Swedish Civil Contingencies Agency

# Capacity Development Guide

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# Foreword

The 1988 earthquake in Armenia called for international assistance and brought us into our first humanitarian mission. Developing capacities for disaster preparedness and mitigation has always been a main undertaking for MSB in Sweden and after almost twenty years of humanitarian action our directive was extended to support capacity development internationally. From there we have taken deliberate steps to become a committed capacity development actor within our field. The global challenges to prepare for and mitigate against disaster impact need strong national capacities in all countries. We aim to support our partners professionally, with engagement and good practices, whenever our support is requested.

Capacity development is about change and learning. We took on the development challenge from what we knew best, with a humanitarian mind-set and fix-it approach. We experienced some missed opportunities and when we saw success it was often attributed to dedicated and skilled individuals in organizations driving change.

This guide came about from our need to learn and to establish a more coherent approach. We needed a reference document that suited our needs and those of the partners we work with. We have intentionally looked outside our own area for good practices, critical questions and challenges and dilemmas that face those working in capacity development, rather than for any one “perfect fit” model. We tried to keep it free from jargon and MSB specific models in order to create a resource to share and use together with partners.

We hope that you will find this guide of value to your work! Do not hesitate to let us know what you have found useful or how we can continue to improve it.

For us it is a tool to support better disaster preparedness and mitigation. Whatever your field of work, our best wishes to your capacity development efforts.

February 2018

Anneli Bergholm Söder
Director, Coordination and Operations Department

# Introduction

# Introduction

## Why a Guide?

It is now accepted wisdom that capacity development does not take place in a vacuum or start on a clean slate with the inception of a project. It is complex and intertwined with organizational as well as national cultures and can never be limited to merely imparting knowledge or raising the skills bar of professionals on a project. It requires a holistic engagement in a process of "change" and "change management" not a quick fix.

Until fairly recently "capacity" was narrowly defined by various development actors to mere provision of training or transfer of technical know how. There has now been a major shift in thinking and important recognition that capacity development involves much more than enhancing the knowledge and skills of individuals. Capacity of individuals depends crucially on the quality of the organizations where they work, influenced by the enabling environment in which such organizations operate and the structures of power and influence in which they are embedded.

In its current policy for Capacity Development (2014–2017), the Swedish International Development Cooperation Agency (Sida) defines capacity as "the knowledge and competence of individuals, well functioning organizations and legal and other frameworks that promote the alleviation of poverty"[1]. In Sweden's policy it is expressed as "The transfer of knowledge and building up of sustainable institutions is at the core of development cooperation. The aim is to enable poor people and countries to take control of their own development".

The Organization of Economic Cooperation and Development (OECD) defines capacity development as "… the ability of people, organizations and society as a whole to manage their affairs successfully"[2]. OECD further elaborates the definition as "the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time". Definitions of capacity development are usually open enough in order not to constrain or restrict what objectives people choose to pursue or what counts as success in capacity development. As will be seen in this Guide, goals, objectives, and results of capacity development are highly contextual matters and need to be dealt with on a case-by-case basis.

Definitions may be important but framing and unpacking of something as complex as capacity development is more helpful when it comes to operationalization. In some literature (e.g. OECD) capacity development is seen in three analytical levels on which objectives are pursued: 1) individual, 2) organizational, and 3) the enabling environment. In other literature these three levels are elaborated into a finer grain of further sub- or linking levels – Individual knowledge and professional skills; units in organizations; organizations; systems of organizations; institutional frameworks; and environmental/contextual factors.

Whether it's aimed at processes such as national level state building, poverty alleviation or specific organizations, capacity development is a major challenge where technical cooperation and various forms of capacity development have absorbed substantial funds over many decades.

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1. Sida (2005), Manual for Capacity Development: Methods Document, Department for Policy and Methodology, Swedish International Development Cooperation Agency (Sida).
2. OECD (2006), The Challenge of Capacity Development: Working Towards Good Practice, The Organization of Economic Cooperation and Development (OECD).

MSB has during the last few years addressed its own capacity as well as developing more clarity on its approach, framework and methodology in capacity development. Some of the important considerations that MSB is working with to further develop its internal architecture and methodology for capacity development for Disaster Risk Reduction include:

- The need to put change and results at the center of MSB's capacity development for DRR agenda.
- Addressing the compatibility of MSB's capacity development methodology with the changing context of development cooperation and capacity development and implications for the DRR sector.
- How to further develop and integrate the 7 elements[3] of capacity development for DRR framework into MSB's overall strategy, structure and approach.
- Considerations for expanding and developing MSB's internal capacity for capacity development for DRR.
- Strengthening linkages with external partners for capacity development for DRR.

A common and shared observation among several organizations is that staff tasked with designing capacity development initiatives/projects/programs usually fall back on previous examples undertaken by the organization, borrowing methods, terminology, tools and activities but without a clear or consistent approach. This has also been subject to and influenced by the professional background of the individual, their prior knowledge of capacity development, and their personal interests and orientation; and so approaches, tools and methods tended to be inconsistent. In all, while this has produced some positive results, it is still not guided by an organizational approach and methodology and sometimes characterized by a case of 'reinventing the wheel' too often.

This guide was motivated by the relative lack of practical guidance on capacity development. While there is substantial literature regarding capacity development thinking, approaches, frameworks and models as well as critical literature of previous experiences in various sectors information on 'How To' is still limited. The guide is designed in a user-friendly way to provide pointers and direction on how to use such approaches and tools. And in general, when examining capacity development numerous conceptual, technical and operational challenges arise. Developed as part of MSB's wider Capacity Development Process, which encompasses training courses and framework development, the guide is a quick reference that enables professionals to address some of the challenges they face.

In its national and international capacity development networks, MSB has also realized that many others face similar challenges and are looking for further practical guidance for their capacity development cooperation projects and processes.

The purpose of the guide is to provide necessary guidance and tools to those who will be tasked with conceptualizing, designing and implementing capacity development initiatives, programs and projects. It is designed to enable professionals with adequate knowledge of capacity development to organize their thinking and plan processes in a more methodical way. It is not aimed at anyone who is not familiar with the complexity or nuances of capacity development processes or a newcomer to the area of practice. The guide does not cover basic understanding or background knowledge. This type of information is more covered in the resources that the guide lists.

3. (1) Terminology; (2) Local Context; (3) Local Ownership Needs; (4) Capacity Assessment; (5) Roles of External Experts; (6) Mix of Activities; and (7) M&E and Learning.

The guide includes instructions and suggestions that can be used for various purposes such as:

- Enable organizations to better institutionalize and mainstream capacity development approaches and methodologies into programs and projects.
- Induct, train and explain to staff what capacity development is (in conjunction with other material), how it is done, and why it is done in the way an organization does it.
- Mediate and start a dialogue with partner organizations on what capacity development is.
- Aid in developing consistency with organizations on the use of a common language, terminology and concepts.
- Address and draw attention to some of the critical steps that seem to be skipped over in a lot of capacity development initiatives – e.g. baseline assessment or adequate stakeholder mapping. This poses serious questions during the course of a project, making monitoring challenging and presenting problems in final evaluations.
- Bridge the gap between experienced staff and newly appointed or less experienced personnel in passing on experience in a more structured and organized way. The guide might also help in dealing with the issue of staff turnover on long-term projects if all were 'singing from the same hymn sheet'.
- Transfer and mediate to field staff why and how an organization undertakes capacity development initiatives in the way it does for more consistency and less confusion on what is expected on projects – i.e. creating a community of practice and more coherent programming.
- Shift thinking and mind-set from fixation on definitions of capacity development to a more complex and nuanced framing, which is required on every project and initiative rather than applying a standardized definition to fit all and glossing over highly contextual issues.
- Serve as base material for workshops and training and a reference on capacity development courses.
- Enable better reflection on risk assessment for national, regional and local levels if included in the capacity development processes.

## Who is the Guide For?

Challenges to capacity development are not new or particular to the context of disaster risk management, but have been present for international development cooperation for decades. Good practice in capacity development and success stories all point to how important contextualizing is. While there are a number of frameworks, methods, tools and working procedures blue prints or one-size fits all do not work. The choice of method determines the results and so it is vital to select a method that is appropriate for the context and on that promotes ownership and joint learning.

Although anyone can use this guide – policy makers, academics, program developers or partner stakeholders – it is mainly aimed for project staff who will be tasked with developing capacity development initiatives at any level. The guide will also be useful to stakeholders interested in approaching development agencies with proposals for partnerships as well as promote dialogue between policy makers or donor agencies and implementing agencies such as MSB.

The guide is the outcome of a review of key concepts, methods and practices in capacity development to formulate an easy to use reference emphasizing readability. Good practice, hints & tips and alerts to pitfalls are cited throughout the guide. In this way, the guide will help users understand the options they have in undertaking capacity development work as well as the range of tools, methods and resources available.

Organizations and countries exhibit a great range of types of capacity development projects and programs they have undertaken across sectors, the role of stakeholders is quite varied, and the degree of technical capacities is also wide and inconsistent. The guide can support professionals in the process at any point in this range depending on context, local constraints, resources and opportunities. In this sense, the guide's main objective is to assist in the process of non-sector specific incorporating capacity development into organizational, local, regional or national development planning. The guide can be used by MSB staff as well as staff in other organizations involved in capacity development processes. Within MSB, the guide is generally aimed at the following categories of staff and professionals: MSB Project Managers who are responsible for developing, managing and coordinating capacity development partnerships and projects; experts and advisors with a wide range of profiles, who are highly experienced and qualified within an area of expertise where MSB engages in international capacity development collaborations to support the implementation of capacity development projects; MSB's recruitment officers who identify and recruit experts to MSB's capacity development projects; MSB's trainers in its training colleges who develop and conduct training courses for a wide-range of national and international actors within disaster risk reduction; and multilateral organizations as well as partner agencies at national, sub-regional and local levels who MSB is partnering with in various capacity development initiatives.

## What is the Guide For?

Good practice in capacity development at any level (enabling environment, organizational or individual) requires following a framework of change outlined in the five points below. It also requires asking a number of analytical guiding questions in order to further define and narrow the scope of an initiative for a specific program, project or operation.

- *Understanding the international and country contexts:* Understanding the enabling environment can be obtained from the "institutional analysis", "power analysis" or "drivers of change analysis".
- *Identifying and supporting sources of country-owned change:* Capacity needs assessments should begin with the question "capacity for what?" and avoid the trap of providing generic training on broad topics, disconnected from the capacity and performance of specific organizations.

- *Defining and developing an overall approach to capacity development:* Problem analysis, designing long-term strategies, and elaborating specific action plans form the three basic components of an overall approach at any level where capacity development is aimed.
- *Delivering support:* Skill creation should always be integrated with the organizational and institutional changes necessary to put new skills to work effectively.
- *Learning from experience and sharing lessons:* priority should be given to building shared understanding about what works and what doesn't in terms of improving the enabling environment.

To this end the thinking underpinning the development of the guide and which has an implication on its use was three fold:

- The aim of developing the guide is to enable individuals and groups of individuals to work with capacity development, as opposed to direct service provision;
- This process needs to result in individuals having solid skills for 'undertaking capacity development'; in other words engaging in complex and relatively long-term capacity and change management processes; and
- The guide should have a broad and generic coverage, not being exclusive to any one sector or thematic area (e.g. DRR, Logistics, etc.).

However, it must first be stressed that the guide is not a manual to be followed rigidly without adaptation. This message will be frequently repeated throughout the guide and where it is important to pay attention to contextualization and adaptation of the notes and guidance presented in the following chapters. The guide was developed as a resource for learning and a reference across the range of capacity development components. It gives some ideas of how to carry out and undertake the main and critical activities in capacity development, not as a linear process or a recipe. It presents questions and steps that can be used to deepen your understanding of what you will need to consider when conceptualizing, designing, or carrying out any of the tasks or activities involved in capacity development. And as with all guides you may wish to supplement the knowledge and ideas in the following pages with additional material depending on the needs of the initiative or project you will be working on. Furthermore, it is imperative that all suggestions and instructions are read and interpreted in a culturally appropriate manner.

Along with the main points mentioned above, it is important to stress a few more before you start using the guide:

- What the guide presents is not a new model or approach in capacity development. It is more of a synthesis of current thinking and understanding of what constitutes good practice based on various agencies' literature.
- The guide does not promote one particular model or approach over others or recommends a certain agency's approach and methods. The ones that are mentioned are only as examples and any omission does not mean disapproval.
- You will need to make your own choices and decide what works best for your project or program in terms of approaches and models.
- You will also need to decide how to use the suggestions mentioned in the guide, as it is not prescriptive in any way.

You can use this guide for at least four different purposes or objectives:

1. Initiate a process of capacity development targeting any level or to reverse a trend or correct course of an ongoing project or initiative.
2. Reassess current plans for a partnership aimed at capacity development and scrutinize to what extent the plans are sound or have followed good practice in capacity development.
3. Increase your understanding, and that of others, of the factors that enhance or threaten capacity development sustainability and long-term prospect.
4. A focusing tool to assess the flexibility and resilience of capacity development policies before you get to implementation.
5. The guide is structured into eight chapters, and while there appears to be some sequence in the flow of the text it is by no means linear. You can start at any chapter and pointers will guide you to cross references on where information might be needed at any stage but can be found in another chapter.

You can use the guide for your own purposes as a project lead and refer to it for reference or to check your thinking or you can use it as a template to start from and develop the components of the initiative around it. You can also use it for a wide variety of activities:

- As an accompaniment to a capacity development training course.
- During the inception stage of a capacity development initiative with a partner organization to clarify assumptions, expectations, roles, etc. In other words, how we are going to work together.
- At project conceptualization stage where the guide asks critical questions for every component of capacity development.
- As a reference point for project and roster staff and to reorient new staff.
- As a reference document in project design for in house project managers.
- As a road map for projects to be referred to especially when there is a turnover of project management, consultants, or project staff in general.
- Offered to other organizations in other countries in projects' pre-inception phase to know what they should expect from MSB or any other partner agency. This is to clarify assumptions and expectations, whether it's functional or technical capacity that is the focus or a combination of the two.
- As reading material in team leaders development courses.
- As a base for training with partners (possibly recommended for all capacity development projects).
- To disseminate and institutionalize a common language, methods and approaches.

The Guide also puts a lot of emphasis on gender and diversity issues in capacity development without dedicating a specific section or chapter to it as this usually appears as an add on token measure. Instead reference where appropriate and important measures and processes need to be taken into account feature throughout all the eight chapters. When you go through the various aspects and steps of capacity development it is important to unpack some of them with a ender and diversity perspective[4]. Whose capacities? What capacities? In what way? If this is not done you risk, for example, contributing to discriminatory practices and norms, disregarding women's or marginalized groups' capacities – or enforcing barriers to their participation. This work entails, for example, to have continuous dialogue with the partner organization to understand and build on the partners' objectives/policies, processes, tools, knowledge, specific experts and partners on gender and diversity related to their work (UN Women's Gender Equality Capacity Assessment Tool can be tailored for this purpose). For many agencies – such as MSB – gender equality is a core goal to our work and a pre-requisite for funding. A key issue, however, is to adapt the "how and what is done" following partners' capacities, needs and priorities in this area, and to find common ground.

There is no set or standard way of using this guide. You can read it cover-to-cover, or you can thumb dip into any chapter that serves your purpose. There is frequent cross-referencing to point out if you need to refer back or forth to another process or step in a different chapter. Each chapter in the guide is structured in six sections.

A chapter opens with an **Overview** section that is more of a background knowledge and introduction to the theme or capacity development component or process the chapter covers. Use that as a quick guide to see whether this is what you are looking for. The heading of the chapter is self-explanatory.

This is followed by a brief section posing some **Critical Questions**. Mostly these are thinking and guiding questions you might need to put to the core team when planning or before planning a certain step. This section also contains a set of pitfalls from lessons learned and what you need to avoid and pay attention to.

The main section of a chapter is on **Tools and Practical Steps** where you will find detailed and enough guidance on how to go on about preparing, planning and executing any of the components or tasks in a capacity development initiative. Clearly, there is a lot more that could have been included in the guide in terms of processes and steps but prioritising choices had to be made in order to keep the guide to a reasonable readable length and not end up with a volume that is hard to carry around. The aim here wasn't for comprehensiveness as much as usability.

The fourth section is a list of success criteria. **You Know You are Successful When…** points you to standards of practice in each theme or component, which you can work towards from the start.

And in order to give the guide a more tangible feel section 5 contains **Examples of Good Practice** where case studies and reflective pieces were collected from professionals reaching far and wide.

The last section contains a limited number of **Resources** and references that you can refer to for added knowledge and more importantly details that were not seen as necessary to be replicated in the guide. The references are specific to the chapter theme unlike the more generic capacity development literature included in the bibliography at the end of the guide.

We have also included Notes Pages at the end of each chapter where you can document your own personal reflections, ideas, plans and referencing so it all stays in one place and in one neat volume that you carry around.

4. Gender refers to social differences as opposed to the biological ones, between women and men that change over time and have wide variations both within and between cultures. Diversity refers to acceptance and respect difference. For example: gender, age, disability, religion, ethnic origin, sexual orientation gender identity and expression. Using a gender and diversity perspective in programming is linked to gender equality and inclusive programming – where the project aspires to be aware of these issues and, to the extent possible and within the project area – contribute to gender equality and inclusion of marginalized groups.

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CHAPTER 1

# Overall Approach

# Overall Approach

## Overview

Learning and change for sustainable capacity in complex situations requires a long-term process orientation that works iteratively at multiple levels and often with multiple strands of activities towards a capacity goal. This calls for strategic and long-term thinking to be applied to the design of both the overall approach and the specific selection of methods.

Any design process is determined and guided by the choice of an approach in the first place. Launching straight into activities and interventions without a coherent and well thought through approach inevitably leads to waste of resources, missed opportunities or even jeopardizing and risk to the whole capacity development initiative through inadvertently creating conflict between stakeholders for example.

Capacity is generally understood as the ability of people, organizations and society as a whole to manage their affairs and their own development processes successfully. Critically, capacity is the ability of people and organizations to define and achieve their own objectives, which is not only about skills and procedures; but also about incentives and governance.

An understanding of the models and approaches with a focus on good practice is required for professionals to get a solid handle on where to start a capacity development project or initiative before jumping into tools and methods. In designing and deciding on an overall approach to a capacity development initiative you first need to check any prior knowledge, pre-conceived ideas or assumptions about what capacity development is that you might have, and to challenge your own thinking and see whether some of it might be realigned with current wisdom on effective capacity development. It is important to stress that this isn't a linear process. For example, to choose or adapt a model requires an understanding of stakeholders, roles and responsibilities, which is covered elsewhere in the Guide. At this stage we will briefly touch on what information might be required, which will come from several other processes and tasks.

To design a project specific overall approach to capacity development there are three suggested steps in the process. These generally occur in a sequential manner but new information might need to be fed back into earlier steps to ensure a truly holistic approach. Without acquiring the essential information of the context and the stakeholders within the context it would be impossible to initiate any form of capacity development program.

These three general steps, each of which encompasses several tasks and processes, are:

1. Problem analysis
2. Designing long-term strategies
3. Elaboration of specific action plans

This part of the guide will take you through a step-by-step on how to think about an overall approach to a capacity development initiative, what questions you need to ask, what information you need to gather and how to put it all in a coherent framework to produce a trusted and agreed upon approach and project plan.

## Critical Questions

Try to answer these questions first before you embark on developing an approach and a methodology. Answering the questions is a process in its own right. It will require dialogue and conversation with some of the stakeholders. It will need some data and information you have to gather first. And generally it is an integral part of developing the approach and not an optional or a luxury step. Try to answer these questions in terms of development results, so that it is clear why capacity is needed.

1. What is capacity and what is capacity development in your particular initiative, project or program?
2. Capacity of what and capacity of whom?
3. What are the types and levels of capacity in this particular case?
4. What needs to be in place before a design process starts? Think about looking for and checking: results of assessments of existing capacity and capacity needs, mapping of stakeholders already done or fairly recent, expectations, setting of goals, objectives and indicators, etc.
5. What are the obvious entry points taking into account any previous and current capacity development efforts, in order to create synergies and linkages?
6. What are the available choices of interventions at different levels? Think about individual, organizational and the wider enabling environment and appropriate linkages between them to achieve overall goals and objectives.
7. How might you be able to sequence interventions and activities in a logical and reinforcing way that doesn't undermine current CD initiatives, previous or future ones, while prioritizing, and balancing short-term objectives with long-term sustainability?

***Watch out for these well known pitfalls:***

- The levels of capacity are not stand-alone and all three need to be taken into account when determining 'who' needs 'what' capacities for 'what purpose'.
- When addressing gender equality and diversity as cross-cutting issues avoid that efforts become superficial and instead try to engage with partners in in-depth discussions including why and how these perspectives can become valuable and result in concrete suggestions for the area of cooperation. There is also a common pitfall that gender and diversity are not mentioned and hence often forgotten as a parameter for whose and what capacities we consider.
- Focusing on just one level might not lead to success as newly acquired skills and experience at the individual level might not be implementable if the organization does not have policies in place for them to action this.
- At the organizational and societal levels, the focus on individual skills might cause a shift in power dynamics and affect existing vested interests, gender and power structures, or norms and values.
- Financial resources are not enough to promote human development in a sustainable manner. There are problems you cannot throw money at. Without the right enabling environment, well-functioning organizations and a high-performing human resource base, countries lack the foundation needed to plan and implement their own national and local development strategies.

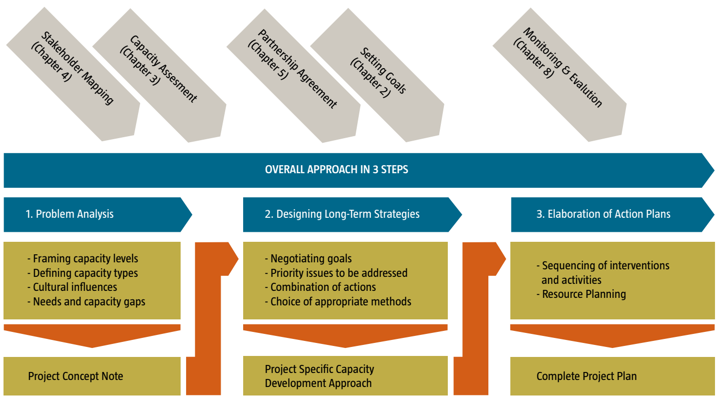
*And these are even deeper pitfalls:*

- Assuming that an intervention starts on a 'blank canvas' or a 'clean slate'.
- Developing an approach that is de-contextualized or apolitical. A one-size fit all is not the right approach.
- Focusing on technical skills and assuming they are enough on their own.
- Not working iteratively and being inflexible and non-responsive.
- Not monitoring the process from the start.

## Tools and Practical Steps

In order to think through and develop an overall approach as a first step in a capacity development initiative you need to go through three clear steps of design and development. These steps are not only interlinked, they can be iterative in nature (i.e. you might have to go back and forth between them); and they are also cyclical and iterative with other tasks and activities in the overall capacity development process (i.e. you might need to get some of the information required from other tasks). But for the sake of clarity we will try to run through these three steps in a sequential manner. Step 1 is the overall problem analysis where the general context of the project or initiative is set. Step 2 is mainly concerned with designing long-term strategies aiming at creating a model that fits the specific context of the project or program. Step 3 focuses on elaborating specific action plans where sequencing and resource planning are addressed, ultimately leading to a complete project plan.

**Figure 1.**




### Step 1: Problem Analysis

There are two distinct tasks in this first step. The first involves framing what capacity levels and types are important in your project, and the second is developing a preliminary understanding of what the actual needs and capacity gaps are. Checking cultural influences helps in further contextualizing the project especially when it comes to setting goals (Chapter 2) or developing incentive mechanisms (Chapter 7) for example. Cultural references and influences are equally important in understanding power dynamics in any context. For framing capacity types and levels see if you can investigate and write the following in the case of your project:

## I. Frame Capacity Levels

1. Enabling Environment (societal):

- Define the broader system within which individuals and organizations operate and function, which can either facilitate or hamper their existence and performance and is the level where the 'rules of the game' are set. Capacities at this level relate to things like: policies, legislation, institutional arrangements, leadership, political processes and power relations and social norms (values, incentives, motivation, trust, legitimacy, transparency).
- Clarify the role of the enabling environment on individuals and organizations, which cannot function in isolation but as part of a broader system.
- If the project is set in a global context where issues beyond a country or a region are at stake (e.g. climate change impact), it is then important to consider complexity or interconnectedness of organizations that has a global outreach or might be impacted and influenced by global processes such as a country's national adaptation plan of action, membership in global alliances, compliance with benchmark or global standards, and anything you think might have an impact on the project or forms guidance or target criteria.

2. Organizational level:

- List and map policies, procedures and frameworks that allow an organization to operate and deliver on its mandate and enable individual capacities to connect and achieve goals. Capacities at this level include such things as: leadership, the organization's ability to engage, to produce results and to manage change, as well as to provide relevant rewards and incentives, and to adapt and self-renew.
- If the project has a strong sectoral dimension (e.g. health, water and sanitation, food security, etc.) and where 'networks' in a sector could be influential, test first whether a sectoral network mapping might be critical.

3. Individual level:

- Map the sets of individual skills, experience and knowledge that are vested in people (individuals, communities, groups, teams). Some of these are acquired through formal training and education and others through learning-by-doing. Make sure that you are not inadvertently affecting gender or power relations in this process.

**Figure 2.**

### II. Define Capacity Types in your Project

First, this is an opportunity to use, push and promote the language and terminology relating to functional and technical capacity (or soft/hard if you will). The more this is used and understood in a project the more clarity there will be on what capacities are targetted and justification for the mix of activities. You will also be better able to measure and monitor different types of capacities as they evolve and develop. Some of this information will come from an initial capacity and needs assessment (Chapter 3) and some might be extracted from stakeholder mapping (Chapter 4). Here is a simple guide on how to map and list them:

1. Functional (or soft – social, relational, intangible and invisible)

These capacities are cross-cutting in nature and are not associated with any particular sector or theme. They are essential to underpin the potential to develop other capacities.

Define the following in clear statements in your project:

- Organizational culture and values
- Implicit knowledge and experience
- Adaptive capacities
- Ability and willingness to self-reflect and learn from experience
- Ability to analyze and adapt

For a more specific and tangible checklist try to score the following:

- Capacity to engage stakeholders
- Capacity to assess a situation and define a vision and mandate
- Capacity to formulate policies and strategies
- Capacity to budget, manage and implement
- Capacity to evaluate

2. Technical (or hard – tangible and visible)

Technical capacities are those associated with particular areas of need and with specific sector requirements or themes such as Disaster Risk Management. Clearly list: skills, explicit knowledge and methodologies, policies, or laws, and systems maps.

### III. Check Cultural Influences and Start Contextualizing the Project

Culture within any project is unique. Culture is based on historical behaviors and is more difficult to influence, but is critical to achieving change. A preliminary capacity and needs assessment along with stakeholder mapping and negotiations to establish partnerships (Chapter 5) will give you more clarity on a number of issues which you will need to document with clarity in any language that you see suitable for the project. These are:

- Value systems, beliefs, norms and societal practices. This can vary considerably between countries, geographic regions and social groups.

Context is also unique and includes:

- Political and institutional systems
- Inter-country relationships (regionally and globally)
- Power dynamics and economic control or dominance
- Geographic and social factors

**Figure 3.**


### IV. Determine Needs And Capacity Gaps

Needs assessment and capacity gap analysis at the three capacity development levels (enabling environment, organzational and individual) should be the culminating task in this first step of problem analysis. Needs assessment and capacity gap analysis (both will be covered in more detail in Chapter 3) would lead to the main output from this first step and that is formulating a project specific description of the capacities and problem(s) to address. For MSB this is often in the form of a 'Project Concept Note' detailing the following:

- Problems and challenges
- Potential and interests
- Risks and assumptions
- How change is already happening if at all
- Readiness and motivation to change or the lack of
- Political will and in what form it is manifest
- Current power relations and incentives – from stakeholder mapping
- Available resources

## Step 2: Designing Long-term Strategies

Developing an approach for a project or indeed managing a capacity development process is anything but linear. It is important to constantly remind yourself of this looping process and that what you do can never be put away or set in stone. In this step we will go over four tasks and you will be able to see some of the overlaps with Step 1, but you will also see how this process is moving forward towards an agreement on the overall approach and how it shapes up.

The main outcome of Step 1 above and when a project concept note has been approved is clarity on overall direction, problems to be addressed, and a preliminary partnership agreement, albeit not quite formalized at this stage. But this enables stakeholders to further engage in designing long-term strategies by way of fleshing out more details on the capacity development project or initiative. In doing so this steps mainly focuses on partners negotiatons and consultation with an overall aim of creating a unique capacity development model that fits the context of the project as a main output from this step. Some of the tasks below in this step are either reiteration of ones done before but in more depth and detail or new ones.

### I. Engage key stakeholders again to explore and agree the following:

- Current capacities
- Long-term goals and short-term objectives
- Capacity indicators for both objectives and goals
- How change is already happening, including previous and existing capacity development initiatives
- Capacity needs

- Change readiness
- Cross-cutting issues including gender and environmental factors
- Pre-requisite resources and commitments

**II. Decide on key entry points based on previous or existing initiatives**

- Priority issues for key stakeholders
- What can be achieved quickly and what needs more time
- What are the available resources
- What is the impact of the current institutional environment on the planned intervention
- Who and what are the internal drivers for change
- Who and what are the external constraints or spoilers

**III. Develop an iterative and flexible approach and range of interventions and responses**

- If your intervention or program is complex you will need a bigger range of responses
- Plan regular and structured review processes to constantly check feasibility and appropriateness of planned responses and activities
- Constantly check and even shift priorities if need be

The main input into this step is an agreed set of capacity development goals. An equally important requirement to achieving the tasks in the step is a partnership agreement, which can be finalized in the course of carrying out the tasks. The key output from this second step is a project specific capacity development approach outlining: what change needs to take place, how will this change come about, and what are the core issues to be addressed and reflected in the mix of activities. A more detailed outline of such an approach could be elaborated along the following six points:

1. Capacity needs to be developed or capacity of what.
2. Capacities that are already in place and can be built on.
3. Whose capacity will be strengthened by programs or projects.
4. How will this particular project, especially the way it is planned, contribute to the ability of the partners to control and manage the process as it develops.
5. How will the approach enable the interplay between the individual, the organization, and broader social and economic factors of importance in the project to achieve the agreed upon goals and objectives.
6. How will the design of the program/project create the conditions for on-going learning on all sides and for all project partners.

### Step 3: Elaboration of Specific Action Plans

It is essential in this step that all stakeholders think holistically and keep equal focus on the three levels of capacity development with a variety of capacity initiatives in order to ensure that the process does not purely focus on training individuals as is usually the case. The long-term strategies or overall approach outlined in Step 2 above is then further detailed into: sequencing of activities; and resource planning thus leading to a complete project plan.

### I. Sequence of interventions and activities:

There is no blueprint or quick fix to sequencing activities or interventions because it is highly contextual. An initial sequencing is required to start working from. But this will need to be reviewed and adapted quickly and monitored regularly for correction of course if need be. Also, as capacities start to develop and stakeholders take on more responsibilities, some of the earlier planned interventions might be no longer needed, or the opposite could happen – new and unforeseen interventions and activities could emerge. Initially you will need to observe a few guidance points when sequencing activities:

- Carry out a prioritization exercise first depending on expressed needs and make sure that sequencing of activities is:
  - Doable
  - Realistic
  - Acceptable
- Be realistic about what you prioritize especially if it is something that will take a long time to be established.
- Think of quick wins and balance those with longer-term activities.
- Harmonize interventions and activities within your project as well as with those belonging to other projects or programmes. This will maximize internal and external opportunities.
- Maintain a balance between internal activities aimed at hard and soft capacities of stakeholders and those that target or aim to influence the enabling environment. These need to run in parallel.
- Determine the level of complexity of the context you are working in and that of your programme or project and use that as guidance for the best fit of sequencing. The more complex it is, the broader and more variety of activities and interventions you will need.

### II. Resource planning

In order to set up a resource plan, rather than a budget as such, it is important to be clear about:

*What has to be put in place as pre-requisites to achieving the goals and objectives?*

You could start by unpack such an overall question into more specific ones and list the output of each in consultation with all stakehoders:

- What precise measures can strengthen existing capacities? These are the activities listed and sequenced above which will have cost implications. It is important here to be clear about where the resources for activities will come from and whether they are externally funded by donors, funded by partners, or are in-kind contribution.
- Which roles, functions and responsibilities will be taken over by individual actors? This is also another way of portioning and planning resources some of which translates into direct cost while others are resources allocated by the partners in support of the project or initiative.
- Which external inputs are necessary? These are not so much roles and responsibilities as the point above indicates. These are further contribution required from organizations on the periphery of the project or initiative or ones with needed influence but may not be directly involved in the project.

- What incentive systems are required? Incentive mechanisms are also a form of resources that will need to be set aside or decided where they will come from (if they are in monetary form); or they are non-monetary in terms of procedures that require establishing new regulations for promotion or any other non-financial rewards to individuals or organizations. There are resource implications to both forms and Chapter 6 will be entirely dedicated to understanding and developing incentives mechanisms and systems.

**REMEMBER THIS:**

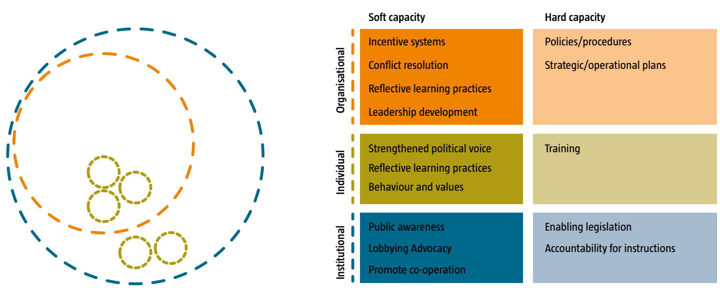
At the implementation stage of a capacity development initiative it would be impossible to foresee all the appropriate interventions required. Therefore establishing a long-term goal with initial ideas about how to get there is a sustainable strategy, which can be adapted and modified as required.

## You Know You Are Successful When...

- Your project sets, or links with, an on-going process of change that needs to take place over time and not simply a one-off intervention.
- Setting the overall approach and project plan is an iterative process, neither linear nor sequential, and one that includes learning, changing, and developing as you go along.
- You have a clear understanding of people and organizations' current capacities.
- All levels of capacity are addressed in your approach and processes.
- The approach starts from and builds on existing capacities.
- You adopt a strategic long-term thinking to design the overall approach and the specific selection of methods.
- You secure agreement on long-term goals and short-term objectives by all involved parties, along with capacity development indicators for both, to ensure that the learning cycle is maintained.

## Examples of Good Practice

**Figure 4.**



## CASE STUDY

### Strengthening Government Emergency Preparedness and Response Capacity in World Food Program Region for East and Central Africa

MSB has supported WFP in preparedness and logistics for many years. The initial request for this project focused on technical support for preparedness in the Pacific. When the request was cancelled due to funding issues, personal contacts with WFP staff in East Africa opened up for a new direction. While the imminent need was gap filling in preparedness, it was recognised that MSB had recently been through a reorientation, from a humanitarian mandate to one that included capacity development. WFP faced a similar situation in the region where several countries quickly approached middle-income status and needed to develop stronger internal structures to deal with food insecurity. While WFP intended to continue to be a strong response oriented actor it also needed to build a coherent approach for support to governments to build their capacity.

In 2014, MSB and WFP regional office in Nairobi (RBN) and WFP Country offices in Uganda and Kenya started the very first project where MSB has brought its own approach to capacity development to support another organization in building their methodology.

There was no shortage of challenges though. MSB's donor Sida would provide funding only for year, participating WFP offices regularly prioritised response with ongoing emergencies, WFP's engagement in capacity development had seen a loss of momentum in the years prior to the project and there were no formalised internal organization for capacity development issues. On the other hand there were also strengths and drivers. WFP had re-raised the issue at global level, Kenya country office had just secured a large grant for a capacity development – project towards county governments, country offices' management generally acknowledged the need for change, and not the least, a global recognition that the way to tackle food insecurity needs to go beyond response and support governments' own capacities.

The first important issue facing the partnership was how to build it beyond the personal relations. The project appointed two coordinators in each organization leading the work in tandem. The WFP coordinator attained an internal mandate to represent the country offices and was also responsible for communication within WFP. Having one clear entry point and bi-weekly coordination meetings paved the way for good communication. The project document was jointly written and the objectives were renegotiated in a personal meeting in the country at the start of the project. It was also decided to bring Lund University into the partnership through directly engaging University staff that brought expertise and credibility to the project.

The project tried to draw on good practise for capacity development and tools that had been developed for MSB earlier. The project adopted a phased approach with two distinct phases that roughly entailed a first "definition and design-phase" and a second "implementation phase". This served the double purpose of engaging the country offices in designing the activities and also allowed for flexibility as the donor application for second phase was done only at the end of phase one. In the end this gave MSB the possibility to extend the total project time to two years.

A capacity mapping to outline the most important gaps and capacities was initiated at the start of phase one. It was carried out with external expertise but the results were validated by WFP staff to get active participation in project design. The mapping looked at the individual, organizational and enabling environment-level in order to design for capacity at different levels when outlining the gaps.

The project used a combination of longer term secondments (approximately 60 % of external staff costs), short term experts (25 %), and consultants (15 %) to design for flexibility, to scale up when conditions were conducive or scale down during less intense periods.

General awareness of the topic was not taken for granted and the work in each country started with general capacity development awareness workshops targeting key staff. Later country office management was also targeted with awareness raising but the design of activities was different for the audience.

The phased approach and the inbuilt flexibility in resources allowed working with an iterative approach and re-designing the project activities along the way rather than setting for a fixed set of activities from the beginning.

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Among the design choices that had to be reworked was the initial intention to facilitate learning between offices by having a regional approach. Restrictions on travel and the fact that country offices had different experience in capacity development made it difficult to have joint activities.

The project also provided expert advice through distance mentoring to the country offices but in retrospect this facility was underutilized and should have been more structured and promoted.

The overall approach generally worked well with results materializing on the individual and organizational level. It has been possible to make a difference with relatively small resources but as often in capacity development, the real challenge has been to retain engagement and funding during the timespan it takes for a change process to happen and to take hold.

## Resources

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CHAPTER 2

# Goals and Objectives

# Goals and Objectives

## Overview

Capacity development activities need to be situated within a specific setting and development context in order to have meaning and contribute to real change. The process by which the goals and objectives are formulated is of particular importance. Anything imposed externally is unlikely to resonant with the relevant stakeholders or engage their commitment to action. Different organizations use different methods and models (Results Based Management, Logical Framework of Action, Theory of Change, etc.) and hence use different terminology or use the words goal and objective in different ways, alongside with other results terminology such as outputs, outcomes and impact. This may sometimes lead to confusion especially if the lead organization has its own set of approaches and preferred method. There is also the overall or overarching development goal on a country or a sector level and there is the specific capacity development goal on the project or initiative level an organization works with. The terminology may vary depending on your partner and this chapter tries to outline a general process for setting capacity development goals and objectives – on a project or intervention level – rather than to prescribe a certain terminology. It will also not attempt to advance or promote a certain approach over another (e.g. LFA vs. RBM). The approach adopted in this chapter is of a more generic nature leaving it open to the reader to adapt it to their organization or context specific initiative and match it to donor requirements, for example.

A capacity goal should state the overall purpose or aim of the capacity development initiative in terms of what it is that an organization, target group or sector needs the capacity to be able to do. Capacity objectives, on the other hand, should be statements of the intended results to be achieved and they are, therefore, much more specific, and achievable in less time than the goal. Both put together provide further guidance to the overall approach and shaping of interventions and activities as well as developing indicators to monitor progress, aid in aligning and changing course if needed, and ultimately evaluation.

This part of the guide will introduce how you can formulate goals and objectives of capacity development initiatives. The guidance is structured as a combination between induction to what goals and objectives are in the context of capacity development and familiarization/practice with setting up goals and objectives in a specific context.

Setting goals and objectives for capacity development provides the framework for action and you should try as much as possible to produce it with key local stakeholders, while making sure that differences and inequalities linked to gender and diversity related to the project scope are taken into consideration. This might require, for example, the involvement of experts or organizations representing women and marginalized groups among stakeholders. This broader and wider consultation and validation will also ensure that goals and objectives are more embedded within existing programs and mandates and reinforce an understanding amongst stakeholders about the changes that are necessary to achieve them. This will have the additional benefit of generating sufficient energy around the project intent and hopefully diminish potential resistance.

## Critical Questions

The following questions are part of the initial thinking process about the guiding principles of a capacity development initiative. They may be the very first step you need to undertake as a project lead or focal point and while you prepare to engage other stakeholders in the process. See them as a way by which you prepare for such engagement and a structured method of guiding the initiative. They are quite extensive at this stage because a lot will depend on the initial framing of any initiative or project:

1. Which method or approach will you be working with or have to work with to comply with donor requirements? LFA, RBM, ToC or some other hybrid method your organization owns and adopts in project/program planning and development.
2. Can you clarify and agree the terminology you will be working with? Goal, objectives, inputs, outputs, outcome and impact.
3. How are these components going to be used in the overall project planning, management, monitoring and evaluation? There is no issue of choice between these components and all can be employed in the planning and management of an initiative. What is needed is clarity on what they are. For example:
    a. **Goal**: The overall purpose towards which the project is aiming for. It is less tangible or specific than a set of objectives and has a more overarching sense of direction or holistic achievement.
    b. **Objectives**: Unpack the goal statement in more specific, tangible, timely and even measurable precise actions of a specific task(s).
    c. **Inputs**: Inputs are what you would use in the project to implement it. For example, inputs may include human resource, finances, equipment, etc. Inputs ensure that it is possible to deliver the intended results of a project.
    d. **Outputs**: These are the first level of results associated with a project. Outputs are the direct immediate or short-term term results associated with a project. An easy way to think about outputs is to quantify the project activities that have a direct link to the project objectives.
    e. **Outcomes**: This is the second level of results associated with a project and refers to the medium-term consequences of the project. Outcomes usually relate to the project goal.
    f. **Impact**: This is the third level of project results, and is the long-term consequence of a project. Most often, it is difficult to ascertain the exclusive impact or direct attribution of a project since several other projects, initiatives or even unexpected or unintended changes in a country, region or globally could influence impact both positively and negatively.
4. Will you be setting a goal and objectives in the planning stage and having a lot of clarity on intended inputs, outputs and outcomes as well, but the later three are mainly for monitoring and evaluation purposes?
5. Does your organization and project work at the level of impact assessment and has the capacity to monitor and evaluate that impact in the long-term and through complex and sophisticated assessment methods?
6. What is a capacity goal? – Define that in the context of your initiative not actually state the goal just yet.
7. What does a capacity goal need to cover? This is more of a framing and a thinking process which other team members need to be engaged in and contribute their knowledge and expertise of the context you are working in.

8. How is a capacity goal framed and formulated? You need to be clear about the actual process you will follow in developing a capacity goal and a set of objectives. Try to map the process first following the guidance steps in this guide.
9. What level does a capacity goal need to cover and how to focus it? Think about where that goal needs to fit into an overall development goal of a country or a sector for example. Levels here do not refer to the three levels of capacity development. They refer to where the intervention fits within the developmental context of a country or a region.
10. Why do you need to set different objectives at different levels of a capacity development initiative – individual, organizational, and enabling environment? Try to be clear about the logic behind that and have a stated written justification for it.

***Watch out for these well known pitfalls:***

- Aiming too high or disproportionate to available time and resources and setting unattainable and unrealistic objectives in relation to the capacities of stakeholders will lead to eroding the motivation and commitment of increasingly disillusioned stakeholders.
- Aiming too low or setting too easy objectives are likely to be met but may also erode motivation and commitment of stakeholders as they may be considered boring, below their standards and pointless.
- Not formulating a clear logic between the capacity objectives and the capacity goal. Will reaching the capacity objectives address the critical issues and lead to the long-term goal?
- Gender inequality and marginalizing factors affect societies, organizations and individual lives in different ways. It is common to disregard gender and diversity dimensions of the objectives at the level of the individual, the organization and the enabling environment. If not included in the objectives, differences in capacities and targeted actions to address this can be outlined in the background analysis, and operationalized in more immediate outcomes with specific indicators.

## Tools and Practical Steps

Setting a goal and objectives for a capacity development initiative is not a task you can, or should, do single-handed. It is a highly consultative and engaged process and one that needs to be informed by the capacity and needs assessment and agreed upon and endorsed by all stakeholders especially the primary targets of the initiative.

The process requires two pre-requisite and preliminary steps followed by six structured and more detailed steps. Before you embark you need to:

1. Establish stakeholders' existing potential and work with available opportunities, thereby establishing a more realistic and achievable goal, one that all parties can believe in. This can be easily drawn from the capacity and needs assessment and was referred to in chapter 1. This has everything to do with change readiness, stakeholders' existing capacity and baseline, and what they can take on.

2. Develop a clear understanding of the local leadership that is available to support the change processes and engage in the institutional and political levels to enable change. These focal points are extremely important when it comes to buy-in, affirming commitment, signing up to formal partnerships and generally being agents of change and driving the whole process. They need to be on board and contribute to developing the overall goal and objectives and feel a sense of ownership of them from the start.

### Step 1: Define What a Capacity Goal is

1.1 Most, if not all, projects fit within or are part of a broader development framework of a country, region or sector (e.g. national development goal). You will first need to frame the intervention or project goal in the development agenda (i.e. a higher level than the intervention itself). There will be a development goal (at impact level) defined by the donor agency responsible for the overall development program where the project/intervention is set. Changes towards this goal will usually not be directly attributable to your project or intervention. But you still have to align your project goal with it and use that overall development goal as a rationale.

1.2 To define your project capacity goal try first to write a clear statement on what is needed to achieve that overall guiding development goal. State the overall purpose or aim of the capacity development initiative in terms of what it is that an organization, target group or sector needs the capacity to be able to do.

1.3 To help you define the project goal in clearer terms, try to link it to strategies, programs or projects with higher, perhaps national, level goals. Try to fit it where the focus on developing the capacity of key elements of the system and key groups of actors will ensure the most appropriate level of change.

### Step 2: Decide What a Capacity Goal Needs to Cover

2.1 Try to focus the project goal on the intermediate or middle level of the overall development framework within which the organizations operate. The established goal would normally be achievable within a medium to long-term time frame.

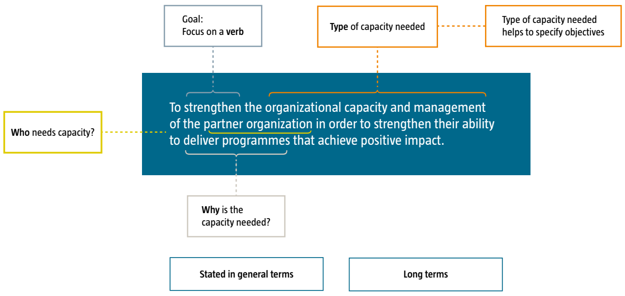
2.2 Try not to be too specific or over prescriptive. Goals are normally stated in quite general terms, as they are much longer term in nature.

2.3 Here is a simple and straightforward way to formulating or wording a goal statement. You may already have the answers to these questions from the stakeholder mapping and capacity assessment. But you still need to validate and verify the goal statement in consultation with all stakeholders concerned. Try answering these questions and then see if you can derive and pull together a single clear goal statement after that:

- Who or what (organization, target group, sector etc.) needs capacity?
- Why is the capacity needed – for what purpose?
- What type of capacity is needed in order to achieve the purpose?
- How will cross-cutting issues such as gender, diversity and environmental concerns be addressed?

2.4 As part of the goal statement it is generally useful to establish the type of capacity needed which will help with the specification of the objectives that will be needed to achieve the goal. See the example below with a good goal statement and highlights of what the statement is made up of.

**Figure 5.**




A helpful tip when working on the goal statement is to focus on verbs or the ability to do something.

## Step 3: Focus a Capacity Goal on a Specific Level

3.1 This step may take some time and in some cases not all countries will have clearly stated national development plans. There is also a chance they might be overambitious. Therefore, try to work with what is available and use your judgment and knowledge of the country as well as draw on the expertise of those who know the context well enough to inform and advice on the overall direction of national development plans.

3.2 Relate the goal to the assessment and analysis of the context, which you carried out in formulating the overall approach (chapter 1), and to existing stakeholders and ongoing regional or national development goal(s).

3.3 Aim to embed the project goal into the national agenda and establish it somewhere between the national level development goal, to which the capacity goal should make a contribution and the organizational level your project will be set in.

3.4 The specific objectives and results needed for system components, organizations and individuals to contribute to the higher level targets will be established based on the level at which the goal is targeted.

3.5 Also note how a capacity development goal would respond to gender, inclusive, diversity or environmental cross-cutting issues that are stated in a national development goal or introduce them as an opportunity if they are not.

**Figure 6.**


Introduction 1 2 3 4 5 6 7 8

## Step 4: Define Capacity Objectives

4.1 This is where it gets more specific. Objectives are simply the capacities needed to achieve the goal. Word the objectives as statements of the results to be achieved and in less time than the goal.

4.2 Write the objectives at the level of outcomes and focus on results, rather than inputs and outputs.

4.3 A useful hint when writing capacity objectives is to focus on using nouns or think about what is needed to achieve the goal.

4.5 When writing an objective think about what is measurable and what isn't, or what might need to be measured by proxy indicators. You will need to regularly monitor progress to be able to effectively steer the project towards a successful conclusion.

4.6 Set a time span for each objective in order to be able to monitor and evaluate progress. Commitment to a deadline also helps generate a sense of urgency, which facilitates the creation, and maintenance of motivation and focus.

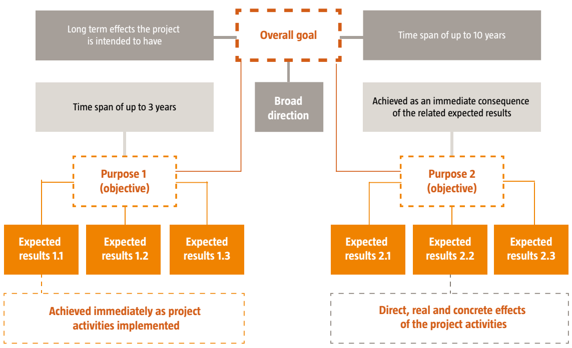
## Step 5: Develop an Objectives Tree

5.1 An extra step to verify consistency and an opportunity to further negotiate and firm up agreement with stakeholders would be to jointly develop an objectives tree.

5.2 An objectives tree[5] is a useful tool to understand the links between your project objectives, the project capacity development goal and the overall guiding national development goal, if you work your way up the tree and check consistency and rationale.

5.3 Expressing it in a diagram format like the one below will help you spot inconsistencies, over-reaching, or under par and the overflow across all levels.

**Figure 7.**




5.4 You may be able to develop the first draft internally within the core project team and then invite other stakeholders for a consultation/validation meeting (including expertise on gender, diversity and environmental factors); or work through the whole thing from the start in a brainstorming session. The challenge of the latter approach is it could be less focused, rushed, prone to un-clarified assumptions and expectations or leads to over ambitious objectives in an attempt to impress.

5. Objectives Trees are used in the Logical Framework Approach and is a terminology and method usually associated with the LFA. However, you can still develop an objectives tree if you are using a method other than the LFA.

## Step 6: Clarify Assumptions and Risks

6.1 At this stage in the process it is also important to note and document the set of assumptions on which the goal and objectives were formulated because these assumptions will be subject to testing, verification and validation as you progress in the planning of the project.

6.2 In this planning stage assumptions are mainly related to the conditions and resources, which are needed for the implementation and success of the initiative. Ensuring a common and shared understanding of those assumptions and testing their robustness is an important step in the formulation of your chosen change model/theory, whichever method you work with. The assumptions of required resources will run in parallel to setting the goal and objectives through an iterative process of checking whether such resources can be secured or are they unrealistic and out of reach. There is also a set of assumptions to do with the conditions and prerequisites for any project or initiative to take off (e.g. willingness and securing agreement from partner organizations, likelihood of a donor agency accepting the stated goal and objectives, availability of structures to work with as a minimum requirement for a project to start, etc.).

6.3 In testing the assumptions back and forth against the goal and objectives the rationale must take into account how certain actors and other contributing factors, within or beyond the initiative's control sphere, can influence positively or negatively its progress and development.

6.4 This usually leads to highlighting risks the initiative could encounter and which need to be assessed, analyzed, evaluated, planned for and thereafter managed, when there are early indicators of any of them materializing and coming into effect.

6.5 Drafting expected or intended outputs and outcomes need to take into account both assumptions and risk. A continuous process of refining and adjusting expected outcomes is a defining characteristic of managing capacity development projects. Desired outcomes are by all means to be targeted and aimed for and all effort must be made to continue to pursue them as long as they fit with the overall rationale of the project and serve the goal well. Constant readjustment informed by monitoring and evaluation would enable that. Capacity development is not a linear process. A degree of flexibility is also required when certain outcomes are no longer feasible or when new ones emerge as an unforeseen opportunity.

**REMEMBER THIS:**

Setting the guiding principles of a capacity development initiative and its goals and objectives is about working with people, doing activities and allocating resources to achieve the acquisition of learning at individual and organizational level, which enable changes in the way people or organizations do things because they have applied their learning and result in the improvement or increase in the ability to do something. Ultimately this will result in changing people's lives and circumstances within the established framework for change.

## You Know You Are Successful When...

- The needs of local stakeholders remain the priority when setting a goal and objectives thereby supporting them in their own processes of change.
- Stakeholders agree on and affirm their commitment to achieving such a goal and objectives.
- The objectives are precise in what they set out to accomplish.
- The objectives are measurable to the extent of spurring motivation and commitment and when stakeholders and involved parties get a sense of progress during the project and gain satisfaction of seeing results of change and not just inputs.
- The objectives are formulated as outputs and outcomes rather than a set of activities or inputs.

## Examples of Good Practice

Capacity development, learning and change are all very closely linked. Some of the more recent approaches to capacity development have a strong focus on learning and change as guiding principles and therefore questions asked when developing the goal and objectives are phrased slightly differently:

- Who needs to learn at individual, organizational and sector level?
- What do they need to learn about in order to achieve the desired change?
- To what higher-level goals will this learning contribute?

For the World Bank, a well-specified program development objective is one that:

- Describes the effects that the changes in the targeted capacity factors are envisioned to have on the beneficiary individuals, organization, or community;
- Is measurable;
- Is attainable through learning outcomes;
- Is set so that the agents of change can influence its achievement.

In addition the objective must establish the strategic positioning of the capacity development program in relation to the broader development goals; and describe the indicators to be used to measure achievement.

## CASE STUDY

### West Africa Disaster Management Capacity Building Project (WADMCB)

The overall development goal of the West Africa Disaster Management Capacity Building project was to reduce loss of human life, reduce injuries and the vulnerability of the population, and minimize material losses and damages on the environment as a consequence of accidents as well as natural and man-made disasters.

The project objective was to improve and strengthen National Red Cross Societies' Disaster Management capacity in mitigation, disaster preparedness and response activities. This entailed a number of components, of which strengthening disaster management-structures, strengthening the capacity of staff and volunteers as well as a more developed cross-border, and cross-organization cooperation were important.

The expected project results included:

1. Improved national relations and cooperation.
2. Strengthened and more comprehensive policies, structure and strategies.
3. Functional mechanisms for disaster response.
4. Developed monitoring and early warning systems.
5. More developed logistics systems.
6. Developed contingency planning.

The project started with a meeting at the IFRC Regional Delegation in Dakar in order to determine the focal problem areas concerning Disaster Management (DM) in the West African region. At the meeting representatives from SRC, IFRC and SRSA (predecessor of MSB) attended. The initiative to the project was discussed and problem areas were spelled out. The DM office at the regional delegation had prior to the meeting made a report on the current status of the DM handled by the RC/RC movement in the region. By examining and discussing the problem areas, and at the same time considering where SRSA could be a "gap-filler", a number of potential, overriding, work areas were identified. Another result from the meeting in Dakar was that a working group was established with representatives from the IFRC-zonal offices in Dakar, the IFRC Sub-zonal office in Lagos, IFRC Sierra Leone Country Delegation, Swedish Red Cross and Swedish Rescue Services Agency. The working group was responsible for developing the project proposal within the regional DM strategy framework linking it to the other regional initiatives. During the first WG meeting three countries were nominated and selected to participate in the project, Sierra Leone, Liberia and Nigeria. The WG-members from SRC and IFRC were the ones responsible for the selection and they considered factors such as language barriers, earlier established relations, etc.

To introduce the project to concerned countries, SRSA and SRC were invited to a West Coast Sub-Regional group meeting where all countries on the coast of West Africa participated. At this meeting the project proposal was introduced and the NS leadership endorsed the project and agreed with the modus operandi. Thereafter the specific needs in the countries chosen for the project were assessed. Guidelines for assessing the needs according to the LFA-method was developed and distributed, followed by an assessment/field trip to each country. During the field trip the overall situation in the country was assessed and the workshops were held to discuss and develop problem trees and LFA-matrices. The matrices were later transformed into one overriding matrix for the whole project. The log frame was endorsed in the project steering group. The proposed project was also presented in IFRC's West Coast Group, albeit not in a very detailed log frame level.

What was significant and unique about the inception stage of the project was that there was plenty of time to develop goals and objectives. This allowed for IFRC's "Well Prepared National Society" (WPNS) self-assessment tool to be used in the process. The WPNS helps national societies recognize, prioritize, and plan activities to improve their capacity for disaster management. This tool was used twice, once at the start of the project in 2008 in order to determine the DM capacity of the participating organizations and again at the end of the project in 2011 in order to relate the progress and results of the project to the findings in 2008.

The project activities were in the beginning implemented in a sequential manner. It then became increasingly process oriented where the different result areas were worked on in parallel due to better understanding of their interdependencies.

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One important criterion in determining the goal and objectives was the cross-border dimension. By working with three national societies in the region, the return from each activity would be greater. The goals and objectives were deemed suitable if they addressed problems that were shared by all three participating countries and ultimately the same goals and objectives applied to all countries. When analyzing the priorities for each country in the LFA process, the common denominators were identified and pulled together and formed the rationale for the development of the goal and set of objectives.

The long-term impact was hard to determine at the start and some of the objectives were difficult to measure during the course of the project, thus presenting a challenge to balancing short-term and immediate results with long-term impact. In relation to the overall development goal, it would be interesting and of importance to carry out an assessment now, several years after the completion of the project, in order to determine to what extent the project increased the capacity over time and whether that capacity also related to an all-hazard approach. This is especially relevant after the Ebola crisis and it would be very interesting to find out to what extent this project contributed to the national societies' capacity to manage the Ebola response. A project evaluation was undertaken towards the end of the project, but we still know little of how sustainable the results were.

The outcomes/results were SMART, but it was not realistic that the project would achieve them in the time given for project implementation. In order to address this problem, the project period was extended and once again the donor's flexibility proved very important in providing preconditions for a more successful outcome. In the extended time frame, the goals and objectives proved to be more realistic.

On the overall, the goals and objectives served the project well but also needed to be amended at output/result level during the course of the project. Sida, who provided the funding for the project, was flexible and did not object to expected outputs being reviewed and amended. Other donors may have not allowed such flexibility. The development objective and project objectives remained the same throughout.

An important overall learning was that the national societies that participated in the project should have been involved to a greater extent from the start. They got increasingly involved and engaged and thereby also assumed greater ownership. They were consulted and listened to, but their involvement in developing the goals and objectives could have been stronger. On the other hand, in this collaboration the model of them gradually assuming greater responsibilities and become stronger owners of the project as a whole proved successful. Their capacities were incrementally developed over time, and thereby they were able to take on more responsibilities in the end than at the start of the project. The relationship between developing objectives and existing capacity is an important aspect to consider. Another lesson from the WADMCB project was that cross-cutting issues such as gender and environment were not sufficiently included in the planning stages and when setting the objectives and the original LFA. However, to counter this, a gender analysis was conducted at a later stage with the partners and the subsequent recommendations led to changes in the project set up. MSB supported the project with expertise in gender and the National Societies developed their own gender action plans. A gender focal point system was established at the National Societies and selected individuals were given training, which they applied in project deliverables. In the end this led to the development of gender responsive tools and products for: contingency planning, early warning systems, training and facilitation, awareness raising campaigns and disaster management policy.

## Resources

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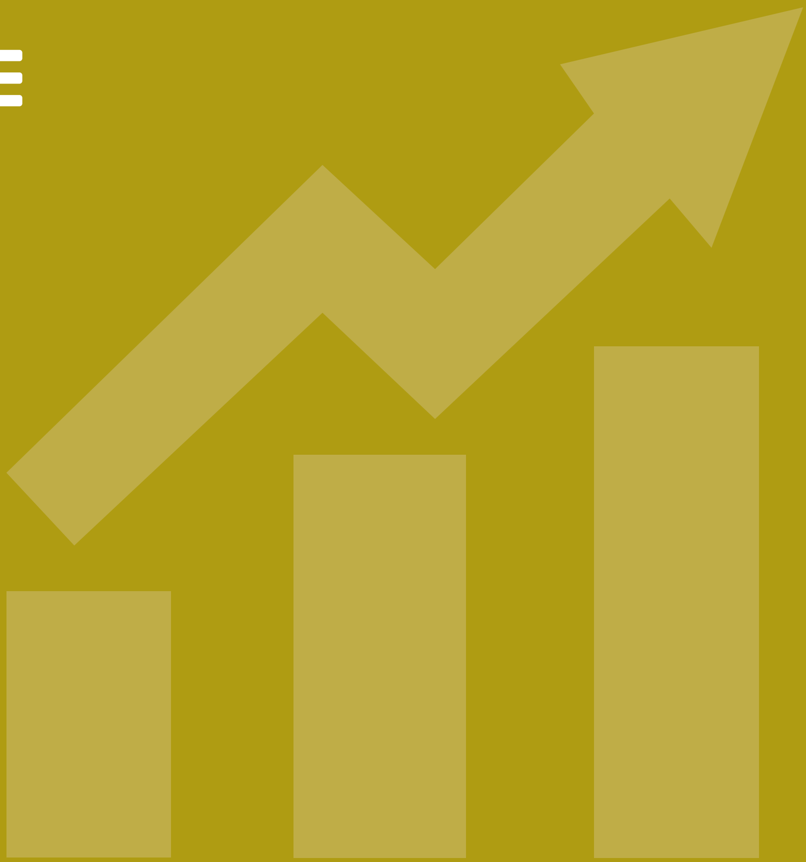

CHAPTER 3

# Capacity and Needs Assessment




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# Capacity and Needs Assessment

## Overview

The starting point of any capacity development planning process is assessing existing capacity. For any given context that means starting with the initial definition of capacity, in response to the question '*Capacity for What*?' which is then considered at the different levels. Individual, organizational (network/sector) levels are framed in terms of performance and results, and at the institutional level in terms of conditions, but there may be overlap between these categories. Any assessment process has to start with understanding what capacity is needed for. Appropriate assessment of existing capacity and capacity needs can only be made when these background factors are clear and understood. Some of this information might have come out of stakeholder mapping and incentives analysis exercises. Most of the information on 'capacity for what' will need to be extracted in this specific assessment stage. Current capacity needs to be thoroughly understood, because if it is not, there is little chance of the program succeeding, no matter what resources are available.

This chapter will take you through a step-by-step process of how capacity assessment is carried out, what to watch out for and take into consideration along with some useful hints and tips. The aim isn't to enable you to carry out a capacity assessment single-handed. This is never the case. Capacity assessment is a process that involves multiple stakeholders. The aim of this chapter is to enable you to manage such a process with enough knowledge and understanding of what is involved in each level and part of the assessment, and to make decisions and informed judgment on approach and method choice for example.

## Critical Questions

Like all the other processes in this guide, undertaking a capacity and needs assessment starts with asking a number of critical questions. You have by now understood that this constitutes the preparatory stage before launching into any task. This is as important as the task itself and investing time in planning and being on top of the answers to these questions pays off in terms of accuracy and credibility of the process that follows. Setting up and planning for a capacity and needs assessment starts with the following set of questions. You only need preliminary answers at this stage or kick start a thinking process. Firming up what each question entails will be a separate task and step that follows the initial discussion to find answers to the questions:

1. Is an assessment needed in the first place and at what level of depth or detail? *Take note of previous assessments or more recent ones and be informed by it. There is no need to repeat or replicate what might be valid and relevant. Try to build on and complement available knowledge.*
2. Who should do the assessment? *This is a contextual examination of who should lead and who should be involved in undertaking and informing the assessment and more importantly why. Ideally the assessment should be owned and driven by a local institute, but if no such institute even has the capacity and the technical knowhow to carry it forward, then guidance and mentoring becomes a big part of your role.*
3. How do you frame the assessment first? *A definition of capacity and any capacity development approach, clarity about the purpose of the assessment, and clarity about the mandate of the entity to be assessed.*

4. What will you need to assess? *Levels of capacity, types of capacity, themes of application and cross-cutting issues.*
5. How will you choose an assessment framework and tools? *Will it be Incremental or Gap Analysis approach?*

***Watch out for these well known pitfalls:***

- Not getting a clear agreement between stakeholders on why the capacity assessment is done.
- Not defining or framing capacity prior to and launching straight into the assessment.
- Not involving all the key stakeholders whose performance is central to the achievement of the wider objectives of the project.
- Not giving sufficient attention to the political and power dimensions of the organization(s).
- Not taking into account previous, parallel or planned capacity assessment processes.
- Not considering stakeholders' priorities in the capacity assessment.
- Choosing an inadequate or inappropriate assessment approach and framework.
- Not considering and covering all the levels and types of capacity in the assessment.

## Tools and Practical Steps

For you to determine whether there is sufficient capacity to achieve agreed upon development goals it is important to understand existing capacities and capacity needs within the specific context. To be able to begin the capacity assessment process, you need first to secure agreement on common and mutually understood goals among the relevant stakeholders, which was covered in Chapter 2. These need to stay as guidance for the capacity and needs assessment process. The methodology you choose for the capacity assessment should also facilitate the engagement and involvement of various stakeholders across functional, administrative and geographical borders (multi-stakeholder) and include previous capacity assessments (multi-analysis). A capacity and needs assessment could be broken down into five steps.

### Step 1: Decide on Who Should Do the Assessment

1.1 There are three different options for who should lead an assessment process each with its pros and cons. How you decide which one is best for the context you work in is a matter of judgment, consultation, learning from previous experience and there are hard and fast rules for such a decision. Take your time in this step because not only is it critical, it can determine the entire course of the project.

- Local and international actors who are involved in the development focus area, but who are external to the development program, take the lead and assess the capacity of the organization(s) involved.
- Lead by the external partner (e.g. MSB if it is the lead organization), whether done by in-house staff and/or including assessment experts/consultants.

- Self-assessment by and of the focal organization(s) of the development program. Self-assessment has not been a common practice so far but may well be in the future. It may also need a facilitating entity or organization to generate a more holistic approach and reinforce dialogue between local stakeholders and development partners.

1.2 Remember that it is critical when deciding which approach to take, and when deciding who should do the assessment, is that key stakeholders will only accept findings if they are appropriately involved in the process. Therefore, while the outcomes might appear to be more objective if the assessment is done by external parties, it is important that core activities are done by relevant stakeholders or at least that the results are thoroughly agreed with relevant stakeholders for example through assessment validation workshops. Critically this means that the assessment team should plan for enough time to involve the relevant stakeholders in the design and implementation of the assessment.

1.3 For the actual assessment start with a small group and expand over the assessment period to involve other stakeholders as required and over time. Remember that it is not necessary to involve all stakeholders all of the time. The team doing the assessment may be made up of local managers and staff, international and national consultants, each taking on different tasks and contributions through steps of design, implementation, and analysis and reporting. Participants are stakeholders who actually contribute information and opinions to the assessment. And most importantly try to find ways and means to reach less powerful stakeholders and those that may be hard to reach.

### Step 2: Frame the Capacity Assessment Process

2.1 Before you begin the capacity assessment process there are a few important prerequisites to ensure that the capacity assessment goals are met. It is imperative that all stakeholders have a common understanding of capacity and the capacity development framework that is being applied in the particular context under consideration. This may require you to carry out orientation and familiarization workshops and meetings until clarity and agreement are reached.

1. Check and agree a common understanding of capacity and capacity development framework.
2. Validate the development goal you already set.
3. Clarify the purpose of the assessment.
4. Develop an understanding of the mandate of the entity/organization(s) to be assessed.
5. Assess the readiness for change in the entity/organization(s).

2.2 You need to validate the development goal (refer to Chapter 2) that is being set by all the relevant stakeholders. This will inform the purpose of the assessment and the reason particular capacities are required. When working with organizations to achieve the development goal an understanding of their mandate to achieve the goal is critical, therefore establishing a better awareness of who the suitable partners are and should be and whether they are able to meet the objectives of the program. Although certain stakeholders might be essential to achieving the development goal in the context, if there is insufficient willingness to change or adapt, then this could be a significant barrier to the program. Therefore, it is important that all relevant stakeholders are in agreement that there is a need for the assessment and subsequent capacity development if required.

2.3 Remember that in most contexts factors in the enabling environment (at sub-national level as well as national level) are more important than any technical consideration for facilitating or blocking any initiative. You need to make this central to the assessment and not just focus on organizations' technical skills and operations. This will become clearer in the tools and forms introduced below and how to reflect that in the actual assessment.

### Step 3: Determine What to Assess

3.1 Having established a more substantial understanding of the context, a common language around capacity and capacity development, who the relevant stakeholders are, the purpose of the capacity assessment exercise and achieved clarity on the program goal, you can now consolidate an approach to the capacity assessment process.

3.2 Prior to commencing the actual assessment you need to clarify whether various organizations' mandates are clear, perhaps defined by law or in their mission statements. This can be the starting point for assessing current capacity and future needs. Where the mandates are not clear it will be harder to assess those issues and it could, in fact, represent a capacity need in its own right.

3.3 The core concept of capacity can help you organize how you map out what to assess.

- Think about the levels of capacity at all levels of the system.
- It is essential to zoom in and out, understanding the context, the institutional frameworks, sector specific organizations and individuals.
- At this stage, remember that it is not easy to exert influence on institutional frameworks, but it is important to be aware of the ways in which they affect the program in order to be able to make an assessment of the feasibility and the risks of the project or program.

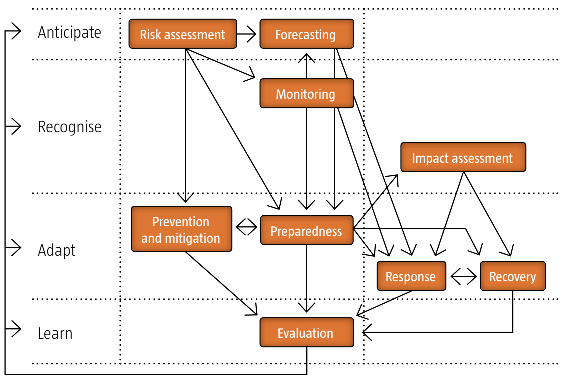
3.4 Distinguish between hard capacities, such as technical skills, structures etc. and soft capacities including, power distribution, incentives and sanctions, leadership, values and beliefs.

3.5 Decide what themes of application are important by reflecting back on the agreed capacity development approach to understand which areas to prioritize in the assessment process.

- Themes for the capacity development approach could include: increasing human capacity; improving current systems and procedures; establishing more transparent knowledge management processes or strengthening governance structures – refer to Step 2 in Chapter 1.

3.6 Make sure that cross-cutting themes are included in the framework for assessment, especially gender or environmental specific issues.

**Figure 8.**




*Source: Designing Capacity Development for Disaster Risk Management – MSB503*

## Step 4: Choose an Appropriate Assessment Approach

4.1 To choose an approach to assessing capacity you can start with deciding which of the following two basic questions should guide the assessment. The choice between these questions will then determine how the capacity assessment is conducted.

- What capacity is already in place? Or
- How should it be and what is missing?

4.2 **The Incremental Approach** – and the response to the first question – identifies existing capacity, as the most appropriate entry point.

- Use the established capacities as the foundation for moving forward. This approach has a more positive feel to it as it has an affirmative staring point. It is also a useful way to involve targeted stakeholders in participatory self-assessment.
- The process defines needs as realistic steps that will move the organization forward in the right direction, rather than aiming for ambitious, high-level capacity targets which might be difficult to achieve.
- It is a more flexible approach as it allows key stakeholders to define what they consider to be important for the context, including soft capacities and their role and importance in the overall analysis.
- However, it is important to note that this is not a one-off but a progressive process where you come back and redo or add to it which is different from the gap analysis, outlined below, which is usually carried out once.
- The weakness of this approach is that the stakeholders might not have the appropriate technical knowledge or other information necessary to frame their next capacity steps in a meaningful way.

4.3 **The Gap Analysis** – and the response to the second question – this approach is more about analyzing the gaps in the existing capacities, therefore focusing more on how it should be in an ideal world.

- The approach looks at where organizations are now and where they need to be. This then exposes the difference between the two as the missing 'gap' in capacity and helps to define what capacities are needed.

- This approach is often based on externally defined criteria for full and effective functioning of the organization or sector according to its mandate.
- Its major weaknesses include the fact that the assessors tend not to recognize or value existing capacity sufficiently well to use it as a starting point for new initiatives. As this approach is often implemented by external parties, the statement of the ideal goal is often too ambitious, therefore it is difficult to set realistic goals and objectives for moving forward. This also means that people involved the assessment process do not have sufficient say in the design of the assessment criteria and therefore have insufficient ownership of the outputs.
- There is sometimes a tendency for this approach to focus on hard capacities, with little attention to essential soft capacities.

4.4 The question which approach is better or which one might be recommended to use is irrelevant. Neither of them is better in absolute terms or else one would have been written off and discarded from the literature. The more relevant question you need to ask is which one is more appropriate for the context you are dealing with. For example, if hard capacities are the main focus with expected tangible results in relatively short periods of time, if the overall goal of the capacity development initiative is to get an organization to meet its operational targets, and if most of this relies on internal factors with minimal impact from the enabling environment; then a gap analysis might be appropriate. If on the other hand, the capacity development initiative is a means to other ends such as building bridges and creating a dialogue across an entire sector for furthering partnerships, then an incremental approach would serve the purpose here. In short, this is a decision that you need to subject to some scrutiny and match to the overall aim of the initiative, expected results, and the unique configuration of the context in cultural, political and institutional terms.

### Step 5: Choosing and Applying Assessment Tools

This part of the guide will introduce first a basic assessment checklist, which you will need to satisfy before embarking on the actual assessment, and two detailed standard tools for assessment. The first was developed by the European Commission and the second is the Well Prepared National Society kit developed by the Red Cross and Red Crescent Movement. It is important that you see these as examples, which you will need to adapt and modify or even alter completely to the context you are working in. They are not a blue print but could work as a template to start from, mix and match, develop a whole new one from parts of each, and of course add your own and unique assessment categories that the project or initiative would require.

There is also an iterative process between choosing the assessment method and the tools to be applied in that method (e.g. questionnaires, key informant interviews at management and/or technical level, workshop based assessment, focus groups, etc.) You will need to think about the feasibility, validity, and reliability of the tools in the context you are working in, which ones would work best, and which assessment method requires these tools. In other words, it is a balance between choosing the appropriate method and the tools required for it because the results of the assessment will depend on the quality of the data and information gathered in the process.

## Process Checklist for Assessment of Capacity

| PROCESS ASPECT | ACTIONS/COMMENTS |
|---|---|
| **Purpose of dialogue/assessment**<br>• The purpose of the dialogue and assessment is specific and clear<br>• Purpose has been agreed with stakeholders<br>• A clear ranking has been agreed if there are multiple purposes of the dialogue/assessment<br>• Ownership and leadership of the process are adequate considering the purpose<br>• Key stakeholders have had explicit opportunity to decline the proposal for a dialogue/assessment | |
| **Desired Results of the dialogue/assessment**<br>• Results and outcomes are relevantly defined, e.g. in terms of reports, action plans, decisions, commitment<br>• Expected results have been agreed with stakeholders | |
| **Design**<br>• Key stakeholders have been fully involved in the design process in a timely manner<br>• Participation of staff/stakeholders at relevant levels has been discussed and agreed to in detail<br>• Key stakeholders will perform adequate roles in the process underlining their leadership/ownership<br>• Possible consultant/facilitation assistance has been actively endorsed by key partners | |
| **Implementation**<br>• An appreciative atmosphere is likely to prevail<br>• Sensitive matters are likely to be dealt with appropriately<br>• Possible conflicts or frustrations during the process can be reasonably resolved<br>• The process is likely to end with a broad sense of positive achievement among participants | |

## EuropeAid Toolkit Capacity Scanning Matrix

| CAPACITY AREA/FACTORS | PRESENT LEVEL OF DEVELOPMENT* | KEY STRENGTHS TO BUILD ON OR STRENGTHEN | KEY WEAKNESSES TO ADDRESS OR, IF BEYOND INFLUENCE, TO APPRECIATE | NOTES |
|---|---|---|---|---|
| **A. The context or operating environment**<br>• Effectiveness and adequacy of legal/regulatory/broader policy framework<br>• Oversight and supervision, pressure for accountability<br>• Pressure for performance from citizens/customers/political leaders/competitors<br>• Effectiveness of formal and informal networks and connections<br>• Overall public sector incentives, reforms<br>• Other | | | | |
| **B. Clarity of results, mandate, and purpose**<br>• Quality, quantity and relevance of products/services<br>• Achievement of past targets<br>• Contribution to desired outcomes and impact<br>• Other | | | | |
| **C. Adequacy of Resources**<br>• Match between objectives, mandate, and resources<br>• Predictability of resource envelope<br>• Match between funds for salaries, operational costs and investments<br>• Ability to recruit staff with adequate skills/experience<br>• Other<br>**D. Organization, Management and Infrastructure**<br>• Clarity of and compliance with strategies<br>• Structures ensuring balance between specialization and coordination<br>• Systems and processes adequately ensuring efficiency<br>• Communication and information sharing flowing in and between units<br>• Other | | | | |

*Use grading scale (1–5) where 1=low and 5=high. Mark trend over the last period using arrows to indicate whether the situation has improved (🡅), deteriorated (🡇) or remained stable (–).*

*Source: EuropeAid (2010), Toolkit for Capacity Development, Tools and Methods Series, Reference Document No. 6, European Commission.*

RCRC Well Prepared National Society Capacity Assessment Matrix

## RCRC Well-prepared National Society Capacity Assessment Matrix

**A. EMERGENCY PREPAREDNESS, POLICY, PLANS AND LAWS**

**Policy**

| | | |
|---|---|---|
| A.1 | | Are Red Cross and Red Crescent Movement policies and guidelines effectively used in your National Society's activities?<br>☐ Yes<br>☐ No |
| A.2 | | Does the National Society have emergency response security guidelines for staff and volunteers, which is context specific and supported by management systems and training?<br>☐ Yes<br>☐ No |
| A.3 | | Does your National Society's governing board have a disaster committee that oversees your Society's policy/plan development and implementation?<br>☐ Yes<br>☐ No |
| A.4 | If yes, | Does your National Society have an emergency preparedness policy (this may also be called a disaster preparedness and response policy) which reflects its role in full compliance of its legal base and bylaws?<br>☐ Yes<br>☐ No |
| | A.4.1 | Indicate the areas that are included in your National Society's emergency preparedness and emergency response (EP/ER) Policy:<br>☐ Emergency Preparedness – for your society's response<br>☐ Emergency Preparedness – community-based disaster preparedness and risk reduction<br>☐ Intervention during disasters<br>☐ Recovery after disasters<br>☐ Rehabilitation<br>☐ Conflict management<br>☐ Requesting/accepting assistance from IFRC/other national societies/other bodies<br>☐ Advocacy<br>Others: |

*Source: The questions in the matrix are developed from the source: International Federation of Red Cross and Red Crescent Societies. (2005). Well-prepared National Society – self-assessment 2002-2004.*

**REMEMBER THIS:**

Capacity assessment is a vital step in the capacity development process. If current capacity needs are not thoroughly understood there is little chance of the program succeeding, no matter what resources are available.

## You Know You Are Successful When...

- You have established ways to include all the relevant stakeholders appropriately in the assessment process.
- You understand the political and power dimensions of the organization(s), in addition to the rational, functional dimensions.
- You have mapped previous, parallel or planned capacity assessment into the current assessment process.
- The process is not too onerous for the individuals to contribute towards, especially considering other priorities and tasks.
- The feedback from the assessment feeds into the decision-making processes for the on-going development of the program.
- The assessment has enough substance to establish useful conclusions,

which are substantiated by facts, figures and arguments.

## Examples of Good Practice

An example of a toolkit to use for establishing what to assess within an organization's capacity is the European Commission Toolkit.

It is broken down into a check list for organizational assessment which covers areas including: outputs of the organization, inputs and resources, leadership, motivation/incentives, balance between functional and political dimensions, fit between formal and informal organizations and networking capacity.

Each checkpoint is broken down into statements including: cover, cover in detail, do not cover and notes. The level of assessment will be guided by the capacity development framework, which will establish the relative relevance of each capacity to the overall program goal.

There is a variety of tools to use for capacity assessment but remember that they are not one size fits all and should be adapted to each specific context.

### GENDER AND CAPACITY ASSESSMENTS

MSB has experience in assessing capacities relevant to gender mainstreaming. For example, gender information has been gathered using secondary data on the enabling environment. For example, legislation relevant to gender equality, data on gender norms regarding decision-making or gender-based violence. At the organizational level data gathering included dialogues or questionnaires on policies, work processes, and partnerships. At the individual level the focus was mainly on knowledge of gender issues. For a project on DRM in Mozambique MSB started gathering information in a questionnaire on relevant policies in the partner organization, positions/expertise in gender in the organization and previous and current experiences of working with gender mainstreaming in DRM. The information received facilitated the dialogue on gender mainstreaming and allocated resources to work with and build on existing efforts. For a capacity development project in Sudan with the Swedish Red Cross, IFRC and the Sudanese Red Crescent Society, MSB included questions related to gender and diversity in the initial scoping study. In the implementation phase MSB validated and built on a previous IFRC gender questionnaire for the national society, which covered questions to determine to what extent gender and diversity issues were mainstreamed into planning and programming.

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### CASE STUDY 1:

#### Strengthening Government Emergency Preparedness and Response Capacity in World Food Programme Region for East and Central Africa

MSB has supported WFP East Africa in "Enhancing WFP country office capacity to share and transfer core emergency preparedness functions to government counterparts". While there were corporate strategies for capacity strengthening of government counterparts available within WFP, the country offices lacked tools, internal organization and a coherent approach for how to strengthen government counterparts across different technical fields.

The project has involved the regional WFP office in Nairobi as well as three country offices (COs). While WFP is still by far and large a humanitarian organization, it is now focusing more on development oriented work in food security and turned to MSB to tap into MSB's experiences to transition from a service provider to an enabler of capacity strengthening.

The project was all about supporting working methods for capacity development and it was a deliberate choice to try to use best practice for the project itself, including starting with a capacity assessment.

Initially the idea of doing a capacity assessment was met with challenges due to negative experiences of previous assessments and expected cost in terms of staff time and resources. WFP had struggled with its own methodology for external capacity assessments in preparedness there were no examples of internal assessments. There was a comprehensive WFP methodology for assessment of governments' capacity in food security but previous attempts of using this methodology had not been very successful.

At the start of the project only the regional office was engaged. The main beneficiaries, the country offices, had been tied up in response operations. The most important element in designing the capacity assessment was therefore to get the country offices involved without drawing resources from the organization. The ideal approach would have been a participatory assessment, but because of the resource constraints the project opted for an external expert to carry out the assessment. The report results were instead validated and used by country office staff to plan activities during two project design workshops moderated by MSB.

The first question in designing the methodology was "capacity for what?" The project started from the stated objectives in the project's original document and this led to structuring the assessment results into three categories: individual level, organizational level and enabling environment level. In this way the assessment results could be fed directly into the design of activities, which used the same structure. Another key question for the mapping was, "What do national counterparts expect from the WFP country offices in terms of support?" This question remained largely unanswered from the counterpart's side as the assessment failed to get their participation, probably because they were not approached face to face as well as widespread assessment fatigue.

The assessment method was negotiated between MSB, WFP and the external expert and documented in a design memo beforehand. The assessment used a mix of three methods to acquire data, on-line questionnaires, questionnaires distributed at workshops, and semi-structured interviews. While the on-line questionnaire failed to get enough replies the other two methods gave enough data to draw valid conclusions. The process took about eight weeks and the total work time spent was approximately four working weeks, including the external expert days but not the design workshops. There has not been a re-assessment of capacities using the same methodology during the project but there has been a mid-term results review covering the same areas.

Summing it up the assessment process was largely successful in uncovering the important capacity gaps and in engaging key staff in the country offices. To better engage the government counterparts would have required establishing this partnership prior to the assessment and framing it into other cooperation activities. The conclusions of the assessment have been proven valid in later reviews and it has given credibility to communication towards management levels within WFP. An indicator of success was that the results1 have been carried into the design of project activities.

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1. The following documents are available on demand: An assessment design memo, Assessment Concept Note and Methodology, Capacity Assessment and Mapping Report.

### CASE STUDY 2:

#### Capacity Strengthening of the Sudanese Red Crescent Society in Disaster Risk Management in Sudan

The Swedish Civil Contingencies Agency (MSB) and the Swedish Red Cross (SRC) have been cooperating with the Sudanese Red Crescent Society (SRCS), since February 2016, with the intention to support SRCS in the development of their capacities in strategic Disaster Risk Management (DRM).

Before the project was initiated, a scoping study was carried out to clarify the current DRM interest, needs and capacity of the SRCS. The study was conducted through four days of interviews in Khartoum of SRCS and SRC staff, national authority representatives and staff from different UN agencies, followed by two weeks of desk studies in Sweden, and a day for follow-up distant interviews. The scoping study briefly reviewed the enabling external environment; the SRCS organizational preconditions; personal, financial, and technical resources as well as current partnerships between SRCS and relevant actors.

The review of the enabling environment looked at national legislation, policies, plans and strategies of relevance for DRM; mandates of relevant DRM actors at regional, national, federal and local levels as well as existing coordination mechanisms and interaction platforms for the actors; legal and organizational preparedness to receive and cooperate with international actors in Sudan; as well as the Government of Sudan's past experiences and consistency in management during humanitarian events including identification of gaps related to risk reduction, preparedness and response actions.

The review of SRCS's organizational preconditions looked at SRCS's mandate (as outlined in the Sudanese Red Crescent Society Act of 2010) and its auxiliary role within the Sudanese DM system; its organizational set-up; strengths and weaknesses within its organizational structure and knowledge management system, the relationship between SRCS headquarters and the branches, the ability of SRCS to act proactively according to own set objectives rather than being reactive and adapting to external partners' objectives; SRCS's function during emergencies; their quality standards and accountability and how they allocate funding for their activities.

The review of the SRCS's resources looked at staffing resources in terms of regular employees at the different departments in HQ and in the branches, volunteers, and different resource pools such as Disaster Response Teams and Emergency Action Teams; as well as briefly assessing existing DRM technical capacities on an institutional level, response capacity, capacity development needs and the potentials to enhance current capacities. The review also estimated SRCS's financial resources, information storage facilities, logistical facilities and prepositioned stock.

The review of SRCS's partnerships within DRM included looking at SRCS's partnerships with international as well as national DRM actors, considering the different functions of the partners and possible overlaps in responsibilities, as well as to what extent SRCS's has access to relevant networks, guidelines, tools, technical expertise finances and logistics.

Over all, the scoping study did confirm the feasibility of collaboration between SRC and MSB in strengthening SRCS's DRM capacity, where the feasibility was based on the premise that there was; an apparent acknowledgement of the SRCS about its own shortages and a clear willingness to strengthen its organization's performance. However, due to the fact that the scoping study was carried out during a relatively short period of time with limited possibilities to achieve a reasonable depth, the recommendation was that the full SRC-MSB-SRCS project should be preceded by a preparatory phase allowing for further assessments while achieving a first level of increase in DRM capacities within SRCS. The preparatory phase also means that much of the groundwork for the full project will be laid prior to its commencement.

The project was thus designed so that the expected outputs after the first preparatory 18 months would be that; the SRCS (at HQ and in branches) and relevant partners shall have obtained a common DRM vocabulary, an increased knowledge in DRM and ability to monitor work progress, as well as a SRCS Strategy for DRM and Climate Change Adaptation (CCA) shall have been developed, while assessments of capacities, vulnerabilities and needs will have been undertaken in support of the development of a full project proposal. The expected outcomes were that "SRCS's DRR and CCA capacity is strengthened including incorporation of gender, diversity and environmental aspects, as well as SRCS is prepared for the implementation of a capacity development plan 2017–2020 within DRR and CCA".

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During the ongoing preparatory phase a needs assessment is currently being carried out identifying the main needs within the forthcoming project. The needs assessment is underpinned by a needs assessment framework specifying methodology and approach, and is undertaken through field based focus group meetings with key senior SRCS managers from headquarters and from branches. In order to determine SRCS's ability to satisfy the overall goal and objective of the full project the "Well-Prepared National Society" questionnaire will be used as a tool, adapted to incorporate disaster risk reduction. A stakeholder analysis will thereafter be conducted, as well as a SWOT and a Gap Analysis. In order to identify the different elements of needs necessary to fulfill the project objective, Problem Tree and Solution Tree tools are to be used. Lastly, a brief evaluation of the needs assessment process will be done to determine if anything significant has been missed.

Subsequently to the needs assessment a capacity assessment will be undertaken to identify current DRR capacities in the SRCS – at the organizational and individual level – as well as to interpret the effectiveness of the enabling environment. Further, the capacity assessment will examine DRR capacities in the SRCS in relation to levels of knowledge, the institutional arrangements for implementing DRR, the leadership structure and the arrangements for monitoring, evaluation and accountability. Needs and gaps will ultimately be identified as well as any challenges to the future development of DRR capacity until 2020.

These assessments are applied to DRM needs and capacities specifically, rather than to the general needs and capacities of the SRCS. Both the capacity and needs assessments will provide data for development of the full four-year project. The needs assessment, in particular, will provide the input for developing the project log frame and baseline while the capacity assessment can provide additional information on focus areas for individual and organizational capacity development.

Ultimately, a pilot vulnerability and capacity assessment (VCA) at branch level will be undertaken using the IFRC VCA methodology, including the most recent iteration incorporating CCA, conducting a vulnerability and capacity assessment (or two) in one or two target states to lay methodological foundations for implementing the forthcoming four-year project. The VCA is central to the potential objective of the full project – to capacitate SRCS volunteers with tools to interact with communities on developing DRR and CCA actions and strengthening resilience. Lessons learned from the conduct of the VCA can be built into the full project to inform further VCA activity that will be undertaken as part of project implementation.

## Resources

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CHAPTER 4

# Stakeholder Mapping

# Stakeholder Mapping

## Overview

Capacity development is not a solitary venture, and no one can act alone to either start or sustain capacity development projects or initiatives. Whatever the needs or level, many stakeholders will need to be engaged to support action. Understanding who the stakeholders are, their interests, and how to engage them is one of the important first steps in developing a capacity development strategy or intervention. This understanding is integral to understanding both the specific context and the general institutional environment (i.e. Contextualization). This part of the guide covers methods of stakeholder mapping, finding out who they are and understanding the dynamics between them. The chapter covers how to get started on mapping stakeholders with guidance on a credible method.

Mapping stakeholders is useful, but only once you understood the purpose of working with stakeholders in situations, which are potentially complex, uncertain, and conflicting and carry multiple inter-dependencies. Stakeholder mapping must be carried out with a specific purpose in mind and fit within the desired outcomes of a project. This chapter illustrates how to use stakeholder mapping for a specific purpose, i.e. mapping stakeholders as a first step to understand opportunities as well as barriers of implementation of capacity development initiatives.

Through the building of network maps, individuals and groups can clarify their own views of a situation, discuss hands-on interventions, develop strategic and concerted approaches to answer to specific challenges and learn from each other. These maps can be used to identify drivers of change and possible conflicts of interest, or power struggles.

## Critical Questions

Stakeholder mapping is probably one of the processes in capacity development that requires a lot more preparation in advance than any of the other tasks. You need a lot of clarity before even setting it up some of which will be outlined below in the structuring of the pre-requisite steps. There is a set of questions that core project partners will need to address, the answers to which will guide the mapping exercise:

1. What is the main issue that the capacity development initiative is dealing with? Define and frame the main purpose of capacity development or "Why capacity development?"
2. What complex connections and interactions between stakeholders do you want to know more about and how that would impact the capacity development processes? A preliminary or initial idea of the dynamics between stakeholders, which you might already know or can glean from key informants.
3. How will stakeholder mapping feed into ownership, building partnerships and creating incentives? Using stakeholder mapping as a means to other ends and not just generating information. Can cross-cutting issues, such as gender and environment, be strengthened through the stakeholder mapping process?

4. What would be the end product of stakeholder mapping in terms of the three key questions to be posed at the onset (What, Who and How)?
   – Clarity about expectations from the exercise.

***Watch out for these well known pitfalls:***

- Rushing the exercise and not getting a clear understanding of who are the stakeholders.
- Not defining or framing the key or central issue of the capacity development initiative.
- Not involving all the key stakeholders or missing a critical or a key stakeholder. Watch out for groups or representative organizations that are often excluded such as women or marginalized groups.
- Not using a clear methodology for the mapping.
- Not giving time and attention to listening to organization(s) you approach for the stakeholders mapping exercise or dominating the exercise with pre-conceived ideas.
- Not taking into account previous, parallel or planned mapping processes.
- Not considering stakeholders' goals, expectations, aspirations or assumptions.
- Avoid stakeholders feeling like they are being used in any way. Make sure that stakeholders' perspectives are taken seriously, kept informed and advised with clarity and transparency.

## Tools and Practical Steps

This first stage of the capacity development process is critical to understanding who needs what capacity to do what and why. The process should enable stakeholders to be frank about these issues and also understand the initial barriers and constraints that might exist in the various levels of capacity.

You can then use the mapping process to identify and analyze who is directly, or indirectly, influenced by or influencing the potential capacity development project, once the objectives have been agreed. If stakeholders are engaged in the right way they will feel more comprehensively included and that their information and knowledge is valid and useful feeding in to the long term success of the program.

There exist a multitude of tools for stakeholder mapping that may be as simple as document templates to be manually filled in with your partner(s), or as complex as IT-tools specifically designed to analyze large datasets or map stakeholders (e.g. VisuaLyzer or UCINet). One comprehensive tool kit is Net-Map that was specifically developed and commonly used to help improve understanding of any situation in which a number of people, groups, and organizations interact to achieve common or conflicting goals. It can be used in various contexts or stages of project development or evolution, and is intended to be an inclusive approach to working with a wide variety of people. Regardless of which method you use or the level of detail required in stakeholder mapping, what is important to take into account is not to neglect investigating power dynamics and influence on the project at hand. Otherwise there is a risk of this becoming merely a list of stakeholders.

Stakeholder mapping as a process follows a number of steps some of which are preparatory, while some deal with the actual mapping exercise. It is safe to say that in this case you could follow these steps in a linear fashion simply because each one builds up to and leads to the following one.

## Step 1: Preparation

1.1 It is important to be clear about the overarching issue that is to be addressed. Once this has been established you need to establish what you want from the actual stakeholder mapping process.

1.2 The tool can be used to establish or support a number of different things and you need to firmly decide which one the initiative deals with or focuses on:

- Do you want to know who can influence the success of a specific project that you are planning?
- Are you interested in a specific conflict and how the network actors prevent or support conflict resolution?
- Are you examining a defined group of people (for example, all members of a working group)
- Or do you simply want to find out who belongs to the network (for example, all those who can influence the course a reform will take)?

1.3 Once you've established the first two points, it is necessary to tailor the framework to your specific needs. To do this you need to be clear about who you would like to be involved in the process, understand the links that you want to examine, explore the meaning of the word influence in the particular context, and what the goals are that you would like to examine.

## Step 2: Pre-test

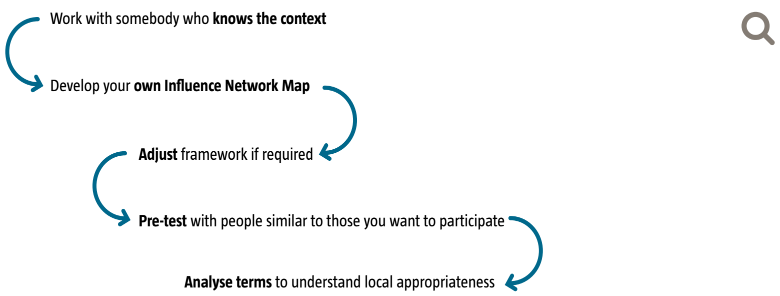
2.1 Before you actually start the process it is worth pre-testing your understanding of the issue to be addressed and the network that you might engage with.

2.2 Work with somebody who knows the context to test the mapping tools and confirm who the stakeholders you are planning to work with.

2.3 You might need to adjust the framework after this exercise and then pre-test the exercise with people who you know who are similar to those you want to participate.

2.4 Make sure that the terms that you are using in the exercise are clearly understood by participants and that you have captured the culturally significant and subtle differences in the meanings that might occur.

**Figure 9.**



### Step 3: Set up Exploratory Interviews

3.1 This next step is significant, as rushing the interviews or being disturbed during the process will have a big impact on the outputs. Allow a minimum of one to two hours per interview.

3.2 Be clear about whom you are interviewing, make sure that interviewees book sufficient time in their diaries, book a quiet place with a big and flat surface for the duration.

3.3 It is advisable to have a second person with you to record the discussion and make notes, as you will find facilitating takes up most of your time.

3.4 Finally, prepare one empty mapping sheet for each interview.

### Step 4: Structure the Mapping Exercise

4.1 Who do you involve?

- This will depend on your main goal and whether you are carrying out a stakeholder mapping as a research tool or to facilitate a process.
- If it is for research only then you will need to invite people who know something about the issues at stake.
- The best way to determine if you have spoken with enough people is if the amount of new information per interview slowly dwindles.
- If the goal of the stakeholder mapping is more of a facilitated on-going process then you will need to invite people who influence or are influenced by the issue at stake.
- Are there stakeholders that are likely to be overseen, for example due to lack of political strength, but are still important for the exercise as ultimate recipients or as informants?

4.2 Group or individual mapping?

- It is sometimes useful to have a round of individual interviews first and then use the group interviews to facilitate group processes. Drawing the map together can help the group to understand each other's different ideas and understanding of the situation. Group mapping can be used if you want to facilitate the group's organizational learning or strategic planning, increase group cohesion, understand different stakeholders' perception of networks and links or increase awareness of the variety of perspectives.
- In group mapping processes where there is a difference of opinion, your role as a facilitator is key to help group members understand the roles of influence or clarify the links between actors.
- Group mapping takes a much longer time than individual interviews, and be aware that people who are not normally vocal will contribute very little in a group setting. In some contexts and only when it is relevant. For example, societies where men and women are not allowed to share the same space in meetings or if present together women might not freely express their views openly. This might also apply to other marginalized groups that are not gender related or lower down the rank organizations or civic associations that might be intimidated by the presence of high-level government officials. In these or similar cases you might need to have separate groups to enhance their participation. What is important here is not to treat these as separate mapping exercise. They are only meant to add new layers, nuances and depth of information and detail to the overall mapping exercise. They are only carried out separately in order to reveal a level of detail that might not come out in a collective meeting.

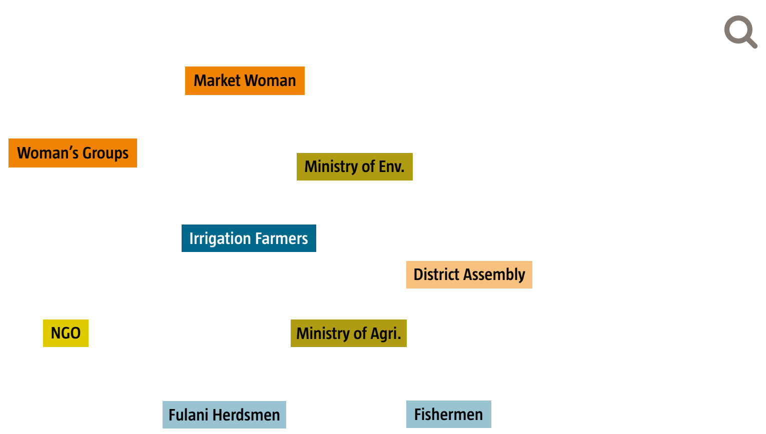
- In this case you will need to merge and integrate knowledge and information from several mapping exercises in order to paint a complete and holistic picture of stakeholders' power dynamics and relationships.
- The Net-Map toolkit can be used for both individual and group mapping exercise.

## Step 5: Mapping

5.1 Who is involved?

- To determine who is involved place a mapping sheeting in front of the group.
- Name all individuals, groups and organizations that can influence the issue you are examining (e.g. water authority, resident associations, representative from the national environmental agency in charge of the flood defence plan at national level, municipal planners, etc.).
- Mention every actor that comes to mind, not only those who have formal decision-making capacity in the process. Actors can be local as well as regional, national, and international, and they do not necessarily have to be formally linked to the process.
- Make sure you capture every actor that comes to mind and put each one on a separate card.
- Use different colors for each actor or group of actors. If you are working with somebody who is illiterate then allocate a figurine to each actor.
- Distribute the cards onto the map. At the end of the process read the names out loud to enable everybody to reflect on what has been discussed and perhaps help them to remember anybody that they might have forgotten.
- The process should also enable you to get a sense of stakeholders who might not have a voice or might not be known and should somehow be included in the program. This could include securing women's or marginalized groups' participation.

**Figure 10.**



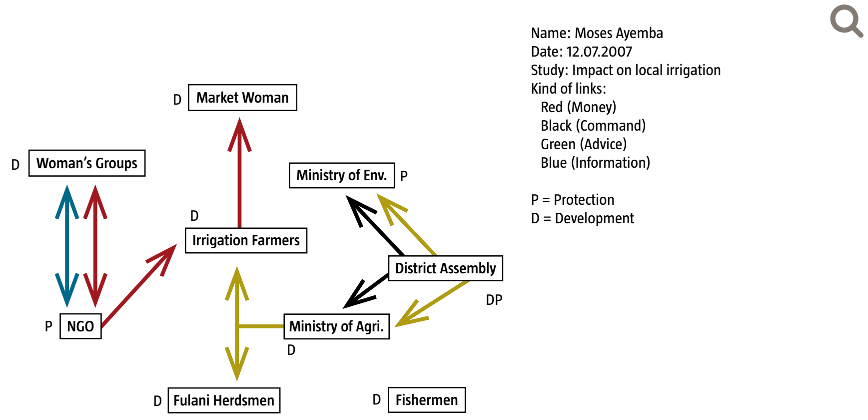

*Source: Schiffer, E. (2007) Net-Map Toolbox: Influence Mapping of Social Networks.*

Introduction 1 2 3 4 5 6 7 8

5.2 How are they linked?

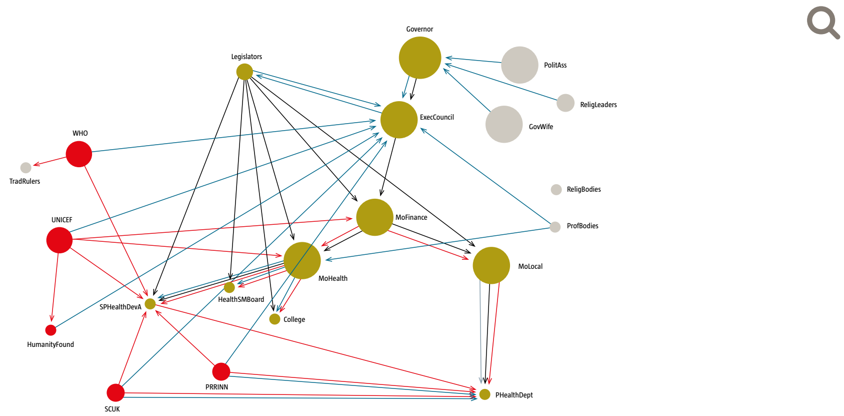
- Once all those involved in the mapping process are happy with the list of the names, ask the group to link the actors according to the institutional line of action. It is important to start to understand what is known about each of them, how they influence each other and how they are linked. This is achieved by placing an arrow/double arrow between actors.
- Note that these links represent the existing situation, i.e. what currently happens and not an ideal representation of what should happen.
- To map these links between actors for your project, think about the question: who instructs whom to ensure that any action is carried out?

**Figure 11.**




*Source: Schiffer, E. (2007) Net-Map Toolbox: Influence Mapping of Social Networks.*

**Figure 12.**




*Source: Schiffer, E. (2007) Net-Map Toolbox: Influence Mapping of Social Networks.*

- The number of links of an actor can determine the centrality of that actor within a network.
- The social network terminology for the various levels of links is: degree centrality, eigenvector centrality, between-ness centrality and closeness centrality.
- Network analysis software provides formulas to help analyze the data. There are a couple of programs to help you with this process – VisuaLyzer is more graphic and UCINet generates a network matrix table that can be used to substantiate program objectives.

5.3 How influential are they?

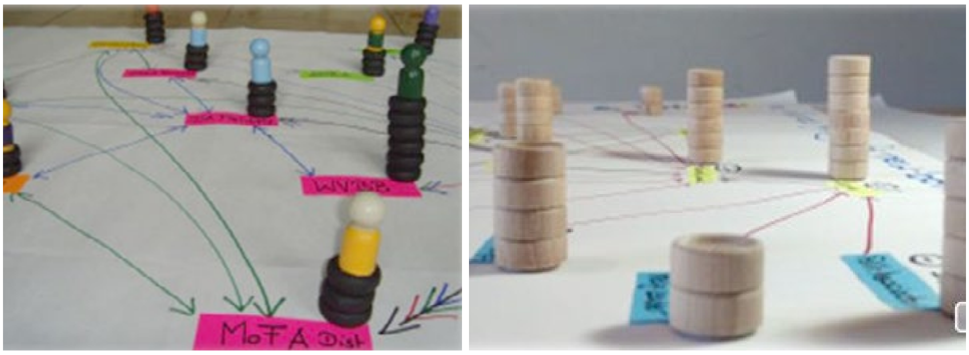
- Before you start, make sure that everyone is clear on the meaning of the word influence.
- The relationships could be positive or negative, but the mapping process is designed to try to expose who has the power or finances in the network.

Sources of influence include:

- Legitimate decision-making capacity
- Giving advice or incentives
- Bending or breaking the rules

There are two techniques to determine relative influence:

- Using influence pieces start to build towers of influence under each actor. The more influence an actor has, the higher the tower needs to be.




*Source: Schiffer, E. (2007) Net-Map Toolbox: Influence Mapping of Social Networks.*

Alternatively you can use the rating below, the group is asked to write a number on each actor's card:

3: the actor has high influence over implementing/resolving the overarching issue
2: the actor has influence over implementing/resolving the overarching issue
1: the actor has some influence over implementing/resolving the overarching issue
0: the actor has no influence over implementing/resolving the overarching issue.

- Once you have been through all of the actors, clearly verbalize what you see to ensure that all are happy with the outcome.
- Make adjustments to different actors if required, but also in comparison to each other.
- Discuss the sources and effects of influence for all the actors, perhaps noting this on the mapping sheet or as notes. This will start to highlight where the resistance is likely to occur and potential conflicts of interest. It will also become apparent who the potential allies to the program might be, and which relationships might need to be built.

5.4 What are their goals?

- In order to realize a successful capacity development program, you need to have a thorough understanding of each stakeholder's goals, interests in the focus issue, and how they will benefit if they engage.
- Having already established the goals for this particular mapping process you can work in a more focused way with the group to establish what goals they think the different actors will have.
- Focus on each actor or stakeholder and determine which goals they would support. Add abbreviations or symbols next to each stakeholder and allow space for multiple goals for each one.
- Discuss and reflect the various goals as they are noted onto the sheet.
- Finally discuss the result with all partners.

**REMEMBER THIS:**
Stakeholder mapping is not an exercise or a task that you can carry out single-handed or even within the closed core team of a project or a program. Stakeholder mapping involves most if not all stakeholders and is by definition an inclusive buy in process and the first step in establishing trust and partnerships. Your role as a project lead is primarily a facilitation and enabling one with as little influence as possible on the outcome of the mapping exercise.

## You Know You Are Successful When...

- You have properly prepared for the mapping exercise and taken your time to set up the structure.
- You understand the context as clearly as possible in the build up to the stakeholder mapping.
- You are clear about the overall objectives of the mapping.
- You invite the right people and organizations to the mapping exercise.
- All those involved have a cultural understanding of the key words used in mapping and there is no confusion, misunderstanding or assumptions.
- You are as inclusive as possible in involving those who influence, benefit from or could potentially obstruct the capacity development initiative and when all views are heard.

Introduction 1 2 3 4 5 6 7 8

## Examples of Good Practice

An initial stakeholder knowledge map for Ethiopia, also used as examples in some of the illustrations above, focused on developing a strategy for climate resilience for agriculture. This is an expert mapping, based on an interactive exercise with project staff. The components of the map are:

- Actors are arrayed in a semblance of their overall governance. The Office of the Prime Minister and Parliament have oversight roles in developing the strategy. There are several coordinating mechanisms in parliament and across government, but these are not shown in detail.
- The next tiers are service and coordinating agencies and line ministries, linking to civil society (on the left side) and regional government (on the right) (and regional parliaments) and in government. The agencies that have coordinating and advisory roles are shown with an orange shadow. The bulk of federal planning is carried out through the line ministries, shown with green shading.
- The line ministries have constituent units, shown as ovals with green shading. There are other units that have service roles as well.
- Civil society and research groups have square symbols, with a brown shadow. Regional and local actors are also squares, with a blue shadow.
- The size of each actor indicates their importance for establishing a national climate resilience strategy—in this case for agriculture.
- Constitutional links between actors are shown as dashed blue arrows.
- Flows of information are shown as solid black lines; the most important information flows are marked with a heavier line. The information links are marked (i). Additional tags could be developed to note formal reporting, particular data sets (e.g., seasonal climate forecasts), etc.

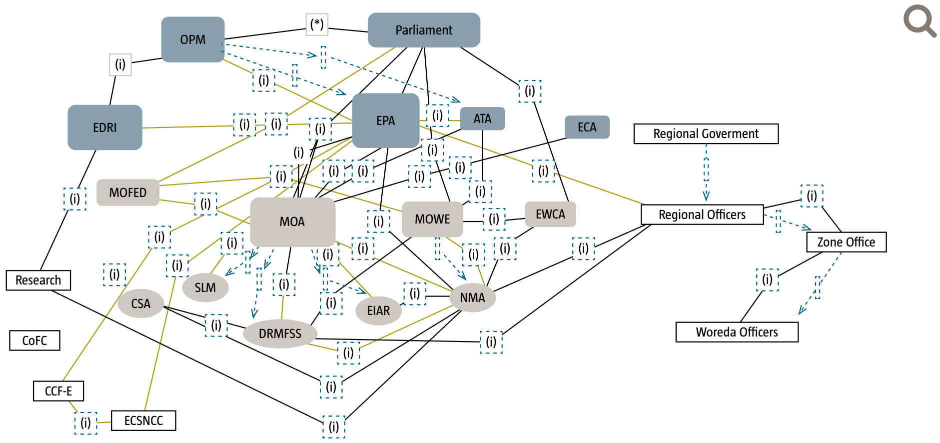
The Ethiopian strategy for climate resilience includes forestry, land use and water as they relate to agriculture. These actors and links are not shown. The overall pattern would be similar however.

This SNA focuses on national stakeholders and the Government of Ethiopia. International agencies (such as IFAD, IFPRI and IWMI), multilateral donors (e.g., World Bank), international NGOs (e.g., CARE), bilateral donors, international institutes and initiatives (e.g., REDD+, GGGI, NBI) and the private sector (from social entrepreneurs to multi-national commodity companies) all have contributions, leading roles and influence. Indeed, many of these have produced climate adaptation strategies for Ethiopia that include agriculture. Including such actors would create a more complex map. However, the key features that are the focus on this SNA would remain.

## Stakeholder network assessment

Creating a federal strategy for agricultural climate resilience in Ethiopia.

**Figure 13.**




*Source: Downing, T. (2012) Netmap protocol application for Ethiopia. Unpublished document. Oxford: Global Climate Adaptation Partnership, used by permission from the author.*

The following are the notes, observations and narrative that were drawn from the exercise. This will give you some idea of what a stakeholder mapping is expected to produce and how to reinterpret the interaction between those who were involved in the mapping exercise and make sense of the final map.

The two most important actors are the EPA and MOA. The EPA has a particular role in coordinating environmental policy and strategy, and this continues with the development of the CRGE and sectoral adaptation strategies in Ethiopia. The federal ministries have both strategic and operational roles, and the Ministry of Agriculture leads on climate resilience and agriculture.

A climate strategy must be consistent with overall Government policy, so EDRI (for economic policy) and OPM are key in working with Parliament. The ATA has a strong advisory role on agriculture. Other service agencies and line ministries are important, but in supporting roles.

With Ethiopia's federal structure, regional government are key to both strategy and implementation. While funding for the regions is largely derived through national processes, regional officers report to the regional government and are not direct employees of the federal, sectoral ministries. However, there are close links with federal bodies especially for implementing programs and projects. Operation and coordination of development programs are the responsibilities of federal agencies (ministries and authorities).

The largest budgets and operational responsibilities are held by the line ministries. For agricultural resilience, the Ministry of Agriculture and Ministry of Water and Energy lead the majority of the development projects that are relevant. Approval of the Federal budget to line ministries is undertaken by the House of Representatives after passing through the council of minsters. For the regions, budgets are approved by their respective parliaments while the subsidiary budget from the federal government is approved by the Federation Parliament.

NGOs have strong roles in the implementation of government programs and projects. They participate in policy and strategy formulation at various levels of consultation. However, NGOs are not formally incorporated into Government planning mechanisms. Academic institutions are well respected and have close links to several authorities. Regional universities are increasingly gaining prominence.

There are many climate-related initiatives, programmes and projects in Ethiopia, with donors directly involved at all levels. Most donors have a form of national strategy that includes adaptation to climate change in its development vision. A key question is how such donor-driven efforts are to be integrated into national strategies. The CRGE has gained prominence since its launch in Durban and many donors refer to it in their programming. However, it is less clear that there is an effective mechanism for coordination across donors in translating the CRGE from strategy to flagship projects and programmatic implementation.

**CASE STUDY:**

**Support to the Joint Crisis Coordination Centre (JCC) of the Ministry of Interior, Kurdistan**

MSB has been supporting the initiatives of the Kurdistan Regional Government (KRG) in Iraq for developing crisis management and coordination capacity for a few years. The project started in 2014, after the city of Mosul and the surrounding areas had fallen into the hands of the so-called Islamic State (IS). The Kurdish Region of Iraq (KRI), being the relatively safe and stable region in a country in great turmoil, and geographically close to Mosul, became a safe haven for more than a million displaced people. With a couple of hundred thousand Syrian refugees also in the region, combined with little ability to coordinate and facilitate a response to such a situation, a humanitarian crisis was clearly in the making.

In addition to the direct humanitarian aid provided in the wake of the fall of Mosul, MSB was asked to provide support to the KRG, with regards to developing crisis management and coordination capacity. The request for support very broad and a fact-finding mission to the KRI was initiated in coordination with UNDP, which evolved into a thorough stakeholder mapping.

The stakeholder mapping took place over a 10-day mission on the ground in KRI, with a large number of meetings conducted with relevant stakeholders. The different stakeholders were identified together with the UNDP country office, and consisted of different KRG ministries and departments, UN agencies, international and local NGOs. The mapping focused on identifying the relevant stakeholders in the response to the humanitarian crisis, their respective roles and mandates and how they were linked to others.

On the KRG side, early on the stakeholder mapping made it obvious that there was very much a power struggle at hand. Several different ministries and departments made it clear that it was their responsibility to facilitate the coordination of the humanitarian response, and that it would be unacceptable to appoint this responsibility to any other actor. This of course demanded a certain amount of fingerspitzgefuhl, so as to avoid stepping on any toes in the many meetings, as inevitably one or several actors were to be more or less disappointed.

On the UN side, it was not much easier to navigate either. The UNDP desperately wanted a successful project in the region. Other UN agencies saw the clear need for a coordinating body within the KRG, and presented different opinions about how and who could achieve this. OCHA more or less explicitly stated that they would oppose any initiative by UNDP, regardless of its form.

The NGOs presented the least politically motivated views on the subject. It was obvious from meeting both local and international ones that there was a great need for a coordinating force, and that whichever way it was achieved, they would welcome, support, and cooperate with it.

In dialogue with UNDP and the UN political mission to Iraq (UNAMI), a suggestion for a possible way forward was sketched out. MSB suggested providing support, both in the forms of a number of experts and a certain amount of technical equipment, for the establishment of an entity responsible for crisis management and coordination. This resulted in the inauguration of the Joint Crisis Coordination Center (JCC), to be located within the KRG Ministry of Interior.

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Since the initial stakeholder mapping was carried out in 2014, MSB has been providing crucial support for the development of the capacity of the JCC. Aside from the technical equipment provided and several experts seconded to work there, study visits to the MSB offices in Sweden have been conducted. As there are several other organizations providing support to the JCC, such as the German Technisches Hilfswerke (THW) and the Australian RedR, another important part of the stakeholder mapping has been to coordinate with and adapt to the actions of these other organizations.

The project, where MSB provides support to the JCC, has with time evolved and developed into a relationship going both ways. MSB has a lot of experience and knowledge to transfer, but the same also goes the other way, with the JCC for instance being able to provide MSB with information and knowledge about the developments in Iraq. The relationship has proven very fruitful for both organizations, and the cooperation has evolved into obvious mutual benefits.

The success so far in the cooperation between the JCC and MSB no doubt goes back to the very thorough and in-depth stakeholder mapping that was conducted early on in the process. At the time it was conducted, there were no preconceptions regarding what could or should be done. This, in combination with sufficient time spent on the ground in Iraq, meeting any and all kinds of stakeholders that could have a stake in or a view regarding the issue, have been significant factors.

## Resources

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CHAPTER 5

# Partnerships

# Partnerships

## Overview

All capacity development initiatives have multiple stakeholders, some of whom might work together throughout the life of the initiative, while others may be involved only for specific activities. In the context of capacity development, partnerships are a necessity to bringing together the complimentary knowledge, skills and resources of different actors to achieve capacity development goals and objectives. A partnership can be defined as “a negotiated relationship in which different actors work together to achieve a shared purpose”. A partnership is a process where organizations or groups work together to achieve a common goal, in order to achieve more effective outcomes than by working separately. The partners’ contribution can take many forms, depending on their mandate, interests and capacity. If established and managed appropriately partnerships prove to be a capacity development process in their own right for the organizations and individuals involved in them. A partnership is, however, different from collaboration or coordination. The latter are limited in scope and purpose while the former is aimed at changing the balance of power between organizations. Some partnerships will require formal agreements and contracts for how the agencies involved will work together. This is very often finalized in the form of a project based funding agreement, but generally this type of contract does not address some of the important considerations needed to make a partnership work well. Other partnerships will not need to be set up under a formal contract, but the arrangements will still need time and attention if the partnership is to work to best effect and for the mutual benefit of everyone concerned.

This chapter follows on from understanding of stakeholders (Chapter 4) and will then link to developing incentives systems (Chapter 6) in order to address the overall enabling environment. A deeper understanding of the role partnerships play in capacity development and the overarching aim of creating and maintaining ownership of development initiatives are key and central to capacity development initiatives or projects. The chapter is structured around the steps of negotiating and establishing partnerships between relevant stakeholders, the purpose and aim of different levels of partnerships and involvement, who needs to be involved, why and what they bring to the table as well as lessons learnt from case studies on partnerships in capacity development initiatives.

## Critical Questions

Setting up and developing partnerships is not a clinical process or an exact science. It is extremely organic and one that relies on a deep understanding of the context and culture and requires high levels of negotiation and persuasion skills. However, such skills could either be redundant or even counter productive if the setting isn’t fully understood. The best mediators and negotiators cannot negotiate what they don’t understand. There is a set of questions that you will need to ask yourself and put to the core team and the stakeholders in the slow setting up phase of establishing partnerships. Like all other sections in this guide, these questions are aimed at prompting your thinking and to aide you in process planning:

1. Who are the actual partners in the project?
2. What might these partners contribute to the partnership?
3. Do you think they have an understanding of the concept of ‘partnering’?
4. Will the partnership be time bound (e.g. project based) or more long term?
5. What kind of agreement does the partnership need to have?
6. How flexible should it be?
7. What issues does the agreement need to cover?
8. Is there a common understanding of how cross-cutting issues such as gender, diversity and environmental aspects should be considered?
9. Who should create the agreement?
10. How often should the partnership be reviewed? By whom? And for what purpose?
11. What is the partnership expected to achieve or influence? What change is it expected to bring if any? Think of three levels:
    - Practical solutions to development challenges
    - Influencing individuals, organizations and systems
    - Change of Policy or Practice
12. What do you anticipate to be the main challenges to the partnership?
    - Within the partnership and the project
    - From outside the partnership and the project

*Watch out for these well known pitfalls:*

- Rushing the partnership process or starting project activities without firm established agreement on what form of partnership the initiative or the project follows.
- Skepticism about the partnership from the start due to prior negative experiences. If this is the case it will need to be addressed as a priority.
- Partners not giving the partnership or its project priority and dealing with it as a secondary issue. Try to find out why this might be a prevailing attitude.
- Unwillingness or inability to engage with partners and establish enough trust.
- Unresolved disagreements around the partnership and ones that are left to fester and grow without being addressed openly.
- Differences in organizational culture, expectations and practices that weren’t clarified or bridged from the start.
- An inadequate or hostile enabling environment that wasn’t taken into account from the start or reflected in the overall approach to the initiative.
- Frequent change of personnel or a high turn over.
- Hidden agendas or withholding of information to gain benefits.

## Tools and Practical Steps

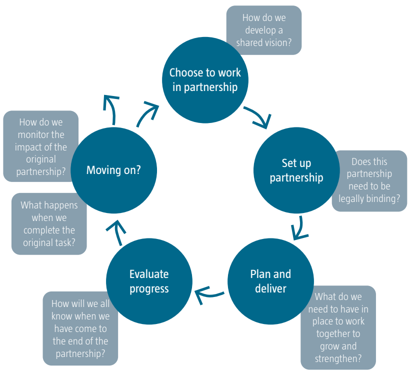
Partnerships are essential to achieve transformational change at national and international levels, as well as achieving success in locally focused project delivery. Weak partnership formation and unstructured, unclear relationship management, review and learning, can lead to misunderstandings, waste considerable time and effort and result in limited impact, missed opportunities and increases the potential for conflict. A structured approach to developing a partnership should ensure the ability to adapt and develop through the partnership process. A clear monitoring and evaluation strategy is fundamental to support learning for all involved and facilitates the delivery of shared objectives.

Partnership development does not have to follow a linear or prescriptive route, however the particular steps recommended by many organizations to establish successful partnerships can be followed in a logical sequence when embarking on a new relationship. It is important to remember that where all the organizations involved invest together in the initial development, the periodic review and the maintenance of the partnership, this will result in a more effective collaboration for the longer term and lead to greater impact.

Distinct from the set of questions in section 2 above, which were aimed to aide the planning of setting up a partnership, the World Wildlife Fund (WWF) developed a set of key questions to consider when starting to approach and negotiate the actual partners. Section 2 questions are for you as project lead and core team to think about. The following set of questions is to be put to partners:

- How do we develop a shared vision?
- Does this partnership need to be legally binding?
- What do we need to have in place to work together to grow and strengthen?
- How will we all know when we have come to the end of the partnership?
- What happens when we complete the original task?
- How do we monitor the impact of the original partnership?

**Figure 14.**



## Step 1: Decide what you mean by partnership and create consensus around it

1.1 A partnership is a negotiated relationship in which different actors work together to achieve a shared purpose.

1.2 A partnership is also a process in which two or more organizations or groups work together to achieve a common goal, and do so in such a way that they achieve more effective outcomes than by working separately.

1.3 Partnerships develop for a variety of reasons. Each type of partnership determines the kind and variety of organizations that need to be involved. For instance, the partnership might evolve over time from a long-standing relationship. It could be established around a particular common problem, which all organizations believe, is important enough to work together to tackle. Sometimes funding for a particular work stream comes around and organizations work out who is best to collaborate with to achieve that specific goal.

1.4 Some organizations might feel the best way to gain access to additional skills and expertise is to go into partnership together. The partnership strategy might be more about enabling other organizations to change.

1.5 Whilst there may be many common features in the partnering process, no single partnership is like any other. All partnerships are highly context-specific and will invariably be a reflection of the surrounding circumstances.

## Step 2: Determine how the partnership should progress across all levels

2.1 Most partnerships operate at the level of practical solutions to development challenges, as they are generally grass roots, co-created and delivered collaborative projects. ‘Level 1’ projects, when they work well, inevitably impact and influence more widely and deeply and therefore have an impact on individuals, organizations and systems. In due course, even the smallest partnerships can provide the evidence and inspiration for new policies and can lead to a significant change in the ‘rules’.

2.2 Your task at this step is to fill in the right hand column of the table below. This will give you a clearer idea of what the partnership needs to be set around and inform the following steps.

**Figure 15.**


## Step 3: Decide who needs to be involved

3.1 A good way to decide who should be involved is to make a long list of the stakeholders in your proposed initiative comprising of all those organizations with some interest or involvement. This is where stakeholder mapping fits into the process. Refer back to the stakeholder-mapping chapter to refresh your memory of how influential stakeholders emerged.

3.2 You need to consider: Funders or potential funders, statutory providers, other providers, community and voluntary groups, expert groups and advisory organizations, and finally, and most importantly, groups or organizations likely to be affected by the outcomes of the proposed initiative.

3.3 In order to then decide whether any of the stakeholders that you have mapped are suitable to go into partnership with, try to locate them onto the power interest matrix.

| | HIGH Interest | LOW Interest |
|---|---|---|
| HIGH Power | Key decision makers | Informed parties |
| LOW Power | Consultees | Non partners |

*Source: Working in Partnership: A Source Book. New Opportunities Fund.*

You should actively consult and seek views of those with *low* power but *high* interest. It could for example be the people the program or project is ultimately targeting (i.e. people living with the risks we are trying to address through supporting government agencies). While those with *high* power but *low* interest in the issue are usually the ones you keep informed.

It is also important to consider organizations that might have particular skills/knowledge or expertise and those that feel as though they ought to be involved because of who they are or what they have done in the past. Consider these organizations very carefully. As noted above, make sure to involve the community 'for whom' you are working.

It is also important to consider organizations and groups who have important knowledge and expertise in cross-cutting issues that are of high relevance for the achievement of qualitative and sustainable results, such as gender and diversity.

3.4 To agree who should be in the partnership is one for discussion and negotiation. The partnership needs to be sustainable and workable in practice. Remember that not everyone needs to be involved as a key player and not all those who are powerful and influential need to be key players.

## Step 4: Determine the purpose of involvement of each partner

4.1 Successful partnerships between organizations unlock, combine and leverage the creativity, insight, energy and resources of their participants. To achieve a common vision and to work together to achieve more than any of them can do so on their own, it is important to understand how many organizations would be best to work on this and who they should be. Therefore it is imperative that the process enables the participants to choose partners covering a range of strategic and operational ability.

4.2 To do this it is important to consider why organizations should be involved. There are broadly three roles that organizations can play:

- Key decision makers include organizations that are centrally involved in decision making about strategies and spending.
- Consultees are organizations that are able to give advice or views but will not need to be centrally involved in all decision making.

- Informed parties are generally observers or interested organizations who should be kept informed but who are unlikely to have strong views about the decisions being made.

4.3 Another way of understanding the level of involvement can be done through the ladder of participation, which elaborates on the degrees of involvement in any partnership. There are different types of ladders of participation, and they can also be used to measure the level of power of women and marginalized groups in processes and decisions. For this version of the ladder of participation there are only 4 levels including:

- Passing on information about what the partnership plans to do to those whom it will affect, which in other words does not invite to participation from partners and leaves them no or very little opportunity to influence.
- Seeking views, which can be considered by the partnership when planning strategy or service delivery.
- Occasional involvement in the partnership's decision-making processes.
- Full involvement in the strategy, planning and delivery aspects of the partnership's work.

4.4 The table schematically outlines the above points with the aim of contextualizing it to your project or initiative.

**Figure 16.**

| Roles | | | Ladder of participation | |
|---|---|---|---|---|
| **Key decision makers** | Centrally involved in decision making about strategies and spending | **Most** involved | **Participation** | Full involvement in the strategy, planning and delivery aspects |
| | | | **Involvement** | Occasional involvement |
| **Consultees** | Able to give advice or views, do not need to be centrally involved | | **Consultation** | Views which can be considered |
| **Informed parties** | Observers or interested organisations – kept informed, unlikely to have strong views | **Least** involved | **Information** | Passing on information |

4.5 Involvement becomes more substantial, effective and influential as you go up the ladder from simply sharing or passing on information to full participation. No matter what role people or organizations play on the project or program, all should be informed of how their contribution have been used and what effect it had. This is reflected in the GenCaps ladder of participation, which you can strive towards with regards to participation of representative organizations of women and marginalized groups, where they are consulted about an issue, their perspective, is taken seriously and they are consequently informed about how their consultation and views might have influenced the project or program.

4.6 The task for this step is also to fill in the table below and be clear about each level of partners, who they are and clearly and specifically define their roles in consultation with each one of them and as a way of signing up to a commitment.

| | ROLES |
|---|---|
| **Key decision makers**<br>1.<br>2.<br>3. | |
| **Consultees**<br>1.<br>2.<br>3. | |
| **Informed parties**<br>1.<br>2.<br>3. | |

### Step 5: Map the contribution to the partnership

5.1 Through the process of understanding who should be a part of the partnership you need to establish a clearer awareness of each organization's knowledge, skills and resources that they bring into the partnership. During the consolidation of the partnership it is worth going over these again as a team to ensure that all partners have a clear understanding of each organization's ability to contribute.

5.2 The next stage of the process includes deciding on roles, responsibilities and structure and must include all the key partners. It is important that all partners are honest about this issue. The final decision on what role each organization should take should be agreed by all partners and should seek to provide for a reasonable balance of power between partners. Typically there will be three levels or components within any partnership:

- Decision-making component – this could be a board or management committee and is the executive decision-making part of the partnership. It makes the partnership decisions, but is unlikely to be involved in the day-to-day management of projects or activities.
- A management component – could be a single person or organization or a team of people or organizations who are responsible for implementing and managing the partnership's activities from day-to-day.
- A consultation/advisory component – this could be committees, subcommittees, for and/or a citizen's panel, including women and men of varying ages and backgrounds (or representative organizations), whose role is to think, advise and offer feedback to the partnership. These organizations may or may not be a formal part of the partnership.

5.3 Establish a lead partner as part of the process of consolidating the partnership. This is often a requirement of funders as there is a level of financial accountability, which rests with the lead partner. If there are concerns about democratic power relationships if a lead partner is established it is important to then establish a very clear set of roles and responsibilities for each partner.

5.4 While partnerships rely on good will and trust, they are not cost free and ultimately have financial implications. Clarity about cost implications and financial burden can make or break a partnership. It is important to be clear about budget allocation proportionate to respective contributions, roles, and responsibilities for all members of the partnership.

5.5 Finally develop an effective action plan which defines who is going to do what, when, where and how. It is a practical document and one, which all partners will need to sign up to.

### Step 6: Set up and manage the partnership

There are a series of well-established steps in setting up a successful partnership. They fall broadly into four stages and each stage has a series of recommended processes which are best approached in the steps indicated, which can also be revisited during a partnership:

6.1 Scoping and building

- The scoping stage includes exploring the partnering option; understanding the interests or motivations of different sectors and analyzing the context.
- The identifying stage encompasses making the case for partnering; selecting potential partners; and undertaking early discussions.
- Building is about establishing partnering principles; promoting good partnering behavior; and creating some relationship management 'ground rules'.
- During the planning stage potential partners will do stakeholder or activities & resource mapping; agree an outline project plan; and draw up a partnering agreement.

6.2 Managing and maintaining

- Structuring includes putting in place decision-making procedures; and establishing communications arrangements and accountability mechanisms.
- Resource procurement; effective management of partner meetings; and engagement of other stakeholders are all part of the mobilizing stage.
- Delivering includes the allocation of roles and responsibilities; tracking activities and partner commitments; and communicating with the wider context and external stakeholders.

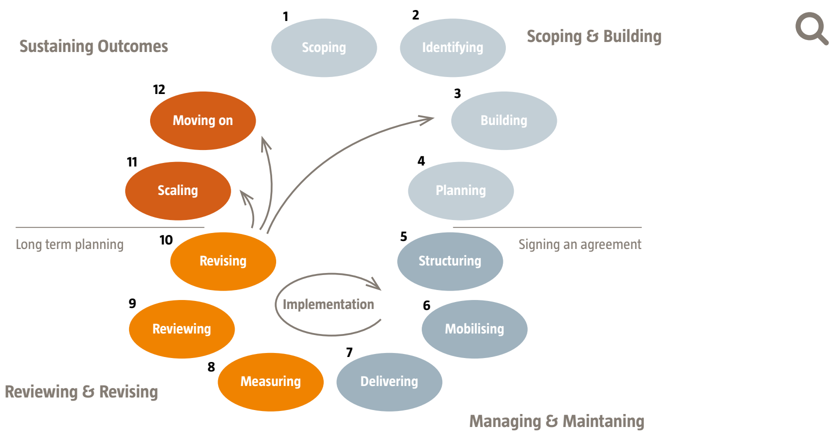
6.3 Reviewing and revising

- This is a critical stage of the partnership process, as it should inform the team about how it is going and whether the partnership is meeting its objectives. Agreeing success indicators at an early stage; checking delivery/outputs and impacts; and monitoring compliance with the agreement all fall under the measuring step.
- It is important to review the information from the previous step to take stock of the partner relationships; assess the value of the partnership to partner organizations and their constituencies; and start to consider 'where next' for the partnership.
- Any revisions that are required need to help re-define the partnership (if necessary); make changes to the project (where needed); and potential change partners (if desirable).

6.4 Sustaining outcomes

- In capacity development projects you need to consider opportunities for scaling the work achieved in partnership. This can be implemented through engaging and impacting systems and expanding the program to have a wider influence.
- The final stage of the partnership process is primarily to ensure that sustainable development outcomes, which were established in the initial stage of the partnership development, are achieved and ensure on-going maintenance strategies. This should be done by building/securing long-term delivery mechanisms and initiating agreed exit strategies. In other words, considering how the partnership would continue and be maintained beyond the lifetime of the exceptional arrangements and environment a project creates. Mainstreaming and institutionalizing mechanisms established during the project for example by making them a policy or standards procedures, changes in the regulatory framework within or between organizations, and sustained financial input and contribution.

**Figure 17.**




*Source: The Partnering Initiative: The Partnering Toolbook, The Brokering Guidebook, and Moving On.*

**REMEMBER THIS:**

Partnerships are about achieving results by working together, bringing people together and managing the decision-making process therefore brokering and facilitation skills are essential. Being able to engage and articulate ideas and decisions appropriately depends on participants being able to actively listen and speak plainly.

## You Know You Are Successful When You...

- Take time to build strong working relationships.
- Develop genuine concern for each other's underlying interests.
- Listen more than you talk.
- Develop good communication skills at all levels.
- Deal with difficulties as they arise rather than ignore them.
- Balance a flexible with rigorous approach.
- Focus on practical and sustainable results.

## Examples of Good Practice

Along with the Do's and Don'ts mentioned in this chapter, there is a set of key principles in establishing and managing successful partnerships that could be summarized as follows by way of further guidance to good practice:

- Establish equity, which leads to respect.
- Create transparency because it leads to trust.
- Ensure there is mutual benefit, which will result in a sustainable relationship.
- Setting up a good partnership takes time. Shared working practices in partnerships can lead to some very big changes in each of the partner organizations.
- The partnership evolution might need to include the setting up of specific mechanisms to support the partnership to ensure it meets its objectives.
- Target participants must be involved otherwise there will be limited sustainable capacity development.
- Ensure that all parties to the partnership have equal ability to communicate effectively. Therefore to support the partnership try to ensure that all partners have the skills to include interest-based negotiation based on an understanding of each partner's underlying drivers and priorities.

## CASE STUDY:

### Capacity Strengthening of the Sudanese Red Crescent Society in Disaster Risk Management in Sudan

The Swedish Red Cross (SRC) and the Sudanese Red Crescent Society (SRCS) have worked together in Sudan since the 1990's, and the Swedish Civil Contingencies Agency (MSB) has collaborated with the SRC since 2007. One significant cooperation project between the latter two was a four-year disaster management capacity development project in West Africa carried out between 2008 and 2012. The "Capacity Strengthening of the Sudanese Red Crescent Society in Disaster Risk Management" project initiated in early February 2016, intends to run until the end of 2020 and is the result of a plan to replicate and further important learning from the West Africa Project.

The first 18 months of the project is a preparatory phase led by MSB, also being the budget holder, following which the cooperation will shift into a full-fledged project from August 2017, when the SRC will take over the management role and budgetary responsibility until the project end.

During the preparatory phase the project is coordinated by a MSB contracted Project Coordinator, who works closely with a SRCS focal point for the project (SRCS Head of Disaster Management), as well as with the SRC country representative. Together with the MSB Project Manager in Sweden, they make out the technical working group of the project. The working group receives technical advice and support from the project advisers in gender and diversity, environment, disaster risk reduction (DRR) and project monitoring, evaluation and reporting (PMER). The project is also overseen by a steering group, which provides strategic leadership and ensures that the project's components are consistent with the needs of the project stakeholders. The steering group consists of one member of senior management from each of the three participating agencies and MSB HQ in Sweden provides the Secretariat for the group.

The role of MSB in a RCRC-centered capacity development project is that of a technical and methodological expert agency and in this specific case, it comes with years of experience from supporting the national Red Cross societies in developing their relationships vis-à-vis their own governments (ref. the West Africa Disaster Management Capacity Building Project). As a Red Cross society, SRC has both the task and the mandate to work directly with other national Red Cross societies to support their organizational development. The aim of the SRC collaboration with SRCS is to support sustainable development of community resilience programming through capacity building and learning that will include support to e.g. PMER (Planning, Monitoring, Evaluation and Reporting) and volunteer management from which this project will benefit. The SRCS in their turn is a good partner for capacity development cooperation as the needs and challenges facing SRCS are well defined and clear. Furthermore, the capacity gaps that have been identified by SRCS are not insurmountable and there is a commitment to improving and to developing the organization to an institution upholding its responsibilities and mandate.

- The SRC and the SRCS have formalized their partnership in a Memorandum of Understanding (MoU), while SRC and MSB are partners through a framework agreement on international development cooperation. During the preparatory phase of the DRM-project a tri-party Letter of Agreement (LoA) will be developed between SRC, SRCS and MSB, specifying the roles and responsibilities of all three partners during the full project period 2017–2020.
- In line with the "Sudanization process" (the Government of Sudan promotes the principle of Sudanization whereby as much project activities as possible should be in the hands of Sudanese people rather than those of people from outside Sudan. The project is developing strong relationships with Sudanese technical institutions and individuals, promoting partnerships and collaboration to ensure that as this preparatory phase develops into a full project, relationships are established that provide relevant Sudanese expertise that can be applied to the project. The project has already established a good working relationship with Afhad University for Women as support to the gender and diversity aspects of the project and aims to do the same with one or more institutions covering environmental issues. The project also ensures that there is a close working relationship with relevant Government agencies such as the Humanitarian Aid Commission (HAC), the Sudan Meteorological Authority and with international bodies such as UNDP. This helps to create a good support network for the future.
- Apart from partnering with national entities and the partnership with MSB and SRS, the SRCS also has partnerships with the following movement partners: Danish RC, Finnish RC, French RC, German RC, Netherlands RC, Norwegian RC, Spanish RC, Swiss RC, and also with UAE RC, Qatar RC, Iranian RC, Saudi RC, IFRC and ICRC.
- The main challenges so far within the partnership has been related to information sharing and communication whereas better routines are about to be established and a project webpage will be developed.

## Resources

Finding Common Ground in Partnership. Philadelphia Water.

World Wildlife Fund (WWF), The Partnership Toolbox.

The Partnering Initiative: The Partnering Toolbook, The Brokering Guidebook, and Moving On. http://thepartneringinitiative.org/

Working in Partnership: A Source Book. New Opportunities Fund.

CHAPTER 6

# Incentives

# Incentives

## Overview

Incentives are one of the main links between people and change. Successful capacity development initiatives are dependent on having the right incentives in place because positive change can only be sustained where improved performance is enabled and rewarded. Incentives are most usually considered at the individual level, defined as either financial or non-financial, and internal or external, but it is also relevant to consider the organizational level and informal incentives.

The enabling environment is of great significance in capacity development programs and projects because it can be the most powerful source of both formal and informal incentives that either provide or block capacity development. Where officially sanctioned and supported formal incentives are missing, the situation often creates informal incentives that work against capacity development. It is important to understand perverse incentives as well as how to create and use incentives to bring wider change of culture or instate new methods and modalities of work that could become self-sustainable in the future and beyond the lifetime of a project.

There are various types of incentives e.g. formal, informal, internal, external, financial, non-financial, individual, collective, etc. The key to the success of capacity development and change as a whole is not which one to use, but the mix and combination of the right ones, at the right level and the right time. This is a design process in its own right and one that has no magic or secret formulas. It is a highly contextual issue informed by both capacity needs assessment and stakeholder mapping for example. One of the key pieces of information that needs to be extracted from assessment and mapping is prevailing working culture, existing incentives systems, blocks and perverse incentives and what would constitute a sustainable driver for change.

## Critical Questions

It is important to mention here that understanding and setting up an incentives system aligned with the goal and objectives of a capacity development initiative is probably one of the most complex and least straight forward in the process. It relies on a deep understanding of cultural practices both in and outside work, it has everything to do with how individuals perceive their role, what a job means to them, where and how organizations are positioned within the wider system they operate in, how individuals influence and are influenced by such organizations and in short how the entire "eco-system" functions. An extremely narrow view of incentives system is setting up a "reward" mechanism. What may seem as a reward at some point could turn into a disincentive at another or might be a reward in one part of the system and a disincentive in another. Reward systems are in other words risky. The following questions guide the project or program focal point and core team to some critical issues they need to be aware of and prepare for right at the outset. The following questions could be expanded to include investigating previous project/programs:

1. What kind of information do you need to extract from the capacity assessment and stakeholder mapping in order to develop an appropriate and optimal mix of an incentives system?
2. Where are you most likely to find this information? Capacity assessment? Stakeholder mapping?
3. What forms of incentives are present in the context where the capacity development initiative is set?
4. Where do incentives currently, or have in the past, worked in a positive and conducive way to performance and development?
5. Where do incentives currently, or have in the past, worked perversely against a capacity development initiative and why?
6. What evidence or examples do you have for questions 2 and 3?
7. Can you map the different types of available incentives and clearly identify the advantages and disadvantages of each?

*Watch out for these well known pitfalls:*

- Rushing into a quick delivery project, reaching for low hanging fruits and being oblivious to creating perverse incentives or vested interests that are hard to address or dismantle in the future.
- Going for salary supplements and travel and meeting allowances which could make achieving goals and objectives secondary to attending meetings and training courses.
- Creating a parallel system that is disproportionately well funded that it becomes a drain on the public service of its most valuable employees, thus reducing motivation for any reform in public administration.
- Dual salary structures and/or salary differentials between international and local staff. This usually results in double demotivation in both foreign experts and their national counterparts and a vicious cycle of envy and even mistrust.
- Setting up parallel arrangements within the same organization or ministry usually contribute to a lack of fundamental or far reaching reform and once funding is withdrawn there is no lasting impact beyond the environment within which the arrangement was created which disappears with it.
- Parallel Implementation Units (PIUs), i.e. special arrangements made in agencies to manage and implement projects as a form of incentive to those who work in it as well as the broader organizational structure can sometimes be a double edged sword. On the one hand and positively, project specific arrangements (teams) across departments or even specifically created organizations may be necessary and effective to solve a certain problem, as long as they are time-bound and there is an uptake of the results and mainstreaming of reform. On the other hand, if they come and go and do not create any organizational change they rarely survive beyond the lifetime of a project and the funding it affords and deemed a limitation in terms of CD. Prolonging their existence could become an aim in itself to keep staff in employment. The other major pitfall or drawback of PIU's is when they try to impose prescriptions on government entities thus creating even more resentment and resistance.
- Being unaware of gender, diversity and power structures in the organization/context and contributing to, for example, inequalities and exclusion by premiering a certain work group (e.g. the international staff benefit more or ill-perceived male competencies are more valued).

## Tools and Practical Steps

Suitably tailored and locally driven incentive systems are critical for long term capacity development thereby enabling individuals and organizations to improve performance. Developing suitable incentive systems is complex and should be considered as part of development theory, human resources management theory and include disciplines like sociology and economics. Increasingly it is becoming apparent that non-financial incentives are as powerful, if not more powerful, than financial incentives and donor agencies and governments need to understand the different motivators for individuals and organizations to be able to develop suitable and non-discriminatory incentive strategies to unlock their motivations to enhance performance. For the sake of clarity this guide divides the process into six steps.

### Step 1: Familiarize yourself with the different types of incentives at different levels

1.1 Before you start looking into incentives and incentive mechanisms in your project it is important that you have a clear idea first on what formal, informal, financial and non-financial mean and entail beyond a simple definition. There are also incentives internal to an organization and others that are external in terms of its ranking, place, legitimacy and influence.

1.2 There is a wide array of choices and not all of them would work in all contexts. The purpose of this chapter is to enable you to make informed decision and choices. This starts by simply reviewing as much a big menu of incentives as possible. The following is by no means an exhaustive or a comprehensive list. It is a start to get your thinking going and you are encouraged to consult other references and add to the inventory below.

| INDIVIDUAL INCENTIVES | |
|---|---|
| **Financial incentives** | |
| Pay | Base wage/salary, Bounuses, Stock options |
| Other direct financial benefits | Insurance, Pension, Allowances, Materials |
| Indirect financial benefints | Subsides, Child care, Training |
| **Non-financial intercentives** | |
| Job security, social privlieges, reputation, re-employment aftar retirement, holidays, flexible working hours, study leave, planned career breaks, counselling, recreational facilities. | |

| ORGANIZATIONAL INCENTIVES | |
|---|---|
| **Financial incentives** | |
| Internal | Group bases performance awards and pay |
| External | Benchmarking and competition among organizations |
| Indirect financial benefints | Subsides, Child care, Training |

| ORGANIZATIONAL INCENTIVES | |
|---|---|
| Non-financial intercentives | |
| Internal | Autonomy; supervision schemes; recognition schemes; training and professional development; leadership; teambuilding; transparent and reliable promotion schemes; supportive supervisions and feedback; preformance management tools; staff participation in decision making processes; horizontal and vertical communication among staff; quality improvment teams and building a quality culture; participatory problem solving assessment and problem-solving processes. |
| External | Accountability schemes: citizens' charters, service delivery surveys etc.; market exposure; financial responsibility; governance: transparency, preventive ani-corruption measures, responsibility for decisions; regualtory mechanisms. |

*Source: Ullebrg, I (2009) Incentive Structures as a Capacity Development Strategy in Public Service Delivery. UNESCO and IIEP.*

### Step 2: Assess the importance and relevance of the enabling environment

2.1 This may seem like going again over a step you might have done with the design of the overall approach and core concept or during the capacity and needs assessment and stakeholder mapping. But that is the nature of developing capacity development initiatives and what is meant by an iterative approach (looping cycles). It is important to go over the enabling environment again with a specific focus on incentives and motivation aspects.

2.2 Capacity development occurs once people are able to transfer what they have learned to their every day jobs, and improve their performance. However, learning does not become implemented because of obstacles related to power structures within an organization, entrenched attitudes or lack of resources.

2.3 Changing organizational culture, societal values, culture, power structures and rules of the game depend on political processes, negotiation, and this takes time. Therefore, keep in mind that no capacity development project or program is expected to change an entire society's culture. It may certainly have some influence, and bring about aspects of change. What is important is to understand how such culture impacts and influences and can be influenced by your project or program.

2.4 Start by mapping how the three main spheres of capacity development interact with each other culturally. The task here is to engage key stakeholders and key informants in this exercise and see if you can develop a meaningful list, which you can then interpret in terms of interconnectedness. You can add to the categories below as many as you need to and depending on the context you work in.

2.5 Interaction between the three levels of CD means alignment or misalignment when it comes to incentives. The following table gives you a simple tool to see whether what increases moral, motivation and aspiration for an individual is consistent with an organization's cultural norms and whether both are aligned with an organization achieving legitimacy and credibility within the environment it operates in. Inconsistency can be easily spotted when engaging stakeholders in this exercise (e.g. higher pay may not motivate others and could engender jealousy; more responsibilities to build a team and effect change maybe more aligned with people's aspirations for recognition, etc.)

| LEVEL | CATEGORY | NOTES |
|---|---|---|
| Individual | • Intrinsic motivation | |
| | • Morals | |
| | • Aspirations | |
| | • Highlight possible differences in answers following informant groups (gender, other relevant groups to consider in the project context) | |
| Organizational | • History | |
| | • Mission | |
| | • Culture (including norms linked to gender and diversity) | |
| | • Incentives | |
| Enabling Environment or Society | • Security | |
| | • Rule of law | |
| | • Civic engagement | |
| | • State-society social contract | |
| | • Strong civil society | |
| | • Freedom of expression or free press | |
| | • Include differences in the above categories linked to gender and marginalized groups | |

2.6 To begin any process of change, a wide variety of financial and non-financial incentives need to be considered at all three levels, without which long-term process of developing capacity would be difficult to achieve. It is too early at this stage to decide which ones and how to mix or sequence them. This is only a note of caution not to jump to conclusions or solutions at the stage of simply understanding a society's or an organization's culture. Pre-conceived ideas or prejudices are major pitfalls here.

### Step 3: Determine motivations across the three levels of capacity development

3.1 Incentive systems and motivations are critical for capacity development as they enable individuals and organizations to perform their functions effectively, efficiently and sustainably and are crucial in motivating employees to participate in training programs, acquire new skills and actually learn from technical cooperation projects.

3.2 Motivation refers to the initiations, direction, intensity and persistence of behavior.

3.3 In this step you will need to map and list motivations on the three levels of capacity development starting from the template below but taking time to adapt and modify it first to your context.

| LEVEL | CATEGORY | MOTIVATION | INITIATIONS | DIRECTION | INTENSITY | PERSISTENCE OF BEHAVIOR |
|---|---|---|---|---|---|---|
| Individual | Internal | Sense of caring | | | | |
| | External | Sense of being | | | | |
| Organizational | Mission | Doing good work | | | | |
| | Culture | Internal relationships | | | | |
| | | External relationships | | | | |
| Enabling Environment or Society | Culture | Authority to prevent unfair practices and dealings | | | | |
| | | Sense of fairness | | | | |
| | | Modes to encourage fair behavior | | | | |
| | | Social pressure | | | | |

3.4 It is important to recognize that external sources of motivation also exist. Competition with other organizations is a key motivation for better performance at organizational level. Individual motivation might enhance motivation of an organization and vice versa, and organizations may be the prime entry point for motivating larger societal changes.

3.5 Motivations have a dynamic nature made up of both financial and non-financial incentives. Motivations also change with age e.g. extensive travel is not necessarily an incentive for someone with a family.

3.6 Motivations may also be different between women and men. A gender analysis which captures possible differences due to gender and diversity factors can provide the framework for creating gender sensitive and inclusive incentive systems, where it is also necessary to bear in mind that certain targeted empowering incentives for women or marginalized groups in different situations may be required.

### Step 4: Determine the levels and types of incentives in your project or initiative

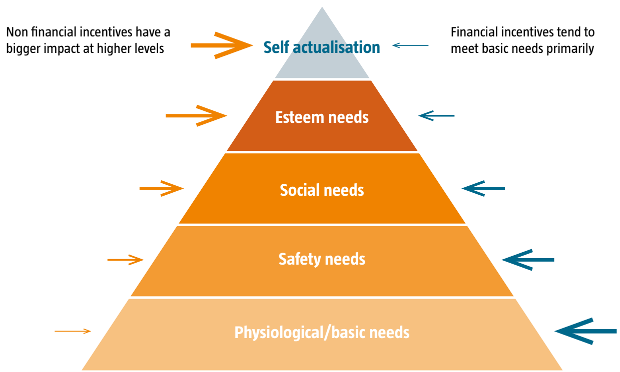
4.1 The use of incentives is a complex process as it is linked to their role in predicting and influencing human behavior. The mix needs to include an understanding of the mixture of objectives and expectations, with some concerns for society at large, including heavy emphasis on individual rewards to encourage people to change.

4.2 Many people argue that financial incentives need to meet basic needs primarily. However, people's social needs and esteem needs might only be met by more financial rewards, in the individual's opinion and depending on societal values.

4.3 At the same time it must be recognized that more money does not always lead to better performance. Once financial security is established, other factors can become more important like esteem, self actualization, a sense of achievement, recognition, responsibility and the quality of personal relationships in the workplace, which are all important sources of motivation.

4.4 See if you can qualify and label the arrows on both sides of the diagram. You may also want to list what appropriate inputs would be on each level at either side.

**Figure 18.**




## Step 5: Inventory individual incentives

5.1 Individual rewards are identified as the main incentive for behavioral change and are linked to individual self-efficacy, goals, values and motives. Performance related pay is one merit-based incentive that is used frequently. Merit will lead to competition, which will lead to enhanced performance. However, individual pay/benefits is not without problems. They often create frustration among employees.[6] Individual economic incentives can sometimes be problematic in terms of not leading to better achievements. The reward approach must be linked to notions of what are equitable, just and fair, recognizing, awarding and appraising performance.

5.2 Consideration of non financial incentives is important, not only if there are constraints to budgets to support increased financial rewards, but also in response to the notion that human beings have multiple levels of need which can be met in many different ways.

5.3 It is interesting to note that many people will accept lower salaries if the system is considered equitable and they are working for an organization which is doing work in which the individual feels passionate about.

6. https://www.youtube.com/watch?v=-dMoK48QGL8

5.4 Non-financial incentives include things like training and must be awarded based on extremely fair and transparent rules. They also include more abstract things like job security, opportunities for working flexibly, or taking a sabbatical after a certain amount of service.

5.5 Less tangibly accountability is becoming increasingly recognized as a powerful mechanism for increased motivation. Internal accountability is exercised through control and evaluation, and is primarily a tool for assessing performance and is partly linked to merit. External accountability is about holding public organizations responsible and accountable to the public. If citizens have increased access to information (transparency), the power to discuss this information and criticize and influence public action this could increase pressure on both the organization and individuals to do their job more efficiently and according to the rules and regulations.

5.6 To have a clear understanding of what might work in your project or initiative start by inventorying existing incentives and applying some scrutiny to them. This will require a lot of consultation with the organizations and entities partnering in the initiative and you might want to have a separate sheet for each one because they could vary considerably. Following that see where the optimum mode or level might be and what the feasible and appropriate mode is. This can be reached through a combination of consultation, matching to goals, objectives and expected results, the overall approach of the capacity development initiative and most importantly validated by key informants, previous experiences and agreement with partners. You can expand and list more categories in the table below as much as the system you are working with allows. The table is only an illustration to the method not a blueprint.

**FINANCIAL INCENTIVES**

| | | Existing | Ideal | Feasible |
|---|---|---|---|---|
| Pay | Base salary | | | |
| | Bonuses | | | |
| | Stock options | | | |
| Direct Financial Benefits | Insurance | | | |
| | Pension | | | |
| | Allowances | | | |
| | Materials | | | |
| Indirect Financial Benefits | Subsidies | | | |
| | Child care | | | |
| | Training | | | |

Introduction 1 2 3 4 5 6 7 8

| NON-FINANCIAL INCENTIVES | Existing | Ideal | Feasible |
|---|---|---|---|
| Training | | | |
| Job security | | | |
| Social privileges | | | |
| Reputation | | | |
| Re-employment after retirement | | | |
| Holidays | | | |
| Flexible working hours | | | |
| Sabbatical or study leave | | | |
| Planned career breaks | | | |
| Counseling and professional coaching | | | |
| Recreational facilities | | | |
| Child care facilities | | | |

## Step 6: Inventory organizational incentives

6.1 Organizational culture includes a shared set of norms and behavioral expectations characterizing a corporate identity and is often the reason for staff to join this particular organization. A psychological contract of sorts develops between the individual and the organization, and some organizations go beyond the alignment phase and strive to make individuals internalize the organization's goals. This is a very powerful incentive as individuals consider the organization's goals as their own therefore enhancing their own performance to reach these goals.

6.2 The way an organization rewards its staff is also a key factor in attracting particular staff. Clear and applied performance standards, linked to rewards and recognition, also contribute to organizational performance. Autonomy is important for the organization and subsequently staff morale. Teamwork and dialogue can also be considered as important organizational incentives including open forums to discuss solutions for service improvement, etc.

6.3 As with individual incentives, organizations respond to incentives geared towards improving accountability, which is accomplished through increased competition, a robust civil society and transparent governance structures. Finally, develop an effective action plan which defines who is going to do what, when, where and how. It is a practical document and one, which all partners will need to sign up to.

6.4 You will need to carry out a similar inventory to the one applied to individual incentives to get an understanding of what motivates each organization.

| FINANCIAL INCENTIVES | | | | |
|---|---|---|---|---|
| | Existing | Ideal | Feasible | How to instate it |
| **Internal** | | | | |
| Group based performance reward and pay | | | | |
| **External** | | | | |
| Benchmarking and competition among organizations | | | | |

| NON-FINANCIAL INCENTIVES | | | | |
|---|---|---|---|---|
| | Existing | Ideal | Feasible | How to instate it |
| **Internal** | | | | |
| Autonomy | | | | |
| Supervision schemes | | | | |
| Recognition schemes | | | | |
| Training and professional development | | | | |
| Leadership | | | | |
| Team building | | | | |
| Transparent promotion schemes | | | | |
| Supportive supervision and feedback | | | | |
| Performance management tools | | | | |
| Staff participation in decision-making | | | | |
| Horizontal and vertical communication | | | | |
| Quality improvement teams | | | | |
| Building a quality culture | | | | |
| Participatory problem solving | | | | |
| **External** | | | | |
| Accountability schemes | | | | |
| Citizens' charters | | | | |
| Service delivery surveys | | | | |
| Market exposure | | | | |
| Financial responsibility | | | | |
| Governance | | | | |
| Transparency | | | | |
| Preventive anti-corruption measures | | | | |
| Responsibility for decisions | | | | |
| Regulatory mechanisms | | | | |

**REMEMBER THIS:**

Incentives are not to be confused or conflated with reward, as is usually the case. Direct conditional rewards could simply mean seizing of activities or engagement as soon as the reward is withdrawn or comes to an end. Incentives are about finding what drives and motivates people and organizations and what creates commitment and ownership. They are sometimes intangible and not obvious and require a very deep understanding of local and organizational culture. It's a good practice to question the obvious first. It is also important to check what might work as a perverse incentive in the long-term.

## You Know You Are Successful When...

- Collective solutions to incentives mechanisms, as opposed to mechanisms focused on individual performance, are tailored to local conditions and aligned with nationally led schemes.
- The capacity development initiative manages to pool donors' resources to support national schemes through the budget and not create separate or parallel systems.
- Incentive schemes in cash or kind are avoided at all costs.
- There is a planned exit strategy, regardless of the approach, and one that manages to seamlessly hand over responsibilities.

## Examples of Good Practice

The following are summarized extracts from various case studies where some of the pros and cons, good and avoidable practices are briefly highlighted.

### 1. Harmonized approaches:

It is imperative that all approaches should be led by national agents and integrated into the national budget. In Tanzania the Selective Accelerated Salary Enhancement (SASE) scheme offered a potentially sustainable solution to salary incentive problems within the wider context of pay reform. It was part of the government's Public Service Reform Program. SASE targets personnel with the greatest impact on service delivery. Nominees signed performance agreements that served as the basis for determining acceptable performance and the intention was to appraise them annually, using an objective assessment system.

However, the program took much longer than expected. This meant that the salary incentives were no longer competitive by the time they were ready to benefit from the scheme. Gradual pay reform became the reality while traditional supplementary payments persisted. Additionally, the Government was unable to conduct performance reviews and there was no clear time horizon for phasing out the salary supplement and therefore no exit strategy for donor funding.

**2. Non-materialistic incentives:**

The Rwanda Revenue Authority was a semi autonomous agency set up to administer the collection of taxes and customs & excise duties on behalf of the government. The organization was dramatically reformed from a defunct government department to a performing and respected organization through a series of non-material incentives, which facilitated the process. This was enabled by a variety of non financial incentives including the desire for increased national pride, support from the highest political levels and broad based donor support, a clear mandate, agency status and management autonomy, improved corporate values and reputation, successful human resources management and particularly clear and understood client focus.

Crucially the process has been locally driven and owned, allowing the development of capabilities, funded in large part from external sources, to translate into better performance.

**3. Performance linked funding:**

In Uganda, the UNCDF worked closely with the Ministry of Local Government to design a grant modality with inbuilt performance incentives.

Local authorities could apply for grants if they fulfilled certain minimum conditions. The grants were adjusted according to detailed, nationally established performance guidelines for local government planning, procurement, accounting, etc. The conditions to be fulfilled by the local authorities, once they had been awarded the grant, were widely published to the general public including the amounts of money they received and the justification for increasing/decreasing grants following performance assessment. Therefore accountability was increased and councilors who previously were not concerned about deadlines pushed staff to finish on time.

**4. Demand side financing:**

Brazil took a new route to subsidizing education, where the government, through its municipalities, offered mothers a stipend for enrolling and keeping their children in school. Crucial to the program's success was the broad-based partnership between state, municipal and private sector organizations, as well as considerable support across the political spectrum.

An allowance of $6 per child, up to $18 maximum per family, was allocated, on the condition that children attend a minimum of 85 % of classes. Attendance was checked before mothers could withdraw the allowance. It was a substantial addition to family income in many economically deprived regions.

The program's success is attributed to: financial sustainability as it was funded by federal tax and guaranteed by federal legislation; targeted the poorest through prioritizing municipalities with the lowest human development indicators, affected by natural hazards, or had a high rate of violence; strong partnerships and networks were developed to support the initiative, from federal to municipal levels; and community participation, social control and after-school activities were encouraged by municipalities who were made responsible for the selection of eligible families and the supervision of grant allocation, running social and educational programs after school and for setting up a municipal Social Control Council which was drawn from the local community.

### CASE STUDY 1:

#### Support to the Joint Crises Coordination Centre (JCC) of the Ministry of Interior, Kurdistan

MSB has been providing support to the Kurdistan Regional Government (KRG) in Iraq, both through technical expertise and technical equipment, for the establishment of an entity responsible for crisis management and coordination, the Joint Crisis Coordination Center (JCC), within the KRG Ministry of Interior. There are a few examples of financial and non-financial incentives, working in a (mostly) positive way for the development of the organization in question.

The KRI, being an autonomous region of the country Iraq, is entitled to a certain percentage of the Iraqi national state revenues. Because of major disagreements between the federal government in Baghdad and the regional government in KRI, this money had in late 2016 not been paid out to the KRG in more than a year, leading to a very strained economic situation in the KRI with a budget crisis. Government employee salaries have not been paid in several months, and most government institutions are functioning on a minimum level.

Despite this context, the JCC, being a young institution with a small but dedicated number of staff, has managed to perform along its given mandate. One of the reasons for this is the staff´s mindset and opinion that the duties they are performing, supporting and coordination relief and humanitarian support, is most important during the difficult times they are experiencing, with the large number of refugees and IDPs. This situation has the upside of giving the JCC the attention and reputation as a well-functioning body, creating good will for the institution. However, it also has the downside of pushing the JCC to take on tasks outside of its mandate, as officials higher up see that this is one of the few actors actually performing.

The MSB support to the JCC also create incentives for staff retention, despite them not always getting paid for their work. MSB is providing support on two levels; training of staff and support to organizational development. The training of staff consists of both training sessions, managed by MSB trainers, as well as on the job training, where the MSB trainers work together with the JCC staff following their daily routines. The possibility to receive this training and experience can be seen as a great incentive to motivating the staff to both stay in their positions, and develop their respective competencies.

Staff from the JCC along with its upper management, were also invited for a study visit to the MSB offices in Sweden. This visit also had the double function as a training opportunity for the staff, as well as an incentive for staff to remain loyal to their employer. However, to some extent it also became clear that part of the staff participating did so in the interest of travelling and visiting Sweden than to gain actual experience and knowledge.

From the start it has been communicated and understood by both parties, that the cooperation between MSB and JCC will be a completely non-financial one, thus MSB was not supposed to provide any kind of financial support. The financial situation in the KRI has however prompted, that JCC has no possibility to cover any expenses in relation to training activities. This has led to MSB agreeing to reimburse participants up to a certain level, such as covering costs for travel and accommodation for those who need to travel within KRI. This incentive has greatly increased the possibility of participation in training by those who are not stationed in the capital city of Erbil. Without this exception, the assistance might have had a far more limited impact on staff knowledge and skills.

## CASE STUDY 2:

### Pakistan Urban Search and Rescue

Since this project aimed at increasing Pakistan's capacity within Search and Rescue and Pakistan had suffered from an earthquake in 2005, there was both strong motivation in place, and high expectation from responsible agencies to build a higher level of preparedness.

This project is an example of where the needs for incentive creating efforts were identified along the way, but a couple of overarching issues were of great importance for creating an instructive incentive process. These included the final signed joint agreement and clarity on the available funding for the project. In this project, several donors were involved, and while funding had been granted from one donor, the final confirmation from the other main donor took longer. This created a situation where it was difficult to create incentives, since it was not fully clear what the priorities were going to be and how far-reaching the project could be, which created uncertainty among the stakeholders and had an overall negative impact.

The joint agreement provided an important framework for successful management of the overall incentive process, providing the framework for the relations between the stakeholders in the partnership, spelling out roles, responsibilities, mandates, and the financial details of the project etc. Incentives were also closely interconnected to expectations. Managing and living up to expectations is key for incentive management throughout a capacity development project.

The project management realised at an early stage that proactive work towards key instances within the enabling environment was important in order to ensure that the partners' mandate was actively supported by their respective government departments or ministries. This proactive attitude by the project management vis-à-vis important authorities and key persons within national authorities responsible for customs and taxes, to the General Director of the National Disaster Management Agency, and the mayors in the cities involved in the project, proved absolutely necessary to create incentives for the organizations within the project. Regular visits and conversations resulted in the partners knowing and feeling that their respective departments or ministries condoned and supported their involvement. An important tool for creating an incentive conducive to the enabling environment was to show the technical strength of the MSB team and the level of expertise and experience (instructors, training coordinator, two expatriate staff stationed in Pakistan with high management of staff skills throughout the course of the project).

A number of organizations were to develop their capacities, and while good intentions were evident, it was clear they needed more in order to be able to invest time in the project. They needed to hire new staff, land where training fields could be built, approved internal funding, and a general availability of expert advice on alternative measures to develop new operational systems to mention just a few. The project management had to provide regular confirmation that the planned activities were actually going to happen in order to keep motivation and morale at a high level.

The project included a number of very concrete incentive creating measures, including: training fields, building of specialised teams in three cities following international standards, heavy equipment, and standardised trainings and training system within Search and Rescue. The adaptive nature of the project to include needs that were not evident in the development phase such as including daily preparedness into the training programme was important. The motivation increased at the organizational level within the local agencies as the project supported them in understanding their mandate and responsibilities from an all-hazard approach. Heavy USAR-equipment was to be donated at the very end of the project, and this proved a very important asset in sustaining incentives from the participating organizations throughout the project, e.g. when securing staff for trainings. The participants were also allowed to use the equipment during real incidents, which also proved very important to them.

Creating early results is important to build further incentives. An important learning on this project was that a pilot project could create incentives since it focuses on a more limited number of expected results and whereby a mandate can be developed. A pilot also allows for further developing the objectives. Unnecessary expectations can be avoided and the main project can be built on a number of already established results, promoting incentives, such as a relevant and sufficiently developed training curriculum which is adapted to the local demands and which could include clear instructions on the set-ups for the next project phases. In this project, the curricula were instead developed "along the way".

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Incentives are closely interconnected to the perceived legitimacy of the partners, their level of knowledge and expertise. In this case MSB was much respected within Search and Rescue due to it hosting readily deployable Medium and Heavy INSARAG-certified teams, and MSB had also been active in the Pakistan earthquake response. Depending on the technical area of cooperation, it may also be important to include specific international networks or standards in the collaboration, in this case INSARAG, in order to increase incentives from all partners.

It was considered very important that MSB (then SRSA) should formally register in Pakistan in order to be exempt from various import customs and financial duties or other permits. The registration process had to be cancelled though due to other political reasons, creating a situation where motivation among some partners in the country was lost.

Important incentives were developed for training exercise, which created incentives for both individuals and their employers. Examples of these were the possibility to be temporary relieved from ordinary duties in order to participate in the trainings, the possibility to get new titles and specific responsibilities that continued after the project, receiving diplomas, etc.

An important learning on this project was that big problems actually could be solved through small incentive related actions while adapting to the local situation. A study visit to Sweden for key participants was added as an activity. It both proved important for the overall intercultural interaction in the project and for increasing the understanding among the Pakistani project members of the Swedish system and practices.

Incentives for project managers were also important. They need to feel they have full confidence and a mandate, which reflects the level of expectations from partners, as well as within the project manager's own organization.

## Resources

Robredo, J. M. (undated concept note) Monetary and non-monetary incentive mechanisms as a Capacity Development strategy.

Ullebrg, I (2009) Incentive Structures as a Capacity Development Strategy in Public Service Delivery. UNESCO and IIEP.

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CHAPTER 7

# Indicators

# Indicators

## Overview

As any project or initiative unfolds, indicators are useful for keeping track of what is happening. It is hard, if not impossible, to manage or monitor a project without having adequate indicators in place from the start. Working with capacity development indicators has many acknowledged benefits, but also some tough challenges.

There is still a lot of debate and experimentation about the best way to develop and use indicators for monitoring and evaluating capacity development. Some of the critical issues are: What is being assessed – the objectives, inputs, outputs, outcomes or impact? Who needs the indicators? How can they use them to best effect? What values are at work in the measurement of capacity? How can soft capacities be measured? Innovative practices are now providing some answers to these questions and also providing ways to meet multiple needs. The ‘capacity for what?’ question should always be kept central to all thinking about indicators.

But capacity development is ultimately about change and therefore outcomes beco me the most important thing to measure. At the same time, the quality of the inputs and outputs are important to monitor and measure along the way in order to ensure that a project or initiative is on the right track and working towards its stated objectives and to enable adjustment of course and correction if needed. Impact, on the other hand, is the highest level and where resources and mechanisms allow should be assessed because there is a degree of learning there that cannot be achieved through simply assessing outcomes. Impact assessment elevates learning to the third feedback loop.

This chapter aims to provide you with essential skills and knowledge of an important component in capacity development initiatives. Projects and programs that didn’t pay enough attention to not only setting indicators but the actual process to formulating such indicators missed a crucial step and some would question whether they were adequately evaluated and assessed given the absence of such indicators. The chapter will introduce good practice in developing indicators in ways that would enhance ownership and contribute to developing the most appropriate indicators.

## Critical Questions

There is always a lot to negotiate and think about when deciding on indicators. It is certainly not a straightforward process and the complexity of capacity development complicates it even further. The fact that not everything is measurable and capacity is never built or developed in a linear way creates challenges in the process of setting indicators. As you might have grown accustomed to in this guide every stage or step requires some thinking first and preparation. And because contextualization is key to any capacity development initiative you will find yourself having to carry out this questioning exercise every single time you embark on a new project or program rather than pick a set of ready-made indicators off a shelf. Developing indicators starts with posing a number of questions which the core team and key stakeholders need to carefully address and agree to:

1. How do you define indicators in your specific project or program and why do you need them? Awareness of the rationale and purpose will help you develop the right type and appropriate mix.
2. What types of indicators does your project or program need? These are not the actual indicators just yet. This is a framing of the typology and categories of indicators.
3. Who should define and use the indicators?
4. What are the starting points in developing the indicators? This is more of the work plan.
5. How are you going to sequence the indicators over time as capacity is gradually built?

*Watch out for these well known pitfalls:*

- Starting and pushing ahead with no clarity on the process of developing indicators. Even worse having no indicators at all.
- Not being explicit about the indicators or making assumptions about what other stakeholders mean or understand by indicators.
- Developing indicators on the individual level but not for organizational or enabling environment levels.
- Using standard blue print non-contextualized indicators or importing them from another project or generic manual without any scrutiny or adapting them to your program.
- Setting up indicators right from the start of a program or project with no sequencing or allowing for periodic reviews as the context changes and the project influences and is influenced by the environment it is set in.

## Tools and Practical Steps

Capacity development takes a long time and there is often a lag period from the initial intention to the final capacity development goal. Many things will happen during the duration of the program and many things will have influenced the process. Indicators are therefore an important aspect of the process and are specifically about assisting the stakeholders to keep track of what is happening at each stage of the process.

Developing indicators is a difficult task for long-term projects. As part of this matter, being clear about what the most important things are to assess is essential. The issue around who the indicators are for is an important one as ownership of the program can depend on who developed the indicators and therefore decided on their purpose. With this in mind, when developing indicators it is imperative to establish what values are at work to ensure a grounding of assessment criteria which are endogenous in nature.

Indicators, if used to their best effect, can enable participants to innovate new practices, for measuring change, but also for developing new ways of responding to capacity needs. Without indicators of change that is taking place, reflection will be difficult, thereby reducing opportunities for adaptation. Finally, establishing indicators for soft/functional capacities is very difficult and needs to be carefully considered.

For the sake of clarity we divide the process of developing indicators into one preliminary planning step followed by 7 consecutive steps.

### Planning Step: Layout and detail action steps in developing indicators

This step involves the core team and key stakeholders. It may take more than one session or planning workshop/meeting each with a specific purpose or going over the same tasks again and further refining them with each meeting. The idea here is to plan ahead for four key tasks that are required for developing indicators, deciding how they will be carried out, who will carry them out (multiple stakeholders), what inputs are needed, and how they will contribute to developing the indicators. These tasks are as follows:

- Identifying relevant stakeholders: First you need to identify stakeholders who need to be involved in defining and using the indicators. Go back to the stakeholder mapping and analysis and clearly identify stakeholders who are involved and heavily invested in inputs, outputs, outcomes and impact.
- Gathering baseline information: Without a clear baseline of information there will be nothing to measure against, therefore gathering information to establish this is critical. This should have been part of the capacity and needs assessment but might need to be further supplemented with information related to indicators of the capacity assessment reinterpreted for this particular purpose.
- Decide on the type of indicators your project needs: This relates to appropriateness especially with regards to soft/functional capacities, which are more complex and might have to rely on observation or proxy indicators, and hard/technical capacities, which might be relatively easier to measure.
- Sequencing indicators over time: As the situation changes and capacity is developed indicators will need to reflect that and some of this can't be forecast or determined from the start. What you need to plan for here is the sequencing process to revisit indicators, review, update, introduce new ones and aim at keeping stakeholders engaged and committed as they see progress at various intervals.

### Step 1: Decide on why you need indicators

1.1 Whether you are working with the Logical Framework approach, Results Based Management, or Theory of change, indicators need to be appropriate to the model and approach your project adopts. Try to find several indicators to measure inputs, outputs and outcomes – impact assessment is a separate process. Indicators can and should measure both quantity and/or quality of what the project intends to achieve.

1.2 This first step is still somewhat a preparatory one. Try to follow the following points and clearly and explicitly document each one with agreement from key stakeholders:

- Decide what constitutes success for each input, output and outcome.
- Describe in writing the desired future state (results) and process to reach it.
- List how the above would support monitoring and evaluation of progress.
- Set up a mechanism to support stakeholders to clarify what capacity is to each and everyone.
- Decide how indicators will provide information to stakeholders on progress.
- Determine how indicators will be part of the capacity development process itself.

## Step 2: Determine the different types of indicators

2.1 First you need to differentiate between process and product indicators. For example if the capacity development intervention is to focus on organizational learning, the process indicator could be the integration of learning tools into everyday working processes.

2.2 Product indicator might be that the learning practices have led to better problem solving and improved quality of service for beneficiaries or customers.

2.3 Your project might be a combination of process and product. In fact, most capacity development initiatives or projects will cover both process and product with varying degrees and weight or emphasis on each. You need to decide the relative weighing of process vs. product capacity development.

2.4 In this step you need to frame and unpack what process(es) and product(s) the project or initiative aims to develop and what the components of each are, so you can begin to list draft indicators for each (see the example of good practice in section 5 in this chapter).

| | CATEGORY | COMPONENTS | INDICATOR(S) |
|---|---|---|---|
| Processes | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Products | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

## Step 3: Decide who should define indicators

3.1 Capacity indicators should reflect the interests and choices of all key stakeholders; therefore they should be involved in the formulation of the relevant indicators to them.

3.2 The best way to establish suitable indicators is to ensure there is dialogue between key stakeholders.

3.3 As part of the evolution of indicators it is often helpful to put into place a process that not only assesses and reports on indicators but regularly allows local stakeholders to re-establish ownership and commitment to the indicators, especially as programs can continue over very long periods of time and across multiple projects. One way of doing this is to establish a working group representative of all stakeholders and one that is tasked with the review and updating of indicators against progress on the project and as capacities are developed. This provides oversight and scrutiny and enables direct and impartial feed back into the overall monitoring and evaluation process.

3.4 Be careful when developing capacity indicators that are only oriented towards donor requirements and are not sufficiently driven by local stakeholders as this will limit local ownership of the program and will invariably not result in sustainable change. Try to align project indicators with indicators that are already used by the partner.

3.5 As a draft attempt and in preparation see if you can fill in some of this table which you can be further elaborated and developed in Step 4 below:

| PROJECT SUMMARY | MEASURABLE INDICATOR | MEANS OF VERIFICATION | IMPORTANT ASSUMPTIONS |
|---|---|---|---|
| Goal | | | |
| | | | |
| Input | | | |
| | | | |
| Output | | | |
| | | | |
| Outcome | | | |
| | | | |

## Step 4: Decide the different types of indicators you will use

4.1 Various organizations use SMART criteria to establish indicators instead of, or as well as using smart criteria for objectives. SMART criteria are not without criticism or problem free. There is no right or wrong approach to this though. It depends on what is most appropriate for the context and needs. SMART indicators that are more appropriate for hard capacities follow certain criteria. They generally:

- Describe what you must measure
- Specify target groups
- Describe intended change, quantitative and/or qualitative
- Specify timeframe for objectives and activities
- Specify location

4.2 Hard capacities are generally easier to measure therefore SMART criteria can be very useful for this type of capacity. However, you need to remember that simply measuring hard capacities will not be useful or sufficient to understand the impact of a capacity development project or whether there is sustainable capacity in the system. Hard capacity indicators generally do not reflect behavior and attitudes and the focus can be so narrow that improvements in soft capacity might be missed.

4.3 Soft capacities often relate to personal behavior and attitudes and the assessment could come across as intrusive or threatening. Ensuring stakeholders' engagement in the development and evolution of the indicators should alleviate this problem. Soft capacities include things like confidence in the way a person addresses a public meeting, or the ability of a leadership team to think strategically, therefore observation is more often the most appropriate form of evaluation.

4.4 Here is some guidance on how to develop an indicator for soft capacities. First try to follow the bullet points below in formulating a statement for a specific output or outcome:

- **Substantial** – reflecting a vital aspect of an output or outcome in specific terms.
- **Independent** – not used for more than one output or outcome at the same level.
- **Factual** – based on verifiable data and not subjective impression.
- **Plausible** – recorded improvements can be directly attributed to the project.
- **Based on obtainable data** – based on data that is readily available or that can be collected with reasonable extra effort.

4.5 Following that you need to establish how each indicator will be applied. This is usually done by clarifying how the indicator, means of verification and expected result relate to each other, reducing the sense of overlap between these elements enables you to formulate a clear statement for an indicator.

- The indicator is what is measured.
- The means of verification is how it is measured.
- The expected result is the target to be achieved.

4.6 Try the above two steps for a single trial indicator and engage the core team and key stakeholders to see how it works and before you launch into the full scale of developing indicators for the entire project. This is a skill that needs some development on your part first.

### Step 5: Establish baseline information

5.1 You need to establish a clear starting point otherwise it is hard to measure progress. Do not overlook this step, as there will be nothing to measure against if you do. Baseline information gathering can take a number of forms, however the simplest and most useful can be a mapping exercise where current performance and maybe a description of the quantity and quality of the services produced by the organization or sector is done. You should have already done some of that during the capacity and needs assessment stage and you might need to revisit that assessment, qualify and verify some of the information gathered which relate to base line, and further supplement it if needed.

5.2 Focus on current capacities and outcomes as a way to avoid monitoring inputs or gaps rather than achievements and progress. The mapping should cover soft capacity issues like leadership, power relations, learning, etc. It is important to reflect on previously established information about the institutional environment, especially as any recognized block to capacity development could be the benchmark against which good indicators can be developed.

5.3 You also need to involve stakeholders in baseline assessments. It will probably need time so that all stakeholders reach the same level of self-awareness about their current situation. Involving all stakeholders in the baseline mapping is important as they probably have a lot of the necessary information or will know where to get it.

### Step 6: Decide which are the context specific indicators

6.1 You may find that some capacities can only be monitored by observation, and are almost impossible to measure. Your ability to do that will depend on an understanding of the local context and cultural norms.

6.2 It is acceptable to set these as indicators with the verifiable means being observation. However, you might want to think of a triangulation method so it is not a single person/entity's observation but confirmed and verified by multiple sources. Some of the capacities that need to be verified through observation are:

- Quality of interactions between institutions.
- The confidence with which a woman addresses a public meeting.
- The ability of leadership teams to think strategically.

6.3 These are difficult to capture in quantitative terms, but are very important indicators of capacity and the potential for change being sustained.

6.4 If indicators have been established with the key stakeholders, assessment will feel less intrusive especially with this kind of soft capacities where observation is more useful than trying to quantify success.

### Step 7: Sequencing of indicators

7.1 It is not possible and generally not helpful to develop all the indicators for all the stages of the whole program or project at the inception and all at once.

7.2 Each stage of the project will have many aspects of capacity development progress. There will probably be changes in the institutional environment, which could have a direct impact on implementation and results.

7.3 Schedule a periodic review, perhaps using the same working group set up for that purpose, against initial indicators to formulate new indicators for on going work. Higher-level capacities will be clearer as you move forward and as individuals' and organizations' capacities are developed.

7.4 You will also need to sequence indicators so you can flexibly experiment and adapt the project to achieve objectives and new ideas. Better indicators and ways to assess them could emerge as the project progresses.

7.5 There are intended outcomes, which your project will aim for and there are also unintended outcomes both positive and negative. Sequencing will enable you to develop new indicators for outcomes that were not planned or when the pace of change is altered by circumstances – accelerated and surpasses what you expected because of political will, buy in, fast learning; or slowed down and hampered by conflict, vested interests, unexpected political change through elections or a local/regional conflict, etc. In short, the inability to anticipate or forecast everything in a complex environment means that things do not necessarily go according to plan and sequencing needs to allow room for that.

7.6 The method for sequencing is simple and works on two levels:

- The first is temporal or on project phases: Indicators need to be in place for the inception stage and the first one or two phases. General or loose indicators need to be thought about at the start but not fixed – only penciled in. As you progress indicators for later phases come into focus and need to be better defined and sharpened depending on the state the project is in.

- The second is higher-level indicators. As capacities develop you may want to think of measuring capacities that were either not anticipated at the start and began to emerge or ones that were planned but the nature of which is organic to the extent that you couldn't think of means of verification at the start. These are generally related to complex relationships that develop in the enabling environment and take much longer to be established and observed or their impact felt.

**REMEMBER THIS:**

During the establishment of indicators it is critical to remember what is worth measuring as opposed to what can be measured, ensuring that indicators do not purely become a tick box exercise but remain a meaningful benchmark for progress. Capacity development programs happen in complex environments where there are multiple capacity needs. However, this does not mean that indicators should be complex, they must be framed simply and be meaningful for all stakeholders otherwise they become powerless.

## You Know You Are Successful When the Indicators are...

- Relevant to key stakeholders and correspond to the factors that they wish to measure.
- Useful to measure quantity and quality where relevant.
- Indicate when the results are or could be achieved.
- Cost efficient and it is possible to collect data without incurring high levels of cost.
- Easy to collect data for.
- Sufficiently sensitive to measure or monitor change.
- Adequate enough to collectively give a picture of the relationships between the organizations and stakeholders that make up the system.

## Examples of Good Practice

### Examples of capacity development indicators

| WHOSE CAPACITY? | CRITICAL FUNCTION (capacity to do what?) | EXISTING CAPACITY | CATEGORY | STRATEGY FOR CHANGE | CAPACITY INDICATORS |
|---|---|---|---|---|---|
| Local financial officials, district assembly members, central financial officials, political authorities at all levels. | Decentralizing payment functions from line ministries to local governments. | Rudimentary at present as financial systems have been in place only 18 months. Shortage of staff at district level and skepticism at central level. | Projected capacities | Combination of training, systems development and political change at the central level. | Ability of the system to transfer funds between authority levels (say within 45 days of the end of the quarter) and or produce audited statements within six months of the end of the fiscal year. |
| Community water management committees. | Water pump maintenance in rural areas that cannot be properly serviced by regional authorities. | Committee can handle routine maintenance but cannot deal with major repairs which require special tools and spare parts. | Projected capacities | Building a maintenance system that allows central agencies and local governments to provide support to community groups. Will require awareness, logistical and incentive changes. | A functioning pump management committee that meets at least once per months and keeps the pump functioning 90 % of the time in normal circumstances. |
| Operational staff at the field level of certain central agencies and ministries. | Need to coordinate information amongst six ministries working on environmental issue of soil erosion in a particular region. | Staff work reasonably well but are hampered by severe logistical constraints. | Context | Collaborative efforts to put in place low cost transport and communications improvements including fax machines, bicycles, road improvements. | 25 % Increase in the number of projects that require contributions from two or more departments. |
| Research staff of government departments. | Need for government departments to carry out joint surveys of client farmers in delta area of cotton region. | No surveys take place at present. | Process | Series of workshops designed to create greater coherence, trust and common approaches to better understand farmer needs. | Acceptance of survey methods as an effective tool by senior by senior research officers and their incorporation into the work program of the agencies. |

*Source: Morgan, P. (1997) The Design and Use of Capacity Development Indicators. A paper prepared for the Policy Branch of CIDA. Canadian International Development Agency.*

### CASE STUDY 1:

#### West Africa Disaster Management Capacity Building Project (WADMCB)

Indicators were identified to make it possible to measure the progress of the project at different levels. The process through which the indicators were developed was very similar to the process where goals and objectives were developed. The indicators were integrated in the log frame and were developed based on the same information and the same baseline as the goals and objectives. The working group that was established with representatives from the IFRC Zonal Office in Dakar, the IFRC Sub-zonal Office in Lagos, IFRC Sierra Leone Country Delegation, Swedish Red Cross and Swedish Rescue Services Agency was responsible for developing the project proposal including the goals and objectives as well as indicators. In practice it was SRSA that carried the main responsibility for carrying out LFA seminars with the participating national societies. SRSA then presented its suggestions to the working group for which indicators to be used.

All indicators and sources of verification were given in an LFA-matrix. A number of 4–5 indicators were developed for each output, apart from the output on improved disaster response mechanism that had 13 indicators that were measured during the project.

The national societies were not consulted on which indicators would be most appropriate or what means of verification would be most suitable. This resulted in their reporting not aligning with the indicators in the project logical framework, nor adequately capturing the change being sought within the national societies.

Indicators were mainly set for organizations and their processes such as: NS's role integrated into the national governments national disaster response plan; existence of coordination mechanism and reporting lines within NS; Developed risk map, in one pilot division, branch and community. One or two of them were set for groups of individuals (relating to training of trainers).

At the individual level participants in trainings filled in post training evaluations where they answered questions regarding whether they thought their knowledge and skills had increased as a result of the training. There was however no specific tests carried out to validate the findings in the self-assessment.

Actors in enabling environment such as government representatives actively participated in meetings and trainings, but no indicators were set vis-à-vis the enabling environment.

Indicators were mainly set for outputs. No specific indicators were developed for measuring inputs (e.g. how many hours were invested in trainings, or relating to the quality of project management). Inputs were only measured financially.

Several issues remained hard to measure. The project reporting, (annual, semi-annual) was not results-orientated or aligned with IFRC PMER system; and although the individual activity reports were positive, the analysis of results against project objectives was missing. Furthermore, the reporting was not aligned with the indicators in the project logical framework.

Measuring changes in organizational capacity is a difficult task. The external evaluation of this project adopted a conceptual framework called the "Ripple framework", to provide an effective and appropriate benchmark against which to assess effectiveness of the intervention. The model recognizes that in measuring capacity-building it is important to collect information at three levels – the quality of the capacity input (Ripple One); the resulting changes in the organization (Ripple Two); and the ultimate impact on the organization's beneficiaries (Ripple Three). The evaluation found that the indicators at the outcome level of the project's logical framework were not adequate or sufficient in capturing the expected changes in capacity.

The project would clearly have benefitted from a mid-term review as it would have given guidance in further development of SMART indicators and the Ripple framework could zafter its completion. The IFRC assessment tool "Well Prepared National Society" (WPNS) was used mid-term, and resulted in one objective being removed. However, the results of the WPNS were not used to revise the indicators. The WPNS were also used by the external evaluators after the finalization of the project, who could then use the first WPNS self-assessment as a baseline to compare and contrast.

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During the 2009 project revision, it was decided that the cross-cutting issues would be addressed in a phased manner in order not to overwhelm the target NSs. As a result, gender elements were introduced in the second year of the project during the second DM overview training, and environmental issues in the third year of the project during the advanced DM course. For this, gender and environment experts were sourced by MSB to provide specific analysis and guidelines, as well as facilitated training sessions and developed papers and training template (including facilitation techniques) on how to integrate gender and environment in the development of DM activities (e.g. early warning systems and gender-sensitive awareness raising campaigns). In response to the recommendation from the gender analysis conducted by the NSs in 2009, two gender focal points (one woman and one man) were identified within each of the NSs. Terms of reference were developed and specific training was given in support of their responsibilities. However, no specific outcomes or results for the cross-cutting issues were developed, and hence no specific indicators relating to gender or environment were set.

Indicators were sequenced as one result in practice provided the platform for the other, but it was not clearly planned to be this way and it is not clear in the log frame.

The indicators were influential at a general and overall level, but did not influence the details. They were a logical outcome of the goals and objectives. Had the indicators been SMART and of higher standard, they could obviously have been used in a more concrete and detailed way.

### CASE STUDY 2:

**Capacity Building of the National Institute for Disaster Management (INGC) in Mozambique**

MSB supported the National Institute for Disaster Management (INGC) in Mozambique, in partnership with the UN Country Team, (UNCT) to plan, carry out and evaluate simulation exercises in Disaster Response during 2008–2010. In tandem with the support to these simulation exercises, MSB worked with INGC to develop a longer-term capacity development intervention in cooperation with the UNCT and other key stakeholders in Mozambique. This cooperation project between MSB and INGC lasted between 2011–2014 and included capacity development support in primarily three technical areas: radio communication, logistics and mobile command and coordination centers (CENOE).

The long term objective (impact) was to contribute towards reducing the vulnerability of men, women, boys and girls to natural hazards in Mozambique. The outcome (midterm) of the project was to improve the capacity of the Government of Mozambique to prepare for, and respond to, natural disasters taking the needs and situation of vulnerable population groups into account.

The output of the project included 120 members of INGC staff being trained, and increased their capacity in the three areas of the MSB-INGC cooperation; radio-communications, logistics and mobile CENOE. Moreover, they increased their knowledge of gender as a cross-cultural issue through all areas [source of verification: workshop reports, participants lists, annual and midterm reviews].

The initial indicators for the project were developed in the programing phase by the project managers at MSB in Sweden with INGC contributing remotely from Mozambique. There was a lack of participation from stakeholders and actors in the development of the indicators, which resulted in the indicators becoming too detailed and without enough baseline information to back it.

During the mid-term review of the project and its findings, it was decided to implement the RBM process, which required a revision of the indicators. The implementation of the RBM process also required additional training of program staff at the Swedish Embassy in Mozambique as well as of the MSB project staff in the field. Unfortunately, there were no training packages or programs available for stakeholders and actors, which resulted in them not making the same leap in increasing their knowledge of the RBM process as the project staff.

The revision process started with a common workshop with participants from INGC and stakeholders. It was decided to use the LFA method and three technical working groups worked for two days in revising the indicators. Since there was a lack of knowledge of the RBM process for the majority of the participants and stakeholders it was decided to find an easy solution for the revision of the indicators and make them clear and easy to understand. Key persons were identified as facilitators for each working group and this approach resulted in a common understanding of the RBM process. The numbers of indicators were reduced and compressed and translated to Portuguese.

For cross-cutting issues gender issue were clear and measurable indicators were integrated into project planning. But it was hard to find a solution for the integration of environmental issues in the indicators since local capacity was limited. It was different with gender issues since a gender advisor was allocated to the project. Nevertheless, the environmental perspective was integrated in the training programs as discussion points.

The revised indicators were set on organizational level and the measurable levels were on inputs, outputs and immediate outcomes. The impact and intermediate outcomes were not measurable due to the timeline of the project.

## Resources

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CHAPTER 8

# Monitoring and Evaluation

# Monitoring and Evaluation

## Overview

A monitoring and evaluation system has specific purposes, which are usually tailored to the context within which it is applied. In other words, the specifics of an M&E system are partly determined by its intended purpose. Generally an M&E system can be used for: Learning, accountability, steering, communication, promoting dialogue, and empowering stakeholders. The exact combination and relative emphasis or weight of these is determined by the overall aim or purpose of the M&E system and what it intends to achieve in any given initiative.

For further clarity, monitoring is the ongoing measurement (quantitative and qualitative) of an intervention process in action as it happens; and evaluation is periodic or at milestones systematic and objective assessment usually covering a broader range of criteria than everyday monitoring processes. In order to set up an effective capacity measurement system, for any level or context, it is necessary to have a few things in place, namely: a clearly articulated framework for defining capacity; a definition of the starting point (baseline); a vision of where the process is trying to get to; a theory of change that guides intervention planning; indicators for key points in the process; and criteria to provide a framework for assessment.

Creating a specific framework can ensure that the M&E process and tools fit the capacity development process. The dimensions and criteria of capacity development covered in previous chapters can be used to identify a starting point, which could be inputs, outputs and outcomes. Impact assessment may also be part of an M&E system for large and long-term programs but assessing impact usually require a different set of methods and expertise. It is also important to remember that the M&E system should be integral to the design and implementation of the capacity development initiative from the start. This can help to foster both effective use of the theory of change, reflective learning practices and further engagement strengthening ownership of key stakeholders in the process. Equally, when selecting tools it is important that they are adapted to the local context and needs, understanding the advantages and disadvantages of each tool according to context, and using a mix to cover all the different assessment requirements.

In the past M&E was usually framed and designed by the need for accountability and consequently learning was not established as a primary focus of M&E systems. It is now recognized that the intended beneficiaries are often the most neglected stakeholder group because of the predominantly upward focus of accountability. This history of M&E meant that the approaches and tools used for accountability, which were often quantitative rather than qualitative, became the starting point for developing M&E processes for capacity development. There are now many innovative approaches that recognize the importance of learning in M&E.

## Critical Questions

Monitoring and evaluation or the process of measuring outputs, outcomes and impact aren't an afterthought or an add-on to any process of capacity development. Nor are they a separate activity, as you will see from the description in this chapter. They are integral and intertwined with the core design of the concept and approach and they feature in setting up indicators as clearly explained in Chapter 8. Capacity development is made up of several interlocking systems that need to run harmoniously when set in motion, be they an incentives system or M&E. There is a set of questions to guide your thinking on M&E before you start putting pen to paper on what the system might look like and fit into the specific context you're working in.

1. What are the differences in measuring inputs, outputs and outcomes? In other words, what is there to measure in each of them?
2. Should impact assessment be part of the M&E for the initiative? If not, will impact from this and other initiatives be evaluated later at a higher level (e.g. sector or country level)?
3. Who needs to be involved in the M&E of your capacity development initiative?
4. What might be the main challenges to setting up and running an M&E system in the context of your capacity development project or initiative? These are the anticipated challenges or difficulties.
5. What are the available and appropriate M&E approaches and tools you might consider and choose from for the capacity development initiative you are working on?
6. How would you need to adapt M&E tools to your capacity development project? What would determine such adaptation and the need for it?

*Watch out for these well known pitfalls:*

- Thinking about and devising an M&E system later in the process.
- Setting up an M&E system that only reports upwards to donors.
- Not involving relevant stakeholders throughout the project to validate the M&E framework.
- Not establishing a clear process between stakeholders for how to follow up on the information from the M&E in order to better manage the initiative.
- Starting without a clear M&E framework or one that was established without the relevant stakeholders from the inception of the project.
- Only monitoring the transfer of technical skills will not give clarity on the actual impact of that process.
- Trying to measure or monitor everything. Not everything will be worth measuring and might detract from the focus of the project.

## Tools and Practical Steps

Monitoring and evaluation are critical components to a successful capacity development program. Throughout the development of the program it is imperative that the team remembers that capacity and capacity development are different from other developmental objectives, and this has implications for how they can be monitored.

Capacity development is both a means and an end of development. It is a non-linear process that is unstable and changeable and therefore monitoring it means assessing complex issues based on good analysis and realistic expectations. Rigorous impact evaluations are vital to ensure sufficient learning within the sector is captured and built upon and that there is a strong evidence base to enable better decision-making.

Methodological pluralism is required to achieve effective impact evaluations and to ensure that the right type of knowledge is generated. Here we divide the process into eight steps for the sake of clarity and these include both preliminary preparation and thinking steps all the way to the selection of appropriate tools and methods.

### Step 1: Agree on the characteristics of an effective M&E system

There are several key characteristics to an M&E system you need to keep an eye on and agree in advance with a lot of clarity among partners and stakeholders:

1.1 **First:** *learning* should be promoted as one of the most significant objectives of M&E in order to further engage partners in the process and communicate clarity of purpose. It is essential that you involve multiple stakeholder groups in the planning and execution of M&E. This can only be achieved through careful balancing of various interests and priorities for the outcomes of M&E (if stakeholders are too involved they could influence the evaluations, and if not sufficiently involved then the outcomes might be dominated by the evaluators).

1.2 **Second:** The M&E system needs to focus on *accountability* to participants and beneficiaries, not only to donors. As multiple stakeholders will be involved at different stages, it is crucial to factor adequate time for meaningful participation. Methods for monitoring and evaluation need to be clear to all stakeholders to ensure suitable and meaningful participation at all relevant stages of the program.

1.3 **Third:** Both *quantitative and qualitative data* are essential as this meets different stakeholders' needs – not focusing on one at the expense of the other. Qualitative data often reinforces, enriches, broadens or deepens the information gathered into more significantly useful outcomes. The gathering of evidence should not over-extend stakeholders' capacity and should reinforce learning rather than take valuable resources away from the intended focus of the project.

1.4 **Fourth:** Working with key *internal and external* actors is fundamental to ensure that a clear understanding of the types of links between various capacity development activities is achieved. This is essential as it establishes a common framework to be alert to learning outcomes, their cause and effect, which can be factored into the on-going program and more substantially into long term policy and planning.

1.5 **Fifth**: *Iterative and continual reflective feedback* is key. You need to remain as flexible as possible to enable on-going adaptation and evolution. Making information available to relevant stakeholders enhances both the quality of the capacity development practice and ownership of the process.

1.6 **Sixth:** The M&E process could become *a capacity development tool* in its own right when relevant stakeholders are involved throughout. What enables that is the emphasis on collaborative analysis, joint decision-making, reinforcing the transformation of partners into becoming learning and knowledge-based organizations.

### Step 2: Highlight the benefits of learning from M&E in your project

Being clear and highlighting the benefits of an M&E system to all those involved at different levels first overcomes the perception that M&E is only there to monitor inputs and outputs, to reward or punish, or any of the misconceptions associated with M&E. Elevating the way you negotiate and introduce an M&E system to the level of being a capacity development tool in itself and a learning process can be done through a number of ways:

2.1 **First:** Focus the M&E system on the purpose of *maintaining the CD process on the right track* and recognizing its results. This ensures the learning from both the outcomes and the way these were achieved is captured and embedded into the following stages or phases of your initiative or indeed in future initiatives. A more substantiated body of knowledge and evidence, within a particular context, supports the development of more effective programs as information about what works and what doesn't work is available.

2.2 **Second:** M&E can foster a *broad learning approach to implementation*, which is helpful for adaptive and responsive management to guide improvement of the process, including planning more relevant and realistic next steps. Capacity development programs generally occur in complex systems therefore using learning to guide implementation ensures a more holistic understanding of the process rather than simply by capturing the outputs and outcomes.

2.3 **Third:** *Learning more from errors and failures* is as valid as learning from successes. M&E should not treat errors as something that should be hidden or falsified. It is important to understand and acknowledge failure by systems rather than portion blame to individuals. Learning in this way could be more powerful and frees people up to innovative and take more risks.

2.4 **Fourth:** Established *incremental and progressive learning* throughout the initiative for participants in the program to gain more confidence, which will feed into further benefits for the whole program. It is important to not leave monitoring of various stages of the project or the final evaluation for too long as ownership of the process will dissipate and learning outcomes will become harder to evaluate.

2.5 **Fifth:** Build an M&E system with a strong element of *cross-organizational and inter-level learning*. The learning process will unveil possible entry points for change at all levels. Stakeholders need to find new ways to bring the evidence to bear on how things could be done: short-term approaches to influence on-going debates and dialogue need to be balanced with medium term approaches to change policy and practice.

**Figure 19.**


## Step 3: Establish clarity on the challenges to M&E in your project

3.1 Despite all the advantages there are a number of challenges to overcome when developing an M&E system with learning as one of its fundamental purposes. This can be to stakeholders in the project, beneficiaries of the program, donors, or all of them.

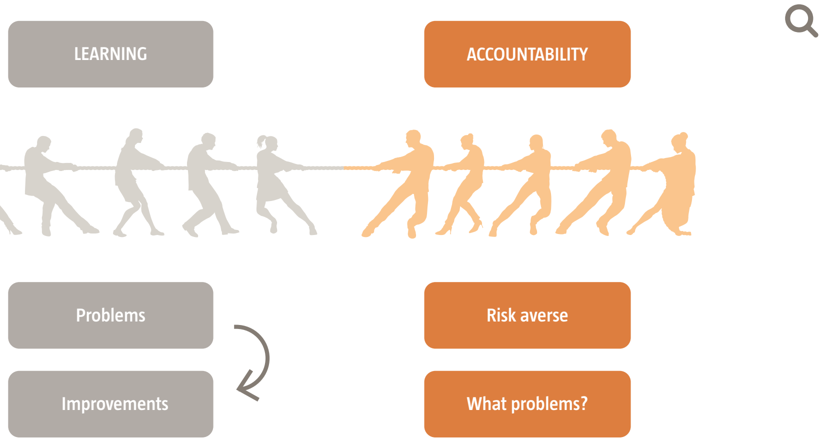
3.2 Measurement of results to ensure accountability can establish a risk-averse culture, which will not willingly admit to problems or failures. On the other hand, a learning focus sees problems as a rich source of invaluable knowledge that can improve future implementation and practice. Finding a way to balance these is critical to successful capacity development projects.

3.3 You need to be aware of and establish with stakeholders which are the likely challenges in your project and how to prepare for them in advance:

- Donor driven accountability has meant that monitoring and evaluation processes have used more quantitative tools and approaches.
- Balance available resources for M&E with the M&E needs of different stakeholders. If it is too extensive the M&E system can itself become a burden that hinders inclusivity and engagement.
- If the M&E system aims too high and above the resources or capacity of stakeholders, there is a risk of failure due to resource constraints. When participatory processes fail you risk reverting to basic donor reporting needs and a curtailed M&E system.
- If multi-stakeholder learning is to become central to the capacity development process then this will take time to establish and many stakeholders have insufficient capacity to manage additional levels of commitment to the change processes.
- Generally capacity development program will have a significant impact on the enabling environment and will inescapably have influence at political level. Therefore there may be high expectations of the capacity development program, which will affect how monitoring and evaluation should be conducted.
- Establishing a suitable approach that embraces all stakeholders' priorities and needs would take time to negotiate. Different data will be more relevant to different stakeholders, where 'hard, cold' facts might trump 'soft, woolly' human stories. It is also critical to remember that not all stakeholders will have the same skills and knowledge and therefore filling in an online spreadsheet might be physically impossible for them.

- Monitoring and evaluation systems for accountability, if not successfully embedded within a culture of change framework, risk learning remaining within the stakeholder groups and having very little impact on the bigger enabling environment. To bring the learning from monitoring and evaluation implementation into policymaking and academic study calls for multiple horizontal and vertical learning loops.
- The evolution from the more vertical to the multi-level learning loop structure will take time, as will the learning from already established successfully multi layered initiatives, to filter into the system. On the left side of the diagram below, the tendency to aggregate activities, outputs, and outcomes across a program or project and make sense of how the bottom one influenced the one above is a limited form of learning. The right hand side of the diagram looks more specifically at individual, organization and enabling environment within each (the three rectangles), how activities were arranged across levels, the interplay between outputs and outcomes also across the three levels, etc. And as any CD process is not a linear one there are arrows pointing upwards showing how activities produced outputs and consequently outcomes and impact; as well as how through the process feedback loops of learning were established with the arrows pointing downwards.

**Figure 20.**




## Step 4: Decide what needs to be monitored and measured

4.1 There is no universally agreed set of capacity development measurement criteria. Each context is particular and requires stakeholder engagement to develop a suitable monitoring and evaluation framework. As capacity development is a complex process, which engages multiple levels and types of capacity, the measurement framework should evolve around these themes to ensure holistic and meaningful analysis.

4.2 You need to develop the framework in a way that addresses the long-term programmatic nature of capacity development and ensure all relevant aspects of capacity are covered at one time or another. Approaching the framework as a holistic model will also enable multiple stakeholders to engage throughout the process. When deciding what needs to be measured it is important to cover everything that has been discussed so far in this guide. This includes the goal and objectives of the capacity development process as a whole. The impact, outcomes and outputs, and the linkages between them are a critical part of the process. It is essential to measure both functional and technical capacities, as measuring technical skills alone will not be a suitable indicator about opportunities for change.

4.3 Measuring of capacities includes: competencies of individuals; collective capabilities of groups; and overall system capacity to achieve a development goal. In any capacity development initiative there will be a process that is an important aspect to consider and is as important as the product, however just measuring process is unhelpful as outcomes are required from any intervention.

4.4 As there are multiple stakeholders involved in a capacity development program, perspectives about the project from as many of them about the process and services provided, including customers, are important. The ECDPM model evaluates additional capabilities that do not purely focus on performance. These include the ability to: adapt and self-renew; achieve coherence; survive and act; achieve development results; and relate, all with additional indicators of success which is discussed later in this chapter.

4.5 As noted previously, there should be pre-determined criteria to establish a basic map for the initiation of a project, but it is imperative that there is openness to unexpected results, which can sometimes be more informative and interesting than what was expected.

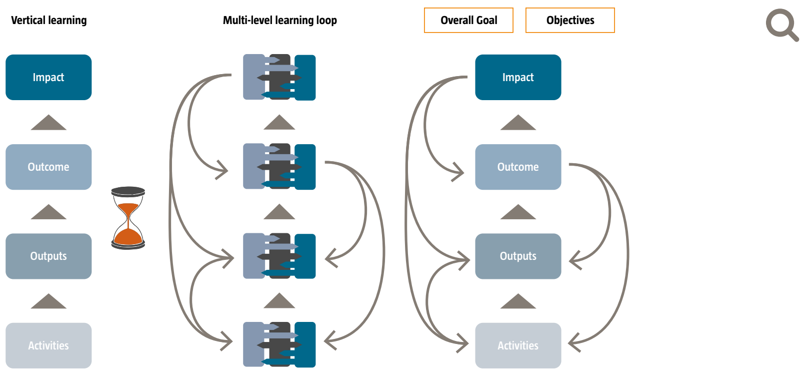
4.6 Discussing all of these dimensions will enable stakeholders to establish a more holistic measurement framework. Needs and any variety in understanding of what capacity development is should remain central to discussions about measurement therefore ensuring the establishment of a framework that focuses on what capacities are worth measuring.

### Step 5: Develop criteria for monitoring and measuring outcomes

5.1 There are a number of broad criteria for you to consider and all have their pros and cons. However, not all the criteria will be relevant all of the time, they should be considered as and when appropriate according to the stage of the implementation process. Monitoring is a progressive process not a static one and as capacities are developed so is what is being monitored and how:

- Is the intervention relevant and in line with local needs and priorities?
- Establishing how effective an intervention is will depend on the extent to which an activity will achieve its purpose, however this might also be measured more suitably at the outcome level.
- Efficiency measures the use of resources, both qualitative and quantitative, and whether they have been used in the best way possible, looks at opportunity cost and alternatives, which could have led to more efficiency.
- Ownership by local stakeholders is critical and will support more effective accountability measures and cost effectiveness.
- Impact looks at the wider effects of the project, social, economic, technical, and environmental, on individuals, communities and institutions, for both intended and unintended outcomes. The latter should never be ignored or missed.
- Sustainability of the project and its ongoing momentum after the project's completion is a fundamental aspect of a successful capacity development initiative and needs to be understood.

**Figure 21.**




## Step 6: Decide who needs to be involved in M&E

6.1 As most capacity development programs are long-term initiatives, there is a constantly changing range of participants; all of who need to be kept informed about what is happening and whose interests need to be accommodated. Each participant, organization or institution might have a different idea about what capacity is needed and how it can or should be developed therefore it is important that they are part of the measurement system.

6.2 As there are so many people involved, it may not be easy or appropriate to include everyone's needs and interests, but wherever possible the framework that is adopted should allow for an iterative process of measurement using tools that involve the key stakeholders as much as possible.

6.3 Be aware of using a particular tool that has been handed down from the inception of the program instead of engaging the relevant stakeholders throughout. Measurements need to be meaningful to all actors identified as relevant to the action. Ensure that assessments of progress made and challenges encountered are done by the relevant stakeholders to establish legitimacy and help to keep them engaged.

6.4 The steps to include stakeholders appropriately include involvement from the inception of the project. Therefore prior to developing a measurement framework it is important that you have a clear understanding of current capacity and future capacity needs.

6.5 By now you should have identified and agreed on the set of indicators to be used in your capacity development initiative (Chapter 8). Decisions need to be made about what tools will be used to measure capacity outcomes and how all the stakeholders will be involved. Therefore it will be necessary to use participatory tools where appropriate.

6.6 It is also imperative that feedback and discussion about the findings happens prior to them being published to ensure that no misunderstandings have occurred in the monitoring or evaluation stages. As the process will happen over a long period of time regular consultation and reviews should include long term and newer stakeholders, ensuring that they are kept up to date with the ongoing evolution of the program.

## Step 7: Create an M&E Framework

7.1 An iterative approach to measurement is one that systematically goes back to verify and qualify an outcome than has been previously monitored or measured – in other words, non-linear especially when there is evident change in the context in which an initiative operates. It is a really useful way to establish stages of progress which can more easily allow for adaptation and innovation for on going monitoring and program evolution, taking into account any changes in that context. Therefore the way to establish where to start is to break down the program into measuring different aspects of the overall action.

7.2 You will need to think about the specific context and partners when deciding which of the following avenues to take. There is no one clear answer and most successful measurement processes include the entire range of recommendations at various stages of the program.

7.3 It is important that the measurement system should be established at the early stages of the program development process, and should be tested extensively before use. It is also vital for measurement to occur at regular intervals to ensure all stakeholders are kept informed and to allow for changes to the approach.

- Measuring inputs and outputs: At this level of the process the effect of the activities can be tracked and the effect of each captured. This is an important step as it enables the team to understand who is gaining what and ensures clarity about the quality of the activities and interventions at an early stage. Just measuring inputs and outputs however will not enable a holistic view of the cumulative interventions thereby not ensuring a clear overview of the potential outcomes.

- Measuring outcomes: This approach recognizes a change as a starting point and then zooms in to understand what might have caused that change and then zooms out to see the impact the change is having. This approach therefore captures multiple capacity development initiatives and additional factors to change.

- Measuring impact: Here the identifiable change in terms of the development goal is the focus of the evaluation. Through analysis of the interventions that may have caused the change to happen it can become clear what has worked or not. This method works best when there is a very clear and defined end product and is holistic in that the change will occur due to the input of many different organizations contributing together.

**Figure 22.**

| | |
|---|---|
| Relevance | in line with local needs and priorities |
| Effectiveness | extent to which activity achieves its purpose, time bound |
| Efficiency | measurement of outputs achieved as a result of inputs |
| Ownership | driven by local stakeholders |
| Impact | wider effects of project |
| Sustainability | long term and interconnected |

### Step 8: Select an appropriate mix of tools and methods

8.1 There are broadly two approaches to M&E, quantitative focused on results and qualitative focused on systems. Each with its advantages and disadvantages.

8.2 It is important that you choose a mix of methods appropriate to users' needs, the given context, consider data availability, baselines, indicators, timing and comparison groups. Which tools are chosen should also take into account the speed with which the information is needed and cost implications.

8.3 The following is a brief of the more common used tools. This is not an exhaustive list and this guide encourages you to research each of them further and decide which one(s) are suitable for your project and what the appropriate mix would be depending on what you are measuring the monitoring. The following description will clarify what each tools is suitable for. The mix and match is highly contextual.

- Outcome harvesting: as there will be a network of players involved in the capacity development process over the long term, this tool maps the changes in their behavior in terms of a spread of outcomes. Stories of change can be used in conjunction with other tools otherwise it can be considered too anecdotal.
- The 'most significant change' tool can be used to look at unexpected changes that were not anticipated. It is important to use this tool with other tools to triangulate information.
- Case studies can provide a rich, full and analytical assessment of capacity changes, but criteria must be clearly stated at the start. This approach takes a long time so it is not useful for very large measurement needs. Choosing a random selection of individuals or organizations to be the subject of case studies can allow for extrapolation of findings thereby building up a more comprehensive picture of the full impact of a capacity development process.
- A tracer study is a longitudinal study over the whole project, which includes regular quantitative and qualitative measurement exercises.
- A hypothetical ladder with a key statements of the current situation in the middle is created, then statements about how it might get better or worse above and below the statement are extrapolated. This tool should be repeated regularly to compare results.
- Theory-based evaluation can be used to examine all the factors identified in relation to the theory of change or capacity articulated as underpinning the intervention process. This tool approach is able to deal with complexity and avoids the cause and effect constraints of the logical framework approach.
- Rapid appraisal methods including: individual interviews; focus group discussions; observation; or mini surveys are quick and relatively low cost ways to get information. However these methods will not provide comprehensive information unless triangulated.
- Cost-benefit and cost-effectiveness analysis allows an understanding of whether the results are justified by the amount of money spent, however they measure everything in monetary terms.
- Public expenditure tracking services track the flow of public funds and the extent to which resources reach target groups. This is useful at the institutional level but constrain measurement to monetary considerations.

- Impact evaluation assesses the changes that can be attributed to a particular intervention, or an intervention might have contributed to. This includes both intended as well as unintended changes. The analysis of impact requires a counterfactual of what outcomes would have been in the absence of the intervention.

**REMEMBER THIS:**

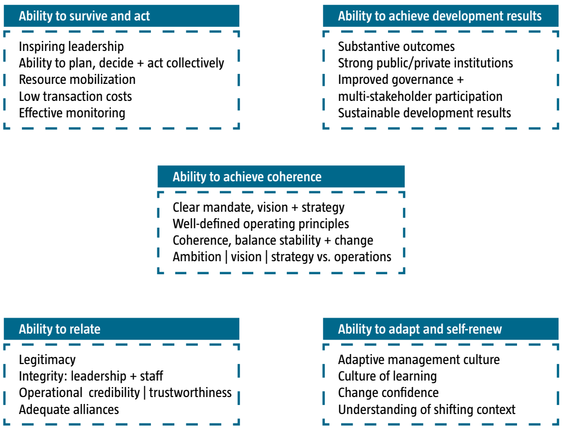
M&E is not a matter of unproductive data collection or reporting of meaningless numbers to donors. It is a matter of testing problematic and critical assumptions about change, evidence and learning. A well designed M&E system is clear about what change or results to assess, how and when data will be collected and analyzed, who needs to be involved and how the findings will be used to improve the design of capacity development initiative.

## You Know You Are Successful When You...

- Set measurement of process and outcomes to understand impact.
- Are clear about what capacities are worth measuring, why and by whom.
- Measure and monitor both technical and functional capacities.
- Develop the monitoring and evaluation framework around and with stakeholders.

## Examples of Good Practice

**Example 1:**



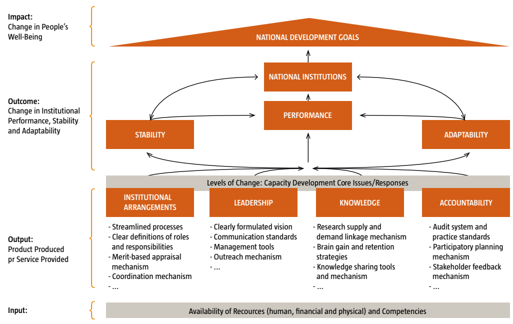

*Source: Land, T. and Keijzer, N. (2007) A balanced approach to monitoring and evaluating capacity and performance, ECDPM.*

This framework could be used to measure outcomes prior to the achievement of the project goal, unless the goal is the development of these capabilities, then the framework can be used to assess the goal of the project.

It identifies five core capabilities, which, to the degree that they are developed and integrated successfully, contribute to the overall capacity or ability of an organization or system to create value for others. All five capabilities are necessary, yet none is sufficient by itself to create capacity.

The five core capabilities provide a basis for assessing a situation at a given point and then tracking it over time. The capabilities become criteria for monitoring changes in capacity and performance. Changes observed in these five capabilities at relevant points in the system – individuals, organizations, networks or the system as a whole – feed into broader capacity and performance changes.

**Example 2:**



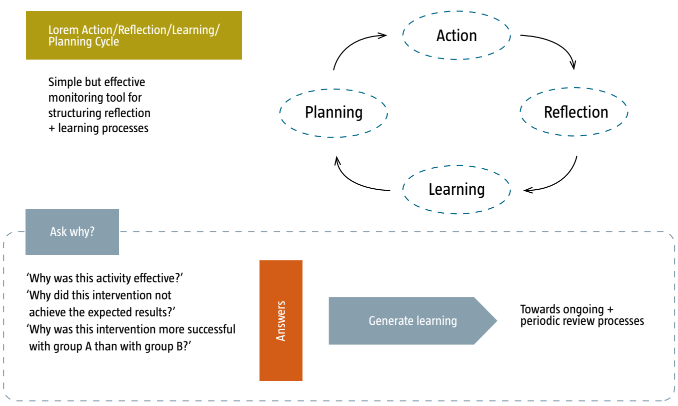

*Source: UNDP (2011) Strengthening Capacities for Disaster Risk Reduction: A Primer.*

The UNDP framework captures an approach to measurement of all three levels and the established four core issues that UNDP research indicates are the most effective in developing capacity, namely:

- institutional arrangements,
- leadership,
- knowledge,
- accountability.

Following the logic of the results chain, the framework presents a flow of how improvements in people's lives at the impact level are affected by changes in institutional performance, stability and adaptability at the outcome level. These are affected by the products and services produced from the programming actions at the output level. Human, financial and physical resources are the inputs that are needed to generate the outputs.

**Example 3:**



This was developed to overcome the frequently observed problem of activities leading straight to the planning of more activities without any time taken to reflect on and learn from those already completed. It is a simple but very effective monitoring tool for structuring reflection and learning processes.

A reflective process of progressive problem solving: Ask why? Even in an M&E system without a learning focus, or it integrate learning into accountability mechanisms a very simple and easily applied approach is to work with the question 'Why?' In addition to noting what has happened, evaluators and participants in routine monitoring activities can keep asking questions like 'Why was this activity effective?' 'Why did this intervention not achieve the expected results?' or 'Why was this intervention more successful with group A than with group B?' The answers to such questions will contribute a lot to generating learning from both on-going and periodic review processes.

### CASE STUDY:

**Capacity Building of the National Institute for Disaster Management (INGC) in Mozambique**

The initial M&E system in the project was based on results of activities and indicators. After the decision to implement the RBM process in the mid-term review of the project, the M&E system also required a revision. A method for the systematic monitoring and evaluation was developed. The objective was to develop a common understandable method for all participants since the knowledge of the RBM process among stakeholders and actors varied. The approach was through regular moderated discussions of project progress between the MSB team and INGC technical working groups and through training course evaluations.

Monitoring sheets were developed and used to support the discussions and also served as a practical tool to analyse challenges to meet the intermediate targets, to define corrective measures if necessary and to serve as means of verification.

The structure of the M&E report was revised and adapted to the RBM process and the revised method. The report included the following fixed topics; introduction (objective and expected results of the M&E sessions), project presentation (outputs, outcomes, indicators) participants, methodology, evaluation matrix, realized activities, difficulties and obstacles/challenges and corrective measures and other positives impacts and synergies. The reporting period was changed to each quarter instead of each month.

Example of the monitoring sheet used in the project:

| Status | Indicator | Output and immediate outcome | Difficulties or constrains/ challenges | Measures/ recommendations | Means of verification |
|---|---|---|---|---|---|
| ● | 1. INGC owns the equipment of three operational mobile CENOE, which are at least once set-up by INGC in each of the three regions and has 74 trained technicians, out of which 20 % are women, able to technically coordinate emergency operations through the mobile CENOEs by 2014. | In total 50 technicians capacitated at INGC (incl. simulation of an emergency case exercise and hand-over of the equipment). | The inclusion of women in the training sessions remains a challenge.<br>Lack of participants from some of the partner organizations. | Continuous awareness raising of stakeholder aims to empower women for their future participation.<br>Contact Head of Regional offices to advocate partners to take part in the training. | Evaluation reports, list of participants, training programmes, list of equipment. |
| ● | 2. 56 radio operators from national level, out of which at least on third are women, are able to run the emergency communication system... | In... | | | |

| Status | Activity | Output | Difficulties or constrains/ challenges | Measures/ recommendations | Means of verification |
|---|---|---|---|---|---|
| ● | 1. South Region<br>Training of INGC staff and handover of Mobile CENOE equipment at RO Vilanculos. | 25 technicians capacitated at South Region (incl. Simulation of an emergency case exercise and hand-over of the equipment). | The inclusion of women in the training sessions remains a challenge. | Continuous awareness rising of stakeholder aims to empower women for their future participation. | Evaluation report, list of equipment, training programme, list of participants. |
| ▮▮ | 2. Regional office central... | 25 technicians... | The...<br>Lack of... | | |

● According to plan ▮▮ Delays ■ Needs to be revised

To get a better overview of the status of the project on output level and immediate outcomes the results from the M&E sheet were summarized in a matrix, which was also part of the M&E report.

Example of the M&E Matrix:

| Indicator | Output > Immediate outcomes | Achievement |
|---|---|---|
| 1 INGC owns the equipment of three operational mobile CENOE, which are at least once set-up by INGC in each of the three regions and has 74 trained technicians, out of which 20 % are women, able to technically coordinate emergency operations through the mobile CENOEs by 2014. | In total 50 technicians capacitated at INGC and two mobile CENOE's are operational (incl. Simulation of an emergency case exercise and hand-over of the equipment). 5 % of the technicians are women. | The gender part could not be fulfilled. |
| 2 INGC............. | | |

According to plan   Delays   Needs to be revised

## Resources

Alfredo, O. and Taylor, P. (2008) Learning Purposefully in Capacity Development: Why, What And When To Measure? Institute for Development Studies (IDS).

Land, T. and Keijzer, N. (2007) A balanced approach to monitoring and evaluating capacity and performance, ECDPM.

ODI (2006) Evaluating humanitarian action using the OECD-DAC criteria: An ALNAP guide for humanitarian agencies. Active Learning Network for Accountability and Performance in Humanitarian Action. http://betterevaluation.org/resources/guides/evaluating_humanitarian_action

Simister, N., Monitoring and Evaluating Capacity Building: Is it really that difficult? INTRAC Praxis Paper 23. https://www.intrac.org/resources/praxis-paper-23-monitoring-evaluating-capacity-building-really-difficult/

Taylor, P. and Ortiz. A. (2008) IDRC Strategic Evaluation of Capacity Development: Doing things better? How capacity development results help bring about change. http://betterevaluation.org/resources/overview/strategic_evaluation/strategic_evaluation_overview

UNDP (2010) Defining and Measuring Capacity Development Results. United Nations Development Programme. http://www.undp.org/content/dam/aplaws/publication/en/publications/capacity-development/undp-defining-and-measuring-capacity-development-results---one-page-summary/Defining%20and%20Measuring%20Capacity%20Development%20July%202010_new.pdf

Watson, D. (2010) Measuring Capacity Development. In: Ubels et al: (2010) Capacity Development in Practice, Earthscan, London.

World Bank (2004) Monitoring and Evaluation: Some Tools, Methods & Approaches. http://www.worldbank.org/oed/ecd/tools/

Zinke, J. (2006) Monitoring and Evaluation of Capacity and Capacity development. ECDPM.

# A Word about the Author

Mo Hamza is Professor of Risk Management Societal Safety at Lund University, Sweden. In his career spanning 30 years so far, he has worked with international development organizations including: World Bank, ADB, UNDP, UNISDR, USAID, DfID, IFRC, IUCN, Swedish Red Cross, and the Swedish Civil Contingencies Agency (MSB). His primary areas of professional expertise and research work are: Disaster risk and vulnerability reduction, post-disaster recovery, climate change impact and adaptation in fragile and failed states, and capacity development. Previously he was Chair of Social Vulnerability Studies at the United Nations University, Bonn, Germany; a Senior Research Fellow at the Stockholm Environment Institute (SEI), Sweden and an advisor to the MIT Climate CoLab. He has undertaken consultancy and research work in: Afghanistan, Bangladesh, Botswana, Egypt, Eritrea, Ethiopia, India, Indonesia, Jordan, Kyrgyzstan, Liberia, Nigeria, Pakistan, Saudi Arabia, Sierra Leone, Sri Lanka, Sudan, Uganda, UK, South Eastern Europe and the Balkan States. Mo Hamza is an internationally recognised figure in disaster risk management, and climate change adaptation. He was also the lead author and editor of the World Disasters Report (2015) "Focus on local actors, the key to humanitarian effectiveness".

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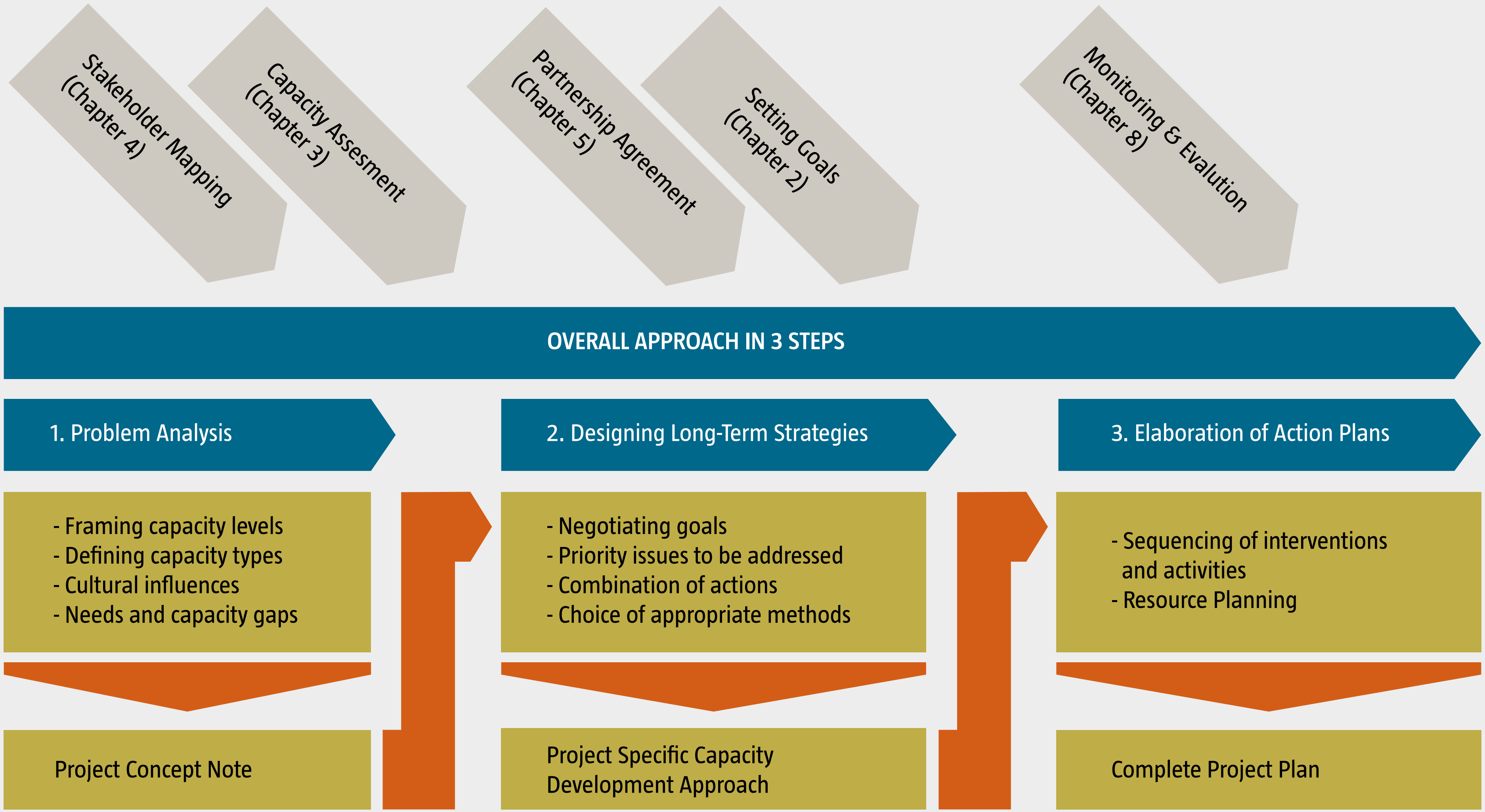
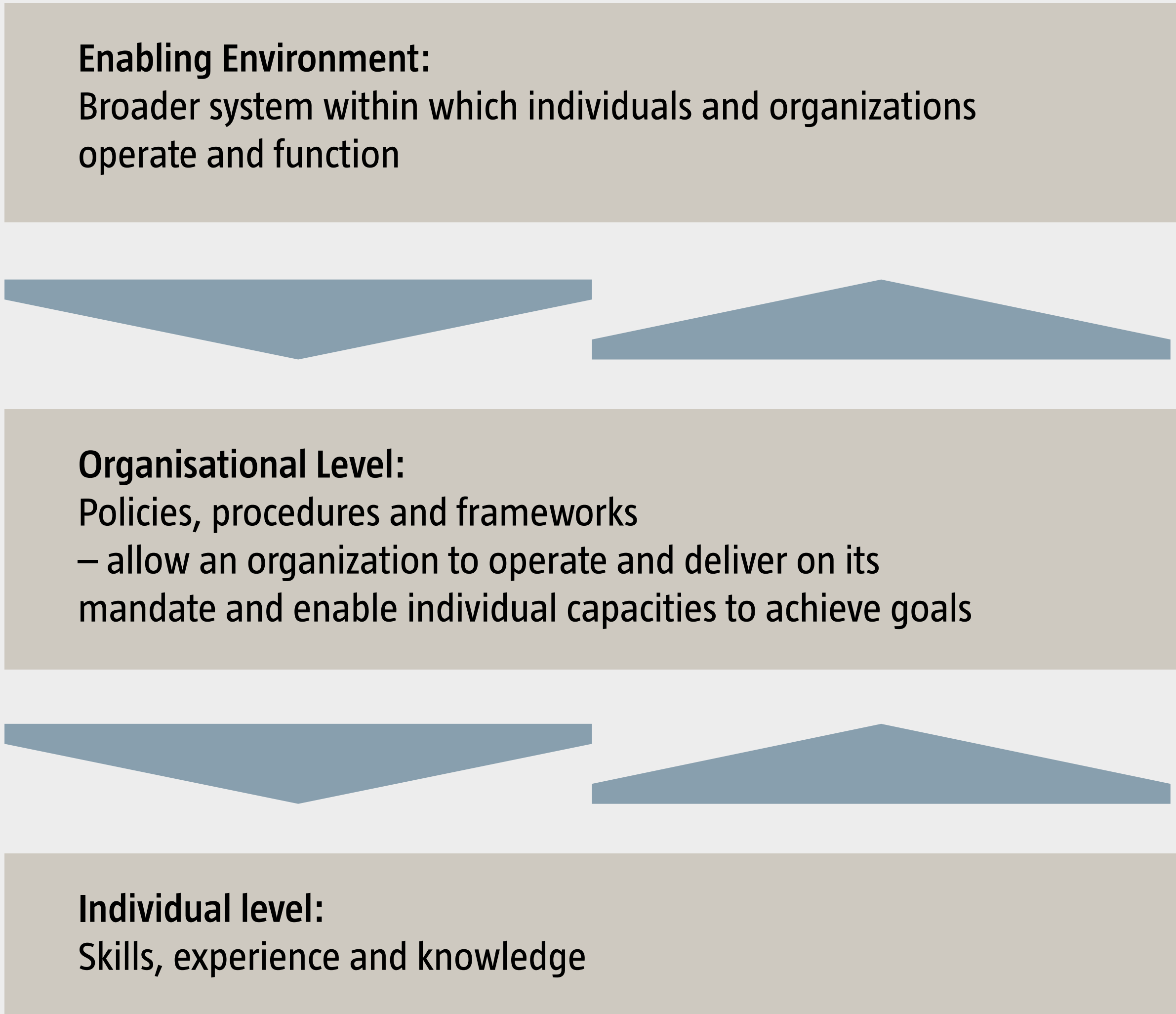
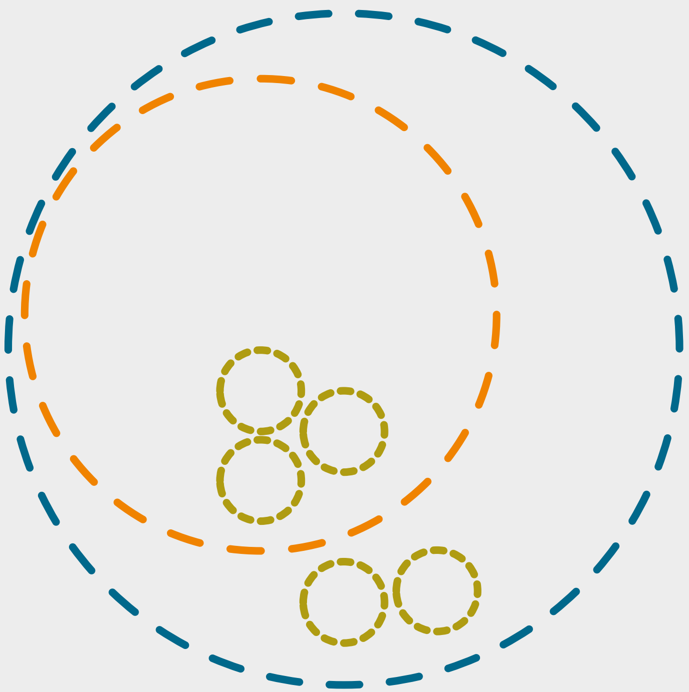
## Figure 1.


Stakeholder Mapping
(Chapter 4)
Capacity Assesment
(Chapter 3)
Partnership Agreement
(Chapter 5)
Setting Goals
(Chapter 2)
Monitoring & Evalution
(Chapter 8)
OVERALL APPROACH IN 3 STEPS
1. Problem Analysis
- Framing capacity levels
- Defining capacity types
- Cultural influences
- Needs and capacity gaps
Project Concept Note
2. Designing Long-Term Strategies
- Negotiating goals
- Priority issues to be addressed
- Combination of actions
- Choice of appropriate methods
Project Specific Capacity
Development Approach
3. Elaboration of Action Plans
- Sequencing of interventions
and activities
- Resource Planning
Complete Project Plan

## Figure 2.


**Enabling Environment:**
Broader system within which individuals and organizations operate and function
**Organisational Level:**
Policies, procedures and frameworks – allow an organization to operate and deliver on its mandate and enable individual capacities to achieve goals
**Individual level:**
Skills, experience and knowledge

# Figure 4.



| | Soft capacity | Hard capacity |
|---|---|---|
| Organisational | Incentive systems<br>Conflict resolution<br>Reflective learning practices<br>Leadership development | Policies/procedures<br>Strategic/operational plans |
| Individual | Strengthened political voice<br>Reflective learning practices<br>Behaviour and values | Training |
| Institutional | Public awareness<br>Lobbying Advocacy<br>Promote co-operation | Enabling legislation<br>Accountability for instructions |

*Once priorities, entry point(s) and available resources are agreed between key stakeholders it is time to think about what to do, and how to achieve a good balance between different interventions. Some ideas about how to intervene in a balanced way at all three levels include: formulation of enabling legislation and supporting public awareness campaigns, development of policies and procedures at organizational level and facilitating conflict resolutions, and training to upgrade of technical skills and facilitation of reflective learning practices.*

# Figure 5.

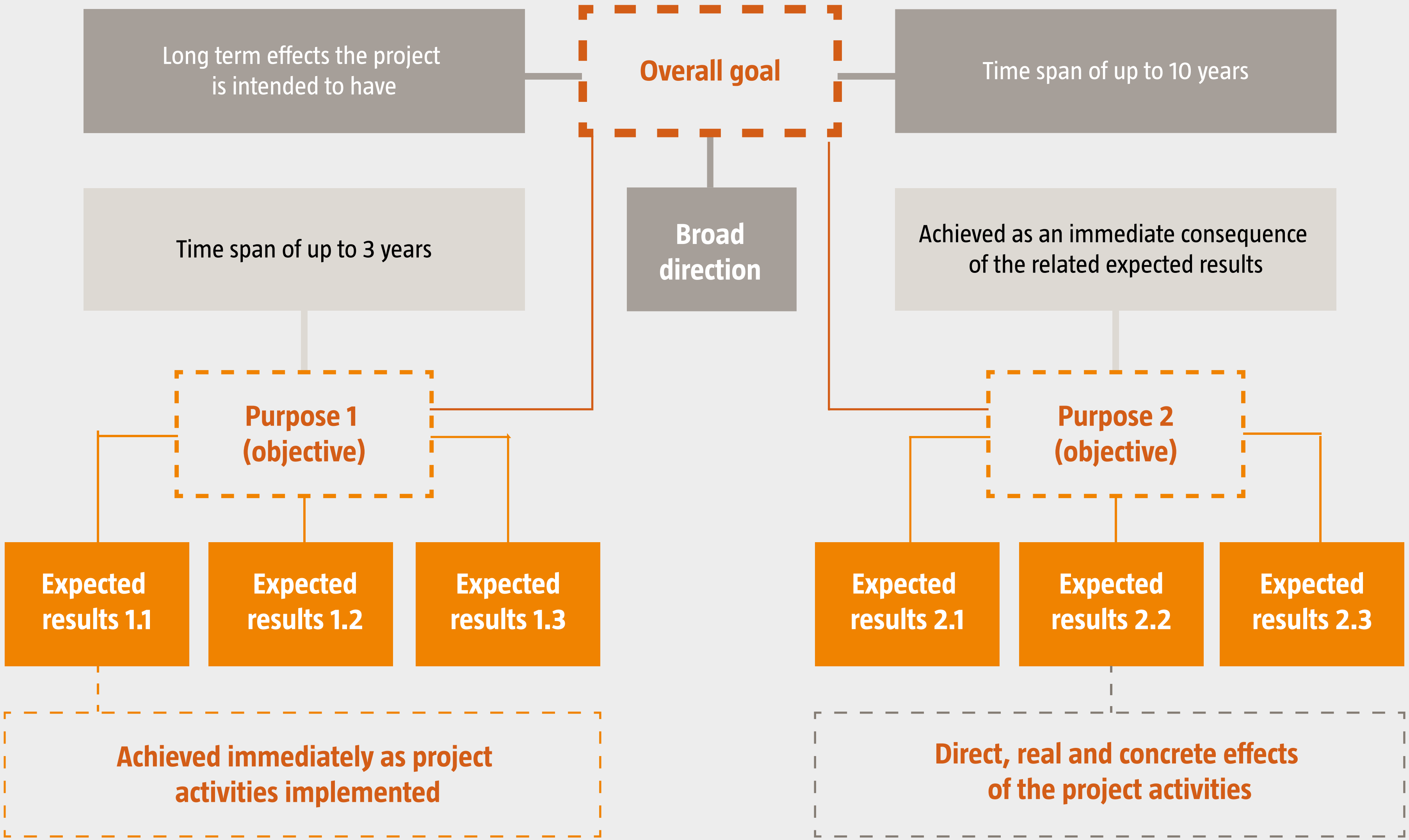

Goal:
Focus on a **verb**
**Type** of capacity needed
Type of capacity needed helps to specify objectives
**Who** needs capacity?
To strengthen the organizational capacity and management of the partner organization in order to strengthen their ability to deliver programmes that achieve positive impact.
**Why** is the capacity needed?
Stated in general terms
Long terms

## Figure 6.

Related to **strategies**, **programmes** or **projects** with higher level goals

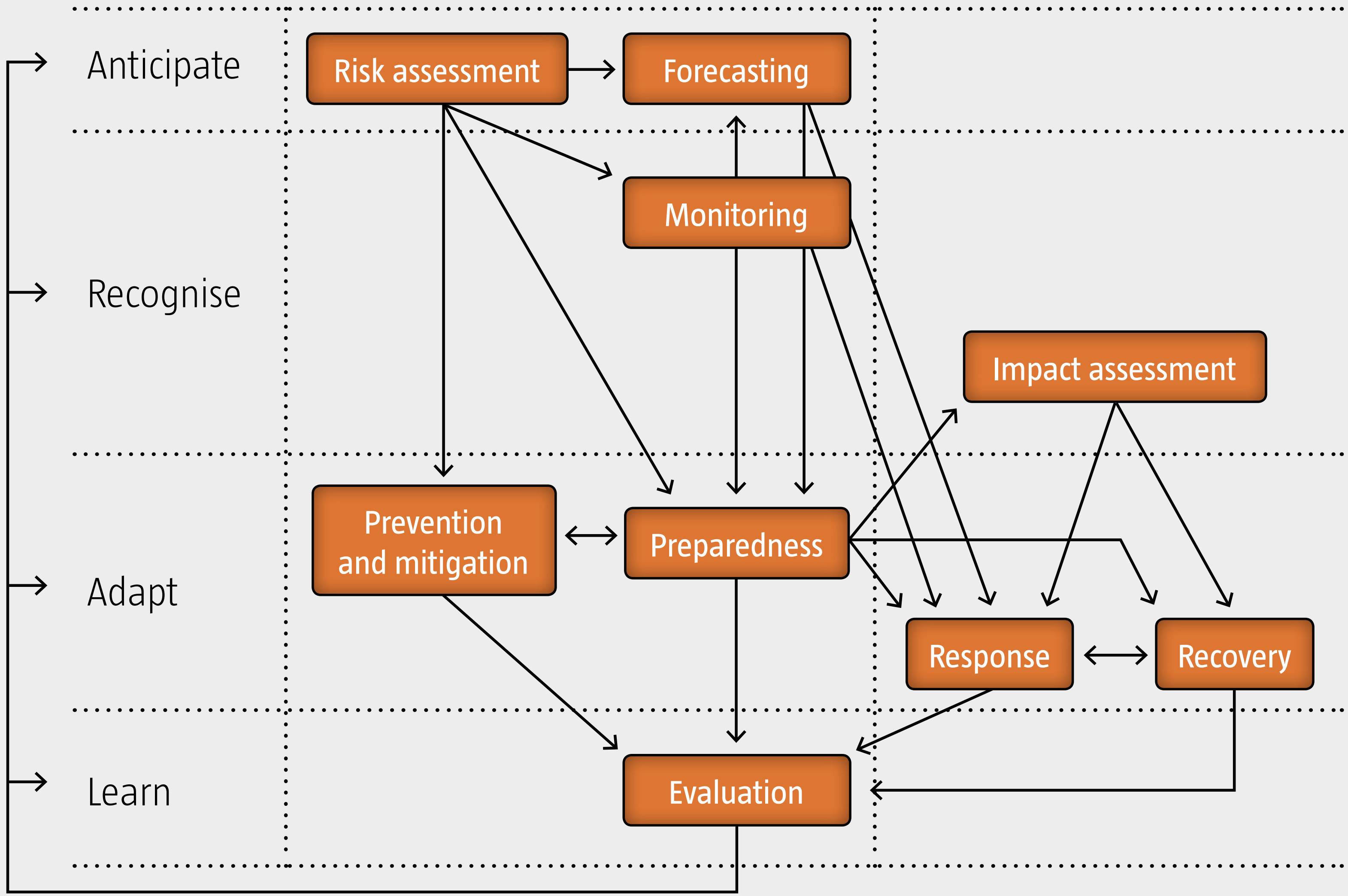
| | |
|---|---|
| **National development goal** | Develop the functioning and capacity of organizations to represent the views of local citizens and to respond to their demands, within an established legal framework |
| **Overall capacity goal** | Develop and enhance target organizations' performance and effectiveness to carry out their mandates, reflecting principles defined by the National Program |
| **Institutional** | Interpret, use or influence the enabling framework |
| **Organizational** | Enhance organizational effectiveness to achieve mandate |
| **Individual** | Deliver on specific tasks to contribute to mandate of organization |

## Figure 7.



Long term effects the project is intended to have
Overall goal
Time span of up to 10 years
Time span of up to 3 years
Broad direction
Achieved as an immediate consequence of the related expected results
Purpose 1 (objective)
Purpose 2 (objective)
Expected results 1.1
Expected results 1.2
Expected results 1.3
Expected results 2.1
Expected results 2.2
Expected results 2.3
Achieved immediately as project activities implemented
Direct, real and concrete effects of the project activities

# Figure 8.




*Source: Designing Capacity Development for Disaster Risk Management – MSB503.*

# Process Checklist for Assessment of Capacity

| PROCESS ASPECT | ACTIONS/COMMENTS |
|---|---|
| **Purpose of dialogue/assessment**<br>• The purpose of the dialogue and assessment is specific and clear<br>• Purpose has been agreed with stakeholders<br>• A clear ranking has been agreed if there are multiple purposes of the dialogue/assessment<br>• Ownership and leadership of the process are adequate considering the purpose<br>• Key stakeholders have had explicit opportunity to decline the proposal for a dialogue/assessment | |
| **Desired Results of the dialogue/assessment**<br>• Results and outcomes are relevantly defined, e.g. in terms of reports, action plans, decisions, commitment<br>• Expected results have been agreed with stakeholders | |
| **Design**<br>• Key stakeholders have been fully involved in the design process in a timely manner<br>• Participation of staff/stakeholders at relevant levels has been discussed and agreed to in detail<br>• Key stakeholders will perform adequate roles in the process underlining their leadership/ownership<br>• Possible consultant/facilitation assistance has been actively endorsed by key partners | |
| **Implementation**<br>• An appreciative atmosphere is likely to prevail<br>• Sensitive matters are likely to be dealt with appropriately<br>• Possible conflicts or frustrations during the process can be reasonably resolved<br>• The process is likely to end with a broad sense of positive achievement among participants | |
| **Use of Results and Follow-up**<br>• It is clear how different stakeholders will use the envisaged results<br>• It has been agreed to whom minutes/reports will be distributed, and whether they are public or not<br>• There are clear and shared ideas of likely follow-up scenarios following the process | |

*Use grading scale (1–5) where 1=low and 5=high. Mark trend over the last period using arrows to indicate whether the situation has improved (🡅), deteriorated (🡇) or remained stable (–).*

*Source: EuropeAid (2010), Toolkit for Capacity Development, Tools and Methods Series, Reference Document No. 6, European Commission.*

# EuropeAid Toolkit Capacity Scanning Matrix

| CAPACITY AREA/FACTORS | PRESENT LEVEL OF DEVELOPMENT* | KEY STRENGTHS TO BUILD ON OR STRENGTHEN | KEY WEAKNESSES TO ADDRESS OR, IF BEYOND INFLUENCE, TO APPRECIATE | NOTES |
|---|---|---|---|---|
| **A. The context or operating environment**<br>• Effectiveness and adequacy of legal/regulatory/ broader policy framework<br>• Oversight and supervision, pressure for accountability<br>• Pressure for performance from citizens/customers/ political leaders/competitors<br>• Effectiveness of formal and informal networks and connections<br>• Overall public sector incentives, reforms<br>• Other | | | | |
| **B. Clarity of results, mandate, and purpose**<br>• Quality, quantity and relevance of products/services<br>• Achievement of past targets<br>• Contribution to desired outcomes and impact<br>• Other | | | | |
| **C. Adequacy of Resources**<br>• Match between objectives, mandate, and resources<br>• Predictability of resource envelope<br>• Match between funds for salaries, operational costs and investments<br>• Ability to recruit staff with adequate skills/experience<br>• Other<br>**D. Organization, Management and Infrastructure**<br>• Clarity of and compliance with strategies<br>• Structures ensuring balance between specialization and coordination<br>• Systems and processes adequately ensuring efficiency<br>• Communication and information sharing flowing in and between units<br>• Other | | | | |

*Use grading scale (1–5) where 1=low and 5=high. Mark trend over the last period using arrows to indicate whether the situation has improved (↑), deteriorated (↓) or remained stable (–).*

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# EuropeAid Toolkit Capacity Scanning Matrix

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| CAPACITY AREA/FACTORS | PRESENT LEVEL OF DEVELOPMENT* | KEY STRENGTHS TO BUILD ON OR STRENGTHEN | KEY WEAKNESSES TO ADDRESS OR, IF BEYOND INFLUENCE, TO APPRECIATE | NOTES |
|---|---|---|---|---|
| **E. Organizational Culture and Values**<br>• Correspondence between formal values and actual behavior<br>• Culture promoting efficiency and problem-solving<br>• Positive atmosphere in daily relations<br>• Team-spirit and identification with the vision/mission<br>• Other | | | | |
| **F. Vision and Leadership**<br>• Clarity of directions and guidance from leaders<br>• Adequate involvement and consultation of staff<br>• Encouraging innovation<br>• Role of self-review and critical reflection | | | | |
| **G. Attitude to Change**<br>• Priority of change and resources for it<br>• Previous experiences of change<br>• Capacity to manage change | | | | |
| **H. Monitoring Mechanisms**<br>• Availability of data on performance (outputs, client satisfaction, staff satisfaction)<br>• Monitoring data informing strategic and operational decisions<br>• Monitoring data available to staff and key stakeholders | | | | |

*Use grading scale (1–5) where 1=low and 5=high. Mark trend over the last period using arrows to indicate whether the situation has improved (↑), deteriorated (↓) or remained stable (–).*

# RCRC Well-prepared National Society Capacity Assessment Matrix

## A. EMERGENCY PREPAREDNESS, POLICY, PLANS AND LAWS

### Policy

| | | |
|---|---|---|
| A.1 | | Are Red Cross and Red Crescent Movement policies and guidelines effectively used in your National Society's activities?<br>☐ Yes<br>☐ No |
| A.2 | | Does the National Society have emergency response security guidelines for staff and volunteers, which is context specific and supported by management systems and training?<br>☐ Yes<br>☐ No |
| A.3 | | Does your National Society's governing board have a disaster committee that oversees your Society's policy/plan development and implementation?<br>☐ Yes<br>☐ No |
| A.4 | If yes, | Does your National Society have an emergency preparedness policy (this may also be called a disaster preparedness and response policy) which reflects its role in full compliance of its legal base and bylaws?<br>☐ Yes<br>☐ No |
| | A.4.1 | Indicate the areas that are included in your National Society's emergency preparedness and emergency response (EP/ER) Policy:<br>☐ Emergency Preparedness – for your society's response<br>☐ Emergency Preparedness – community-based disaster preparedness and risk reduction<br>☐ Intervention during disasters<br>☐ Recovery after disasters<br>☐ Rehabilitation<br>☐ Conflict management<br>☐ Requesting/accepting assistance from IFRC/other national societies/other bodies<br>☐ Advocacy<br>Others: |
| A.5 | | Are your National Society's staff and volunteer's familiar with the Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGO's) in Disaster Relief?<br>☐ Yes<br>☐ No |
| | A.5.1 | Does the National Society conduct any training on the code of conduct?<br>☐ Yes<br>☐ No |
| | A.5.2 | Does the National Society have its own internal code of conduct for staff?<br>☐ Yes<br>☐ No |
| A.6 | | Does your National Society actively strive to adhere to the Humanitarian Charter and Minimum Standards in Disaster Response (SPHERE)?<br>☐ Yes<br>☐ No |
| | A.6.1 | What proportion of the National Society staff and volunteers has received some training on SPHERE?<br>☐ Less than 10 %<br>☐ Less than 50 %<br>☐ Between 50 % – 100 % |

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| | | |
|---|---|---|
| | A.6.2 | Does your National Society use SPHERE during the planning and evaluation of disaster operations?<br>☐ Sometimes<br>☐ Always<br>☐ Never |
| A.7 | | Does your National Society use the safer access model for conflict preparedness?<br>☐ Yes<br>☐ No |

### Structure and Organization

| | | |
|---|---|---|
| A.8 | If yes, | Does your National Society have a department or focal point at Headquarters level responsible for coordinating EP/ER activities?<br>☐ Yes<br>☐ No |
| | A.8.1 | What are the EP/ER duties of this department?<br>☐ Training in EP/ER<br>☐ Country profile (risk analysis/hazard vulnerability)<br>☐ Disaster policy<br>☐ External (Government/other) – notification, activation and coordination<br>☐ Internal (National/branch/chapters) – notification, activation and coordination<br>☐ RC/RC Movement (Fed./ICRC) – notification, activation and coordination<br>☐ Information and reporting<br>☐ Damage/needs assessment<br>☐ Resource mobilization<br>☐ Telecommunications<br>☐ Search and rescue<br>☐ Water and sanitation<br>☐ Food aid<br>☐ Relief/supply distribution<br>☐ Logistics and transportation<br>☐ Health management<br>☐ Shelter/camp<br>☐ Psychosocial support services (PSP)<br>☐ Tracing<br>☐ Restoring family links (RFL)<br>☐ Security and safety<br>☐ Community-based disaster preparedness (CBDP)/risk reduction<br>☐ Early warning<br>☐ Evacuation procedures and raising alarm<br>☐ Relief supply warehouse management<br>☐ First aid<br>☐ Mitigation measures<br>☐ Advocacy for risk reduction<br>☐ Promotion of International Humanitarian Law (IHL)<br>Others: |
| A.9 | If yes, | Does your National Society have a written EP/ER Plan?<br>☐ Yes<br>☐ No |
| | A.9.1 | What areas does your EP/ER Plan include?<br>☐ Training in EP/ER<br>☐ Country profile (risk analysis/hazard vulnerability)<br>☐ Disaster policy<br>☐ External (Government/other) – notification, activation and coordination<br>☐ Internal (National/branch/chapters) – notification, activation and coordination<br>☐ RC/RC Movement (Fed./ICRC) – notification, activation and coordination<br>☐ Information and reporting<br>☐ Damage/needs assessment<br>☐ Resource mobilization<br>☐ Telecommunications<br>☐ Search and rescue<br>☐ Water and sanitation |

| | | |
|---|---|---|
| | | ☐ Food aid<br>☐ Relief/supply distribution<br>☐ Logistics and transportation<br>☐ Health management<br>☐ Shelter/camp<br>☐ Psychosocial support services (PSP)<br>☐ Tracing<br>☐ Restoring family links (RFL)<br>☐ Security and safety<br>☐ Community-based disaster preparedness (CBDP)/risk reduction<br>☐ Early warning<br>☐ Evacuation procedures and raising alarm<br>☐ Relief supply warehouse management<br>☐ First aid<br>☐ Mitigation measures<br>☐ Advocacy for risk reduction<br>☐ Promotion of International Humanitarian Law (IHL)<br>Others: |
| | A.9.2 | Is your EP/ER Plan formally recognised by the Government of your country?<br>☐ Yes<br>☐ No |
| | A.9.3 | Does your National Society have a clear auxiliary role stipulated in the Government's emergency preparedness plan?<br>☐ Yes<br>☐ No |
| A.10 | If yes, | Does the Government have a national emergency plan?<br>☐ Yes<br>☐ No |
| | A.10.1 | Does your National Society have a mandate in that plan?<br>☐ Yes<br>☐ No |
| | A.10.2 | What is the role of your National Society in that plan?<br>☐ Training in EP/ER<br>☐ Country profile (risk analysis/hazard vulnerability)<br>☐ Disaster policy<br>☐ External (Government/other) – notification, activation and coordination<br>☐ Internal (National/branch/chapters) – notification, activation and coordination<br>☐ RC/RC Movement (Fed./ICRC) – notification, activation and coordination<br>☐ Information and reporting<br>☐ Damage/needs assessment<br>☐ Resource mobilization<br>☐ Telecommunications<br>☐ Search and rescue<br>☐ Water and sanitation<br>☐ Food aid<br>☐ Relief/supply distribution<br>☐ Logistics and transportation<br>☐ Health management<br>☐ Shelter/camp<br>☐ Psychosocial support services (PSP)<br>☐ Tracing<br>☐ Restoring family links (RFL)<br>☐ Security and safety<br>☐ Community-based disaster preparedness (CBDP)/risk reduction<br>☐ Early warning<br>☐ Evacuation procedures and raising alarm<br>☐ Relief supply warehouse management<br>☐ First aid<br>☐ Mitigation measures<br>☐ Advocacy for risk reduction<br>☐ Promotion of International Humanitarian Law (IHL)<br>Others: |

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| | | |
|---|---|---|
| | A.10.3 | Does the plan include the coordination of international disaster response (e.g. United Nations, IFRC/other National Societies, foreign NGOs or governments)?<br>☐ Yes<br>☐ No |
| | A.10.4 | What aspects of international disaster response are covered?<br>☐ Roles/responsibilities<br>☐ Information sharing/reporting<br>☐ Needs assessment<br>☐ Entry of personnel, goods, transportation and equipment<br>☐ Search and rescue/relief distribution/other operational activities<br>☐ Use of communications equipment/networks<br>☐ Financial assistance<br>☐ Legal status, privileges and immunities<br>☐ Quality/accountability standards<br>☐ Humanitarian principles<br>Others: |
| A.11 | | Is your National Society represented in your government's National Coordinating body for disaster?<br>☐ Yes<br>☐ No |
| | A.11.1 | Is your National Society represented in your government's National Coordinating body for conflict?<br>☐ Yes<br>☐ No |
| A.12 | | Does your National Society have structures, systems and procedures in place that enable it to respond efficiently and effectively in situations of disasters and conflicts according to its defined role and responsibilities in the plan?<br>☐ Yes<br>☐ No |
| A.13 | | Has the National Society positioned itself in time of non-disaster to be viewed by all actual or potential internal/external stakeholders and beneficiaries as a neutral, impartial and independent humanitarian agency?<br>☐ Yes<br>☐ No |
| A.14 | | Does the National Society have a level of actual and perceived independence from the government (and other potential parties in a conflict) whilst still remaining auxiliary to the government?<br>☐ Yes<br>☐ No |

## National Coverage / Historical Data

| | | |
|---|---|---|
| A.15 | | How many branches/chapters does your National Society have? ____________________ |
| | A.15.1 | Approximately what percentage of your branches/chapters, have an EP/ER plan?<br>☐ 0–25 %<br>☐ 26–50 %<br>☐ 51–75 %<br>☐ 76–100 % |
| A.16 | | Please provide data on your Society's emergency response during the last few years, including only Emergencies that have affected more than 1 000 families. |

| | 2003 | 2004 | 2005 |
|---|---|---|---|
| How many disasters have hit your country? | | | |
| To how many of these disasters has your Society responded? | | | |
| How many people were affected at a national level? | | | |
| How many beneficiaries did your Society help? | | | |

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## B. DAMAGE, NEEDS, HAZARD/RISK/VULNERABILITY AND CAPACITY ASSESSMENT

B.1

Does your National Society have access to the government's hazard analysis and mapping for EP/ER planning?

- ☐ Yes
- ☐ No

B.1.1

Does your National Society utilize the government's hazard analysis and mapping for EP/ER planning?

- ☐ Yes
- ☐ No

B.2

Does your National Society gather information from secondary sources on current hazard, vulnerability and specific impact projections for all major risks to use for EP/ER planning?

- ☐ Yes
- ☐ No

B.3

Do your National Society's branches/chapters gather information from their communities on current hazard, vulnerability and specific impact projections for risks, both natural and man-made?

- ☐ Yes
- ☐ No

B.4

How does your National Society make use of the information gathered from the Government?

- ☐ Information analyzed and included in the EP/ER plan
- ☐ Pre-position supplies for emergencies
- ☐ Define strategic locations for warehouses
- ☐ Define worst case disaster scenarios (with estimate numbers of potential victims and needs)
- ☐ Support branches/chapters in high risk areas

Others:

B.5

What assessment and risk analysis tools does your National Society use to identify, prioritize and develop EP/ER activities?

- ☐ Vulnerability and capacity assessment (VCA)
- ☐ Better Programs Initiative (BPI)
- ☐ Project planning process (PPP)
- ☐ Well-prepared national society (WPNS)
- ☐ GIS/Risk maps
- ☐ Analysis of past disaster trends (50–100 years)

Others:

## C. COORDINATION

C.1

Does your National Society coordinate closely with other organizations and agencies in preparedness and response, coordinating activities, resource sharing, information and expertise?

- ☐ Yes
- ☐ No

C.1.1

Does your National Society actively participate in an interagency EP/ER coordination group?

- ☐ Yes
- ☐ No

C.1.2

Please list Key partners in disaster management with whom your National Society has signed Contracts, Agreements or Memorandums of Understanding:

| RC/RC Movement | International Organizations<br>Local NGOs/Government | Local NGOs/Government |
|---|---|---|
| | | |
| | | |
| | | |

C.1.3

Are the contracts, agreements or memorandums of understanding in line with the fundamental principles?

- ☐ Yes
- ☐ No

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C.2 Is your National Society coordinating with and part of the following Federation Regional and International Disaster Response mechanisms?

| | |
|---|---|
| Regional Response Teams/Unit<br>☐ Yes<br>☐ No | Field Assessment and Coordination Team (FACT)<br>☐ Yes<br>☐ No |
| Emergency Response Unit (ERU)<br>☐ Yes<br>☐ No | Tracing<br>☐ Yes<br>☐ No |

C.2.1 Is your National Society coordinating with and part of the following national response mechanisms?

| | |
|---|---|
| National intervention teams<br>☐ Yes<br>☐ No | Provincial intervention teams<br>☐ Yes<br>☐ No |
| Branch/chapter level intervention teams<br>☐ Yes<br>☐ No | |

C.3 Is there coordination within your society between Disaster Preparedness, Health and other programmes?

☐ Yes
☐ No

## D. INFORMATION AND REPORT MANAGEMENT

D.1 Does your National Society have **access** to the following?

| | |
|---|---|
| DMIS<br>☐ Yes<br>☐ No | GIS Mapping Data<br>☐ Yes<br>☐ No |
| FedNet<br>☐ Yes<br>☐ No | National Early Warning Systems<br>☐ Yes<br>☐ No |

D.1.1 Does your National Society utilize the following?

| | |
|---|---|
| DMIS<br>☐ Yes<br>☐ No | GIS Mapping Data<br>☐ Yes<br>☐ No |
| FedNet<br>☐ Yes<br>☐ No | National Early Warning Systems<br>☐ Yes<br>☐ No |

D.2 Does your National Society have someone on call 24 hours a day to receive notification of a disaster and to activate disaster response procedures?

☐ Yes
☐ No

D.3 Does your National Society have standard operating procedures in place to notify the Federation if a disaster is of international scale?

☐ Yes
☐ No

D.4 Does your National Society have a system to regularly monitor progress in its EP/ER activities?

☐ Yes
☐ No

| | | |
|---|---|---|
| D.5 | | Does your National Society have information/communication procedures in place to ensure effective coordination between preparedness and response for disaster and conflict and other national society programmes such as Health, Internally Displaced People, Refugee and Migration and Relief?<br>☐ Yes<br>☐ No |

## E. RESOURCE AND RESPONSE MOBILIZATION

### Human Resources and Training

| | | |
|---|---|---|
| E.1 | | Rate your National Society's disaster management capacities at the headquarters level?<br>☐ Poor<br>☐ Average<br>☐ Good<br>☐ Excellent |
| | E.1.1 | Does your National Society have effective disaster management capacities at the branch/chapter levels?<br>☐ Yes<br>☐ No |
| E.2 | | Does your National Society recruit volunteers for its disaster preparedness and response programmes from:<br>Vulnerable Groups: ☐ Yes ☐ No<br>Communities: ☐ Yes ☐ No |
| E.3 | If yes, | Does your National Society have an internal training program related to situations of disasters?<br>☐ Yes<br>☐ No |
| | E.3.1 | Does your National Society have an internal training program related to situations of conflict?<br>☐ Yes<br>☐ No |
| | E.3.2 | Please indicate which of the following areas your training program covers:<br>☐ Training in EP/ER<br>☐ Country profile (risk analysis/hazard vulnerability)<br>☐ Disaster policy<br>☐ External (Government/other) – notification, activation and coordination<br>☐ Internal (National/branch/chapters) – notification, activation and coordination<br>☐ RC/RC Movement (Fed./ICRC) – notification, activation and coordination<br>☐ Information and reporting<br>☐ Damage/needs assessment<br>☐ Resource mobilization<br>☐ Telecommunications<br>☐ Search and rescue<br>☐ Water and sanitation<br>☐ Food aid<br>☐ Relief/supply distribution<br>☐ Logistics and transportation<br>☐ Health management<br>☐ Shelter/camp<br>☐ Psychosocial support services (PSP)<br>☐ Tracing<br>☐ Restoring family links (RFL)<br>☐ Security and safety<br>☐ Community-based disaster preparedness (CBDP)/risk reduction<br>☐ Early warning<br>☐ Evacuation procedures and raising alarm<br>☐ Relief supply warehouse management<br>☐ First aid<br>☐ Mitigation measures<br>☐ Advocacy for risk reduction<br>☐ Promotion of International Humanitarian Law (IHL)<br>Others: |

| | | |
|---|---|---|
| E.4 | | Do systems and training in place reinforce appropriate standards of personal conduct and the positive image the National Society wants to portray?<br>☐ Yes<br>☐ No |
| E.5 | | Does the National Society have sufficient numbers of trained staff/volunteers trained in:<br>☐ Assessment<br>☐ First aid<br>☐ Reporting<br>☐ Logistics<br>☐ Relief management<br>☐ RFL<br>☐ IHL dissemination |
| E.6 | | Does the National Society have personnel with the necessary skills to fulfil its mandate in preparedness and response in disaster and conflicts?<br>☐ Yes<br>☐ No |
| E.7 | If yes, | Are your Disaster Preparedness staff and volunteers tested annually?<br>☐ Yes<br>☐ No |
| | E.7.1 | Please indicate which of the following methods are used for testing:<br>☐ On job training/actual disaster experience<br>☐ Formal classes and tests<br>☐ Exercise/simulations/drills |
| E.8 | | Does your National Society use the Federation's Disaster Preparedness Modules for:<br>Staff and volunteers: ☐ Yes ☐ No<br>with Communities: ☐ Yes ☐ No |
| E.9 | If yes, | Are the response teams well trained and equipped?<br>☐ Yes<br>☐ No |
| | E.9.1 | Do the response teams have trained and competent team leaders?<br>☐ Yes<br>☐ No |
| **Financial Resources** | | |
| E.10 | | Does your National Society have an emergency fund in place?<br>☐ Yes<br>☐ No |
| E.11 | | Does your National Society have well functioning systems and procedures in place for record keeping and financial accountability?<br>☐ Yes<br>☐ No |
| **Material Resources** | | |
| E.12 | | What disaster response vehicles and emergency stocks does your National Society have? |

**Number of vehicles**

| **Transport** | 1–10 | 11–25 | 26–100 | 101–200 | 201+ |
|---|---|---|---|---|---|
| Cars | ☐ | ☐ | ☐ | ☐ | ☐ |
| Trucks | ☐ | ☐ | ☐ | ☐ | ☐ |

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| | For how many families? | | | | |
|---|---|---|---|---|---|
| **Emergency Stocks** | 50 | 51–250 | 251–500 | 501–1 000 | 1 001+ |
| Blankets | ☐ | ☐ | ☐ | ☐ | ☐ |
| Tents | ☐ | ☐ | ☐ | ☐ | ☐ |
| Hygiene parcels | ☐ | ☐ | ☐ | ☐ | ☐ |
| Kitchen sets | ☐ | ☐ | ☐ | ☐ | ☐ |
| (other) | ☐ | ☐ | ☐ | ☐ | ☐ |
| (other) | ☐ | ☐ | ☐ | ☐ | ☐ |
| (other) | ☐ | ☐ | ☐ | ☐ | ☐ |

☐ If more than a 1 001+ please write in the figure

E.13 Does your National Society have supply agreements?
☐ Yes
☐ No

E.14 If yes, Does your National Society have emergency stocks pre-positioned in strategic areas?
☐ Yes
☐ No

E.14.1 Are the emergency stocks stored in secure warehouses and well managed warehouses?
☐ Yes
☐ No

E.14.2 Are warehouses in locations outside known high-risk hazard zones?
☐ Yes
☐ No

E.14.3 Do warehouses have adequate transportation capability to quickly distribute emergency stocks?
☐ Yes
☐ No

E.15 If yes, Does your National Society have a national telecommunications system?
☐ Yes
☐ No

E.15.1 Approximately what percentages of your branches/chapters are covered by the telecommunications system?
☐ 0–25 %
☐ 26–50 %
☐ 51–75 %
☐ 76–100 %

E.15.2 Is the telecommunications system available/suitable for use in disasters/conflicts? If so, by whom?
☐ Yes
☐ No
By whom: ________________________________

## F. COMMUNITY-BASED DISASTER PREPAREDNESS, MITIGATION AND DISASTER RISK REDUCTION

F.1 If yes, Does your National Society have community-based programmes?
☐ Yes
☐ No

| | | |
|---|---|---|
| | F.1.1 | Please indicate which of the following programmes your National Society is using:<br>☐ Community-based first aid (CBFA)<br>☐ Community disaster risk mapping<br>☐ Disaster awareness raising campaigns<br>☐ Community disaster education (schools)<br>☐ Community disaster education (neighbors)<br>☐ Supporting people-centered early warning systems<br>☐ Community vulnerability capacity assessment (VCA)<br>☐ Community disaster response preparedness (i.e., drills/simulations, disaster teams)<br>☐ Community education programme on preparedness for emergencies |
| F.2 | | Is there a government agency responsible for providing national disaster awareness programs?<br>☐ Yes<br>☐ No |
| F.3 | If yes, | Does your National Society have a public disaster awareness program?<br>☐ Yes<br>☐ No |
| | F.3.1 | Is your National Society's disaster awareness raising or educational materials collaboratively developed with the Government or other agencies for consistent messages?<br>☐ Yes<br>☐ No |
| F.4 | | Are volunteers integrated into branch/chapter community disaster awareness/education programs?<br>☐ Yes<br>☐ No |
| F.5 | | Are disaster education programs targeted at groups in high-risk areas?<br>☐ Yes<br>☐ No |
| F.6 | | Does your National Society participate annually in October during the World Disaster Reduction Day with regards to community disaster activities?<br>☐ Yes<br>☐ No |
| **G. ADVOCACY** | | |
| G.1 | | Does your National Society in situations of conflict advocate in the appropriate diplomatic manner, in close cooperation with the ICRC, and other stakeholders for measures, which assist and protect those most affected by the conflict?<br>☐ Yes<br>☐ No |
| G.2 | | Does your National Society advocate with the Government and other organizations in favour of mitigation and preparedness measures? (I.e. Land use planning, building codes, evacuation, and insurance)?<br>☐ Yes<br>☐ No |
| | G.2.1 | Does your National Society advocate with the Government and other organizations to promote international laws, rules and principles relating to disaster response (i.e. Tampere Convention, UN resolutions etc.)?<br>☐ Yes<br>☐ No |
| G.3 | | Do you have in place tools for legal risk management including mechanisms to ensure compliance with and applicable to international and national laws?<br>☐ Yes<br>☐ No |

*Source: The questions in the matrix are developed from the source: International Federation of Red Cross and Red Crescent Societies. (2005). Well-prepared National Society – self-assessment 2002-2004.*

## Figure 9.

Work with somebody who **knows the context**

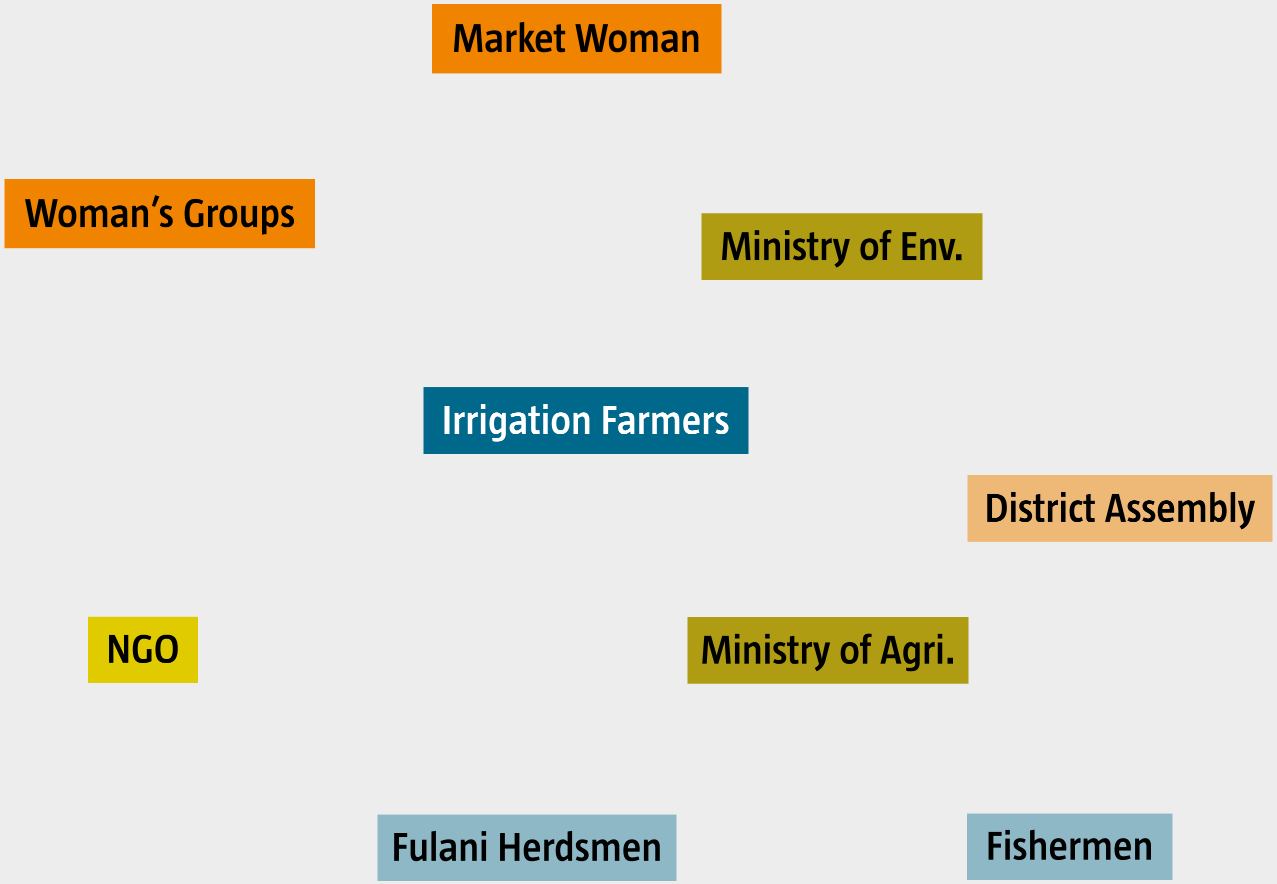
Develop your **own Influence Network Map**

**Adjust** framework if required

**Pre-test** with people similar to those you want to participate

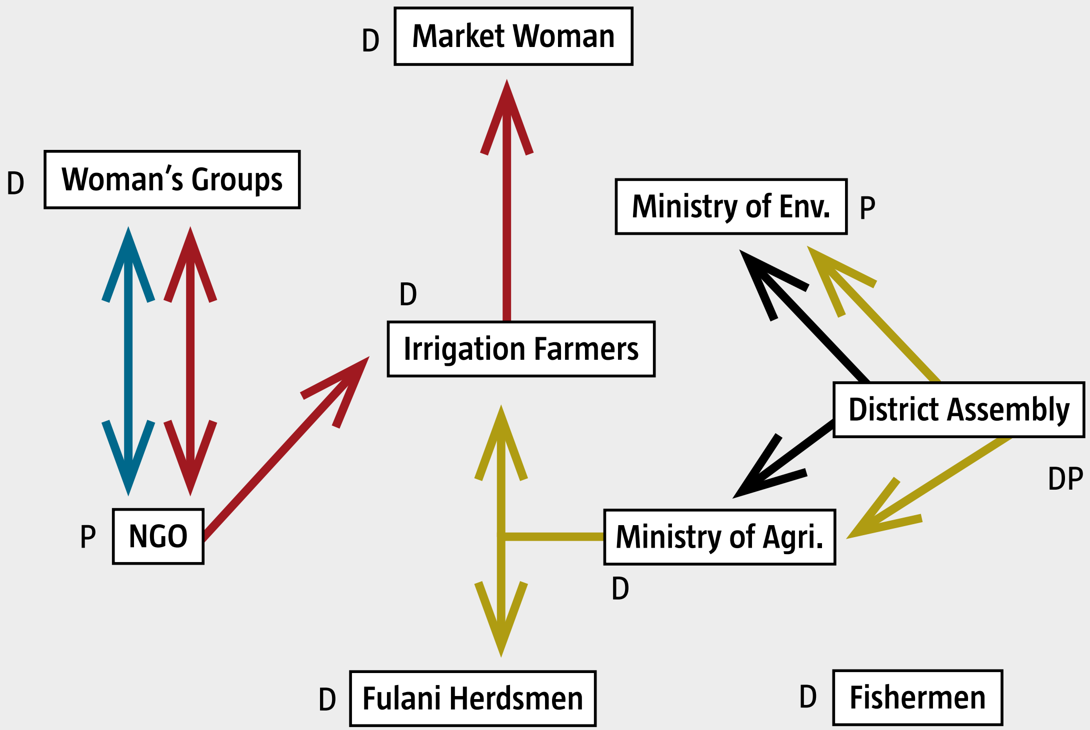
**Analyse terms** to understand local appropriateness

## Figure 10.




*Source: Schiffer, E. (2007) Net-Map Toolbox: Influence Mapping of Social Networks.*

## Figure 11.

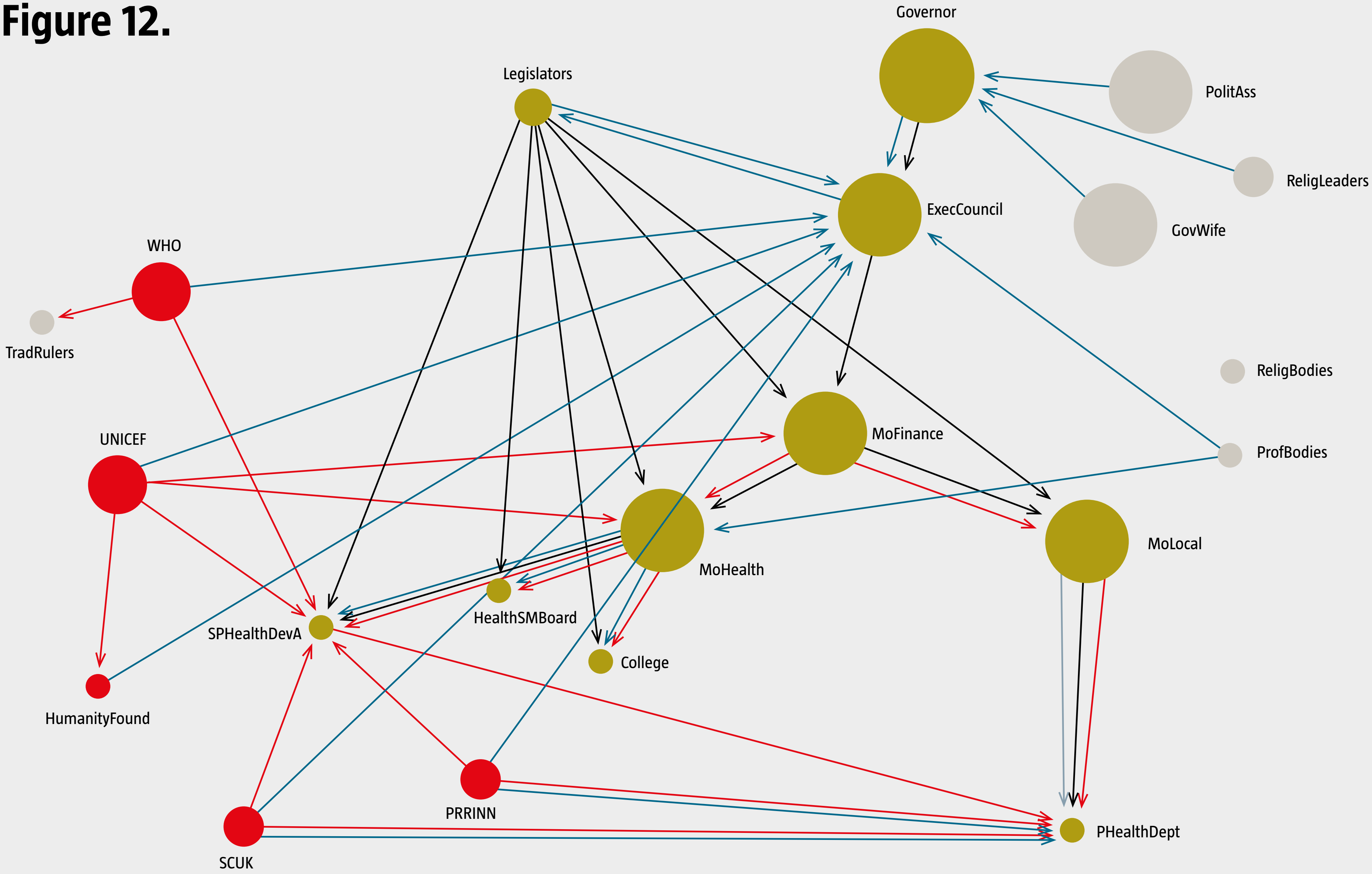



Name: Moses Ayemba
Date: 12.07.2007
Study: Impact on local irrigation
Kind of links:
  Red (Money)
  Black (Command)
  Green (Advice)
  Blue (Information)

P = Protection
D = Development

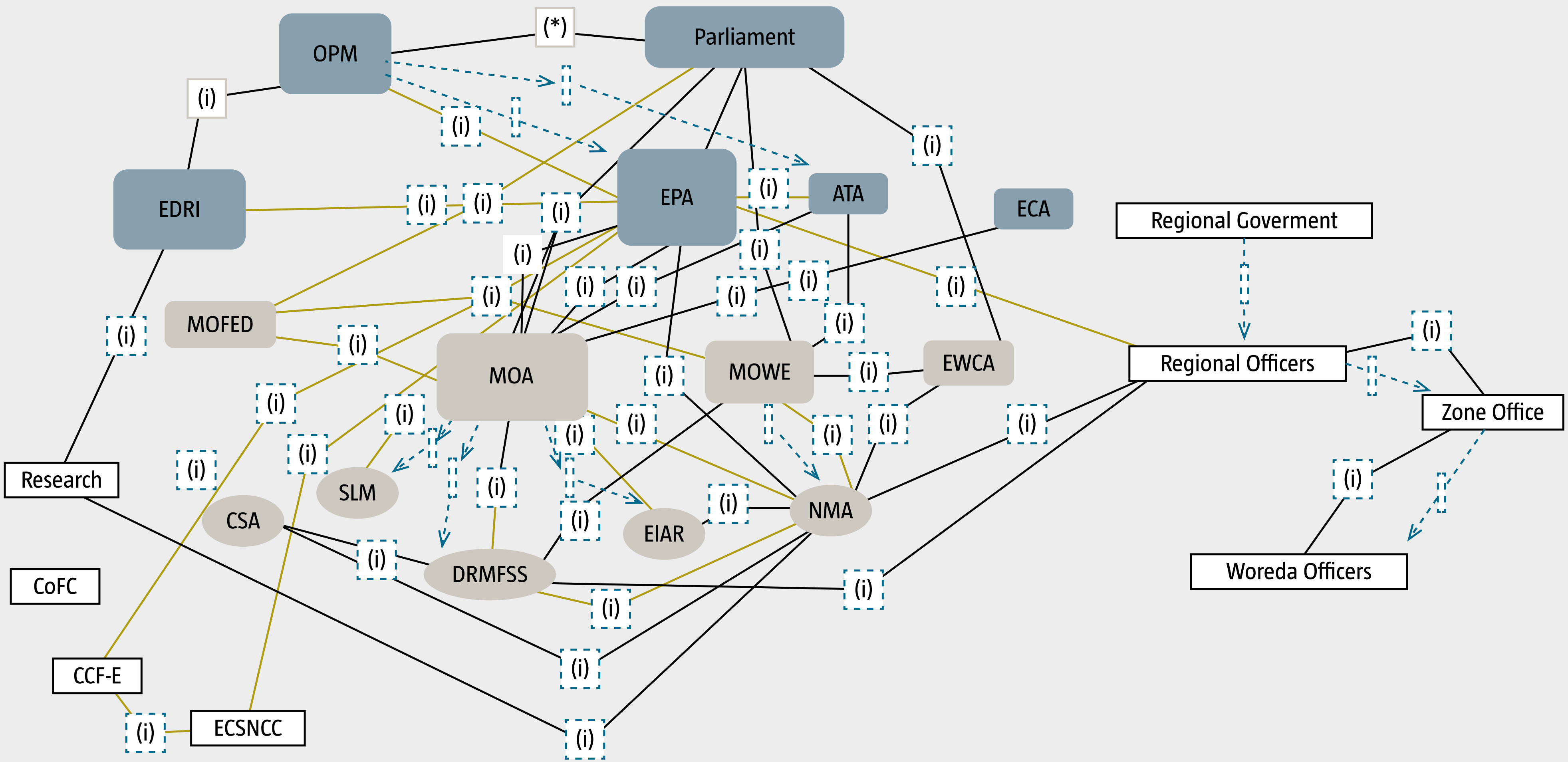
*Source: Schiffer, E. (2007) Net-Map Toolbox: Influence Mapping of Social Networks.*

# Figure 12.



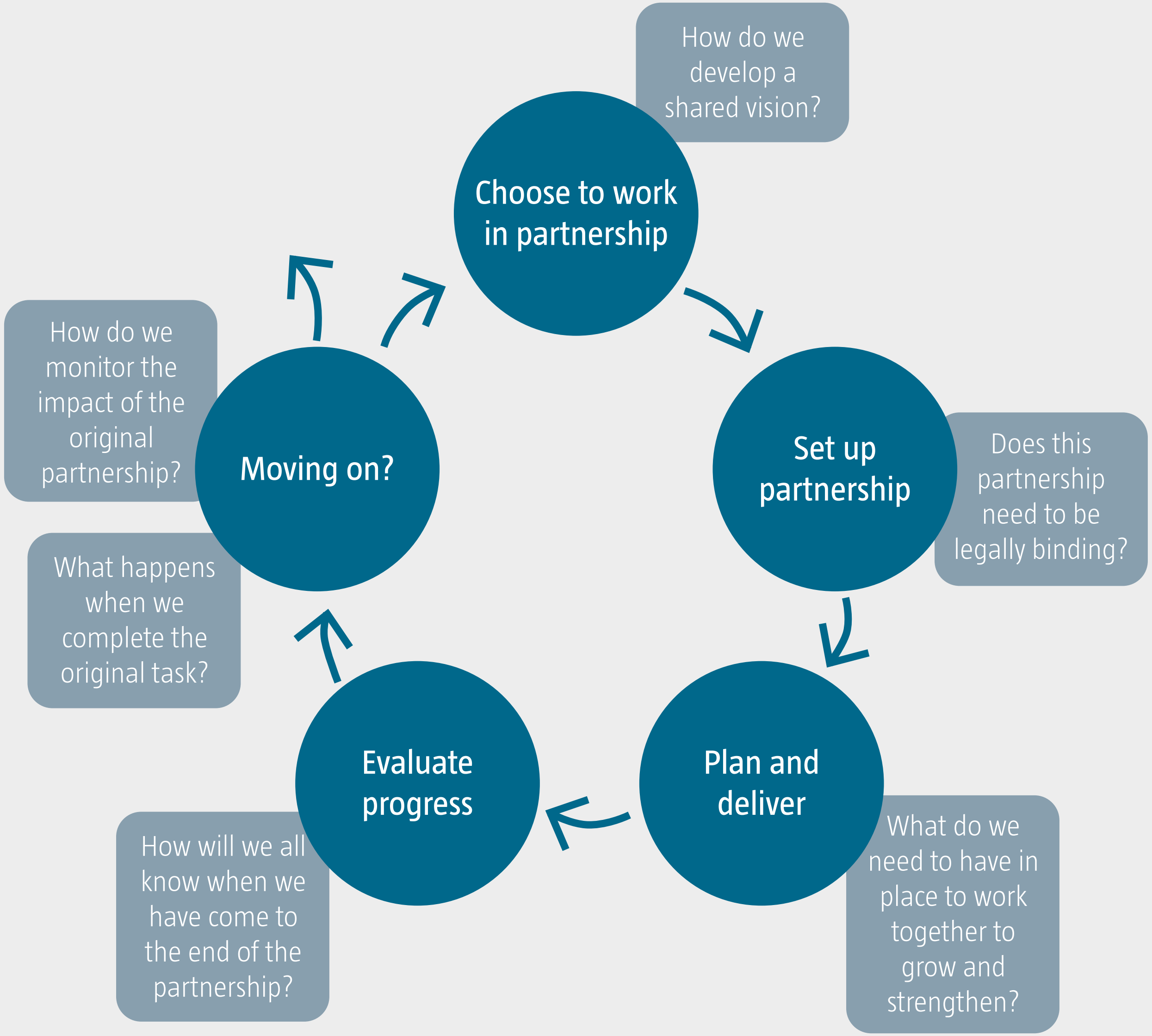

*Source: Schiffer, E. (2007) Net-Map Toolbox: Influence Mapping of Social Networks.*

# Figure 13.

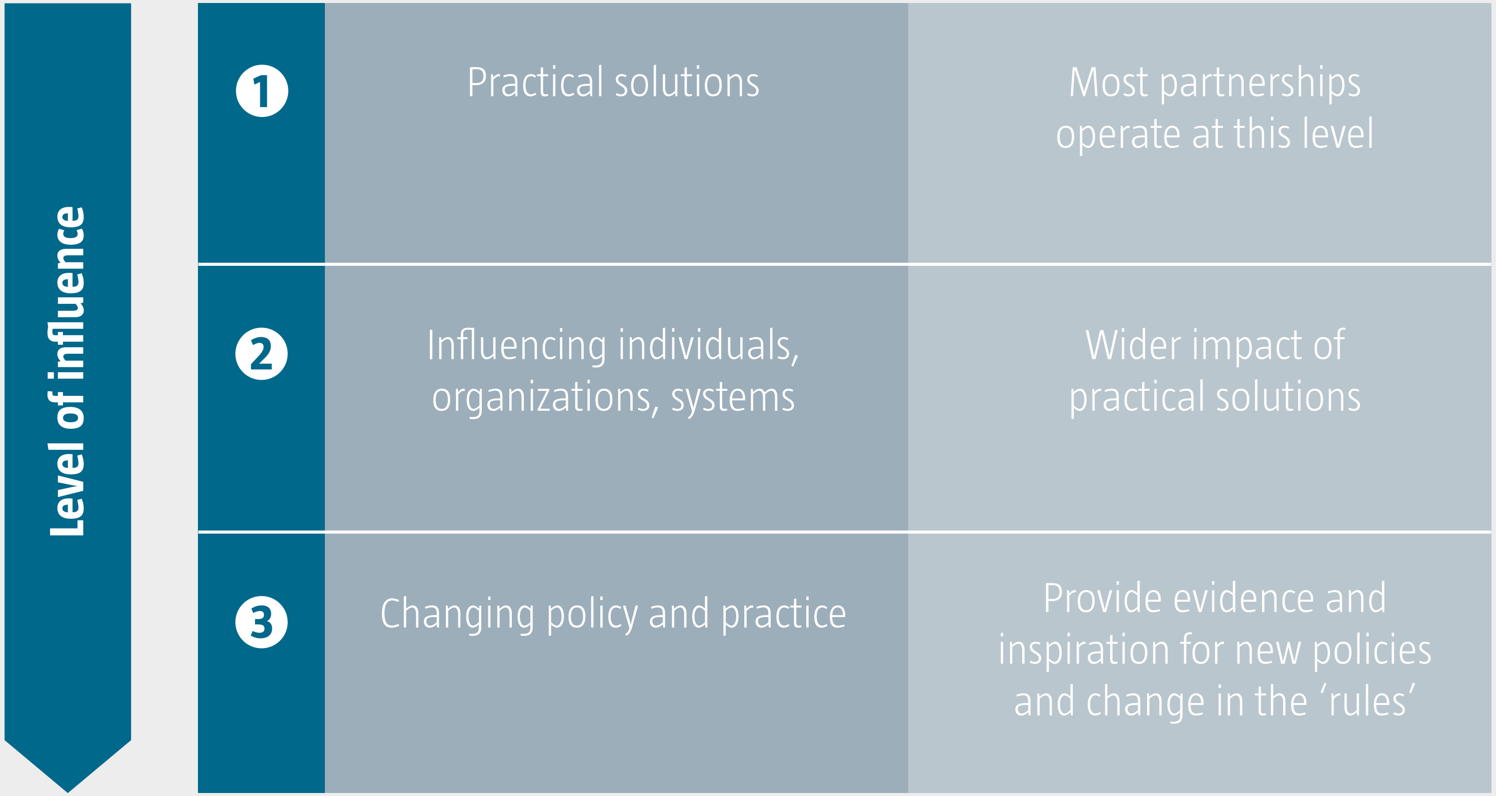



*Source: Downing, T. (2012) Netmap protocol application for Ethiopia. Unpublished document. Oxford: Global Climate Adaptation Partnership, used by permission from the author.*

## Figure 14.


Choose to work in partnership
How do we develop a shared vision?
Set up partnership
Does this partnership need to be legally binding?
Plan and deliver
What do we need to have in place to work together to grow and strengthen?
Evaluate progress
How will we all know when we have come to the end of the partnership?
Moving on?
What happens when we complete the original task?
How do we monitor the impact of the original partnership?

## Figure 15.


Level of influence
1
Practical solutions
Most partnerships operate at this level
2
Influencing individuals, organizations, systems
Wider impact of practical solutions
3
Changing policy and practice
Provide evidence and inspiration for new policies and change in the 'rules'

# Figure 16.

### Roles

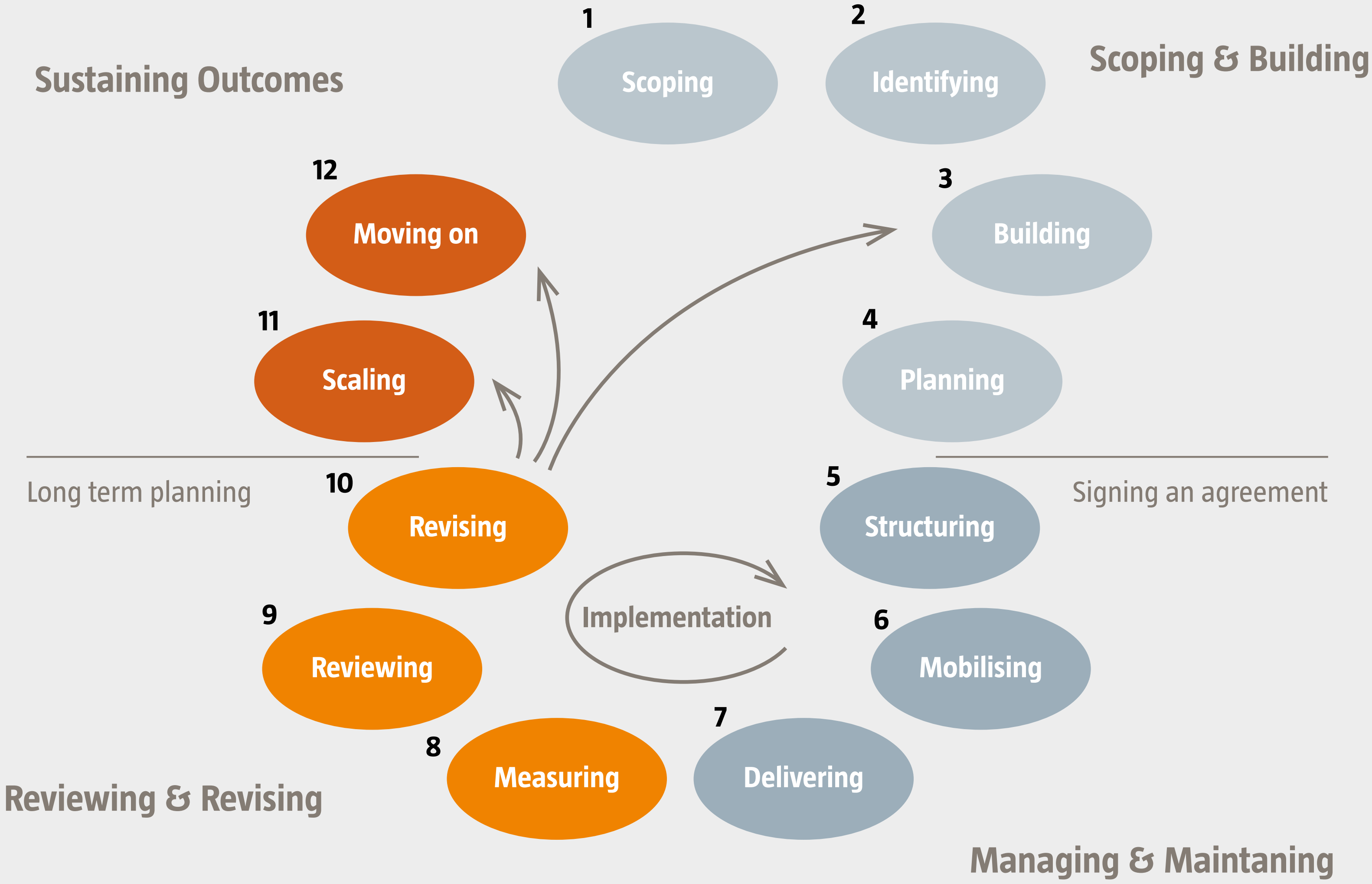
| | |
|---|---|
| **Key decision makers** | Centrally involved in decision making about strategies and spending |
| **Consultees** | Able to give advice or views, do not need to be centrally involved |
| **Informed parties** | Observers or interested organisations – kept informed, unlikely to have strong views |

**Most** involved — **Least** involved

### Ladder of participation

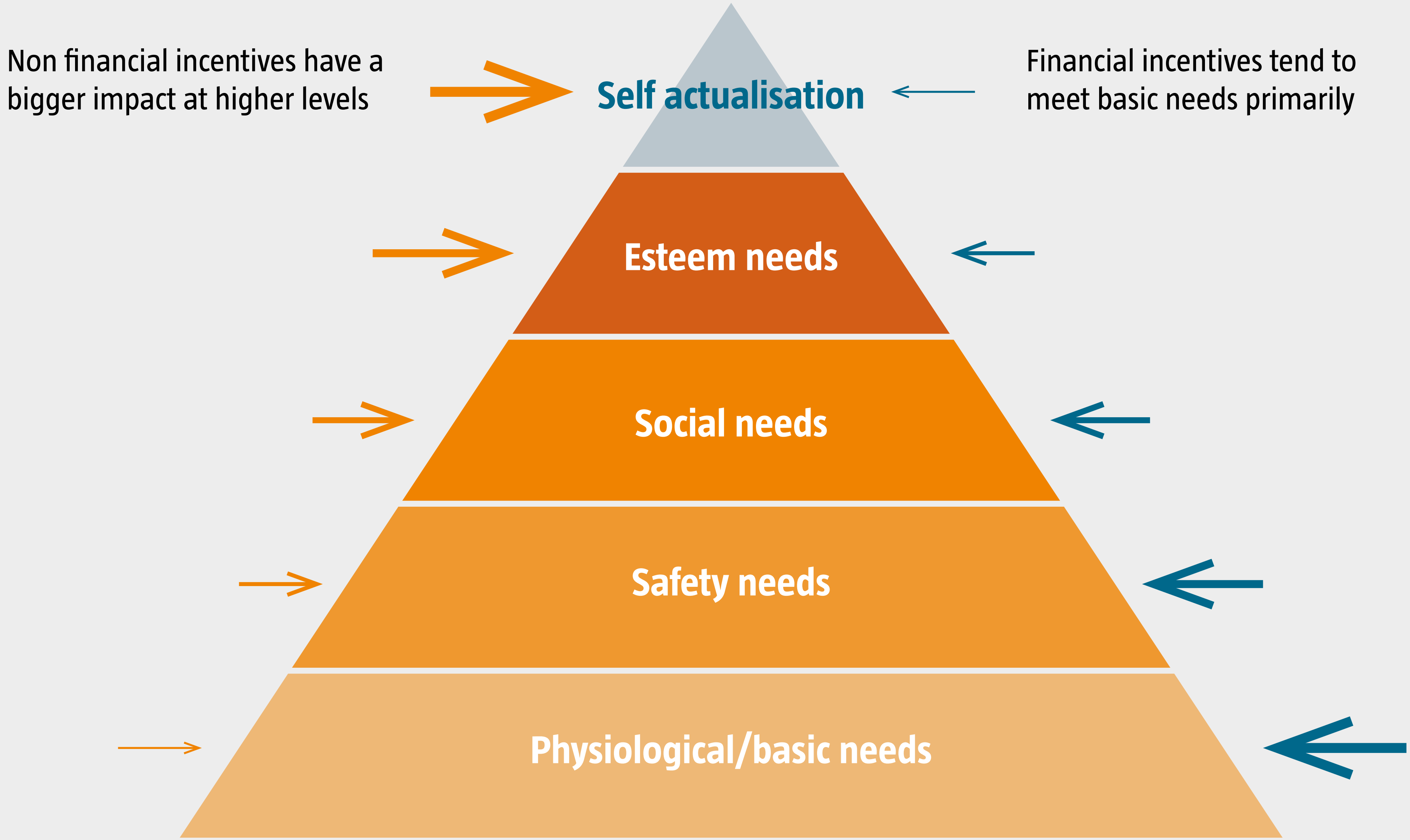
| | |
|---|---|
| **Participation** | Full involvement in the strategy, planning and delivery aspects |
| **Involvement** | Occasional involvement |
| **Consultation** | Views which can be considered |
| **Information** | Passing on information |

# Figure 17.




*Source: The Partnering Initiative: The Partnering Toolbook, The Brokering Guidebook, and Moving On.*

## Figure 18.



Non financial incentives have a bigger impact at higher levels
Self actualisation
Financial incentives tend to meet basic needs primarily
Esteem needs
Social needs
Safety needs
Physiological/basic needs

# Examples of capacity development indicators

| WHOSE CAPACITY? | CRITICAL FUNCTION (capacity to do what?) | EXISTING CAPACITY | CATEGORY | STRATEGY FOR CHANGE | CAPACITY INDICATORS |
|---|---|---|---|---|---|
| Local financial officials, district assembly members, central financial officials, political authorities at all levels. | Decentralizing payment functions from line ministries to local governments. | Rudimentary at present as financial systems have been in place only 18 months. Shortage of staff at district level and skepticism at central level. | Projected capacities | Combination of training, systems development and political change at the central level. | Ability of the system to transfer funds between authority levels (say within 45 days of the end of the quarter) and or produce audited statements within six months of the end of the fiscal year. |
| Community water management committees. | Water pump maintenance in rural areas that cannot be properly serviced by regional authorities. | Committee can handle routine maintenance but cannot deal with major repairs which require special tools and spare parts. | Projected capacities | Building a maintenance system that allows central agencies and local governments to provide support to community groups. Will require awareness, logistical and incentive changes. | A functioning pump management committee that meets at least once per months and keeps the pump functioning 90 % of the time in normal circumstances. |
| Operational staff at the field level of certain central agencies and ministries. | Need to coordinate information amongst six ministries working on environmental issue of soil erosion in a particular region. | Staff work reasonably well but are hampered by severe logistical constraints. | Context | Collaborative efforts to put in place low cost transport and communications improvements including fax machines, bicycles, road improvements. | 25 % Increase in the number of projects that require contributions from two or more departments. |
| Research staff of government departments. | Need for government departments to carry out joint surveys of client farmers in delta area of cotton region. | No surveys take place at present. | Process | Series of workshops designed to create greater coherence, trust and common approaches to better understand farmer needs. | Acceptance of survey methods as an effective tool by senior by senior research officers and their incorporation into the work program of the agencies. |
| Technical institute as a whole. | Need for technical institute to gain legitimacy amongst staff, students and parents. | Institute is slowly gaining acceptance but is being hampered by financial constraints and stagnating performance. | Permanence | Public awareness campaign which encourages parents to participate more in the management and design of school programs. | Willingness of parents to both pay increase in school fees (say 10 %) and contribute labor towards the construction of a new school building. |
| Systemic capacity to manage national park system in a small african country. | Need to improve interactions between national parks staff and local communities. | Non existent. Local communities resent their lack of benefit from park resources. | Context | Better understanding of the contextual conditions. In particular, need data on number, distribution, income level and ethnic composition of people living within 10 miles of the park boundaries. | Increased use of the survey data in park planning parameters. |

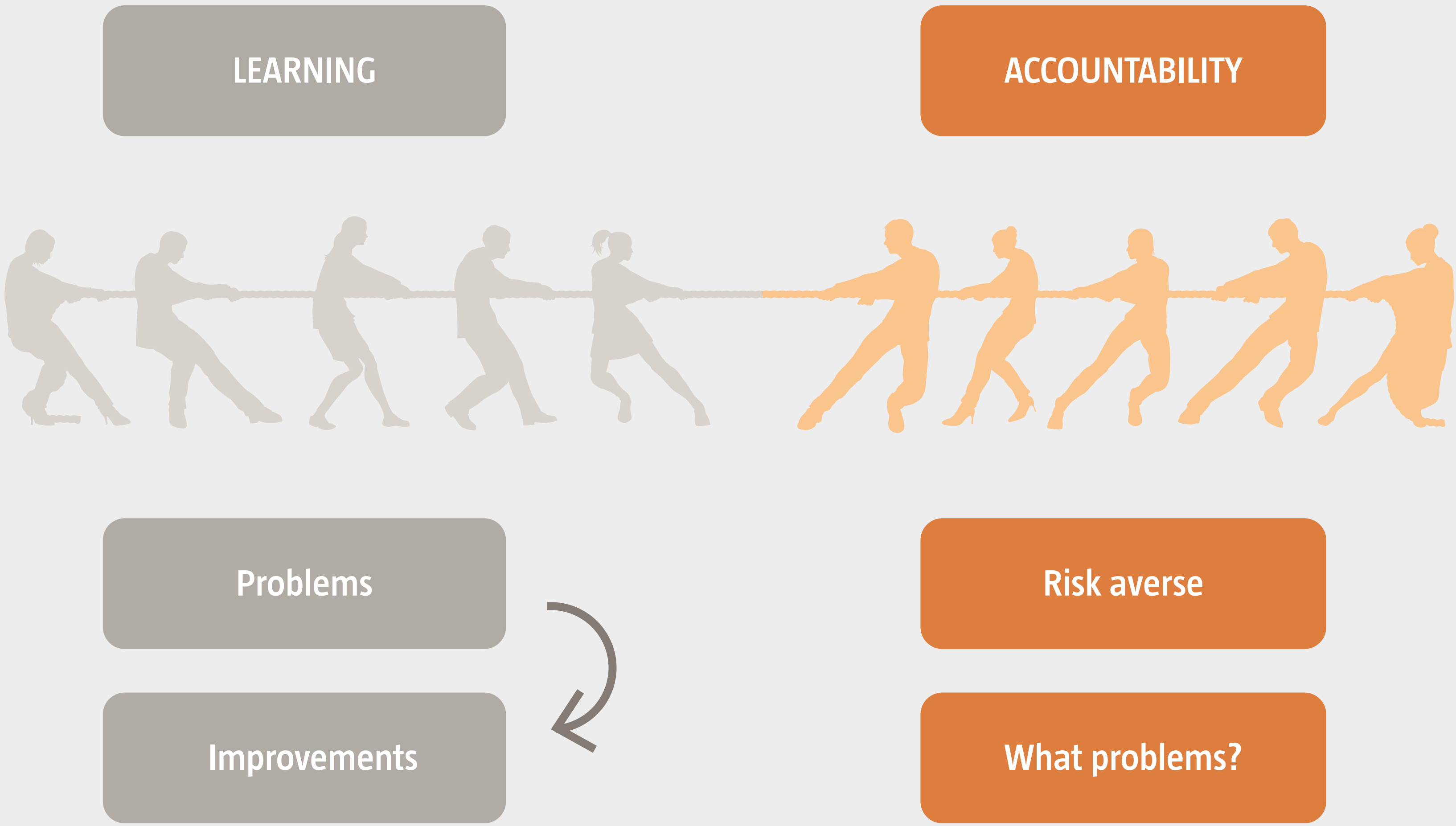
*Source: Morgan, P. (1997) The Design and Use of Capacity Development Indicators. A paper prepared for the Policy Branch of CIDA. Canadian International Development Agency.*

| WHOSE CAPACITY? | CRITICAL FUNCTION (capacity to do what?) | EXISTING CAPACITY | CATEGORY | STRATEGY FOR CHANGE | CAPACITY INDICATORS |
|---|---|---|---|---|---|
| Regional managers and politicians. | Need of for regional authorities to upgrade transportation facilities in eastern part of the region. | Reasonable at present given resources available but system coming under strain due to growth of industry in eastern area. | Process | Need to persuade district authorities and private firms to put in place toll roads. | Ability of the regional authorities to mobilize political support and local resources to support its position with central authorities. |
| Rural electrification agency. | Need to convert small rural businesses to electricity before the next election. | Based on current growth patterns and technical capacity, cannot achieve mandated target. | Performance | Partnership with canadian provincial agency including technical assistance and equipment supply. | 3,000 New customers to be registered with accounts section by november 1998. |
| System wide across the public service. | Need to connect government agencies to the internet by end 1998. | Only 3 % of government offices are now connected. | Projected capacity | Creation of a new generation of information technology managers. | Study tour of european it firms plus operational posting to private firms and then posting to designated position in government agencies by january 1999. |

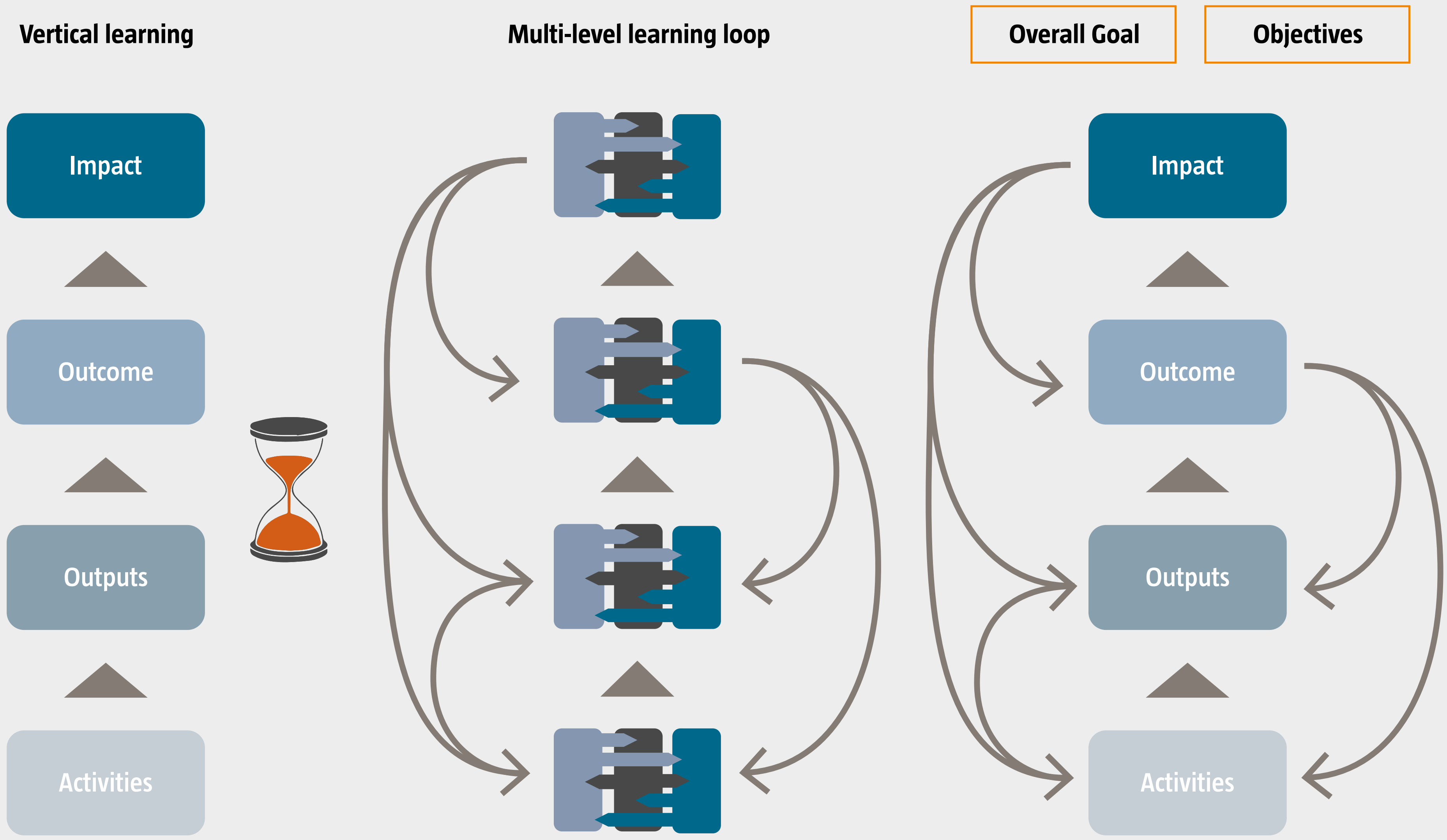
# Figure 19.


Good evidence body
Broad learning approach
Inclusive approach
Real experiences
Self-assessment feedback, reflection and internal dialogue
Focus on getting process right
Adaptive and responsive management
Sustainable change
More successful ongoing programme development
Broader organizational development
Active use of theories of capacity
Use errors or failures as learning opportunities
Learning as incentives
Multi-way and multi-level learning
Normalize culture of learning
Improve quality of design and implementation
More innovation
Improve confidence
Possible entry points exposed
More balanced stable society

## Figure 20.


LEARNING
ACCOUNTABILITY
Problems
Improvements
Risk averse
What problems?

# Figure 21.


Vertical learning
Multi-level learning loop
Overall Goal
Objectives
Impact
Outcome
Outputs
Activities
Impact
Outcome
Outputs
Activities

## Figure 22.

| | |
|---|---|
| **Relevance** | in line with local needs and priorities |
| **Effectiveness** | extent to which activity achieves its purpose, time bound |
| **Efficiency** | measurement of outputs achieved as a result of inputs |
| **Ownership** | driven by local stakeholders |
| **Impact** | wider effects of project |
| **Sustainability** | long term and interconnected |

# Example 1:

**Ability to survive and act**

- Inspiring leadership
- Ability to plan, decide + act collectively
- Resource mobilization
- Low transaction costs
- Effective monitoring

**Ability to achieve development results**

- Substantive outcomes
- Strong public/private institutions
- Improved governance + multi-stakeholder participation
- Sustainable development results

**Ability to achieve coherence**

- Clear mandate, vision + strategy
- Well-defined operating principles
- Coherence, balance stability + change
- Ambition | vision | strategy vs. operations

**Ability to relate**

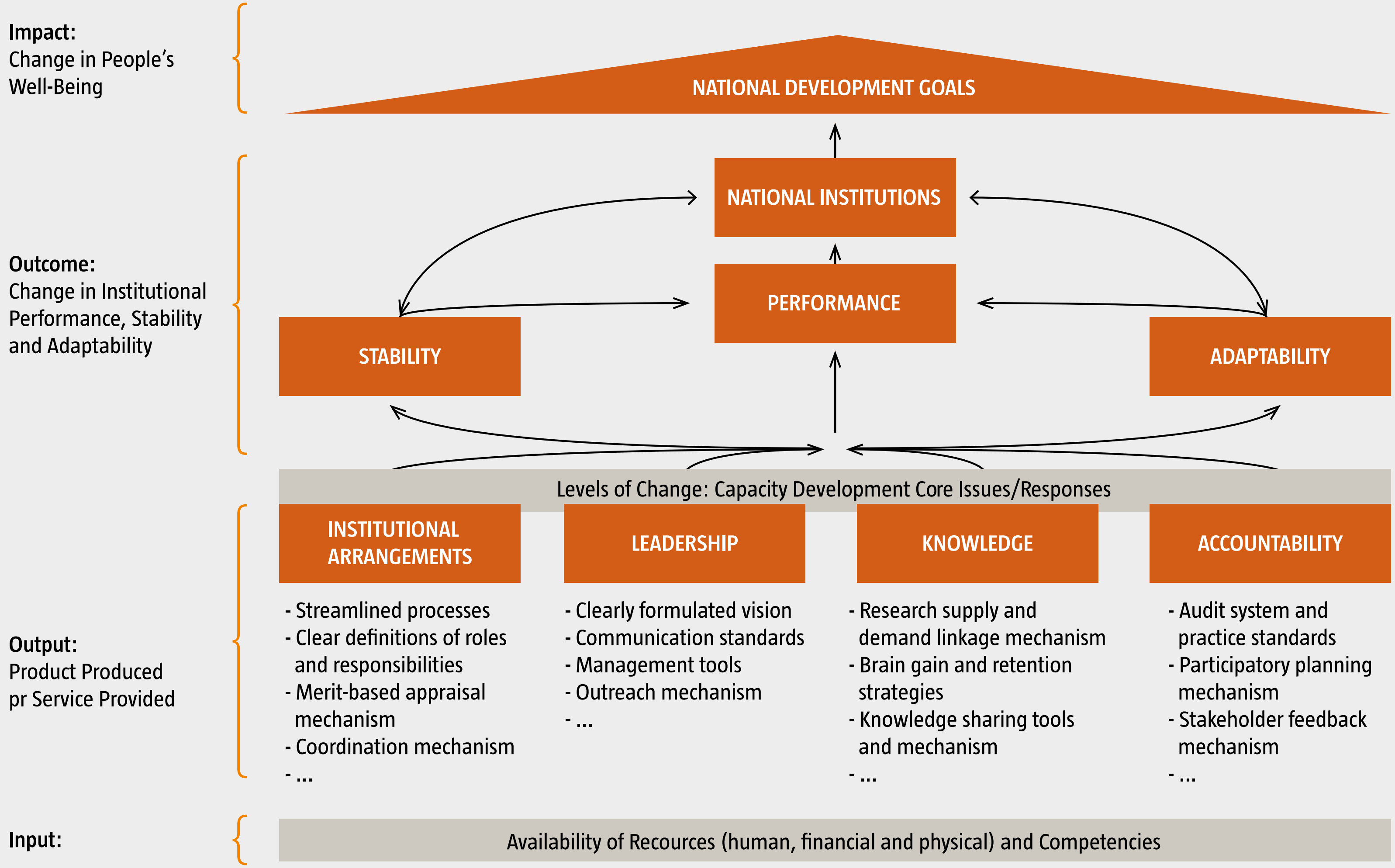
- Legitimacy
- Integrity: leadership + staff
- Operational credibility | trustworthiness
- Adequate alliances

**Ability to adapt and self-renew**

- Adaptive management culture
- Culture of learning
- Change confidence
- Understanding of shifting context

*Source: Land, T. and Keijzer, N. (2007) A balanced approach to monitoring and evaluating capacity and performance, ECDPM.*

# Example 2:

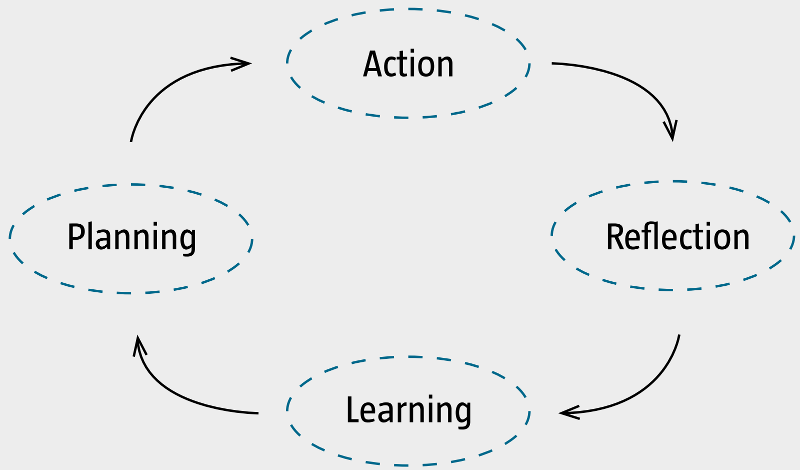



*Source: UNDP (2011) Strengthening Capacities for Disaster Risk Reduction: A Primer.*

# Example 3:

Lorem Action/Reflection/Learning/ Planning Cycle

Simple but effective monitoring tool for structuring reflection + learning processes




Ask why?

'Why was this activity effective?'
'Why did this intervention not achieve the expected results?'
'Why was this intervention more successful with group A than with group B?'

Answers

Generate learning

Towards ongoing + periodic review processes