Strategic Research into National and Local Capacity Building for DRM

Synthesis Report

Strategic Research into National and Local Capacity Building for DRM
Synthesis Report

Roger Few, Zoë Scott, Kelly Wooster, Mireille Flores Avila, Marcela Tarazona, Anne Thomson

Table of contents

List of Tables, Figures and Boxes

....

Acknowledgements

....

Foreign Affairs, Trade and Development Canada

Affaires étrangères, Commerce et Développement Canada

List of Abbreviations

ACCRA	Africa Climate Change Resilience Alliance
ADPC	Asian Disaster Preparedness Center
BDRC	Building Disaster Resilient Communities
BMZ	German Federal Ministry for Economic Cooperation and Development
CADRI	Capacity for Disaster Reduction Initiative
CTDGC	District Technical Council for Disaster Management (Mozambique)
CWSA	Community World Service Asia
DDMA	District Disaster Management Authority (Pakistan)
DFID	Department for International Development (UK)
DIPECHO	Disaster Preparedness European Commission Humanitarian Aid Office
DMA	Disaster Management Authority (Pakistan)
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
DRRM	Disaster Risk Reduction and Management
DRRNet	Disaster Risk Reduction Network
EICs	Community Intervention Teams (Haiti)
EWS	Early Warning System
GFDRR	Global Facility for Disaster Reduction and Recovery
GIZ	German Development Cooperation
GTZ	German Technical Cooperation
HIEP	Humanitarian Innovation and Evidence Programme (DFID)
IFRC	International Federation of Red Cross and Red Crescent Societies
INGC	National Institute for Disaster Management (Mozambique)
IOM	International Organization for Migration
JICA	Japan International Cooperation Agency
KAP	Knowledge, Attitudes and Practice
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation and Learning
MKRC	Mobile Knowledge Resource Centre (Pakistan)
NDMA	National Disaster Management Authority (Pakistan)
NGO	Non-governmental Organization
NIDM	National Institute for Disaster Management (Pakistan)
OCD	Office of Civil Defense (Philippines)
OECD	Organisation for Economic Co-operation and Development
OFDA	Office of US Foreign Disaster Assistance
OPM	Oxford Policy Management
PDMA	Provincial Disaster Management Authority

PHVCAs	Participatory Hazard, Vulnerability and Capacity Assessments
PPA	Programme Partnership Agreement
PRO-GRC	Institutionalizing Disaster Prevention in Mozambique Programme
PRODER	Programme for Rural Development (Mozambique)
RRD	Relief and Resettlement Department
RUDR	Reducing Urban Disaster Risk
SHA	Strengthening Humanitarian Assistance
SWOT	Strengths, Weaknesses, Opportunities and Threats
ToT	Training of Trainers
UEA	University of East Anglia, UK
UN	United Nations
UN-Habitat	United Nations Human Settlements Programme
UNDP	United Nations Development Programme
UNISDR	United Nations Office for Disaster Risk Reduction
VAP	Village Action Plan
VCA	Vulnerability and Capacity Assessment
VDMC	Village Disaster Management Committee

Executive Summary

In September 2013, the International Federation of Red Cross and Red Crescent Societies (IFRC) contracted Oxford Policy Management (OPM) and the University of East Anglia (UEA) to conduct **Strategic research into national and local capacity building for disaster risk management.** The overarching question guiding the research activities was 'what works and why?' This report sets out the findings of the research, covering trends in capacity building for disaster risk management (DRM), providing lessons learned in relation to the process and content of DRM capacity-building interventions, and outlining recommendations for policy-makers and programme implementers.

Previously there had been little formal research conducted on capacity building for DRM, and as a result international actors lacked robust, evidence-based guidance on how capacity for DRM can be generated at national and local levels effectively. The research was designed as an initial step towards filling that knowledge and evidence gap. This included an extensive literature review which incorporated over 100 resources and was used to develop a conceptual framework for how DRM capacity can be built effectively. This conceptual framework was then tested in six country case studies, including a pilot in Ethiopia and full case studies in Pakistan, Myanmar, Philippines, Haiti and Mozambique. The research also included the study of financial data and a global survey aiming to gather information from DRM professionals on trends in capacity-building activity and views on success factors. These different elements of the research were then analysed to distil lessons and guidance on how to build DRM capacity in a range of contexts. For the purposes of the research, Walker's (2013:1) definition of DRM capacity building was adopted: 'efforts to strengthen the competencies and skills of a target organization, group or community so that the target could drive disaster risk reduction (DRR) efforts, or, in a broader-sense development, in a sustainable way in the future'.

The rationale for capacity-building initiatives is that they should generate a greater sustained capability to plan for and undertake DRM (outcome) so that the risk to lives and livelihoods from disaster is reduced (impact). An effective capacity building initiative is therefore one that produces outputs that contribute to this change. The focus in this research was on investigating process, outputs and the prospects for successful outcomes. Though the researchers were not able to evaluate outcomes in terms of sustained raised capacity, sufficient signs of emerging outcomes existed such as creation of local DRM structures, integration of DRR into development planning mechanisms, or emerging cross-sectoral partnerships to highlight the value that effective capacity building can bring to DRM and DRR.

What new ideas emerge from the research findings?

There is **currently a piecemeal approach to DRM capacity-building programming, with most initiatives being relatively small in budgetary terms.** Large (e.g., 20 million US dollars plus), DRM capacity-building programmes are rare. The largest programme studied had a budget under US$15 million, with most of the other case study programmes having budgets around the $1 million mark. Consequently, the researchers were not able to find evidence that programmes with large budgets are necessarily more effective. However, the research team's observations were that the overall system for building global DRM capacity is not strategic - instead, it is made up of lots of smaller, uncoordinated projects and programmes scattered across countries. There is therefore potential for donors and international agencies to work more closely together on coordinated programmes of system-wide, multi-scale capacity strengthening within and across countries.

There also **appears to be a 'missing middle' in terms of DRM capacity,** with most capacity-building programmes focusing on either the national or the community level. Much less attention is currently being paid to building capacities at the sub-national government level. This is problematic as capacities, policies and procedures at one level ideally need to mesh with those at lower and higher levels. The fieldwork confirmed that inter-scalar working is important for improving the integration of DRM policies and processes, increasing sustainability and facilitating upward, demand-led DRM. However, building capacities for inter-scalar working is not currently prioritized in DRM capacity-building interventions. DRM capacity-building programmes should therefore give attention to how new capacities at one level can dovetail with capacities and processes at both lower and higher levels, e.g., how district plans might link with provincial budgeting processes. Programmes should also be designed to ensure that their activities maximize inter-scalar collaboration.

Although many of the communities that are most vulnerable to disasters exist in conflict-affected areas, and many donors are prioritizing aid to fragile states, the research team found evidence that **programme implementers are typically focusing their activities on non-conflict areas.** The usual problems encountered with DRM capacity-building programmes, e.g., short time-scales and high turnover, are usually accentuated in fragile and conflict-affected states. In several countries, the research found that when active conflict breaks out in an area, DRM capacity-building programmes are typically postponed or alternative locations are identified. This means that people living in areas affected by conflict are often left out of capacity building for DRM initiatives despite their increased vulnerability to disasters. It is important to note that fragile states do not necessarily have weak DRM capacity; but where there is very weak DRM capacity and infrastructure, the researchers found evidence that **small steps in improving technical capacity can be regarded as highly significant.** If this point is recognized, donors should therefore consider it both feasible and effective to work with weaker systems where capacity-building needs are perhaps highest. Governance contexts change quickly in fragile and conflict-affected states and so programme implementers should track those changes closely and adapt accordingly. Also, social cohesion and civil society are often weak in fragile and conflict-affected states, which should be factored into the design of DRM programmes.

Recent literature emphasizes that capacity building should be focused on the development of 'functional' capacity whereas 'technical' capacity has been the emphasis historically. The research suggests that, in relation to DRM, **technical and functional capacity are so related and mutually reinforcing that in reality can be difficult to separate out.** The literature stresses that greater emphasis in capacity-building programming should be placed on moving beyond technical training to developing the functional capacity within society for effective decisions and action on DRM to be taken. Evidence of significant contributions to functional capacity emerged from the case studies, including development of DRM policies and legislation, coordination mechanisms for decision-making, and mainstreaming of DRR in development plans at different scales. However, it is not necessarily useful analytically to separate technical from functional capacity building – the two are fundamentally related and reinforcing, and elements of them both may be present in the same activity. As mentioned above, in situations where the starting point for DRM capacity is low, such as in many fragile states, it may remain important to prioritize technical capacity as a counterpart for effective functional capacity and to ensure that both are developed hand in hand.

Despite their perceived importance in the literature, capacity-building activities are not yet commonly aimed at building an 'enabling environment' for DRM. An enabling environment can be defined as a context that provides the prioritization and motivation to turn development of DRM structures and skills into effective action. DRM capacity-building programmes can contribute, either directly or indirectly, to the creation of an enabling environment through, e.g., advocacy mechanisms, strengthening academic platforms, encouraging 'champions', generating support for good practice, reducing cultural barriers and demonstrating alternatives. The concept of **an 'enabling environment' for DRM can usefully be applied at multiple levels, including the grass-roots scale,** and the research suggests that all implementers of capacity-building initiatives should think creatively and flexibly about how to strengthen this.

What new evidence is there?

Multiple sources of quantitative and qualitative data were collected and analysed as part of the research. This section summarizes some of the more distinct observations made by the research team.

Because of the historical focus of disaster-related interventions on managing emergency events, and a well-established bias in funding towards disaster response rather than DRM, it could be anticipated that preparedness would be the element of the DRM cycle that is prioritised. The research provides strong evidence of this, and highlights that **building capacity for prevention, mitigation and, especially, sustainable recovery remains overlooked.** Most of the programmes selected for in-depth study were oriented in practice most strongly towards preparedness, and few survey respondents indicated that they had been involved in DRM capacity-building programmes that focused primarily on prevention and mitigation (eight per cent) or recovery (only two per cent). There seems to be no fundamental reason why support for these aspects of DRM should not be factored into, or indeed form the prime focus of, DRM capacity-building initiatives and the international community should be encouraged to move programming in this direction.

Despite the calls to embed a holistic approach to DRR within DRM, the research found that **programmes are not typically targeting vulnerable groups, and programme implementers are preoccupied with present risks rather than building capacities to adapt to long-term changes in risk.** Although the importance of taking a holistic DRR approach has been emphasized in the Hyogo Framework for Action and the Sendai Framework for DRR, support for DRR approaches is only now breaking into DRM capacity-building programmes, and still has some distance to go if it is to become strongly embedded as a foundational rather than an additional consideration in programme design. Evidence from the fieldwork suggests that, while targeting of vulnerable locations may take place as part of the design of DRM capacity-building interventions, explicit targeting of vulnerable groups within those vulnerable locations does not typically take place. Also, the fieldwork showed that programmes tend to focus more on present risks than on building capacities to respond to long-term changes in risk.

The research also revealed that **mainstreaming DRM is not emphasized enough in programme design,** despite being stressed in the literature and confirmed through the fieldwork as a beneficial activity. Creating capacities to mainstream DRR into development planning across sectors is not generally prioritized in capacity-building programmes related to DRM, but examples from the research suggest that, when undertaken, it was regarded as a major advance and a highly significant contribution. For mainstreaming to be successful it is essential to have an enabling environment and a demand-led process from within high levels of government. Unfortunately, the sustainability of mainstreaming efforts is still weak and much more effort and strategies need to be developed to ensure continuous change over the long term.

It is well-known that it is necessary for time-scales across all capacity-building programmes to be lengthened, but the research shows that this is even more important for DRM, given the need to teach new concepts and challenge entrenched patterns and mindsets fixed on emergency response. The international survey provided evidence that **most programmes run for one to three years, with very few being of more than five years in duration.** Lack of sufficient time-scales is a chronic challenge for DRM capacity-building programmes and is the root cause of other identified common challenges such as high turnover, a lack of appropriate assessments to inform programme design and a failure to create sustainability strategies. According to the research, the typical time-scale of DRM capacity-building programmes was less than three years, and the fieldwork provided much evidence that this is too short. The longest programme that was studied in depth was five years, and evidence suggests that this contributed to the overall effectiveness of the programme. The research therefore shows that time-scales longer than the one to three-year norm can improve the effectiveness of capacity-building interventions, enabling programme stakeholders to enhance both technical and functional capacity and shift towards a more holistic DRR approach to DRM.

The literature emphasizes the need to give greater attention to fostering ownership and the research found compelling evidence that **the principle of ownership is being taken seriously by DRM practitioners and is often incorporated well** into the design and implementation of capacity-building programmes. Ownership does not emerge without effort and deliberate design. The research revealed firstly that DRM practitioners are aware of the importance of ownership for DRM capacity-building effectiveness, and secondly that programmes include steps to ensure those targeted for capacity building are centrally involved in its design and implementation. However, for all programmes studied,

there was still room for improvement to make sure that those targeted have a stronger engagement and greater sense of the value of the capacity-building process and gains.

Similarly, it is established best practice to tailor development and DRM interventions to the national and local context, and the fieldwork found evidence that **programme implementers are taking the principle of adapting to the local context seriously.** Several practical steps can be taken to assist implementing agencies in tailoring their programmes to the local situation. In particular, developing an understanding of context is best achieved through building up long-term engagement and relationships in an area. At a community scale, those involved in DRM capacity-building programmes have found that linking with target communities' everyday lives and livelihoods improves effectiveness. Several programmes revealed that people were much more engaged when livelihoods were used creatively as access points for discussing DRM.

Another method for improving the relevance of a programme to the context is the use of 'south-south' partnerships. The literature on capacity building generally is supportive of the use of 'south-south' arrangements, where consultants and expertise are taken from one low- or middle-income country and exported to another, rather than relying on expertise from high-income countries. However, this has not previously been widely analysed in relation to DRM. From case-study programmes the research indicates that **south-south cooperation can bring several benefits and should be promoted as an approach for DRM capacity-building programmes.** In particular, it is very useful if both countries have similar hazards as well as similar socio-economic situations. There are several other areas of established best practice that are not being so well implemented on the ground. For example, **sustainability, although well emphasized in the literature, is still not being prioritized by implementers of DRM capacity-building programmes.** Formal sustainability planning - e.g., the development of exit strategies - does not generally take place. Only one of the programmes selected for in-depth study had a process in place for considering an exit strategy, whereas most others were not designed to take into account how gains would be maintained or continued after completion of the programme. Despite the emphasis in the literature then, DRM capacity building programmes are currently giving insufficient focus on securing the sustainability of capacities developed. Programme implementers have to actively design mechanisms for capacity retention or transfer, otherwise gains are undermined by staff turnover. Unfortunately sustainability can be more of a problem at the local level where there tends to be increased turnover, and funding decisions at a higher level can undermine capacity gains and retention. However, the creation of national knowledge bases, or pools of DRM expertise, can help with capacity retention.

Similarly, **monitoring and evaluation (M&E) systems are typically very weak on the ground,** even though they are well accepted as part of best practice, and there is a lack of tailored tools and guidance to assist with M&E of DRM and climate change adaptation programmes. The fieldwork showed that the quality and robustness of DRM capacity-building programme M&E can be substantially improved. In particular, programmes need to shift from being used to monitor activities and outputs to measuring outcomes and impact. Also, the fieldwork demonstrated that external, **independent evaluations of DRM capacity-building programmes are rare,** with none of the 15 programmes selected for in-depth study being subject to an external evaluation. However, there is an opportunity to improve M&E because the fieldwork uncovered evidence that donor requirements act as a strong incentive for M&E best practice.

M&E is usually viewed as an obligation to the donor rather than an opportunity to improve programme effectiveness. Remote M&E guidance and support from headquarters is often required and can work effectively when capacities on the ground are weak.

Several other areas of best practice in relation to programme design are also typically overlooked. In particular, the research provides evidence that **gender dimensions are not well integrated into programme design.** Gender considerations in capacity building for DRM programmes are often neglected, other than sometimes ensuring quotas for female participation. Project implementers typically show a willingness to incorporate gender issues, but commonly misunderstand what gender mainstreaming means. They show little knowledge of how to orient their programmes to take into account differential disaster vulnerabilities, perceptions of hazards and risks, access to resources, roles, skills and decision-making power.

Also, **capacity needs assessments are often not carried out or not completed early enough.** The research suggests that those involved in many DRM capacity-building interventions are not conducting systematic capacity needs assessments to inform the design of programmes; yet there was evidence that when needs assessments are undertaken late or are rushed it can ultimately lead to programme delays and reduce effectiveness. In contrast, when capacity assessments are conducted before the launch of a programme, the implementers are able to design programmes more fit for purpose, with more realistic timeframes from the outset.

The literature on capacity building generally is critical of a perceived over-reliance on training as the predominant activity, arguing that it is often unsustainable. However, the research found that more **sustainable and innovative approaches to training are being used, with favourable results.** Training is still the primary activity in most DRM capacity-building initiatives but diversified methods are being used to generate improved results. For example, 'training of trainers' approaches appear to be widely used and can be very effective if coupled with careful selection procedures and rigorous mentoring of new trainers. On-the-job training and the use of secondments can be effective forms of capacity building for DRM also, if there is an environment of co-working and mutual trust. All training should be interactive, contextualized and based on an attitude of mutual learning. Carefully designed and well-implemented training programmes can therefore contribute to the creation of sustainable functional capacity, particularly from the perspective of the DRM system as a whole.

1.1 What new tools have been developed?

The evidence presented above creates a picture of DRM capacity building globally which shows that, despite some good progress, there is still much to be done to improve practice on the ground. Although more work is needed, the research team developed a framework for effective DRM capacity building and an M&E framework, both of which are presented below.

A framework: key principles for effective DRM capacity building

Six principles were tested and revised during the research and can be confirmed as important for securing the effectiveness of DRM capacity-building programmes. The research team hopes that international agencies and NGOs will adopt these principles as a guiding philosophy for DRM capacity-building activities, and use the conceptual framework for developing both the process and the content of programmes.

Table 1. Key principles for effective DRM capacity building

Key principle	Definition
Flexibility and adaptability	The need to approach capacity-building interventions flexibly, so that the design of the programme is appropriate to context and responsive to needs (rather than applied as an externally-imposed 'blueprint'). It includes undertaking careful assessment of capacity needs, and 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 or strengthen capacity building.
Comprehensive planning	The need to carefully design interventions so that they can meet their objectives and are likely to be sustainable. It includes appropriate scheduling of interventions so that pressure to show visible results does not undermine capacity building. Also critical is planning for the long-term sustainability of capacity gains after the withdrawal of interventions. Comprehensive planning includes a robust system for monitoring and evaluation.
Ownership and partnership	The need to ensure that those targeted for capacity building have a clear and significant role in the design and implementation of initiatives (which will again help to ensure they are appropriate, effective and sustainable). Ownership is likely to rest on active participation, clear statements of responsibilities, engagement of leaders, and alignment with existing DRM and DRR strategies.
Attention to functional capacity	The need to focus on 'functional' capacity building. This means doing more than improving technical skills and resources. It means developing the ability of stakeholders and organizations to take effective decisions and actions on DRM. It includes aspects such as improving coordination, and developing policies and plans. It also includes creating an enabling environment for effective decisions and actions, such as developing incentives for good staff performance, and building support among stakeholders to see DRM as a priority issue.
Integration of actors and scales	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 networks of stakeholders, and on building local people's capacity to interact with other stakeholders.
Contribution to disaster risk reduction	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 inequalities in both vulnerability and capacity.

M&E framework

The fieldwork highlighted that practitioners of DRM capacity-building programmes generally need help to develop and implement more robust M&E systems and, in particular, to shift their focus from monitoring activities and outputs to measuring outcomes and, ultimately, impacts. For this purpose, an M&E framework has been developed which can be used in DRM capacity-building programmes for monitoring and measuring progress against selected outcomes. The research found that M&E frameworks and tools work best when they are flexible and the programme implementer has scope for tailoring them to the intervention required. Therefore, a flexible framework has been designed which can be adapted, with the use of some accompanying guidance notes, to all DRM capacity-building interventions. The proposed outcomes and sub-outcomes to be monitored are set out in the table below, and are explained further in the accompanying guidance notes (Annex B), along with example indicators for each sub-outcome.

Table 2. **Proposed M&E outcome areas**

Outcome	Sub-outcome
1. The ability of actors to use knowledge, innovation, education, communication and technology for DRM has been enhanced.	1.1 Individuals and communities at risk of disaster are able to use enhanced DRM skills and knowledge as a result of the capacity-building programme.
	1.2 Actors engaged in policy-making, planning and/or implementation of DRM at national, regional, district and/or community level are using enhanced skills built by the capacity-building programme.
2. The institutional framework for DRM has been strengthened.	2.1 The capacity-building programme has led to the improvement of DRM policies, strategies and procedures.
	2.2 The capacity-building programme has led to the inclusion of a wider range of stakeholders in developing new DRM planning and operational processes.
3. Motivation to achieve effective DRM has been improved.	3.1 Political support for DRM has been strengthened at national, regional, district and/or community level by the capacity-building programme.
	3.2 The capacity-building programme has strengthened the motivation of communities and individuals to reduce their vulnerability to disasters.

1.2 Recommendations

The research findings point to a number of changes that should be made to the way in which DRM capacity-building programmes are conceived, designed and implemented. For easy reference, these are presented in Table 3 below, divided into recommendations targeted at policy-makers and recommendations more relevant for use by those DRM practitioners implementing capacity-building programmes.

Table 3. **Policy and programme recommendations**

Theme	Policy recommendation	Programme recommendation
Overall	Create strategic platforms for donors and agencies to work together within countries and regions on coordinated programmes of system-wide, multi-scale capacity strengthening oriented to building functional and enabling capacity for DRR.	
Improving capacity needs assessments	Adapt funding and procurement processes to enable robust and continuous needs assessments to inform capacity-building programmes. Support implementing partners to conduct capacity needs assessments prior to programme design.	Carefully plan and conduct capacity assessments before programme design and conduct continuous assessments to inform and adapt capacity-building programmes.
Fostering ownership	Ensure that capacity-building initiatives align to national and local policies, strategies and procedures and that a wide range of governmental and other stakeholders are significantly involved in shaping the objectives and approach.	Prioritize active engagement of the stakeholders targeted for capacity strengthening in programme design and implementation. If appropriate, include representatives from the national disaster management authority in the programme, e.g., as implementers or as members of the steering committee.
Considering sustainability	Much greater emphasis needs to be placed on creating the tools, and ensuring they are applied, to improve thinking around and planning for sustainability at the programme and national level. Policy-makers should consider the establishment of national or regional pools of DRM specialists so that expertise can be retained and shared across organizations.	Programme developers should formalize and systematize planning to ensure their interventions are as sustainable as possible, even if future funding is uncertain, as this process is likely to ensure improved capacity retention. Implementing agencies should expect and therefore plan for turnover of their staff and DRM stakeholders.
Accommodating longer time-scales	Improve stability and sustainability of capacity building for DRM by extending programme lengths to 5-10 years.	Lobby for lengthened DRM capacity-building funding and employ strategies to minimize the impact of gaps between funding.
Strengthening M&E	Donor agencies should encourage the improvement of M&E systems, particularly through the incorporation of outcome and impact-level M&E and the inclusion of external evaluations.	Implementing agencies should consider using the M&E framework included in this report and invest in training for staff involved in programme management.

Table 3. Policy and programme recommendations (followed)

Theme	Policy recommendation	Programme recommendation
Balancing technical and functional capacity building	Ensure that support for capacity building recognizes the importance of strengthening functional capacity as a primary objective.	Design interventions so that capacity support can translate directly or indirectly into functional capacity gains. Recognize that support for technical and functional capacities generally need to work hand in hand.
Creating an enabling environment for DRM	Capacity-strengthening programmes should incorporate activities and elements that specifically aim to build motivation for prioritizing DRM in society.	More consciously build an 'enabling environment' for DRM – future capacity-building efforts should look closely at the mechanisms through which programmes deliberately seek to foster enabling environments, in ways that might not conventionally be conceived as capacity-building activities. Community and local level initiatives should consider how their programmes can contribute to an enabling environment for DRM.
Improving the impact of training	Ensure that support for training continues with emphasis on more sustainable and diverse training mechanisms.	Consider how to incorporate the development of functional capacity within training activities. Consider the use of a training of trainers' approach, on-the-job training or secondments. Ensure that all training is interactive, contextualized and based on an attitude of mutual learning.
Supporting the shift to DRR	Orient capacity building toward a wider DRR approach that includes mechanisms for identifying and adapting to long-term changes in risk.	Actively target capacity strengthening at grassroots levels toward highly vulnerable social groups within communities.
Targeting prevention, mitigation and recovery	Broaden the focus of capacity-building support to all aspects of DRM, in order to strengthen capacities in prevention, mitigation and recovery.	Seek to incorporate elements of recovery, mitigation and prevention into capacity building programmes.
Building capacity to mainstream DRM	To ensure sustainable development and vulnerability reduction, donors, governments and policy-makers should promote and invest in capacity-building interventions to mainstream DRR.	Consider how capacities to mainstream DRM can be integrated into capacity buildving for DRM programmes as an action that can significantly boost the shift to DRR.

Table 3. Policy and programme recommendations (followed)

Theme	Policy recommendation	Programme recommendation
Integrating gender considerations	Donors should, as in other development activities, require the inclusion of gender-sensitive and comprehensive approaches to capacity building for DRM. Further work is required to provide and promote uptake of clear guidelines and tools for programmes on how to create gender-sensitive programming that moves beyond quotas for female participation.	Incorporate gender analysis from the early stages of programme design and consider using a gender specialist to both train the implementation team and identify opportunities for the programme to be more gender aware.
Linking to the context	Use south-south cooperation in DRM capacity-building programmes, ensuring that the two countries have similar hazards as well as similar levels of development.	Take time to consider creative and innovative ways to tailor activities and approaches to the context, rather than applying a standardized approach.
Building DRM capacity in fragile and conflict affected states (FCAS)	For capacity building for DRM in insecure environments, it is critical to build sufficient time into programming from the outset to consider how (and whether) the multiple structural barriers can be overcome, what incentives need to change, and what organizations should be involved in that process.	Conduct continuous assessment of the context and adapt programmes to changing needs in fragile states and within the areas of conflict.
Linking up the levels	Ensure that the sub-national level is not overlooked and that resources are made available for building capacities at the provincial and district levels.	Ensure that capacity built at one level can dovetail with capacities and processes operating at both lower and higher levels. Deliberately integrate inter-scalar coordination into capacity-building interventions, e.g., through mixing scales at training events, and build capacities for inter-scalar interaction.

1.
Introduction

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

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

The research was designed to provide lessons and guidance on 'how to' build DRM capacity in a range of contexts. This was achieved by analysing the characteristics, effectiveness and relative importance of a range of capacity building for DRM interventions across a variety of country contexts.

Research questions

The main research questions under investigation were:
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 was based on a country case study approach, complemented with a literature review and a global survey.

Research team

The research team was led by Dr Roger Few, Senior Research Fellow at the School of International Development (DEV) at the UEA. The Project Manager and Disaster Risk Governance Technical Lead was Zoë Scott (OPM) and Marcela Tarazona was the Disaster Risk Management Technical Lead (OPM). Kelly Wooster was the Fieldwork Leader, Anne Thomson was the M&E Specialist and

Mireille Flores Avila was the Research Assistant. The team worked alongside several consultants in each of the case study countries: Tesfa Berhanu and Gadissa Bultosa in Ethiopia; Zubair Faisal Abbasi, Maqsood Jan and Usman Qazi in Pakistan; Kyaw Myo Min and Kye Soe in Myanmar; Dr Jake Rom Cadag and Dr Emmanuel Luna in the Philippines; Brooke Olster in Haiti; and Antonio Beleza, Dr Alberto Mavume and Dr Antonio Queface in Mozambique.

Structure of the report

The rest of this report is structured into the following sections:

- **Section 2 Methodology:** This section details the overall approach and methodology taken during the research and sets out the six key principles that formed the conceptual basis of the research and were tested and refined during fieldwork.
- **Section 3 Trends in Global DRM Capacity Building:** This section outlines a number of key trends in capacity-building programming, using quantitative data collected during the course of the research.
- **Section 4 What Works for DRM Capacity Building? Synthesised Findings:** This section presents the synthesized findings of the research, looking in detail at both the process and the content of a range of capacity-building programmes. This is the longest section of the report so each subsection starts with bullet points stating the 'key messages' and ends with policy and programme recommendations.
- **Section 5 Towards a Theory of Change for Building DRM Capacity:** This section revisits the key principles and suggests an overarching theory of change for the way in which programmes can build DRM capacities effectively.
- **Section 6 An M&E Framework for DRM Capacity-building Programmes:** This section focuses on monitoring and evaluation (M&E) and proposes a new framework for monitoring and evaluating capacity-building DRM programmes, based on the research findings.
- **Section 7 Conclusion:** This section sets out specifically the new ideas and evidence that have emerged from the research, presents some reflections on the research process and identifies a number of knowledge gaps related to DRM capacity building. This section also collates all the policy and programme recommendations.

2.
Methodology

This section sets out the approach taken over the two-year duration of the project, provides detail on each of the methodological steps undertaken and identifies, from the literature review, six principles for effective DRM capacity building which formed the conceptual framework for the research.

2.1 Definitions

It is important to clarify exactly how DRM capacity building is being defined. The report draws from the United Nations Office for Disaster Risk Reduction (UNISDR) definitions (www.unisdr.org/we/inform/terminology) for DRM and disaster risk reduction (DRR):

- Disaster risk management is the 'systematic process of using administrative directives, organizations, and operational skills and capacities to implement strategies, policies and improved coping capacities in order to lessen the adverse impacts of hazards and the possibility of disaster'.
- Disaster risk reduction is the 'concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events'.

The term 'capacity building' will be used generally throughout this report, as it is a widely used term and is reflected in the title of the research. Other terms are used in the literature, including capacity development, strengthening and enhancement. Unfortunately, there is still no universal definition for either 'capacity', 'capacity building' or 'capacity development' – different donors and practitioners tend to use slightly differing definitions. The literature review explores these differences in greater detail but the following commonalities across the different definitions of capacity building or development can be observed:

- Capacity building is a process that occurs over a period of time to improve abilities and competencies sustainably to achieve a given objective(s).
- Capacity building is a broad undertaking which affects knowledge, skills, systems and institutions, touching not just on technical abilities but on resources, context and relationships.
- Capacity building occurs at several different levels – individual, organizational, institutional and societal.

With this in mind, the report has adopted Walker's (2013: 1) definition of DRM capacity building as 'efforts to strengthen the competencies and skills of a target organization, group or community so that the target could drive DRR efforts, or in a broader sense development, in a sustainable way in the future'. This definition reflects the definitional commonalities and, also, it focused the research specifically on disaster risk.

2.2 Research approach

The research had four inter-related elements:
1. An extensive literature review
2. Case study fieldwork in six countries
3. A study of international agency DRM spending on capacity building
4. An online survey of DRM professionals.

Each is described below in greater detail but, as an overview, the literature review was conducted first and led to the creation of a conceptual framework for the fieldwork by identifying, from previous published research, six principles for effective DRM capacity building. The fieldwork investigations were structured around whether and how these principles had been operationalized effectively in a selection of DRM capacity-building interventions, with an emphasis on identifying lessons learned. This fieldwork in six countries was complemented by an online survey which allowed the research team to collect the views and experiences of a wider sample of DRM professionals, working in countries other than the six selected as case studies.

Literature review

The literature review aimed to identify and analyse evidence of capacity building for DRM and DRR in low and middle-income countries.

Because capacity building, and DRM, are both themes that draw on multiple fields and disciplines, the review drew on literature from several different fields of policy guidance and academic study, including management and organizational theory, public administration in development, international governance, DRM, DRR and climate change adaptation literature, as well as resources on fragile states and M&E. Both academic and non-academic literature was reviewed but few resources were identified that specifically focused on capacity building for DRM. However, more than 100 publications were identified and reviewed that provided material of broader relevance to the research topic. Over half the resources reviewed had been published in the previous three years.

As more relevant literature has been published during the two-year period since the first version of the literature review was released, IFRC will provide an updated version at the end of the research period. It will be available at: www.ifrc.org/en/get-involved/learning-education-training/research/capacity-building-for-disaster-risk-management.

Using the analysis presented in the literature review, the research identified six principles for effective DRM capacity building. These are described in Table 4.

Table 4. **Key principles derived from the literature review**

Principle	Definition
Flexibility and adaptability	Capacity-building interventions should be approached flexibly, ensuring that the design of the programme is adapted to the context in which it is applied, rather than imposed by an external actor as a 'blueprint'. Examples include working with and reinforcing existing DRM skills, strategies, systems and capacities. This includes looking into the alignment of the intervention with international, national and local development strategies and its match with capacity needs. Programmes should include an understanding of the political, power and cultural dimensions that either can strengthen or can undermine capacity building, and take them into account in designing programmes.
Comprehensive planning	Capacity-building programmes must be designed carefully so that they are appropriate to the context, responsive and sustainable. Plans should be based on existing capacities and capacity gaps. The timetables and schedules of the programme's activities should be appropriate to the context rather than driven by pressure to demonstrate results, as this can undermine effective capacity building. Attention should be paid to planning for the long-term sustainability of capacity gains: for example, developing exit strategies and sustainability plans, so that capacity is not lost when the intervention ends.
Ownership and partnership	The people targeted by capacity-building programmes should have leading roles in shaping the programme's design and implementation. This helps to encourage the engagement of the target group and to ensure the programme is appropriate, effective and sustainable. Active participation contributes to ownership, along with possible strategies such as clear statements of responsibilities, engagement of leaders and alignment with existing DRM and DRR strategies, statements and plans.
Attention to functional capacity	Capacity-building efforts often focus on technical skills and knowledge but there is also a need to focus on and build managerial and organizational capabilities to ensure that effective decisions and actions can flow from technical know-how. Examples include improving coordination and decision-making processes. Capacity-building programmes can help to foster an enabling environment in very practical ways, such as by developing incentive structures for good performance which ensure staff retention. Also, programmes can promote the wider political conditions required to support DRR as a priority: for example, through establishing DRM committees and networks.
Integration of actors and scales	As DRM has a cross-cutting nature, capacity-building initiatives should enhance capacities to coordinate across scales and to work with multiple stakeholders. Capacity-building programmes can act to bridge capacity and communication gaps that commonly exist between national and local levels. Initiatives can focus also on building the capacities of coalitions of stakeholders and on building local people's capacities to interact with other stakeholders.
Contribution to disaster risk reduction	Ultimately, DRM capacity-building interventions need to adopt a more holistic DRR-influenced approach to DRM capacity. This includes moving beyond a short-term emergency-management approach to focusing on building capacities in disaster prevention, mitigation and long-term recovery. This principle also includes giving attention to understanding and planning for long-term changes in risk, targeting the needs of vulnerable groups and addressing gender inequalities in both vulnerability and capacity.

These principles were tested during the fieldwork with the aim of investigating their relative importance in a range of low and middle-income country contexts, and identifying practical lessons and examples of how they could be incorporated into DRM interventions in the best way possible. A post-research review of the principles and update of the definitions are provided in the section on 'Towards a Theory of Change for DRM Capacity-building Programmes' (see section 5).

Case studies

Following the literature review, the core research was based on a country case study approach. A pilot study was conducted in March/April 2014 in Ethiopia. The second case study was conducted in Pakistan in June 2014 using a refined, standardized methodological framework for data collection and analysis. The third case study was conducted in Myanmar in November 2014. The Philippines was the fourth case study, conducted in January/February 2015. The Haiti case study in March/April 2015 was followed by Mozambique as the sixth and final case study conducted in May 2015. The fieldwork and writing-up was structured to enable comparative analysis across countries and interventions.

In each of the six case studies, two or three capacity building for DRM programmes were studied in depth, providing an overall sample size of 15. In addition, the context/dynamics and overall capacity for DRM were analysed in each country. Programmes were selected for study with consideration for the research as a whole to give a broad overview of different types of intervention, different scales, different contexts and different types of disaster.

Programmes were selected only if: they had both capacity building and DRM as central foci; they aimed to enable government, organizations, communities or individuals to make better decisions regarding DRM in a sustainable way; they were near completion or completed recently; and they were broader than just training and provision of equipment or infrastructure. Table 5 shows all the programmes studied as part of the research.

During each case study, the research team 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 tools and were guided by question schedules.
c) **Ratings exercise** conducted with interviewees and groups. At the close of each interview, a brief exercise component was included that asked interviewees to rate the importance of the six principles for effective capacity building identified in Table 4 on a scale of 1 to 4.

Table 5. Programmes studied in depth during fieldwork

Country	Project name	Donor	Implementer	Budget (in US dollars)	Time-scale (in years)
Ethiopia	Disaster Risk Reduction and Livelihoods Recovery Programme	UNDP	Ministry of Agriculture	13,000,000	4.00
Ethiopia	Africa Climate Change Resilience Alliance (ACCRA)	DFID	Oxfam	835,000	3.00
Pakistan	UNDP's contribution to the One UN Joint Programme on Disaster Risk Management (One UN DRM)	UNDP	National Disaster Management Authority in Pakistan (NDMA)	2,800,000	3.00
Pakistan	Capacity Building for Disaster Risk Management Programme	ACT Alliance	Community World Service Asia (CWSA): Strengthening Humanitarian Assistance (SHA) component Community-based Disaster Risk Management component	342,000 566,088	4.00 2.00
Myanmar	Strengthening Disaster Risk Reduction Programme	Norwegian Ministry of Foreign Affairs	Asian Disaster Preparedness Center (ADPC)	450,855	2.75
Myanmar	Community-based Disaster Risk Reduction Initiative in south-east Myanmar	OFDA	International Organization for Migration (IOM)	1,600,000	2.75
Myanmar	Urban and Community-based Disaster Risk Reduction Programme	Norcross	Myanmar Red Cross Society (MRCS)	812,474	2.00
Philippines	Disaster Risk Reduction and Management Capacity Enhancement Project	JICA	Office of Civil Defense, Philippines (OCD)	3,120,000	3.00
Philippines	Philippines Resilience Programmes: BDRC and PPA	DFID	Christian Aid: Building Disaster Resilient Communities (BDRC) and Programme Partnership Agreement (PPA)	497,529 2,483,732	4.00 4.00

Table 5. Programmes studied in depth during fieldwork (followed)

Country	Project name	Donor	Implementer	Budget (in US dollars)	Time-scale (in years)
Haiti	Reinforcement of Disaster Risk Management Capacities and Resources of the Haitian Population Programme	DIPECHO	Consortium: IFRC, and Spanish, French, German and Haitian Red Cross Societies	1,862,000	1.25
Haiti	Reducing Urban Disaster Risk Programme	OFDA	GOAL	1,020,080	1.75
Mozambique	Safer Schools	GFDRR	UN-Habitat in association with stakeholders from the school sector in Mozambique	700,000	2.60
Mozambique	PRO-GRC: Assessoria Institucional para a Consolidação e Ampliação da Gestão de Risco de Calamidades (GRC) em Moçambique. (Institutionalizing Disaster Prevention in Mozambique Programme)	BMZ	German Development Cooperation (GIZ) and National Institute for Disaster Management (INGC)	7,600,000	5.00

During each case study, the team undertook the following steps in data collection and analysis:

a) **Preliminary desk-based study.** During the month preceding the field visit, the team undertook a 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; this was refined and added to as the fieldwork progressed.

b) **Main data collection in country.** The main data-collection phase comprised key informant interviews (semi-structured) at a mix of scales, group interviews and the collection of additional secondary sources (including non-electronic sources not previously accessed) and financial data relating to selected programmes.

c) **Final workshop.** At the close of the fieldwork, a final workshop was organized with stakeholders at a national scale. The workshop's purpose was to provide an update/debrief and feedback/validation of the preliminary findings of the case study, and offer an opportunity to undertake a large-scale M&E framework testing exercise with national experts (see section 6 for more detail).

d) **Initial analysis.** Preliminary analysis of primary data sources commenced whilst researchers were in the field. For qualitative data sources, the initial analysis entailed coding/collation of interview transcripts. The coding scheme has a shared core component to facilitate comparative analysis.

e) **Integrated analysis.** Data from across data sources was compiled for each selected activity and for the context as a whole to provide a narrative analysis. Triangulation of data sources was employed wherever possible to maximize robustness of the analytical points drawn. Findings from each case study were assigned confidence levels of High or Medium (depending on the strength of the evidence in each case).

In total, 486 individuals were interviewed across six countries, out of which 184 were female participants and 302 male.[1] A total of 166 data-collection meetings, across national, subnational and community levels, was organized. These included semi-structured interviews (126), group interviews (29) and workshops (11). The final workshops were attended by a total of 110 participants across six case study countries.

The research team also graded the programmes studied in each country on their effectiveness in relation to the six principles (see Table 4) using a Likert scale. The aggregated findings on these performance ratings are presented throughout the report.

The research team adhered strictly to ethical guidelines whilst in country; this included gaining verbal consent from all participants in the research prior to interviews. Prior to fieldwork commencing, the full methodology and all research tools were submitted to OPM's Ethics Review Board and were given approval. The research was conducted on the basis of confidentiality and therefore, in this report, there is no disclosure of the identity of those making statements that are reported.

The country fieldwork reports can all be found at: www.ifrc.org/en/ get-involved/learning-education-training/research/capacity-building-for-disaster-risk-management.

International agency DRM spending on capacity building

To ascertain the extent of global donor agency budgeting for DRM capacity building and identify trends in global spending, the research team spent time accessing and analysing donor financial information. Unfortunately, the only organization able to provide recent budgetary data on their capacity-building spending was IFRC. These data have been analysed and are presented in section 5.

The team also reviewed published research on DRM spending, most notably Kellett and Caravani (2013), Global Facility for Disaster Reduction and Recovery (GFDRR)'s Disaster Aid Tracking database and a database developed for the Department for International Development (DFID) by Development Initiatives (using 2011 data from the Organisation for Economic Co-operation and Development (OECD) Creditor Reporting System) but none could provide specific data on capacity-building spending.

1 *This does not include numbers for pilot focus group discussions in Ethiopia.*

Survey of DRM professionals

In order to be able to complement the qualitative evidence with some quantitative data, and to be able to include the views and experiences of practitioners outside the countries selected as case studies, the research team conducted an online survey. The aim was to collect information on the budgets, activities, duration and focus of recent DRM capacity-building programmes, and to collect respondents' views on the importance of the six principles (see Table 4) for overall effectiveness. Seventy-six individuals responded to the survey from a range of types of organization, including international agencies, non-governmental organizations (NGOs), national governments, donor organizations, United Nations (UN) agencies, research organizations and Red Cross and Red Crescent Societies. The data have been analysed and are presented throughout this report.

3.
Trends in Global DRM Capacity Building

<div style="background:red; color:white;">

Key messages

</div>

- It is not clear how much is being spent globally on DRM capacity building although sources suggest that, overall, DRR spending is increasing.

- Budgets for individual DRM capacity-building programmes, however, remain relatively small, with large-scale ($20 million+) programmes being unusual. This creates a 'piecemeal projectized' approach to DRM capacity building, rather than a coherent approach to the enhancement of DRM capacities globally.

- Capacity-building interventions are focusing disproportionately on preparedness, with little attention being paid to building capacity for prevention and mitigation work, and even less on building capacity for disaster recovery.

- On average, DRM capacity-building initiatives tend to be less than three years in duration and very few are more than five years in duration.

- DRM capacity-building initiatives are tending to overlook the subnational and local levels, and are prioritizing the national and community levels instead.

3.1 Global spending on DRM capacity building

During the course of the research, the research team aimed to investigate the question of how much is being spent globally on DRM capacity building. To start to answer this question, the team worked with representatives from IFRC and other international donor agencies to analyse their budgetary spend data.

As discussed in the methodology section above, IFRC was the only organization able to provide recent budget data that disaggregated spending by DRM capacity-building interventions. IFRC was able to provide budget information on DRR spend for the years 2009 to 2013, but this was broken down to show only an amount for 'staff/volunteer capacity building' – it was not clear which of the other DRR activity budget headings would have involved elements that could be described as 'capacity building' in a broader sense. For the specific category of 'staff/volunteer capacity building', IFRC's spending has been:

- 2010 – 10.0 per cent of the overall DRR activity budget of CHF 88.1 million
- 2011 – 3.0 per cent of the overall DRR activity budget of CHF 95.3 million
- 2012 – 9.4 per cent of the overall DRR activity budget of CHF 109.8 million
- 2013 – 7.0 per cent of the overall DRR activity budget of CHF 122.3 million

It is worth noting that the data above also show that IFRC and Red Cross Red Crescent National Societies' spend in relation to DRR has been increasing steadily; DRR spending almost doubled from CHF 68.1 million in 2009 to CHF 122.3 million in 2013 (IFRC, 2013).

Because of the lack of information available directly from the specific targeted donor agencies, the research team undertook a rapid review of other published literature and available datasets on the topic. Solid research has been undertaken on tracking the DRR global spend in recent years, most notably by Kellett and Caravani (2013), GFDRR's Disaster Aid Tracking database and a database developed for DFID by Development Initiatives. However, none of these sources separates out 'capacity building' from other types of expenditure and so it is impossible to disaggregate funding to DRM capacity building specifically. For example, the GFDRR dataset is broken down into three subsets – disaster prevention and preparedness, emergency response, reconstruction and rehabilitation – each of which would contain capacity-building activities.

The problems encountered in accessing clear spending data on DRM capacity building point to a broader deficiency in the international financing system for DRM. As Kellett and Peters (2013: 5) state, "financing for emergency preparedness is complicated, fragmented and piecemeal, especially the international contribution, with an array of separate institutions, mechanisms and approaches determining which parts of the preparedness continuum are funded, and in what ways… Evidence suggests that the bulk of international funding – where it is available – is not concerned with building the long-term capacity of national systems of preparedness but is reinforcing a piecemeal and project-led approach."

This global-level problem was manifested clearly at a local level during the fieldwork – in most countries, the research team struggled to access clear budgetary data on DRM capacity-building spending, unless the entire project related to capacity building and then the whole programme budget could be used. Sometimes this was due to a desire to keep budget information confidential but, often, it was as a result of confusion over who had funded what and to what extent, even for projects that had ended only recently.

Findings from the fieldwork support this idea of 'piecemeal' funding for DRM capacity building. From the 15 programmes that were studied during the fieldwork, the average programme budget was $2,512,651, with the lowest budget being $342,000 and the highest being $13 million. The research did not reveal very large DRM capacity-building initiatives: i.e., with $20 million+ budgets. This suggests that most initiatives fall well below this level, with many under the $1-million level.

If the budget information is disaggregated by level for the 15 programmes that were studied in depth, then the average budget for programmes targeting the local level is $1,144,185 whilst those targeting the national level have an average budget of $4,014,171. Given that the sample size is small, it is not possible to generalize on this basis but it seems likely that, typically, initiatives targeting the national level would have larger budgets than those targeting the local level.

3.2 Where is capacity building for DRM happening?

Figure 1 presents findings from the global survey on the regional pattern of investment. The data suggest that, while there is broad coverage across regions, significant investment for DRM capacity building is focused on Africa – just over half (55 per cent) of survey respondents stated that DRM capacity-building interventions in which they had been involved over the last five years had included work in Africa. This is likely to be a reflection of the capacity-building need in the region, as well as general patterns of aid intervention. The fact that Asia receives major capacity-building attention, with 41 per cent of survey respondents stating that DRM capacity-building interventions in which they have been involved over the last five years have included work in 'east Asia and the Pacific' region, followed by 31 per cent for south Asia, probably reflects the geographical burden of disaster impact. As data from the World Disasters Report (IFRC, 2014) indicate, reinforced by indices of disaster risk such as UNU (2011), the global burden of disaster measured in terms of numbers of disaster events, numbers of deaths and numbers of people affected is all skewed toward hazard-prone, high-population countries of south, south-east and east Asia. This ties in with general spending on DRR which, as Kellett and Caravani (2013) show, is focused mainly on Asia. Similarly, IFRC data on DRR spending 2009–2013 show that most funding goes towards the 'Asia-Pacific' category (IFRC, 2013).

Figure 1. Geographical focus of DRM capacity-building activity
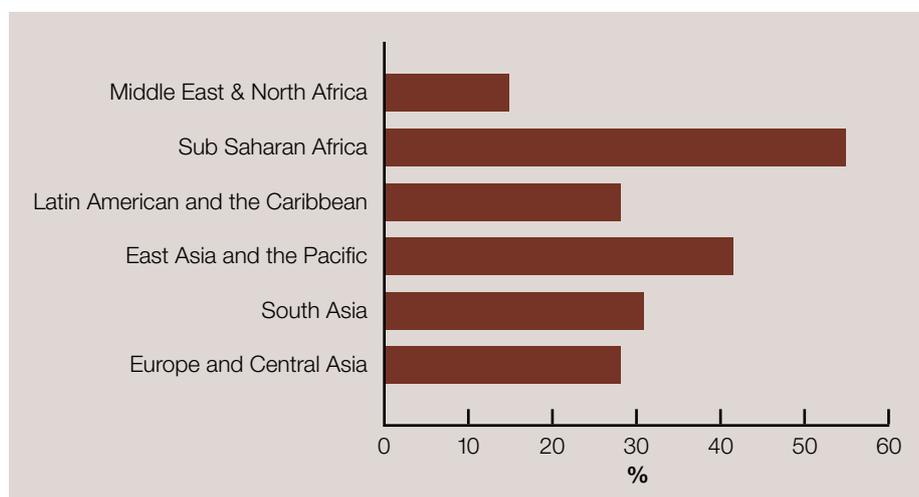
Source: IFRC research on capacity building for DRM, Global Survey.

On a national level, the case studies suggest that, commonly, the presence of capacity-building DRM interventions is related to recent incidences of disasters. In locations where there has been a disaster, many organizations started their engagement with disaster response. They typically saw this as a way to build trust with communities and then took the opportunity to undertake more holistic DRM programming through capacity-building interventions. This approach does, however, leave room for gaps and means that capacity building for DRM is, to some extent, reactionary – many places that have high risk or longer-term risks may well be overlooked.

3.3 What types of capacity-building activity are being prioritized?

Ninety-five per cent of respondents to the survey stated that training and skills development (both technical and managerial) had been included in capacity-building DRM interventions in which they had been involved over the last five years. The fieldwork experience also supports this and allows the research to conclude that training is the most common capacity-building activity and absorbs the greatest proportion of funding allocated to DRM capacity building. Other capacity-building activities that are popular, according to survey respondents, are 'Development of DRM policies, strategies and plans' with 79 per cent of respondents having been involved in such activities over the last five years, and 'Creation of mechanisms for coordination' with 71 per cent of respondents having been involved in related activities. The lowest scoring activity was 'Development of incentives for good performance and/or staff retention' with just over 13 per cent of respondents having been involved in such activities during the last five years.

In terms of funding going to different capacity-building activities, 62 per cent of the survey respondents said that the greatest proportion of funding for DRM capacity building went to training and skills development and 17 per cent to the provision of new technology. This is an interesting result as it highlights the focus of capacity-building initiatives on these two particular types of activity, both of which fall under the category of 'technical' capacity building (see section 4.6).

When asked about the activity that received the second-highest amount of funding, the survey respondents provided more mixed responses. For example, 29 per cent of respondents referred to the development of DRM policies, strategies and plans, and 27 per cent to creating mechanisms for coordination. The results tend to suggest that, while seen as important components of programmes, such 'functional' aspects of capacity building still tend to be secondary goals (at least in terms of financial outlay).

3.4 What aspects of DRM are being prioritized?

Data from the survey show that, typically, capacity-building interventions are combining different aspects of the DRM cycle but there is a low level of emphasis on prevention/mitigation (less than 8 per cent of survey respondents identified being involved specifically in this kind of work over the last five years) and even less on recovery (less than 2 per cent of survey respondents had been involved in programmes that prioritized recovery during the last five years).

Figure 2. **Which aspects of DRM are being prioritized?**

Combination of the above
46.1%

Preparedness
22.4%

Recovery
1.3%

Response
22.4%

Prevention/ mitigation
7.9%
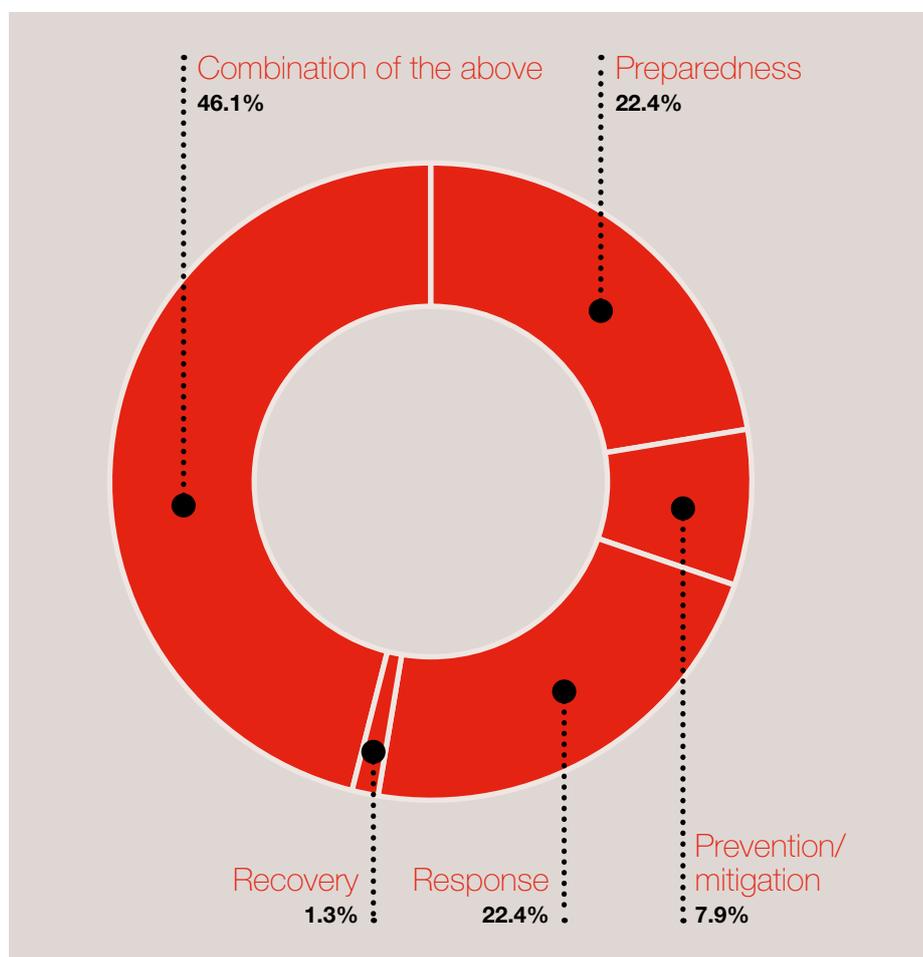
Source: IFRC research on capacity building for DRM, Global Survey.

This finding was evidenced also by the fieldwork. From the 15 programmes that were studied in country, 12 were focused primarily on preparedness and three on mitigation. None focused primarily on building capacity for prevention or recovery, even though the research searched specifically for programmes that incorporated these elements. Therefore, it is clear that preparedness and emergency response are being focused on most, with little attention being paid to prevention, mitigation and, especially, recovery. This is discussed more in section 4.10.

3.5 Who are the main actors involved in DRM capacity building?

The research found that DRM capacity building is being undertaken by a wide range of different actors including:
- multilateral agencies, such as United Nations Development Programme (UNDP) and World Bank
- bilateral donors, including German Development Cooperation (GIZ) and DFID
- international NGOs, for example Christian Aid and Oxfam
- regional NGOs, such as Asian Disaster Preparedness Center (ADPC) and Community World Service Asia (CWSA)
- national and subnational governments
- Red Cross and Red Crescent National Societies
- local civil society organizations and academic institutions.

The research did not come across examples of private-sector initiatives to build national and local capacity for DRM in the countries selected for fieldwork. Similarly, none of the 76 respondents to the survey stated that they had been involved in any capacity-building interventions targeted at building the capacity of the private sector.

3.6 Time-scales for DRM capacity-building programmes

DRM capacity-building programmes generally have very short time-scales – 73 per cent of survey respondents stated that interventions in which they had been involved recently lasted between one and three years. Only 6 per cent of survey respondents reported having been involved in programmes lasting more than five years.

Again, observations during the fieldwork support this finding from the survey. From the programmes that were studied in depth, the average length (of 15 interventions) was 2.97 years. The shortest duration was 1.25 years and the longest was 5.00 years. However, it should be acknowledged that several of the programmes, although contracted as stand-alone projects, could be described best as sequential phases of the same donors' engagement and overall DRM programming in a particular country.

3.7 What levels are targeted for DRM capacity-building support?

It is clear that DRM capacity-building interventions are operating at multiple levels and, therefore, are involving personnel from different layers of government and different types of NGOs. During fieldwork, the research team encountered a few regional initiatives, many national-level capacity-building interventions, some projects including the subnational/provincial level and a wide range of local government and community-level-focused initiatives. Findings from the survey suggest that most DRM capacity-building interventions target a range of different levels, and that there is a relatively equal split of projects focusing exclusively on national (25 per cent) or community (19 per cent) levels. However, there seems to be a 'missing middle' with only 7 per cent of respondents reporting that they had been involved in programmes specifically targeting the subnational or local level. This issue is discussed further in the section on 'linking up the levels' (section 4.15).

4.
What Works for DRM Capacity Building? Synthesized Findings

This chapter of the report presents the main results of the research. It discusses a series of different themes relating to the process and content of capacity-building initiatives. The discussion draws mainly on findings from the case studies, supplemented with insights from the literature review and the international survey. Each section starts with a summary of key messages, and draws out recommendations relating to policy and practice. The discussion also highlights aspects of programmes that worked particularly well, and why.

At the conclusion of the research, the research team conducted a performance-rating analysis in order to assess collectively how well the programmes performed in terms of the six principles. The results of that analysis are as follows:

Table 6. **Aggregate results of the performance analysis of case study programmes by the research team (maximum rating 1, minimum rating 4)**

Principle	Flexibility and adapt-ability	Compre-hensive planning	Ownership and part-nership	Atten-tion to functional capacity	Integration of actors and scales	Contribu-tion to DRR
Mean performance rating	1.42	1.94	2.14	1.89	1.97	2.28

Some of the sections below also draw on statistics from a parallel analysis – the principles-rating exercises conducted with research participants (see section 2). As noted, data collection included asking 196 case study interviewees and 75 survey respondents for their perspectives on the importance of each of the six pre-identified principles of effective capacity building for DRM. A rating of 1 indicated the highest level of importance and 4 indicated the lowest. Aggregate mean ratings were calculated across the dataset for each principle and are presented with some commentary in Table 7 in section 5.

4.1 Improving capacity needs assessments

Key messages

- Many DRM capacity-building interventions are not conducting systematic capacity needs assessments to inform the design of the programmes.

- When needs assessments are undertaken late or are rushed, it can lead ultimately to programme delays and can reduce effectiveness.

- When capacity assessments are conducted before the launch of a programme, the implementers are able to design programmes which are more fit for purpose and have more realistic time-frames from the outset.

In the literature, it is well established that capacity assessments are crucial for the design of appropriate programmes. In UNDP's Capacity for Disaster-reduction Initiative (CADRI) guidance on capacity development, the authors confirm, "In each case, a thorough assessment of what capacities are needed, why they are needed and who they are for needs to be made before any capacity development action plan can be set" (CADRI, 2011: 12).

All of the programmes selected for in-depth study during the case studies were regarded generally as high-performing programmes. Each one conducted a variety of assessments, starting from the early stages of the programme; this contributed to the ability of each to adapt to be more appropriate to the needs and the context being addressed. However, only seven out of the 15 initiatives studied were designed based on assessments conducted before the launch of the programme to inform the development of proposals for funding. The remaining eight programmes that also conducted needs assessments did so after the development of proposals for funding, limiting their usefulness in shaping programme design. These included the five initiatives which were designed based on the need, expressed by the government directly to donors, for capacity building for DRM. Where the government identified the need for capacity building directly, capacity needs assessments were conducted in the early stages of implementation.

The Reducing Urban Disaster Risk (RUDR) programme implemented by GOAL in Haiti emerged as a high performer in capacity needs assessments, demonstrating a strong evidence base for programme design at the proposal stage. The programme was enhanced further by periodic assessment using a variety of tools such as a Community Resilience Toolkit (based on the Hyogo Framework for Action), a vulnerability and capacity assessment (VCA) toolbox (adapted from an IFRC model) and Knowledge, Attitude, Practice and Behaviour surveys. The assessment outputs, combined with a robust M&E system, enabled GOAL to gather information continuously, which could be used to design appropriate programmes based on emerging needs. GOAL's strategy was to concentrate its efforts in a small urban geographical area and use cumulative knowledge to improve programme design.

Post-implementation capacity assessments limit ability to allocate resources effectively

One barrier to conducting capacity needs assessments for improving the design stage that was encountered in several countries was the pressure to launch the programme quickly without a clear vision of capacity needs and areas of priority. In one example in Pakistan, only once the capacity assessment was done could the implementers prioritize activities to the areas of highest risk in the country. Ironically, the overall impact was time delays because of the need for programme redesign.

The Safer Schools Project in Mozambique conducted its capacity needs assessment after the programme began. The assessment indicated a higher level of need than was anticipated originally; therefore, the programme was delayed until it could be redesigned to meet actual needs. The assessment exercises also led the programme designers to realize that a different line agency should lead the programme. The programme was adapted successfully but, again, the impact was a significant delay in the timetable.

The Africa Climate Change Resilience Alliance (ACCRA) in Ethiopia, on reflection, found that, while assessments were completed before the programme began, the assessment itself did not analyse the current enabling environment adequately and this limited the programme's impact. Therefore, opportunities were missed in the programme execution (Ludi et al., 2011).

One significant enabler for conducting capacity assessments was having pre-existing relationships and programmes in the target area for capacity building. Both programmes studied in Haiti benefited from previously established community relationships. Both GOAL and the Red Cross National Societies operating in Haiti expressed that assessments were substantially less time consuming in places where they had worked previously when compared with those in new communities. Also, many of the capacity-building programmes benefited from information gathered from previous programmes. Where organizations such as

Conduct capacity needs assessments early

Christian Aid, CWSA and GOAL had conducted previous assessments in water, sanitation and hygiene, shelter, land use and livelihoods, the capacity needs evidence base in the capacity building for DRM programme design was stronger than it was in other programmes. Each of these programmes largely met its objectives in the originally planned time-frame.

It is clear from the research that, where capacity assessments were conducted before the launch of the programme, the implementers could design programmes more fit for purpose and with more realistic time-frames from the outset.

Policy recommendations

- Adapt funding and procurement processes to enable robust and continuous needs assessments to inform capacity-building programmes.
- Support implementing partners to conduct capacity needs assessments prior to programme design.

Programme recommendation

Carefully plan and conduct capacity assessments before programme design and conduct continuous assessments to inform and adapt capacity-building programmes.

4.2 Fostering ownership

Key messages

- DRM practitioners are keenly aware of the importance of ownership for DRM capacity-building effectiveness.

- Programmes are taking steps to ensure those targeted for capacity building are involved in the design and implementation but improvements could still be made to ensure that those targeted have a stronger engagement and greater sense of the value of the capacity-building process and the resulting gains.

- Ownership does not happen without effort and deliberate design. This applies to both national and grassroots scales.

- High-level engagement is often vital for capacity-building interventions – without it, capacity built at lower levels of administration, potentially, could be undermined by changes in personnel, policy direction or approach.

One of the key principles identified by the literature review as being critical for effective DRM capacity building is ownership (Hagelsteen and Becker, 2013). This is true at all levels, ranging from national government to the community level. The literature on capacity building generally (non-DRM-specific) emphasizes that active participation of those targeted by capacity-building initiatives in the design and implementation of the process is important, not just to ensure the relevance of the programme to the situation on the ground but to strengthen

International Federation of Red Cross and Red Crescent Societies

4. What Works for DRM Capacity Building? Synthesized Findings

motivation to utilize and maintain the level of capacity that has been attained (Lucas, 2013; Rosén and Haldrup, 2013; Sigsgaard, 2011). Participation is particularly important in a DRM context, because the best knowledge of both vulnerability and hazards typically lies with the communities themselves.

Ownership is understood widely amongst DRM policy-makers and practitioners to be important for the effectiveness of DRM capacity-building interventions. Seventy-four per cent of survey respondents said that it was 'vital' for the success of such programmes, and 24 per cent said it 'strongly increased the chances of effectiveness'. In the overall results of the principles-rating exercises, ownership/partnership received the highest rating of 1.42. However, despite ownership being perceived widely as vital, there was mixed evidence of how much it was prioritized in practice in the case study programmes. In the performance rating of programmes conducted by the research team, ownership received an average rating of 2.14, the second lowest. Although the sample is small, this does suggest that some room for improvement remains in many DRM capacity-building programmes to ensure that those targeted for capacity building have a very strong stake in the design and implementation of each capacity-building initiative, and a very strong sense of the value of the capacity-building process and gains.

Nevertheless, the research found evidence that DRM capacity-building programmes across the case study countries are taking clear steps to galvanize ownership. For example, at the national government level, in five of the 15 programmes studied, governmental actors actively shaped the initial design and the subsequent development of the capacity-building plans. Soft skills of implementing agency staff were identified as key ingredients for building effective partnership with government. Soft skills were cited as: patience, persistence, politeness, good communication and mutual respect. In addition, the implementing agencies paid careful attention to aligning their programmes to existing government structures, policies and priorities; this improved ownership.

Practical steps for building ownership

It is important to emphasize that ownership does not materialize simply from a desire to work in partnership; it requires genuine commitment of time, structured activities, creativity and flexibility from the actors involved.

DRM stakeholders from the community and local government are more inclined to act on what they have learned if they take an active role in identifying their own gaps and needs and then identify their own solutions to meeting these needs. Mobilizers from Myanmar and Mozambique explained that convincing communities that DRM was their own problem and they should be part of the solution was an effective way of stimulating community contributions. Mobilization techniques such as participatory VCAs and hazard mapping are widely used to build awareness of risk through facilitated self-learning. While risk management remains an externally driven activity, these exercises in themselves are intended to create a sense of ownership through employing participatory approaches.

Capacity gains are more likely to occur when the national disaster management authority leads on capacity building for DRM implementation and is involved closely in a particular programme's governance structure. Several of the case study initiatives used this approach. For example, in the UNDP's contribution to the One UN Joint Programme on Disaster Risk Management (One UN DRM) in Pakistan, implemented by the National Disaster Management Authority (NDMA),

evidence suggested that there was a strong sense of partnership and owner-ship by NDMA in terms of decision-making. NDMA co-chaired the Thematic Working Group, the working-level forum which included the participating UN agencies that discussed day-to-day operations. There was two-way and regular communication between lead UN agencies and NDMA, and active shaping of ideas and plans by NDMA. Though relative expertise in DRR meant that the ini-tiation of ideas and advice was generated largely by UNDP and then considered and decided upon by NDMA, there were some individuals within NDMA who shaped the agenda more actively. Extensive discussions took place around the elements of capacity building but the final decision on whether or not drafted plans went ahead lay with NDMA. Decisions such as the geographical focus of activities and the target population were said to be particular aspects in which NDMA insisted on taking control. An example provided by interviewees was a case when NDMA insisted UNDP undertake a needs assessment before ap-proving funding of activities in Azad Jammu and Kashmir region.

Christian Aid in the Philippines emerged as a high performer in fostering owner-ship and partnership through a Learning Circle and the Disaster Risk Reduction Network (DRRNet). The Learning Circle was a Christian Aid-established group of DRM stakeholders who met regularly to improve DRM capacity. It provided opportunities for diverse actors, including Christian Aid staff and implementing partners, communities living in disaster risk areas and academics, to build re-lationships by sharing their knowledge and experience in DRM. DRRNet is a forum for promoting DRM issues in the country. The approach for establishing and managing DRRNet is described in more detail in Box 1 below.

Box 1. Establishing ownership for DRM through creation and management of a DRR network

Christian Aid, along with other actors in the humanitarian community in the Philippines, established a network of agencies to promote DRM initiatives at the policy level. DRRNet used a number of mechanisms for fostering ownership and partnership in its work: 1) All convenor agencies signed a memorandum of understanding which defined roles and responsibilities of membership; 2) Annual membership fees were paid by all participating agencies; and 3) The role of the lead convenor agency rotated every two years and had responsibilities for coordinating activities, monitoring against the strategic plan, attending meetings with government bodies such as the National Disaster Risk Reduction Management Council and representing the network at events.

According to two DRRNet members, these systems have spread the responsibility in a way that, while still challenging, is manageable for stakeholders. DRRNet's continued significant role as a DRM stakeholder in the Philippines is a testament to the effectiveness of these mechanisms. DRRNet made significant contributions to the development of the national disaster risk reduction and management (DRRM) law in the Philippines in 2010 and continues to operate in 2015 as a body to support and monitor the implementation of DRRM law.

Building high-level ownership

Two programmes that excelled in using a highly consultative process at all stages of the programme to build ownership were the Safer Schools Project funded by GFDRR and implemented by United Nations Human Settlements Programme (UN-Habitat) in association with stakeholders from the school sector in Mozambique and the Strengthening Disaster Risk Reduction Programme implemented by ADPC in Myanmar. Interviewees from both programmes pointed to the careful selection of stakeholders to participate in the processes as an important factor for driving programmes forward. Engaging high-level stakeholders (ministry level) from relevant institutions from the outset, through advocacy meetings, was a critical first step. Once political will for improving DRM was established, high-level government representatives then identified appropriate stakeholders to participate in the capacity building for DRM processes: those who had relevant decision-making authority and could participate for the duration of the project, where possible. To sustain ownership and support for DRM, high-level government representatives were invited to observe meetings and training workshops; this resulted in sustained commitment to the capacity-building programmes.

The Capacity Enhancement Programme in the Philippines, funded by Japan International Cooperation Agency (JICA) and implemented by the Office of Civil Defense (OCD) was overseen by a Joint Coordination Committee that acted as a mechanism to keep the project on track, to monitor activities and to function as a final decision-making body. It comprised senior officials – typically heads of agencies – from OCD, other selected government agencies and JICA, and was chaired by the OCD undersecretary. It effectively operated like a board, providing policy direction and guidance, and dispute resolution. Any disagreements between JICA and OCD were raised in this forum for discussion and final decision-making. While it was impacted negatively by high turnover of personnel, it was effective at ensuring involvement of senior management across different government agencies.

Ownership for several national-level programmes was enhanced by the use of steering committees made up of high-level DRM stakeholders. The purpose of the steering committees was to keep relevant stakeholders updated about programme progress and constraints, and to make strategic decisions to guide the programme direction.

Building ownership at the community level

The case study programmes that were targeted to the community level tended to use a similar community-based DRM approach. The literature regarding capacity building for DRM underlined the premise that the key initial step for fostering local-scale leadership is to build knowledge and understanding of risk (Daniel et al., 2013) and findings from the research indicate the same. For example, in Mozambique, national disaster-management staff members approached community leaders to raise their awareness about DRM concepts, explaining that there are elements of risk that can be controlled by the community. If they gained acceptance, the community-based DRM programme could begin. The longevity of the Institutionalizing Disaster Prevention in Mozambique Programme (PRO-GRC) (five years), was useful because it allowed programme implementers to share evidence about the benefits of effective community-based DRM from earlier programme participants.

In the research, local leaders and community members alike expressed appreciation when the community-based DRM programmes allowed communities to self-select training participants and DRM team members. The community intervention team recruitment process in Haiti proved to be effective in both rural and urban contexts.

Other effective techniques observed during the research to enhance ownership of community-based DRM were: community contributions of labour, explicitly encouraging participants to share local DRM knowledge, 'learning circles' to share knowledge and experience between teams and stakeholder groups, opportunities to present to government and external actors, and management of small mitigation works. These techniques were found to encourage ownership and promote meaningful commitment to protecting communities at risk.

One of the challenges that arises repeatedly when working with DRM initiatives involving poor communities is the likelihood that certain groups, often those who are most vulnerable to natural hazards, will face serious barriers to participation because of livelihoods constraints. The research showed that, of community-based DRM providers studied, most intentionally decided not to provide incentives (either financial or in-kind) for attendance for fear of undermining ownership, of starting an unsustainable practice or of attracting people to attend purely so they would receive the 'payment'. Programmes in different countries have found several ways to work around this issue, including compressing training, running evening training courses and providing in-kind incentives for attendance such as transportation to training and food during the events.

Enablers of and barriers to ownership

The research team found that the frequency and intensity of disasters play crucial roles in pushing DRM onto the political agenda and adding pressure for stakeholders to 'own' the problems related to weak DRM. In all case study countries, a specific major disaster marked the beginning of a sustained commitment (and essential funding) for building capacity in DRM. In addition, previous humanitarian and development programmes and longer-term relationships built between agencies and DRM stakeholders in the country appear to be important precursors for successful introduction of capacity building for DRM initiatives. Several agencies pointed to their previous experience in disaster response as providing the enabling environment for conducting capacity building for DRM with the same stakeholders.

Barriers to ownership include low salaries and incentives for government staff to engage meaningfully in capacity-building activities, and weak organizational skills for implementing new approaches in DRM. The value of training was diminished where training participants did not have the decision-making authority to implement the changes about which they had learned. This occurred even when managers had directed the employees to attend the trainings. CWSA in Pakistan requires letters of management support and a robust action planning exercise that is followed up; they have found that these processes enhance ownership of training activities.

Policy recommendation

Ensure that capacity-building initiatives align to national and local policies, strategies and procedures and that a wide range of governmental and other stakeholders are significantly involved in shaping the objectives and approach.

Programme recommendation

Prioritize active engagement of the stakeholders targeted for capacity strengthening in programme design and implementation. If appropriate, include representatives from the national disaster management authority in the programme, e.g., as implementers or as members of the steering committee.

4.3 Considering sustainability

<table>
<tr><td align="center">**Key messages**</td></tr>
</table>

- DRM capacity-building programmes are paying insufficient attention to securing the sustainability of capacities developed – typically, they do not undertake systematic sustainability planning or produce exit strategies.

- Programmes have to design mechanisms actively for capacity retention or transfer, otherwise gains are undermined by staff turnover.

- Sustainability is more of a problem at the local level, where there tends to be increased turnover, and funding decisions at a higher level can undermine capacity gains and retention.

- The creation of national knowledge bases, or pools of DRM expertise, can help with capacity retention.

Capacity can be considered truly to have been developed only if it is sustainable and, therefore, lasting. Concerns over the sustainability of capacity-building activities are echoed across the literature (Hagelsteen and Becker, 2013; Tadele and Manyena, 2009; Van Riet and Van Niekerk, 2012) and are a major reason for the argument that capacity-building effort should be directed to strengthening the functional capacity of institutions (see section 4.6). Staff turnover, for example, has been identified repeatedly as a major problem. The fieldwork confirms the universality of turnover as a problem, although the team found various examples of programmes taking steps to reduce both turnover and the impacts of turnover. These are detailed in the sections below. However, despite these positive examples, it should be noted that most programmes are failing to give appropriate attention to the sustainability of their programmes. Only one of the programmes studied in depth, the ACCRA programme, appeared to have started considering an exit strategy; others were unable to articulate how they were considering and improving the sustainability of their programmes systematically in the institutions they were strengthening. In the worst cases, interviewees admitted that this was a weak area, and issues such as how equipment was going to be maintained or how DRM plans would be developed in the future simply had not been considered. For example, in two programmes that incorporated mitigation activity, plans had not been formalized about who would own or maintain public works once the programme was completed.

In some cases, interviewees expressed that sustainability planning was pointless as they were unsure what financial resources they would have at their disposal in future years. This was particularly the case for those projects implemented by NGOs and points to the need for longer time-scales for DRM programmes and funding, as highlighted elsewhere in this report (see section 4.4). However, for one programme, the inverse was the case – the programme had been running in different forms over so many years that interviewees felt sure that they would receive future funding and felt no urgency to consider how, potentially, as an external organization, they could exit or move on to a different geographical area or focus group.

Interviewees often argued strongly that their programme was sustainable because it was aligned closely with government priorities and processes or because it was owned strongly by the community. Whilst it is reasonable to assume that strong national or local ownership is likely to improve the

Pay more attention to sustainability

sustainability of capacity built under a particular DRM programme, implementing agencies should still, systematically, be reviewing the sustainability of the capacities that they are developing, designing mechanisms for retention and striving to improve in this area, rather than presuming that local ownership will future-proof their work automatically.

Despite the lack of formalized and systematic attention to sustainability, it is clear that programmes do build lasting capacity successfully. For example, the research found projects that could demonstrate how activities had been expanded and scaled up, sometimes several years after the end of a particular initiative, or where DRM concerns had been mainstreamed effectively in development planning in future years, as well as examples of how building capacities for advocacy had resulted in permanent changes in DRM law. In particular, evidence from the fieldwork suggests that DRM capacity programmes tend to bring lasting change when they incorporate building capacities for mainstreaming DRM into planning processes, include elements of advocacy to help foster an enabling environment and adopt a process of gradually transferring skills and expertise planned over a number of years. The issue, therefore, is not necessarily that capacities being built are unsustainable, but that capacity retention does not appear to be well considered and planned in most programmes.

Building sustainably at the local level

Sustainability of capacity gains is a bigger problem at subnational levels. This is partially because turnover is perceived to be more of a problem, and because staff members at provincial and municipal levels are more likely to be employed on short-term contracts or fulfilling multiple roles. It is also because capacity activities can be halted suddenly, and gains sometimes reversed, by decisions made at higher levels. This was noted, for example, in Mozambique with the PRO-GRC; interviewees complained that progress made in building capacities for district DRM planning was undermined when DRM elements were often cut out of the plans and, therefore, the budgets at a provincial level. This issue is discussed more in section 4.15 on linking up different levels of government to support capacity-building initiatives.

Reducing turnover

DRM capacity-building programmes in low and middle-income countries are hampered by turnover both of the implementing agency staff and within the group whose capacity is being targeted. High staff turnover, especially in government departments and other public sector bodies, causes a loss of institutional memory (European Commission, 2012) and is particularly challenging in fragile states (Brinkerhoff, 2007). In all the case study countries, the team found evidence that high turnover was a problem and that it seriously undermined the effectiveness of DRM capacity-building programmes.

There are many underlying causes for high turnover of government staff, including higher salaries and better conditions being offered by UN agencies and international NGOs. Countries such as the Philippines employ a policy of staff rotation and so personnel are moved on regularly often with little notice, meaning that DRM positions are filled frequently by inexperienced staff. This has been a particular problem also at the leadership level as there have been four different administrators in the OCD (the lead agency for DRM) over a three-year period, as this is a political appointment. Similarly, NGOs implementing DRM capacity-building programmes can suffer high turnover as a result of funding gaps between programmes. For example, in one programme in Haiti, a gap of seven months arose between phases of funding, which caused staff to move to other roles; this created serious difficulties for the programme.

During fieldwork, the research team found the following strategies were being used by DRM capacity-building implementers to try to reduce their own turnover levels and were having a positive effect:
- revise salary scales and internal promotion systems
- implement salary increases and improved benefits packages, particularly to ensure that they are in line with other organizations, although this is difficult in resource-constrained environments
- increase internal and external training opportunities: for example, study tours
- provide longer-term contracts, although this can be difficult if funding for a post is tied to a particular programme
- establish regular coaching and mentoring of staff.

Mitigating the impact of turnover

For many interviewees, high turnover is to be expected and the best strategy, therefore, is to plan for it and take steps to ensure that the organization is prepared for this inevitability. In several countries, interviewees were optimistic about the issue, and argued that capacity is not lost, necessarily, if it is viewed from a national or systemic perspective. If an individual moves to work for another organization, they will still be using their DRM expertise to benefit the country.

During fieldwork, the team found that programmes were employing several techniques to prepare for turnover. Some of the most interesting included mechanisms to develop national knowledge bases so that capacity could still be shared between organizations, regardless of where an individual was employed. For example, in Mozambique, GIZ supported the National Institute for Disaster Management (INGC) through the PRO-GRC to build, nationally and gradually, a pool of trainers who are able now to deliver quality training without external support. In the Philippines, Christian Aid established a national pool of DRM expertise – see Box 2 for details. Other strategies used across the case study countries include:

International Federation of Red Cross and Red Crescent Societies

4. What Works for DRM Capacity Building? Synthesized Findings

- making teams deliberately larger than initially required so that some turnover can be accommodated
- lengthening the time-scales of interventions to accommodate the need for inductions and retraining
- requiring those participating in capacity-building activities to share learning formally with colleagues, and rigorously tracking this process to ensure that it takes place
- documenting processes and progress carefully to ensure some institutional memory is retained.

Box 2. Creating a national pool of DRM expertise to retain capacity

As with all capacity building for DRM programmes, turnover of stakeholders was an ongoing challenge for Christian Aid's Philippines Resilience Programme. Internally, the loss of trained staff can be devastating to the progress of capacity building for DRM projects. For this reason, Christian Aid created a national pool of DRR specialists and trainers who could be called upon to provide DRM capacity-building support nationally. Participants in the pool were drawn from Christian Aid's Learning Circle and their ten-day comprehensive DRR training. They were paid a fee for delivering training outside their own organization and could continue being used as consultants/trainers, regardless of whether they moved organization or not. Interviewees from Christian Aid and other implementing partners have found this to be an effective way to retain capacity, and interviewees stated that they still benefit actively from the DRR specialist pool, which was formed more than five years ago. While many of the members have moved to new roles and organizations throughout the country, they remain a tangible national resource to inform current DRM work, which is accessible to a range of different organizations.

Several other mechanisms were used by the Philippines Resilience Programme and found to be effective in improving sustainability. A Learning Circle was established as a way of creating and retaining DRM capacity across various stakeholders. To retain capacity more effectively, the following steps were taken:
- Learning events were attended by a minimum of two representatives from each implementing agency, mitigating the impact of turnover.
- Implementing partners with similar interests were grouped together in clusters (for example, those working in coastal areas, urban areas, rural areas, etc.) for learning activities; this made the learning more relevant and applicable.
- Learning event participants were responsible for sharing what they had learned with other staff members from their organizations upon returning to their offices. This was planned specifically and each learning event participant had an 'exit plan' which detailed exactly how and when the sharing of learning would take place when they returned to their organization.
- Documented case studies of lessons learned through the implementation of DRM activities were published and, therefore, would be retained despite turnover.

From these examples, it is evident that lasting changes to organizational capacity are unlikely to emerge unless mechanisms are designed proactively to ensure capture or retention of capacities.

Policy recommendations

- Much greater emphasis needs to be placed on creating the tools, and ensuring they are applied, to improve thinking around and planning for sustainability at the programme and national level.
- Policy-makers should consider the establishment of national or regional pools of DRM specialists so that expertise can be retained and shared across organizations.

Programme recommendations

- Programme developers should formalize and systematize planning to ensure their interventions are as sustainable as possible, even if future funding is uncertain, as this process is likely to ensure improved capacity retention.
- Implementing agencies should expect and therefore plan for turnover of their staff and DRM stakeholders.

4.4 Accommodating longer time-scales

Key messages

- Lack of sufficient time-scales is a chronic challenge for DRM capacity building and is the root cause for other identified common challenges such as the lack of appropriate assessments to inform programme design, the lack of attention to creating sustainability strategies and the inability to cope with turnover of stakeholders.

- The typical time-scale of capacity building for DRM programmes, according to the global survey respondents, was one to three years.

- Sufficient timetabling enables programme stakeholders to enhance both technical and functional capacity and shift towards more holistic DRR approaches to DRM

In every case study country, a frequent complaint has been that the time-scales for DRM capacity-building programmes are too short. This issue is a common concern with capacity-building programmes generally, given that developing individuals and organizations sustainably is likely to be a long-term endeavour (Brinkerhoff, 2007; Keijzer, 2013). It seems to be a particular challenge, however, in relation to building capacity for DRM as, often, programmes are trying to shift a long-held institutional and cultural bias towards response in favour of a more holistic DRR perspective, incorporating principles such as mitigation and prevention. At the community level, DRR may well be a completely new idea, with new terminology and concepts that must be taught from scratch before they can be embedded. To be effective, these processes will always require long time-frames but, in all countries, the typical time-frame for a DRM capacity-building programme was two to three years, regardless of the size of the budget. Decisions regarding the length of a programme appear to be driven more by donor funding cycles than by what is deemed necessary during project design.

In the global survey, 54 out of 76 respondents (73 per cent) said that the typical duration of capacity-building programmes in which they had been involved was between one and three years. The average length of programme studied under the research was 2.97 years and only 6 per cent of survey respondents stated that they had been involved in DRM capacity-building initiatives in recent years that had time-scales more than five years. Programmes focused solely on community-based DRR and urban DRR conducted by the Red Cross Red Crescent and NGOs were the shortest, ranging in time-scale from 16 months to two years. In the case study countries, longer time-scales were associated with programmes targeted at the national level. Four programmes had a duration of four years with funding from UNDP and DFID, and one programme with funding from the German Federal Ministry for Economic Cooperation and Development (BMZ) had a duration of five years. This evidence suggests that, despite repeated calls in the literature for longer capacity-building programmes, there has been little change to programming on the ground.

Donors are criticized often for short-term funding and rigidity in categorization of funding as either humanitarian or development. While strides have been made in linking humanitarian programmes with early recovery, there is still a missing link in terms of providing a holistic DRM approach in capacity building. In reality, donors are confronted with several challenges, such as increased pressure to show results and potentially contrasting commitments to principles of humanitarianism and geopolitical priorities (Bayne and Buckley, 2014).
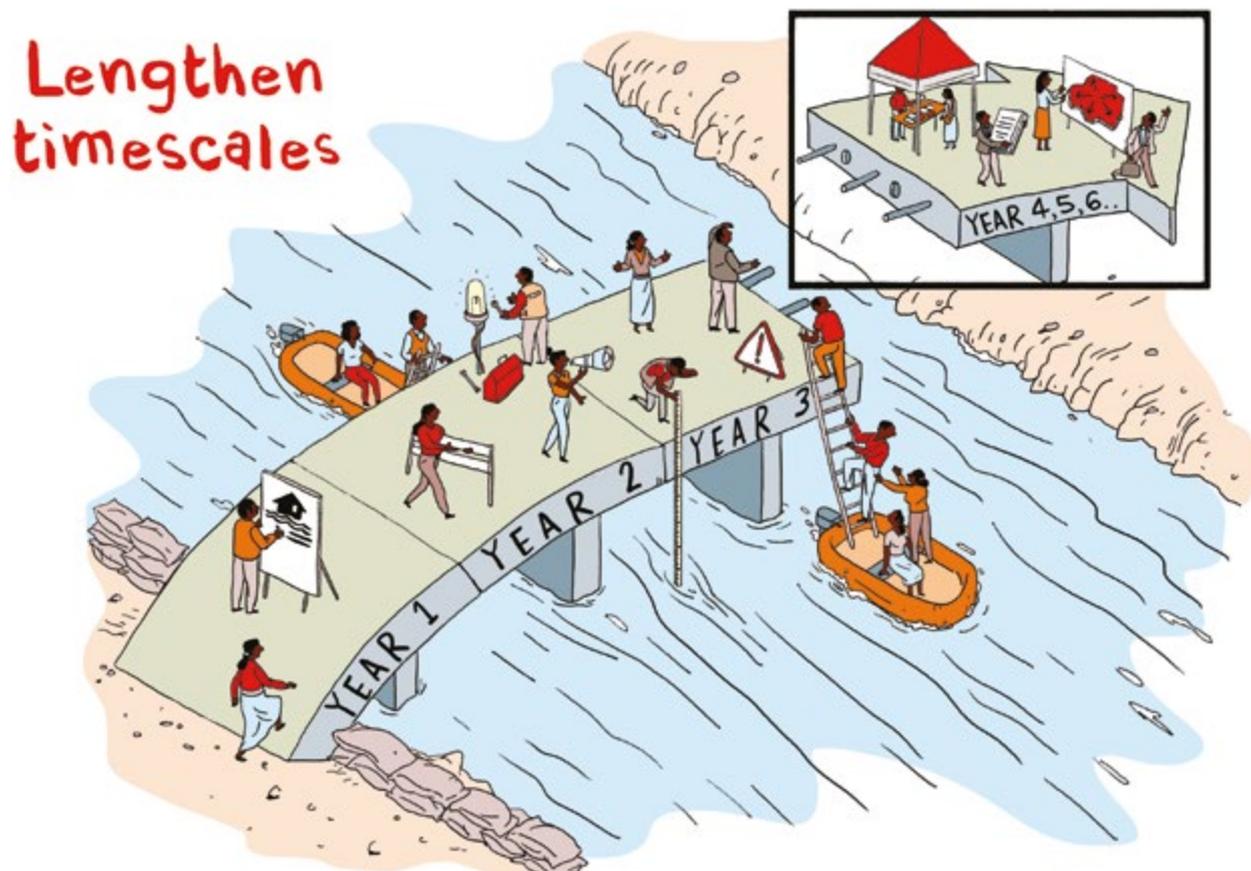
Most of the organizations running programmes studied as part of the fieldwork entered the particular geographical area as a result of a disaster. After implementing humanitarian responses, each organization would see an opportunity to build capacity for DRM. The challenge was to attract longer-term funding to transform activities from response to preparedness and mitigation.

In the case study countries, short funding cycles drove capacity building for DRM implementers to employ different strategies to achieve their longer-term goals. For example, the RUDR programme implemented by GOAL in Haiti pursued funding earmarked as both 'humanitarian' and 'development' funding simultaneously; this helped them to provide continuous programming and created stability for staff members. The capacity building for the Disaster Risk

---

Box 3. Considerations for sufficient timetabling in functional capacity building

Achieving goals in functional capacity for DRM within the time-frame of a programme has been a fairly constant challenge to the majority of capacity building for DRM programmes studied under this research. The exception has been the PRO-GRC, where sufficient timetabling was recognized as a programme strength (PRO-GRC, 2013).

GIZ prioritizes functional capacity building as part of its sustainability strategy. The first consideration for time planning was that stakeholders must develop their technical capacity first through raising awareness and developing knowledge and skills related to DRM and climate change adaptation. Technical capacity formed the basis for functional capacity building to take place.

One interviewee recalled that, at the beginning of the PRO-GRC, many of the stakeholders automatically assumed that a programme on DRM would have a significant focus on the provision of infrastructure and equipment. It took more time to gain ownership for functional capacity building because it is much more difficult to 'see' the results. Having said this, the programme had been preceded by a three-year initiative called German Technical Cooperation (GTZ) Programme for Rural Development (PRODER) in Mozambique which helped PRO-GRC meet its indicators within the planned time-frame. Under PRODER, a tested and functioning DRM system and structure had been established already in one area and this provided useful evidence for PRO-GRC to demonstrate potential impact and build ownership more quickly in other geographical areas.

Another consideration for functional capacity-building timetabling was that programme beneficiaries needed time to realize and adjust to new responsibilities in DRM. Many of the cross-sectoral actors and communities had assumed that INGC was responsible for everything to do with disasters rather than it being a shared responsibility across multiple actors. Actors then needed the time and space to come to the realization themselves that change was needed. GIZ and INGC conducted a phased process, which included consultative meetings, trainings and facilitated interactive exercises which led stakeholders to identify and accept responsibility for both the problems and the solutions.

Also, effective timetabling was seen as a coping mechanism for turnover within government. One GIZ team member said, "If our indicator said we needed to work with five people, then we would end up working with 20 because so many staff members came and went over the lifetime of the project."

Management Programme, funded by Act Alliance and implemented by CWSA in Pakistan, used core funding to keep its capacity-building programme going, operating under full capacity only when the next disaster occurred and topped up funding. The Reinforcement of DRM Capacities and Resources of the Haitian Population Programme in Haiti had nine consecutive programmes funded by the Disaster Preparedness European Commission Humanitarian Aid Office (DIPECHO) but the community-based DRM programme suffered when there were gaps of several months between funding cycles (as long as eight months on one occasion). The impact in both countries was that trained staff members sought other jobs and the capacity-building programmes had to start virtually from the beginning with each new funding cycle.

Below is an example of what it is possible to achieve in a five-year DRM capacity-building programme in Mozambique. The PRO-GRC was conducted by GIZ in partnership with INGC and funded by BMZ. Several interviewees described the beneficial impacts of having sufficient timetabling in the capacity-building programme.

Several authors noted the importance of donor agencies providing continuity in funding and strategic direction (Brinkerhoff 2007; REGLAP 2012; Sigsgaard 2011). In the PRO-GRC, there was evidence of sustained DRM capacity as a result of the continuous funding. The structures and systems for DRM created under PRO-GRC have continued and, in some examples, upscaled independently of GIZ since the end of the programme. For example, at the finish of PRO-GRC, there were approximately 200 local DRM committees created through the programme. As of two and a half years after the programme finished, there were approximately 1,000 local DRM committees operating across the country.

It is also notable that a lack of sufficient time-scales has been identified by interviewees across the case study countries as the root cause of many of the common challenges related to capacity building for DRM that are highlighted in this report: the lack of appropriate assessments to inform programme design, the lack of attention to creating sustainability and the inability to cope with turnover of stakeholders (Brinkerhoff 2007; Centre for Peace and Conflict Studies, 2012). There is a clear case for improving DRM capacity building through more predictable and stable funding with longer time-scales.

Policy recommendation

Improve stability and sustainability of capacity building for DRM by extending programme lengths to 5–10 years.

Programme recommendation

Lobby for lengthened DRM capacity-building funding and employ strategies to minimize the impact of gaps between funding.

4.5 Strengthening M&E

<div style="background:red">

Key messages

</div>

- The quality and robustness of programme M&E can be improved substantially. In particular, programmes need to shift from monitoring activities and outputs to measuring outcomes and impact.

- External evaluations of DRM capacity-building programmes are rare.

- M&E frameworks and tools work best when they are flexible and the programme implementer has scope for tailoring them to the programme.

- Donors should work to incentivize M&E best practice. Typically, M&E is viewed as a donor requirement rather than an opportunity to improve programme effectiveness.

- Often, remote M&E guidance and support from headquarters is required and can work effectively when capacities on the ground are weak.

The literature review found that there are few resources available that focus specifically on M&E for DRM capacity building and, across the whole DRR field, there is a lack of tailored M&E methods and tools (Benson and Twigg, 2007). Despite the increased focus on disaster risk in recent years, there are presently few resources specifically related to M&E for DRR (Villanueva, 2011).

There is no common methodology that is used widely for M&E of DRM programmes although there are collections of DRM indicators, evaluations of DRM programmes and some resources relating to M&E for climate change adaptation. These resources (particularly those on climate change adaptation) highlight a number of key practical challenges for M&E in the context of climate change and DRR. For example, climate change is characterized by long timeframes and, essentially, requires the tracking of a moving target. It is difficult to measure non-events and universal indicators are unlikely to be relevant as adaptation must be grounded in the context, scale, sector and nature of the endeavour (Bours et al., 2013; Villanueva, 2011).

The findings from the fieldwork confirm that M&E is indeed a problem area, and progress remains very slow in developing effective M&E frameworks for DRM capacity building that are rigorously applied in low and middle-income countries. Overall, the quality and robustness of programme M&E can be improved substantially. The following points are true for most of the programmes studied in depth during the course of the fieldwork:

- Strong M&E systems and frameworks were not in place.
- When monitoring was carried out, it tended to focus on internal monthly update reports or lessons-learned exercises, rather than on tracking progress against predetermined indicators at strategic points in a programme.
- Programme staff members were trained insufficiently in M&E practices and often required support from headquarters.

In addition, most initiatives focused on monitoring activities and outputs, with less attention paid to outcomes and impact. For example, the number of participants at a workshop is monitored but the extent to which they have been able to utilize the training is not; the wider organizational impact is not assessed. This is not surprising, as outputs and activities are easier to monitor

> ## Box 4. The PRO-GRC monitoring system was developed in a flexible and adaptable way, and focused on outcome indicators
>
> The PRO-GRC was conducted by GIZ in partnership with INGC and funded by BMZ. The programme used a flexible approach for monitoring that was appreciated very much by interviewees from GIZ and from INGC for the following reasons:
> 1) There was a one-week training for the GIZ team at the beginning of the programme on how to use the system which contributed to more effective programme planning and collaborative working.
> 2) The approach to M&E was participatory and offered opportunities for open and solution-focused discussions with partners.
> 3) The monitoring focused on outcomes rather than activities, giving maximum freedom to adapt activities so they were appropriate to the local situation.
>
> Monitoring was the responsibility of the M&E officer and was conducted four times per year. An annual report was produced also following facilitated meetings with stakeholders. Monitoring reports were designed around programme indicators. A colour-coded reporting system quickly showed the reader the status of each indicator.

than are outcomes and impact, which can be determined only after several years. However, monitoring outcomes and impacts was identified as an important success factor for effectiveness both within the fieldwork and across the M&E literature (see Box 4).
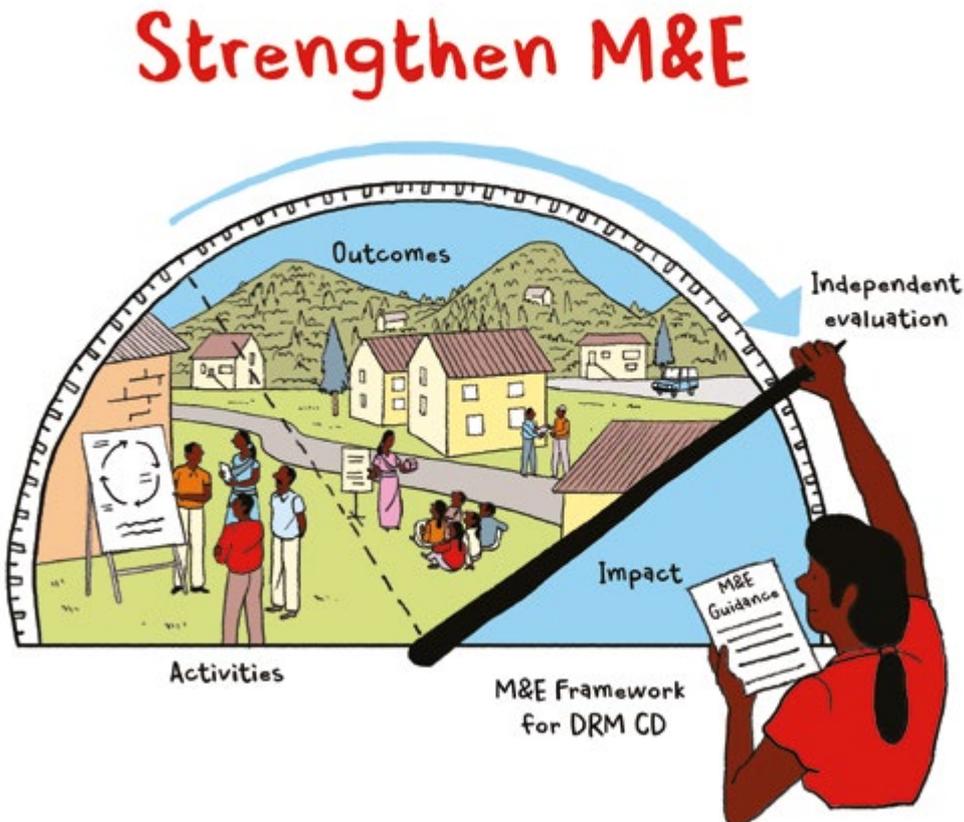
Incorporating flexibility into M&E tools

When designing an M&E framework or toolkit, it is particularly important to make it as flexible and adaptable as possible so that it can be made relevant to each particular programme. For example, in the Philippines, for the Resilience Programmes implemented by Christian Aid and funded by DFID, a pre-defined M&E system was imposed using global indicators for monitoring progress. This was because the programme was part of a global initiative. However, the indicators were found to be too complex and difficult for partners to use successfully. After a series of consultations with implementing partners, the indicators were simplified for use at local levels and monitoring was focused on outcomes and outputs at the national level. Similarly, in Mozambique, flexibility, adaptability, a participatory approach and a focus on outcome indicators were seen as keys to the success of the PRO-GRC M&E system (see Box 4).

Donors can incentivize M&E best practice

According to findings from several programmes across several different countries, donor pressure can act as the primary rationale for conducting M&E, as systems are driven typically by the expectations of programme donors. In many countries, the research team encountered a view that M&E is an additional donor requirement, rather than part of the implementing agencies' responsibilities or a mechanism for improving programme effectiveness. For example, one programme in Myanmar diligently provided six-monthly progress reports, including monitoring of outputs, efficiency, problems, risks and finance as were required specifically, but additional M&E activities (for example, an independent evaluation) were not undertaken as they were not a specific requirement of the donor.

This finding suggests that a donor can play a key role in encouraging (and mandating) more rigorous M&E systems and approaches but would need to provide significant resources to support staff training and the development of guidelines.

Independent evaluations are not common

One important observation from the fieldwork was that DRM capacity-building programmes appear to be evaluated rarely. Out of the 15 programmes studied in this research, only four conducted internal evaluations or end-of-project assessments, and none had external independent evaluations. This undoubtedly has an impact on the ability of implementing agencies to learn from the past, and for international agencies to track progress of DRM capacity building globally. Consequently, donors, routinely, should include a requirement for external evaluation for large capacity-building programmes.

Providing technical M&E support

The fieldwork showed that M&E of DRM capacity building can be enhanced with the provision of robust global-level technical support, information-management systems and coordination. However, to maximize opportunities for sustainable skills transfer, the implementing agency/beneficiary organization should be included in the process of generating M&E information. For example, the RUDR programme by GOAL in Haiti had one of the most highly developed M&E systems in place, when compared to other case study countries. The programme appeared to excel in the provision of technical support to the Monitoring, Evaluation and Learning (MEL) team through distance learning opportunities, post-training assignments and ongoing technical advice in different thematic areas. Information management and reporting were enhanced through tracking

systems at the global and local levels to ensure reporting needs were met. GOAL staff members in Haiti have expressed that the global support which was provided to the MEL team has contributed to their ability to use monitoring tools appropriately and has enabled better communication with stakeholders on the project's achievements and challenges.

The findings presented above provide evidence of the need for the M&E framework that was developed as part of this research project – see section 6 and Annex B.

Policy recommendation

Donor agencies should encourage the improvement of M&E systems, particularly through the incorporation of outcome and impact-level M&E and the inclusion of external evaluations.

Programme recommendation

Implementing agencies should consider using the M&E framework included in this report and invest in training for staff involved in programme management.

4.6 Balancing technical and functional capacity building

Key messages

- Greater emphasis should be placed on moving beyond technical training to building the functional capacity within the society for effective decisions and action on DRM to be taken.

- Significant contributions to functional capacity emerged from the case studies, including development of DRM policies and legislation, coordination mechanisms for decision-making, and mainstreaming of DRR in development plans at different scales.

- It is not necessarily useful analytically to separate technical from functional capacity building – fundamentally, the two are related and reinforcing, and elements of them both may be present in the same activity.

- In situations where the starting point for DRM capacity is low, such as in many fragile states, it may remain important to prioritize technical capacity as a counterpart for effective functional capacity

Capacity-building interventions at all scales can relate to different 'elements' of capacity, including: material resources – access to equipment and technology; human resources – skills, knowledge, awareness; structures – organizations and policies; processes – decision-making, coordination, delivery; and enabling mechanisms – political support, advocacy, staff incentives. In practice, provision of training and equipment often dominates capacity building for DRM interventions (Hagelsteen and Becker, 2013), and a common criticism is that training is often short term in approach, and not sustained beyond the immediate trainees (see section 4.8 on training).

The wider literature on capacity building strongly suggests that capacity building that is confined to technical aspects of provision of resources (equipment and training) tends to be less successful in the long run than capacity building that works at a more functional level (in terms of, for example, improving coordination and decision-making processes, and fostering an enabling environment) (Lucas, 2013; Matheson, 2011). Similarly, guidance from multilateral agencies emphasizes the importance of building the managerial and organizational capabilities needed to ensure effective decisions and actions can flow from technical know-how (CADRI, 2011; UNDP, 2008). Therefore, there has been increasing recognition that attention to the functional aspects of capacity should go hand in hand with capacity building that is more technical in focus, if capacity-building gains are to be deep-rooted and sustainable (Brinkerhoff, 2010).

The research (including evidence from the case studies and the survey) indicates that the focus on technical capacity remains strong in capacity building for DRM initiatives. In answer to the survey question on activities included in DRM capacity-building interventions, approximately 95 per cent of respondents referred to 'training and skills development' – making it clearly the most common activity reported. Two other activities oriented to technical capacity, 'information provision to the public' and 'provision of new equipment/technology', were both reported by 54 per cent of respondents.

However, the survey suggests that activities oriented to building functional capacity are playing a significant role in capacity-building initiatives in the sector, with 'development of DRM policies, strategies and plans', 'creation of mechanisms for coordination' and 'development of DRM legislation' all reported by the majority of respondents (79 per cent, 71 per cent and 51 per cent of respondents, respectively). In the scoring of principles across the survey respondents, 59 per cent rated 'attention to functional capacity' in the second highest of four categories of importance and 36 per cent rated it as the highest category.

This pattern, indicating that a mix of technical and functional capacity elements is common in capacity building for DRM interventions, was replicated broadly in each of the case studies. Looking across the programmes studied, the research team rated the performance in terms of 'attention to functional capacity' as good, though not optimal (the mean rating was 1.89). Even though, in the selection of case studies, the research team endeavoured to choose projects that incorporated functional capacity building, they all tended to include training within a mix of other elements.

Indeed, the idea that capacity building should go beyond provision of technical capacity is not fully recognized by all actors. In Ethiopia, for example, the responses of some interviewees suggested that there is still some way to go in convincing key actors in DRM that capacity building should be seen as more than provision of equipment, training and finance. While many people at national level acknowledged the importance of capacity building 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 building is likely to be higher. A relatively lower prioritization given to functional capacity building is revealed in responses to the principles-rating exercise across the case studies, in which attention to functional capacity was rated joint lowest of the principles at 1.79 (although, like all principles, it was still rated as important).

Focus on functional capacity development
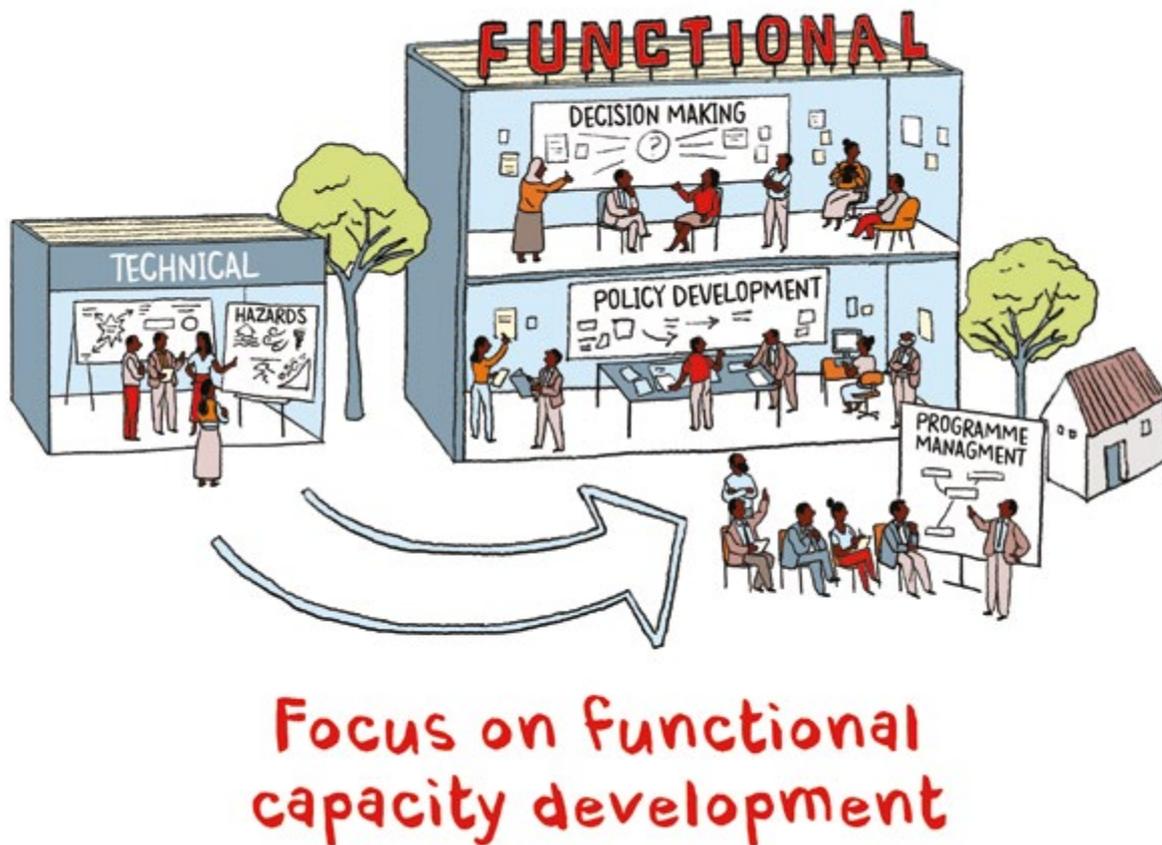
Practical examples of functional capacity building

The findings broadly concur with the importance of shifting capacity building toward greater emphasis on functional aspects – as these, commonly, are perceived as the most significant contributions (see also section 4.7 on creating an enabling environment). In Pakistan, for example, the focus of capacity building under the One UN DRM Programme, which was funded by UNDP and implemented by the NDMA, was particularly on supporting the operationalization of the NDM Ordinance (later an Act), through policy development and institutional development. According to a former UNDP senior staff member: "There was a system for dealing with disasters in place but not a modern DRM system. One UN DRM recognized that we needed institutions first and then to build capacity of individuals in them." According to Ahmad et al. (2013), the programme catalysed both the development of DRM policy and the institutional regime. In working closely with the NDMA, One UN DRM strengthened capacity at national level. The programme helped develop the initial steps in mainstreaming of DRR, and the joint governance structure established for the programme later came to form a broader multi-stakeholder mechanism for DRM coordination. Particular emphasis was placed also on building and strengthening the subnational system of provincial and district-level disaster authorities. This included the appointment of DRM coordinators to province and district levels as a vehicle for institutional and skills development, and assistance in the development of district disaster-management plans.

At the community level, functional capacity building can improve communities' abilities to plan, make decisions collectively, prioritize activities and manage pooled funds for the common purpose of DRM. In Myanmar, as part of the

Box 5. Developing functional capacity mechanisms for DRM at village level in Myanmar

Under the Myanmar Action Plan for Disaster Risk Reduction, mechanisms for DRM are expected to be developed at all administrative levels, including at village level. However, seldom have the challenges for implementation of this mandate at grassroots level in Myanmar been addressed without external intervention. Interviewees at the state level in Kayin indicated that significant progress at this scale has taken place to date only within the 60 villages that have so far received capacity-building assistance from IOM through the Community-based Disaster Risk Reduction Initiative in south-east Myanmar.

As well as provision of awareness-raising and training, three key functional elements of capacity-building support have been provided by IOM in the target villages. First has been establishment of VDMCs, commencing with explanations to villagers of the rationale and rules of the committees, followed by discussion of the roles and responsibilities of specific committee members, and culminating in each community making its selection of suitable people for each position. Second, working with the VDMC and other interested villagers, IOM then employs a range of participatory information-gathering techniques to undertake a participatory hazard, vulnerability and capacity assessment (PHVCA), providing a detailed profile of livelihoods, resources, risks and capacities in the village. Third, based on this assessment, IOM subsequently works with the villagers to develop a village action plan (VAP) listing priority actions in mitigation, preparedness and emergency response. The results of the assessment and planning exercises are then brought together to form a village DRR plan. Eventually, this is produced as a written document following a standardized template developed by IOM that also includes a statement on duties and responsibilities of VDMC officers and subcommittees (and a list of roles, responsibilities and contact details of township disaster management committee members). As an example, a completed village DRR plan produced for a community in Bilin township in Mon state ran to 28 pages of main text plus six pages of annexes.

The research team attended a meeting of the VDMC in one village in Kayin state. The group confirmed that its members had formed the committee with guidance from IOM, starting in 2012 with village meetings at which local hazards, early warning and emergency response were discussed. IOM had provided examples of other VDMCs, which they had helped to form elsewhere, and outlined the types of people required to perform each committee role. Development of PHVCAs and a VAP followed via subsequent meetings. Information raised by villagers tended to be recorded on flipcharts and, later, written up into the village DRR plan format by IOM staff. There are presently seven copies of the plan, held by the village leader and main committee members. The VDMC is hoping now to organize a simulation exercise to test and validate the plan. As noted in the introduction to the plan, the committee views the document as providing an important information base for the village and a platform for requesting DRR support.

According to the provincial government's Relief and Resettlement Department (RRD), the existence of DRM mechanisms in the target villages is wholly a consequence of IOM's intervention. It was not considered feasible for the village DRR plan to be co-written directly by the community, thereby raising questions around how thorough updating of the document will be sustained following the exit of IOM. However, as with IOM support at township level, one can see a balance at play here with the capacity-building activities of IOM perhaps not following a model capacity-building approach but nevertheless bringing a small but significant capacity gain under the weak DRM capacity context currently in existence at the local level in Myanmar.

Community-based DRR Initiative, the International Organization for Migration's (IOM) work at village level has centred on the establishment of village disaster management committees (VDMCs) and development of village DRR plans in 60 villages across two states. This has been undertaken through a multi-staged process of engagement that, from a relatively low base, has established a structure for decision-making on disaster preparedness and response at a community level that VDMC members perceive has strengthened their capacity to manage risk (IOM, 2014). Box 5 provides further detail on the village-level capacity-building process.

Blurred distinction between technical and functional capacity building

It is also important to underline that not only are the terms technical/functional not understood well on the ground but, in many ways, the distinction between them in practice is unclear. The research indicates that, commonly, technical and functional capacity building can be blurred together. In Ethiopia, UNDP staff suggested that the interlinkage between these levels is key – via improvements in the capacity of individuals to manage disaster risk, it is possible to bring about organizational change. Moreover, in several cases, it was observed that training activities can actively generate functional capacity, not just technical capacity, especially if they are integrated with the production of plans and the creation of decision-making structures. This has occurred mainly at organizational levels, but is clearly just as applicable at community level (see section 4.8 on effectiveness of training).

In Haiti, for example, the development of EICs (Equipe d'Intervention Communautaire or Community Intervention Teams) can be viewed as an example of created functional capacity. The EICs were trained and developed under the RUDR programme implemented by GOAL and the Reinforcement of DRM Capacities and Resources of the Haitian Population Programme implemented in association with IFRC, and Spanish, French, German and Haitian Red Cross Societies. They are an additional resource for local authorities to use for community resilience, as several EICs now have capacity to conduct preparedness and response activities effectively. The training provided to EICs has covered functional aspects also: for example, determining DRR responsibilities among the community, writing a proposal, creating a budget, developing action and implementation plans, and thinking critically. As a result, communities now feel empowered to propose and implement their own projects.

Capacity-building interventions where existing capacities are low

While it is key to emphasize the need to build functional capacity as well as technical capacity, the importance of training has been underlined repeatedly in situations where the institutional basis for DRM/DRR remains weak because of the persistence of emergency response as the cultural modus operandum in some DRM organizations. In the situations of low starting capacity for DRM at the local level, as has been observed in Myanmar, even simple gains in technical capacity are likely to be significant for improved DRM. DRM training and equipment provision remains key. Multiple interviewees emphasized this point. Gains in capacity made recently within higher-level agencies have not been matched necessarily by gains in skills and resources at the local level.

This underlines the point that analysis of capacity building in relation to ideal principles has to be sensitive to context. It has to assess how technical and functional capacity building continue to exist hand in hand, and build from one another, and it must recognize that, in some circumstances, small and/or partial gains may be realistic both in terms of content and sustainability.

Policy recommendation

Ensure that support for capacity building recognizes the importance of strengthening functional capacity as a primary objective.

Programme recommendations

- Design interventions so that capacity support can translate directly or indirectly into functional capacity gains.
- Recognize that support for technical and functional capacities generally need to work hand in hand.

4.7 Creating an enabling environment for DRM

Key messages

- Despite their perceived importance in the literature, capacity-building activities are not yet aimed commonly at building an enabling environment for DRM: i.e., building the prioritization and motivation that can turn development of DRM structures and skills into effective action.

- DRM capacity-building programmes can contribute, either explicitly or implicitly, to the creation of an enabling environment through advocacy mechanisms, strengthening academic platforms, encouraging 'champions' at all levels, generating support for good practice, reducing cultural barriers and demonstrating alternatives.

One aspect of functional capacity that is emphasized increasingly in the capacity-building literature is the creation of an enabling environment. This can include fostering the wider political conditions that may be required to advance DRM and to mainstream DRR as a priority, as well as giving attention to developing incentives for both institutional staff and communities to engage in effective DRM (Brinkerhoff, 2010; CADRI, 2011; UNDP, 2008).

The findings of the survey suggest that capacity-building activities are not yet aimed commonly at building an enabling environment, although approximately 30 per cent of respondents did indicate that 'building political capital for DRR' was one activity included in the DRM capacity-building interventions in which they had been involved recently.

Findings from the case studies show that strengthening an enabling environment for effective DRM can emerge in a number of forms beyond the creation of DRM structures and skills, often not as a stated objective of interventions

(and, therefore, not always articulated as an 'enabling environment' mechanism). Capacity-building programmes can contribute, either explicitly or implicitly, to the creation of an enabling environment for DRM and the shift to DRR. Activities can be aimed, for example, at strengthening advocacy mechanisms, encouraging 'champions' at all levels, generating support for good practice, reducing cultural barriers and demonstrating alternatives. In essence, the research team articulates strengthening of an enabling environment as building the prioritization and motivation that can turn development of DRM structures and skills into effective action.

Several of the case study programmes appear to have contributed in concrete ways to forging a shift in the governance of disasters toward systematic DRM and the mainstreaming of DRR.

In Myanmar, there was strong evidence that the activities of the Strengthening Disaster Risk Reduction Programme (implemented by ADPC) resulted in a greater prioritization of DRM and sustainable improvements in development planning processes and information management. This was because the programme insisted on working across a range of stakeholders, using highly consultative processes, continual advocacy and training. Government interviewees said that the programme had led to an increased national budget for DRR in Myanmar, and more flexible budget allocations at a regional level. DRM elements are included now in the government project appraisal process and regional planning processes. This represents a significant achievement as DRM is now embedded in short-term and annual planning across several sectors, including health, housing, education, roads and infrastructure, land use and urban planning, and agriculture. As an example, at the regional level, in Ayeyarwady Region there was, formerly, a limit on the budget for construction of schools, but now

Box 6. Capacity-building support can contribute implicitly to building an enabling environment

Two examples show how contributions to an enabling environment can flow indirectly from initiatives. The Safer Schools Project in Mozambique, funded by GFDRR and implemented by UN-Habitat in association with stakeholders of the schools sector in Mozambique, appears to have helped shift perspectives in the country toward DRR. The project achieved this on a number of fronts. It generated awareness in stakeholders that they can work effectively with building contractors on safety provisions and provide a demonstration with which to convince donors that investment in safe buildings is both efficient and effective. Even prior to the establishment of new regulations, the project has created a level of commitment in stakeholders such that new school designs are following the recommendations of the project already. Though it is too early to ascertain this for certain, there are also strong indications that other ministries are learning from Safer Schools and considering improved construction quality in other types of public building.

In Myanmar, the Community-based DRR Initiative, implemented by IOM, supported the production of local comprehensive disaster-management plans at township and village levels. In turn, the production of comprehensive plans may provide leverage with which townships and villages can request additional assistance from higher government levels and other agencies beyond their present budget allocations or available resources. There is also the opportunity to use the completed township disaster management plans as demonstration 'models' to inform other townships.

planners can justify using extra resources to ensure a new building is hazard-resistant, taking into account the risks of the area.

It is important to recognize that contributions to an enabling environment are not always an explicitly articulated objective of capacity-strengthening interventions; nevertheless, they often operate in this way in practice (see Box 6).

Building academic platforms to support DRM

Support to develop an enabling environment can extend to the generation of research skills and the creation of an academic platform to support DRM. In case study programmes in Ethiopia, Pakistan and Haiti, the research team studied activities designed to build the strength and standing of academic institutes working on DRM. Though such institutes often have a strong immediate remit with regard to training, they also can have a deeper role over the longer term in the generation of a critical research base and platform for advocacy. Potentially, this can provide independent and knowledge-based momentum to underpin effective DRM and the progression to DRR.

Under the RUDR programme, financed by the Office of US Foreign Disaster Assistance (OFDA) and implemented by GOAL in Haiti, considerable emphasis was placed on working with the State University of Haiti and building the capacity of the academic community to evaluate and contribute to policy on DRM. Direct engagement of university staff in DRM research has raised skills, understanding and motivation with regard to DRM. In Ethiopia, the DRR and livelihoods Recovery Programme funded by UNDP and implemented by the Ministry of Agriculture, supported the development of the African Centre for Disaster Risk Management. The activities included one-day training events in climate change and DRM issues for Parliamentary Standing Committee members and another awareness-raising workshop for journalists. Both can be classed as a form of political advocacy, in the sense of awareness creation and the raising
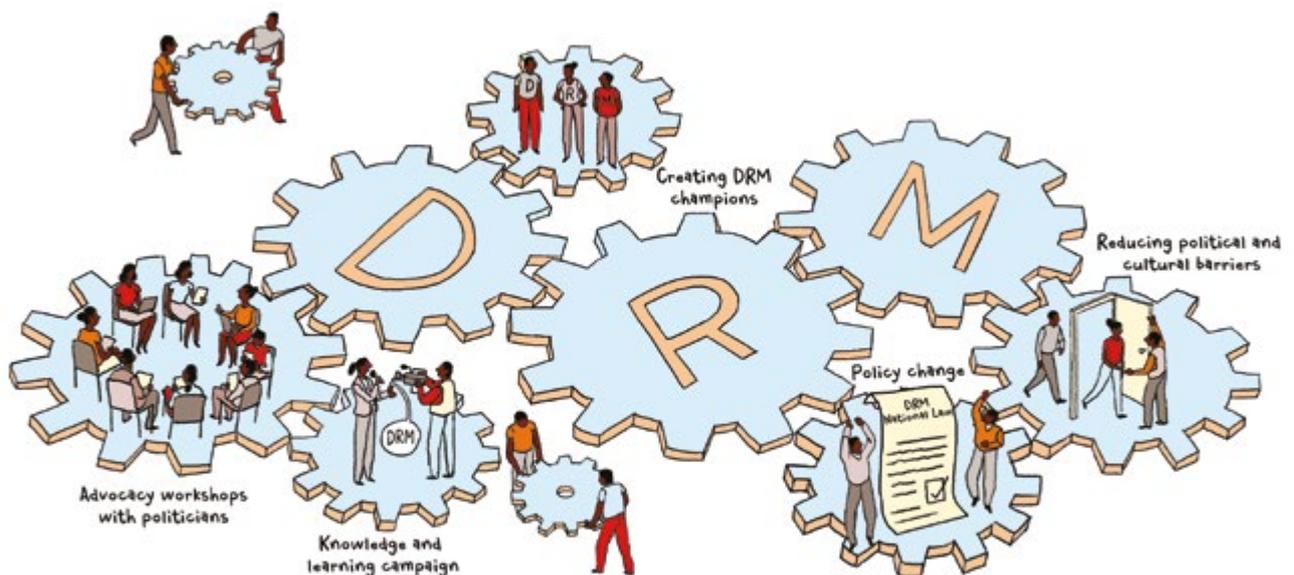
Create an enabling environment for DRM

of policy needs jointly across disaster risk and adaptation. Similarly, the One UN DRM Programme supported the National Institute for Disaster Management (NIDM) in Pakistan and held awareness-raising seminars in Islamabad and at provincial centres with members of national and provincial assemblies. Approximately 20 parliamentarians attended the Punjab seminar, according to one interviewee, who felt the event was key in persuading them to support the development of the Provincial Disaster Management Authority (PDMA). These events also attracted civil society groups.

The enabling environment concept is also relevant at the grassroots scale

Generation of an enabling environment is not something confined to systems of governance at national and subnational levels. It is useful also to conceive of enabling environments being fostered in relation to communities and households' perceptions and prioritization of DRM. In its work in communities in Ethiopia, ACCRA's programme activities also emphasized blending technical 'training' on hazard management with practical demonstration of actions such as tree-planting and terracing to stabilize slopes in order to reinforce ideas and show their utility. Two villagers 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. 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. This provided a tangible dual rationale for prioritizing risk-reduction measures.

Policy recommendation

Capacity-strengthening programmes should incorporate activities and elements that specifically aim to build motivation for prioritizing DRM in society.

Programme recommendations

- More consciously build an 'enabling environment' for DRM – future capacity-building efforts should look closely at the mechanisms through which programmes deliberately seek to foster enabling environments, in ways that might not conventionally be conceived as capacity-building activities.
- Community and local level initiatives should consider how their programmes can contribute to an enabling environment for DRM.

4.8 Improving the impact of training

<div style="background:red;color:white">

Key messages

</div>

- Reliance on training as a form of capacity building has been criticized heavily, but carefully designed and well-implemented programmes can contribute to the creation of sustainable functional capacity.

- Training is still the primary activity in most DRM capacity-building initiatives and diversified methods are being used to generate improved results. All training should be interactive, contextualized and based on an attitude of mutual learning.

- Training of trainers (ToT) approaches appear to be used widely and can be very effective if coupled with careful selection procedures and rigorous mentoring of new trainers.

- On-the-job training and the use of secondments can be effective forms of capacity building for DRM if there is an environment of co-working and mutual trust.

Training is often misused as a synonym for capacity building. The literature, however, suggests that the variety of capacity-building activities for DRM is as wide as is the diversity of actors and scales involved. For example, these activities can range from the provision of materials and resources (classed as technical capacity building) or guidance on decision-making processes (classed as functional capacity building) (see section 4.6). The distinction between technical and functional aspects of capacity building for DRM is prominent in the literature (CADRI, 2011; UNDP, 2008) and training tends to focus on developing technical skills and knowledge in relation to DRM. The literature overall expresses serious criticism of and concern about training, arguing that it does not build functional capacity or sustainable change. This includes concerns that training individuals does not translate into sustained organizational capacity, that, often, training is delivered poorly as a learning tool and that the impact of training is seldom evaluated (Hagelsteen and Becker, 2013).

Diverse and effective approaches to training

Although capacity building is not about training only, training does continue to be the main element of capacity-building programmes. A total of 94.74 per cent of survey respondents identified training as a major component of the DRM capacity-building initiatives in which they had been involved over the past five years. All the programmes studied in depth as part of this research included a combination of capacity building for DRM activities, and almost every one of those activities had a training aspect. Training tended to be used as a means to an end, rather than as an end in itself. This meant that, whether the objective of the capacity-building activity was to increase technical or functional capacity, training was a tool used to achieve various objectives. Thus, it is important to emphasize and invest in diverse ways to improve the effectiveness of training.

Through all the case study countries, the research team came across diverse strategies and approaches to training, which contributed to more comprehensive and effective learning than do traditional 'one-off lecture' style approaches. The picture from across the case study countries did not match the negative

International Federation of Red Cross and Red Crescent Societies

4. What Works for DRM Capacity Building? Synthesized Findings

impression of training gained from the literature. Many programmes were using very similar methods, including using training as an advocacy tool, using secondments and on-the-job training, ToT, making trainings more interactive and participatory, developing plans and/or structures within the trainings, and using inter-scalar training to facilitate coordination between different levels within organizations.

Interactive, dynamic and contextualized trainings

An interactive, mutual learning style is most effective for DRM training. This is particularly true in the DRM sector because individuals always bring some existing knowledge that they can contribute to the training (for example, around their own risk and mitigation strategies). The importance of this approach was noted in Pakistan, where people in the communities targeted by the capacity building for Disaster Risk Management Programme implemented by CWSA in Pakistan identified their own training needs and performed organizational and community self-evaluations, which guided the content and approach of the training course. This was instrumental in helping participants to view the training as part of a long-term process of securing effective DRM, rather than as a one-off event.

Likewise, in the Philippines, interviewees were highly complimentary about the workshops run by the Disaster Risk Reduction and Management Capacity Enhancement Project funded by JICA and implemented by the OCD. In particular, they praised the interactive style of the events, which included knowledge-sharing, simulations, planning and assessment exercises, and games, with an emphasis on how to pass the information on effectively as trainers.

Training and awareness-raising opportunities that are presented in unusual and creative ways, and that, ideally, appeal to literate and illiterate groups alike, make community-based DRR programmes more effective (see section 4.13). For example, in Ethiopia, the ACCRA programme used specially designed board games for teaching DRM principles at the community level where the materials were either picture based or translated into multiple local languages.

Building functional capacity through training

Despite the distinction between technical and functional capacity building that is presented in the literature (see section 4.6), during the fieldwork, the team found many examples of training being used to provide a platform for improved functional capacity. Training activities can generate functional and technical capacity actively when they are designed with a clear idea of what practical steps can be taken during the course of training to integrate the production of plans and creation of decision-making structures. Several of the programmes studied during fieldwork followed this pattern. For example, the Disaster Risk Reduction and Management Capacity Enhancement Project in the Philippines combined elements of technical know-how and functional skills development in their training of subnational government officials. They were trained in different aspects of DRM that relate to effective planning. As part of the training, they had to produce a draft of a local DRM plan as well as to develop a system of reviewing and finalizing the plan post-event. Likewise, in capacity building for the Disaster Risk Management Programme in Pakistan, the Christian Aid-funded Philippines Resilience Programmes and the RUDR programme in Haiti, community-based DRM training sessions included time for establishing DRM committees and identifying specific roles and responsibilities and appointing individuals to positions.

Box 7. Diverse methods: Training of trainers (ToT), secondments and on-the-job training

Implementing TOTs

A ToT approach needs to be planned carefully to ensure effective transfer of knowledge between levels and to avoid 'watering down' the quality and effectiveness of the training. This approach can be very successful if sufficient resources are made available for mentoring and follow-up. A well-designed ToT approach to training can result in the development of a national pool of DRM trainers, thus developing sustained capacity on a national and organizational level. For example, the PRO-GRC used a carefully designed ToT approach to develop a national cadre of DRM trainers, which incorporated mentoring and rigorous feedback for participants. This resulted in a clear development of significant capacity for INGC, which is now able to deliver a range of practical and relevant training workshops without external support from PRO-GRC, including simulation exercises, hazard mapping and facilitation of action planning. In this sense, the technical capacity-building activity went beyond capacity building at the individual level to capacity building at organizational and national levels.

Similarly, the Disaster Risk Reduction and Management Capacity Enhancement Project in the Philippines, which was implemented through the Philippines' OCD, carefully designed its ToT to ensure that quality did not diminish as the training was rolled out. The participants had to have had prior experience of training or teaching and were observed carefully during the initial ToT. Only a small percentage of participants were selected to become trainers themselves. A mentor was appointed to supervize and support each new trainer. The mentors were always present and provided daily face-to-face feedback. ToT should not, therefore, be seen as a low-cost, easy way of rolling out training – to be effective, it requires intensive support and oversight.

Secondments and on-the-job trainings

The research found evidence that short-term secondments and the on-the-job style of training using a 'counterpart' model can be effective, especially if there are shared offices, tasks and committed communication between consultant and counterpart. Both programmes studied in Ethiopia committed senior-level staff to secondment on a part-time basis. This helped create trust and stronger working relationships, facilitate administrative processes and influence and guide decision-making. ACCRA programme actors in Ethiopia noted that the secondment of ACCRA staff to government allowed the seconded person to become involved actively in the government's work on DRM.

In the Philippines, this approach was used also by the Disaster Risk Reduction and Management Capacity Enhancement Project and it proved successful. One interviewee from the OCD commented "at first I was irritated because they [the Japanese counterpart] were very demanding and we were asked for a lot of deliverables on top of our regular job load, but I have realized that actually having them seated in here is a good opportunity for my staff to learn from the Japanese and to be exposed to their work ethic and their knowledge... We appreciate their support because we are understaffed and couldn't do all the work they do plus our normal workload." A JICA interviewee stated that the reason for the success was that communication was two way – "our approach is not only to teach, but to discuss and take into consideration what OCD have to say".

International Federation of Red Cross and Red Crescent Societies

4. What Works for DRM Capacity Building? Synthesized Findings

Focus on functional capacity

Training of trainers

On the job training
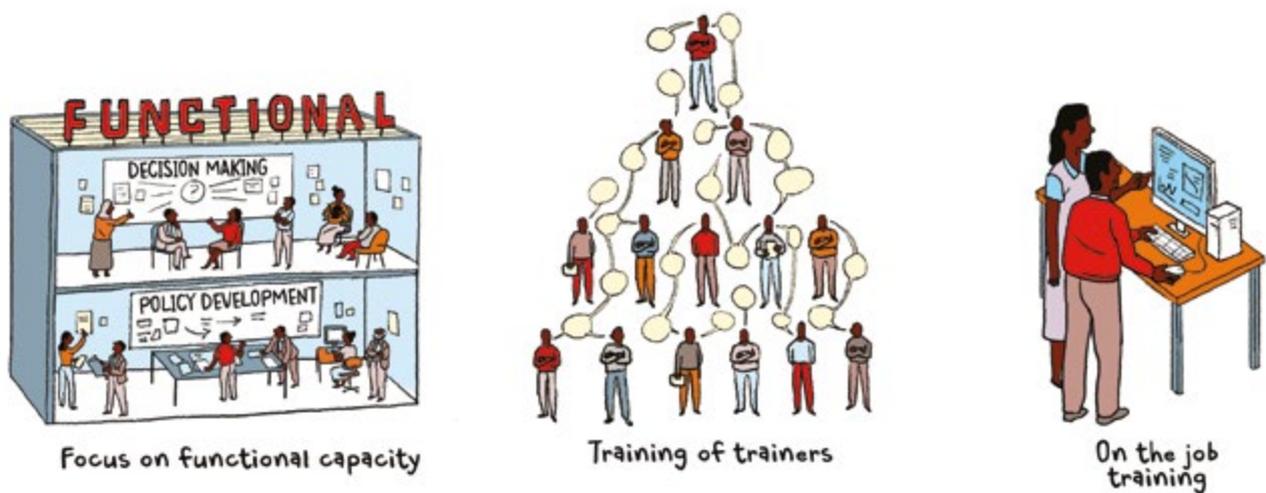
Improve the impact of training

New optimism for the use of training

The research team found that all the programmes that were studied seemed to demonstrate a paradigm shift in the training mentality that is criticized often in the capacity-building literature. Programmes were selected in part because they were judged to be examples of best practice and the sample size is small, so it cannot be suggested necessarily that this is a trend across all DRM capacity-building initiatives. However, it does give cause for optimism and provides examples from which to learn. The training activities were not only filling a technical gap but also were allowing institutions and communities to improve structures, roll out laws, institutionalize and mainstream DRM, enhance the capacities for decision-making and empower communities to mitigate, prepare, respond and recover better. All of the programmes had moved away from the traditional one-off training approach to incorporate elements of functional capacity building. While it is key to emphasize the need to build functional as well as technical capacities for DRM, the importance of training has been underlined repeatedly.

Policy recommendation

Ensure support for training continues with emphasis on more sustainable and diverse training mechanisms.

Programme recommendation

- Consider how to incorporate the development of functional capacity within training activities.
- Consider the use of a 'training of trainers' approach, on-the-job training or secondments.
- Ensure all training is interactive, contextualized and based on an attitude of mutual learning.

4.9 Supporting the shift to DRR

Key messages

- Support for DRR approaches is breaking into DRM capacity-building programmes, but still has some distance to go if it is to become embedded strongly as a foundational rather than an additional consideration in programme design.

- Often, vulnerable locations are targeted for capacity-building interventions but the case study programmes included little social targeting.

- Programmes tend to be focused on present risks and vulnerabilities, and little attention is paid to developing capacities to recognize and adapt to long-term changes, including those associated with climate change.

As underlined in the Hyogo Framework for Action 2005–2015 and the Sendai Framework for Disaster Risk Reduction 2015–2030, capacity building for DRM should be articulated within the wider framework of DRR (CADRI, 2011; Daniel et al., 2013; Few and Anagnosti, 2010). This hinges on efforts to reduce vulnerability to hazards and lessen the chances that disaster situations will arise. DRR approaches aim to build resilience, and the capacity-building activities potentially associated with the approach relate to several themes (some of which are looked at in more detail in subsequent sections):
- moving beyond a focus on short-term emergency management to capacity in disaster prevention, mitigation and long-term recovery (see section 4.10)
- supporting mainstreaming disaster risk in development policy and planning (see section 4.11)
- linking DRM with the broader livelihoods priorities of the poor (see section 4.13)
- addressing gender inequalities in both vulnerability and capacity (see section 4.12)
- targeting the needs of vulnerable groups (e.g., paying attention to the capacity needs of highly vulnerable or marginalized groups)
- understanding and planning for long-term changes in risk.

The survey findings and the case studies together suggest that support for development of DRR approaches is breaking through into DRM capacity-building initiatives, but still has some distance to go if it is to become strongly embedded as a foundational rather than an additional consideration in programme design. Interestingly, the principle was rated more highly by case study interviewees (mean = 1.56 on a scale of 1 to 4, where 1 indicates the highest level of importance) than by the international survey respondents (mean = 1.97). In the international survey, 29 per cent of respondents rated contribution to DRR in the highest of four categories of importance, 48 per cent in the second category and 21 per cent in the third (more people rated this principle in the two lower categories than they did for any of the other key principles for capacity-building effectiveness). Moreover, this principle scored lower than did other principles in the performance rating undertaken by the research team, with a mean rating of 2.28 across the programmes; this indicated that programmes tended to be weakest in this aspect.

A key challenge in capacity building, as for DRM in general, lies in fostering an enabling environment for the societal shift towards wider DRR. In this respect,

Box 8. Generating a DRR approach in Pakistan

In the initial stage of the One UN DRM Programme, particularly in the 2010 floods, the focus in Pakistan was oriented largely to relief, recovery and rehabilitation. However, the scale of that disaster helped to galvanize thinking toward the value of mitigation and a broader DRR approach developed within the programme, prompted both by the national disaster agency NDMA and by UNDP. Since then, progress slowly developed with support from One UN DRM in preparing the political ground for DRR mainstreaming. Initially, there was some resistance from government entities. The Ministry of Defence (MoD), for example, questioned the added value of a DRR approach at first, but UNDP indicated evidence of the need (for example, some of the MoD's own hospitals, schools and military buildings were not hazard-proof) and advocated for the need to develop policy changes and improve in-house capacity. Similarly, One UN DRM helped galvanize advocacy for the mainstreaming of DRR across all sectors of humanitarian response – one success in this way has been agreement within the Shelter Cluster to integrate DRR aspects in shelter provision following disasters.

However, it is clear that a sustained capacity-strengthening effort is required if broad aspects of DRR are to continue to be integrated into DRM approaches (UNDP, 2012). One interviewee remarked that, after periods without major disaster events, DRR can no longer be a political priority and hence becomes an easy target for budget cuts. There may remain, also, structural impediments in the governance system at both national and provincial levels that undermine the ability of DRM agencies to maintain the support for DRR achieved under One UN DRM.

One commentator discussed these impediments at length, arguing that, although the NDMA and PDMAs are envisaged to be the premier entities for both mainstreaming DRR and coordinating disaster response, institutionally, they are in a weak position to influence other branches of government. Moreover, a number of parallel entities exist with overlapping mandates in disaster management (but not necessarily of equivalent DRR capacity). Their existence potentially weakens the coordinating power of NDMA and PDMAs to drive forward DRR.

it is useful to note in some detail the experiences of UNDP's contribution to the One UN Joint Programme on Disaster Risk Management (One UN DRM Programme) implemented by the NDMA in Pakistan in its support for generating a DRR approach in national and subnational institutions in Pakistan (see Box 8). The programme supported a shift toward DRR in Pakistan in several ways, but structural issues within the DRM system illustrate how sustainability of DRR capacity gains remains a major concern.

Targeting the needs of vulnerable groups

Explicit targeting of vulnerable groups was not developed strongly in the case study programmes. Vulnerable locations are targeted often for capacity-building interventions, including sites of poverty and marginalization (such as some migrant villages targeted in the IOM Community-based Disaster Risk Reduction Initiative in south-east Myanmar) but, in the case study programmes, there was little differential social targeting seen within the sites selected. In a number of cases, the initiatives included developing the capacity of local disaster/emergency committees to undertake vulnerability assessments and record the priority needs of elderly people, pregnant women, people with disabilities and young children within local disaster plans. However, this essentially involved a mapping of differential vulnerability rather than directly targeting the capacity strengthening of specific vulnerable groups.

This perhaps reflects a reasonable tendency in initiatives working at the grassroots level to focus on strengthening the capacity of community-level DRM committees, rather than of the wider public. However, it does raise the need to check whether or not direct capacity-building gains are limited to specific social groups (without adequate representation of more marginalized sections of the community).

The research team did find one interesting example: an approach to reaching vulnerable groups through a household disaster-planning tool developed by a capacity-building programme in Haiti. An Emergency Family Plan was developed as part of the Reinforcement of Disaster Risk Management Capacities and Resources of the Haitian Population Programme funded by DIPECHO and implemented in association with IFRC, and Spanish, French, German and Haitian Red Cross Societies. When implementing the Emergency Family Plans at the community level, the project took into account all family members including older people, children, people with disabilities and pregnant women. The EIC volunteers adapted the plan to meet the needs of the family and defined who in the family was responsible for what in the event of a disaster. The Plan consists of a simple tool, which takes about 30 minutes to prepare and is combined with the provision of a plastic pouch for important documents. The Plan has been submitted to the national system for validation and is being reviewed currently. The programme also conducted an awareness campaign where issues such as disability were highlighted through theatre and musical plays.

Understanding and planning for long-term changes in risks

The programmes studied during the fieldwork tended to focus on present risks and vulnerabilities, and little attention was paid to developing capacities to recognize and adapt to long-term changes in hazards, exposure and social vulnerability. Unless adaptation to climate change was an explicit orientation of capacity-building programmes, attention to building capacity to manage long-term dynamics of risk was seldom evident in the initiatives under study. Even in situations where hydro-meteorological hazards such as tropical cyclones pose high risks, climate change was not factored significantly into the programme actions of Safer Schools in Mozambique or the Reinforcement of Disaster Risk Management Capacities and Resources of the Haitian Population programme in Haiti, for example.

During fieldwork, the research team studied 15 capacity-building programmes, of which only five engaged actively with climate change dynamics. Of those five, four were driven strongly by international agencies. The ACCRA programme in Ethiopia, implemented by Oxfam and funded by DFID, is one such example that was working at national and local levels to build skills to link DRM and climate change adaptation and incorporate this in analysis and planning. 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. At district (woreda) level, ACCRA has been piloting projects that attempt to change the knowledge and approach of planning by bringing a long-term climate lens into the planning process (see Box 9). 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, the ACCRA programme in Ethiopia has introduced an adaptation and decision-making game that is played with stakeholders at different scales. The game promotes the principles of 'Flexible and Forward-looking Decision-making' 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.

Box 9. 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 district (woreda) and sub-district (kebele) levels 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 to 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 understood better the need for long-term planning to mitigate environmental and climatic risks. According to a kebele official, prior to the consultations, there were already widespread perceptions, for example, that soil erosion was increasing, that the seasonal timing of the rains was altering, that intense rainfall was more common than before and that some springs were drying out. The next key step for ACCRA was to try to build knowledge about how to manage these changes. It is uncertain whether or not this has been achieved broadly across the community but at least some of the villagers who participated in the research 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.

It is possible that the ease with which the tenets of DRR can shape capacity support may be related to the nature of the prevailing hazards and hence to the hazard context of different countries. It is plausible that situations of slow-onset hazards or extensive risk may be more conducive to the DRR shift. 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 long-term vulnerability reduction in a drought-prone country such as Ethiopia should, inherently, be easier for people to understand.

Policy recommendation

Orient capacity building toward a wider DRR approach that includes mechanisms for identifying and adapting to long-term changes in risk.

Programme recommendation

Actively target capacity strengthening at grassroots levels toward highly vulnerable social groups within communities.

4.10 Targeting prevention, mitigation and recovery

Key messages

- There is a gap in capacity-building support for prevention, mitigation and long-term recovery.

- There seems to be no fundamental reason why support for these aspects of DRM should not be factored into, or indeed form the prime focus of, DRM capacity-building initiatives.

The grounds for a more holistic approach to managing disaster risk, and thereby DRM capacity, have been expressed within the critical literature in this field for some time (Bankoff et al., 2004; Wisner et al., 2004). This includes moving beyond a focus in DRM on preparedness and emergency management to building capacity in disaster prevention, mitigation and long-term recovery.

The research suggests that much remains to be done if a broader approach to managing aspects of disaster risk is to be embedded as the prevailing approach in capacity building for DRM. Capacity-building initiatives still tend to focus most heavily on preparedness and response, with much less attention being paid to prevention, mitigation and recovery. In the international survey, 46 per cent of respondents indicated that programmes in which they had been involved targeted a combination of these aspects. However, another 44 per cent identified preparedness and response as the main focus of investment within the DRM capacity-building programmes in which they had been involved, compared with less than 8 per cent for prevention and mitigation. Only one survey

Mitigation

Recovery

Preparedness and response
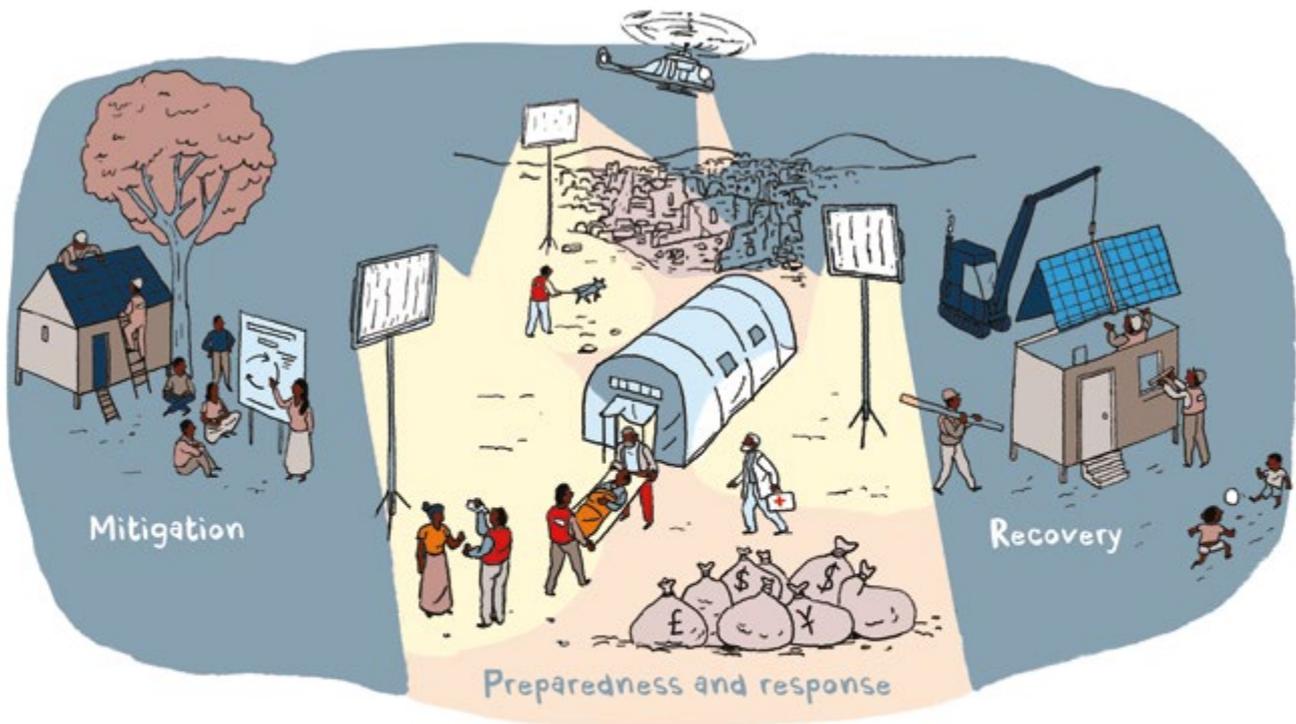
Do not overlook mitigation, prevention and recovery

respondent (out of 76) identified recovery as the key focus. The low level of attention given, in practice, to the wider aspects of DRM was mirrored also across the range of case studies, the majority of which were oriented *in practice* most strongly toward preparedness.

In some senses, this finding is not surprising, in that the movement toward avoiding and reducing risk requires a major shift in institutional approaches to disaster risk. This shift has proceeded slowly and has had many barriers to overcome across much of the world (UNISDR, 2013). It is perhaps not surprising, therefore, that demand for capacity support is oriented to preparedness. Yet, what is important to note is that, while some of the capacity-building programmes studied by the research team were labelled as taking a wider DRR approach, in practice, the focus often remained very heavily in the traditional fields of capacity support.

Across the case studies, the research team attempted to identify and select cases that included capacity building for prevention, mitigation and recovery. In some cases, this inclusion was, in practice, essentially aspirational rather than linked to concrete gains. For example, the Community-based DRR Initiative implemented by IOM in Myanmar (which overtly prioritized preparedness) supported development of township disaster management plans and village DRR plans, which included secondary attention to structural mitigation measures, such as road and house construction, and drainage improvements to reduce flood risk. However, without effective finance for mitigation, interviewees suggested that these generally remained aspirational rather than actionable measures in such resource-poor conditions. However, it is also clear from the text

introducing the village plans that identification of mitigation needs is seen by communities as a basis for advocacy and requests for external support.

The case studies also provide some evidence that capacity building in relation to wider aspects of DRM is feasible. In the Philippines, the Disaster Risk Reduction and Management Capacity Enhancement Project, funded by JICA and implemented by the OCD, produced training modules relating to the four thematic areas of DRM set out in the DRM Law (Disaster Prevention and Mitigation, Preparedness, Response and Recovery), although the focus on recovery was limited to the immediate early recovery phase in terms of conducting damage and needs assessments. As part of the Building Disaster Resilient Communities (BDRC) programme in the Philippines, Christian Aid's implementing partners have worked with local government to identify high-risk zones and resettle communities to safer grounds as a contribution to disaster-prevention capacity building. In Haiti, community members were engaged in implementation of mitigation micro-projects under the Reinforcement of DRM Capacities and Resources of the Haitian Population Programme.

The two capacity-building projects that were oriented strongly beyond preparedness and response were the ACCRA programme in Ethiopia and Safer Schools Project in Mozambique. In its focus on DRR and adaptation, ACCRA has moved away inevitably from a focus on emergency response toward capacity building oriented to prevention and mitigation. This was especially evident at the local level where the programme emphasized developing an understanding of how to reduce landslides and flash floods through revegetation of slopes. Safer Schools is an interesting case in that it is a programme that has evolved toward DRR through its partnership approach (see Box 10).

A gap in capacity-building support for prevention, mitigation and long-term recovery appears to remain, but there seems to be no fundamental reason why support for these aspects of DRM should not be factored into support, or

Box 10. More holistic DRM in schools in Mozambique

The Safer Schools Project in Mozambique provides a case of progression to a DRR-influenced approach. Originally, Safer Schools started in Mozambique as an urgent reactionary measure to Cyclone Funso – with the objective to carry out a needs assessment of school damage and to create a response and recovery project to aid the affected areas. However, through its consultative assessments and alignment to the National Master Plan, the project evolved towards a more holistic approach that would address longer-term recovery, prevention and mitigation needs. The programme developed hazard maps to guide risk assessments, disaster-resilient school building codes and guidelines on school safety, and produced recommendations for their effective implementation (UN-Habitat and UEM, 2015).

Awareness-raising of the genuine potential for creating safer schools was a key product of the project – hazard impact was understood well already but stakeholders came to understand that they can take account of risk when dealing with building contractors – especially because the studies demonstrated that this can be cost-effective. The project aims to convince the pool of donors for school construction that investment in risk-informed school building is efficient in the long run even though the initial investment may be higher.

indeed form the prime focus of capacity-building initiatives. Strengthening the capacity of stakeholders in terms of land-use planning and management for risk reduction, helping communities design and undertake small structural mitigation measures, and developing reconstruction guidelines are all feasible goals for capacity support. In many cases, moving from a focus on emergency management remains a matter of prioritization.

Policy recommendation

Broaden the remit of capacity-building support to all aspects of DRM, in order to strengthen capacities in prevention, mitigation and recovery.

Programme recommendation

Seek to incorporate elements of recovery, mitigation and prevention into capacity-building programmes.

4.11 Building capacity to mainstream DRM

Key messages

- Capacity building to mainstream DRR into development planning across sectors is not prioritized generally in capacity building for DRM programmes but examples from the research suggest that, when undertaken, it was regarded as a major advance and a highly significant contribution.

- For mainstreaming to be successful, an enabling environment and a demand-led process from within high levels of governments is essential.

- The sustainability of mainstreaming efforts is still weak and much more effort and many more strategies are needed to ensure continuous change in the long run.

The idea of 'mainstreaming' DRR into development planning has been recognized by governments and donors since the 1990s but has not been implemented with much success. Increased and wider international recognition has been given to the topic in the context of the Hyogo Framework for Action 2005–2015 and, more recently, with the Sendai World Conference and Framework 2015–2030, but evidence suggests that these commitments have not translated into practice (Benson, 2009). The research found that, where addressed, capacity-building support for mainstreaming can play a key role in strengthening functional DRM capacity and support for the coordination of decision-making and action across multiple stakeholders and diverse governance institutions (CADRI, 2011; Daniel et al., 2013).

Mainstreaming DRR involves considering risks from natural hazards and incorporating strategies to address them in strategic development frameworks, in legislation and institutional structures, in budgetary processes, sectoral policies and strategies, and in the design and implementation of individual projects. It also includes monitoring and evaluating all of the above and taking
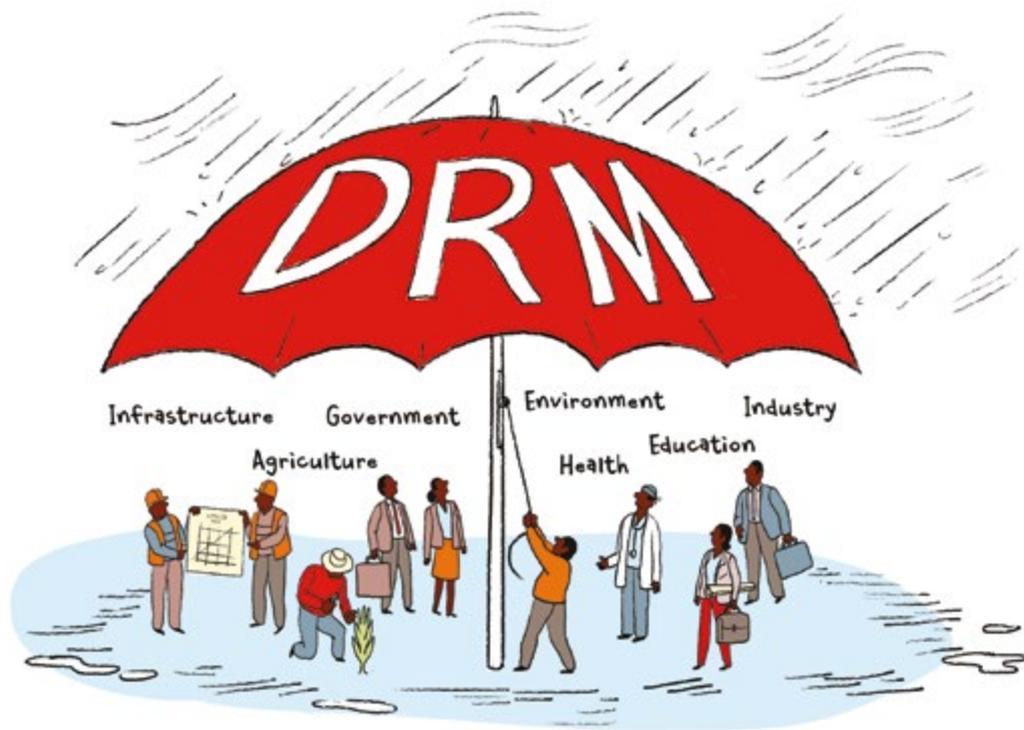
Build capacity for mainstreaming DRM

into account the impact of climate change (Benson and Twigg, 2007). When done well, mainstreaming DRR should act to secure sustainable development, reduce poverty and strengthen resilience. Nonetheless, the research team found that mainstreaming is a lengthy and slow process where much guidance, commitment and capacity-building support is needed. This includes investigation and analysis of opportunities and incentives for progress towards DRR mainstreaming as well as analysis on how to overcome challenges when mainstreaming remains a gap (Benson, 2009).

The following three programmes from the case studies had support to mainstream DRR into development planning as a primary activity: the Strengthening Disaster Risk Reduction Programme in Myanmar implemented by ADPC and funded by the Norwegian Ministry of Foreign Affairs; One UN DRM Programme in Pakistan, funded by UNDP and implemented by the NDMA; and the PRO-GRC, implemented by INGC with support from GIZ and funding from BMZ. Other programmes like the ACCRA programme in Ethiopia and the Safer Schools Project funded by GFDRR in Mozambique had components of mainstreaming as parts of their programmes.

To mainstream DRR successfully, these programmes used a variety of strategies but, generally, the following points were identified by interviewees as success factors in the process:
- Mainstreaming processes need to be demand led rather than donor driven; they need to come from within the government.
- It is critical to engage high-level stakeholders within the government who can act as 'champions' and to identify, target and engage stakeholders deliberately with decision-making authority.
- Mainstreaming activities should be seen as working both vertically (i.e., across levels of government) and horizontally (between sectors and departments).

International Federation of Red Cross and Red Crescent Societies

4. What Works for DRM Capacity Building? Synthesized Findings

- Establishment of effective working relations – ownership and partnership – is key. The research found that the most crucial stakeholders for DRR mainstreaming were typically disaster management, planning, finance and administrative staff.
- Advocacy and DRM awareness-raising elements can be incorporated into programmes to create a supportive political context for DRM. Emphasizing the cost-effectiveness of adopting a more holistic approach to DRM can be an effective mechanism.

During fieldwork, the research team observed that the decision to mainstream is taken, normally, after a major disaster that affects various government sectors. Disasters were taken as an opportunity to raise awareness of the need for mainstreaming. High-level political actors are more likely to engage in mainstreaming in the midst of a disaster, as this is when the paradigm shift from response to prevention and mitigation tends to be triggered.

The research found that, typically, the process of mainstreaming DRR begins with a review of the vision and goals for mainstreaming, followed by an analysis of national development plans so that relevant stakeholders can identify entry points together. In the Strengthening Disaster Risk Reduction Programme implemented by ADPC in Myanmar, the stakeholders studied existing policies, plans, contextual and poverty analysis reports, and sectoral development documents. Taking these points into account, the groups identified appropriate opportunities for mainstreaming DRR into development plans. Two main approaches to mainstreaming were identified:

1. DRR is integrated as a separate section in the development plan. The section provides a clear, overarching risk-reduction objective with strategies for enhancing resilience. The objectives are then translated into specific sectoral goals, which are monitored. Development policies are reviewed also to ensure that risk reduction is taken into account and that they are aligned with the country's DRR initiatives. The One UN DRM Programme in Pakistan applied this approach effectively; as a result, development plans include a section on DRM and a DRR checklist to be included in the planning commission's project appraisal forms was created. Hence, social infrastructure and economic projects such as dams, highways and other construction projects at all levels must identify and consider disaster risks.

2. DRR is integrated as a cross-cutting issue in existing sections of the development plan. In this approach, DRR is included as a key consideration in sectors that are most likely to suffer from the impact of disasters. This approach requires a high level of support from individual representatives across sectors and training for government departments on how to mainstream. ADPC in Myanmar followed this route and, as a result, mainstreaming, currently, is institutionalized and practised.

Policy recommendation

To ensure sustainable development and vulnerability reduction, donors, governments and policy-makers should promote and invest in capacity-building interventions to mainstream DRR.

Programme recommendation

Consider how capacities to mainstream DRM can be integrated into capacity building for DRM programmes as an action that can significantly boost the shift to DRR.

Box 11. Effective tools and approaches to build capacity for DRR mainstreaming

Consultations and training

A sustained process of consultation and training can change ideas ultimately around DRM and improve DRM mainstreaming across development sectors. For example, the One UN DRM Programme in Pakistan had a component that included training and awareness-raising of stakeholders and the establishment of inter-ministerial working groups for policy development.

Considerable work has been undertaken at the policy level to promote the mainstreaming of DRM in priority sectors such as education, food and agriculture, and communication, and to integrate DRM and climate risk management. As a result, a chapter on DRR Mainstreaming has been included in the government's tenth Five-year Plan.

In the case of the ACCRA programme in Ethiopia, a gradual training approach was used. Over six months, stakeholders were trained and coached on how to mainstream climate change adaptation and DRM into processes, policy, programmes and practice. As a result, key government and civil society actors were starting to see the benefits of linking DRM and climate change adaptation. The project also conducted climate change adaptation and DRM campaigns in urban centres using major public events.

The Strengthening Disaster Risk Reduction Programme implemented by ADPC provides an interesting example of how to build capacity for inter-scalar mainstreaming and the impact of it. ADPC used a ToT approach to mainstreaming. Regional/State-level representatives from the RRD and Planning Department, who participated in the national-level workshops, were responsible for leading mainstreaming efforts at the subnational level. As a result, for the first time, two DRR mainstreaming workshops were held at the regional level in two disaster-prone regions: Ayeyarwady and Tanintharyi. Trained trainers of the Mainstreaming Disaster and Climate Risk into Development programme, who were interviewed, reported that they conducted formal and informal trainings at the regional level for colleagues, regional-level planners and related sectors on the importance of mainstreaming DRM and climate risk management) into development planning. This resulted in the enhancement of technical capacity and awareness at that level.

Advocacy and lobbying

Advocacy through the awareness-raising of politicians and other stakeholders within and outside government was a key element of the work of the One UN DRM Programme in Pakistan at all scales. Activities included five awareness-raising seminars held in conjunction with the NIDM in Islamabad and at provincial centres with members of national and provincial assemblies. Approximately 20 parliamentarians attended the Punjab seminar, according to one interviewee who felt the event was key in persuading them to support the development of the PDMA. These events also attracted civil society groups. According to another interviewee, the biggest achievement of the programme is that it changed the conceptual landscape of Pakistan and popularized the concept of integrated DRM for the first time.

Similarly, the Safer Schools Project in Mozambique took a positive step towards DRR mainstreaming by improving awareness and ownership of DRM issues across several ministries and institutions. Interviewees from the UN stated that the project led to organizational leaders and donors realizing the cost-effectiveness of providing school structures that are hazard resilient. Evidence-based mechanisms were used to influence the change and to advocate. A diagnostic analysis of the school construction environment in Mozambique and mapping of hazards were compiled and presented, through workshops and meetings, to influential actors in the school sector. High-level staff and relevant ministry organizations were engaged from the beginning of the project; this contributed to a high level of engagement and acceptance.

In Pakistan, the One UN DRM Programme worked with ten ministries to lobby for the advancement of DRR in governance, and a national working group on DRR was established with cross-ministry representation to advocate, propose joint implementation measures and monitor progress. A significant achievement from lobbying was succeeding in having a chapter on DRM included in the national development plan for the first time.

4.12 Integrating gender considerations

<div style="background:red;color:white">

Key messages

</div>

- Typically, gender considerations in capacity building for DRM are overlooked, except that sometimes quotas for female participation are ensured.

- Project implementers commonly misunderstand what gender mainstreaming means, and show little awareness of how to adapt their programmes practically to take into account differential disaster vulnerabilities, perceptions of hazards and risks, access to resources, roles, skills and decision-making power.

Although many authors contend that, fundamentally, disaster risk is gendered (Enarson et al., 2007; Morrow and Phillips, 1999) and that gender dimensions also need to be taken into account in disaster response and recovery (Dung et al., 2012; Harvey and Smyth, 2012; Jeffrey, 2012), a knowledge gap was found during the literature review with regard to gender dimensions of capacity building for DRM. There is little discussion in the literature on the gendered nature of DRM capacity at grassroots level, in terms both of differential access to resources, skills and decision-making power, and of different strengths, skills and leadership qualities that women and men can bring to collective action (Corner, 1999).

Findings from the case studies reflected the same gap. Attention to gender considerations in the design and implementation of programmes that aimed to develop capacity for DRM were generally weak. In some of the programmes, gender issues were entirely absent from planning processes and training approaches.

The research team found that, in most cases, the idea of considering gender was reduced to ensuring female participation in capacity-building activities. For example, a programme studied in Myanmar, had been promoting 'gender balance' actively in DRM community structures and targeted women with the aim of having more female participation in the DRR committees. It also conducted gender-awareness meetings in its target areas to engage more women to participate in its capacity-building activities. Although it is important to have these types of activity, it did not mean automatically that the project addressed the issues of power relations over access and control of resources or leadership in decision-making processes.

Similarly, in the Philippines, one of the programmes studied developed a training manual described by interviewees as gender sensitive because the manual contained information that was relevant to both men and women. However, there had been no consideration of the gendered nature of both DRM and the capacity-building programme as a whole. Likewise, a DRM capacity-building project in the Philippines failed to incorporate gender considerations; even though project implementers recognized that women held the main responsibility for DRM within their households, they were not seen as needing extra or different support from that offered to men (Christian Aid, 2013; Neame et al, 2009).

Although achieving gender balance is an important element in achieving gender equality (Ciampi et al., 2011), this approach alone is insufficient. It does not take

Integrate gender considerations
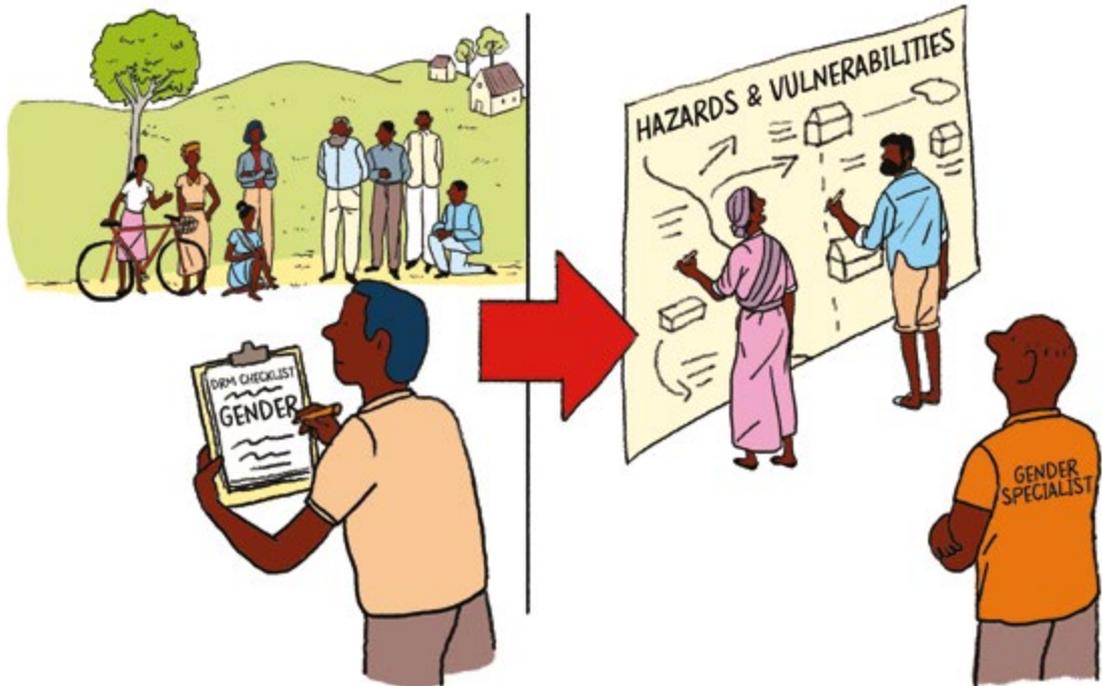
into consideration how women and men may be affected differently by certain hazards or disaster risks, or how they can play different roles, have distinctive priorities and acquire particular responsibilities in an emergency or in the recovery phase after a disaster. Furthermore, this approach does not ask the questions "which women?" and "which men?"; these are essential when analysing and understanding gender and vulnerability. This is because not all women and all men are the same, even when they are part of the same community.

It is important to recognize, however, that there is little guidance and detailed discussion of the gender dimensions of DRM capacity-building available, and a shortage of information about how DRM capacity-building interventions have been, and can be, designed and implemented to address the needs of the most-vulnerable and marginalized groups.

Throughout the research, the team found that often, when project implementers were asked whether or not gender dimensions had been taken into consideration in their projects, they would reply "yes". However, when asked to provide more detail on exactly how gender had been considered, and what changes had been made to project design and implementation as a result, they were unable to provide specific answers. This suggests that implementers know it is something of which they should be aware, but they lack the understanding of and skills in how to operationalize gender awareness. There appeared to be confusion and poor understanding of what exactly a gendered approach to capacity building might mean in the context of DRM and how it could be implemented. This is disappointing given that an abundance of tools and guidance documents on gender and diversity do exist. Further work, therefore, is needed to develop and promote the uptake of existing gender-sensitive approaches to DRM capacity-building programmes.

Box 12. Incorporating gender awareness into DRM programmes

The research team found just two examples from the programmes studied where gender was addressed beyond simply focusing on the number of women participating in capacity-building activities. One example was CWSA capacity building for Disaster Risk Management Programme in Pakistan. Although the project had various objectives at different levels related to capacity building for DRM, it also had very clear aims with regard to gender. At the district/community level, a programme was created: Alleviating Poverty through Women's Empowerment and Livelihoods Development with a Disaster Resilient Approach. Amongst other DRR-related objectives, the project had aimed specifically to reduce poverty and promote gender equality through economic empowerment, adult literacy and awareness-raising on sexual and reproductive health, provide DRR trainings, provide product development training for 16 women enterprise groups, and establish male and female VDMCs, school disaster management committees and action plans for improving resilience.

Reaching out to women and girls was a priority of the programme. Given strong gender discrimination in parts of rural Pakistan, CWSA found it necessary to work first to engage men in the community and build their trust so that they had access, subsequently, to be able to work with women in the community. Whilst this approach is at risk of reinforcing gender discrimination (i.e., by reaching women through men), CWSA felt it was appropriate initially to understand and work with existing gender roles in order to gain trust. Once trust had been established through conducting assessments and training with men, CWSA worked with communities to identify appropriate ways to include women. Although, at first, men helped to identify a female representative to work with CWSA staff for activities, later on in the programme, women were given more decision-making opportunities and elected the leader and other positions for females on the VDMC.

Interviews suggested that the provision of female trainers for female participants improved the organizations' and programmes' acceptability in communities and in schools. Interviewees also suggested that, before the community-based DRR training, women would sit and wait for the men to come when disasters happened. Now, women are empowered to save themselves and their children. One government interviewee shared that he witnessed a 75-year-old woman sharing her knowledge about disasters in a CWSA training; he felt that this would not have happened previously.

Another programme that emphasized gender considerations was the PRO-GRC. Training on gender issues was provided in the Inhambane and Sofala districts as part of the DRM curriculum. District-level DRM committees were able to discuss in detail the gender analysis they performed to inform decision-making in DRM planning. However, it was less clear how the analysis fed into contingency, response or development planning in concrete ways. The participation of women on local DRM committees was encouraged, with a target of 40 per cent, although this was accompanied by an assumption that representation of women in decision-making bodies (such as the local DRM committee) automatically meant that all gender-related issues and needs would be addressed. A gender-analysis study was conducted specifically for a drought-resilience component, which identified how the agricultural practices taught would have implications on gender roles but, at the time of writing the fieldwork report, implementation of the findings had not taken place. This example serves as a reminder that, although good gender analysis may be conducted, the really important part is translating the analysis into concrete change.

Policy recommendation

- Donors should, as in other development activities, require the inclusion of gender-sensitive and comprehensive approaches to capacity building for DRM.
- Further work is required to provide and promote uptake of clear guidelines and tools for programmes on how to create gender-sensitive programming that moves beyond quotas for female participation.

Programme recommendation

Incorporate gender analysis from the early stages of programme design and consider using a gender specialist to both train the implementation team and identify opportunities for the programme to be more gender aware.

4.13 Linking to the context

Key messages

- It is established best practice to tailor interventions to national and local contexts, and the research shows that programme implementers are taking this seriously. Developing an understanding of contexts is achieved best through building up long-term relationships in an area.

- South-south arrangements should be used more frequently for DRM capacity building so that countries learn from other countries that have similar hazards and socio-economic contexts.

- At the community scale, DRM capacity-building programmes have found that linking with target communities' everyday lives and livelihoods improves effectiveness. Several programmes found that people were much more engaged when livelihoods was used as an access point for discussing DRM.

- Programmes are showing innovation and creativity in linking DRM messages and activities with the local cultures and everyday practices of target communities, thereby improving engagement and understanding.

A major barrier to effectiveness for DRM capacity-building initiatives is a lack of understanding of the local context (CADRI, 2011; Hagelsteen and Becker, 2013). Several authors argue that, despite the theory and best practice, 'one-size-fits-all' approaches are being imposed still without any tailoring or consideration of local contexts and dynamics (Baser and Morgan, 2008; Hagelsteen and Becker, 2013). The fieldwork actually revealed a more positive picture, indicating that DRM capacity-building implementers are taking on board this guidance to be flexible and tailor their interventions to make them as relevant as possible. For example, out of all the key principles for DRM capacity-building effectiveness (see Table 4), the research team's assessment showed that the principle of flexibility and adaptability was being implemented most effectively across all the case study countries (with a mean rating of 1.42). Several programmes that were studied in depth were given the highest rating for their flexibility and adaptability and none was graded lower than 2 out of 4.

Similarly, interviewees rated flexibility and adaptability as one of the most important principles for capacity-building effectiveness, across all of the case study countries (with a rating 1.5). Survey respondents rated it as the second most important (ownership was first) but more than half considered it to be 'vital' for the success of a DRM capacity-building intervention.

In order to tailor a programme to the local context, the implementer needs to have strong knowledge of the socio-economic, cultural and governance context. Organizations that had been engaged in the particular country for a long period, or that were building on their experiences of disaster response programmes, tended to be effective at tailoring their programmes.

Box 13. Making community-based DRM initiatives more creative and culturally relevant

A CWSA capacity-building programme in Pakistan (implemented with funding from Christian Aid) was able to link efforts to build community capacity by appealing to local cultural norms. When approaching a community with a new objective or concept, it was useful to be able to demonstrate how it connected with the community's existing values. When the community could see how the activity was connected to its own beliefs, it tended to value it more and give it priority. For example, practitioners from the CWSA capacity building for Disaster Risk Management Programme in Pakistan used the story of Noah's Ark (present in the Koran, the Bible and rabbinic literature) to introduce the concept of DRR to a community and link DRR concepts to religious beliefs. During a community mobilization dialogue under its project, the community asked members of the CWSA field staff why they were providing training on DRR as the villagers believed that nothing could be done to avert disasters. So the field staff discussed the story of Noah and how he built a home for his family to protect it from flooding, storms and wild animals – using the familiar story to introduce the concepts of shelter, reduced vulnerability and, ultimately, DRR. Though religion is sometimes associated with conservatism and fatalism by those in DRR education, this example shows that religion can be a powerful entry point also for DRM advocacy.

CWSA also encouraged community members to share their indigenous knowledge about hazards and disasters to help galvanize interest and build on people's existing knowledge and understanding. In particular, villagers referred to the behaviour of animals, birds and insects, unusual sounds, changes in vegetation and the colour of clouds, changes in water flow and in the colour, smell and taste of water as signs of potential hazards. Examples included: "When a snake starts roaming around and climbing up the tree, people start to expect floods"; "When ants start moving to higher places such as trees, carrying their eggs, flood is expected very soon"; and "When the pelicans start flying south to north, rain is expected in the coming days". CWSA trainers developed a presentation using photographs to demonstrate how to observe environmental indicators and animal behaviour as a means of sharing this indigenous knowledge between communities.

Also, capacity building was enhanced through the use of innovative and creative methodologies. For example, CWSA had a mobile knowledge resource centre (MKRC) which was a colourful truck containing practical, removable equipment and models to demonstrate DRM. It visited villages and school grounds for DRR training sessions. Research participants reported that the presence of the MKRC made the event more appealing and more memorable. The knowledge generated is, therefore, more likely to be sustainable. The MKRC approach was appealing to literate and illiterate groups equally and to people of all ages, and the truck was able to access even hard-to-reach rural areas.

Practical steps to link to the context

As well as avoiding generic capacity-building activities, resources and programmes, there are a number of practical steps that implementers can take to ensure that their programmes are relevant to the local context:

- Align with domestic priorities, policies, institutions and procedures as much as possible.
- Use creative, innovative ideas as these will be more memorable; for example, games were used in programmes in Haiti and Ethiopia with positive results.
- Connect DRM as an objective with local cultural norms and existing values/ belief systems (see, for example, Box 13). Link DRM activities to existing patterns of working and social relations. For example, in the Disaster Risk Reduction and Management Capacity Enhancement Project funded by JICA and implemented by the OCD in the Philippines, the target group comprised subsistence fishermen who were unable to attend training during the day and so courses were run in the evening.

- Ensure local languages are used.
- Build in opportunities for knowledge-sharing and ensure that indigenous knowledge is valued. For example, take an interactive mutual learning approach to training where participants are not passive recipients but contribute their knowledge and experiences.
- Use livelihoods as an entry point, for example, as has been done in the ACCRA programme in Ethiopia, the RUDR programme in Haiti and the Programme Partnership Agreement (PPA) in the Philippines.
- Differentiate between urban and rural contexts; education levels, security, access to services, hazards, social networks, livelihoods, lifestyles and working patterns all tend to be very different in urban as opposed to rural contexts.

South-south cooperation

'South-south' arrangements for capacity building (where support is provided by a low or middle-income country to another low or middle-income country, sometimes with funding from a high-income country) have become popular in recent years, particularly in fragile states (Baser, 2011; Lucas, 2013; UNDP, 2011). However, in the DRM literature, no discussion of this issue was found. During the fieldwork, only two programmes were found where south-south cooperation had been used (the Safer Schools Project and the PRO-GRC, both in Mozambique) and, both times, it proved to be a very effective form of partnership for DRM capacity building. The international community should prioritize the incorporation of this under-utilized approach in its DRM capacity-building programmes.

Interviewees identified a number of ways in which south-south cooperation was beneficial for DRM capacity-building programmes. This kind of arrangement

International Federation of Red Cross and Red Crescent Societies

4. What Works for DRM Capacity Building? Synthesized Findings

Box 14. South-south learning as an adaptable approach to capacity building

Carefully selected partners from Brazil, Costa Rica, Nicaragua, Honduras and Guatemala contributed to appropriate and effective capacity building for DRM under the PRO-GRC in Mozambique. Interviewees emphasized the importance of having countries with similar DRM contexts learning from each other. One interviewee from the PRO-GRC team said, "As Westerners, we normally think that our methods and standards are the best options but our technologies don't work in Africa. It's better to work with countries that are in a similar stage of development… countries that experience the same challenges and problems."

In Central America, the experience of responding to Hurricane Mitch in 1998, which led to the affected countries shifting to a more holistic DRM approach, meant these countries had valuable lessons to share with Mozambique. Additionally, some of the Central American countries faced similar hazards and were in similar development stages to those of Mozambique; this helped to ensure that examples of realistic technologies for DRM would be shared. For example, INGC was able to identify early warning system (EWS) equipment and systems that were not heavily reliant on uninterrupted power supplies or high-tech equipment. In rural areas, the EWS tool for monitoring flood levels was essentially a wooden stick painted with different colours to signify when to react to an approaching hazard. It did not require the reader to have any level of formal education, and was less likely to be stolen than was a high-tech instrument. Interviewees also commented that the fact that similar languages were spoken in the countries involved was helpful in facilitating an exchange of ideas.

One interviewee from INGC discussed how learnings were adapted for Mozambique: "The process, of course, wasn't copy and paste. With the exchange trips we did and the technical expertise we received, we had the opportunity to observe and to choose the more relevant aspects of the models, the aspects that were relevant to Mozambique. We didn't use everything from the models. Even at the community level we didn't take exactly the same processes. We took what was relevant to us."

usually works well in capacity building as it allows for countries with similar levels of development and similar governance contexts to provide relevant expertise and insights from their experiences. It is even more effective in relation to DRM if the countries involved are selected carefully so that they also experience similar types of hazard and levels of disaster. For example, in the PRO-GRC programme in Mozambique, expertise from Central and South America was seen as relevant to the context (see Box 14).

Policy recommendation

Use south-south cooperation in DRM capacity-building programmes, ensuring that the two countries have similar hazards as well as similar levels of development.

Programme recommendation

Take time to consider creative and innovative ways to tailor activities and approaches to the context, rather than applying a standardized approach.

4.14 Building DRM capacity in fragile and conflict-affected states

<div style="background:red;color:white">

Key messages

</div>

- The typical problems with DRM capacity building highlighted elsewhere in this report, e.g., short time-scales and high staff turnover, are often accentuated in fragile and conflict-affected states.

- Typically, when active conflict breaks out in an area, DRM capacity-building programmes are postponed or alternative locations are identified. This means that people living in areas of conflict are often left out of capacity building for DRM initiatives, despite their increased vulnerability to disasters.

- Fragile states do not have weak DRM capacity necessarily, but where there is very weak DRM capacity and infrastructure then small steps in improving technical capacity can be very significant.

- Governance contexts change quickly in fragile and conflict-affected states so programme implementers should track those changes closely and adapt accordingly.

- Social cohesion and civil society are often weak in fragile and conflict-affected states, and strengthening this should be factored into the design of DRM programmes.

Donors want to build capacity for DRM and often want to target more of their attention and aid to fragile states. However, there are multiple structural barriers to capacity-building programmes operating in insecure areas including in relation to national governments, internal donor procedures and implementing agency practices.

In the literature review for this research, the team found no existing references related specifically to capacity building for DRM in fragile and conflict-affected states. Many authors from general capacity building for DRM argue that normal implementation challenges are magnified in fragile and conflict-affected states. By this logic, the typical challenges for DRM capacity building identified elsewhere in this report (for example, short time-scales or high staff turnover) will be accentuated in fragile states. This hypothesis was confirmed in the case study countries visited. In particular, the capacity-building programmes in Myanmar and Pakistan both had to contend with security and turnover issues and this made a significant impact on programme design and implementation. While the existing literature paints a morose picture of capacity building in fragile states (Baser, 2011), the research team sought to find examples of how organizations can build capacity effectively in more fragile contexts.

Of the six case study countries included in the research, four were categorized as fragile and affected by conflict: Ethiopia, Haiti, Myanmar and Pakistan.[2] However, just because a country is classified as a fragile state, it does not mean necessarily that there is low DRM capacity in terms of formal structures being in place. Pakistan was one example where disaster-management institutions were well established; they had been a priority on the national political agenda since the 2005 earthquake and frequent high-profile disasters such as

2 *Whether a country falls into this category or not has been determined by studying publicly available rankings of fragility (for example, the Failed States Index 2013) and triangulating this with real-time information provided to OPM on an ongoing basis by their security contractors, Spearfish.*

the subsequent large-scale floods in 2010. At the same time, the research team found that, at subnational levels in Pakistan and Myanmar, DRM structures were supported or enabled weakly because of wider governance and resource issues. Strengthening capacities to work across scales may, therefore, be more important in weaker governance contexts.

Tendency to avoid conflict areas

In situations of conflict or political tension, the research typically found that, when active conflict breaks out in an area, DRM capacity-building programmes are just postponed and activities resume at a later date, or alternative locations are identified as target areas. Organizations are not willing to risk the safety of their staff for a capacity-building initiative. Additionally, international consultants often have travel restrictions imposed upon them, which prevent them from working in areas with political tensions, so, sometimes, donors prefer not to work in these locations.

In Pakistan and Myanmar, security assessments were an important step in programme design that should be encouraged and donors should give organizations the flexibility to act on the assessments despite possible impacts on programme objectives. For CWSA in Pakistan, an NGO with more than 95 per cent national staff members, assessments were important to help determine the viability of activities and protect the staff and beneficiaries of programmes. The organization originally planned to conduct its capacity building for Disaster Risk Management Programmes in three locations. As a result of a security assessment, it determined that it did not have the capacity to cope with the high risks in two of the targeted areas. CWSA interviewees appreciated that
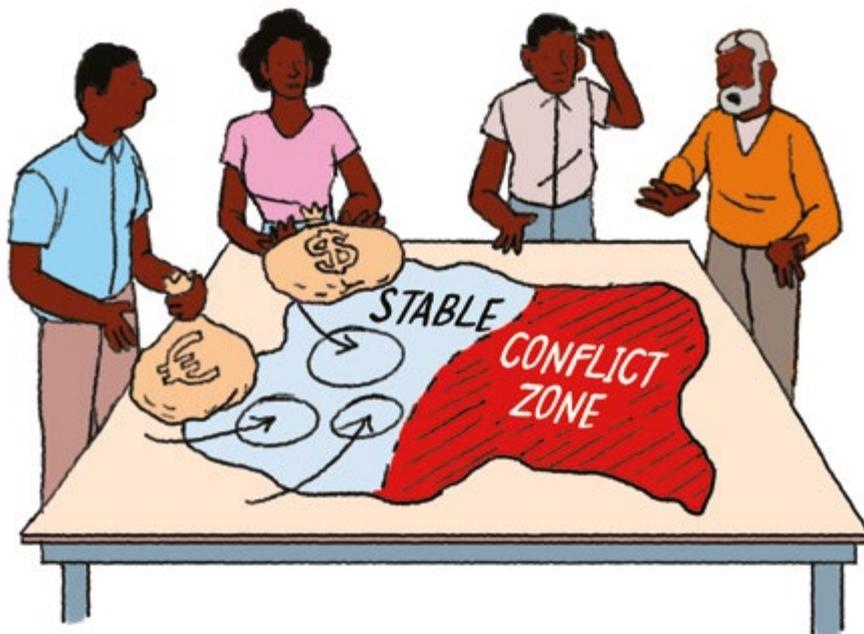
Consider how to build DRM capacity in conflict areas

donors were flexible in the situation and allowed the organization to offer an expanded programme in one location where the risks were manageable. The IOM in Myanmar needed to be flexible to manage the ongoing security situation in parts of Kayin state. Based on initial assessments of hazard exposure and capacity needs, some areas such as Kaw Karik and Myawaddy were proposed as project sites but, because of conflict in the areas, this was not permitted by government authorities. Alternative sites were selected.

The impact of security threats to staff is that people living in areas of conflict are often left out of capacity building for DRM initiatives despite their increased vulnerability to disasters. In the parameters of this research, it proved extremely difficult to find a candidate capacity building for DRM programme actively working in zones of conflict. The shortage of examples from which to draw lessons remains, and additional targeted research on this theme is recommended. This is a serious problem for the international community as it seeks to reduce the risks of the world's most vulnerable people.

Adapting to continual change

Contextual factors are a particular concern for capacity building in fragile states. In fragile states where the context is highly dynamic and governance systems are often emerging, capacity-building strategies also need time to evolve and adapt to changing needs. The literature suggests that the success of capacity-building programmes is reliant on the ability of humanitarian agencies to recognize opportunities for effective capacity-building strategies in the respective contexts at different stages (Sterland, 2006). Below are examples from Haiti and Myanmar that support this idea.

Box 15. Programmes should track changing contexts

In the RUDR programme in Haiti, implemented by GOAL and funded by OFDA, an extensive system of assessment and monitoring was used to keep abreast of the changing context. Programmes were offered that reflected changing levels of vulnerability and capacity and each programme built on the level of capacity that was achieved in the previous programme. In Haiti, as was found in many fragile states according to the literature review (Brinkerhoff, 2007; Evans et al., 2009), there was an evolving weakened civil society due to frequent shocks and a highly politicized environment where the real location of power and control was difficult to identify. Where GOAL's initial programmes focused on reducing vulnerability from the earthquake in 2010 through humanitarian relief, subsequent programmes focused on building community capacity through community-based DRM and community-managed small mitigation works. The programme also employed strategies to ensure transparent decision-making processes where trust between stakeholders was a challenge due to the weakened state of the civil society.

The Strengthening Disaster Risk Reduction Programme implemented by the ADPC in Myanmar succeeded in changing the governance context by ensuring a highly consultative approach to project design, including extensive in-situ dialogue. As government priorities changed, so did the capacity-building programme as the government stakeholders with decision-making authority were participating in the extensive and participatory consultations. The approach was key to ensuring the relevance and effectiveness of the ADPC programme.

In both examples, conducting continuous participation, assessment and monitoring, and having maximum flexibility from donors to adapt to the changing context, were key elements.

Working in contexts with low social capital and cohesion

Typically, civil society is weak in fragile and conflict-affected states and fractured social relations are common, often because of years of conflict and political tension. However, as the enabling environment for DRM strengthens and community capacity grows, so should the incentive for increased participation and responsibility of the target group in the programme delivery. As suggested by Evans et al. (2009), each community should provide a significant contribution alongside any outside support. Even if there is weak civil society, it is advisable to try to build on pre-existing capacity and networks as much as possible. During the fieldwork in Haiti, the research team encountered an example of a programme that deliberately aimed to incorporate a contribution from the community as part of its capacity-building activities.

According to GOAL staff in Haiti, there is a current challenge to fostering ownership and partnership in capacity building for DRM and community-based programmes in general, which has had an impact also on the RUDR programme. Programme beneficiaries were used to a high level of support from foreign entities; this has created a culture of dependency on foreign aid. This can be attributed partially to the 2010 earthquake response from the international community, although the history of charity in Haiti reaches back well before then. GOAL staff members wanted to improve the sustainability of the RUDR by switching the community from the mentality that aid comes from the outside, to one where aid comes from within. To do this, they focused on an existing social principle in the Haitian context: the principle of 'Konbit', which means the community members work together to support each other to achieve community and household-level priorities. Some of the notable techniques used were: 1) participatory selection of community-intervention team members; 2) letters of agreement outlining shared responsibility between the target group and GOAL in small mitigation works; and 3) non-payment for participation in capacity building for DRM activities.

Despite some frustrations about the level of community contribution required, there was a strong indication that GOAL excelled in encouraging ownership through its implementation strategies. Overall, RUDR beneficiaries felt that GOAL was supportive and facilitated them throughout programme implementation and that their active roles have contributed to building their capacity.

Small steps can be highly significant

In the case study countries, in situations where the starting point for DRM capacity was very low, it was important to prioritize technical capacity as a precursor to functional capacity. Without basic understanding of DRM terminology and concepts, it is unlikely that stakeholders will have the capacity to make better decisions about disaster risk. In such contexts, even small gains in DRM capacity can be considered to be highly significant.

In Myanmar and Pakistan, small and partial gains in capacity derived from interventions remained important in situations in which underlying capacity was weak. In the Community-based Disaster Risk Reduction Initiative in south-east Myanmar, implemented by IOM in Kayin State, simple gains at the local level from DRM training and equipment provision were key. Multiple interviewees emphasized this point, particularly in relation to the IOM programme. One state-level interviewee argued that if a likely 50 to 60 per cent of IOM target villages can sustain project activities, that would be a significant success. Again, with capacity-building activities that contribute more directly to functional

capacity, such as the development of disaster plans, small or partial gains are still highly valuable in the context, even if the process has not fostered ownership as effectively as might be achieved through an ideal capacity-building approach. If this point is recognized, donors should, therefore, consider it both feasible and effective to work with weaker systems where capacity-building needs are perhaps highest.

Policy recommendation

For capacity building for DRM in insecure environments, it is critical to build sufficient time into programming from the outset to consider how (and whether) the multiple structural barriers can be overcome, what incentives need to change, and what organizations should be involved in that process.

Programme recommendation

Conduct continuous assessment of the context and adapt the programme to changing needs in fragile states and within the areas of conflict.

4.15 Linking up the levels

Key messages

- Although the literature is clear that building capacities for inter-scalar working is important for DRM effectiveness, this does not appear to be prioritized in DRM capacity-building interventions. Also, there seems to be a 'missing middle' as the subnational government level is overlooked more in the design of DRM capacity-building interventions, with programmes instead tending to focus on the national or community level.

- Inter-scalar working is important for improving the integration of DRM policies and processes, increasing sustainability and facilitating upward, demand-led DRM.

- Decentralization policies can create an enabling context for local DRM capacity building, but only if adequate resources are provided to subnational levels to enable them to fulfil their mandated DRM roles and responsibilities.

- Programmes should pay attention to how new capacities at one level will mesh with capacities and processes at both lower and higher levels: e.g., how district plans link with provincial budgeting processes. Also, they should design their activities to maximize inter-scalar collaboration.

The published literature on DRM capacity-building emphasizes that, given the complex, multi-sectoral, multi-actor and multi-scale nature of DRM, different levels of government have to be engaged in DRM capacity-building activities for them to be most effective, and that interventions should build mechanisms for active coordination across scales (Collymore, 2011; Daniel et al., 2013; Tadele and Manyena, 2009). Various resources advise creating multi-stakeholder coalitions between government and NGOs, along with community-based, demand-led capacity-building approaches, wherever possible (Evans et al., 2009; UNDP, 2011). However, the literature offers few other practical lessons learned about *how to* facilitate inter-scalar activity as part of a capacity-building programme,

or how to build capacities for inter-scalar coordination as a means of preventing the well-documented lack of communication and the considerable gap in capacity and information flows between upper levels of government, implementers and local actors on the ground (Walker et al., 2011).

Despite this emphasis in the literature on the importance of integrating inter-scalar coordination within capacity-building programmes, and building capacities to continue this, findings from the research suggest that, as yet, this is not valued highly, nor is it an area of particular strength across DRM capacity-building initiatives.

Of the six principles identified from the literature as being key for DRM capacity-building effectiveness (see Table 4), 'build interaction between scales and actors', was rated the lowest overall by respondents to the survey and fieldwork participants across the case study countries (with an overall rating of 1.81). This is not to say that it is not a valued principle, as it was still rated consistently as important, but it was not viewed as being *as essential* to effectiveness as were the other principles.

Data from the survey showed that, typically, DRM capacity-building programmes are targeting a combination of levels (32 per cent of respondents said that capacity-building interventions, in which they had been involved over the past five years, targeted a combination of scales and actors) and, of those programmes that target just one level, the clear preference is for national level (selected by 25 per cent of respondents), followed by the community level (selected by 20 per cent of respondents), with only 7 per cent of respondents identifying the subnational or local government level as the targeted focal group for interventions. Therefore, under one-third of capacity-building interventions are approaching building capacity from a multi-scalar perspective, instead choosing to focus on building the capacities of just one scale. The data also suggest that there is a 'missing middle' where the national and community levels are prioritized for capacity building, but the subnational and local government levels are overlooked.

Why is it important to foster capacities for inter-scalar working for DRM?

During the course of the fieldwork, the research team found several examples of programmes that were working to build capacity at multiple levels and had discovered effective ways to improve inter-scalar communication and coordination, including examples from Ethiopia, Pakistan, Myanmar and Mozambique. One example was the PRO-GRC, which had a major focus on improving capacity at national, provincial, district and community levels, with the aim that risk-reduction and emergency-response responsibilities could be decentralized from national to provincial and district levels (PRO-GRC, 2009). The research team also found programmes that were working specifically to link the community level up with local government: for example, the capacity building for Disaster Risk Management Programme implemented by CWSA in Pakistan where several interviewees attributed improved communication between the community and government DRM structures to be a direct result of CWSA interventions.

Evidence from the fieldwork suggests that, in many countries, knowledge of DRM roles, responsibilities, activities and programmes across scales is weak. The research team encountered multiple situations where activities at a lower level were not linked up with those at higher levels, or where there was confusion about how responsibilities for DRM were shared across levels of government.

Building capacities for inter-scalar working is indeed important for DRM for the following reasons:

- **DRM is likely to be more integrated if capacity for actors to work across scales is built.** This capacity facilitates 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). Clear roles and responsibilities for DRM, and therefore better oversight and management, are more likely. Interviewees in Ethiopia, for example, noted the importance of ensuring that national-level ideas match what is feasible and desired at local government and community levels, and that information and experience from the local and community levels infuse national policy.

- **Scale integration is important if the development of new structures for DRM is to be sustained.** The fieldwork in Myanmar emphasized the importance of ensuring that structures such as DRR committees and plans introduced at one scale dovetail with those at other scales if they are to function together effectively. In the Community-based Disaster Risk Reduction Initiative in south-east Myanmar implemented by IOM, for example, both state-level and village-level interviewees expressed the need to forge stronger links between village DRR plans and the township disaster management plans, which are not produced presently in an integrated manner.

- **Building inter-scalar coordination capacities can play a key role in facilitating democratic upward demand for DRM resources.** By focusing on inter-scalar interaction, and building capacities for this, interventions can increase the likelihood of demand-led DRM, particularly in relation to accessing resources. For example, in Myanmar, the Community-based Disaster Risk Reduction Initiative implemented by IOM encouraged the production of comprehensive plans as a tool with which townships and villages can request additional assistance from higher government levels and other agencies beyond their present

International Federation of Red Cross and Red Crescent Societies

4. What Works for DRM Capacity Building? Synthesized Findings
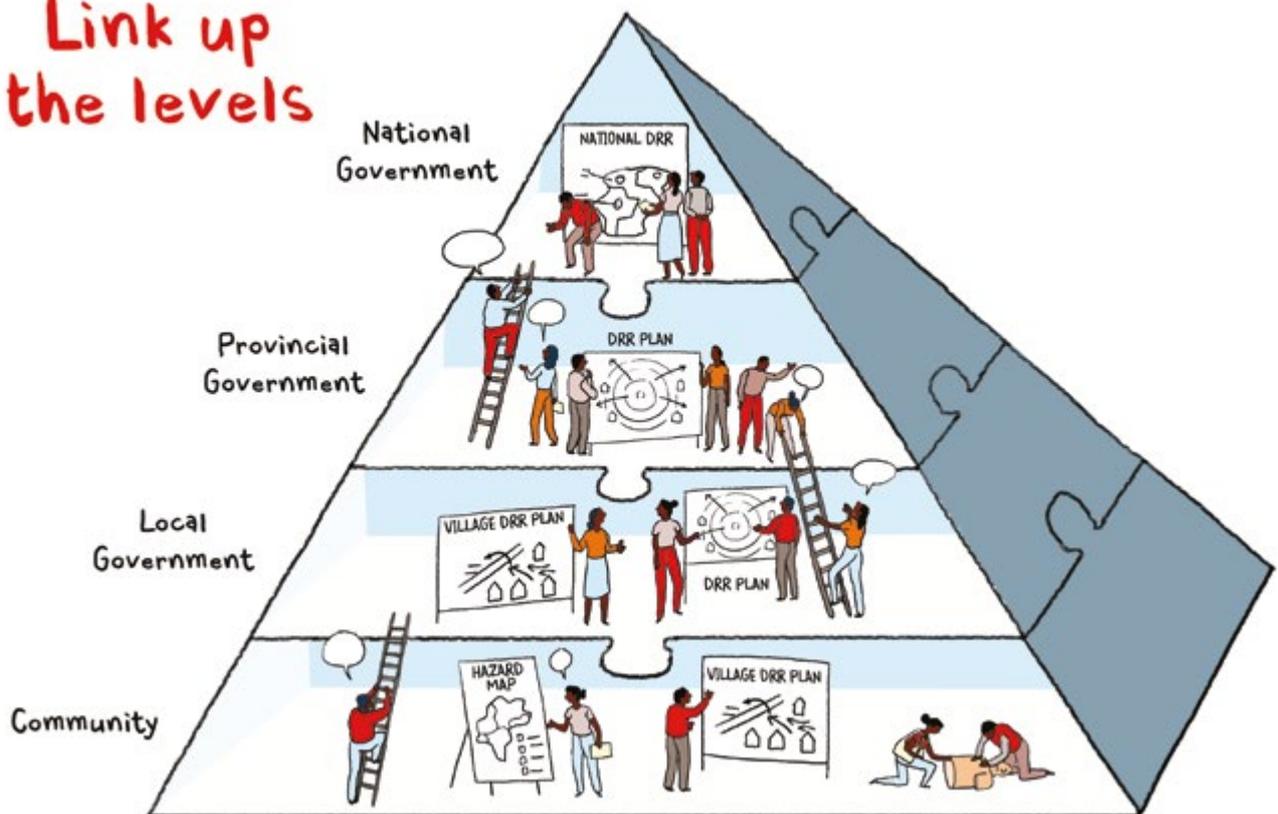
budget allocations or available resources. Also in Myanmar, the research found evidence of school DRM committees applying for funding from the Ministry of Education to support hazard-resilient building; this was an activity facilitated by the Urban and Community Based Disaster Risk Reduction Programme implemented by Myanmar Red Cross. Committees have, therefore, been better equipped to interact with, and make demands of, higher-level stakeholders in relation to DRM. This approach may be particularly effective in countries with weak or nascent mechanisms for bottom-up input on governance.

Box 16. Supporting the district level in Pakistan

The central focus of the UNDP's contribution to the One UN Joint Programme (One UN DRM) on Disaster Risk Management in Pakistan was capacity-building support to government actors around the Disaster Management Authority (DMA) system. This has taken place at different scales, from national through provincial and district-level disaster management authorities. The basic idea was institutional development of an effective DRM system in Pakistan. After the earthquake in Pakistan in 2005, the government had established the NDMA already, but the country did not have PDMAs and DDMAs in place and this was perceived by the government to be a major institutional development gap.

As a result of the 18th Constitutional Amendment on devolution, the establishment of a DMA structure was required at subnational levels. A key capacity-building task of the One UN DRM Programme in the country was, therefore, seen to be the provision of a network of experts assigned to support the development of DMAs (or their equivalents) at different levels to help establish working structures and help formulate policies and regulations. A major feature of this approach was the provision of DRM coordinators at district level for a period of around two years. This initiative had its origins in earlier UNDP work in four districts, for which the UNDP team prepared and presented frameworks for DRM, and also conducted departmental training. In 2009, the One UN DRM Programme selected ten districts and started replicating the work started in the previous project. The initial roll-out of this initiative was considered a significant success during the first phase of One UN DRM and, by the end of 2011, 35 districts had coordinators (including northern areas and Kashmir) while seven extra requests from additional districts had been received.

The rationale for appointing a network of consultants based at district offices was to help bring about the step change that was required in order to develop a functioning DDMA (or its equivalent). UNDP believed that one or two trainings of district officers would not be sufficient to bring change in the way a district handles disaster situations. So it was decided to place a consultant in each of several selected districts to facilitate the transition. Finding sufficiently skilled experts for these positions was a challenge and it was stated that UNDP had to relax selection criteria for district coordinators most of the time. However, efforts were made to link district coordinators with one another horizontally and, also, they were provided with support through the seven regional coordinators.

According to a former UNDP national staff member who managed the initiative up to 2011, "the district coordinators were very important anchors for our project". They helped to circumvent the institutional resistance to the development of DDMAs, which was often in place initially, and demonstrated the value both of their capacity-building presence in the districts and the value of the new approach. One key capacity-building value they provided was in working with DDMA staff to develop customized district DRM plans out of a standardized template. They provided technical advice to DDMAs and developed mechanisms for information management. Through this, momentum was built up and more and more districts came on board.

At the same time, UNDP decided to keep the level of material and financial inputs to districts to a minimum, with the aim that districts would be expected to support the coordinators and, thereby, would have a mechanism in place that meant the inputs could be sustained after the One UN DRM Programme.

At the time of the fieldwork, specific areas of Pakistan continued to show a progressive development of the DMA system and the PDMA in Khyber Pakhtunkhwa province was considered generally to be effective, although it should be noted that the success may be due to the increased funding made available to Khyber Pakhtunkhwa authorities because of the conflict there. However, in other provinces and targeted districts, the sustainability of institutional capacity-building gains appears to be an issue as, in some areas, there are still no strongly functioning DMAs.

Decentralization as a potential enabler for local capacity building

The extent of decentralization in a country can act either as an enabler or a barrier to effective DRM capacity building. As disasters are experienced first at the local level, local or district governments have key roles to play in DRM. Sometimes, the provincial and district levels have DRM roles and responsibilities devolved to them as part of the overall context of decentralization, but they are not resourced adequately, in terms of either human or financial resources, to be able to fulfil these functions. This was found to be the case in the Philippines where several interviewees noted that, although the DRM Law, RA 10121, requires the autonomous local government units to fulfil 17 new functions, adequate resources have not been provided, leaving many National and Provincial Disaster Risk Reduction Management Offices operating without permanent, dedicated DRM staff and, therefore, not able to fulfil their legal mandates.

However, if responsibilities are matched with resources, then decentralization has the potential to function as an enabling mechanism for capacity building at the local level. For example, in Myanmar, according to several interviewees, the post-2012 decentralization changes in the country created a situation whereby decisions, actions and planning on DRR can be undertaken more readily at lower administrative levels; this, itself, has increased the potential for capacity-building gains to be achieved. Similarly, in Pakistan, the 18th Constitutional Amendment was passed in 2010 providing a clear division of DRM responsibilities between subnational and federal levels. As a result, a provincial component for the coordination and implementation of disaster management became necessary, with agencies needing to be established down to the district level. This Amendment essentially created the administrative structural conditions necessary for subnational DRM capacity building, allowing the One UN DRM Programme to step in to assist in this process.

How to build capacity for inter-scalar coordination

During the fieldwork, the research team identified several programmes that had built capacity successfully for inter-scalar working: for example, in Box 17. Essentially, these programmes paid attention to how new capacities built at one level would integrate with other levels and sought to ensure that mechanisms would mesh together as much as possible. For example, rather than consider district plans in isolation, they considered how they could be designed in the best way so that they would integrate with provincial budget mechanisms. Or, if creating DRM committees and sub-commissions, they ensured there were parallel designations between scales to maximize the likelihood of cross-scalar working. These programmes also sought to design their routine DRM capacity-building activities carefully: for example, for training, designing in such a way that it would facilitate and promote coordination across scales.

Capacity-building programmes can be designed so that building capacities to interact effectively with other scales is a central feature of the intervention: for example, see Box 17. However, even if they are not explicit objectives, interventions can be designed so that coordination capacity is an implicit effect. In several countries, including the Philippines, Haiti, Mozambique and Myanmar, interviewees repeatedly identified the careful design of training events and workshops so that they function as forums for bringing together people from a mixture of different scales, as an effective means of promoting inter-scalar communication and coordination. This is a very simple, but apparently highly effective, approach. In the Disaster Risk Reduction and Management Capacity

International Federation of Red Cross and Red Crescent Societies

4. What Works for DRM Capacity Building? Synthesized Findings

Box 17. Techniques for improving inter-scalar DRM capacity from Mozambique

The PRO-GRC, conducted by GIZ in partnership with INGC and funded by BMZ, excelled in improving inter-scalar DRM through the design of structures, systems and activities. Below is a list of some of the notable mechanisms used in PRO-GRC:

- Sub-commissions for DRM: The establishment of sub-commissions with parallel designations between levels proved to be an effective strategy. The individuals on the local, district and provincial-level DRM committees were nominated to perform distinct DRM-related roles such as: early-warning systems representative, disaster needs assessment representative, etc. This helped them to gain ownership in their individual roles in DRM. There were separate activities for the sub-commissions, which allowed them to meet and discuss issues related specifically to their counterparts at different levels. Sub-commissions knew with whom to discuss concerns and to whom to report at each level. Interviewees felt that this system worked well in terms of improving communication at all times but the impact was most evident when it came time to prepare for approaching hazards and responding to hazard events. One member of the District Technical Council for Disaster Management (CTDGC) shared the example: "…the local-level assessors all report to the CTDGC-level damage-assessment commission. At this level, we can globalize and harmonize the findings and react quickly."

- Inter-scalar exposure visits: PRO-GRC also prioritized offering different levels of the DRM structure the opportunity to visit and learn from each other's meetings. There were visits between different technical councils and district councils. Participants of these meetings appreciated the opportunity to meet DRM counterparts from different levels. One interviewee reflected, "This is a way to make people feel special. At every meeting at the beginning, people take turns to introduce themselves." One interviewee recalled that some people from the DRR committees went to the technical councils at the provincial level. She reflected, "The DRR committee members were really motivated and quite proud to be in the group and share what they had done."

- Mixing training participants from different locations: Local DRM committee participants valued the opportunity to mix with committees from different locations. Each DRM committee had an action plan and each training provided a space and opportunity to discuss what they were doing with others. One local DRM committee member shared, "We used what we learned from other committees to solve problems in different ways."

- Opportunities to facilitate: The PRO-GRC team promoted opportunities for actors at different scales to present and facilitate exercises with each other. As an example, a member of a local DRR committee came to a district council meeting and facilitated the group to conduct a strengths, weaknesses, opportunities and threats (SWOT) analysis. Also, when international visitors came, local DRR committees were invited to deliver presentations to them. One GIZ team member explained, "They were proud about what they had accomplished. Then they would show them their DRR kits and materials available for DRM."

Enhancement Project, funded by JICA and implemented by the OCD in the Philippines, interviewees identified the presence of actors from different scales and organizations as strengthening the basis for cooperation and communication. Similarly, in the Strengthening Disaster Risk Reduction Programme implemented by ADPC in Myanmar, the research team found evidence that inviting participants to training events from multiple scales helped to improve understanding of DRM roles and responsibilities, and increased the likelihood of cooperation and communication.

In particular, in several countries including Ethiopia and the Philippines, a ToT approach has been an effective means of transferring DRM knowledge because it has involved high levels of sustained interaction between DRM specialists from national, provincial, district and community levels. As subsequent 'layers' of trainers were trained, the events also functioned to improve broader inter-scalar awareness and coordination.

Policy recommendation

Ensure that the subnational level is not overlooked and that resources are made available for building capacities at the provincial and district levels.

Programme recommendations

- Ensure that capacity built at one level can dovetail with capacities and processes operating at both lower and higher levels.
- Deliberately integrate inter-scalar coordination into capacity-building interventions, e.g., through mixing scales at training events, and build capacities for inter-scalar interaction.

5.
Towards a Theory of Change for Building DRM Capacity

In the research design process for this project, a conceptual framework was devised based on six key principles of capacity building for DRM derived from the review of existing literature. This framing shaped the methodology of the data collection but it was intended also that the research would act as a means of testing the validity of those principles, with a view to refining a model or models of effective capacity building. Though contextual differences cause a problem for the generation of a standardized model for effective capacity building, this section reflects and builds on the generalized findings of the research to take this thinking forward.

Perspectives on the principles

All the principles were considered to be important by stakeholders at multiple levels.

In broad terms, the research process corroborated the relevance and importance of all of the key principles. Each of the case study interviewees was asked about the key success factors for effective capacity building for DRM, and all the factors that people listed were related closely to one or more of these principles. Also, all interviewees, as well as survey respondents, were requested to undertake the principles-rating exercise and provide a rating of between 1 and 4 for each of the principles. Across the interviewees, all six principles were considered to be important for the success of capacity-building initiatives. Across the survey, each principle was considered to be an important success factor in the initiatives known by respondents.

However, there were subtle differences between the average scores achieved by the different principles (see Table 7), which are highlighted briefly below.

Table 7. Results of the principles-rating exercise

Principle	Flexibility and adapt-ability	Compre-hensive planning	Ownership and part-nership	Atten-tion to functional capacity	Integration of actors and scales	Contribu-tion to DRR
Survey only (international)						
Observations	75	75	75	75	75	74
Mean rating	1.49	1.65	1.28	1.68	1.87	1.97
Std dev	0.623	0.647	0.534	0.549	0.664	0.776
Range	1–4	1–3	1–4	1–3	1–3	1–4
Interviews only (case studies)						
Observations	196	196	196	196	196	196
Mean rating	1.50	1.47	1.47	1.79	1.79	1.56
Std dev	0.603	0.611	0.620	0.698	0.703	0.732
Range	1–3	1–3	1–3	1–4	1–4	1–4
Overall rating (international and case studies)						
Observations	271	271	271	271	271	270
Mean rating	1.50	1.52	1.42	1.76	1.81	1.67
Std dev	0.608	0.625	0.603	0.661	0.692	0.766
Range	1–4	1–3	1–4	1–4	1–4	1–4

Stakeholders tended to rate principles related to process, such as ownership, slightly higher than principles related to the thematic content of capacity building.

Higher ratings tended to be provided for principles associated with 'process' rather than 'content' of capacity-building programmes. Hence, the process principle of ownership/partnership tended to score highest, followed by flexibility/adaptability and comprehensive planning. Content principles including the importance of functional capacity, linkage across scales and actors, and the integration with wider DRR tended to be rated slightly lower (though still important). Caution is advisable in pushing the interpretation of this difference too far, given that the differences are relatively small, but the finding does underline the importance of achieving a correct approach to undertaking capacity building, and not focusing simply on what capacity building is about thematically.

Is there a significant difference between survey and case study interviewees?

The averages are significantly different for three principles. Respondents from the case studies rated ownership lower in importance than did respondents in the global survey, while the importance of comprehensive planning and of integrating capacity building with a DRR approach were rated more highly by case study respondents. The first and third of these, in particular, challenge any assumptions about international agencies under-rating ownership or being more attuned to DRR. The messages about both appear to be shared widely among those working in DRM at different scales.

Revisiting the conceptual framework for capacity building

What needs to be modified in terms of the wording of principles?

Drawing both on the direct comments of research participants, and on observations of the research process, the following should be noted:

- Translation of the nuances of the explanations into other languages can be difficult and, hence, it is important to simplify the language to ensure its meaning is clear. For example, the meaning of the term 'functional capacity' is not self-evident and not always understood well.
- Some explanations of the principles were overlapping in meaning and this overlap needed to be reduced in the wording. For example, reference to the need to base initiatives on careful assessment of capacity needs should be under only 'flexibility/adaptability', leaving 'comprehensive planning' to be about timetabling, M&E and sustainability.
- 'Contribution to DRR' covers a wide range of activities and may be more easily understood as: a) attention to DRR; and b) attention to the underlying social dimensions of risk.

Drawing on these observations, some revisions have been made to the wording of the principles. Table 8 is a revised set of working definitions.

Table 8. Revised principles of effective capacity building for DRM

Key principle	Definition
Flexibility and adaptability	The need to approach capacity-building interventions flexibly, so that the design of the programme is appropriate to context and responsive to needs (rather than applied as an externally-imposed 'blueprint'). It includes undertaking careful assessment of capacity needs, and 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 or strengthen capacity building.
Comprehensive planning	The need to carefully design interventions so that they can meet their objectives and are likely to be sustainable. It includes appropriate scheduling of interventions so that pressure to show visible results does not undermine capacity building. Also critical is planning for the long-term sustainability of capacity gains after the withdrawal of interventions. Comprehensive planning includes a robust system for M&E.
Ownership and partnership	The need to ensure that those targeted for capacity building have a clear and significant role in the design and implementation of initiatives (which will again help to ensure they are appropriate, effective and sustainable). Ownership is likely to rest on active participation, clear statements of responsibilities, engagement of leaders, and alignment with existing DRM and DRR strategies.
Attention to functional capacity	The need to focus on 'functional' capacity building. This means doing more than improving technical skills and resources. It means developing the ability of stakeholders and organizations to take effective decisions and actions on DRM. It includes aspects such as improving coordination, and developing policies and plans. It also includes creating an enabling environment for effective decisions and actions, such as developing incentives for good staff performance, and building support among stakeholders to see DRM as a priority issue.
Integration of actors and scales	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 networks of stakeholders, and on building local people's capacity to interact with other stakeholders.
Contribution to disaster risk reduction	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 inequalities in both vulnerability and capacity.

Presenting a revised generic framework/theory of change for capacity building

In the inception report for this project, a conceptual framework of change was presented that brought together key insights from the literature review and the work on typologies. The presentation took the form of a model, which was shaped by both the wider remit of DRR and the overall objectives of the project. The model was developed particularly to be applicable to organizations, as it was the capacity building of organizations, operating at scales ranging from national level to community level, which was most prominent in this research.

The framework proved applicable, generally, in terms of the findings of the research but, in a new version presented here, the following have been modified: the wording of the text in the capacity-building box; the separation of the programme outputs; the wording of outcome statements to match those in the M&E framework; and the expansion of the explanation of one key assumption.

These changes have been incorporated in a new conceptual framework, articulated as a theory of change – see Figure 3. The model connects the problem statement (a presumed need for enhanced capacity to address disaster risk) with the desired outcome of capacity building (development of sustained improved capacity for DRM, expressed in terms of three interlinked outcomes, defined in the M&E framework) and the resultant impact (reduced disaster risk over the long term). Particularly key in the previous sentence are the words 'sustained' and 'long term'; they reflect the fundamental concern that meaningful capacity gains should be built in such a way that they can be maintained over time in the face of both internal change (in, e.g., staffing) and external change (in disaster risk factors and the wider societal context).

The core part of the conceptual framework is the box that connects problem to output – the capacity-building activity itself. As reviewed in Vogel (2012) and Bours et al. (2014), there are many different ways to depict the pathway connection. Depending on the objectives and focus of a theory of change, this can be articulated in terms of technical input activities, functional processes, principles of approach and/or different forms of output. Here, because the research is interested in the generic building blocks of effective capacity building, the focus is especially on an overarching set of principles relating to how capacity building is approached, designed and implemented. These cross-cutting principles apply to a range of specific activities that might be included in capacity building (addressing combinations of 'elements' of capacity) and feed through into a programme output of an effective capacity-building programme (resting on a series of assumptions noted in the bottom of the diagram).

Note that the conceptual framework departs from the theory of change format used for the project itself and the wider Humanitarian Innovation and Evidence Programme (HIEP), in that it does not follow the 'activities to outputs to outcomes' structure, and it does not separate out the pathway streams between these components. This is for a number of reasons:
1. A theory of change can be based around modes of action and their joint contribution to outputs, rather than on specific actions and their specific outputs.
2. Placing a more detailed set of idealized 'activities', as conventionally expressed, as the focus of the model would be overly prescriptive for a generic framework.
3. Activities are not readily translatable into principles, but it is the principles, and how these are articulated in practice, that should inform the specific design of capacity-building activities.
4. The interlinkages between principles, activities and programme outputs, in this case, are complex and, to a large extent, cross-cutting and it is likely that the combined totality of these capacity-building components will shape outcomes.

It is likely that a multiplicity of arrowed connections would make the diagram difficult to understand. Note, however, that colour-coding is used in the diagram to link principles with those programme output assumptions that are associated with them most closely.

Figure 3. A theory of change for capacity building in DRM

Problem

Need for enhanced capacity to manage disaster risks

Principles

Flexibility/Adaptability
- Assess needs and capacities to reveal gaps
- Assess political/power dimensions that can undermine CD
- Work with existing skills, institutions, DRM/DRR strategies etc.

Comprehensive planning
- Ensure enough time is scheduled to achieve change
- Plan for continuity and reinforcement of CD gains
- Develop a theory of change and procedures for M&E

Activities
- Reinforce human and material **resources**
- Reinforce organisational **structures**
- Reinforce coordination and decision-making **processes**
- Reinforce **enabling mechanisms**

Ownership/Partnership
- Design and undertake CD in active partnership with beneficiaries
- Engage local leadership and political commitment to the CD initiative

Attention to functional capacity
- Address functional aspects, including decision-making processes, plans, policies and organisational coordination
- Develop incentives for good performance
- Foster support to reinforce DRR as a priority

Contribution to disaster risk reduction
- Address all aspects of the DRM cycle
- Address long-term change in risk
- Address vulnerability reduction and the needs of highly vulnerable groups
- Recognise and respond to gender disparities in vulnerability and capacity

Integration of actors/scales
- Build capacity across and between multiple actors
- Build capacity across and between scales

Programme output

Effective capacity building achieved

Outcome

Development of sustained improved capacity for DRM
- Enhanced ability to use knowledge, innovation, education, communication and technology for DRM
- Institutional basis for DRM has been strengthened
- Motivation to achieve effective DRM has been strengthened

Impact

Reduced disaster risk over the long-term

Key assumption
Mix of activities combines to generate an effective CD programme
- CD programme is appropriate to needs and covers gaps in capacities
- CD gains are designed to be sustainable
- CD strengthens both functional and technical capacities
- CD develops capacity across scales and actors
- CD is holistic and forward-looking in relation to DRR

Key assumption
CD activity feeds into enhanced capacity and is sustained

Key assumption
CD leads to more effective decision-making and action, supported by adequate resources

....

6.
An M&E Framework for DRM Capacity-building Programmes

....

Any project should have its own M&E system, which is used as a management tool to track and improve the effectiveness of its activities, to enable lesson learning and for ensuring accountability to funders and to its wider organization. However, the literature review identified that there are limited resources available that focus specifically on M&E for DRM capacity building and tailored M&E methods and tools are lacking (Benson and Twigg 2007; Villanueva, 2011). The fieldwork across the case study countries found that, typically, DRM capacity-building programmes are struggling to implement robust M&E systems that monitor and measure DRM outcomes and impact (see section 4.5). The M&E framework presented in this section is designed with that finding in mind, as it aims to support programmes to monitor and evaluate their outcomes and impact in a better way. It is hoped that the framework will be promoted by major donors and used across a variety of DRM capacity-building initiatives, enabling better tracking of progress and understanding of what works and why on a global scale.

6.1 Developing and testing the framework

Most M&E systems are built around the model of activity/input-output-outcome, reflecting an implicit intervention logic of the project. It would be expected that information on inputs and outputs would come from administrative data, and that the indicators chosen would be very project specific. Ideally, these would be used by the project to improve management, identify areas of poor performance and generally ensure that the project is being implemented as anticipated. This base-level monitoring is also necessary for accountability and, normally, would form the core of regular monitoring reports.

Monitoring outcomes is more challenging and, often, will require either specific surveys or linking outcomes to more aggregate indicators collected at district or national level. An example of the first could be a survey of confidence in the DRM structures and, of the second, could be trends in estimates of damage caused by a particular type of disaster.

The research team initially developed approximately 60 output and outcome indicators related to the key principles for DRM capacity building (see Table 4). These were tested during the Ethiopia pilot for clarity and ease of application to a variety of types of project. Unfortunately, the understanding of M&E at a local level was very low, and the indicators generated much confusion and concern about how applicable the output indicators would be to the wide variety of projects that come under the label of DRM capacity-building initiatives.

As a result, the research team decided that the M&E framework should be simplified significantly and should 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. This was similar to the experience and the approach taken by the Pilot Program for Climate Resilience of the Climate Investment Fund (see www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/Revised_PPCR_Results_Framework.pdf), which found that it had to develop a simplified results-reporting framework as its pilot countries did not have the capacity to establish a complex M&E framework common for all projects. Its challenge was similar to that facing this project, as the aim was to find a common reporting framework for projects that had similar goals (to integrate climate risk and resilience into core development planning and implementation) while not knowing the specific characteristics of the particular projects that would be implemented in more than 15 different countries.

The research team decided to take a similar approach and developed a list of draft outcomes accompanied by a small number of core indicators that could be tested for suitability in the remaining case study countries. The indicators, deliberately, were defined very broadly to cover the wide variety of potential capacity-building interventions that can cover building capacities to address current or future risk, the emergency, prevention, mitigation or recovery stages of the DRM cycle, and also differing levels of intervention, whether national, subnational or community.

Guidance notes of one or two pages were developed to cover each core indicator and were tested also for their ease of use in the case study countries. The notes included the rationale for including the core indicator, a technical definition, a methodology for data collection and possible data sources. Emphasis was placed on ensuring, where appropriate, that indicators can be disaggregated by gender and by vulnerable groups.

In some of the case studies, it proved difficult to explain to the participants how outcome indicators would fit into their own M&E systems, perhaps because, in many cases, projects had very limited M&E systems, if any at all. The concept of a theory of change which linked outputs to outcomes and could provide an outcome element to an M&E system was also new to some participants, though the level of sophistication in understanding M&E systems varied considerably.

Considerable debate was generated also over terminology, and the wording of the outcome areas, indicators and guidance notes was revised multiple times. Particular terms such as 'vulnerable' and 'incentives' were found to be highly problematic as they were interpreted differently by different groups. In general, the idea of guidance notes was welcomed and they were felt to be useful.

6.2 The proposed M&E framework

The proposed outcomes and sub-outcomes that form part of the M&E framework are presented below. Individual projects, therefore, have the freedom to tailor the framework to their specific contexts by choosing appropriate indicators for the sub-outcomes. Examples of appropriate indicators are given in each of the guidance sheets. Any DRM capacity-building intervention should contribute to at least one of these outcomes or sub-outcomes. These should appear in a project logframe or theory of change, where appropriate. However, the precise contribution and the appropriate indicators will vary according to the intervention. Those responsible for M&E in a project should develop their own methods for collecting data appropriately and for reporting on progress.

Although the language of the M&E framework has been simplified as much as possible so that it can be understood more readily by those with little M&E background, realistically, it is likely that projects will have to be able to call upon some specialist M&E knowledge to operationalize the M&E framework fully. The proposed framework is as follows:

Table 9. M&E framework: Outcomes and sub-outcomes

Outcome	Sub-outcome
1. The ability of actors to use knowledge, innovation, education, communication and technology for DRM has been enhanced.	1.1 Individuals and communities at risk of disaster are able to use enhanced DRM skills and knowledge as a result of the capacity-building programme.
	1.2 Actors engaged in policy-making, planning and/or implementation of DRM at national, regional, district and/or community level are using enhanced skills built by the capacity-building programme.
2. The institutional framework for DRM has been strengthened.	2.1 The capacity-building programme has led to the improvement of DRM policies, strategies and procedures.
	2.2 The capacity-building programme has led to the inclusion of a wider range of stakeholders in developing new DRM planning and operational processes.
3. Motivation to achieve effective DRM has been improved.	3.1 Political support for DRM has been strengthened at national, regional, district and/or community level by the capacity-building programme.
	3.2 The capacity-building programme has strengthened the motivation of communities and individuals to reduce their vulnerability to disasters.

Guidance notes for each of these sub-outcome areas are attached in Annex B.

7.
Conclusion

7.1 What does the research tell us that is new?

The aim of the research was not specifically to uncover new ideas about capacity building for DRM – it was to provide policy-makers and programme implementers with evidence on what works and, therefore to an extent, what does not work for DRM capacity building. It is, therefore, expected that many of the findings of the research will be familiar or well known to practitioners with experience working in this area. Nonetheless, there are several new and important ideas emerging from the research findings, as well as some areas where the findings are different to those articulated more widely in the literature. These are listed below:

- Currently, there is a piecemeal approach to DRM capacity-building programming, with most programmes being relatively small in budget terms. Large (for example $20 million plus), coordinated DRM capacity-building programmes are rare (see section 3). There may be potential for donors and agencies to work more closely together on coordinated programmes of system-wide, multi-scale capacity strengthening within countries.

- There appears to be a 'missing middle' in terms of DRM capacity-building programmes, with most focusing on the national or community level while less attention is given to building capacities at the subnational level. This can be very problematic as capacities, policies and procedures at one level ideally need to mesh with those at lower and higher levels (see section 4.15).

- Although many of the communities that are most vulnerable to disasters exist in conflict-affected areas, and many donors are prioritizing giving aid to fragile states, the research found evidence that, typically, programmes are focusing their programmes on stable areas and are not running DRM capacity-building initiatives in areas experiencing conflict (see section 4.14).

- Recent literature emphasizes the notion that capacity building should focus on the development of 'functional' capacity whereas, historically, it has focused on 'technical' capacity. The research suggests that, in capacity building for DRM, the two, are related so closely and are so mutually reinforcing that, in reality, they are difficult to separate. In some contexts, there remains a critical need for the strengthening of technical capacities to occur at the same time as functional capacities are strengthened (see section 4.6).

- The literature is critical of training being the predominant capacity-building activity, arguing that it is often unsustainable. The research suggests that training-of-trainer models (if coupled with rigorous mentoring and feedback systems), on-the-job training and secondments can be very effective in developing lasting capacity, particularly from the perspective of the DRM system as a whole (see section 4.8).

- The literature on capacity building, generally, is supportive of the use of 'south-south' arrangements, where consultants and expertise are taken from one low or middle-income country and exported to another, rather than of the reliance on expertise from high-income contexts. The review of the DRM literature did not find examples of this approach being used or analysed in relation to DRM capacity-building programmes. In Mozambique, the research was able to study two examples of south-south cooperation and found that it can bring several benefits and should be promoted as an approach (see section 4.13).

In addition, there are many areas where the research findings add to what is documented already on DRM capacity building, by providing either greater nuance, or clear and detailed evidence to move the debate forward. For example:

- It is well known that time-scales across all capacity-building programmes need to be lengthened, but the research shows how this is even more important for DRM, and provides evidence that most programmes run for one to three years, with few being more than five years in duration.
- Due to the historical focus of disaster-related intervention on managing emergency events, it could be anticipated that preparedness would be the element of the DRM cycle that is prioritized. The research provides evidence of this, and highlights the fact that a relative gap remains in capacity support for prevention, mitigation and long-term recovery.
- The concept of an 'enabling environment' for DRM can be applied usefully at multiple levels, including at the grassroots scale, and it is recommended that all capacity-building initiatives should think creatively and flexibly about how to strengthen this. An enabling environment should provide the prioritization and motivation to turn development of DRM structures and skills into effective action.
- Fostering ownership and tailoring programmes to the local context are often emphasized as principles that need greater attention in development practice, but the research finds that these principles are being taken seriously by DRM practitioners and, often, are incorporated well into the design and implementation of capacity-building programmes.
- However, in contrast, the research shows that sustainability, although well emphasized in the literature, is still not being prioritized by DRM capacity-building programmes, and formal sustainability planning is not taking place generally.
- Similarly, rigorous M&E systems are not typical on the ground, even though they are well accepted as part of best practice. In particular, independent evaluations of programmes are rare.
- Similarly, contrary to well-documented best practice, the evidence presented in this report suggests that capacity needs assessments are often carried out too late and gender considerations are given lip service while, mainly, they are overlooked in substance.
- Also, despite the recent calls to embed a holistic approach to DRR within DRM, this report suggests that, typically, programmes are not targeting vulnerable groups, mainstreaming DRM is not emphasized enough in programme design, and programmes are preoccupied with present risks rather than building capacities to adapt to long-term changes in risk.

This evidence draws up a picture of DRM capacity building globally that shows, despite some progress, there is still a long way to go to improve practice on the ground. The research also contributes to that journey by drawing out and showcasing practical, detailed examples of how programmes around the world have put best practice into action effectively, and it is hoped that these can provide patterns for other programmes. In the 'Towards a Theory of Change for DRM capacity-building Programmes' section, the report presents six principles

and, hopefully, international agencies and NGOs will adopt these as a guiding philosophy for DRM capacity-building activities, and as a conceptual framework for thinking about both the process and the content of programmes. In addition, the research findings related to M&E have been distilled into an M&E framework with accompanying guidance notes which should, with support from international agencies, help to strengthen future M&E of DRM capacity-building programmes.

7.2 Reflections on the research methodology

The rationale for capacity-building initiatives is that they should generate a greater sustained capability to plan for and undertake DRM (outcome) such that the risk to lives and livelihoods from disaster is reduced (impact). An effective capacity-building initiative is, therefore, one that produces outputs that contribute to this change. The focus in this research was, essentially, on investigating process, outputs and the prospects for successful outcomes. Though the research was not able to evaluate outcomes in terms of sustained raised capacity, sufficient signs of emerging outcomes existed such as the creation of local DRM structures, integration of DRR into development planning mechanisms, or emerging cross-sectoral partnerships to underline the value that effective capacity building can bring to DRM and DRR.

Overall success

In broad terms, the research was successful. The conceptual framework that structured the data collection and analysis was relevant and effective, and enabled the team to gain a range of data and perspectives on capacity building for DRM, to form a body of critical evidence on the conditions that foster effective interventions. As well as providing an evidence base, the research also provided new critical findings on capacity building for DRM, and enabled the development of an outcome-based framework for M&E.

Global and financial studies

The international survey provided a useful set of data on global trends in capacity building for DRM, although the level of response from targeted organizations was not optimal. Despite concerted attempts to obtain robust data on financial spend, this aspect of the research proved the most difficult. It is unlikely that analysis of financial spend can be achieved in a cross-cutting project of this nature; obtaining robust data is likely to require dedicated research resources as well as sufficient cooperation from programme managers to enable researchers to access and analyse full budget information.

Case studies

The case study research in-country generally proceeded well, with good levels of cooperation from the programmes under study. Only field visits of short duration were feasible; naturally, this limited the depth of information and insight that could be achieved, but the quality and breadth of data were enhanced greatly by working intensively before, during and after the field visits with national research partners. These partnerships were also crucial in securing access to programmes, interviewees and field sites.

Identifying what constitutes capacity building

In the course of the research, it has been recognized that identifying capacity-building activities itself requires careful analysis and flexibility. This is especially the case for functional capacity compared with technical capacity. Identifying training programmes and their successes is likely to be relatively easy, as these are generally quite discrete interventions. Other aspects of capacity building that are more incremental or contributory (in the sense of supporting elements of capacity that are inherently already within the system but perhaps need development), such as coordination, decision-making, incentives and political prioritization, are likely to be harder to isolate analytically.

Recognizing the value of small/partial gains

The research process commenced with an idealized set of principles: with the idea that 'effective' capacity building needs to fulfil those principles. It rapidly became clear that if a view of what a 'positive story' is was limited to examples that met all these criteria then there would be very little to write positively about. Instead, it was clear that, in real-world examples, many functional capacity elements, in particular, are difficult to achieve and any research is unlikely to find perfect models. In light of this, it is important to identify small or partial gains and understand how these have been achieved – e.g., minor but pioneering changes in DRR mainstreaming, small but tangible improvement in coordination at district level, improvement in planning in which there are some questions around degree of ownership, or local capacity gains that look as though they will be sustained in some locations but not in others. This was the case especially in low-capacity and/or fragile states, where the path toward effective DRM is likely to be long and non-linear. In such contexts, imperfect gains in DRM capacity may still be considered to be highly significant.

Structural influences on capacity building

One secondary component of the research methodology was an attempt to understand the structural barriers to and enablers (political, social, cultural, economic, etc.) of successful capacity building. Information on this per country was gathered through interviews and workshops. Although the scope of the research did not enable the team to undertake a deep analysis of country contexts for DRM and for capacity building, a number of structural dimensions are discussed in the foregoing sections, especially around: discussions of the enabling environment (at multiple scales); issues of political prioritization of DRR; limitations to decentralization of power; the impact of staff redeployment norms on institutional memory; the role of cultural values in shaping the effectiveness of capacity building; and the poor progress made, to date, in bringing gender dimensions into the content of capacity building for DRM. Also, questions were asked of projects about whether or not there had been active assessment of structural barriers to capacity building in the design phases of programmes. It was hoped that any such discussions would shed key light on structural influences also. Unfortunately, none of the programmes that were studied incorporated such formal analyses (although this is one aspect of capacity-building design that is recommended in the literature).

Systems and scales

As noted above, the agreed research approach was to study specific programmes in detail, in order to reveal the fine-grain of how each programme was designed and implemented. Again, this limited the ability of the research team to provide substantive analyses of the DRM systems per country and of how capacity

building operates across that system. Ideally, it would have been interesting to establish how capacity building for different components of the system might influence (positively or negatively) the systemic properties of capacity from a nationwide perspective. One pertinent observation in this regard was the point raised in several case studies that staff turnover does not constitute loss of capacity from the national system necessarily. This limitation also makes it difficult to provide robust conclusions regarding the efficacy of targeting capacity building at one or more scales. Nevertheless, the sense from the case studies is that it would be a mistake to try to be prescriptive about scales – since: a) there are clear systemic advantages to building capacity at all scales; b) working across scales in capacity building seems to be of key importance; and c) the context of decentralization and citizen empowerment is so different from country to country. This research can point to generic principles and considerations for capacity building, but it has to be the responsibility of those implementing specific capacity-building initiatives to draw on those generic findings and apply them as suited to the context.

7.3 Research gaps

Any research project typically ends with an awareness that more research needs to be done. During the course of the research, the project team became aware of the following areas where knowledge and practice were particularly weak. It is suggested that additional study be undertaken to investigate these areas further:

Capacity building for DRM in conflict zones: The fieldwork identified several structural barriers to engaging effectively in DRM capacity building in conflict areas, but no examples were found where these barriers had been overcome and capacity-building programmes had been implemented effectively. It would be ideal to target research specifically at this question, identifying projects that are working in this way in order to identify lessons.

Gender: The research noted that programme staff members were willing to incorporate gender considerations into DRM capacity-building programmes but lacked understanding of how this could be done practically, beyond just quotas for female participation. Many programmes would find toolkits or specific guidance very useful, although such items do exist and so reasons for poor uptake should be investigated and understood more thoroughly.

Sustainability: Across the case study countries, the research identified a lack of consideration given to sustainability, despite its obvious importance. It is recommended that work be undertaken to understand better the reason for this, the barriers and enablers, and that specific tools are developed to assist with sustainability planning.

M&E: It is hoped that the M&E framework presented in this report can help to move forward practice in this area, but the framework itself should be piloted with a number of organizations prior to broader use. Ideally, following pilot studies, examples of indicators could be collected from the pilot case study programmes and incorporated into the guidance notes.

7.4 Policy and programme recommendations

The detailed subsections within section 4 of this report included specific policy and programme recommendations. These are compiled here:

Table 10. Policy and programme recommendations

Theme	Policy recommendation	Programme recommendation
Overall	Create strategic platforms for donors and agencies to work together within countries and regions on coordinated programmes of system-wide, multi-scale capacity strengthening oriented to building functional and enabling capacity for DRR.	
Improving capacity needs assessments	Adapt funding and procurement processes to enable robust and continuous needs assessments to inform capacity-building programmes. Support implementing partners to conduct capacity needs assessments prior to programme design.	Carefully plan and conduct capacity assessments before programme design and conduct continuous assessments to inform and adapt capacity-building programmes.
Fostering ownership	Ensure that capacity-building initiatives align to national and local policies, strategies and procedures and that a wide range of governmental and other stakeholders are significantly involved in shaping the objectives and approach.	Prioritize active engagement of the stakeholders targeted for capacity strengthening in programme design and implementation. If appropriate, include representatives from the national disaster management authority in the programme, e.g., as implementers or as members of the steering committee.
Considering sustainability	Much greater emphasis needs to be placed on creating the tools, and ensuring they are applied, to improve thinking around and planning for sustainability at the programme and national level. Policy-makers should consider the establishment of national or regional pools of DRM specialists so that expertise can be retained and shared across organizations.	Programme developers should formalize and systematize planning to ensure their interventions are as sustainable as possible, even if future funding is uncertain, as this process is likely to ensure improved capacity retention. Implementing agencies should expect and therefore plan for turnover of their staff and DRM stakeholders.
Accommodating longer time-scales	Improve stability and sustainability of capacity building for DRM by extending programme lengths to 5-10 years.	Lobby for lengthened DRM capacity-building funding and employ strategies to minimize the impact of gaps between funding.
Strengthening M&E	Donor agencies should encourage the improvement of M&E systems, particularly through the incorporation of outcome and impact-level M&E and the inclusion of external evaluations.	Implementing agencies should consider using the M&E framework included in this report and invest in training for staff involved in programme management.

Table 10. Policy and programme recommendations (followed)

Theme	Policy recommendation	Programme recommendation
Balancing technical and functional capacity building	Ensure that support for capacity building recognizes the importance of strengthening functional capacity as a primary objective.	Design interventions so that capacity support can translate directly or indirectly into functional capacity gains. Recognize that support for technical and functional capacities generally need to work hand in hand.
Creating an enabling environment for DRM	Capacity-strengthening programmes should incorporate activities and elements that specifically aim to build motivation for prioritizing DRM in society.	More consciously build an 'enabling environment' for DRM – future capacity-building efforts should look closely at the mechanisms through which programmes deliberately seek to foster enabling environments, in ways that might not conventionally be conceived as capacity-building activities. Community and local level initiatives should consider how their programmes can contribute to an enabling environment for DRM.
Improving the impact of training	Ensure that support for training continues with emphasis on more sustainable and diverse training mechanisms.	Consider how to incorporate the development of functional capacity within training activities. Consider the use of a training of trainers' approach, on-the-job training or secondments. Ensure that all training is interactive, contextualized and based on an attitude of mutual learning.
Supporting the shift to DRR	Orient capacity building toward a wider DRR approach that includes mechanisms for identifying and adapting to long-term changes in risk.	Actively target capacity strengthening at grassroots levels toward highly vulnerable social groups within communities.
Targeting prevention, mitigation and recovery	Broaden the focus of capacity-building support to all aspects of DRM, in order to strengthen capacities in prevention, mitigation and recovery.	Seek to incorporate elements of recovery, mitigation and prevention into capacity building programmes.
Building capacity to mainstream DRM	To ensure sustainable development and vulnerability reduction, donors, governments and policy-makers should promote and invest in capacity-building interventions to mainstream DRR.	Consider how capacities to mainstream DRM can be integrated into capacity buildving for DRM programmes as an action that can significantly boost the shift to DRR.

Table 10. Policy and programme recommendations (followed)

Theme	Policy recommendation	Programme recommendation
Integrating gender considerations	Donors should, as in other development activities, require the inclusion of gender-sensitive and comprehensive approaches to capacity building for DRM. Further work is required to provide and promote uptake of clear guidelines and tools for programmes on how to create gender-sensitive programming that moves beyond quotas for female participation.	Incorporate gender analysis from the early stages of programme design and consider using a gender specialist to both train the implementation team and identify opportunities for the programme to be more gender aware.
Linking to the context	Use south-south cooperation in DRM capacity-building programmes, ensuring that the two countries have similar hazards as well as similar levels of development.	Take time to consider creative and innovative ways to tailor activities and approaches to the context, rather than applying a standardized approach.
Building DRM capacity in fragile and conflict affected states (FCAS)	For capacity building for DRM in insecure environments, it is critical to build sufficient time into programming from the outset to consider how (and whether) the multiple structural barriers can be overcome, what incentives need to change, and what organizations should be involved in that process.	Conduct continuous assessment of the context and adapt programmes to changing needs in fragile states and within the areas of conflict.
Linking up the levels	Ensure that the sub-national level is not overlooked and that resources are made available for building capacities at the provincial and district levels.	Ensure that capacity built at one level can dovetail with capacities and processes operating at both lower and higher levels. Deliberately integrate inter-scalar coordination into capacity-building interventions, e.g., through mixing scales at training events, and build capacities for inter-scalar interaction.

References

Ahmad, A.S., Hasaan, S. and Hasaan, K. (2013) External Final Review Mission Report, One UN DRM Joint Program, Pakistan 2009–2012.

Bankoff, G., Frerks, G. and Hilhorst, D. (eds.) (2004) Mapping Vulnerability: Disasters, Development and People. London: Earthscan.

Baser, H. (2011) Perspectives on Capacity Development in Fragile Situations. Learning Network on Capacity Development. Available: www.lencd.org/topic/capacity-development-fragile-situations

Baser, H. and Morgan, P. (2008) Capacity, Change and Performance Study Report. Maastricht: ECDPM (ECDPM Discussion Paper 59B). Available: www.ecdpm.org/publications/capacity-change-performance-study-report

Bayne, S. and Buckley, J. (2014) Towards 'Principled' Humanitarian Funding, Humanitarian Exchange Magazine. Oxford Policy Management.

Benson, C. (2009) Mainstreaming Disaster Risk Reduction into Development: Challenges and Experiences in the Philippines. Geneva: ProVention Consortium. Available: www.preventionweb.net/english/professional/publications/v.php?id=8700

Benson, C. and Twigg, J. (2007) Tools for Mainstreaming Disaster Risk Reduction: Guidance Notes for Development Organisations. Geneva: ProVention Consortium. Available: www.preventionweb.net/english/professional/publications/v.php?id=1066

Bours, D., McGinn, C. and Pringle, P. (2013) Monitoring and Evaluation for Climate Change Adaptation: A Synthesis of Tools, Frameworks and Approaches. Phnom Penh: SEA Change CoP and Oxford: UKCIP. Available: www.ukcip.org.uk/wp-content/PDFs/SEA-change-UKCIP-MandE-review.pdf

Bours, D., McGinn, C. and Pringle, P. (2014) The Theory of Change Approach to Climate Change Adaptation Programming. Phnom Penh: SEA Change CoP and Oxford: UKCIP.

Brinkerhoff, D. (2007) Capacity Development in Fragile States. Maastricht: ECDPM (Discussion Paper 58D). Available: www.ecdpm.org/wp-content/uploads/2013/11/DP-58D-Capacity-Development-in-Fragile-States-2007.pdf

Brinkerhoff, D. (2010) Developing Capacity in Fragile States, *Public Administration and Development*, 30(1), pp. 66–78.

CADRI (2011) Basics of Capacity Development for Disaster Risk Reduction. Geneva: Capacity for Disaster Reduction Initiative, CADRI. Available: www.cadri.net/sites/default/files/documents/pdf/18061_cadribrochureweb2.pdf

Centre for Peace and Conflict Studies (2012) Listening to Voices Inside Myanmar: Civil Society's Response to Cyclone Nargis. Centre for Peace and Conflict Studies.

Christian Aid (2013) Philippines Resilient Programme (PRP). Programme Partnership Arrangement. Mid-term Review, Christian Aid.

Ciampi, M.C., Gell, F., Lasap, L. and Turvill, E. (2011) Gender and Disaster Risk Reduction. A training pack. Oxfam GB. Available: www.oxfam.org.uk/publications

Collymore, J. (2011) Disaster Management in the Caribbean: Perspectives on Institutional Capacity Reform and Development. *Environmental Hazards: Human and Policy Dimensions* 10(1), p. 6–22.

Corner, L. (1999) Capacity Building for Gender Mainstreaming in Development. Background paper to the High-level Intergovernmental Meeting to review the regional implementation of the Beijing Declaration and the Platform for Action, Bangkok, 26–29 October 1999. Available: www.pwdc.org.my/storage/upload/pwdc/files/resources/general/resource_capacity_building_for_gender_mainstreaming_in_development.pdf

Daniel, H., Schrass, K. and Warner, K. (eds.) (2013) CATALYST Synthesis Report of Best Practices, Networks, Research Gaps, and Recommendations for Fostering Capacity Development for Disaster Risk Reduction and Climate Change Adaptation. A combined deliverable incorporating D5.1, D5.2 and D5.3. Version 1.0, September 2013, Bonn. Available: www.catalyst-project.eu.

Dung, L.T.M, Hai, V.M., Smith, I. and Harvey, C. (2012) Flood Preparedness in Vietnam: A Systematic Gender-aware Approach. Oxfam GB.

Enarson, E., Fothergill, A. and Peek, L. (2007) 'Gender and Disaster: Foundations and Directions' In: Handbook of Disaster Research, pp. 130-146. New York: Springer.

European Commission (2012) Deliverable 2.2 Report on issues, gaps and opportunities, network coverage. CATALYST: Capacity Development for Hazard Risk Reduction and Adaptation. European Commission.

Evans, A., Domingo, P., Wild, L., Sharma, B., Baudienville, G., Hedger, E. and Foresti, M. (2009) An Approach Paper on WBI's Capacity Development Activities in Fragile States, London: Overseas Development Institute. Available: www.siteresources.worldbank.org/WBI/Resources/213798-1248297595434/ODI_Paper.pdf

Few, R. and Anagnosti, S. (2010) 'Supporting Disaster Risk Reduction in Developing Countries – a study for the European Union', DEV Reports and Policy Paper Series, The School of International Development, University of East Anglia, UK.

Hagelsteen, M. and Becker, P. (2013) Challenging Disparities in Capacity Development for Disaster Risk Reduction. *International Journal of Disaster Risk Reduction* 3 (2013), pp. 4–13.

Harvey, C. and Smyth, I. (2012) Post-Earthquake Response and Reconstruction. Gender-sensitive Advocacy in Indonesia. Oxfam GB.

IFRC (2013) Disaster Risk Reduction Mapping. Growing our Services for Vulnerable People and Strengthening our Contribution to Sustainable Development. Fact Sheet. International Federation of Red Cross and Red Crescent Societies.

IFRC (2014) World Disasters Report: Focus on Culture and Risk. International Federation of Red Cross and Red Crescent Societies. Available: www.ifrc.org/publications-and-reports/world-disasters-report/world-disasters-report-2014

IOM (2014) Community-based Disaster Risk-reduction Initiatives in South-east Myanmar, II Annual Report. Myanmar: IOM.

Jeffrey, D. (2012) Restoring Livelihoods after Floods. Gender-sensitive Response and Community-owned Recovery in Pakistan. Oxfam GB.

Keijzer, N. (2013) Who's the Boss? Strengthening the Effectiveness of Capacity Development Support. Germany: German Development Institute. Available: www.die-gdi.de/CMS-Homepage/openwebcms3.nsf/(ynDK_contentByKey)/ANES-99AEUM?Open&nav=expand:Publikationen;active:Publikationen\ANES-99AEUM

Kellett, J. and Caravani, A. (2013) 'Financing Disaster Risk Reduction: A 20-year Story of International Aid'. Available: www.odi.org.uk/publications/7452-climate-finance-disaster-risk-reduction

Kellett, J. and Peters, K. (2013) Financing Emergency Preparedness: From Fighting Crisis to Managing Risk, Summary Paper, ODI.

Ludi, E., Getnet, M., Wilson, K., Tesfaye, K., Shimelis, B. and Levine, S. (2011) Preparing for the future? Understanding the influence of development interventions on adaptive capacity at local level in Ethiopia. Africa Climate Change Resilience Alliance (ACCRA) Ethiopia synthesis report.

Lucas, B. (2013) Current Thinking on Capacity Development. Birmingham, UK: GSDRC, University of Birmingham (Helpdesk Research Report no. 960). Available: www.gsdrc.org/docs/open/HDQ960.pdf

Matheson, A. (2011) Escaping the Capacity Treadmill: Time for a More Sustainable Approach to Capacity Development. Oxford: Oxford Policy Management.

Morrow, B.H. and Phillips, B. (1999) 'What's Gender "got to do with it"?' *International Journal of Mass Emergencies and Disasters* 17(1), pp. 5–13.

Neame, A., Vera, A. and Ruiz, C. (2009) Christian Aid Building Disaster Resilient Communities. End-of-term Evaluation. Christian Aid.

PRO-GRC (2013) Institutional Assistance for Consolidation and Expansion of Disaster Risk

Management in Mozambique, Phase II. GIZ. Unpublished document.

REGLAP (2012) Good Practice Principles on Community Development for Use in DRR in the Drylands of the Horn of Africa. REGLAP.

Rosén, F.F. and Haldrup, S. (2013) By Design or by Default: Capacity Development in Fragile States and the Limits of Program Planning. *Stability: International Journal of Security and Development* 2(2), p. 46. Available: www.stabilityjournal.org/articles/10.5334/sta.cg

Sigsgaard, M. (2011) On the Road to Resilience – Capacity Development with the Ministry of Education in Afghanistan IIEP (IIEP Research Brief): Available: www.publications.iiep.unesco.org/resilience--capacity-development

Sterland, B. (2006) Civil Society Capacity Building in Post-Conflict Societies: The Experience of Bosnia and Herzegovina and Kosovo. INTRAC Praxis paper no 9, June 2006.

Tadele, F. and Manyena, S.B. (2009) Building Disaster Resilience through Capacity Building in Ethiopia. *Disaster Prevention and Management* 18(3), pp. 317–326.

UN-Habitat and UEM (2015) Developing Guidelines on School Safety and Resilient School Building Codes Project: Lessons Learned. Mozambique: UN-Habitat and Eduardo Mondlane University. Unpublished document.

UNDP (2008) Capacity Development Practice Note. United Nations Development Fund.

UNDP (2010) Strategic Planning Process for 2011, Pakistan One UN Disaster Risk Management Programme Joint Programme Component 1), UNDP.

UNDP (2011) Supporting Capacity Development in Conflict and Fragile Contexts. New York: UNDP (Report from the UNDP Workshop on Capacity Development in Conflict and Fragile Contexts). Available: www.undp.org/content/dam/undp/library/crisis%20 prevention/2012SupportingCapacityDevelopmentinConflictFragileSettings.pdf

UNDP (2012) Project Completion Report One UN DRM Programme 2009–2012. United Nations Development Fund and NDMA, Islamabad.

UNISDR (2013) From Shared Risk to Shared Value – The Business Case for Disaster Risk Reduction. Global Assessment Report on Disaster Risk Reduction. Geneva, Switzerland: United Nations Office for Disaster Risk Reduction (UNISDR).

UNU (2011) UN World Risk Index. UN University Institute for Environment and Human Security.

Van Riet, G. and Van Niekerk, D. (2012) Capacity Development for Participatory Disaster Risk Assessment. *Environmental Hazards: Human and Policy Dimensions* 11(3), pp. 213–225.

Villanueva, P.S. (2011) Learning to ADAPT: Monitoring and Evaluation Approaches in Climate Change Adaptation and Disaster Risk Reduction – Challenges, Gaps and Ways Forward, SCR Discussion Paper 9. Strengthening Climate Resilience (SCR). Available: http://community.eldis. org/.5a093c0d

Vogel, I. (2012) Review of the Use of 'Theory of Change' in International Development. Review report for DFID.

Walker, P. (2013) Annotated bibliography: Local Capacity Building for Disaster Risk Reduction. Feinstein International Center. Unpublished document.

Walker, P., Rasmussen, C. and Molano, S. (2011) International Dialogue on Strengthening Partnership in Disaster Response: Bridging National and International Support. Background paper 3: Best Practice Experience at the National Level. IFRC, September 2011. Available: www.ifrc.org/PageFiles/93533/ Background%20paper%203.pdf

Wisner, B., Blaikie, P., Cannon, T. and Davis, I. (2004) At Risk: Natural Hazards, People's Vulnerability and Disasters. London: Routledge.

Annex A
Programmes studied in depth during case study fieldwork

CS no.	Country	Project name	Donor	Implementer	Budget (in US dollars)	Time-scale (in years)
1	**Ethiopia**	Disaster Risk Reduction and Livelihoods Recovery Programme	UNDP	Ministry of Agriculture	13,000,000	4.00
1	**Ethiopia**	Africa Climate Change Resilience Alliance (ACCRA)	DFID	Oxfam	835,000	3.00
2	**Pakistan**	UNDP's contribution to the One UN Joint Programme on Disaster Risk Management (One UN DRM)	UNDP	National Disaster Management Authority in Pakistan (NDMA)	2,800,000	3.00
2	**Pakistan**	Capacity Building for Disaster Risk Management Programme	ACT Alliance	Community World Service Asia (CWSA): Strengthening Humanitarian Assistance (SHA) component Community-based Disaster Risk Management component	342,000 566,088	4.00 2.00
3	**Myanmar**	Strengthening Disaster Risk Reduction Programme	Norwegian Ministry of Foreign Affairs	Asian Disaster Preparedness Center (ADPC)	450,855	2.75

CS no.	Country	Project name	Donor	Implementer	Budget (in US dollars)	Time-scale (in years)
3	**Myanmar**	Community-based Disaster Risk Reduction Initiative in south-east Myanmar	OFDA	International Organization for Migration (IOM)	1,600,000	2.75
3	**Myanmar**	Urban and Community-based Disaster Risk Reduction Programme	Norcross	Myanmar Red Cross Society (MRCS)	812,474	2.00
4	**Philippines**	Disaster Risk Reduction and Management Capacity Enhancement Project	JICA	Office of Civil Defense, Philippines (OCD)	3,120,000	3.00
4	**Philippines**	Philippines Resilience Programmes: BDRC and PPA	DFID	Christian Aid: Building Disaster Resilient Communities (BDRC) and Programme Partnership Agreement (PPA)	497,529 2,483,732	4.00 4.00
5	**Haiti**	Reinforcement of Disaster Risk Management Capacities and Resources of the Haitian Population Programme	DIPECHO	Consortium: IFRC, and Spanish, French, German and Haitian Red Cross Societies	1,862,000	1.25
5	**Haiti**	Reducing Urban Disaster Risk Programme	OFDA	GOAL	1,020,080	1.75
6	**Mozambique**	Safer Schools	GFDRR	UN-Habitat in association with stakeholders from the school sector in Mozambique	700,000	2.60
6	**Mozambique**	PRO-GRC: Assessoria Institucional para a Consolidação e Ampliação da Gestão de Risco de Calamidades (GRC) em Moçambique. (Institutionalizing Disaster Prevention in Mozambique Programme)	BMZ	German Development Cooperation (GIZ) and National Institute for Disaster Management (INGC)	7,600,000	5.00

Annex B
M&E framework guidance notes

As part of IFRC research into national and local capacity building for DRM, an M&E framework has been created specifically for use in the monitoring and evaluation of programmes and projects that aim to strengthen capacity for DRM/DRR. Donors, bilateral organizations, national and international NGOs, and project and programme managers can use the guidance sheets to help them design their M&E systems for DRM capacity-building initiatives.

The framework is a generic, outcome-based tool intended to address the current gap in M&E resources that are available specifically for DRM capacity-building activities. It aims to serve as a management tool to track and improve the effectiveness of capacity building for DRM projects, to enable lessons to be learned and provide a mechanism of accountability to donors and beneficiaries. It also aims to facilitate an understanding, at a global scale, of what works and why when it comes to building capacity for DRM. The table below outlines three overarching outcomes for DRM capacity-building programmes. Any capacity-building intervention should show potential for contributing to at least one of these outcomes.

Outcome	Sub-outcome
1. The ability of actors to use knowledge, innovation, education, communication and technology for DRM has been enhanced.	1.1 Individuals and communities at risk of disaster are able to use enhanced DRM skills and knowledge as a result of the capacity-building programme.
	1.2 Actors engaged in policy-making, planning and/or implementation of DRM at national, regional, district and/or community level are using enhanced skills built by the capacity-building programme.
2. The institutional framework for DRM has been strengthened.	2.1 The capacity-building programme has led to the improvement of DRM policies, strategies and procedures.
	2.2 The capacity-building programme has led to the inclusion of a wider range of stakeholders in developing new DRM planning and operational processes.
3. Motivation to achieve effective DRM has been improved.	3.1 Political support for DRM has been strengthened at national, regional, district and/or community level by the capacity-building programme.
	3.2 The capacity-building programme has strengthened the motivation of communities and individuals to reduce their vulnerability to disasters.

The guidance sheets below should enable the user to apply the framework comprehensively to meet the circumstances and context of a specific DRM capacity-building initiative. Each sheet provides explanatory text and examples of indicators, including suggestions of how they should be measured, where the data can be accessed and who should be responsible for data collection.

It is a flexible framework as it allows the user to choose from the various outcomes and sub-outcomes and apply them as it suits them, according to the scope of the programme or project. It is deliberate that the outcomes and indicators are defined very broadly to cover the wide variety of potential capacity-building interventions. This will include projects working on all aspects of the DRM cycle (capacity building for prevention, mitigation, preparedness, emergency response and/or recovery) and projects addressing the reduction of current or future risks. The framework is suitable for use with projects seeking to build either functional or technical capacity, or both. It is appropriate for differing scales of intervention, whether national, subnational or community.

Outcome 1. The ability of actors to use knowledge, innovation, education, communication and technology for DRM has been enhanced

Sub-outcome 1.1	Individuals and communities at risk of disaster are able to use enhanced DRM skills and knowledge as a result of the capacity-building programme.
What does this mean?	The point of measuring this sub-outcome is to check whether or not participants in the capacity-building activity have had their skills and knowledge built so that, now, they can respond better to prevent, mitigate, recover from or be resilient to disasters. This is not a case just of measuring the number of people trained (that would be a valid output indicator) but of measuring the outcome: how much have they been able to use their training to improve DRM? This could be as a result of specific training, such as workshops or seminars, or as a result of improving access to (and the ability to interpret and use) information and technology. Ideally, a programme would measure whether or not behaviour has changed as a result of the capacity-building activity. The aim is to measure retained learning and, where possible, behaviour change.
Examples of possible indicators	• *Number or percentage of individuals who have participated in a capacity-building activity and **are now using** their enhanced skills and knowledge* • *Ability of beneficiaries to present concrete examples of improvements in their situations, due to increased capacity*
How should we measure this?	The data to measure an indicator for this sub-outcome will have to be collected either through a survey or through a focus group discussion. For capacity-building activities focused on the individual, data should be collected through individual surveys conducted during short meetings with participants at least one year after the activity. For activities focused on the community, information should be collected through focus group discussions.

How should we measure this? *(cont.)*	The questions could include: • Do you regard yourself as particularly at risk of disaster and why? • Have you used the information/equipment/technology to which you were introduced? Can you give an example? • Do you feel that participating in the programme has improved your ability to respond more effectively to/prevent/mitigate/recover from disasters? • Is what you learnt relevant to your current situation? • Have you shared the information/skills with any others, and in what circumstances? • What is stopping you from using the information/applying the skills in which you were trained? The data that is collected should be disaggregated by gender and by vulnerable groups where possible (for example, disabled people, older people, etc.).
Where can we find the necessary data?	The starting point for measuring this sub-outcome area is the number (or percentage) of people trained or provided with improved access to information, technology, etc. This information should be collected as part of the ongoing M&E system or as part of regular programme administration. As explained above, evidence of retained knowledge would then be collected through a survey or focus group discussion. Depending on numbers of individuals and communities trained and funding available, the survey could be carried out on all or a sample of participants. It will be important to have baseline information, which should be collected at the beginning of each activity. This could be a Knowledge, Attitudes and Practice (KAP) survey, which was then repeated at a later date.
Who should be responsible for collecting this data?	If the project has contracted independent evaluators from the beginning, it will be their responsibility to ensure that baseline data are collected. Otherwise, the project M&E staff should collect information about the capacity of participants at the beginning of each capacity-building activity. Because this information is unlikely to be collected on a regular basis as part of routine administration, it could be collected once or twice during the life of a project, as part of a mid-term review, or as part of a final evaluation. Ideally, it would be collected also a few years after the project has finished, to see whether or not the capacity produced has been sustainable.

Sub-outcome 1.2	**Actors engaged in policy-making, planning and/or implementation of DRM at national, regional, district and/or community level are using enhanced skills built by the capacity-building programme.**
What does this mean?	The point of measuring this sub-outcome is to check whether or not participants have enhanced skills and knowledge to develop policy, make decisions and plan for DRM, either at national, district or community level, as a result of the capacity-building activity. This is not a case just of measuring the number of people trained (that would be a valid output indicator) but of measuring the outcome; how much have they been able to use their training to improve decision-making and policy-making for DRM?

What does this mean? *(cont.)*	This could be as a result of specific training, such as workshops or seminars, or as a result of improving access to (and the ability to interpret and use) information and technology.
	Ideally, a programme would measure whether or not behaviour has changed as a result of the capacity-building activity. The overall aim is to measure retained learning and, where possible, behavioural change.
Examples of possible indicators	• *Number or percentage of individuals in key positions for policy-making and/or decision-making who have participated in a capacity-building activity and* **are now using** *their enhanced skills and knowledge*
How should we measure this?	The data for this indicator will have to be collected through a survey. This could be either through an individual survey conducted over a short meeting with participants at least one year after the activity. Alternatively, the survey could be conducted electronically.
	The questions could include:
	• Are you in a position where you have some responsibility for planning, policy making or decision-making?
	• Have you used the information/equipment/technology to which you were introduced? Can you give an example?
	• Do you feel that the information/equipment/technology has increased your ability to plan or make policy more effectively?
	• How and in what ways is the information/equipment/technology relevant to your current situation?
	• Do you regard yourself as playing an important role in DRM planning and policy-making?
	• Have you shared the information/skills with any others and, if so, in what circumstances?
	• What is stopping you from using the information/applying the skills in which you were trained?
	Data should be disaggregated by gender.
	Data should be obtained only from those who have been trained and who remain in positions of responsibility for DRM planning and policy-making.
Where can we find the necessary data?	The starting point for measuring this sub-outcome is the number of people trained or provided with improved access to information, technology, etc. This information should be collected as part of the ongoing M&E system or as part of regular programme administration.
	Evidence of retained knowledge would be collected then through a survey or interviews. Depending on numbers of individuals trained and funding available, the survey should be carried out on all or a sample of participants.
	It will be important to have baseline information, which should be collected at the beginning of each activity.
Who should be responsible for measuring it?	If the project has contracted independent evaluators from the beginning, it will be their responsibility to ensure that baseline data are collected. Otherwise, the project M&E staff should collect information about the capacity of participants at the beginning of each capacity-building activity.
	Because this information is unlikely to be collected on a regular basis as part of routine administration, it could be collected once or twice during the life of a project, as part of a mid-term review or part of a final evaluation. Ideally, it would be collected a few years after the project has finished, also, to see whether or not the capacity produced has been sustainable.

Outcome 2. The institutional framework for DRM has been strengthened

Sub-outcome 2.1	The capacity-building programme has led to the improvement of DRM policies, strategies and procedures.
What does this mean?	This section will explain some of the terminology used in outcome 2 and sub-outcome 2.1. An 'institutional framework' refers to the systems of formal laws, regulations and procedures, and informal conventions, customs and norms that shape socio-economic activity and behaviour. For this sub-outcome, the emphasis is on formal institutions that can be identified and documented. However, this does not exclude the possibility of incorporating informal or indigenous knowledge into policy. This is particularly important where communities have developed their own procedures at a local level. DRM 'policies' are guiding principles in place at a national, regional or local level, which are used to set government direction to achieve a certain purpose in relation to the prevention of, mitigation of, response to or recovery from disasters. A DRM 'strategy' is a plan of action designed to achieve a long-term aim (which may be set out in a policy). A strategy is a key part for implementing and communicating a policy. DRM 'procedures' are the specific instructions necessary to implement a strategy. Procedures are more detailed and specific to a particular topic, and address a particular task: e.g., a response to a particular early-warning signal.
Examples of possible indicators	• *Submission of an Act to Parliament that establishes a DRM governance framework* • *Revision of local planning procedures to incorporate DRR measures* A project which is assisting with the strengthening of DRM governance might have as an output the drafting of the appropriate section of the Act. Then the outcome indicator for 2.1 would be the submission of the Act to Parliament. A project which sets out to assist local government officials to revise their local planning procedures to incorporate effective DRM guidelines might have as an output the setting up of a local committee to review the current procedures and then have as an outcome indicator for 2.1 the local planning procedures having been revised and put out to consultation (or whatever the appropriate steps necessary for the changes in procedures to be accepted).
How should we measure this?	How this sub-outcome can be measured will depend very much on the types of activity and the stated objectives of the capacity-building programme. The programme could, for example, include sensitizing national policy-makers to the need for a DRM policy, strategy or procedure, or it could be exposing regional planners to how DRM has been incorporated into development plans in other countries, or it could be assisting local government officials or a community DRM committee with writing a DRM strategy. The programme is likely to have made direct contact with those responsible for developing policies, strategies and procedures, whether at national level (policies and strategies), district level or community level (procedures). Developing or improving a policy can take considerable time and should involve consultation at various stages. It is, therefore, important at the beginning of the programme to assess the length of a reasonable time-frame for measuring this outcome. If an unrealistic time line is chosen, then the programme may be evaluated prematurely as being unsuccessful. It may be useful to identify appropriate milestones: for example, 'a draft policy is developed', 'consultation events are held', etc.

Where can we find the necessary data?	As a first step, a baseline should be developed for this sub-outcome. In some cases, data will be available publicly: e.g., DRM policy published. In other cases, the process of development of improvements in policies, strategies and procedures will have to be tracked through engagement with those responsible for the development and improvement of policy and strategy. This tracking of changes may need to be undertaken at different levels. Quantitative data may be appropriate (e.g., the number of local DRM plans submitted). However, other data for this may need to be qualitative, in order to measure whether or not improvement has taken place.
Who should be responsible for measuring it?	Someone working on the programme should document and track the status of policies, strategies and procedures at the start of the project and monitor any changes. If the programme has an M&E officer, this could be part of their responsibilities. However, if this is one of the principal objectives of the programme, then it should be part of the manager/team leader's responsibilities to track this and understand the reasons for any deviation from the agreed time line.

Sub-outcome 2.2	**The capacity-building programme has led to the inclusion of a wider range of stakeholders in developing new DRM policy, planning and operational processes.**
What does this mean?	This section will explain some of the terminology used in outcome 2 and sub-outcome 2.2. An 'institutional framework' refers to the systems of formal laws, regulations and procedures, and informal conventions, customs and norms that shape socio-economic activity and behaviour. For this sub-outcome, the emphasis is on formal institutions that can be identified and documented. However, this does not exclude the possibility of incorporating informal or indigenous knowledge into policy. This is particularly important where communities have developed their own local-level procedures. A 'stakeholder' is a person, group or organization that has an interest in or concern about an issue. Stakeholders could relate to different ministries, businesses, NGOs, corporations, communities and individuals affected by a policy, strategy, procedure or plans. It is important to ensure that women and vulnerable or at-risk groups are included in the development of DRM processes. Vulnerable groups are people who, by reason of their geographical, economic, social, physical or ethnic characteristics, face particular risk of disaster. These could include older people, disabled people and those living in extreme poverty.

Examples of possible indicators	• *Consultations that have been held with relevant at-risk stakeholders and inputs that have been incorporated into plans/processes* • *Joint working that has taken place with other ministries/sectors/departments to incorporate a multi-sectoral perspective into the development of DRM plans* A project which is assisting with the strengthening of DRM governance might have as an output the drafting of the appropriate section of an Act. The outcome indicator for 2.2 could be that consultations with relevant and at-risk stakeholders have been held, and have resulted in their concerns being addressed in the draft document. A project which set out to assist local government officials to revise their local planning procedures to incorporate effective DRM guidelines might have as an output the setting up of a local committee to review the current procedures and then have as an outcome indicator for 2.2 that consultations had been held with relevant and at-risk stakeholders.
How should we measure this?	In order to measure this sub-outcome, the programme may have to develop its own definition of appropriate stakeholders, ensuring that women and vulnerable groups are well represented. It should then set up a tracking system which covers the various forms of consultation (open meetings, e-consultations, round tables) and communication linked to the development of policies and strategies. Programme staff will have to identify those actively involved in developing policies, plans, procedures and strategy, and those who are ultimately responsible for finalizing the processes and the outcome. Once this has been done, appropriate milestones can be identified: e.g., preliminary district-level consultations held, validation meetings held and parliamentary consultations undertaken with members of parliament for constituencies who are particularly at risk. If possible, the monitoring system also should track to what extent the concerns of vulnerable groups have been addressed in the planning and operational processes. Indicators measuring this sub-area are likely to be qualitative process indicators and should be measured in conjunction with indicators for sub-outcome 2.1, and against predetermined milestones as appropriate to the individual project. A target should be set in terms of inclusion of particular groups of the population but a quantitative target may not be appropriate.
Where can we find the necessary data?	As with sub-outcome 2.1, the programme will have to track the process of developing and improving DRM policies, strategies and procedures. This will require an individual to engage with the DRM policy process and document consultative and validation processes at different levels – national, intra-governmental, parliamentary, district and community. For each of these processes, the numbers consulted should be documented, along with their gender and vulnerability status. There is no need for a baseline here unless the DRM intervention concerns an ongoing process, in which case, changes in the numbers of stakeholders included after the intervention should be documented.
Who should be responsible for measuring it?	As this is a process indicator which should be measured throughout the time period of the project, and possibly afterwards, it cannot be left to a final evaluation for measurement. It should be measured on a continuous basis, depending on the time-frame for change of the policy or strategy concerned, by the individual responsible for M&E in the project.

Outcome 3. Motivation to achieve effective DRM has been improved

Sub-outcome 3.1	Political support for DRM has been strengthened at national, regional, district and/or community level by the capacity-building programme.
What does this mean?	Raising awareness and support among political leadership may not be the prime objective of an intervention but it is likely to be important at all levels (national, district and community) for the success and sustainability of most DRM interventions. Strengthening political support for DRM includes ensuring that political and traditional leaders understand the importance of DRM activities and the options available for addressing disaster risk. As a result, political leaders will enable DRM activities and supply stakeholders with the means, knowledge or opportunity to participate in DRM activities.
Examples of possible indicators	• *Use of DRM information provided to political leaders: e.g., in a speech, legislation or an interview* • *Changes to community activities as a result of lobbying traditional leaders for changes in local practices*
How should we measure this?	Indicators for this sub-outcome are likely to measure whether or not an action has been taken as a result of awareness-raising activities. The exact form indicators will take will vary depending on the programme. It is important to think through carefully the way in which the programme activities, realistically, will lead to raising awareness or political support for DRM, and at what level. Ideally, programmes will develop a 'theory of change', which is just a step-by-step explanation of how programme activities and outputs will link to this outcome. Where interventions are aimed at strengthening motivation to achieve effective DRM, there may not be direct contact between the ultimate beneficiaries and the project, except for the purposes of monitoring. Where the activity is direct lobbying of policy-makers and decision-makers, it may be possible to identify results in terms of actions taken but it is more likely that measurement of the indicator will involve either interviews or surveys, or a combination of the two.
Where can we find the necessary data?	This information will not be collected on a regular basis as part of routine programme monitoring. Therefore, it is important that funding for surveys and interviews be included in the project budget. Ideally, it may be possible to have a baseline survey, with a follow-up survey at a later date. If not, it will be necessary to structure the data-collection tool carefully to assess retrospectively whether or not attitudes and support have been affected by the activities of the project.
Who should be responsible for measuring it?	As information for measuring this indicator is unlikely to be collected as part of regular M&E reports, it could be collected instead by an independent evaluator as part of a mid-term or final evaluation. If an independent evaluation is not taking place, then it could be collected as part of end-of project activities by a team under the supervision of the M&E staff.

Sub-outcome 3.2	The capacity-building programme has strengthened the motivation of communities and individuals to reduce their vulnerability to disasters.
What does this mean?	Raising awareness may not be the prime objective of a capacity-building programme but it is necessary for the success of most DRM interventions. The awareness and motivation of individuals and communities must be raised in order to maintain support for disaster prevention, mitigation, preparedness and recovery. This is particularly important at community level, because, in many cases, effective DRM will depend on communities themselves understanding and acting on the relevant information. Strengthening the motivation of individuals and communities to reduce their vulnerability includes activities to promote realistic alternative options and providing support for the uptake of such approaches.
Examples of possible indicators	• *Number of people showing changed behaviour, e.g., livelihoods practices, as a result of the capacity-building programme* • *Percentage of the target group whose attitudes have changed (measured through a KAP survey)* • *Percentage of the population whose behaviour related to DRR has changed as a result of a media campaign or public information event*
How should we measure this?	Indicators for this sub-outcome are likely to measure whether or not some action has been taken as a result of awareness-raising activities. Which indicator should be used will vary depending on the programme activities and objectives. The example indicators above would require a survey. It is important to think through carefully the way in which the programme activities, realistically, will lead to raising awareness or support for DRM and at what level. Ideally, programmes will develop a 'theory of change', which is just a step-by-step explanation of how programme activities and outputs will link to this outcome. Where interventions are based on broad public-awareness campaigns to strengthen support for DRM, there may not be direct contact between the ultimate beneficiaries and the programme staff, except for the purposes of monitoring. If the capacity-building activity is aimed at a general audience, using different methods of dissemination, then a survey will be necessary, possibly a KAP survey to track perception and behaviour change.
Where can we find the necessary data?	This information will not be collected on a regular basis as part of routine programme monitoring. Therefore, it is important that funding for surveys and interviews be included in the project budget. Ideally, it may be possible to have a baseline survey, with a follow-up survey at a later date. If not, it will be necessary to structure the data-collection tool carefully to assess retrospectively whether or not attitudes and support have been affected by the activities of the project.
Who should be responsible for measuring it?	As information for measuring this indicator is unlikely to be collected as part of regular M&E reports, it could be collected instead by an independent evaluator as part of a mid-term or final evaluation. If an independent evaluation is not taking place, then it could be collected as part of end-of-project activities by a team under the supervision of the M&E staff.

The Fundamental Principles of the International Red Cross and Red Crescent Movement

Humanity The International Red Cross and Red Crescent Movement, born of a desire to bring assistance without discrimination to the wounded on the battlefield, endeavours, in its international and national capacity, to prevent and alleviate human suffering wherever it may be found. Its purpose is to protect life and health and to ensure respect for the human being. It promotes mutual understanding, friendship, cooperation and lasting peace amongst all peoples.

Impartiality It makes no discrimination as to nationality, race, religious beliefs, class or political opinions. It endeavours to relieve the suffering of individuals, being guided solely by their needs, and to give priority to the most urgent cases of distress.

Neutrality In order to enjoy the confidence of all, the Movement may not take sides in hostilities or engage at any time in controversies of a political, racial, religious or ideological nature.

Independence The Movement is independent. The National Societies, while auxiliaries in the humanitarian services of their governments and subject to the laws of their respective countries, must always maintain their autonomy so that they may be able at all times to act in accordance with the principles of the Movement.

Voluntary service It is a voluntary relief movement not prompted in any manner by desire for gain.

Unity There can be only one Red Cross or Red Crescent Society in any one country. It must be open to all. It must carry on its humanitarian work throughout its territory.

Universality The International Red Cross and Red Crescent Movement, in which all societies have equal status and share equal responsibilities and duties in helping each other, is worldwide.

For more information on this IFRC publication, please contact:

Josephine Shields Recass
Research Project Coordinator
Tel: +41 (0) 22 730 4652
josephine.shieldsrecass@ifrc.org

www.ifrc.org
Saving lives, changing minds.