. For analytical questions it will still be important to collect a range of perspectives.

**Financial analysis:** We were able to collect some budget information from the selected CB programmes but are aware that this is sensitive information. In Pakistan (the first full case study) in addition to budget figures we will request information on staffing numbers for different CB activities. This information may well be less sensitive and therefore easier for us to access, and it may be easier to compare across countries e.g. percentage of staff working on M&E as opposed to financial data which will be presented in different currencies.

**Refining the M&E Framework:** The research team also used the opportunity of the pilot case study in Ethiopia to test the draft M&E framework proposed in the inception report. Our main findings are that:

- It was difficult to identify a comprehensive list of output indicators which adequately described the wide variety of projects covered;
- It was even more difficult to test these within the time constraints of a national workshop which allowed 45 minutes for discussing M&E;

- Understanding of M&E was very limited both at national and local levels.

In response to these findings, the research team decided that the M&E framework should be significantly simplified and focus primarily on indicators at the outcome level. Output indicators are usually very project-specific and are difficult to compare and aggregate, and especially to define without having the particular project in mind. There is a good precedent for this. The Pilot Program for Climate Resilience of the Climate Investment Fund<sup>5</sup> (PPCR) found that they had to develop a simplified results reporting framework as their pilot countries did not have the capacity to establish a complex M&E framework common for all projects. Their challenge was similar to ours, as their aim was to find a common reporting framework to projects that had a similar goal (to integrate climate risk and resilience into core development planning and implementation), but without knowing the specific characteristics of the particular projects that would be implemented in more than fifteen different countries. PPCR decided on five core indicators to measure progress in outcomes of their two major objectives. The research team proposes to revise the M&E framework to take a similar approach, based on identification of three major outcomes as follows:

1. Enhanced ability to use knowledge, innovation, education, communication and technology for DRM
2. Institutional basis for implementation strengthened
3. Enabling mechanisms (political support, incentives) strengthened

These major outcomes are equivalent to the “outcome from conceptual framework of change” column included in the draft M&E framework.

Each of these outcomes can be measured by a small number of core indicators:

### **1. Enhanced ability to use knowledge, innovation, education, communication and technology for DRM**

1.1 CB has built the skills and knowledge of individuals and communities who are at direct or potential risk of disaster

1.2 Skills have been built of individuals in key positions for policy making and/ or decision making in DRM at national, district and/or community level

### **2. Institutional basis for implementation strengthened**

2.1 CB intervention has led to improvement of DRM policies, strategies and procedures

2.2 CB intervention has included a wide range of stakeholders including women and vulnerable groups in developing new planning and operational processes

### **3. Enabling mechanisms (political support, incentives) strengthened**

3.1 Awareness and support has been raised at national, district and/or community level of the importance and options for DRM

3.2 CB intervention has helped to generate incentives for effective integration of DRM into planning and decision-making processes

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<sup>5</sup>[https://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/Revised\\_PPCR\\_Results\\_Framework.pdf](https://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/Revised_PPCR_Results_Framework.pdf)

These indicators are equivalent to the indicators included in the draft M&E framework as “suggested outcome for Log frame”, though slightly reduced in number. They are deliberately very broadly defined to cover the wide variety of potential CB interventions which can cover building capacity to address current risk or future risk, the emergency, prevention or mitigation or recovery and resilience stages of the DRM cycle, and also differing levels of intervention, whether national, subnational or community.

Any CB intervention should show potential for contributing to at least one of these outcomes, as measured by the core indicators. These should appear in a project log frame or theory of change where appropriate. However the precise contribution and the appropriate way to measure it will vary according to the intervention.

We propose that we will develop guidance notes of 1-2 pages to cover each core indicator. These will include the rationale for including the core indicator, a technical definition, a methodology for data collection and possible data sources. Emphasis will be put on ensuring, where appropriate, that indicators can be disaggregated by gender and by vulnerable groups. This will enable those responsible for M&E in a project to develop their own methods for collecting data appropriate for both project management and for reporting on progress towards objectives.

The research team will use this simplified framework in the remaining case studies to test both the functionality of the core indicators and of draft guidance notes prepared in advance. These will be the subject of 1.5 hour sessions in the national workshops, and may also, if it seems appropriate to the audience, be the subject of general discussion at local level. We propose that the M&E session in each of the national workshops will address only one set of outcomes. Participants will be encouraged to work in groups to discuss how they would measure one core indicator, and whether the guidance notes are sufficiently comprehensive. There are six remaining case studies which will give the opportunity of discussing each outcome at least twice. The guidance notes will be refined according to feedback received.

## 4 Background to the pilot case study

Ethiopia is one of the most vulnerable countries to the impacts of climate change. There are two main reasons for Ethiopia's vulnerability. First, its geographical location and topography is highly prone to climate related disasters. Second, most of the population is highly dependent on crop farming (vulnerable to climate and weather variability). Approximately 90 percent of the population lives in the highlands (above 1,500m above sea level), while the lowlands are dominated by groups of mobile pastoralists (Ethiopia Synthesis Report, ACCRA, n.d).

The majority of Ethiopia's population is mainly rural (83 percent) and depends on agricultural income. The dominant structure of the agricultural sector in the highlands is household-based, small-scale and subsistence-oriented. 95 percent of Ethiopia's agricultural output and 95 percent of the total area under crops is from small-scale subsistence farming (about 8 million peasant households). Chronic food insecurity affects 10 percent of the population (Ethiopia's Climate Resilient Green Strategy, 2011).

The country has a long history of being prone to extreme weather variability, often suffering floods and droughts. Rainfall is characterised by its high intensity and degree of variability in both when and where it falls. Since the early 1980s, Ethiopia has experienced seven major droughts – five of which have led to severe food insecurity – and several other local droughts (World Bank, 2010).

In addition to affecting the poor, disasters also threaten the country's plans for development and economic growth. According to Oxfam (Ethiopia Synthesis Report, ACCRA, n.d), drought alone represented more than £1 billion per year costs to Ethiopia.

Unfortunately, climate change predictions show that temperatures will continue to rise, with a correspondingly likely increase in the areas affected by drought and desertification (Ethiopia Synthesis Report, ACCRA, n.d). According to our interviews, droughts frequency has increased in dry land areas, making it harder for communities to recover between droughts. In addition, there are also shifts in rainfall in highland areas (the short rainy season is shifting, in timing and intensity).

There are a number of positive trends towards the reduction of Ethiopia's vulnerability to disasters and climate change. Emergency management, especially of drought, is widely perceived to have improved in recent years, aided by the development of early warning systems (EWS). The Prime Minister has also played a leading role in supporting the climate change agenda, with the support of development partners. The Government is committed to avoid another famine and avoid reliance on external humanitarian aid. Some of our interviewees suggested that in some cases this barrier to external inputs may hinder the work and capacity of DRM organizations.

The Government is highly committed to development, putting a lot of effort into progressing well in achieving the MDGs. Recent strong economic growth and the government's support to the transition and diversification of the economy away from agriculture could reduce the country's vulnerability. A number of social protection and disaster risk management programmes are underway, including the largest safety net in Africa – the Productive Safety Net Programme (PSNP). More recently, the Climate Resilient Green Economy (CRGE) has been developed, which is Ethiopia's development vision to gain middle-income status by 2025 through climate resilient green growth, climate change adaptation and disaster risk management.

Despite these efforts, Ethiopia is ranked 11th of 233 countries in terms of vulnerability to physical climate impacts, and 9th in terms of overall vulnerability, defined as physical impacts adjusted for coping ability (CGD, 2011). The reasons for this are:

- Ethiopia's economy will remain highly vulnerable to exogenous shocks because it is highly dependent on primary commodities and rain-fed small-scale agriculture. Agriculture represents 43 percent of GDP and 85 percent of employment (ACCRA, ESR) and it is the main source of growth.
- Ethiopia remains vulnerable to chronic food insecurity, which affects approximately 7.5 million people (who are reliant on food transfers from the PSNP). This is because agriculture is primarily rainfed, subsistence-oriented and characterised by low inputs and low outputs. In addition, 72 percent of the population lives in areas subject to land degradation.
- Population growth is 2.5 percent per annum, resulting in a doubling of the population in less than 30 years. This growth is mainly rural.
- The capacity of the government, civil society and the private sector to address the negative impacts of climate change is limited, as are finances to invest in sound development and targeted adaptation interventions, although aid flows have recently started to increase (Ethiopia Synthesis Report, ACCRA, n.d).

## 4.1 DRM governance structure and policies

At present, institutional responsibility for DRR is under the Ministry of Agriculture (MoA), via the Disaster Risk Management and Food Security Sector (DRMFSS). DRMFSS organisational set up is composed of two directorates: the Food Security Coordination Directorate (FSD) and the Early Warning & Response Directorate (EWRD). DRMFSS is mandated to coordinate all DRM activities, including prevention, preparation, response and recovery. Their primary role is national level coordination. They coordinate all DRM interventions at national level – be it by NGOs or otherwise.

DRR is part of major national policies, such as the Growth Transformation Plan and the Climate Resilience Green Economy Strategy, and the Agriculture Policy and Investment Framework.

Within DRMFSS there are a number of DRM technical working groups that have been formed to support and ensure donor harmonization as it relates to the implementation of the DRM programme. Several technical committees and task forces corresponding to key sectors (WASH, Education, Health, Agriculture and Food Management) support activities of the working groups.

Ethiopia's DRM regulatory framework is included in policies. The latest DRM policies are the draft National Policy and Strategy on DRM (NPSDRM), which is still pending ratification, and its accompanying Strategic Programme and Investment Framework (SPIF). The NPSDRM proposes a multi-sectoral and multi-hazard approach. It is possible that the DRMFSS will be transferred out of the MoA to sit directly under the Prime Minister's Office. The SPIF is a tool which has been developed to support DRM and highlights mechanisms for addressing the different DRM phases, from pre to post disaster interventions.

The government is leading a programme to support woreda district planning, seeking to move from a reactive approach towards a development model for DRM. It is built on decentralized and participatory foundations. The woreda disaster risk profiling constitutes the basis of this development. They are a method to build data on hazards, vulnerabilities and capacities that contribute to DRM and DRM contingency plans. To date, this has been completed for about 200 (out of 740) woredas in the country.

Ethiopia has structures for coordination of both government and donor/NGO actors in DRR activities at the federal level, although some stakeholders question the extent to which NGOs are



able to engage in decision-making. A DRM Technical Working Group including NGOs, the UN, donors and the government meets on a regular basis. Coordination at the state level has been less effective but a task force structure is currently being decentralized (IFRC, 2013).

All NGOs working in Ethiopia are heavily affected by the Charities and Societies Law, proclamation No. 621/2009, which prevents foreign charities from taking part in any activities that address (a) advancement of human and democratic rights (b) promotion of nations, nationalities, peoples, gender and religion (c) the promotion of children and the disabled (d) the advancement of conflict resolution or reconciliation, and (e) the promotion of the efficiency of the justice and enforcement activities. Capacity building activities for all sectors, including DRM, are impacted significantly by the 30:70 directive of the charities and societies law which states that for both foreign and Ethiopian charities 70% of finance must be spent on programme costs, with 30% covering all administrative costs, overheads, consultancy, project formulation and monitoring and evaluation. Ethiopian charities are also required to abide by the 10:90 directive which stipulates that they must raise 90% of their funds from local sources.

## **4.2 Recent history of DRM interventions**

There is a wide scope of DRM work done in the country, also labelled as 'resilience'. In addition to the UNDP and ACCRA programmes examined in detailed by our team, one of the main examples is the Productive Safety Net Programme (PSNP).

The PSNP is a programme aiming to provide cash or food to people who have predictable food needs in order to help them improve their own livelihoods and become more resilient to the effects of disaster shocks in the future. In case of a disaster that results in transitory food insecurity, extra funding from the PSNP's contingency budget becomes available, and if these funds are also exhausted, the Risk Financing Mechanism (RFM) is triggered. The RFM allows the PSNP to scale up in times of crisis, and is designed to reduce the timeline for humanitarian response, so that households receive assistance before a crisis is experienced. However, the RFM can only be used in existing PSNP woredas.

Examples of other initiatives that have relative strong DRR/resilient components are:

- Peace & Development Programme in Somali region;
- Pastoral Area Development Programmes (PRIME);
- Regional Pastoral Livelihood and Resilience (RPLRP);
- Market Led Livelihood Recovery & Enhancement Programme (MRLEP);
- IGAD Drought & Disaster Resilience Initiative (IDDRSI)

## 5 Description of selected CB DRM programmes

As mentioned above, two CB programmes were selected for in-depth study during the fieldwork. Background information on each programme is presented below.

### 5.1 UNDP's Disaster Risk Reduction and Livelihoods Recovery Programme

Table 1: UNDP DRR/LR at a glance

Research question	Overview at a glance
Which actors are involved in the CB activity?	Programme is mainly supported and funded by UNDP and implemented by the Ministry of Agriculture.
What is the funding level and duration?	USD 13 million over 3.5 years
What is the scope of the activities?	Activities cover all administrative levels and types of CB including education and training of individuals, development of organisational policies and procedures and the establishment of national DRM policy infrastructure and national centres for DRM activity.
What is the geographical focus?	National level for policy and institutional capacity building, with initiatives in 6 regions across Ethiopia encompassing 50 woredas and 200 villages.

The first programme selected as a case study is UNDP's Disaster Risk Reduction and Livelihoods Recovery programme (DRR/LR). This is a national programme which has CB across all levels as a central aim: DRR/LR *"aims to support the government in its efforts to systematically reduce disaster risks and impacts of disasters and to improve food security by developing capacity of national, regional and district level institutions as well as communities"* (UNDP, Fast Facts Ethiopia, n.d).

The programme is very varied and incorporates activities across all levels (national through to community) and includes individual, organisational and institutional CB activities. These activities are detailed below but include training, coordination, planning, policy formulation and the provision of equipment. The programme takes an integrated approach to DRR, with different activities relating to preparedness, prevention and recovery. There is a particular emphasis on feeding experiences and learning from the community level up to the policy level and on actively using South-South cooperation.

#### 5.1.1 Programme actors

The programme is funded and managed by UNDP but is implemented through the Ministry of Agriculture, the Regional Disaster Prevention and Preparedness Bureaus (DPPB), and Regional Bureaus of Finance and Economic Development. Within the MoA the DRM and Food Security Sector (DRMFSS) are the main implementers with UNDP providing resources, TA and secondments. It should be noted that UNDP is one of several donor programmes feeding into components of DRM in Ethiopia.



Given the strength of government leadership in Ethiopia, the UN approach is strictly that DRM is the responsibility of member states while the UN assists and supports government efforts. UNDP holds consultations with relevant government agencies prior to the implementation of any interventions. In some regions where capacity is severely limited, implementation is outsourced, for example ZOA has been contracted by Somali region to assist with implementation.

### 5.1.2 Funding and timescales

The DRR/LR programme started as a pilot project in 2010 in the Borena zone of Oromia. The full project is scheduled to cover a three and a half year period, from January 2012 to June 2015 with a budget is USD 13 million – the table below shows the anticipated breakdown of donor contributions:

**Table 2: DRR/LR funding**

Contributor	Budgeted amount USD
African Union	1 million
CERF (in partnership with FAO and IOM)	0.8 million
Greece	0.3 million
Japan	6 million
SDC	0.5 million
UNDP	2.4 million
Unfunded	2 million

Project staff estimate that approximately 30% of the programme budget is spent directly on capacity building. This is made up of approximately 10% for building national and regional institutional capacity (including the ACDRM and sponsoring degrees for national stakeholders) with the remaining 20% being spent on community level CB. The remaining 70% includes some CB related expenditure, for example staff costs, including secondments.

### 5.1.3 Geographical coverage

The programme aims to have an impact on the whole of Ethiopia. Many of the programme's activities relate to national level capacity building and for these components activities are focused on Addis Ababa. For the activities related to sub-national capacity building, these are focused on the following regions which are spread across Ethiopia: federal level, Oromia, Gambella, Afar, Somali and SNNP. The geographical spread of the programme is large, reaching from the Western most region of Ethiopia across to the Eastern most region. Fifty districts (woredas) and 200 villages (kebeles) are involved in the programme. They were selected because they represent 70-80% of the drought prone pastoralist areas of the country that were most affected by the 2011/12 drought.

### 5.1.4 CB activities

DRR/LR works across all DRM levels, from national through to community level DRM CB, with very different activities and foci taken at each level.

#### National / institutional level

At a national level the programme is focused on supporting the government in establishing

the national DRM architecture, including the development of institutions and policies and strategies. In particular, the programme played a major role in drafting the national Strategic Programme and Investment Framework (DRM-SPIF) which is viewed as a foundational building block for a comprehensive and integrated disaster risk management system in Ethiopia. In terms of building capacity via the creation of relevant, effective organisations, DRR/LR supported the establishment of the National Emergency Coordination Centre to centralise weather and climate information systems, to enhance dissemination of EW information and to prepare for coordinated responses. Also, the programme supported the launch of the African Centre for Disaster Risk Management (ACDRM – see detailed section below) which aims to foster knowledge transfer and research on DRM. The intention is for the Centre to become a regional hub for DRM knowledge and expertise in Africa.

The programme also seeks to improve the quality of DRM activity, for example by developing a DRM mainstreaming guide and working to establish the Technical Working Group on DRM. In particular DRR/LR has promoted the professionalization of DRM through access to relevant post-graduate education. To date five senior experts have been sponsored to study Masters' degrees at Bahir Dar University with more currently undertaking study, and three senior officials have been sponsored to undertake PhD's abroad.

At a national level DRR/LR has also provided short term training to senior government officials, and provided equipment and physical infrastructure including computers, laptops and printers at EWRD's request. Part of the programme has also involved the secondment of a senior UNDP staff member to EWRD / DRMFSS. This individual splits his time between UNDP offices and DRMFSS offices.

### **Regional and district level**

DRR/LR has also worked at a federal level to support policy formulation, preparation of guidelines and directives and the preparation of Standard Operating Policies. Most of the CB activity at this level relates to providing training for line ministries and DRM workers. A particular area of focus has been early warning: the programme has sought to strengthen EW committees at district level, provide technical assistance on EW from the district up to the federal level and provide training on EW data collection, analysis and utilisation. The programme has also supported the coordination offices of the Ministry of Agriculture in Somali and Afar regions in developing integrated water resources.

### **Community level**

DRR/LR has worked at a community level in Somali, Afar, Gambella and Oromia regions through all aspects of the DRM cycle, supporting community emergency response, community based DRM planning and identification of priorities and cash for work to rebuild livelihoods. The programme targets vulnerable pastoralists and agro-pastoralists, particularly women. Examples of particular initiatives include:

- Supporting the woreda risk profiling initiative
- Developing community based river level measuring and flood early warning systems to help reduce flood risks
- Agricultural support, for example introducing improved rangeland practices and increasing feed availability, distributing drought resistant crop seeds and livestock vaccination.

- Aiming to diversify livelihoods through cash-for-work schemes and direct cash transfers for restocking livestock
- Re-developing old traditional wells in Somali and Oromia districts.

### 5.1.5 The African Centre for DRM

DRR/LR's support to establish the ACDRM is a particularly prominent initiative to build DRM capacity, not just in Ethiopia but regionally. The centre is the first of its kind in Africa and is modelled closely on the Asian Disaster Preparedness Centre (ADPC) in Thailand. The centre is based in Addis Ababa University within the Natural Sciences College, so that the university can provide technical inputs, but is a fully independent entity. The Centre was officially launched in April 2013. Previously staff from DRMFSS who required training were sent on short-term visits to the ADPC in Thailand. DRMFSS subsequently requested financial support from UNDP to establish a similar DRM centre in Ethiopia.

Interviewees cited the main objectives of the Centre as being to:

- Produce knowledge based information;
- Conduct short-term training and human resource development;
- Support the concerned government body in designing guidance and regulations;
- Develop manuals and guidelines
- Conduct research and disseminate the results;
- Establish a data centre;
- Undertake advocacy to influence policy makers;
- Formalize the previous ad-hoc institutional efforts for DRM (since 1970s);
- Give similar support to other African (particularly to IGAD member) countries.

The centre is now equipped, staffed and there is a workplan in place. Activities are varied but generally relate to DRM education of different kinds:

- **Training** has been provided to high level decision makers from national government and IGAD.
- **Workshops** have been completed, for example an advocacy workshop for Parliamentarians (Standing Committee Members) and an awareness raising workshop for journalists.
- **Community based DRM training** focusing on training of trainers.
- **Initial work with schools** in Benashangul Gumuz regional state which should eventually be piloted in three additional states and rolled out to all the highland regional states. This involves, for example, training teachers as ToTs on Disaster Risk Assessment so that they can train woreda officials, preparing contingency plans, awareness creation in schools, and collecting data on vulnerability and existing local capacities.

UNDP provides a large amount of financing as part of the DRR/LR programme, channelled through DRMFSS. This budget is allocated to training and purchasing hardware such as office furniture and equipment. The budget for FY 2013/14 was USD 75,000 and this was not fully used. Cordaid also provide finance for community based DRM training of trainers via the Centre and UNICEF have contributed to the work with schools. ACCDRM expects to receive core funding support for the first five years, and subsequently be self-financing.

## 5.2 Africa Climate Change Resilience Alliance (ACCRA)

**Table 3: ACCRA at a glance**

Research question	Overview at a glance
Which actors are involved in the CB activity?	Programme is coordinated by Oxfam, mainly funded by DFID and implemented together with the Ministry of Agriculture and the Ministry of Environment and Forest.
What is the funding level and duration?	The second phase of the programme is £495,000 and Euro 25,000 from Nov 2011 till March 2014.
What is the scope of the activities?	Activities cover research, CB and policy dialogue. CB activities focus on three operational areas: (i) working with DRMFSS to design a participatory disaster risk management planning process; (ii) operationalising the CRGE process through the Strategic Climate Institutions Programme (SCIP); and (iii) mainstreaming DRM and CCRA through an innovative capacity building approach.
What is the geographical focus?	Works at the national, regional, woreda (district) levels and with communities through its consortium members. Phase 1 work was conducted in one district each in Afar, Oromia and Amhara.

The Africa Climate Change Resilience Alliance (ACCRA) is a research programme that was established in 2009 with the aim of understanding how development interventions can contribute to adaptive capacity at the community level, and to inform the design and implementation of development planning by governments and non-governmental development partners to support adaptive capacity for climate change and other development pressures.

ACCRA has four key objectives:

1. To understand how existing social protection, livelihoods and disaster risk reduction projects by ACCRA members build local adaptive capacity to climate change, and how these approaches can be strengthened.
2. To use the findings to influence donors, development partners and civil society to improve future planning and action.
3. To work together with local and national governments to build capacity to implement interventions that can build communities' adaptive capacity.
4. To encourage learning across countries and disciplines.

The programme is conducted in three countries: Ethiopia, Uganda and Mozambique. In each country, two or three research sites were identified where one of the consortium members was implementing development interventions.

Since its inception, ACCRA has evolved considerably in order to prioritize their work by focusing on the need or long-term flexibility and on the capacity to adapt. ACCRA investigates the characteristics that contribute to the adaptive capacity of a system in a particular context, summarized in the Local Adaptive Capacity (LAC) framework. According to the LAC framework, the capacity to adapt will be roughly similar among different communities, and separated into five characteristics: the asset base; institutions and entitlements; knowledge and information; innovation; and flexible, forward-looking decision-making.<sup>6</sup>

ACCRA has two phases of operation; the first phase focused mainly on research and capacity building for contingency planning and the second phase, currently underway, involves work on flexible decision-making capacity.

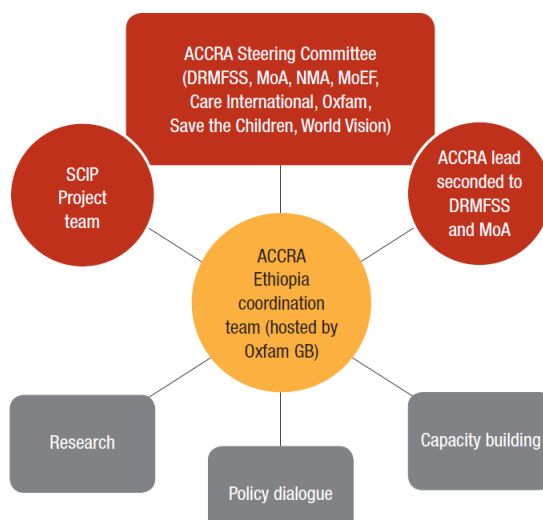
### 5.2.1 Programme actors

ACCRA in Ethiopia is an alliance of five development partners: Oxfam GB, Overseas Development Institute (ODI), Care International, Save the Children and World Vision. The alliance works with key government actors including the Disaster Risk Management and Food Security Sector (DRMFSS), the Ministry of Agriculture (MoA), the National Meteorological Agency (NMA), and the Ministry of Environment and Forest (MoEF).

Oxfam hosts ACCRA's coordination team in Ethiopia. ACCRA's Steering Committee includes members of the four NGOs working in the programme (Oxfam, Care International, Save the Children, and World Vision) and of the government (DRMFSS, MoA, NMA, and MoEF). The Steering Committee holds monthly meetings. See Figure 1 that shows ACCRA's structure in Ethiopia. In practice, ACCRA works in close coordination with the government. ACCRA's National Coordinator is seconded to the Ministry of Agriculture (to both CRGE and DRMFSS) in order to facilitate this process.

**Figure 1: ACCRA's structure (taken from ACCRA, 2014)**

Figure 1: ACCRA's structure in Ethiopia



<sup>6</sup> For more information on the LAC framework and its characteristics, see Jones et al. (2010) or access the consultation document on the ACCRA website: <http://community.eldis.org/accra/>

## 5.2.2 Funding and timescales

ACCRA's main funding comes from DFID and Climate and Development Knowledge Network (CDKN) global grants. In addition, it receives funding from DFID via the Strategic Climate Institutions Programme (SCIP) and the German Embassy Climate Fund in Ethiopia. ACCRA has 3 strategies: capacity-building, policy dialogue and research. The research component (led by ODI) has a specific budget. Oxfam holds the budget for the remainder of Ethiopia programme.

ACCRA's funding for its second phase is the following:

- DFID International: £345,000 for Phase 2 Nov 2011 - March 2014
- DFID Ethiopia, through the Strategic Climate Institutions Programme (SCIP) fund: £150,000 from Nov 2012 – Feb 2014
- German Embassy Climate Funds grant: Euro 25,000 from April 2013 – Nov 2013

According to our interviews, capacity building represents roughly 80% of DFID money and 100% of SCIP. There is minimal budget going into the policy dialogue component.

**Box 1. Example of activities supported by ACCRA at the community level**

ACCRA supported a Community Based DRR and CCA exercise in two communities in Gemechis, Walenso Harabefeno kebele and Kase-Hija kebele. Both kebeles are drought-prone and also experience other hazards such as flash floods and gullying. The communities worked with ACCRA/woreda staff to conduct a disaster trend analysis that consisted of (i) a hazard characterization, and (ii) a strategy selection. Based on this assessment, the communities and staff prioritized a number of activities that were implemented in order to reduce their vulnerability to disasters. The table below summarizes the costs of these implementation activities for both communities and the sources of funding. The activities written in black text represent funding oriented toward training and skills development, representing around 10% or of the total ACCRA budget of 400,360 birr. Arguably the crop/seedling demonstration budget can also be considered as CB, in which case the budget proportion oriented to CB rises to 43%.

Summary of costs for implementation activities in two communities in Gemechis:

DRR activity	Government contribution (Woreda / Agricultural Office)	ACCRA contribution	Other (* for GTZ / ** for PSNP)	Total
Nursery establishment	39700	35300		75000
Gully rehabilitation materials	6250	12500	32500*	51250
Seeds provision	2000	64700		66700
<i>Establishment and strengthening of forest conservation and protection (via participation of community members)</i>		5800 (training) + 9500 (field work)		15300
<i>Experience sharing on natural resource management with livelihood diversification (visits to other areas)</i>		17970		17970
<i>Training on nursery management and soil water conservation sensitization</i>		7080		7080
Demonstration of early maturing and drought resistant crops/seedlings		131760		131760
Construction of flood diversion and siltation control structure		65750	12640**	78390
Monitoring and meeting coordination		50000		50000



### 5.2.3 Geographical coverage

In Ethiopia, ACCRA works at the national, regional, Woreda (district) levels and is working with communities through its consortium members. Phase 1 research and/or intervention was conducted in Chifra district, in Zone 1 of the Afar National Regional State; Gemechis district, in the West Hararghe Zone in Oromia Regional State; and in Dabat district, in the North Gonder Zone, Amhara Regional State.

### 5.2.4 CB activities

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*ACCRA's ultimate objective is to support capacity building for DRM. As confirmed by one of our interviewees in Oxfam, its three components ultimately lead to capacity building. ACCRA uses demand-driven capacity building through training and on-going support to change the way people think about CCA and DRR. In this way, it aims improve national ownership. The programme has produced nationally-relevant, evidence-based research and rolled out co-produced, capacity building in partnership with the Ethiopian government. ACCRA provides support to DRM planning, contingency planning support, workshops, training, and seconding staff from the programme into the government.*

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During the current second phase, ACCRA's programme in Ethiopia has two main objectives:

- The government to support the increase in adaptive capacity of citizens by integrating climate change adaptation into decision-making at all levels, and effectively implementing good decisions.
- Civil society to support the increase in adaptive capacity of vulnerable people by improving their programmes, policies and processes.

In order to meet these objectives, ACCRA has three nationally-led, designed and delivered operational components: research, capacity building, and policy support.

**Research:** The research component is led by ODI in partnership with the Red Cross Climate Centre. It focuses on flexible and forward looking decision making (FFDM) aspect of the Local Adaptive Capacity (LAC) Framework. Among other activities, the programme ran a workshop in Addis to train facilitators in FFDM (February 2013); held workshops in Gemechis on CCA and FFDM and the use of new action research tools in Oromiya (Feb 2013).

**Capacity building:** The capacity building component is led by Oxfam, who is simultaneously working in three operational areas that aim to influence change at the local, regional and national levels:

#### 1. Working with DRMFSS to design a participatory disaster risk management planning process

ACCRA is working in partnership with DRMFSS in the participatory design of a national disaster planning process that takes into account climate change and other future trends in DRR planning. This process has been combined with the Local Adaptive Capacity Framework into woreda level DRR planning. Specific activities undertaken include: the development of DRR guidelines, Training of Trainers to train woreda level decision makers (which has been implemented in Gemechis), and support to woredas to develop their Woreda DRR and Contingency Plan.



## 2. Operationalising the CRGE process through the Strategic Climate Institutions Programme (SCIP)

The Climate Resilient Green Economy (CRGE) is Ethiopia's development vision to gain middle-income status by 2025 through climate resilient green growth, climate change adaptation and disaster risk management. ACCRA is working with MoEF to support the capacity of woredas and regions to put CRGE into practice, through the design of woreda level CRGE investment plans. The accompanying investment planning manual is being piloted to test the approach. With this approach, ACCRA intends to bring inputs from the local level into regional and national level planning and implementation of CRGE.

## 3. Mainstreaming DRM and CCRA through an innovative capacity building approach

ACCRA is engaging key government and civil society actors to see benefits of linking DRM and CCA. The programme uses a gradual training approach, in which over six months stakeholders are being trained and coached on how to mainstream CCA and DRM into processes, policy, programmes and practice.

In parallel, ACCRA funds other activities such as:

- Training for consortium staff – with Save the Children, Oxfam, and Care
- 3 phase training programme for 10 key organisations (within the government and CSOs)
- Support the Ministry of WCYA in facilitating training for experts and higher officials on gender and climate change mainstreaming
- Documenting case studies on best practices in CCA and DRM
- Funding government officials to attend international conferences / training

Via SCIP, ACCRA funds the following activities:

- Production of CRGE training materials and reference manual for CRGE planning and implementation with a gender mainstreaming guideline
- Capacity building trainings at regional and selected woredas levels on pro-poor and participatory CRGE planning using Woreda profile and other information
- Facilitation/support and validation of the development of woreda investment plans
- Documenting case studies of the project
- Learning workshop with federal, regional and Woreda officials on the lessons learned from the intervention

**Policy dialogue:** ACCRA is involved in several initiatives that support policy dialogue:

- It is part of the DRM SPIF Steering Committee and the Climate Resilience Strategy MoA Sub-technical Committee
- It supports the MoA CRGE Livestock Investment Plan, CRGE and DRM linkages, and the PSNP Climate Smart Initiative

- It conducts CCA and DRM campaigns in urban centres using major public events
- ACCRA's National Coordinator is seconded to NRM Directorate and DRMFSS

## 6 Analysis of the UNDP and ACCRA programmes

In this section, we draw out specific aspects of the two DRM programmes that relate to the six principles of capacity building set out in the inception report.

### 6.1 Approaches to the capacity building process

#### 6.1.1 Flexibility and adaptability

**Definition:** *The need to approach capacity building interventions flexibly, ensuring that the design of the programme can be adapted to the context in which it is applied rather than applied as an externally-imposed 'blueprint'. It includes working with and reinforcing existing skills, strategies, systems and capacities. It also includes understanding and accounting for the political and power dimensions that can undermine capacity building.*

**Research question:** *How has the programme approached capacity development in a flexible manner, adapting the approach to context?*

#### UNDP

- The CB provided by the UNDP programme is tailored to (and thereby difficult to consider separately from) the government actions and institutions on DRM that it is intended to support (e.g. work of the DRMFSS, SPIF and Technical Working Group). Its design is therefore inherently adapted to context, if considered in terms of governmental priorities.
- According to one UNDP interviewee, there is flexibility in the approach in that there is continual cross-checking of progress to see how policy plays out on the ground: “we want to ensure that there aren’t inconsistencies between national level policy and what is possible or desirable on the ground”. There are therefore feedback loops during implementation and activities can potentially be re-planned.
- The choice of areas on which to concentrate CB at subnational scale was strongly shaped by recent patterns of drought impact – specifically those regions worst affected by the 2011-2012 drought.
- Local assessment mechanisms were built into the UNDP programme, with detailed assessments taking place over a 3-month period in 2010/11 that identified needs relating to early warning and protection of livelihoods. These were described as focussing on priority hazards and locally available resources (including human resources), and involved community-level consultations. Findings were discussed with stakeholders through a nested set of workshops with ministries (MoF, MoA) at federal, regional and zonal levels, followed by discussions with woreda authorities and return visits to the communities for verification.
- UNDP support worked fully within the existing governmental system – following UNDP standard practice, the aim of TA is to support the government’s efforts in DRM. The programme therefore set out to build capacity of local and national government, providing for example field coordinators, technical staff to assist at zonal level and seconded staff at national level. UNDP interviewees indicated that because their strengths lie in working with government, engagement at community level was more of a challenge.

#### ACCRA

- ACCRA in Ethiopia is also closely aligned with government actions and institutions, including its direct linkages with the DRMFS and the MoEF. ACCRA works with existing national and local structures and aims at supporting woreda/kebele level authorities in the preparation of DRM strategy and contingency planning.
- One of ACCRA's established modes of operation is to design flexible tools for working at a local level. A cited example of this is the DRM game, which is intended to encourage flexible approach to DRM planning in the face of changing risks.
- The participating organizations in ACCRA agreed to lead on work in the geographical areas where they already have projects (according to one interviewee the NGO presence is a key enabler for CB in some pastoralist areas of the country where government structures are not elaborate enough to support the communities).
- Choice of local field sites for ACCRA activity involved consultations with local authorities, followed by consultative assessment of needs. In Gemechis, for example, CARE discussed with the woreda which kebeles to work with in the pilot. The Woreda agricultural office experts and kebele development agents (DAs) then called for a general meeting of the community and consulted them to identify and prioritize hazards, capacity gaps and needs. The expressed needs were then reassessed and reshaped by the woreda experts into a DRM plan format with listed activities to be addressed in large part by the communities themselves.
- A representative of one of the ACCRA partners suggested that there is great difference in local implementation capacity between the regions, and that in some regions working with existing governmental structures presents operational difficulties, *even when the desired aim is CB*. In some cases: there is low commitment (for example, unwillingness to attend meetings), weak accountability and lack of control by line managers; there is no appropriate focal person available at woreda level and weak staff capacity; there can also be a policy of rotating staff which means that the project ends up with someone with very little relevant expertise, interest or knowledge; and there is no regular evaluation of what is actually being delivered on the ground. The end result in some cases has been low commitment to ACCRA work.
- Integration with other existing activities on the ground can be an operational benefit. For example, ACCRA's funding constraints mean that it is useful on the ground to integrate with complementary activities with similar goals. In Gemechis, the programme linked its activities to the PSNP and SUN (a project on sustainable utilisation of resources for food security funded by KfW).

### 6.1.2 Attention to planning

**Definition:** *The need to carefully design interventions so that they are appropriate, responsive and sustainable. It includes planning on the basis of existing capacity and capacity gaps, and appropriate scheduling of interventions so that pressure to show visible results does not undermine capacity development. Also critical is planning for the long-term sustainability of capacity gains after the withdrawal of interventions.*

**Research question:** *What has been the approach to full programme planning?*

## UNDP

- The UNDP programme's remit of working with and for the existing structures is seen as a key asset for ensuring sustainability. However, the continuity of capacity gains cannot be assumed. According to one interviewee, sustainability for a new initiative like the ACDRM requires at least five years of core funding support for it to become established and self-financing.
- UNDP staff identified staff turnover as a key problem. In order to help ameliorate this problem a number of provisions were put in place (see Box 2).
- The programme does not have a standardized M&E approach at national level. However, staff from headquarters provide backstopping in M&E for subnational levels and an M&E tool has been developed for woreda level. At the woreda and kebele level the task forces are responsible for monitoring the actual implementation on the ground. They are tasked to conduct a baseline survey using sex-disaggregated data.

### **Box 2: Curbing the impacts of staff turnover**

Interviewees at all scales and across types of organisation (government, donor, academic and NGO) identified high staff turnover as a key barrier to effective DRM CB. UNDP have taken a number of steps in their programme to try to reduce and mitigate the effects of staff turnover. For example, to help retain staff they have introduced a number of rewards for good performance to act as incentives to stay in post. These include the provision of training (both internal and externally provided), salary enhancements and longer term contracts (contracts typically start at 3 months and can go up to 1 year).

However, UNDP recognises that some turnover is inevitable and so their Task Forces, which constitute members from relevant sectors (from federal to woreda level) and are tasked with implementing the programme, are deliberately large. Each Task Force comprises 7-10 members to improve the chances of retaining institutional memory in the context of expected high staff turnover.

### **ACCRA**

- In addition to actively working with governmental structures, ACCRA promotes sustainability through encouraging other relevant organisations to engage in decision-making workshops in the process of DRM strategy and contingency planning.
- In interviews with Gemechis woreda, it was suggested that ACCRA activities are sustainable because there is high ownership by local government. The woreda administration signed an MoU with ACCRA that commits them to take over and continue implementation of ACCRA activities even after the phasing out of the project. It was stated that the activities initially planned by ACCRA will be updated every year to ensure that they remain appropriate and realistic, and included in the woreda plans. It was also reiterated by a zonal level ACCRA representative that the DAs of each kebele have been participating in trainings, workshops and meetings conducted on the project, so that they already have knowledge about the interventions to continue the work.
- Several interviewees at zonal, district and community levels argued that capacity gains at grassroots level stood a strong chance of being sustained because of raised awareness of disaster risk and climate change within the communities, coupled with improved understanding of how to mitigate risks made concrete by practical demonstration and people's own application of DRR measures such as tree-planting and terracing. Some local men in a group interview said that without external support they would not be able to sustain such activities. However, one possible mechanism for continuing community-level activity is

via the “Development Army” – the Ethiopian government has organized community members groups of five people, supervised by one of their number, for mobilization on communal activities.

- However, long-term support is likely to be required if capacity gains from ACCRA are to be extended more widely. ACCRA is currently focusing on development of viable exit strategies for the next two years and would like to be as strategic as possible in its handover to other DRM actors.
- The M&E framework for ACCRA has a theory of change, log-frame, action sheet for following up activities and a bi-weekly learning log (a narrative update of activities intended as a lesson-drawing mechanism). One senior staff has received M&E training support from the SCIP, and another staff member works full time on M&E. Monitoring data comes from government partners and from field visits - but this mechanism is problematic because of low commitment levels to M&E at local level (see Box 3).

### **Box 3: Barriers to M&E**

Despite having M&E staff, mechanisms and tools in place, ACCRA staff encounter serious problems in collecting data. They are dependent on local government officials (as they are the programme implementer) for data and update reports. It can be difficult to regularly make contact with these individuals, as they are typically working in resource constrained environments themselves, and the individuals are unlikely to have received specific training on M&E so may not understand the requests or appreciate their importance. Several interviewees noted that M&E capacity at local levels is very weak, and there can be a perception that M&E is an additional donor requirement, rather than part of their responsibilities or a mechanism for improving programme effectiveness.

### **6.1.3 Ownership/partnership**

**Definition:** *The need to ensure that those targeted for capacity development have a clear stake in the initiative and its design and implementation, again to help ensure it is appropriate, effective and sustainable. Ownership is likely to rest on active participation, clear statements of responsibilities, engagement of leaders, and alignment with existing DRM/DRR strategies.*

**Research question:** *How has ownership been fostered?*

#### **UNDP**

- The UNDP programme staff underlined that all their activities are undertaken in consultation and agreement with government agencies, including regional and often woreda levels – to generate both ownership and accountability. Government agencies are the implementers while UNDP assists/ supports the government efforts (this standardized model for UNDP intervention is feasible in Ethiopia because of the relatively strong role that government has taken on DRM in the country).

#### **ACCRA**

- ACCRA actors also noted that the operational framework of the programme has fostered government ownership and facilitated work with government agencies. This is because the government is part of the consortium. It is also aided by the secondment of ACCRA staff to government who become actively involved in the government’s work on DRM. DRMFSS signed an MoU with ACCRA which has clarified responsibilities and expectations, and

facilitated joint working. DRMFSS holds a weekly meeting for all staff to discuss progress, and this includes ACCRA staff – this provides a useful forum for discussion and monitoring of progress.

- ACCRA is now trying to bring national NGOs such as PHE (Population, Health & Environment), FfE (Forum for Environment) and SLUF (Sustainable Land Use Forum) into the planning process to make them also beneficiaries of ACCRA's CB intervention.
- At a local level, the work of ACCRA also entails integral involvement of government stakeholders. As components of the woreda planning systems, development of disaster and contingency plans by Agriculture office experts supported through ACCRA has to gain agreement from all sectors to be integrated within the general woreda plan. Planning meetings for ACCRA-related activities are also intended to involve all relevant sectors and kebele representatives.
- Linking training with practical demonstration also provides mechanisms to connect with the direct beneficiaries of DRM programmes. In Gemechis the target communities have been mobilized through ACCRA to contribute to communal activities, but, as a result, some people said they are now planting trees on their own lower land for soil and water conservation.
- From our limited investigations on the ground it does not appear that this sense of ownership at grassroots level is widespread, as yet, although several interviewees were positive about the value of 'demonstration'. It was suggested (at district and zonal level) that in these highland Oromo communities people who act on something – change leaders – are likely to emerge as important catalysts for adoption of new practices.
- Women and men have been engaged in the ACCRA mobilization and training activities at grassroots level. According to a woreda-level interviewee, the participation of women in the communities has been enhanced by undertaking activities in separate female and male groups.
- Two interviewees suggested that ACCRA has generated a culture of independent learning and application of knowledge and skills at woreda and kebele government levels. Different sector offices of the Gemechis Woreda are said to be aligned now around consideration of DRR and climate change adaptation in the Woreda Development planning process. Walessa Kebele officials have benefited from ACCRA activities that have shown them how to assess problems, prioritize responses, write effective plans and defend the plans at woreda level.

## 6.2 Content of capacity building activities

### 6.2.1 Role of functional capacity building

**Definition:** *The need to focus on functional capacity building - i.e. building the managerial and organizational capabilities needed to ensure effective decisions and actions can flow from technical know-how. It includes aspects such as improving coordination and decision-making processes. It also includes fostering an enabling environment, such as developing incentive structures for good performance and to ensure staff retention, as well as promoting the wider political conditions to support DRR as a priority.*

**Research question:** *How is the mix of potential elements for CB targeted?*



## UNDP

- The UNDP programme aims to contribute to CB at three levels – policy development, organizational development and training for individuals. Examples of the first two levels include support for: the formulation of DRM policy through facilitating the consultation process; coordination of DRM governance; establishment of the ACDRM; and strengthening of EWS from federal to kebele levels.
- Training plays a key role in the CB work, and an argument put forward by UNDP staff is that the inter-linkage between these levels is key – via improvements in individuals' capacity to manage disaster risk it is possible to bring about organizational change.
- The establishment of the ACDRM is seen by UNDP as of key importance in that its practical focus on training for planning, especially for lower/middle level staff and community members, is different from the higher academic training remit of other DRM departments in Ethiopian universities.
- ACDRM activities have included a one-day training in climate change and DRM issues for Parliamentary Standing Committee members and another awareness raising workshop for journalists. The former can perhaps be classed as a form of political advocacy, in the sense of awareness creation and raising of policy needs jointly across disaster risk and adaptation.

## ACCRA

- Research, policy advocacy and capacity building are ACCRA's operational components envisaged to bring about change. But in a broader understanding of the concept, policy advocacy can also be included as CB, as can active take-up by actors of the results of research. The focus for ACCRA is on institutionalizing capacity building rather than a more limited provision of resources and equipment.
- Two actors in the ACCRA programme (one central, one partner) noted that policy engagement has been the major success of ACCRA. The programme has played a key role in supporting DRMFS to develop the revised DRM policy, and in developing sectoral tools and guidelines to ensure coordination and guide woredas in the DRM planning process.
- Training remains a key part of this process, especially at subnational and local levels. According to the ACCRA good practice guide (ACCRA, undated), woreda DRR planning is "designed to equip woredas with the skills and knowledge they need to develop these plans by strengthening their existing budget mechanisms and supporting evidence-based and informed forward-looking decision making." Guidelines and materials have been developed for a training of trainers (ToT) approach, with 120 woreda staff trained to act as trainers.
- Local officials working with ACCRA in Gemechis explained how training had strengthened planning capacity at village level in the ability to identify and rank hazards, and prioritise activities to respond to these. Officers including the chair and DAs of the kebeles had ToT training for about 1 week, and were then tasked to train colleagues and community members.
- One of the accomplishments of ACCRA in Gemechis appears to have been raising awareness of long-term disaster risk at woreda and community levels in a relatively short period of time. In part this seems to have been related to a social expectation that the



whole village participate (i.e. is mobilized) to undertake activities such as water and soil conservation (improvements in tree planting and terracing), and it appears that at least some people received some days of cash-for-work, probably via the PSNP. However, a man and a woman from Walessa explained that after group terracing activities they had both dug similarly designed terraces on their own plots to reduce run-off and conserve soil. A similar value of practical demonstration for building the capacity of people to undertake hazard reduction activities and strengthen livelihoods was suggested to apply in Kase-Hija, the other ACCRA kebele in Gemechis.

## 6.2.2 Scales/interactions

**Definition:** *The need to build capacity to coordinate across scales and to work with other stakeholders. Capacity building can act to bridge capacity and communication gaps that commonly exist between national and local levels. Initiatives can focus on building capacity of coalitions of stakeholders, and on building local people's capacity to interact with other stakeholders.*

**Research question:** *How has the programme built capacity across scales and actors?*

### UNDP

- The UNDP programme has acted at multiple scales in its CB activities, including raising the DRM capacity of: national organizations such as DRMFSS and the EWRD; regional governments in Afar, Somali, and Oromia; woreda sectoral offices; and local communities.
- The programme has also worked to bring together actors from different sectors and build their capacity to coordinate. Key in this at national level has been support for the DRM Technical Working Group, which is a monthly multi-sectoral national platform that brings together stakeholders and donors.
- This includes support for the ACDRM, which, in its training activities at national and local level, brings together sectors at local level (e.g. the new school-based project (funded by UNICEF) which trains teachers as ToTs on disaster risk assessment to train woreda officials).

### ACCRA

- ACCRA also works at multiple scales, from national to local, and includes provision to bring actors from different scales together at project meetings and workshops. According to one actor, there was great benefit in different ideas coming together from different actors at different levels for one aim – an integrated understanding of DRM.
- This work across scales included the ToT approach to train woreda level decision makers – regions train woreda officers who in turn train other woreda sectoral decision-makers and community level actors. This is said to have facilitated a sharing of planning processes – in developing contingency plans and DRM plans – although some interviewees questioned the degree to which this capacity gain has been followed-up in practice, because of difficulties in oversight from regional to local level.
- According to one national actor, ACCRA's approach - linking climate change and disaster risk management – has also served as a platform to bring together different organizations working on climate and disaster risk management. In practice, ACCRA staff secondment to the Ministry of Agriculture (to both CRGE and DRMFSS) has helped facilitate this process.

- Via ACCRA, there have also been some visits between communities by DAs and other community members in Gemechis, which have contributed to experience gaining and awareness creation. However hopes to extend such visits to sites beyond the woreda have not been accomplished.

### 6.2.3 Linkage to disaster resilience

**Definition:** *The need for a more holistic DRR-influenced approach to DRM capacity. This includes attention 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 disparities in both vulnerability and capacity.*

**Research question:** *How has the programme captured wider aspects of the DRR approach?*

#### UNDP

- Attention to underlying vulnerability and local-scale resilience building is perhaps implicit in the focus of the programme on livelihoods and food security. This aspect was again well articulated in the discussions with ACDRM, where new action research plans are unfolding in relation to: how to link woreda risk profiling (mainly hazards analysis) with COBRA methodology (Community-based Resilience Analysis project tools that have been tested in Uganda and Kenya); the school-based DRR project, which involves data collection on vulnerability and existing local capacities.
- According to a UNDP interviewee, the programme actively targets inclusion of women in the CB process at community level. The programme operates largely in pastoralist areas, where men are working away from the home for long periods, and the interviewee estimated that 60-70% of participants of the programme are women. Nevertheless, beyond targeting of women, it was stated by a government actor that gender dimensions are not well understood within government.
- One specific emphasis within the UNDP programme has been strengthening of the EWS system in Ethiopia, as a key disaster preparedness measure. The multi-hazards remit of the ACDRM also includes planned work to develop models for mitigation of different climate induced hazards such as flooding and drought.

#### ACCRA

- Central to the remit of ACCRA internationally is the objective to engage decision-makers at all levels in a more long-term consideration of risk and its dynamics. According to the ACCRA good practice guide (ACCRA, undated) the programme “is designed to be as participatory as possible whilst also introducing the key concepts of DRR and CCA at the woreda level, including vulnerability and adaptive capacity as set out in the Local Adaptive Capacity (LAC) framework.” Though the programme seems to have made clear gains in this aspect of capacity, much remains to be accomplished, particularly in how to operationalize integration of DRM and CCA, which, in the words of one government actor, is “still a grey area for us”.
- At woreda level, ACCRA has been piloting projects that attempt to change the knowledge and approach of planning by bringing in a long-term climate lens into the planning process (see Box 4). An example of this approach in a practical sense can be promoting tree-planting for soil conservation, but using drought-tolerant trees to guard against future

uncertainties in precipitation. To this end, ACCRA has introduced an adaptation decision-making game that is played with stakeholders at different scales. The game promotes the principles of 'Flexible and Forward-Looking Decision Making' (FFDM) in that it works with uncertainty while encouraging players to consider potential changes and impacts, alter strategies and identify barriers and enablers to adaptive responses.

- In its focus on DRR and adaptation, ACCRA has inevitably moved away from a focus on emergency response toward CB oriented to prevention and mitigation. A kebele level interviewee noted that ACCRA had emphasized "if we plant seedlings of trees we can avoid hazards which have been recurring in the area due to vegetation degradation". In Walesa men in a group interview claimed that as a result of ACCRA they have: started planting trees and constructing better terracing on hillsides; stopped cutting trees and stopped cultivating steeply sloping hillsides.
- In its components addressing livelihood dimensions of risk the ACCRA programme is also closely connected to the concept of reducing underlying vulnerability, even if its work is not always articulated in such a way.
- Attention to gender remains a challenge, according to two national-level actors within ACCRA. Inclusion of gender dimensions is an objective, and an internal gender adviser has been consulted, but progress in defining and implementing a gender-focussed approach has been limited to date.

#### **Box 4: Fostering local capacity to consider long-term change**

Working with local communities to sensitize people to the idea of adaptation to long-term environmental change has been a central component of ACCRA's work in the field. ACCRA staff at woreda and kebele level explained some of the steps they had taken, including: working with village elders to map changes in land use and productive activities; asking villagers what changes they expect to happen in the next 30-50 years (e.g. changes in land productivity) and discussing how they should prioritize activities to manage this future change.

Although the rationale for planning for the long-term future can be a difficult concept to convey, there was a strong perception expressed by zonal and woreda level interviewees that many in the community understood the potential for change and now better understood the need for long-term planning to mitigate environmental and climatic risks. According to a kebele official, prior to the consultations, there was already a widespread perception that soil erosion is increasing and soil fertility is decreasing, that the seasonal timing of the rains was altering, that intense rainfall was more common than before, that some springs were drying out, and that yields of highland crops were declining (while some crops such as teff from lower altitudes could increasingly be grown in the highland zones). The key step for ACCRA was then to try to build knowledge about how to manage these changes. It is uncertain whether this has been broadly achieved across the community, but at least some of the villagers we spoke with expressed their awareness of the need for reforestation and terracing of hillsides, as well as tree planting around their homes, and articulated this need especially in terms of concern that conditions will worsen in future.

## 7 Lessons from the pilot case study on capacity building in Ethiopia

### 7.1 Existing status of capacity

In this subsection we provide a brief analysis of the state of overall DRM capacity in Ethiopia, as expressed by the research participants and the documents accessed. It is important to stress that this is not a comprehensive assessment of capacity, but it serves to provide a context with which to view the lessons drawn from the more detailed studies. Summary statements are provided with associated levels of confidence (in this case only high and medium confidence statements have been provided).

#### 7.1.1 Skills and knowledge

**There have been notable advances in the levels of knowledge and expertise in DRM in Ethiopia in recent years, especially at national level [High]**

**The country has high capacity in EWS, especially for drought and food security [High]**

Quite high levels of expertise exist now in government DRM structures, according to one interviewee from outside government. Tadele & Manyena (2009) and one interviewee emphasized that advances have been made in academic and professional trainings and their reach to practitioners (including via the new ACDRM). The discussions of one workshop breakout group suggested that more research on DRM has been done in the country and there now exists a better understanding of DRM and better knowledge sharing among organizations.

As several sources noted, Ethiopia has developed strong capacity in EWS since the 1970s, with major resources directed to improving systems such as FEWSNET (Tadele & Manyena 2009). The DRMFSS has access to a weather risk management system known as 'LEAP' (Livelihoods, Early Assessment and Protection) - an early warning tool that uses satellite and ground data from automated weather stations to provide early warning information (IFRC, 2013). However, according to the major report on DRM regulation in Ethiopia by IFRC (2013), the EWS in Ethiopia has yet to be applied fully to a multi-hazard context, including floods, and the efficacy with which warning information is disseminated could be improved: "a huge amount of information is collected -- once analysed, it is often not possible to inform communities of risks in a timely manner".

#### 7.1.2 Structures and coordination – general / national

**DRM policy has gradually been strengthening in Ethiopia and a new strategic basis for DRM is being established now [High]**

**Coordination of organizations working in field related to DRM has improved, but scope for improvement remains especially at subnational levels [High]**

**Concerns remain over the capacity of government structures to implement DRM policy effectively at all levels [High]**

DRM structures in Ethiopia have improved considerably since 2000, according to several interviewees and (IFRC, 2013). Advances include establishment of the DRMFSS and the SPIF, which has components that include CB. The new/revised DRM policy has been prepared through consultation and is ready for implementation. Potential establishment of the DRM desk within the

PM's office is expected to strengthen coordination of ministries (IFRC, 2013), and one interviewee noted that regions are to be given more authority for managing risk under the new policy.

In 2009, GFDRR emphasized the coordination challenge existing between donor activities, government, NGOs and civil society if duplication of effort or contradictory approaches are to be avoided (GFDRR, 2009). According to two non-government interviewees and discussions by two workshop breakout groups, DRMFS has already improved coordination of interventions at different levels, with task forces led by DRMFS established and serving as platforms for interaction of actors. Key among these has been the DRM Technical Working Group. However, several other commentators suggested that coordination between actors still needs improving. According to IFRC (2013), coordination remains an issue at subnational level: their report states that the task force structure is undergoing decentralization but is not formally present in all regions.

Though the new policy is soon to be formalized, it was emphasized by some sources that full implementation will be slow and have to be via a gradual roll-out – implementation still needs operational frameworks, including directives and guidelines defining roles and responsibilities at all levels. Some regions may be better placed than others to manage the process, because of major variations in capacity. One interviewee also argued that implementation of the new strategic approach to DRM will require a culture shift away from current practices. ACCRA (2014) notes that “changing perceptions and institutional structures is a gradual process, requiring continuing support from development partners”.

Two sources warned that external and domestic drivers of the agenda for DRR and climate change adaptation may be pushing the process too fast in Ethiopia, one expressing concern that there may be inadequate M&E to match the ambition. Another interviewee underlined that impediments remain in government staff ownership, and accountability – hampered by low salaries and incentives together with shortages of staffing and logistics. Another stated that the government has a clear vision for DRM but less clarity over the implementation detail - there is therefore danger of a weak connect between policy and implementation.

### **7.1.3 Structures and coordination – subnational / local**

**Risk profiling at woreda level can provide a strong basis for local DRM planning, especially if its application is strengthened further [High]**

**Capacity shortfalls and resource gaps commonly exist in DRM at local levels [High]**

**Frontline community-level capacity to respond to risk needs to be strengthened [High]**

In workshop discussions, there was a strongly positive view that woreda risk profiling was a major advance, in raising capacity to map vulnerable groups, changes in risks, and coping strategies at local scale. But risk profiling is not yet undertaken in many woredas and continuing support is needed for this and for the development of contingency plans. One group referred to political manipulation of data by some woredas to increase inflow of funds.

Risk profiling can be a key step to local DRM planning, but it requires sufficient capacity and authority. One interviewee noted that government in Ethiopia is deconcentrated (in that structures exist down to local level) but not decentralized (in terms of power and resources). Several sources emphasized that capacity reduces from national to regional to woreda scale, where there tends to remain a gap in physical infrastructure, human resources and finance and insufficient structural support from higher levels. Though the ACCRA good practice guide (ACCRA, undated) states that “woreda DRR planning is designed to equip *woredas* with the skills and knowledge they need to develop these plans”, it may be difficult to encourage flexible decision making at woreda level



when this might be in direct contradiction with top-down expectations for planning. According to IFRC (2013), capacity gaps at local level “need to be closed to ensure that sectoral legislation that contributes to DRR, such as land use planning laws and building codes, can be properly implemented, overseen and enforced”.

Positive signs of change in DRM awareness and engagement exist at community level, for example increased community participation in DRR/DRM activities such as risk assessments and the PSNP (IFRC 2013). One interviewee noted that community dependency on food aid is reducing in most areas, though the capacity to respond to shocks remains poorly developed. Discussion groups at the workshop argued that there is a weak linkage at lower levels between communities and DAs (which needs strengthening of DA capacity) and that communities cannot rely on woreda/kebele staff but must learn skills themselves to identify hazards, plan and respond to risk, including support via cross-community networks. One interviewee added that local knowledge is not being harnessed enough in DRM mechanisms (such as linking EW with indigenous practices).

#### **7.1.4 Enabling environment**

**Holistic and long-term DRM has been rising in the political and policy agenda in Ethiopia [High]**

**Creation of an enabling environment in other senses such as critical awareness and staffing incentives remains underdeveloped [Medium]**

**INGOs and Ethiopian NGOs are critical of legislation which limits the scope of their activities and the percentage of their funding which can be spent on non-programme costs including M&E [High]**

There are strong signs of an encouraging political will at national level to prioritize DRR, according to one of the discussion groups at the workshop. The draft DRM policy refers to a paradigm shift that has been taking place in the country toward comprehensive and holistic DRM in a decentralized manner that moves beyond drought alone and beyond emergency response. Ethiopia’s Programme of Adaptation to Climate Change (EPACC) is targeted toward climate resilience, and the IFRC (2013) suggests that DRM/DRR is included as a consideration in most of the major national policies – in part because the government aims to increase economic growth, and recognises that natural hazards and climate change are major threats to agricultural development.

However, it was argued in one discussion group that political agendas can also serve to downplay critical viewpoints on DRM progress, in the drive to present a positive image of Ethiopia’s development trajectory. One source, for example, emphasizes that an enabling environment is needed that builds capacity of all actors – so all can set and act on priorities and review progress in DRM. A key impediment to an enabling environment is likely to be problems of staff turnover. According to Tadele & Manyena (2009), this has been linked to successive government restructuring of departments, but the problems can be exacerbated by inadequate induction systems for new staff leading to poor transfer of knowledge and skills.

Multiple interviewees from different organisations mentioned the charities law as a key barrier to their work on capacity building for DRM. In addition, some complained of a lack of voice generally for NGOs and limited consultation on the development of DRMFSS policy documents (IFRC, 2013). Views on community participation were mixed. Even if communities appear to be actively involved in the development of risk and seasonal assessments, the targets often come from higher

levels and communities' involvement is not always extensive. These exercises tend not to lead to increased community awareness of DRR regulation.

### 7.1.5 Progress toward DRR

**There are some encouraging signs of progress toward disaster risk reduction [High]**

**Emergency response remains the central focus of DRM implementation, with less emphasis in DRM intervention on reducing risk and vulnerability and building resilience [High]**

Tadele & Manyena (2009) argue that emphasis on resilience is gradually finding more space in the policies and practice of development and humanitarian agencies in Ethiopia. Several sources noted that Ethiopia managed the 2011 drought well, because of the effectiveness of the EWS as well as improvements in DRM and underlying resilience. Another interviewee pointed to the strategic grain reserve as a measure that has now reduced famine vulnerability.

However, despite these gains, two interviewees from governmental and non-governmental sector argued that the main focus remains on effective emergency response, rather than strengths in reducing risk and approaching disaster recovery as development issues. Another source argues that intervention has not targeted building of resilience or sufficiently taken account of capacities, needs and motivations of the most vulnerable people. High vulnerability remains in Ethiopia, with exposure to recurrent droughts and insufficient investment in long-term food security and community empowerment in DRM, according to Tadele & Manyena (2009). As one interviewee noted, even in a good year a large portion of Ethiopia's population is below the emergency threshold for nutrition and water – under such conditions, acting on DRM is effectively a development strategy.

## 7.2 Towards capacity building – key lessons

This subsection brings together a series of key lessons on CB for DRM derived from the case study – drawing both from discussion of the specific programmes and from the wider context of DRM intervention in Ethiopia. The material here is organized on the basis of the six 'principles' of CB for DRM, already introduced in section 6, and is accompanied by a set of summary statements with associated levels of confidence. The section ends with the results of the principles rating exercise and discussion on key factors for successful CB conducted with interviewees.

### 7.2.1 Flexibility and adaptability

**CB interventions involving multiple agencies should be organized so that different organizations work to their strengths [Medium].** For example, the RC national societies tend to have good connections on the ground, while UNDP has more leverage at national level.

**Build in the flexibility to continuously check that national level ideas match what is feasible/desirable on the ground and make adjustments where necessary [Medium].** There need to be strong feedback loops between scales of intervention.

**It is crucial to undertake a clear capacity needs assessment prior to DRM interventions [High].** Unless they closely match with identified needs interventions are less likely to be effective. At grassroots level, such assessment is best undertaken with the participation of communities and can be followed by prioritisation exercises, as commonly carried out by the ERC. But it is the research team's view that expert capacity assessments should not necessarily be limited to

priorities that are pre-identified by beneficiaries – some dialogue should be incorporated to ensure that other potential capacity needs are explored.

**Working with existing structures is desirable wherever possible... [High].** Both programmes highlighted the value of tying activities in with governmental structures and initiatives in order to build ownership, reduce duplication and improve effectiveness, especially at national level. It is important to recognize that this in itself entails a requirement of flexibility – for example, if they are supporting government, outsiders cannot impose their own pace but have to follow due procedure (and understand and plan for this).

**...But its success rests on the existence of sufficient capacities within those structures [Medium].** This is something of a chicken and egg situation. Experience from the ACCRA project of low levels of commitment, cooperation and follow-up activity from some woreda and kebele administrations, combined with weak organizational skills and relations with the communities, showed the potential problems that can arise from shortfall in the capacity of existing structures to foster CB. CB interventions of course can work to build capacity at these levels, but if they simultaneously rely on those structures for implementation of CB at community level, then difficulties may arise. One actor in the process suggested that full time project staff may need to be assigned instead of placing full reliance on government bodies – though this has considerable cost implications.

**Accept that at the community level engagement in CB in practice may need to provide immediate benefits/incentives for people [High].** Ideally this can relate to a demonstrable strengthening of livelihoods and livelihood assets, but interviewees in Gemechis woreda also underlined the value of providing inducements to participate even when people are made aware that there should be a long-term capacity gain. This does not necessarily devalue CB (although that may be dependent on context). As one interviewee explained: “For the community in particular, any fringe benefits they get from in-coming support will also encourage them to accept or participate in it; for example, although they know that the training they get from interventions will improve their life in the future, they will be more encouraged by the per-diem they get today”.

## 7.2.2 Attention to planning

**Sufficient time has to be built in to CB interventions to ensure they can match their objectives [Medium].** For example, as expressed by the ACDRM, commitment to forming a new capacity development institution such as ACDRM requires several years of support in the establishment period. However, it was also cautioned that, when working with stakeholders, it is important that the period from design to the start of implementation is not too extended.

**There needs to be careful planning of programme commitments to ensure that promises made to stakeholders can be fulfilled [High].** Carefully planned commitments are needed that match available budget and other resources, and the limitations to these need to be communicated with clarity in order not to erode trust and motivation. Care must be taken to avoid expressing high ambition for initiatives that may be difficult to roll out after an externally-supported pilot phase. In terms of ACCRA-supported woreda level DRM and CRGE planning there are some uncertainties about how rapidly funding to undertake the programmes that are planned will flow.

**Serious attention needs to be paid to sustainability and an exit strategy, ideally at the design stage of a CB intervention [Medium].** This need is recognized in ACCRA’s concern to develop effective exit strategies. Both the UNDP and ACCRA programmes are likely to face a challenge in ensuring the sustainability of capacity gains in districts and communities that are often difficult to access by those tasked to monitor progress. *It may not be sufficient to claim simply that*



*a CB programme is sustainable because it is aligned with the government system and follows their priorities – existence of appropriate policies and procedures does not necessarily mean that effective decisions and action will continue to be taken within that system.*

**One of the most difficult issues in sustainability of CB is how to work around problems of staff turnover [High].** If the focus of CB is especially on training and skills development of individuals then frequent staff turnover threatens loss of institutional/organizational memory (though see below under functional capacity incentives for a differing perspective on this issue). Useful ideas on ways to ameliorate this problem were provided by SLUF (see Box 5).

**Progress remains low in developing effective M&E frameworks for CB that are rigorously applied [Medium].** One interviewee described how an assessment within their DRM organization found low levels of skills in administration of the project management cycle and especially in M&E: logframes were viewed not as a useful management tool but as a donor requirement only, and there was a tendency to “select indicators that they can’t influence”. Another interviewee underlined that it is important not to just to measure outputs such as the numbers trained but to measure outcomes such as how much they have shaped institutions and how policies have been enacted. However, the same person acknowledged that attribution of outcomes is very difficult to assess, particularly for something like support for the DRM policy which many actors have been working on.

#### **Box 5: Improving the lasting impact of training**

A problem that is well-documented in the literature on capacity building is how to retain the benefits of training individuals and how to ensure that capacity is increased across the organisation as a result of training, rather than just for the individual concerned. Staff turnover and wider organisational barriers to change can mean that potential capacity gains from training are either not realised or are short-lived. The Sustainable Land Use Forum in Addis Ababa has developed a mentoring service that is implemented post-training and aims to help the individual to operationalise their learning and embed it within the organisation. The mentorship lasts for two months post-training and comprises meetings between the trainee and the mentor to discuss how the training can be applied in their context. The trainee is also required to write a report for management detailing what they have learnt from the training and how it should be integrated into the organisation. Hard copies of training materials are always provided to the trainee, who is encouraged to share these with others in the organisation. SLUF monitors these activities across the NGOs that are part of their forum and reports that the mentoring service has been effective in mitigating the loss of institutional learning through staff turnover.

### **7.2.3 Ownership/partnership**

**Active partnership through continuous engagement is a key to fostering a sense of ownership and thereby increasing the chances of sustainability [High].** In both the UNDP and ACCRA programmes, strong alignment with government policies and strategies and the fact that DRMFSS is a key actor within both programmes has greatly facilitated government ownership of the interventions at national level. There have also been important efforts to engage other stakeholders through involvement in workshops and planning forums. The same commitment to engagement appears to have existed at local level, with participation of woreda and kebele staff in design, planning and implementation meetings hosted at a range of scales. Planning documents have also been agreed at each level.

**One mechanism to increase ownership by partner agencies can be secondment of staff, as long as this is well managed [High].** Again, both programmes involved a commitment to second senior level staff on a part-time basis to DRMFSS (and to MoEF in the case of ACCRA). The action

of working alongside colleagues has helped build trust and working relationships. However, it was argued by two interviewees in government that if secondment is to be effective in this way it must entail commitment by the seconded person to actively transfer knowledge and skills - ultimately there will be a need to progress beyond secondments so that government staff can fill that role themselves. Secondments can also create tensions if the salary scale of an external person is markedly different from the partner staff with whom they are working.

**Fostering active contribution of the community to planning and implementation of initiatives can sow the seeds of sustainability at the grassroots scale [High].** Actors working on ACCRA in Gemechis Woreda felt that a feeling of ownership by the community had been generated by their engagement in hazards assessment (identifying their priority hazards that need addressing) and by ongoing communication and consultation with villagers during planning and implementation. However, there is some question over whether community engagement has been genuinely active in a way that builds capacity beyond simply awareness-raising. Discussions at village level did not provide strong evidence of participation in decisions on DRM and adaptation planning, and in some descriptions participation essentially referred to mobilization of labour.

**‘Change champions’ are likely to play a key role in galvanizing DRR capacity development at both national and local levels [Medium].** Individual leaders are likely to be pivotal in encouraging the commitment, innovation and cultural shifts that are required to build capacity within society to take forward a DRR agenda. It was argued by interviewees in Gemechis that, at community level, such individuals may not necessarily be the political leadership but are more likely to be key individuals who have the foresight to adopt changed practices and provide demonstration to others of their value.

#### 7.2.4 Role of functional capacity building

**The idea that CB should go beyond provision of technical capacity is not fully recognized by all actors [High].** The responses of some interviewees suggest that there is still some way to go in convincing key actors in DRM that CB should be seen as more than provision of equipment, training and finance. While many people at national level acknowledged the importance of CB in terms of institutional processes and the enabling environment, not all actors expressed this view, even at national level where exposure to arguments surrounding capacity development is likely to be higher. A relatively low prioritization given to functional CB is revealed in responses to the principles rating exercise (see below).

**Although training may remain the core of CB activity at local level, it can also incorporate aspects of functional capacity [High].** Our local-level discussions of ACCRA in Gemechis suggest that a series of trainings were perhaps the core of CB activity during phase 1. However the training not only raised knowledge of risks and DRM but also raised skills and promoted institutional practices around planning, such as how to prioritize and rank risks at kebele level. For the communities, ACCRA activities also emphasized blending technical ‘training’ on hazard management with practical demonstration to reinforce ideas and show their utility. This demonstration for people living in or close to poverty that new practices can be realistic and beneficial was thought to be especially key for promoting a change toward alternative livelihoods and resource use. *One can even regard this as creation of an ‘enabling environment’ at grassroots level.*

**Working with government to promote dialogue on effective policy and practice is an important step in creating an enabling environment for DRM and DRR [High].** Though external agencies working in Ethiopia are restricted by law in engaging in direct advocacy work, it seems that the facilitation of policy dialogue on DRM can help generate progressive discussion in

governmental agencies on disaster risks and potential responses. The ACDRM, building on previous work of its sister institution the Climate Science Center, has provided trainings for parliamentarians, which appear to have helped raise political awareness of DRM needs. ACCRA is said to have benefited greatly from a promotive attitude within zonal/woreda government, fostered by officials visiting project sites and witnessing positive change.

**Staff turnover issues can be addressed in part through special incentives, but if viewed at a societal level this may not be such a problem [Medium]** High turnover of staff after trainings is a widespread issue, and one especially common at woreda level. UNDP has used longer term contracts and additional training opportunities as incentives for people to stay in post, such as supporting staff to pursue masters programmes in DRM. For government staff and staff of national societies the relatively low pay can be a major trigger for trained people to leave post. However, a few interviewees raised the suggestion that training can still be seen as a sustainable activity as it is likely that such people will continue to work in DRM in Ethiopia in some capacity.

### 7.2.5 Scales/interactions

**CB initiatives can be effectively targeted at multiple scales, but available resources may not match the requirements for replication of activity at lower scales [Medium].** Both programmes in the study are working at different levels from the national down to the community scale. However, a challenge remains in providing sufficient support and follow-up from higher levels to DRM initiatives being undertaken at the level of woreda and below.

**Building capacity for actors to work across scales is likely to be beneficial for integrated DRM [Medium].** It was strongly argued by a woreda level interviewee that CB is more effective when it is carried out jointly across all levels of actors – this allows consensus building (actors at all levels have the same understanding about objectives) and thus enables implementation to happen more quickly (no level is likely to block agreement to plans). According to one international agency interviewee, a key to integration of DRM capacity across scales is to have clear action plans, clear delegation of roles and responsibilities and commitment to management/oversight at each level.

**Another key role for capacity development intervention is to facilitate effective coordination mechanisms across sectors and stakeholder groups [High].** CB activities need to apply across different actors if they are to build greater exchange and coordination across stakeholders from multiple sectors and types of organization (ACCRA, 2014). Clear, well-managed mechanisms for coordination and interaction are needed. The DRM Technical Working Group, as well as the development of the SPIF and the new DRM policy were cited as means through which national coordination has improved. According to two interviewees, support for cross-sectoral coordination is particularly important if the tendency toward narrow sectoral approaches is to be avoided in local level government.

### 7.2.6 Linkage to disaster resilience

**Capacity development is required in the longer-term and more preventive aspects of DRR [Medium].** Ethiopia has developed relatively high capacity in EWS and the management of emergency response, but capacity to reduce disaster risk, especially for the more vulnerable groups, was brought into question by some interviewees. An interesting reflection on the Ethiopia case was made by one international agency interviewee who argued that vulnerability reduction in a drought-prone country is likely to centre on measures to increase food and water security, which makes DRR a central development measure rather than an activity aimed at 'protecting' development. Hence the role and potential of vulnerability reduction in Ethiopia should be inherently easy for people to understand.

**The need to build capacity to address long-term change in risk is increasingly recognized [Medium].** ACCRA is an example of a project that is working at national and local level to build skills to link DRM and CCA and incorporate this in analysis and planning. Long-term policy frameworks are in place including the new DRM policy, agricultural transformation policies and the CRGE policy, and government capacity needs to be supported to translate these and other development plans into action.

**Action to raise the capacity of vulnerable groups must recognize and work with the constraints on action associated with poverty [High].** Woreda staff in Gemechis and some local residents emphasized that people in the area are fully aware that if they keep farming on the hills, this will cause erosion – awareness of hazards is not the issue. The problem is that they have no other options: they are farming on marginal lands out of necessity, and interventions need to first propose and support an alternative livelihood or land practice before they will change their ways. According to one interviewee: “they are willing to do as much as they can, but their priority is survival”.

**Much work is still required to bring a gendered approach into CB for DRM [High].** Part of the issue appears to be poor understanding or confusion around what a gendered approach means in the context of DRM. Progress on integrating gender issues beyond inclusion of women in CB activities (for example strengthening social networks for women and marginalized social groups to engage in and influence decision-making on disaster risk and resource management) appeared to have been low in both programmes.

### 7.3 Perspectives of interviewees on key factors in CB

As part of the research, interviewees were asked to discuss the factors they felt were most important for the success of CB for DRM. The following table lists the responses given, organized in relation to the 6 principles identified in the inception phase of this research project as key for effective CB.

**Table 4: interviewee perspectives on DRM CB success factors**

Principle	Key factors as expressed by interviewees
Flexibility and adaptability	<ul style="list-style-type: none"> <li>• Building on the existing system – plans and policies</li> <li>• Build on strengths and expand capacity where some already exists</li> <li>• Build on people’s understanding of risk, which is high in relation to drought/famine because of recent history (there is less understanding of earthquake risk)</li> <li>• Coordination with and integration in development programmes (mainstreaming DRM)</li> <li>• Actions need to be aligned with government policies, strategies and plans</li> <li>• Follow government priorities to ensure ownership and thus sustainability of the interventions</li> <li>•</li> </ul>
Attention to planning	<ul style="list-style-type: none"> <li>• CB Needs to be long term</li> <li>• CB has to be long-term, engagement should be over a longer period of time</li> <li>• CB activities should not be one-offs, but a series of interventions</li> </ul>
Ownership/partnership	<ul style="list-style-type: none"> <li>• Effective coordination and partnership need to be in place</li> <li>• Ownership is the first step to sustainability</li> <li>• Staff commitment/ownership</li> <li>• Seconding NGO staff to government</li> </ul>

	<ul style="list-style-type: none"> <li>• Secondment needs some kind of transfer of capacity to the host staff if it is to be CB</li> <li>• Secondment if it results in skills transfer</li> <li>• Strong government backing and adequate resources</li> <li>• Required culture shift, which is likely to rely on change champions – leaders to drive the change</li> <li>• A role for agencies and donors to provide encouragement and incentives (including evidence of what is doable and successful elsewhere)</li> <li>• Community participation in all aspects</li> <li>• Stakeholder consultation and participation are absolutely key</li> </ul>
<p><b>Role of functional CB</b></p>	<ul style="list-style-type: none"> <li>• Integrate DRM in education system</li> <li>• Building skills to link DRM and CCA to incorporate this in analysis and planning</li> <li>• Input of expertise on what's feasible to implement in local planning</li> <li>• Input of technical knowledge on environmental change and resources</li> <li>• Research institutions engage in DRM research</li> <li>• Focus on drawing practicable lessons, experiences from elsewhere.</li> <li>• Introduce knowledge from neighbouring countries.</li> <li>• Circulate best practices including indigenous knowledge</li> <li>• Any CB intervention has to identify, draw on and nurture prevailing practices/coping mechanisms, and look to fill the gaps</li> <li>• Better understanding of what's required/gaps at community level in terms of CB to foster local community-based capacity to respond</li> <li>• But...It's important to focus on the institutional level, not just on individuals.</li> <li>• In Ethiopia, because of the 'brain drain' it is important to focus on institutions not on individuals for CB.</li> <li>• It is important to invest in policy frameworks.</li> <li>• Clear structures with defined roles at all levels, right down to the grassroots level</li> <li>• Having an enabling policy environment</li> <li>• The weight of importance that the issue is given both politically and socially, from the very top right down to the grassroots level</li> <li>• The government's commitment</li> <li>• Engagement from government</li> <li>• Government structures for DRM that are empowered</li> <li>• Good working policy environment with effective working between government and charities.</li> <li>• Supportive government policy/enabling environment for CB at community level</li> <li>• Incentives for staffing (including competitive salaries in government)</li> <li>• Need to have the right people to implement interventions, with employment incentives to attract them</li> <li>• Focus on motivating and encouraging staff</li> </ul>
<p><b>Scales/interactions</b></p>	<ul style="list-style-type: none"> <li>• In situations where many actors are involved, attempt to bring all relevant actors together to avoid duplication and ensure that they complement each other</li> <li>• CD has to cover all sectors</li> <li>• Multi-sectoral approach – must have CB across sectors for DRM</li> <li>• Mechanism for coordination between donors and between donors and government, with signed MoUs that set out clear roles and responsibilities</li> <li>• Joint planning between ministries through a participatory approach</li> <li>• Create active participation of private sector</li> <li>• It is important to work at all levels and ensure that information and experience from the local level infuses national policy</li> </ul>

Linkage to disaster resilience	<ul style="list-style-type: none"> <li>• Link to all DRM phases</li> <li>• Focus on livelihoods, not just basic understanding of disasters</li> <li>• Strengthen community DRR</li> <li>• Starting with grassroots level/community-based action</li> </ul>
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After this open discussion, interviewees were then asked to undertake a scoring exercise for the 6 principles. They were asked to give each of the principles a score of 1-4 according to their importance, with 1 as the highest rating. A total of 20 interviewees produced complete versions of the exercise. The results are summarized in the following table which shows how many people scored 1, 2 or 3 for each principle (nobody gave scores of 4), and the average score for each principle. Results for four of the principles are closely equivalent, with roughly half of the interviewees giving each one top score. One principle – **ownership/partnership** – emerges strongly as the most highly rated (with 17 out of 20 people giving it top rating). In contrast, **attention to functional capacity** was prioritized by the fewest people (with only 4 interviewees giving it top rating).

**Table 5: Results of principles rating exercise**

	score 1	score 2	score 3	score 4	average
<b>Flexibility &amp; adaptability</b>	10	9	1	0	1.55
<b>Comprehensive planning</b>	9	9	2	0	1.65
<b>Ownership &amp; partnership</b>	17	2	1	0	1.2
<b>Attention to functional capacity</b>	5	11	4	0	1.95
<b>Integration of actors &amp; scales</b>	10	9	1	0	1.55
<b>Contribution to disaster resilience</b>	9	10	1	0	1.6



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## **Annex A**



## Annex B Interview Questionnaire Schedules

### B.1 Overview Meetings (previously referred to as initial meetings)

Introduce the project & consent procedure

Ask questions based on the list below

Request any further secondary sources (documents, data)

Request ideas for additional key contacts/interviewees

Module	Questions	Links to RQ
CONTEXT	a) What are the main types of hazard affecting the country (frequency and magnitude over last 30 years)?	1
	b) What have been the main recent changes in disaster risk (re hazard, vulnerability)?	1
	c) What are the anticipated future changes in disaster risk?	1
	d) What other recent social, economic or political changes are important for understanding current disaster risk?	2
	f) Which ministries/units of government have responsibility for managing disaster risk? How do they interlink?	3

	g) Are there general governance issues in the country that affect how well DRM organizations can work?	3
	h) What is the extent of civil society and citizen engagement in DRM?	3
	i) How do wider social and political issues impact on DRM?	3
	j) What recent DRM/DRR programmes have been implemented in the last 15 years (external and internal)?	4
	k) What other major external assistance programmes relating to disaster risk have been implemented in the country in the last 15 years?	4
PROGRAMME CHARACTERISTICS	m) <i>Refer to the CB activities that are being studied.</i> What role have different actors played in shaping/designing and managing each of these initiatives? Who have been the main actors in this process?	5
CAPACITY	n) What level of DRM capacity exists generally in the country and what are the main shortfalls?	20
	o) Has this capacity changed recently?	20

## B.2 Interview Question Schedule: CB Actors (running or engaged in the selected CB activities)

Introduce the project & consent procedure

Ask questions based on the list below

Undertake 'principles' exercise

Ask for financial information on the project (budget & breakdowns for CB - if required)

Request any further secondary sources (documents, data)

Request ideas for additional key contacts/interviewees

Module	Question guide	Links to RQ
Programme characteristics	a) What aspect of DRM is the main focus of the programme - preparedness/relief, prevention/mitigation, recovery, or a combination of those?	7
	b) What is the intended operational objective of the capacity – ie building capacity to do what exactly?	7
	c) What is/was the level of funding for the activity, and what was the allocation of funds for its CB aspects?	6
Approach to CB process	d) How was the time-frame for the activity decided, and is this adequate?	9
	e) How were capacity needs assessed before the start of the programme?	8

f) At what stage were key national/local stakeholders identified and engaged in the programme development?	10
g) What roles have national/local partners played in design, implementation and management of the programme?	10
h) Are there existing skills and resources that were strengthened through the programme?	8
i) Has the programme been able to work with existing DRM institutions - formal and informal?	8
j) Has the CB activity been designed to link with national DRM/DRR strategy?	8
k) Were any major constraints on capacity development (e.g. political, cultural) identified from the start, and how did the planning try to get round these?	8
m) What mechanisms are there to ensure sustainability of capacity gains after the programme ends? Is staff turnover likely to be a problem?	9
n) How has the activity ensured inclusion of women in the CB process?	10
o) Was a theory of change developed for the programme?	9
p) Please describe the M&E procedures and the ideas behind their design?	9

Content of CB activities	q) On what elements of CB does the programme place most emphasis (focus on training/individuals, organizational change/institutions, coordination and on power structures, enabling environment)?	11
	r) Has the activity sought to develop incentives for good performance or staff retention?	11
	s) Has the activity involved any kind of political advocacy to reinforce DRR as a public priority?	11
	t) Has the programme sought to build capacity at more than one scale?	12
	u) How has the programme sought to build capacity for coordination and interaction between different groups of stakeholders?	12
	v) How has the issue of capacity to manage long-term change in risk been addressed?	13
	w) Has the CB programme paid attention to reduction of underlying vulnerability of people?	13
Capacity (general)	x) What factors would you say are key in ensuring the success of capacity building for DRM?	21
	y) <i>Provide matrix of principles for rating exercise with explanation of what each means and the rating categories</i> How would you rate the importance of the following 'principles' in enabling effective CB?	21

### B.3 Interview Question Schedule: Commentators

*Introduce the project & consent procedure*

*Ask questions based on the list below*

*Undertake 'principles' exercise*

*Request any further secondary sources (documents, data)*

*Request ideas for additional key contacts/interviewees*

**NB For each selected CB activity.....**

Module	Question guide	Links to RQ
Programme characteristics	a) Describe the (power) relationship between the actors funding the CB activity and the actors they are working with? Who inputs into decisions on the CB process?	5
Approach to CB process	b) How has the programme engaged political commitment and local leadership to build ownership?	10
Effectiveness	c) Has the CB activity been considered effective in addressing its capacity building objectives?	14

d) Has this been sufficient to raise functional capacity (ie managerial, organizational, enabling factors – as opposed to technical), and what lessons can be learned in this respect?	14
e) What lessons can be learned about how effectively the activity integrated capacity development across scales of DRM?	15
f) What lessons can be learned about how effectively the activity fostered interaction and coordination between actors?	15
g) What lessons can be learned about how effectively capacity has been raised to address long-term changes in risk?	16
h) What lessons can be learned about how effectively capacity to reduce vulnerability has been raised?	16
i) Whose capacity has been raised?	16
j) Is the capacity gain sustained/likely to be sustained?	17
k) How closely has the activity addressed pre-existing capacity needs?	18

	m) What worked well, and why in the programme? What were the enabling factors?	19
	n) What did not work well, and why? What were the barriers/limitations?	19

### General questions not related to specific CB activities...

Capacity (general)	o) What factors would you say are key in ensuring the success of capacity building for DRM?	21
	p) <i>Provide matrix of principles for rating exercise with explanation of what each means and the rating categories</i> How would you rate the importance of the following 'principles'? in enabling effective CB?	21