Reviewing the Impact of Capacity Building in GFDRR

OVERVIEW

Acknowledgments

Notes: Fiscal year (FY) runs from July 1 to June 30; all dollar amounts are in US ($) unless otherwise indicated.

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Reviewing the Impact of Capacity Building in GFDRR

UCL

GFDRR
Global Facility for Disaster Reduction and Recovery

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World Bank Group President Jim Yong Kim visits Colegio de Alto Rendimiento in Chontabamba, Peru. Photo: Domingo Giribaldi / World Bank

Report Overview

The Global Facility for Disaster Reduction and Recovery (GFDRR) devotes a significant proportion of its resources—up to 24 percent—to capacity-building efforts. In line with its mission, this is aimed at boosting the capacity of developing countries to better understand emerging disaster risks, reduce their vulnerabilities to natural hazards, and adapt to climate change. Capacity-building activities are generally integrated into GFDRR projects to support the overall objectives, rather than standalone projects.

However, despite the level of investment, capacity building is often considered secondary to larger activities. To date, some of GFDRR's capacity-building activities have been perceived as scattered by clients, partners, and colleagues at the World Bank. Moreover, there is little systemic knowledge about the effectiveness and long-term impact of capacity-building activities within GFDRR or, more generally, within the broader disaster risk management (DRM) community. It appears, even anecdotally from current practice, that GFDRR could better leverage the impact of capacity building.

In order to address this analysis and practice gap, this study assesses the effectiveness of capacity building across the GFDRR portfolio. The report evaluated projects active in fiscal years 2014 and 2015 (FY14 and FY15), focusing on "human capacity building – developing and sharing knowledge and skills, as well as consensus and network building. This study is composed of a stocktaking exercise and the development of in-depth case studies. This approach offers a baseline methodology to more strategically capture the role of capacity building in GFDRR, and more broadly, DRM operations.

This report is aimed at a two-fold audience: (i) the World Bank and GFDRR, to encourage better planning and strategic thinking about the value of capacity building; (ii) GFDRR's Consultative Group and DRM community more generally, to highlight the critical role of capacity building in enhancing the effectiveness of operations.

At an operational level, three key questions underline the study and frame its recommendations:

1. **Planning.** How can capacity building be effectively planned?

2. **Management.** How can the impact of capacity building be identified and managed?

3. **Sustainability.** How can capacity-building activities be designed to have a lasting impact?

After a summary of the analysis underpinning the report, these three questions are answered with operational recommendations. This section is of use both for program managers [e.g. Task Team Leaders (TTLs)] and grant making facilities (e.g. GFDRR) in order to determine which operational steps and considerations can lead to the most effective and valuable activities.

The following section outlines actionable scenarios for next steps GFDRR can take to improve the value of its capacity-building efforts. Each scenario includes a menu of interventions to choose from and implement. These scenarios include: (i) maintaining an already effective status quo, making slight adjustments to strengthen GFDRR's role as an effective *facilitator* of capacity-building activities—Scenario one; (ii) developing a more carefully planned approach that better captures the value added by capacity building and makes GFDRR a more strategic *enabler* of activities in the field—Scenario two; or (iii) GFDRR becomes a key *provider* of capacity-building activities—Scenario three.

An Actionable Plan on Capacity Building

The report advocates for the second scenario proposed, which is "Moderate Action." The study shows that the current status quo already is effective and capable of adding important value to GFDRR funded activities. The authors, nevertheless, suggest small additional steps to enhance the status quo, becoming more strategic about capacity building. In this scenario, GFDRR is seen as cementing and enhancing its current function as an *enabler*, albeit not a direct *provider*, of capacity-building activities. The interventions under scenario two opt for a more strategic approach, with greater resources and staff time allocated that could further increase the value added. Under this scenario there are four areas of strategic intervention that could significantly enhance the impact of capacity building in GFDRR supported projects: enhancing monitoring and evaluation (M&E) for capacity building; supporting better dissemination of best practices and lessons learned; coordinating and facilitating training and e-learning on DRM; and providing specific guidance, training, and resources for project leaders (e.g. TTLs) to support a well-designed approach to capacity-building activities.

The Study and its Methods

The study underlying this report included an initial "stocktaking" review of capacity-building activities. This exercise was conducted across a database of 300 GFDRR projects, active during FY14 and FY15, to highlight trends, challenges, and areas for further research. In addition, a set of 10 case studies, selected in terms of geographical location, as well as a variety of project typologies (grant size, length and GFDRR pillars of engagement) were analyzed. (See Annexes A and B in the full report)

Both the case studies and the stocktaking inform the answers to the three "key questions" and "next steps" scenarios outlined at the end of the document.
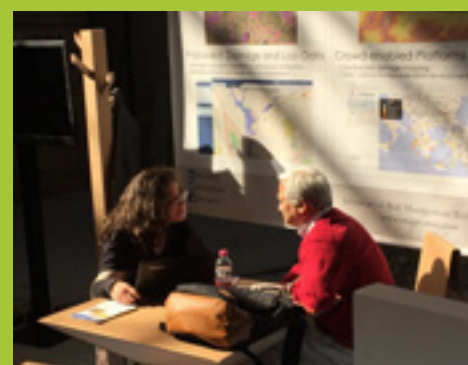
Defining Capacity Building

There is a lack of consensus about the operational definition of "capacity building;" the phrase hides a vast landscape of activities, ideas, and engagements. A World Bank Institute (WBI) report on Capacity Development (2009)[1] noted that most definitions are very broad, making it difficult to evaluate the outcomes of such work or understand its impact. Definitions can encompass "technical" (tools and infrastructures), "financial" (investments), and "human" (knowledge and skills) capacity. Using this broader definition, an Independent Evaluation Group (IEG) report (2012)[2] determined that GFDRR "has been, first and foremost, a capacity-building program, which has accounted for 81% of project commiments." While important to make a case for capacity-building assessments, this assessment might need refinement in focus to offer more directly-applicable operational reccomendations.

For this study, capacity building has been defined as the process of developing and strengthening the skills, instincts, abilities, processes, and resources that organizations and communities need to adapt and manage and reduce disaster risks. As such, this report focuses on human capacity. Interestingly, when asked to define capacity building, the TTLs who were interviewed also focused upon human capacity.

The research team identified capacity building as activities that contribute to one or more of the following[3]: (1) raising awareness; (2) enhancing skills; (3) improving consensus; (4) fostering coalitions/networks; and (5) facilitating decision making. In order to better assess the value of capacity building, operations have been classified as the following activity types: (1) knowledge products; (2) short-term learning; (3) long-term learning; (4) consultations with stakeholders; (5) campaigns; and (6) knowledge exchange, fostering partnerships, and network development.

The project has taken into account two types of capacity-building impact: impact on the project's delivery (shaping the way the project is planned and carried out), and the impact of the project on beneficiaries and partners (shaping the project's outcomes and their effectiveness). In this sense capacity building is, therefore, not always a main goal of a project; rather it can be deployed to enable a project's objective, acting as a tool to support other goals.

Capacity building has been defined as the process of developing and strengthening the skills, instincts, abilities, processes and resources that organizations and communities need to adapt and manage/ reduce natural disaster risks.

[1] WBI (2009) The Capacity Development Results Framework: A strategic and results- orientated approach to learning for capacity development, http://ieg.worldbankgroup.org/Data/reports/gfdrr_gpr.pdf   http://siteresources. worldbank.org/CSO/Resources/228716-1369241545034/The_Capacity_Development_Results_Framework.pdf

[2] IEG (2012) GFDRR Global Program Review, volume 6, issue 2. http://ieg.worldbankgroup.org/Data/reports/gfdrr_gpr.pdf

[3] Drawing from the WBI (2009) Capacity Building Results Framework.

Current Landscape: Stocktake Analysis Overview
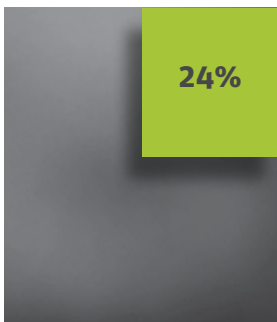
T he study began by taking stock of the landscape of GFDRR engagements in order to understand the overall scope of capacity-building activities.[4] Following are the key take-away lessons from this exercise:

24%

- **How much does GFDRR invest?** Twenty-four percent of the GFDRR active portfolio in FY14 and FY15 was allocated for capacity building[5]. However, as discussed in the case studies (appendix B), the majority of projects had a significantly higher percentage of capacity building than was indicated in the budget[5]. Capacity building accounting for $33 million (24 percent of GFDRR funding) is, therefore, a conservative estimate.

- **Is capacity building a project driver?** There are few projects that are driven by capacity building; only a small portion of GFDRR projects dedicate more than 50 percent of their budget towards these activities. The majority of capacity-building activities are supplementary to broader DRM objectives.

- **Where are most capacity building-driven projects?** The selection of projects driven by these activities are mostly housed within the former GFDRR capacity-building program, created in 2010 in cooperation with the WBI. The program focused on supporting the development of DRM training courses, including a number of e-learning courses. [6] As part of the program's strategy, partnerships were formed with prominent players in developing countries for course delivery and marketing.

- **How does capacity building align to GFDRR?** The largest expenditure, and over half the total budget for capacity-building activities, lies in pillars one (risk identification) and two (risk reduction).

- **Why do small projects count?** Small projects (in budget size) tend to have substantial capacity-building commitments (41 percent of the projects with over 50 percent of their budget dedicated to capacity building are small in grant size).

- **What are key capacity-building activities?** The most common capacity-building activities are short-term learning activities and the development of knowledge products. Out of the 300 projects 177 (59 percent) reported having at least one short-term learning activity, and 94 projects (31 percent) reported the development of knowledge products.

- **Who benefits from capacity building?** The primary beneficiaries of capacity-building activities include government and institutional counterparts (191 and 109 of the 300 projects, respectively). The third most common beneficiaries are community groups (63 projects), followed by DRM professionals or technicians as the next most common (50 projects). A smaller proportion of projects are aimed at benefiting the private sector (15 projects) or the wider DRM community (16 projects).

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4   The full stocktake is available in annex A in the full report.
5   It is important to note that capacity-building budget per project was calculated using a proxy. Capacity building is not accounted for in a separate project line, therefore, the proxy was calculated by adding the budget line "logistics" (training, workshops, conference facilities and stakeholder consultation) with "dissemination costs" (translation, editing, and publication).
6   See Annex C in the full report for a list of GFDRR supported training & e-learning courses.

Figure 2. Total Capacity-building Expenditure Across the FY14 and FY15 Active Portfolio Disaggregated by Pillar (in US$ millions)

PILLAR 1
Risk
Identification

$9.46
29%

PILLAR 2
Risk
Reduction

$8.91
27%

PILLAR 3
Preparedness

$5.31
16%

PILLAR 4
Financial
Protection

$3.12
10%

PILLAR 5
Resilient
Recovery

$4.22
13%

Cross-Cutting
$1.51
5%
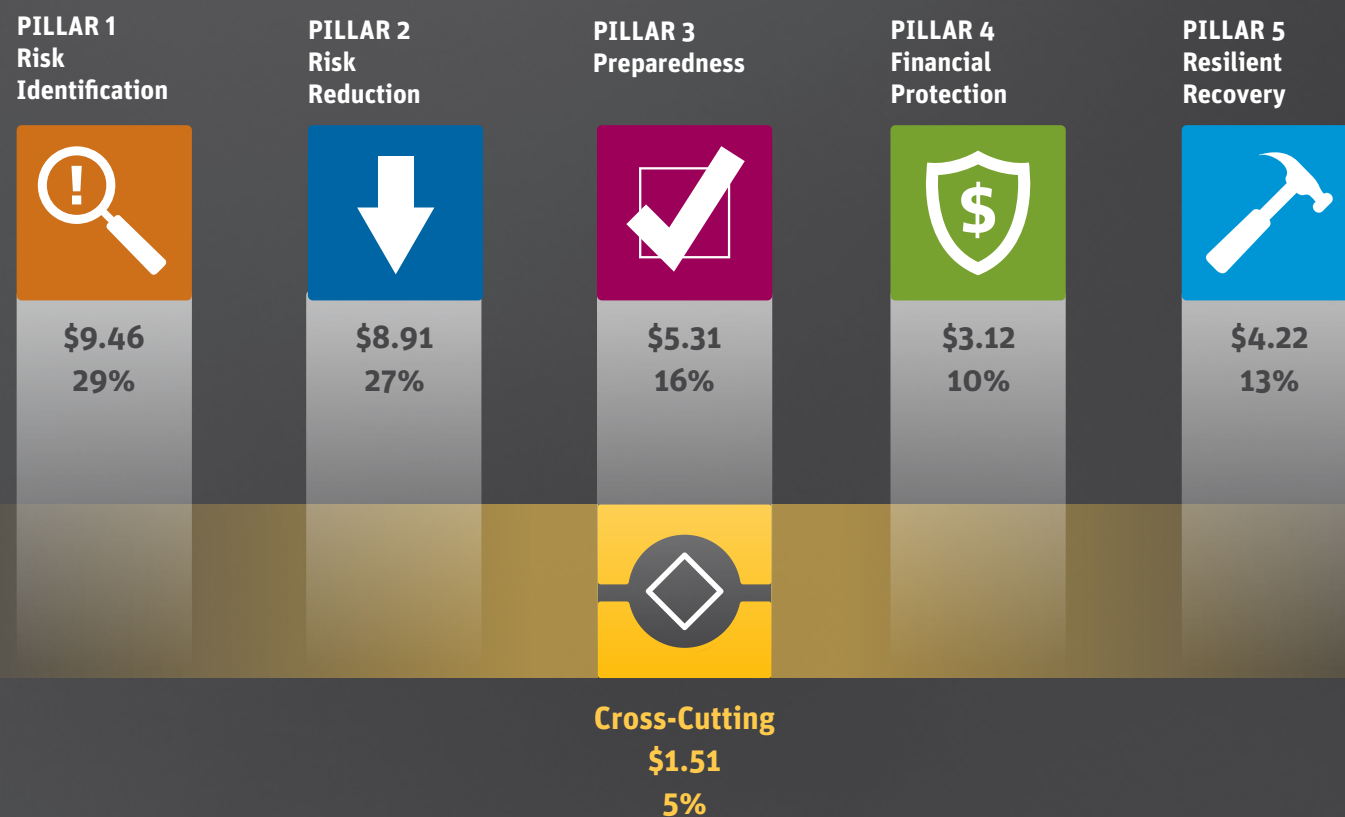
Figure 3. The Number of Different Capacity-building Activities Across the FY14 and FY15 Active Portfolio
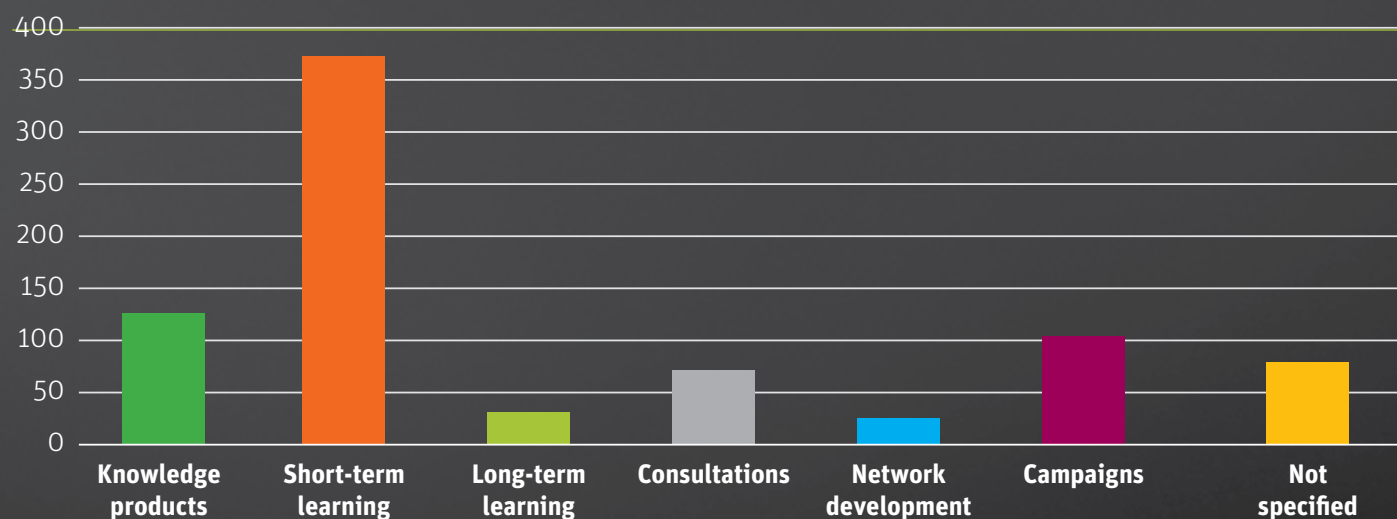
Current Practices: Case Studies Overview

This section outlines some of the key findings from the 10 case studies to take a deeper dive in the current capacity-building practices of GFDRR projects. The full case studies provide greater depth and can be found in Annex B in the full report.

1 Central America Probabilistic Risk Assessment (CAPRA)

Long-term engagement. The CAPRA initiative was rolled out in Central and South America from 2008 -2016 in three main phases. In the first and second phases, World Bank specialists played a central role in generating risks maps.

Balancing local ownership and technical support. In the third phase, there was a reduction in World Bank involvement in order to encourage local ownership, sustainability and institutional capacity building. This objective needed to be balanced with providing the necessary amount of technical support to participants.

The "Knowledge Manager." The World Bank knowledge manager, a role not frequently included within GFDRR-supported initiatives, was crucial to integrating key lessons learned into the project design. The knowledge manager was responsible for interviewing the trainees and reporting back on recommendations and lessons learned.

4 Facilitating Policy Dialogue in Haiti

Convening power. The DRM specialist funded by this grant was able to successfully leverage the World Bank's convening power to facilitate coordination between ministries and international donors and partners.

Knowledge notes. In the project plan, funding was allocated to create knowledge notes. The knowledge notes captured the experience of mainstreaming DRM into sector policies.

Haiti

El Salvador, Nicaragua

1 2

Honduras, Guatemala

4

3 Peru

2 South-South Cooperation in India, Honduras and Guatemala

Rely on local communities. The sustainability of community-based capacity-building projects was enhanced by working with and through existing community organizations and networks.

Peer support. Peer-to-peer learning networks, and a training of trainers approach were key to accelerate and scale up capacity-building and resilience initiatives.

3 Peru Safer Schools

Rely on previous experiences. Part of this initiative's success can be attributed to utilizing learning from other projects. When creating new plans and tools, the project assessed what knowledge was needed and how existing expertise could be strategically incorporated to support the process.

Integrate capacity building into institutions. Capacity building is effective when it is linked to an existing institutional process and integrated into existing networks and projects, in this case a government-led census of school infrastructure.
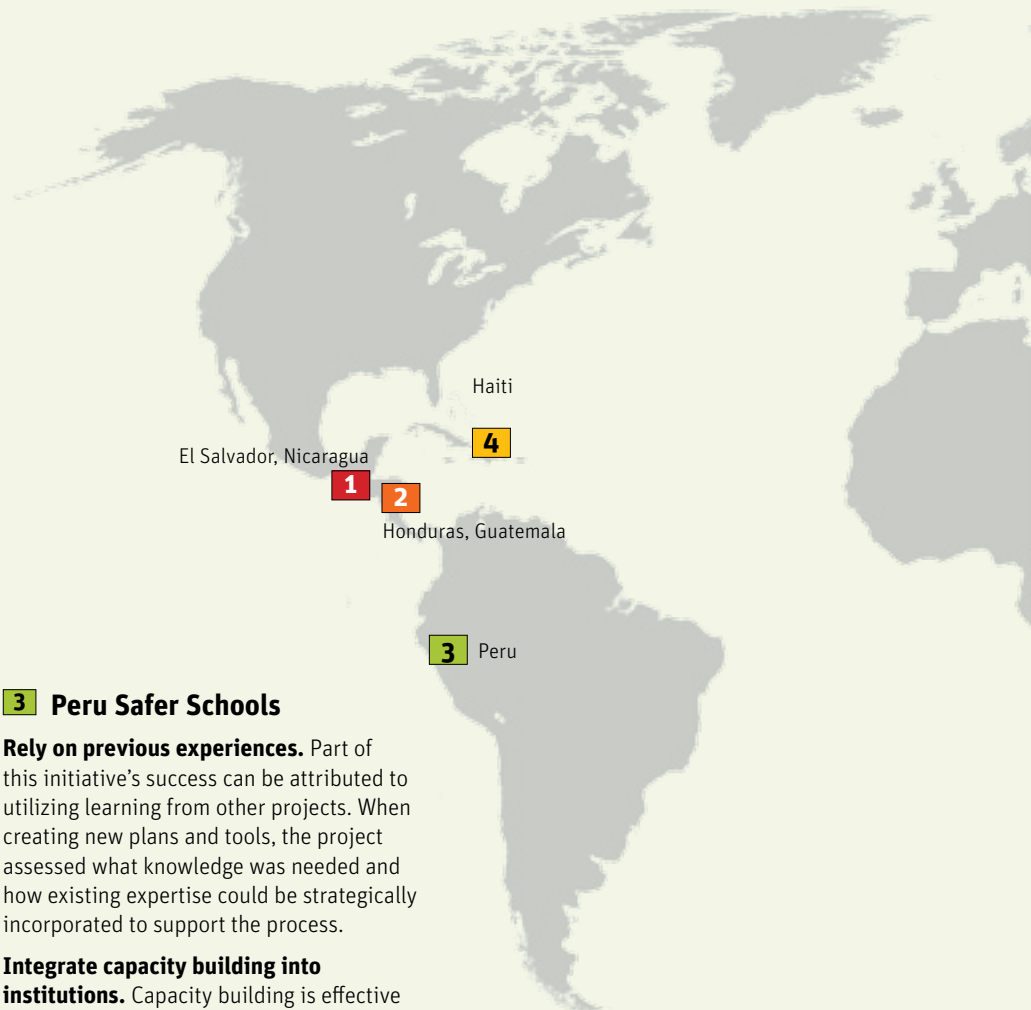
6 Resilient Cities in MENA

Supporting small enterprises. DRM capacity building can occur through supporting small-scale private enterprises

Repeated interactions. To deliver long-term results for DRM, repeat interaction, involving the same participants, is effective.

Flexible project management. enables activities to be planned responding to the participants' needs.

7 Urban Resilience in Bangladesh

Link across sectors. The institutional foundation established to deliver project outputs—including an advisory committee, scientific consortium, and focus groups—effectively built relationships across government departmental silos.

E-learning and flexible engagements. The use of e-learning tools gave participants with full-time jobs much-needed flexibility. However, no progress indicators were developed, and therefore, the impact on government staff learning cannot be easily determined.

8 Resilient Recovery and Financial Protection in the Philippines

Train the trainers. From the group of training participants, "training leaders" were assigned who were responsible for evaluating the learning of their peers and provide feedback to organizers. Adjustments were made accordingly, resulting in a responsive and effective program. The training of trainers was crucial to scaling up and sustaining the initiative.

Review capacity-building needs. A capacity review before the training ensured that the workshops were relevant to participants' needs.

9 Mainstreaming DRM in Indonesia

Broad local ownership. Local ownership of technical assistance outputs, such as the disaster risk financing strategy, was encouraged by engaging a number of stakeholders throughout the life cycle of the project.

Know your (local) partner. WBI worked with the National Agency for Disaster Risk Management (BNPB) to build its capacity to share knowledge with local and district agencies, as well as an international audience. WBI conducted a review of BNPB's capacity, ensuring that it had the human, technical, and financial resources to sustain the knowledge exchange program.

10 Learning from Mega Disasters

Create value that is relevant at the local level. Adopting a participatory process in order to select the content and design, and to create the knowledge notes ensured that they were of value to the targeted countries.

Sustaining (virtual) engagements. The online community of practice was an effective means of scaling the knowledge exchange in order to transfer the lessons to a wider audience. However, despite the growth in membership, the withdrawal of World Bank engagement after the grant end date led to a decrease in member participation.

Lebanon

6 6
Egypt

Bangladesh

6
Djibouti

2
India

7

10 Japan

8 Philippines

9 Indonesia

5

5 Post Disaster Needs Assessment (PDNA) and Recovery Framework in Malawi

Government staff turnover and sustainability. A degree of institutional capacity was lost between the 2012 and 2015 PDNA training, due to government staff turnover. However, the development of a multi-stakeholder network, including non-governmental organizations (NGOs) and international institutions, enabled a means of sustaining a significant proportion of institutional capacity.

DRM champions. DRM champions were identified, and proved to be key actors in carrying forward skills between the different interventions. These champions also provided knowledge for the future and helped to share the methodology with a wider audience.
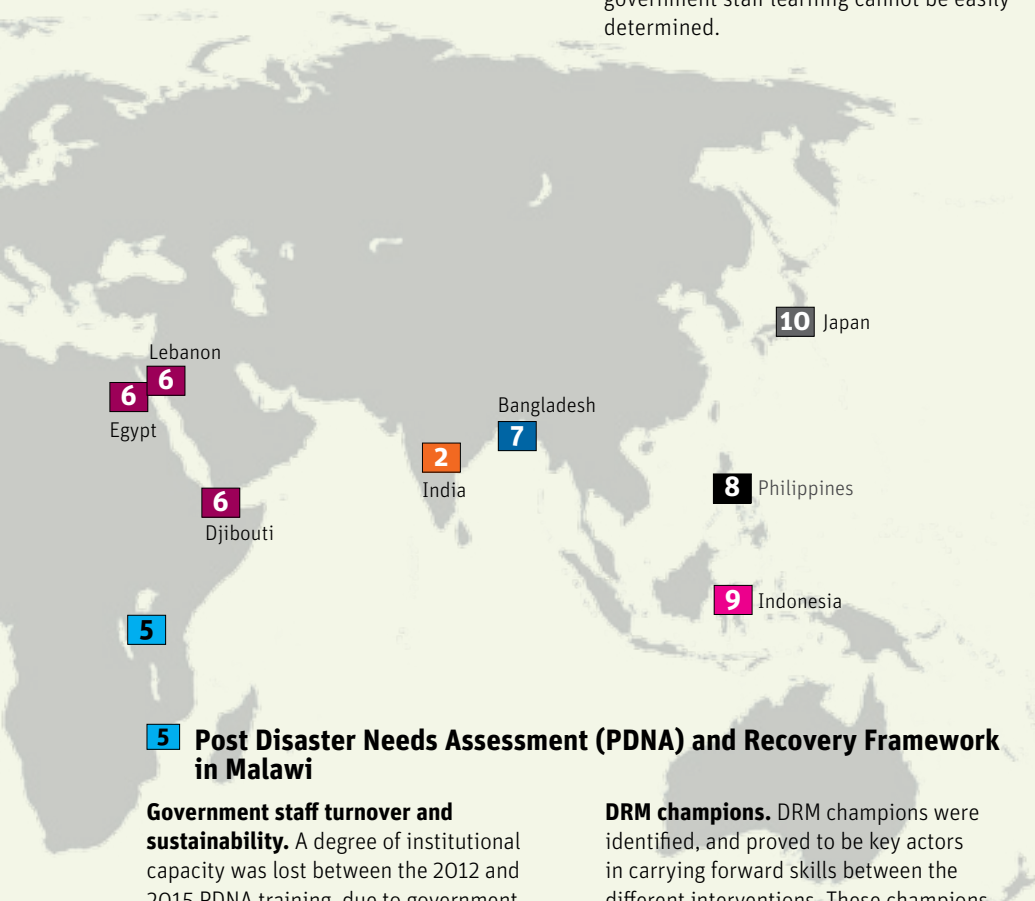
Planning, Managing, and Sustaining Capacity Building
Operational Recommendations for Project Managers and Grant-making Facilities

Research findings from the report not only speak to the value added from capacity building to GFDRR operations, but also to the important need to better plan, monitor, and evaluate its contribution to broader DRM efforts. In particular, the case studies and stocktake analysis highlight a series of answers to the three core questions set out in the introduction:

(1) How can capacity building be effectively planned?

(2) How can the impact of capacity building be identified and managed?

(3) How can capacity-building activities be designed to have a lasting impact?

Below, answers and related operational recommendations for each question have been highlighted. These answers are useful for both program managers (e.g. TTLs) and grant making facilities (e.g. GFDRR) to determine which operational steps and considerations can lead to the most effective and valuable activities.

Question 1

How can capacity building be effectively planned?

Q 1 Answer 1: Designing capacity-building activities in a project proposal

Thinking strategically about capacity building from the inception phase of a project; assessing, monitoring, and evaluating throughout; and documenting experiences, can substantially increase projects' impact, especially for smaller initiatives.

Capacity building is not always clearly delineated as "capacity building." These activities can occur outside of specifically identified line items and project proposals—through the process of continual learning, exchange, and acting as part of project implementation. This informal or indirect capacity building can be difficult to document. Tangible outputs or outcomes are challenging to identify. Therefore, assessment throughout the project is necessary.

In this study, it was established that few projects fully monitored activities and outputs (e.g. the number of workshop participants), and even fewer monitored capacity-building outcomes. A handful of projects had a review of a particular training (e.g. the 2012 Malawi PDNA). However, this was not undertaken consistently; a post-training report for the 2015 Malawi PDNA has not been created. These outcomes are not usually included within measurement and evaluation progress reports, and therefore might not be easily accessible or comparable.

A training and needs assessment review was carried out prior to the PDNA training in the Philippines, laying the foundation for future interaction with stakeholders, and allowing capacity-building activities to be tailored to the needs of local participants. Capacity reviews should be cognizant of available human, financial, and technical resources. As part of the same project, a review of human capacity was undertaken for the Philippines Project Monitoring and Evaluation System for DRM. However, after a three-day training program, the Office of Civil Defense did not have the information and communication technology capacity for this system to be institutionalized. As a result, the project required an extension.

Operational Recommendations

Recommendation # 1 Capacity building is more likely to be effective when identified as a goal in the planning stage, and based on

i) reviews of existing capacity and capacity needs, and

ii) a consideration of the institutional and external contexts.

Recommendation # 2 Following the definition outlined in the introduction, include capacity-building activities within both project design and budget. Identify, which components should be marked as capacity-building activities, including describing expected, informal capacity building, such as continual learning through implementation.

Recommendation # 3 Selecting indicators to monitor throughout project implementation ensures the role of capacity-building activities (and investments) are clearly assessed. This links capacity building to defined outcomes in proposals and allows the TTL and GFDRR to assess progress throughout implementation and upon project completion. See question 3 in this section for further information.

Recommendation # 4 Developing a timeline for capacity-building activities in collaboration with local stakeholders provides a clear project implementation structure for both the project manager and the client.

Recommendation # 5 Including a mid-term review of capacity-building activities enables progress to be monitored and adjustments to implementation to be made accordingly, if necessary.

Q1 Answer 2: Strategically identify activity types and beneficiaries

When developing the project proposal, it is key to identify the most suitable capacity-building activities and their beneficiaries, given the objectives and the scope of the project. This means strategically putting capacity building "in context" of the project's overall goal(s), not just as a subsidiary activity. Extensive literature confirms that the activity selection, in terms of time horizon—long term vs. short term, and type [7]—should follow an assessment of: existing capacities (local and GFDRR); capacity needed (locally);

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[7] As defined above: (1) knowledge products; (2) short-term learning; (3) long-term learning; (4) consultations with stakeholders; (5) campaigns; (6) knowledge exchange/fostering partnerships/ network development

and lessons learned from previous actions (supported by GFDRR, and when possible, by other donors and stakeholders). Furthermore, a participatory process of selecting capacity-building activities and beneficiaries encourages ownership of the process and local sustainability of its outcomes.

Operational Recommendations

Recommendation # 1   Capacity-building activities can *and should* include a combination of complementary activities (e.g. workshop followed by knowledge products). This is already practiced in part - 75 percent of GFDRR projects with capacity building in their proposals had more than one type of capacity-building activity. However, these activities would benefit from more strategic thinking. Case studies and the stocktake show that, though most common activity is short-term learnings, there is a tendency to combine different activities, targeting different audiences, rather than planning a set of capacity-building activities as connected processes.

Recommendation # 2   A clear phase of consultation with the clients—and, ideally, a number of relevant stakeholders—is key to legacy. Formal consultation allows the identification of the most appropriate capacity-building activities and beneficiaries, and enhances the chances that these activities are locally owned and, thus, more sustainable, beyond GFDRR efforts, in the long term.

In the Bangladesh Urban Resilience Project, stakeholder consultations were organized with approximately 40 different government ministries and organizations, academic institutions, and civil society members in order to decide on the composition and coordination of the focus groups. This approach gave participating organizations greater ownership of the process and, ultimately, greater sustainability. Although the focus groups were not intended to continue after the project outputs were created,   the multi- stakeholder focus groups continue to have a working relationship, discussing the challenges and opportunities they face. Furthermore, one of the focus groups has formed its own Urban Resilience Unit.

Q 1 Answer 3: Where possible, identify and build upon previous capacity-building activities

Continuity of capacity-building activities aids effectiveness. Many case studies built upon previous World Bank implemented capacity-building activities. This is easier when consecutive projects are led by the same TTL. For example, the Malawi 2015 PDNA built upon the 2012 PDNA, expanding upon and increasing the skillset of the participants. Given that many capacity-building activities are short-term learnings, linking activities creates a more sustained capacity building and learning engagement.

Operational Recommendations

Recommendation # 1   Consult formally with the regional or country focal point to ascertain whether previous capacity-building activities have taken place, which could compliment the new initiative.

Recommendation # 2   If conducting a capacity review, ascertain whether the targeted beneficiary has already participated in either Bank-led or other capacity-building activities that are relevant to the project initiative.

Q2 **Answer 1: Developing M&E as a way to understand impact and create value**

How can the impact of capacity building be identified and managed?

There are two main purposes driving M&E for capacity building: i) accountability, and ii) learning to improve performance. Technically speaking, M&E of capacity building should focus on the quality and relevance of efforts and their ability to promote immediate changes. Given that the duration between capacity-building interventions and their outcomes can be long (longer than the project) and stretched across different stakeholders and sectors, M&E generally focuses on the immediate changes in a specific project, organization, or activity. In addition, it must be pragmatic, simple, and its costs should not outweigh the benefits.

Operational Recommendations

Recommendation # 1   M&E of capacity building should be included in the project proposal. A description of capacity-building activities—including activity type and beneficiaries, as discussed in question 1—should be outlined, followed by a series of indicators. Inputs and capacity-building objectives should be clearly linked to intended outputs and outcomes (see figure 3, annex C in the full report for further information). These indicators should then be monitored throughout all project phases, through impact evaluation. All projects should include indicators to measure immediate outcomes of capacity-building activities such as "raised awareness." For extra depth, projects can include indicators measuring broader and longer-term outcomes, such as "formulated policies." In order to monitor and evaluate, assessments are generally done at least twice throughout the activity, at the mid-term juncture and upon completion.

Recommendation # 2   Both the progress and final assessment should also seek ways to describe informal capacity building (as discussed above), even if anecdotally. Not everything should be labelled as capacity building. Rather, capacity building should be accepted as both a formal and informal process and described as such.

Recommendation # 3   M&E to improve performance was identified as a key component by many of the TTLs interviewed. Here, M&E is seen as an illustration of changes brought, processes and procedures followed, the level of satisfaction of beneficiaries and partners, etc. Knowledge notes or short reports and briefs, perhaps   following a common framework, can help to communicate the main lessons learned. These can then be built upon systematically.

How can capacity-building activities be designed to have a lasting impact?

Q 3 **Answer 1: Consider whether mechanisms to scale up or sustain the learning can be incorporated.**

The outcome of legacy thinking includes a lasting commitment from clients to mainstream DRM into development policies and planning. Mechanisms are needed through which DRM interest, knowledge, and skills can be retained and scaled to create a self-sustaining post-project legacy.

Operational Recommendations

Recommendation # 1   Consider whether a training of trainers approach can be incorporated, even after the mid-project review. The trainings offered can focus upon training a smaller group, which would then be equipped to train others in their country.

Recommendation # 2   Training of trainers needs to consider two operational questions:

i)   What knowledge and skills does a person need to be able to train others?

ii)   What structures will be available for the person to pass on knowledge to others in his/her country?

In the Philippines, a training-of-trainers module was included within the 2011 PDNA program. Upon project completion, "champions" were identified and tasked with rolling out PDNA trainings across government authorities as well as to Local Government Units (LGUs). The module was designed to equip the "champions" with the necessary skills and knowledge to train others. Another GFDRR project ran a DRM capacity building program across LGUs. Establishing these DRM structures and processes in LGUs was critical for an effective PDNA training rollout.

Recommendation # 3   Consider whether (and what) knowledge products can be produced by the project (e.g. manuals or e-learning modules), which can help to create institutional memory.

The WBI worked with BNPB in Indonesia to create learning modules to be used both internally and to scale learning to local DRM agencies. Internally, the modules allow knowledge to be passed onto new staff, thus creating institutional memory.

Recommendation # 4   When organizing a knowledge exchange, consider how the community of practice will be sustained.

i)   Create an online community of practice. This could require additional funding for a community of practice manager after the project end date. Alternatively, local community of practice coordinators could be designated.

ii)   Organize a follow up event to ensure another opportunity to develop relationships and share knowledge.

Q3 Answer 2: Where possible/appropriate include non-governmental local partners

Projects that identify and target key local actors, and encourage a participatory approach to capacity building, result in greater ownership of processes and outcomes by local stakeholders.

In a number of case studies, including key actors from government, universities, and civil society strengthened the outcomes of the project and resulted in long-term shifts in the local risk management landscape. Including non-governmental actors is particularly useful in situations when there is high staff turnover in government institutions. Non-governmental actors, such as civil society and academia, often have relatively lower turnover rates. Therefore, they can be competent at taking ownership of the project and ensuring its continuation.

Operational Recommendations

Recommendation # 1   When possible identify a local delivery partner to assist in project outputs and project legacy.

In the Peru Safer Schools Project, a team of engineers were contracted to develop retrofitting solutions. These engineers were selected from the Pontifical Catholic University of Peru and the Japan-Peru Center for Earthquake Engineering Research and Disaster Mitigation based at the National University of Engineering in Peru. Support was also provided from Universidad de los Andes in Colombia. Using knowledge from local academic platforms helped create an enabling environment for DRM and facilitated relationships between the Universities and the Ministry of Education. Local expertise, rather than that provided by an external consultant, is often a more trusted knowledge source.

Recommendation # 2   When possible include a number of local stakeholders in capacity-building activities.

In Malawi, a degree of institutional capacity was lost between the 2012 and 2015 PDNA training due to ministry staff turnover. However, the development of a multi-stakeholder network, including local NGOs and international institutions enabled a means of sustaining a significant proportion of institutional capacity.

Q3 Answer 3: Maintaining a flexible approach

Processes of consultation, learning, and knowledge exchange require an adaptive approach, but must also retain focus on, and commitment to, the long-term project goals. Factors to account for include differing rates of learning and changes in the external environment (e.g. sudden political or environmental events) and changes in institutions (e.g. leaders, and personnel). While not advocating for doing away with project planning—a cornerstone to the previous key question—a degree of flexibility might ensure that capacity-building activities are responsive to their beneficiaries and contexts while retaining the fundamental goals.

Operational Recommendations

Recommendation # 1   Periodically review the utility and applicability of capacity-building activities in order to adjust capacity-building efforts during the course of the project without losing focus on the main project goal(s). Document the adjustments made in project progress reviews.

Recommendation # 2   Including a "knowledge manager" or a facilitating agency for knowledge management and project development (e.g. the World Bank) can ensure that learning is monitored, and that observations are integrated into project implementation.

For the CAPRA initiative, the World Bank hired a knowledge manager who was responsible for interviewing the trainees and reporting back on lessons learned. Throughout its duration, these lessons were integrated into project implementation, and included the format of capacity-building activities. This feedback process significantly altered the course of the CAPRA initiative by shifting from a Bank-led process to a locally owned approach.

By contrast, for the Philippines PDNA training, local knowledge managers were selected by the consultant, who drew from a pool of workshop participants. The objective was for these individuals to become future PDNA trainers. Their secondary role was monitoring the learning of their peers and feeding this information back to the implementing consultant. This allowed the consultant to adapt capacity building activities to the needs of the participants throughout the implementation of the project, resulting in more effective and locally owned DRM capacity.

St. Lucia: Discussing the surface water and slope stability issues and potential drainage solutions at a community meeting. Photo credit: David Ramos

Monitoring learning activities
(synthesized from the Capacity Development Results Framework)

Learning activities, for monitoring purposes, are actions taken, or work performed, by which inputs are converted into specific outputs. Activities, such as providing training, conducting a workshop, etc. are designed to deliver outputs that enable learning objectives and outcomes to be achieved.

Inputs are the financial, human, and other resources mobilized to support activities undertaken by a capacity-building program.

Input indicators measure the quantity (and sometimes the quality) of resources provided for program activities. For capacity building, these can include: funding (counterpart funds, co-financing, grants); human resources (number of person-years for client/partner agencies, consultants, and technical advisers); equipment, materials, and supplies, or recurrent costs of these items (e.g. textbooks).

Outputs are the products and services resulting from a learning activity designed to generate learning outcomes. The key distinction between outputs (specific goods or services) and learning outcomes is that the former typically takes the form of an increase in supply of knowledge and information. In contrast, learning outcomes reflect behavioral changes resulting from the use and application of acquired knowledge and information.

Output indicators measure the quantity (and sometimes the quality) of the goods or services created or provided through the use of inputs. In capacity building, these might include the number of people trained, the number of new courses offered, and the number of new consultations conducted.

Objectives can be thought of as an indicator for a given outcome. Capacity building outcomes are reached through the articulation of learning objectives.

Outcomes are changes that occur in an individual or a group of individuals such as improvements in knowledge and skills; changes in motivation and attitude with respect to a particular issue; occurrences in the broader organizational or social environment, which are embodied in improved processes or new products and services.

Existing World Bank Resources: The Capacity Development Results Framework

The WBI produced "The Capacity Development Results Framework" (2009) which provides the theoretical basis behind, and a framework for designing, implementing, monitoring, managing, and evaluating capacity development in development programs. The framework includes learning outcomes and objectives, which are a useful for project managers.

Next Steps for GFDRR: An Actionable Plan

C apacity building has already added much, and has the potential to add even further, to GFDRR projects. The overview of the stocktake and case studies have demonstrated the reach, substantial investment, and variety of activities at hand when we consider capacity building as a component of GFDRR operations.

But what now for GFDRR? How can the '"value added" functions of capacity building be enhanced in future projects? This section outlines three possible roadmaps for further action by GFDRR, ranging from simple consideration (scenario one), to a more strategic approach (scenario two), to full investment (scenario three). The research team outlines here what seems the most effective action plan of the three. The authors believe that the **second scenario**, focused on strategic "wins" without a major overhaul, would lead to the most effective benefits. The final decision, however, rests with GFDRR and its consultative group.

Scenario One Business as usual: "Maintain the status quo" —GFDRR highlights its position as effective facilitator of capacity-building activities

While the status quo could be easily criticised by an external, uninitiated eye, the current state of capacity building in GFDRR projects is already encouraging. As has been demonstrated throughout the in-depth case studies, significant value is added to GFDRR projects through capacity-building activities. The authors believe three minimal interventions could further sustain this effective status quo and ensure GFDRR continues to benefit from capacity-building activities. These potential next steps do not require substantial or strategic adjustments, as in the other two scenarios, but rather are thought of as using current resources, and are focused on GFDRR enhancing M&E, supporting better dissemination of best practices and lessons learned, and continuing the coordination and facilitation of training and e-learning.

Intervention 1: M&E

Systematic M&E of capacity building is critical to ensuring that capacity building is deployed in a strategic rather than ad hoc manor. A systematic M&E framework for accountability will ensure that capacity-building activities are clearly linked to defined objectives and outcomes in project proposals and both the TTL and GFDRR can determine the extent to which progress towards these has been achieved during project implementation and at the project close. Equally, a continued review and analysis effort—as represented by this report—is fundamental to maintaining an effective appreciation of the value added of capacity-building activities. Equally, it is central to avoid path dependencies, unnecessary duplications, and unexpected negative externalities to these activities.

Suggested next steps for GFDRR:

- Include capacity building within M&E requirements. This includes ensuring that it is accounted for in the proposed budget. Requirements should include a description of capacity-building activities, including activity type and beneficiaries (as discussed in the section on capacity-building planning above) in project proposals. Outputs such as number of participants trained should be monitored; equally, a selection of capacity-building indicators for TTLs to choose from should be integrated into the GFDRR M&E framework – the indicators outlined in the Capacity Development Results Framework provide one possible model (see figure 3, annex C in the full report). In this scenario the indicators should focus on immediate outcomes of capacity-building activities such as "skills gained" and "improved consensus" (for examples see outcomes 1-4 in figure 3, annex C in the full report).
- Continuation and formalisation of the current systematic assessment exercise (as represented in this report) to allow for overall GFDRR strategic planning on capacity building. With M&E indicators in place, a more effective assessment of impact can be undertaken. With more detailed data, it would be possible to analyze which capacity-building activities are the most effective across the GFDRR portfolio and prioritise investments accordingly. At a later date, a longitudinal assessment of trends will enable a more strategic overview.

Intervention 2: *Sharing knowledge, best practices and lessons learned*

Dissemination of lessons learned and better communication on current activities can improve capacity-building activities at an operational level. Equally, the roles played by GFDRR, as facilitators and convener, as well as the support given to multiple capacity-building activities and their outcomes should be explained and highlighted, in order for TTLs to be able to make better use of these resources.

Suggested next steps for GFDRR:

- Integrate more clearly a section on capacity building in GFDRR's annual report, flagging the value added of these activities for the broader GFDRR portfolio.
- Dissemination of lessons learned (including the case studies in annex B in the full report) and better communication on current activities can improve capacity-building activities at an operational level. One platform for these lessons could be The Resilience and Disaster Risk Management (DRM) Global Solutions Group's (GSG) recently launched knowledge platform, but there are several other venues that could be explored.

Intervention 3: *Coordinating and facilitating training and e-learning*

The delivery of capacity-building assistance to clients is offered through multi-year programmatic engagements with key institutions. This decentralized delivery mode of capacity-building efforts includes training, mentoring, knowledge sharing and South-South collaborations among different partners. Partners are involved in developing core curricula, localizing these core curricula to specifics of the countries, and also in delivering training activities. GFDRR partnership with national, regional, and international organizations contributes to efficient use of scarce resources by reducing duplications and overlaps in developing training materials and tools, allowing joint and coordinated capacity-building interventions based on the comparative advantages of partners, and leveraging resources by creating a pool of shared capacity-building assets — training materials and standardized learning packages, knowledge and guidance notes, multimedia products — accessible in public domain.

Suggested Next steps for GFDRR:

- These partnerships need to be maintained to ensure the sustainability of these initiatives.
- GFDRR could also play the role of coordinator/facilitator of 2 DRM courses delivered through the World Bank internal learning platform Online Learning Consortium (OLC).

Scenario Two **Moderate action taken: be strategic**

GFDRR enhances its position as a strategic enabler of capacity-building activities

Between continuing business as usual and offering a major capacity-building-oriented overhaul, the research team would like to recommend this scenario, which should, based on the evidence above, provide the most effective pathway. In this scenario, GFDRR is seen as cementing and enhancing its current function as an *enabler*, albeit not a direct *provider*, of capacity-building activities. There are four areas of strategic intervention that could significantly enhance the impact of capacity building in GFDRR supported projects. The first three interventions are organized similarly to scenario one, but also include additional activities: enhancing M&E, supporting better dissemination of best practices and lessons learned, and coordinating and facilitating training and e-learning. The fourth intervention focuses on providing support to the activities promoted by project managers (TTLs).

Intervention 1: *M&E*

Moving beyond "business as usual," this scenario includes a more extensive review of potential capacity-building M&E frameworks. Additional outcome indicators would be incorporated into the M&E framework to measure the extent to which new knowledge (1) gets used, and (2) effects the broader organizational, socio-political, or policy environment. A review of other capacity-building M&E frameworks should be conducted in order to ensure the most effective indicators are selected. Given that M&E is critical to encouraging and monitoring effective capacity building, this is a strategic investment of time and resources.

Suggested next steps for GFDRR:

- Include capacity building within M&E requirements. This includes ensuring that it is accounted for in the proposed budget. Requirements should include a description of activities, including type and beneficiaries (as discussed in the section on planning, above). Outputs, such as number of participants trained, should be monitored. A selection of capacity-building indicators for TTLs to choose from should also be integrated into the M&E framework. In scenario 1, indicators focus upon measuring the immediate outcome of capacity-building activities. However, in order to add more depth and greater understanding of capacity-building legacy, indicators should include broader, and longer term outcomes such as "formulated policy" (for examples, see tabe C1 in Annex C in the full report).
- Continuation and formalization of the current systematic assessment exercise (as represented in this report) to allow for overall GFDRR strategic planning on capacity building. With M&E indicators in place, a more effective assessment of impact can be undertaken. With better data, it would be possible to analyze which capacity-building activities are the most effective across the GFDRR portfolio, and prioritize investments accordingly. At a later date, a longitudinal assessment of trends will enable a more strategic overview.

Intervention 2: *Sharing knowledge, best practices, and lessons learned*

Hosting a capacity-building forum for TTLs, project staff, and managers provides an important space for interactive knowledge sharing.

Suggested next steps for GFDRR:

■ More clearly integrate a section on capacity building in the annual report, flagging the value added of these activities for the broader GFDRR portfolio.

■ Dissemination of lessons learned and better communication on current activities can improve capacity-building activities at an operational level. The recently launched Resilience and Disaster Risk Management Global Solutions Group knowledge platform might provide a channel for doing so, but there are several other venues that could be explored.

■ A regular capacity-building forum for TTLs (internal to the Bank), project staff, and managers, would allow for a more structured exchange on on-going efforts and options.

Intervention 3: *Coordinating, facilitating, and developing specific training and e-learning*

Beyond maintaining the current, existing partnerships and delivery channels, including with the Tokyo DRM Hub and the Tokyo Distance Learning Center (TDLC) (as described in the previous scenario), this intervention advocates for additional efforts devoted to the development of specific courses, to serve several training purposes. These new courses could be developed with international partners and delivered through the OLC.

■ Coordinate and facilitate two existing training/e-learning courses on the basics of DRM ("Introduction to DRM" and "Safe and Resilient Cities"), all existing courses on PDNA, and new programmed courses on gender and DRM, as well as social impact assessment and DRM. These courses should be updated frequently to capture the changes in the political and international agenda, as well as new case studies, or innovative tools and practices. The coordination and facilitation activities could be assured internally by GFDRR, while update and integration of new concepts/tolls might need additional support.

■ GFDRR could provide support to partners in the development of new DRM courses, as long as they are complementary to, and not duplicative of, the existing DRM courses. GFDRR could assist in disseminating and communicating these courses when needed, or as per specific agreements.

■ Develop further basic training on needs assessments and planning for capacity building. This could be provided for TTLs and Bank staff to encourage more explicit appreciation of existing efforts and also help them to plan to ensure future capacity-building value.

Intervention 4: *Supporting activities promoted by project leaders (TTLs)*

This intervention focuses upon providing guidance, training, and resources for TTLs in order to support a well-designed approach to capacity-building activities. These activities could suggest the recruitment of a dedicated expert to knowledge and capacity-building advising and management.

Suggested next steps for GFDRR:

- Provide support in the selection of capacity-building activities and the implementation of M&E indicators. The socialisation of a new M&E system will require time and guidance. Support in selecting activities can contribute to a more strategic deployment of activities, moving beyond the idea of capacity building as a subsidiary component.
- Access facilitation to networks and expert rosters. GFDRR's facilitation of expert networks is recognized as one of the most effective capacity-building activities. Expert rosters have proved useful for identifying appropriate experts. Updating and disseminating these would ensure full advantage is taken of this valuable resource.
- Pilot more in-depth needs assessments in up to four projects in the next fiscal year, developing a closer appreciation of how capacity building shapes legacy and further investments.
- Develop a toolkit of resources for TTLs, outlining the most effective ways to conduct various capacity-building activities (e.g. a South-South knowledge exchange). The best practices established in the pilot capacity-building needs assessment could be Included within this toolkit.

Scenario Three Major action taken: GFDRR becomes a key provider of capacity-building activities

GFDRR could, in principle, consider shifting capacity building to the core of its activities. Doing so would require the creation of a unit/function. This would necessitate a significant allocation of funding and resources, including a team of capacity-building experts. The work by GFDRR on capacity building would have to be advertised and viewed as central in the eyes of both internal audiences (the World Bank and the plethora of project partners for GFDRR), as well as in those of the broader DRM community. This centralization would need to take place on two levels:

■ The new unit/function would support and supervise capacity-building activities. In so doing, it would provide guidance on both identifying suitable activities—dependent upon the project and context—and designing, implementing, and delivering capacity-building activities. This would require a more extensive formalization of capacity-building planning and monitoring, making capacity-building assessments mandatory before each project/ activity starts, and embedding them into current planning, monitoring, and reporting frameworks.

■ GFDRR would take a more distinctive position in the DRM community as a provider of capacity-building services. This scenario implies significant additional human and financial resources to be addressed, specifically to capacity development on DRM through this unit. On the basis of the practices and lessons discussed above, this scenario seems unlikely and a more complex transition from the status quo. While the authors of this report would certainly be available to provide more information as to possible steps towards scenario three, the research team would like to place greater emphasis on the other two possible scenarios, and encourage GFDRR and donor thinking in those very feasible, directions (scenario one and two), setting GFDRR as facilitator or even a strategic enabler of capacity-building efforts.

In conclusion, the authors are advocating for scenario two, in which GFDRR builds upon and cements its current function as an enabler of capacity-building activities. This more strategic approach could bring better scoping of activities and support to TTLs as well as enhancing legacy thinking when designing capacity-building activities.

Table 1 summarizes the three scenarios and outlines the organizational structure that would be required in order for each scenario to be successful, including: the necessity to add specific functions to those that already exist; the type of activities that would be included; and partnerships and collaborations with clients and external partners.

Table 1: A summary of the 3 scenarios for GFDRR

	Organizational structure	Activities	Partnerships
Scenario 1 Business as usual	No changes	1) M&E for accountability of project/activities; 2) Development and dissemination of knowledge notes to document selected project/activities; 3) Coordination and facilitation of existing e-learning and training through existing partnerships.	1) Maintain existing partnership for e-learning deliveries; 2) Assure key partnership with clients and local partners for specific capacity-building activities within projects.
Scenario 2 Moderate action	One expert on capacity building and knowledge management	1) M&E for accountability of project/activities and impacts; 2) Development and dissemination of knowledge notes as a systematic practice for every capacity-building activity; 3) Coordination and facilitation of existing e-learning and training, plus additional courses to be developed on a needs basis; 4) Support activities of TTL: advise and support on capacity-building activities selection, access roster and networks, piloting capacity-building needs assessment, implementation of effective M&E.	1) Maintain existing partnership for e-learning deliveries and activate new ones for new courses to be developed; 2) Assure key partnership with clients and local partners for specific capacity-building activities within projects.
Scenario 3 Major action taken	Capacity-building unit/ function to support/supervise capacity-building activities, and provide guidance on how to: identify activities; design, implement and deliver capacity building; and disseminate and communicate outcomes and lessons learned.	1) Several toolkits to be developed, including one for capacity-building needs assessment to be operated before any project/ activity; 2) Training and e-learning courses on an ad hoc basis; 3) M&E for accountability and impacts; 4) Extensive dissemination and communication activities to present capacity-building outcomes.	1) For specific projects: client/ partners and local experts; 2) For capacity-building global initiatives: new partnerships to be activated for global initiatives (not related to specific projects) with selected partners, e.g. the United Nations, academic institutions, Foundations, etc.

GFDRR

Global Facility for Disaster Reduction and Recovery

The Global Facility for Disaster Reduction and Recovery (GFDRR) is a global partnership that helps developing countries better understand and reduce their vulnerabilities to natural hazards and adapt to climate change. Working with over 400 local, national, regional, and international partners, GFDRR provides grant financing, technical assistance, training, and knowledge sharing activities to mainstream disaster and climate risk management in policies and strategies. Managed by the World Bank, GFDRR is supported by 36 countries and 10 international organizations.