

ELNHA Humanitarian Capacity Development Strategy

1. Introduction

This document outlines the Capacity Development Strategy for the ELNHA Project. Capacity Development is at the essence of the ELNHA, as it aims to increase the strength, voice and space for LNHAs to respond to natural and man-made disasters. The ELNHA promotes LNHAs to take a leadership role both in a humanitarian response as well as in defining a capacity development roadmap, through the following (as per ELNHA Project proposal):

- **Partner with a subset of LNHAs to support their capacity development.** Identify and engage with LNHAs that have humanitarian experience, commitment and potential to contribute to growth of the capacity in the District. Oxfam will also (support LNHA to) partner with organizations who are best placed to provide the capacity development support resulting from the HuCoCa process. This is to retain flexibility to tap into local opportunities and capacities available, for example national or regional disaster management institutes and universities (e.g. for humanitarian leadership courses); leading humanitarian organizations (e.g. to promote the humanitarian principles); mobile phone providers and banks (for digital cash transfers).
- **Place autonomy and greater responsibility for identification and choice of capacity development activities with the participating LNHAs themselves;** hereby providing conditions for greater ownership amongst actors – individually and collectively – for a more lasting impact.
- **Foster humanitarian coordination, alliances, networks and the development of joint plans between LNHA towards increased collective capacity.** The project will support LNHAs initiatives to meet, exchange, learn and define joint priorities with a longer-term outlook (beyond the project). Joint action plans towards achieving this change can generate support between LNHA as well as from international actors playing a supportive and facilitating role.
- **Strategic:** contribute to longer-term impact on growth of the capacity in the District, as well as consider upcoming response. The Elnha project seeks to have a longer-term impact as well as consider upcoming response.
- **Support LNHAs access to funding – for LNHA-lead responses as well as for their joint action plans -** by strengthening the ability to fundraise, manage funds, advocate for funding and track budgets; As well as through two funding modalities created under the Elnha project: the Humanitarian Capacity Development Fund (HCDF) and the Humanitarian Response Grant Facility (HRGF).

The focus is on **Humanitarian** Capacity Development. Humanitarian work is guided by IHL and humanitarian principles and Core Humanitarian Standards. These put the rights of affected people at the centre and provide guidance and common language to humanitarian actors. They also mean sensitivity to power relations which are running through the societies we work in – gender, conflict, etc. The project will promote LNHA to relate to humanitarian principles and standards and apply them to context - for timely, appropriate and accountable humanitarian action.

The Strategy considers the interventions required during the period 2017-18, which will contribute to short, medium and longer-term impacts. The main purpose of the Strategic Plan is to provide the ELNHA team and partners with a coordinated and cohesive approach to capacity development to help LNHAs increase the strength, voice and space to respond to natural and man-made disasters.

2. Development of Local and National Humanitarian Capacity

2.1 Capacity Development Approach: the capacity development initiatives are aligned to the objectives of the ELNHA. Oxfam and the ELNHA team play a catalysing role in mobilizing and identifying capacity, facilitating access to knowledge; brokering multi-stakeholder engagements and agreements; participating and engaging LNHA in relevant policy dialogue or advocacy; and creating spaces for learning by doing. Oxfam plays also a role in ensuring quality of the provided capacity, and ensuring commitment to humanitarian program quality. Based on the principles of the ELNAH project the learning objectives are expected to incorporate the following principles:

- **Humanitarian Impact:** Learning objectives consider practical application /impact in upcoming and future humanitarian response projects in the specific context. This informs content, timing and composition of the participants;
- **Leadership and ownership by LNHA:** LNHA determine what capacity would need to be strengthened, how and by whom, to develop strong humanitarian organizations and collaborations which work to humanitarian principles and standards;
 - o Learning objectives contribute to their joint Agenda and JAP;
 - o Learning objectives are based on a (self) assessment of current capacity and gaps (in organisations, individuals or collaborations) related to the topic;
- **Collaboration and Complementarity:** Promote participatory approaches and build on available capacity, looking at engaging and reinforcing existing domestic capacity in NGOs, government, academia, private sector (E.g. women's rights organizations supporting capacity development of humanitarian actors);
 - o Learning objectives and participant selection take into account/ seek to strengthen relevant existing coordination/collaboration structures (e.g. Wash cluster, Cash working group, NGO-forum)
- **Sustainability:** interventions and learning build on existing capacity, experience and role (E.g. integrating Disaster Risk Reduction and emergency response in development planning)
 - o Learning objectives include translation of learning in concrete outcomes (e.g. policies, procedures/systems, collaborations, sharing arrangements, etc.);
 - o Promote action-reflection trajectories which can include one-off workshops but cannot be limited to one-off workshops. E.g. consider a series of structured events held over a pre-defined period
- **Strategic:** Learning objectives contribute to longer-term impact on growth of the humanitarian capacity in the District, as well as consider upcoming response – this impacts on selection of participants (by bringing together people who will also work together on the response) and by ensuring content is relevant to specific (district) context-situation;
- **Mutual Learning:**
 - o Promote spaces for humanitarian learning & exchange, peer2peer learning
 - o Include pilots/ case studies to promote learning by doing
 - o Access to education (permanent).

2.2 Learning Methods: ELNHA Capacity Development goes beyond one-off trainings or workshop but places a focus on modalities that are best fit to promote local and national capacity development to respond to humanitarian crisis. Learning methods can also include but not be limited to the following:

- Capacity development trajectories / Modular training courses
- Peer learning, peer support and peer reviews
- Joint monitoring and Evaluation
- Pilot projects
- Management or OD consultancy
- Meetings/gatherings/e-learning with a specific learning objective
- Harvesting experiences; case-studies

- Technical Advice, Coaching, Mentoring, Shadowing, Accompaniment
- Leadership development
- Community of Practice
- Exposure or exchange visits
- Mapping and signposting (or developing) of information and resources Methods
- Action-reflection Modular training courses – based on action-reflection cycle

The above are to be selected based on the outcomes that the capacity activities wish to achieve, the context and the level of capacity available;

2.3 Scope: Capacity development has three components: Sector/System, Organizational, and Individual:

- **For the sector/system**, capacity development comes in the form of promoting LNHA coordination, collaboration, influencing, networking among individuals, organizations and government actors to improve synergies and establishing a stronger enabling environment for quality humanitarian action;

Possible outcomes:

- Joint agenda and **joint action plan** towards increased LNHA capacity to deliver and lead humanitarian work and stronger representation and voice of LNHA in coordination with international humanitarian system;
- Horizontal coordination between LNHA for effective response / around the response cycle (e.g. **district contingency plans**, activated coordination mechanisms, response consortia);
- **Mechanisms** for collecting, sharing and using relevant, information (early warning systems, joint needs assessments, etc.);
- Solutions to **access resources** quickly to speed up response: funds, staffing, etc.;

- **For organizations**, capacity focuses on policies, organizational designs, strategies, plans and processes and protocols required for humanitarian action and that can be improved through capacity development in a specific theme, such as Humanitarian Preparedness, Wash or Finance. Starting point is their own definition of current capacity & future role – providing a road map for capacity the organisation wants to grow towards. Organisational humanitarian capacity can be understood by five critical areas which together define organisations' capacity to deliver and lead effective humanitarian response: 1) Identity and Mission¹; 2) Managerial Capacities²; 3) Approach, Commitment³; 4) Technical Expertise⁴; 5) Size capability⁵.

Possible outcomes:

- Organizational Contingency plans/ preparedness plans in place;
- Vulnerability and Needs assessment protocols;
- Protocols and mechanisms for rapid scale-up in place;
- Specialised technical capacities for dedicated staff, organisations and collaborations;
- Mechanisms to manage high turn-over of staff;

¹ E.g. promoting humanitarian principles and the Code of Conduct, and inclusion of these in mission;

² Such as capacities in analysis, strategic planning and decision-making, governance, Finance, M&E, networking and alliance building, advocacy;

³ E.g. commitment to gender approach, DRR and conflict sensitivity as well as partnership principles;

⁴ E.g. Core Humanitarian Standards (CHS) as well as specific sector competencies (WASH, protection, EFSL, etc).

⁵ E.g. capacity to scale-up of staffing and budgets requires strategic choices and management (leadership training) and organisational capacity to switch from development to rapid response modalities, to expand geographically.

- **For individuals**, capacity development is for individual humanitarian leaders, staff and volunteers who make up the organisations, for quality implementation and scale-up. Capacity focuses on improving their understanding of humanitarian contexts and the ability to switch from development mode to applying humanitarian principles, including skills and attitudes towards a specific theme, such as Influencing or technical areas such as Protection and CTP.

Possible outcomes:

- District Database of staff & training received;
- Response register of volunteers and staff for joint needs assessment;
- Database of leaders with capacity to speak on behalf of the sector. In the district, nationally and internationally;
- Humanitarian staff have access to and linkages to humanitarian training (e-learning, participation in ongoing courses, etc.) and learning opportunities;

Beyond these components, the ELNHA Capacity Strategy recognizes the diversity of the organizations and institutions who make up the “humanitarian system”. As the HUCOCA report for Uganda states: *“Just a few of them can be considered a humanitarian NGO in the sense they have clearly integrated the Humanitarian Mandate and they are responding to humanitarian crises. Most of the rest are NGO/CBO with relevant work in terms of preparedness, risk reduction and strengthening of people’s resilience, with some of them eventually participating in humanitarian response. However, the majority of these organizations have potential to develop capacities and perform a stronger role in humanitarian preparedness and response.”*

The ELNHA will consider in its capacity development all Local and National Humanitarian Actors (LNHA) who contribute to preparedness and response capacity in the country/Districts and who work towards humanitarian principles and standards. What capacity they will require is influenced by the role they play. The three main categories of actors are:

- 1) LNHA who have an **explicit humanitarian responsibility, mandate and operational experience** (specific government department/units & certain LNGOs). A full humanitarian role and mandate along the humanitarian cycle. They (have the potential to) lead responses.
- 2) LNHA who have **a commitment to humanitarian work** and ambition to grow this role but humanitarian response is not (yet) part of their mandate and organisational set-up. The current focus is on e.g. CBDRR, advocacy, gender.
- 3) LNHA who **do not have a (humanitarian) mandate but (can) play important contributing role** – (other government departments, LNGOs, academia and including the Private Sector).

Together these three layers of actors form the humanitarian eco-system. And potentially – if they choose to join forces in the interest of communities vulnerable to crises – a humanitarian/ resilience network could emerge.

In the Project, we aim to empower the first group to deliver and lead responses while we/they promote broader engagement and contributions of the second and third group to increase scale, quality and sustainability.

1. Humanitarian Capacity Development Interventions and Priority actions

a. A demand-driven process for capacity development

As a starting point, the ELNHA Project developed a Humanitarian Country Capacity Analysis (HUCOCA) to inform a discussion among humanitarian actors in Uganda on how to strengthen the humanitarian system and what gaps and capacities are needed to reach this aim.

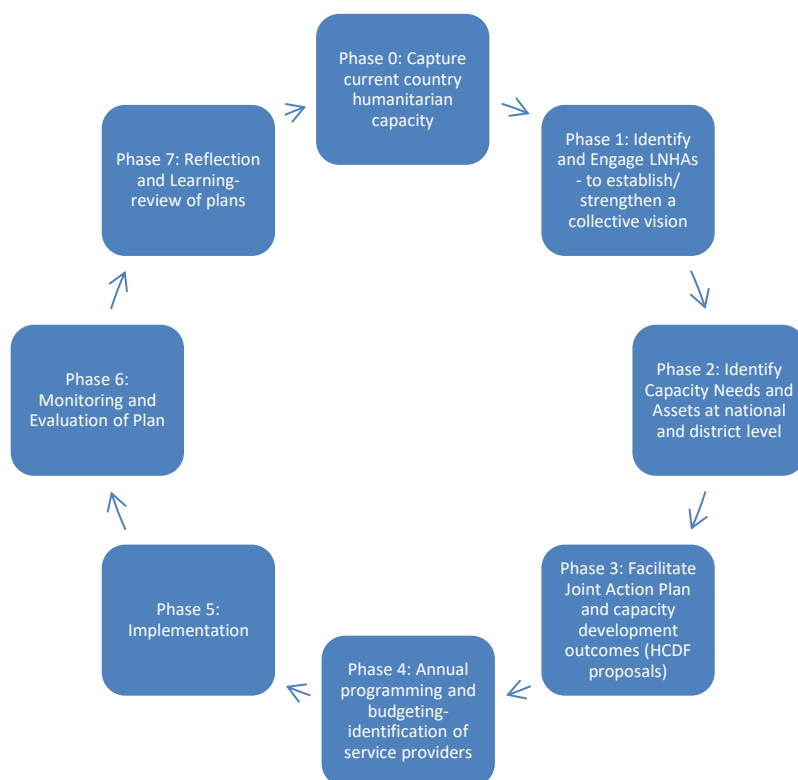
The HUCOCA has mapped the key humanitarian actors; has analysed the local and national capacity (including government); and provided recommendations and an indicative plan for the

strengthening of humanitarian capacities. These were then discussed and validated by local actors at the district and national level. As follow up, local actors have come together to develop a Joint-Action Plan (JAP) and proposals for their district identifying areas for capacity strengthening and objectives for the strengthening of the humanitarian system.

These are combined with the capacity assessments (e.g. RAMON, self-assessments, partner led assessments) that were conducted during the project period, that inform the prioritization of activities. It is through the above, that LNHA's leadership and ownership of the capacity development 'journey' has been defined and initiated. The areas of focus outlined in the following sections stem from the above processes.

Implementation of the JAP is the responsibility of the local actors in each District, with support from Oxfam. They can take initiative to develop activities which will contribute to the joint Agenda and Plan and will increase local humanitarian capacity. Each District will be supported by "Support Partners" and the ELNHA team throughout these steps. Technical and quality assurance will be provided by thematic area.

The diagram below shows the main envisioned phases of the capacity development process:



b. Areas of intervention:

Based on the above and towards the attainment of the ELNHA intermediate outcome "LNHA's have capacity to design, deliver and lead in humanitarian preparedness and response in Bangladesh and Uganda", the following main actions and outcomes are planned for the coming year:

Actions	Outcome
Phase 0: Capture current country and district humanitarian capacity	

- Develop typology of stakeholders and power mapping (all relevant stakeholders, including international, media, private sector, government, etc...); - HUCOCA conducted at national and district level	- Country capacity analysis (outside perspective) - Recommendations for different stakeholders - Indicative action plan and milestones towards increased District/Country capacity
Phase 1: Identify and Engage LNHA	
- Map relevant groups and networks in District and National level (e.g. water sector group, CTP working group, protection network, etc.), including relevant events, platforms, etc. - Identify Support partners (SPs) to coordinate, convene and support the process of self-determined capacity development in the districts; -	- Established a subset of LNHA that have humanitarian experience, commitment and/or potential-> Database - 3 SPs (1 per district) contracted and staff recruited; - DDMCs activated and functioning;
Phase 2: Identify Capacity Needs and Capacity Assets in the Sector at national and district level	
- Profiling and analysis of LNHA roles and capacities in humanitarian preparedness and response; - Conduct Oxfam Assessment of SPs/Grantees: RAMON assessments- sharing and discussing the assessments with partners; - Support partners to develop an <i>Organizational Capacity Development Action Plan</i>- jointly determine priorities for capacity development; - (Self) assessments of all LNHA facilitated by SPs in districts and promote capacity <i>Road Maps (growth ambition)</i> -	- Database of LNHA with profile including sector focus, size (operational scale), and reach (presence in vulnerable areas) - 3 (?) Organizational Capacity Development Action Plans developed; - # Organizational quick assessments of LNHA - HUCOCA Report validated (start); Updated Hucoca validated (end/last year of project) -
Phase 3: Facilitate Joint Action Plan (with defined capacity development outcomes)	
- Facilitate development of Joint Action Plans (JAP) based on HUCOCA findings and recommendations determined by LNHA collectively at the district and national level - Yearly update of JAPs; - HCDF Proposals compiled by SPs on basis of LNHA joint prioritization;	- 6 sub-district JAPs and 6 HCDF proposals (1 per sub-district) + yearly update - 1 national level JAP and 1 HCDF proposal
Phase 4: Planning/ Project management	
4.1 Annual Programming and Budgeting - Oxfam to develop own annual programming and budget (capacity plan) and support SPs on theirs to implement the HCDF proposals; ensuring that the two are linked; - Monthly calls between 3 SPs and Oxfam with purpose of learning (Consider using the ELNHA 'learning questions') and contract compliance; - SPs to prepare their own annual planning, with support of Oxfam, as needed;	- Annual Program and budget for ELNHA - 3 Annual Program and budgets approved for SPs; - High compliance by SPs and LNHA; SP comfortable in their role - 6 District capacity development action plans (managed by SP)
4.2 Identification of Service Providers and Quality Assurance - Identify local, national, international sources, whether training centres, academia, research institutes, platforms, consultants, Oxfam technical staff to coordinate and provide capacity on a set of thematic priority areas; Develop ToR/CN for their engagement and clarifying responsibilities. SPs to do the same for their HCDF component; - Review JAPs from 6 sub-districts and national level: identify opportunities for cross-learning, exchange, joint learning, etc. - Promote link between research and practice of first responders, including supporting fellowship with LNHA, internships to conduct community-based action research and feed-back mechanisms (mentoring /evaluation/ mentoring); - Encourage personnel exchange for training purposes;	- Clear ToRs/ workplans agreed with technical specialists ensuring quality capacity development delivery; - Proposal from DRT approved; - Proposal from NGO Forum approved; - Proposal for University engagement (?) - Database "Trainers roster" available; - Map of courses, training and e-learning/blended learning options at local, national, international;

- Review modalities of training (ToR/MoU/costs/ mentoring); - Develop a database of experts areas of response and preparedness; - Evaluate quality of capacity offers	
Phase 5: Implementation	-
5.1 Strengthen networking and exchanges for humanitarian capacity development and learning - Document 2 practices of Network/CoP/consortia work in 2017 (jointly define them first); - Network with international agencies supporting humanitarian capacity building of LNHAs for exchange and learning; - Foster information exchange and knowledge development on humanitarian issues relevant to Hucoca/JAP/LNHA: case studies (Lamwo district?) other research/studies developed by DRT, Action Aid, Saferworld, etc.)	- 2 case studies published on the functioning of consortia/networks - Events/Fora organized or contributed to to bring forward humanitarian capacity and learning; - Case study on Lamwo (?)
5.2 Strengthening LNHA capacity for humanitarian coordination (preparation & response) - Promote harmonized and standardized humanitarian knowledge and practice (CHS, Sphere, CoC) - o incl. awareness of humanitarian coordination mechanisms, (clusters, role of UN, how they fit in); - o have common information about the options for transparent and standardized fin/quality management system (QUAM, Parcel, IATI, etc.) - Support development of Joint District level Contingency Plans & Simulation - o Follow-up national Oxfam CP workshop (action plan includes commitment to develop district plan) - o Share the district contingency plan; ask them if they want to develop for themselves, support them to develop; Invite LNHAs together with experts for collective simulation; - Promoting the sharing of humanitarian data, information, reports and articles. - o Share/promote usage of humanitarian online info/ideas => share Irin, Reliefweb, UNHR/Uganda, ICRC, etc. - o Pilot development of SitReps (incl: change in humanitarian situation, trigger indicators, early warning info, etc.) managed by Support partners;	- E-learning on humanitarian coordination - DRT implementation of contingency plan activities and integrated planning in 6 Districts - Updated contingency plans in the districts and at national level - Simulations conducted and used as baseline for capacity assessment; - Early warning systems set in place;
5.3 Increasing the Space to grow capacity and have influence - Joint Funding Strategy Developed for implementation of the JAP (beyond the HCDF) - Socialize the JAPs in HCCT, cluster meetings and other opportunities to attract capacity development support; - Support LNHA access and capacity to participate in humanitarian fora	- Funding received by local actors from other donors; - Participation of LNHAs in working groups, clusters, etc.
5.4 Capacity to manage humanitarian funding through Humanitarian Response Grant Facility (learning by doing) - Competitive Humanitarian Response Grant Facility - o Share feed-back to grant facility applicants (also those who applied but are refused) for their learning and development - o Plan and implement Technical Support Monitoring Visits (mini-RTE, 6 weeks in response) to grantees	- Proposals approved and activities implemented' - Recommendations from review incorporated in implementation;
Phase 6: Monitoring and Evaluation	
- Support SPs to conduct M&E of activities; - Closely support SPs and LNHAs in compliance;	- Learning products; - Review and learning of HRGF response developed;

- RTE light: conduct a capacity development and lessons learning RTE light 6 weeks into the HRGF responses, together with grantees and SPs; - Impact Assessment: Stories of Change	- Stories of change published once a year
Phase 6: Reflection and Learning: review of plans	
- Quarterly or biannual review and discussion meeting with profiled LNHAs to review progress and update of the JAP; - Learning research (ideas such as partnership approach of Oxfam, networks/consortiums, gender integration, etc.)	- Revised JAP based on progress and priorities; - Research products for advocacy localization;