Strategic Approach to Capacity Development for Implementation of the Sendai Framework for Disaster Risk Reduction

A Vision of Risk-Informed Sustainable Development by 2030

– Concise Guide –

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UNISDR
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Contents

Executive Summary

The Sendai Framework for Disaster Risk Reduction 2015-2030 (Sendai Framework) recognizes the State's primary role in facilitating the achievement of its disaster risk reduction (DRR) goal and priorities and highlights the criticality of sharing these responsibilities with other stakeholders and realizing an all-of-society approach.

UN Member States have identified a need for implementation support and enhancement of the capacity of institutions and individuals dealing with DRR, and in implementation of the technical support requirements of the Sendai Framework itself. Without adequate capacity and mechanisms for its implementation, it will be impossible to achieve the Sendai Framework targets. The pursuit of more collaborative and coordinated efforts to deal with increasingly limited resources[1] is required as global progress towards meeting DRR targets advances.

As the UN entity mandated by the Sendai Framework and the UN General Assembly to support implementation, monitoring and review of the Sendai Framework, UNISDR has taken the lead on an investigation of prevailing DRR-specific capacity development (CD) needs in collaboration with other UN entities, partners, and DRR stakeholders[2] for the purpose of developing a more effective strategic approach.

Since July 2017, the UNISDR Global Education and Training Institute (GETI) has convened global, regional, online, and one-on-one consultations in collaboration with UNISDR regional offices[3] that have fostered the participation and input of over 300 stakeholder representatives. Through these consultations and concurrent literature review, during which a broad range of needs, ideas, and approaches were identified and assessed, a baseline notion of success emerged.

The resulting Strategic Approach presented herein is seeks to establish among all stakeholders a common understanding of CD within the DRR context. By characterizing outstanding CD needs in light of common obstacles and constraints, presenting key principles, elements, and actions that together help guide planning discussions, providing targets and ideals, and normalizing practice across sectors, improvement of practical standards will occur.

The Strategic Approach therefore does not offer a unique framework to be modelled or plan to be copied. Rather it is a resource of empowerment for all relevant CD partners and stakeholders, and its goal *A Vision of Risk-Informed Sustainable Development by 2030*. It provides generalized advice on the CD roles and responsibilities of various DRR stakeholders, and high-level guidance in six critical areas of need which include:

1. Developing and Strengthening DRR Fundamentals
2. Institutionalizing DRR Capacity
3. Sharing and Using Risk Information Before and After Disasters
4. Establishing Collaborative Action for DRR at the National and Local Levels

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[1] UNISDR, 2014. Pp. 6-17.

[2] The Sendai Framework encourages the participation of each of the following stakeholders: national governments, sub-national governments, local governments, civil society organizations (including volunteers, organized voluntary work organizations, and community-based organizations), academia, scientific and research entities and networks, businesses, professional associations, private sector financial institutions, philanthropic foundations, and the media.

[3] Information on UNISDR Regional Offices may be found at http://bit.ly/2F08bsQ.

5. Strengthening External Support Mechanisms
6. Advancing and Expanding DRR Capabilities

The Strategic Approach also identifies high-value 'anchors' that key decisionmakers and CD champions at all levels may pursue at the community, country, regional, and global levels may establish to improve the coordination and quality of CD efforts. These include:

1. Promoting awareness of the need for CD at all levels and by all stakeholders, and supporting the development of national and local strategic plans
2. Establishing nationally-based and Sendai Framework-relevant evaluation indicators that enable measurement of CD outputs, outcomes, and impacts
3. Expanding South-South, Triangular, and other partnership and cooperation opportunities through the creation of a global CD provider marketplace
4. Demystifying Capacity Needs by Providing Nationally- and Locally-Relevant, Sendai Framework-Focused Target Capability Standards
5. Strengthening advancement and professionalization of DRR capacities and capabilities by leveraging on existing and/or establishing regional and national CD institutes

Recognizing that a more complementary global approach to the development of DRR capacity requires appropriate coordination mechanisms that are acceptable to all partners, several options are provided as dictated by the nature of the various partnerships that exist. These include:

1. United Nations Development Assistance Framework (UNDAF) and other UN strategic partnership frameworks
2. United Nations Plan of Action on Disaster Risk Reduction for Resilience: Towards a Risk-Informed and Integrated Approach to Sustainable Development (UNPoA)
3. CD for DRR Platform (Marketplace)
4. The Sendai Monitor (CD plan)

The Strategic Approach is designed to be a living document. As CD needs and trends change over time, updated versions of this document will be released to reflect those changes. A companion website offering expanded detail, lessons learned, best practices, and examples is currently under development, to be announced at a later date.

Introduction

A Vision of Risk-Informed Sustainable Development by 2030

The Sendai Framework for Disaster Risk Reduction 2015-2030[4] (Sendai Framework)[5] recognizes the State's primary role in facilitating the achievement of its disaster risk reduction (DRR) goal and priorities but highlights the criticality of sharing these responsibilities with other stakeholders through an "all-of-society" approach.[6]

Global efforts to address persistent gaps in DRR capacity continue to fall short in the face of persistent, shifting, and increasing risk drivers. Whether directed towards the enhancement of individuals' knowledge and skills, the strengthening of organizational and institutional structures, or the fostering of a more conducive risk reduction environment, there remains much room for improvement in both mindsets and modalities of disaster risk reduction capacity development (CD for DRR) efforts. UN Member States [7] have identified a need for continued support with Sendai Framework implementation, namely development of the capacity of institutions and individuals at the national and local levels.[8]

UNISDR has taken the lead to develop the Strategic Approach to Capacity Development for Implementation of the Sendai Framework for Disaster Risk Reduction (the Strategic Approach) in collaboration with partners and affiliated organizations in order to provide all DRR stakeholders with a common and comprehensive methodology for developing the capabilities and competencies required to address DRR goals and increase resilience.

The Strategic Approach addresses a longstanding lack of common guidance for CD for DRR.[9,10] It is not focused solely on how the United Nations or any development partner supports countries' CD for DRR efforts, but rather encourages all stakeholders to understand the greater CD needs that exist within countries and communities, and to consider their role within that context.

The Strategic Approach is designed to inform the actions of any CD partner, regardless of whether public, private, or non-profit, and whether based locally, nationally, or at the international level. The information and advice provided are contextualized for and directed at the national government level but apply to all stakeholders that contribute to and/or are influenced by CD efforts. It is developed to

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[4] The Sendai Framework for Disaster Risk Reduction 2015-2030 outlines seven clear targets and four priorities for action to prevent new and reduce existing disaster risks: (i) Understanding disaster risk; (ii) Strengthening disaster risk governance to manage disaster risk; (iii) Investing in disaster reduction for resilience and; (iv) Enhancing disaster preparedness for effective response, and to "Build Back Better" in recovery, rehabilitation and reconstruction. http://bit.ly/2BI4Da3.

[5] The Sendai Framework was adopted by 187 countries in March of 2015 to effectively promote and guide progress towards a substantial reduction in disaster risk and losses in lives, livelihoods, and health, and in the economic, physical, social, cultural, and environmental assets of persons, businesses, communities, and countries. In doing so, ambitious targets were established for both 2020 and 2030. The Sendai Framework was subsequently endorsed by the UN General Assembly through resolution A/RES/69/283 on 23 June 2015.

[6] UNISDR, 2015b. Paragraphs 19a-f.

[7] Particularly the least developed nations, small Island developing states, landlocked countries, and middle-income countries facing conditions that exacerbate vulnerability.

[8] Hagelsteen and Burke, 2016. P. 43.

[9] Becker and Abrahamsson, 2012. P1.

[10] Hagelsteen, 2014. P1.

be valid for the duration of the Sendai Framework for DRR. The approach places emphasis to ensure women, children and youth, persons with disabilities, poor people, migrants, indigenous peoples, volunteers and communities at risk can access CD for DRR.

Since July 2017, the UNISDR Global Education and Training Institute (GETI) has convened global, regional, online, and one-on-one consultations in collaboration with UNISDR regional offices[11] that have fostered the participation and input of over 300 stakeholder representatives.[12] Through these consultations and concurrent literature review, during which a broad range of needs, ideas, and approaches were identified and assessed, a baseline notion of success emerged. From this baseline, the approach that follows was developed.

The Strategic Approach was developed in complementarity with the existing library of DRR and CD products, programmes, and resources, and both refers to and draws upon them where applicable. Direct and significant linkages also exist between national and global DRR requirements, prevailing CD knowledge and practice, and ongoing efforts to address sustainable development (SD) and climate change adaptation (CCA). This includes efforts to fulfil the Sendai Framework goal and priorities, as well as efforts made in keeping with the Sendai Framework "Words into Action" (WIA) guides and the monitoring, assessment, and evaluation promoted through the Sendai Framework Monitor.[13]

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[11] Information on UNISDR Regional Offices may be found at http://bit.ly/2F08bsQ.
[12] A full description of the consultative process and a list of consultations is provided in Appendix 2.
[13] See Appendix 1 for descriptions of each relationship.

Section 1: Understanding Capacity Development Obstacles & Challenges

Progress made towards DRR objectives set by the Hyogo Framework for Action (HFA, 2005-2015) and its predecessors has saved countless lives and billions of dollars in property, protected livelihoods and economies, and otherwise reduced suffering across the globe.[14] Despite these gains, significant disaster risk remains in all regions and all countries, most acutely those in the low- and middle-income categories.[15] Coupled with the exacerbating effects of climate change, an increasing shift towards urban living, persistent social and economic inequality, and continued investment in hazard-prone areas, many countries are finding their progress towards controlling or reducing hazard risk has stagnated and even reversed despite ongoing and concerted efforts to address it.

International mechanisms for strategic advice, coordination and partnership development for DRR, such as the Global and Regional DRR Platforms, and relevant international and regional and national forums for cooperation have been instrumental in the development of policies and strategies and the advancement of knowledge and mutual learning. Overall, the HFA has been instrumental in raising public and institutional awareness, generating political commitment and focusing and catalysing actions by a wide range of stakeholders at all levels.[16] The private sector and an increasing number of civil society organizations, as well as government ministries and offices not traditionally involved in disaster risk management (DRM), have recognized and acted to address global and national risk. The Sendai Framework gives each of these partners in the effort a clear understanding of where we need to go to achieve meaningful, lasting disaster resilience. The question that remains is: *Do we have the capacity – the knowledge, skills, and resources - to make that happen?*

Impact of capacity shortfalls on disaster risk reduction progress

We know that DRR capacity is short of what is required, and without adequate capacity in place and ongoing mechanisms to ensure its development, it will be impossible to achieve targets set by international agreements like the Sendai Framework and those that preceded it.[17] The HFA Words into Action prominently highlights the importance of CD by stating in its third paragraph that:

> *"Capacity-development is a central strategy for reducing disaster risk. Capacity development is needed to build and maintain the ability of people, organizations and societies to manage their risks successfully themselves. This requires not only training and specialized technical assistance, but also the strengthening of the capacities of communities and individuals to recognize and reduce risks in their localities. It includes sustainable technology transfer, information exchange, network development, management skills, professional linkages and other resources. Capacity development*

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[14] UNISDR. 2015b. Paragraph 3.

[15] "Twenty-five years after UN Member States adopted the International Decade for Natural Disaster Reduction (IDNDR) and ten years after the adoption of the HFA, global disaster risk has not been reduced significantly. While improvements in disaster management have led to dramatic reductions in mortality in some countries, economic losses are now reaching an average of US$250 billion to US$300 billion each year." UNISDR, 2015. P. 44.

[16] UNISDR. 2015b. Paragraph 2.

[17] UNDP, 2010. P.1.

needs to be sustained through institutions that support capacity-building and capacity maintenance as permanent ongoing objectives."[18]

The Sendai Framework challenges all stakeholders to focus on establishing and increasing capacity to manage their country's disaster risk. Not one of the stated priorities or targets can be achieved unless CD issues and measures are made an integral part of the action agenda.[19]

Disaster risk management is a challenge faced by all stakeholders, not just nation and local disaster management and civil protection offices. While this point has been made clear in both policy and literature and is to a growing degree being accepted by individuals and organizations across all sectors, the associated challenge of developing adequate capacity remains. As such, there can be no expectation of meaningful progress towards the Sendai Framework goal, or those of any DRR effort, until nations and societies understand the capacities needed to perform the actions required, the gaps that remain, and what is needed to close them.

A Strategic Approach is Required

While there has been notable progress in the development of capacities to manage DRR in recent years, the gains have lagged in relation to other international development endeavours. [20] Explanations for deficiencies range from a lack of understanding of what capacity is needed (to address the required tasks) to deficient knowledge of and access to the resources required for implementation once requirements are known. Confounding these problems is the fact that the division of roles, responsibilities, and ownership of CD programmes are typically vague and may even be differently understood by different stakeholders, and when programmes do exist they are seldom coordinated with ongoing CD within the DRR context and with other interrelated pursuits (e.g., SDGs and CCA).[21] So pervasive is this problem, in fact, that CD for DRR efforts are oftentimes not even classified as or considered as such even by those most directly engaged in them.[22]

Nations and societies require a means to improve the quantity, quality, and overall impact of CD for DRR programmes, whether to achieve the Sendai Framework targets or otherwise. There is a need for direction on a range of topics – from standardizing terminologies, principles, and concepts, to identifying approaches and best practices, and finally to enabling coordination, collaboration, and the sharing of information and lessons learned. Research discovered that efforts are "more likely to be effective when [CD is] identified as a goal in the planning state and based on reviews of existing capacity and capacity needs and a consideration of the institutional and external contexts."[23] This applies whether the project is focused on CD or some other pursuit. CD activities need to be included in project design and budget, such as identifying which components should be marked as CD activities including any informal CD that is expected such as continual learning through implementation.

The Sendai Framework identifies in Paragraph 9 the need for a more strategic approach to DRR:

> *"The gaps indicate a need to develop an action-oriented framework that Governments and relevant stakeholders can implement in a supportive and complementary manner,*

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[18] UNISDR, 2007. P. 4.
[19] CADRI, 2011. P.6.
[20] Morgan, 2006. P.4.
[21] Hagelsteen and Becker, 2014. P. 94.
[22] GFDRR, 2016. P.8.
[23] GFDRR, 2016. P.9.

and which helps to identify disaster risks to be managed and guides investment to improve resilience."

The development of capacity must align seamlessly with those efforts. The World Bank Global Facility for Disaster Reduction and Recovery (GFDRR) noted that this is not typically the case, however. A 2016 report describing World Bank risk-related activities found that, "despite the level of investment (on boosting the capacity of developing countries to better understand emerging disaster risks, reduce their vulnerabilities to natural hazards, and adapt to climate change, capacity [development] is often considered secondary to larger activities;" and that, "there is little systemic knowledge about the effectiveness and long-term impact of capacity [development] activities […] within the broader disaster risk management (DRM) community."[24]

Obstacles and Challenges to Effective Capacity Development for Disaster Risk Reduction

While there are many reasons why gaps exist in DRR capacity, there are several that have particularly-strong influence across multiple contexts. Awareness of these common obstacles and challenges is instrumental to the CD planning process in terms of closing the gaps for which such efforts have become necessary. The following list has been developed through a consultative process. (See Box "CD for DRR Obstacles and Challenges". More detail on each of these can be found in Appendix 9)

Linking CD for DRR to Agenda 2030, The Paris Agreement, and Other Initiatives

> ## CD for DRR Obstacles and Challenges
>
> 1. Insufficient understanding/appreciation of DRR-specific CD needs
> 2. Over-reliance on training and education
> 3. A lack of access to or existence of facilities, programmes, or resources to support awareness
> 4. Failing to provide support for or access to CD for DRR
> 5. Insufficient availability of resources
> 6. Little or no local ownership of CD programmes and projects
> 7. Insufficient focus on sub-national capacity
> 8. Lack of standardized CD for DRR evaluation indicators
> 9. Lack of general awareness and knowledge of risk drivers and the stakeholders' DRR roles (including at the local level)
> 10. A lack of understanding of existing legal instruments
> 11. A focus on non-conflict areas

Just as there are strong and direct linkages between the occurrence of major disasters, the existence of a changing global climate, and the challenges to SD gains,[25,26] there are strong and direct linkages between DRR, CCA, and the SDGs. Each of these policy goals aims to minimize human, structural, economic, and environmental harm through reductions in risk and vulnerability, and to establish long-term resilience. At the conceptual and theoretical levels, the associations, influences, and interdependencies that characterize the interrelationships are well-defined and documented.

It is therefore neither possible nor practical to approach CD for DRR in any manner that fails to consider the parallels and influences that exist between these connected pursuits. Considerable progress has been made in achieving more coordinated action, and where possible efforts have been made to initiate integration across government and among related sectors. At the same time, because

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[24] GFDRR, 2016. P. 1.
[25] "Ten years after the adoption of the Hyogo Framework for Action, disasters continue to undermine efforts to achieve sustainable development." UNISDR, 2015b. Paragraph 10.
[26] "Capacity development for [DRR] is an important process to substantially reduce disaster losses, which threaten sustainable development and the achievement of the [MDGs]." Hagelsteen and Becker, 2014. P. 94.

these disciplines have until recently evolved largely independent of each other, in practice they are not often well-integrated despite the obvious benefits.   The resulting redundancies, gaps, inefficiencies, and at the most basic level, confusion, can significantly impact a country or community's ability to achieve progress on any or all the three pursuits.   At the national level, there may be different people, different offices and agencies, and different focal points for each pursuit, with little coordination existing between them.   And because individual policies and investments typically support DRR, CCA, or SDGs independently of each other, extensively-siloed structures exist, all of which stands in stark contrast to the breadth of their conceptual and contextual interrelationships and the commonality of their outcomes.

To enhance progress and efficiency in all three areas, there remains an acute need to integrate DRR, CCA, and SDGs programmes and activities where possible and practicable, including in the development of technical and functional capacities. CD for DRR must to the extent possible align, and if possible integrate, with those occurring in pursuit of CCA and SDGs. Stakeholders must understand the links that exist, as well as the influence their actions have on these parallel goals.

Section 2: Capacity Development in the Disaster Risk Reduction Context

CD is defined in the DRR context to be, "the process by which people, organizations and society systematically stimulate and develop their capacities over time to achieve social and economic goals."[27] Effective CD efforts are generally those that build upon existing capacity (rather than starting anew with each successive project), that are widely-inclusive in their management, and that foster a higher degree of ownership. Through capacity assessment, the capacity of a group, organization or society may be reviewed against desired goals in order to build a better understanding of what capacities are needed, why they are needed, and who they are for. [28, 29] Successful capacity assessment is contingent on understanding the obstacles that inhibit stakeholders from realizing goals and identifying those areas where capacity enhancement will have the greatest potential.

Within the DRR context, capacity is defined to be, "the combination of all the strengths, attributes and resources available within an organization, community or society to manage and reduce disaster risks and strengthen resilience." [30] This broad-reaching application could include infrastructure, institutions, human knowledge and skills, and collective attributes such as social relationships, leadership and management.

A nation's or a society's DRR capacity is made up of multiple "elements". To enable understanding of capacity needs and resources, and to support CD planning efforts, these elements have been grouped according to type and by the level or levels at which engagement exists. CD planning must seek a diverse range of capacity elements[31], which are generally characterized as *Functional or Technical[32]*, and likewise *Hard or Soft*. Capacity elements are also distinguished as 'hard' or 'soft', and oftentimes functional and technical capacities possess both hard and soft characteristics.[33] When assembling an effective suite of interventions capable of addressing capacity needs in a multifaceted and holistic manner, knowledge of the various options and the differentiation that exists between them is critical. [34]

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[27] United Nations General Assembly, 2017. P. 12.
[28] United Nations General Assembly, 2017. P. 12.
[29] CADRI, 2011. P. 12.
[30] The UN General Assembly Resolution A/RES/71/276 endorsed the recommendations of the Open-ended Intergovernmental Expert Working Group on Indicators and Terminology Relating to Disaster Risk Reduction on 2 February 2017. United Nations General Assembly, 2017. Report of the Open-ended intergovernmental expert working group on indicators and terminology relating to disaster risk reduction.
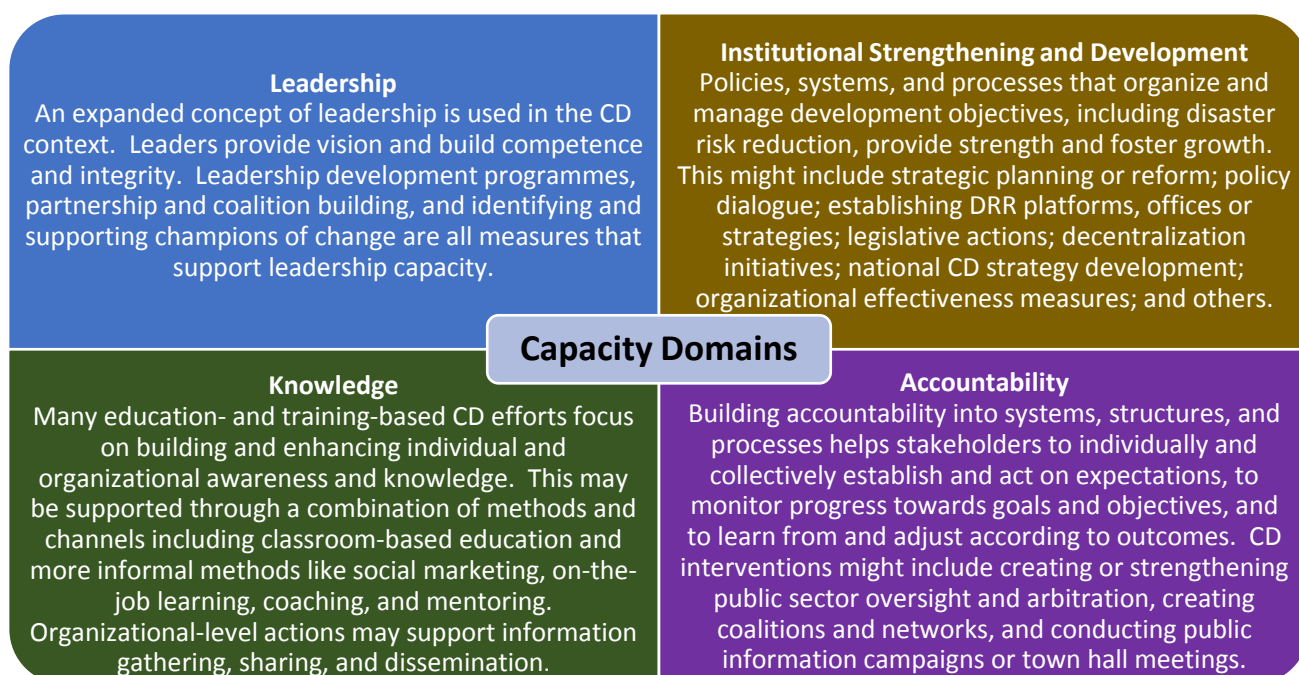[31] Oxford Policy Management, 2010. P. 1.; Few, 2015. P. 11.
[32] The World Bank Global Facility for Disaster Reduction and Recovery (GFDRR) applies a slightly different categorization scheme, which includes: Technical (tools and infrastructures); Financial (investments); and Human (knowledge and skills).
[33] Morgan, 2006. P. 8.
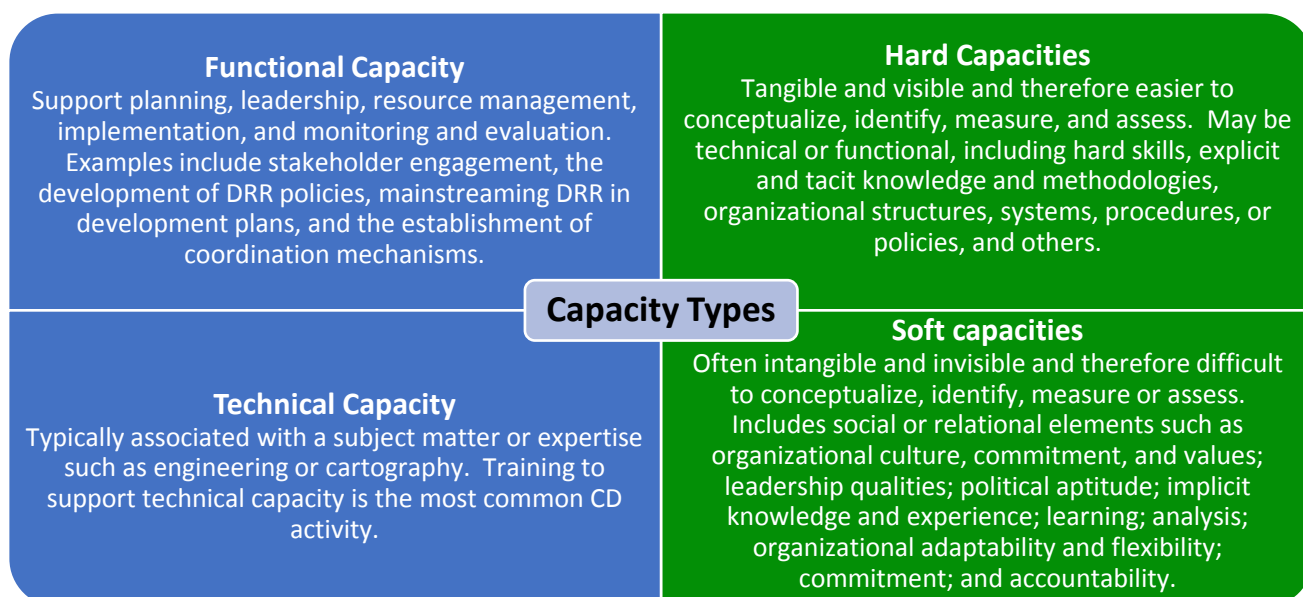[34] CADRI, 2011. P.13-14.

Capacity Domains

Though not without exception, CD efforts generally target one or more of the following four capacity 'domains' illustrated in the figure below.

Leadership
An expanded concept of leadership is used in the CD context. Leaders provide vision and build competence and integrity. Leadership development programmes, partnership and coalition building, and identifying and supporting champions of change are all measures that support leadership capacity.

Institutional Strengthening and Development
Policies, systems, and processes that organize and manage development objectives, including disaster risk reduction, provide strength and foster growth. This might include strategic planning or reform; policy dialogue; establishing DRR platforms, offices or strategies; legislative actions; decentralization initiatives; national CD strategy development; organizational effectiveness measures; and others.

Capacity Domains

Knowledge
Many education- and training-based CD efforts focus on building and enhancing individual and organizational awareness and knowledge. This may be supported through a combination of methods and channels including classroom-based education and more informal methods like social marketing, on-the-job learning, coaching, and mentoring. Organizational-level actions may support information gathering, sharing, and dissemination.

Accountability
Building accountability into systems, structures, and processes helps stakeholders to individually and collectively establish and act on expectations, to monitor progress towards goals and objectives, and to learn from and adjust according to outcomes. CD interventions might include creating or strengthening public sector oversight and arbitration, creating coalitions and networks, and conducting public information campaigns or town hall meetings.

Capacity Types

Interventions may be functional or technical in their foci and can be classified as either "soft" or "hard" in their presentation, as defined in the figure below.

Functional Capacity
Support planning, leadership, resource management, implementation, and monitoring and evaluation. Examples include stakeholder engagement, the development of DRR policies, mainstreaming DRR in development plans, and the establishment of coordination mechanisms.

Hard Capacities
Tangible and visible and therefore easier to conceptualize, identify, measure, and assess. May be technical or functional, including hard skills, explicit and tacit knowledge and methodologies, organizational structures, systems, procedures, or policies, and others.

Capacity Types

Technical Capacity
Typically associated with a subject matter or expertise such as engineering or cartography. Training to support technical capacity is the most common CD activity.

Soft capacities
Often intangible and invisible and therefore difficult to conceptualize, identify, measure or assess. Includes social or relational elements such as organizational culture, commitment, and values; leadership qualities; political aptitude; implicit knowledge and experience; learning; analysis; organizational adaptability and flexibility; commitment; and accountability.

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Capacity Levels

Finally, the span or manner of influence of each capacity intervention on the CD process may also be differentiated according to three distinct 'levels' of capacity, as defined in the figure below.

The Enabling Environment (Systemic Level)

The broad social system within which people and organizations function, including all the rules, laws, policies, power relations and social norms that govern civic engagement. It is what makes disaster risk reduction activities, and the efforts to build capacity in support of them, accessible, acceptable, and accountable, and is therefore essential. It has been described as a context that provides the prioritization and motivation to turn development of DRR structures and skills into effective action. Actions might include improvements to policy frameworks, finance, labour markets, the political context, policy, and the legislative environment; class structures; culture; and other support networks./

The Organizational Level

Includes the internal structures, policies, budgets, strategies, frameworks, arrangements, procedures, and other factors that dictate or otherwise influence an organization's ability to operate and achieve its objectives. It is where individuals can utilize their skills and abilities to achieve objectives, and where organizational leadership and engagement capabilities are developed.

The Individual Level

Focuses on the capacity of people, including skills, knowledge, experience, and performance. The goal is to increase or improve personal performance. CD occurs through training, education, performing, coaching, mentoring, networking, and observation. It is promoted through incentives and by other means of motivating capacity development participants.

CD for DRR Principles

CD efforts must be approached in a manner that is cognizant of and compliant with generally-accepted CD principles and is comprehensive and complete in its design. The literature review and consultative process uncovered several key guiding principles and foundational elements [35] whose existence stakeholders consider to be highly correlated to successful outcomes of CD efforts. It was felt that each of the principles were important both individually and collectively, [36] and that evidence of all elements was required. (See box "Driving Principles of Effective Capacity Development." More detail on each of these is provided in Appendix 5.)

Driving Principles of Effective Capacity Development

1. Efforts are Guided by a Common Understanding (of terms, concepts, standards, and norms)
2. Efforts are Coherent Within and Between Levels
3. Efforts Pursue an "All-of-Society" Approach
4. Efforts are Goal-Driven, Impact-Focused, and Transformative
5. Efforts are Demand-driven and Needs-based
6. Efforts are Strategic and Sustainable
7. Efforts are Nationally-Owned and Led
8. Efforts are Value-Added
9. Efforts are Practical, Replicable, and Localized
10. Efforts Foster Partnerships
11. Efforts are Standard-Conformant or Standard-Setting
12. Efforts Employ a Mix of Activities across Levels / Timeframes
13. Efforts Strengthen Knowledge Frameworks

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[35] Principles and elements are distinguished as follows: a principle is "a moral rule or standard of good behavior or fair dealing," while an element is "one of the parts of something that makes it work, or a quality that makes someone or something effective." (Cambridge Dictionary, 2018)

[36] Principles need to be applied in all situations, and all principles need to be applied.

Foundational Elements of Effective CD for DRR

Several elements that are vital to any CD for DRR effort have been identified through the literature review and consultative process. While most of these are indicative of a strong supportive environment, they are influential at the individual and organizational levels as well. (See box "Foundational Elements of Effective Capacity Development." More detail on each of these is provided in Appendix 6.)

Pursuing CD According to a 'Theory of Change'

A *Theory of Change* is an effective planning construct that helps stakeholders establish a common and accurate understanding of why a desired change is needed and how that change should occur in a particular context. By establishing a theory of change, it is possible to identify acceptable and realistic targets and goals at a very early point in the planning process. The conceptual theory enables planners to subsequently identify and analyse proposed tasks, actions, and expectations to ensure they conform to the overall construct, thereby ensuring the intended outputs, outcomes, and impacts are both achievable and desirable. In the absence of a common and effective filter or lens that is not only widely accepted by all stakeholders, but also integrated into the planning process, achievement of meaningful coordination will be difficult.

> **Foundational Elements of Effective Capacity Development**
>
> 1. Financial Resources
> 2. Political Support
> 3. Incentives
> 4. A Supportive Culture
> 5. Existing Structures and Mechanisms
> 6. Relevant and Valid Information
> 7. Flexibility and Adaptability
> 8. Complementarity
> 9. Innovation
> 10. An Exit Strategy

Theories of change are informed by the many factors detailed in this strategic approach, and therefore are unique and non-replicable. Their core purpose, however, is common. They seek to support *improvement from an existing level of inadequate capacity to one which is adequate and effective*. To understand what this means, CD stakeholders and partners need to answer for themselves (and ensure there exists concurrence among all partners) the following questions:[37]

- *Whose capacities do we need to develop?*
- *To what end do we need to develop this capacity?*
- *What kinds of capacities need to be developed for this?*
- *What will be their purpose?*
- *How do we measure and monitor these capacities and the results they are meant to achieve?*
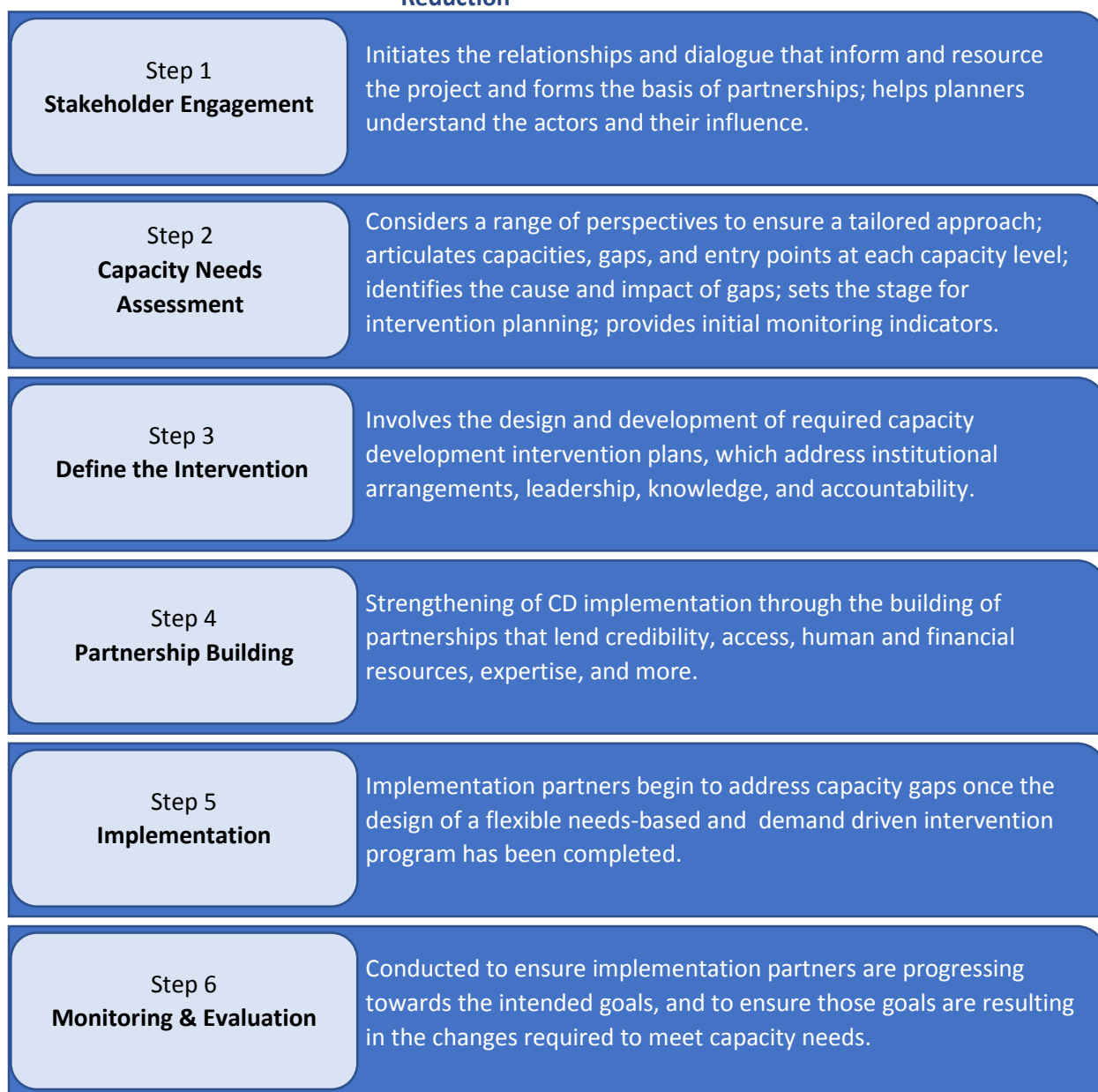
CD for DRR Process

The Strategic Approach offers a six-step planning process by which the actions and decisions involved may be organized. Stakeholders can incorporate this (or a similar) process to better address Sendai Framework goal and targets and to avoid many of the common obstacles and challenges. See Appendix 10 for a detailed description of each of the following steps.

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[37] Also see Appendix 7

Step 1 **Stakeholder Engagement**	Initiates the relationships and dialogue that inform and resource the project and forms the basis of partnerships; helps planners understand the actors and their influence.
Step 2 **Capacity Needs Assessment**	Considers a range of perspectives to ensure a tailored approach; articulates capacities, gaps, and entry points at each capacity level; identifies the cause and impact of gaps; sets the stage for intervention planning; provides initial monitoring indicators.
Step 3 **Define the Intervention**	Involves the design and development of required capacity development intervention plans, which address institutional arrangements, leadership, knowledge, and accountability.
Step 4 **Partnership Building**	Strengthening of CD implementation through the building of partnerships that lend credibility, access, human and financial resources, expertise, and more.
Step 5 **Implementation**	Implementation partners begin to address capacity gaps once the design of a flexible needs-based and demand driven intervention program has been completed.
Step 6 **Monitoring & Evaluation**	Conducted to ensure implementation partners are progressing towards the intended goals, and to ensure those goals are resulting in the changes required to meet capacity needs.

Section 3: Action Areas for Capacity Development for DRR

The consultative process revealed several priority areas for action and attention where notable influence on the CD process and/or the outcome of DRR for CD efforts has been identified. Generalized approaches extracted from the knowledge, practice, and experience of consultation participants and through literature review are presented to support CD planning and operational efforts. For each of the 18 Action Areas[38] identified, possible actions, activities, and interventions that address the required capacity are provided. Each Action Area is presented in fact-sheet format for ease of use.

CD Priority and Action Areas

Action Areas have been grouped into 6 priority areas for clarity. The topics included in this list will change with time as capacities are enhanced and as new needs and corresponding actions arise. The six priority areas include:

1. **Developing and Strengthening DRR Fundamentals**

   DRR is, as the name suggests, a risk-based endeavour. As such, the capacity to conduct the required activities and make relevant decisions is contingent on the existence of accurate and actionable data and information, the knowledge of how to use that data and information for planning purposes, and the ability to link it all back to the Sendai Framework goals and targets that the collective global risk experience has produced.

2. **Institutionalizing DRR Capacity**

   DRR is a capacity need that extends to all sectors and all levels and is closely linked with many other functions of government and policy directives. This interlinkage is most direct in the case of CCA and the SDGs (and SD in general), but also relates to governance, finance, security, and many other policies and pursuits. Stakeholders both within and outside of government must work together and must integrate DRR considerations into all the work they do, including work that involves assessing or developing the capacity required.

3. **Sharing and Using Risk Information Before and After Disasters**

   Disaster resilience requires all-stakeholder awareness of risk and the vulnerability factors that exacerbate it. Individuals, organizations, and societies must be able to gather and share risk information among those that need it – whether to act or to react. Any development activity conducted in the absence of information on risk and vulnerability is likely to exacerbate community or country risk, but the ability to receive and act on such information is not intrinsic. And just as risk information is vital to pre-disaster development and preparedness activities, it is key to avoiding the roots of risk and vulnerability in the aftermath of disasters during recovery and reconstruction.

4. **Establishing Collaborative Action for DRR**

   DRR is everyone's responsibility, from the household level to the national government level. While directives and support from the national government and from development partners are critical, decentralization allows for much greater tailoring of interventions. It is at this local level, where

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[38] See Appendix 12

CD needs are greatest, that CD activities are most rarely encountered. Moreover, many of the stakeholders that are most significantly influenced or affected by DRR efforts - whether as beneficiaries or providers – are not included in or targeted by CD for DRR. At the other end of the spectrum, when disaster risk is shared across international borders or where hazards that exist or are created in one country threaten people, property, or the environment in another country, the capacity needs to address those issues likewise become interconnected and concerted action is required.

5. Strengthening External Support Mechanisms

There are many opportunities for external partners to provide CD support. Bilateral cooperation has proven highly effective in the transfer of skills and knowledge for many technical areas, inclusive of DRR, and there is a recognition of the value to be gained through an increase in the use of South-South and Peer-to-Peer arrangements. UN Country Teams are another major source of CD support, and as such there needs to be a focus on how to maximize this support through increased mainstreaming of DRR activities and coordination with national and local CD efforts. Finally, there is great untapped potential for CD support relative to DRR in the work of the many humanitarian agencies that participate in disaster response and early recovery operations.

6. Advancing and Expanding DRR Capabilities

Current and future generations of DRR professionals need the right skills and resources to do what is required of them. DRM professionalization is rapidly advancing, and with that trend comes a renewed focus on formulation of the competency standards, the course curriculum, and a cadre of effective teachers and trainers to serve the many relevant stakeholders. Innovation, fuelled by investments in research and development, offers many new and unexpected opportunities to close capacity gaps.

1. Developing and Strengthening Disaster Risk Reduction Fundamentals

Action Area 1.1: Ensuring Use of Loss and Risk Information

Priority 1 of the Sendai Framework ("Understanding Risk") underpins the important actions required for full implementation of all subsequent Sendai Framework Priorities. It is a precursor to the assurance that policy, planning, and investment are risk-informed in a manner that supports a resilient society. The Sendai Framework articulates the need for improved understanding of disaster risk in all aspects, including exposure, vulnerability, mechanisms for likelihood or consequence reduction, among others. Achievement of DRR targets is fully-contingent on the development of capacities that support a full understanding of risk not only among the traditional DRR community, but also throughout government and society given the integrated nature of DRR, climate change adaptation, and sustainable development. Capacities to collect, understand and use disaster loss and risk information are therefore requisite.

Actions:

- Strengthen the knowledge and skills to collect, understand and use risk information at all levels, and among all relevant stakeholders to: conduct risk assessment; understand the difference between damage, economic losses, and recovery needs; understand risk in all its facets: hazard, exposure, vulnerability and capacities; understand extensive and intensive risk baselines on a national level, but with locally-relevant and useful granularity; understand risk data and its application for risk-informed development planning and other relevant areas, e.g. enforcement of building codes, urban planning.

- Increase the appreciation and understanding of risk data and associated capacity needs among management and staff at Local and National Statistics Offices.

- Create and foster partnerships among stakeholder communities that possess skills, knowledge, access, or other capacity to enhance the coverage, depth, and accuracy of risk assessments.

- Institutionalize existing or newly-developed standardized tools and methodologies that enable accurate and relevant calculation of disasters' financial costs and economic impacts, and ensure the requisite procedures, policies, technologies, skills, and knowledge are developed accordingly.

- Institute mechanisms, practices, platforms, and exchanges that help to increase the sharing of risk data and information relevant to capacity assessment and sustainable development at the regional, sub-regional, and national levels, and among relevant sectors (inter-ministerial) and groups including the insurance industry and civil society organizations.

- Increase the availability of georeferenced risk data.

- Place focus on increasing the collecting and exchange of data and information on hydrological and meteorological risk as well as climate change scenarios.

1. Developing and Strengthening Disaster Risk Reduction Fundamentals

Action Area 1.2: Disaster Risk-Informed Development Plans

Sendai Framework Target E, which shares indicators with Sustainable Development Goals 1, 11 and 13, calls for a substantial increase in the number of countries with national and local DRR strategies by 2020. Progress towards this target will be highly contingent on integration of DRR and sustainable development, but also requires a significant expansion in the scope of stakeholders targeted by DRR capacity development efforts, as well as an increased focus on transformational and inclusive planning for effective and sustainable development in risk-related CD programmes.

Actions:
- Identify and address functional capacity needs related to monitoring and evaluation, results-based management, and results-based planning.
- Prioritize national and sub-national training programmes focused on integrating understanding of local needs (and the plans that exist to address them) that target disaster management authorities as well as representatives from all other relevant sectors.
- Build capacity for risk-informed development on existing mechanisms that have a country- or community-specific frame; Coordinate interventions and incorporate relevant standards of practice, information, and methods for planning inclusiveness (e.g., persons with disabilities, women, vulnerable groups) that may be drawn from existing sustainable development efforts.
- Incorporate government-endorsed targets and timeframes into development plans that address CD needs as they align with project implementation goals, including translation of CD action plans into projects.
- Promote expanded access to accredited training to ensure that sufficient capacity exists to support the creation of quality, sustainable, and accountable local and national DRR strategies.
- Ensure that resources to support DRR capacity that coincide with development activities are adequately accounted for in national and local budgets.
- Increase engagement with the Ministries of Finance and Planning, and other key ministries.
- Utilize bottom-up approaches in plan development that contribute to public education

Strategic Approach to Capacity Development for
Implementation of the Sendai Framework for Disaster Risk
Reduction

1. Developing and Strengthening Disaster Risk Reduction Fundamentals

Action Area 1.3: Funding and Resource Mobilization for DRR

The availability of funding and other resources has been identified as one of the greatest challenges to CD for DRR efforts. Financial, human, technical, and other resources are in and of themselves capacity elements, but given the influence that information, education, partnership building, accountability, negotiation, and other forms of capacity can have on the availability and use of such resources it is important that a special focus be placed on development of funding and resource mobilization for DRR as a target of CD action. Awareness building plays a large role in this area, considering that DRR represents an investment in the protection of development gains. The long-term resilience that results from such investment represents one of many returns on that investment. Identifying, understanding and innovating for adequate funding mechanisms requires CD in resource mobilization for DRR.

Actions:
- Collect and assess data and develop documentation that serves to justify investments in disaster risk reduction, including that which is dedicated to CD.
- Explore the use of pooling and sharing of resources through regional centres.
- Develop and provide training that guides recipients in the development of DRR proposals for dedicated or ring-fenced DRR resources.
- Mainstream funding to support CD for DRR into sectoral budgets.

1. Developing and Strengthening Disaster Risk Reduction Fundamentals

Action Area 1.4: Monitoring and Evaluation of Sendai Framework Implementation

The goal of the Sendai Framework as adopted by Member States is to "prevent new and reduce existing disaster risk through the implementation of integrated and inclusive economic, structural, legal, social, health, cultural, educational, environmental, technological, political and institutional measures that prevent and reduce hazard exposure and vulnerability to disaster, increase preparedness for response and recovery, and thus strengthen resilience." Ensuring that DRR strategies, plans and related actions advance this goal hinges on stakeholders' abilities to plan, organize, and accomplish monitoring of relevant DRR implementation targets at all levels. Whilst the Sendai Framework calls on UNISDR to support the follow-up and review at a global and regional level, including through the web-based Sendai Framework Monitor system, there are numerous other opportunities and capacity gaps that could strengthen overall implementation monitoring and evaluation at all levels if they are addressed.

Actions:

- Increase understanding of Sendai Framework-related data collection needs and reporting requirements, including the assignment of roles and responsibilities, among all national government ministries and across all sectors, especially National Statistics Offices
- Develop technical guidance and monitoring procedures and methodologies to support coordinated and complementary CD within and across ministries and sectors.
- Motivate and empower leadership and staff in local communities, including government officials, to use and/or contribute to Sendai Framework monitoring to support their own decision-making effectiveness.
- Strengthen ground-level monitoring and evaluation systems by developing specially-tailored tools and guidance.
- Engage with the private sector through the CD process to raise awareness of the existence and value of the Sendai Framework, and to motivate and empower relevant individuals and companies to support the collection, analysis, and reporting of data relevant to Sendai Framework monitoring efforts
- Increase all-stakeholder awareness that monitoring, and evaluation of Sendai Framework implementation are more an opportunity to improve local disaster resilience and development planning effectiveness and less an obligation to external entities (e.g., global and regional intergovernmental organizations).
- Ensure continual assessment of risks, after events, to inform policy and CD needs.

2. Institutionalizing Disaster Risk Reduction Capacity

Action Area 2.1: Understanding Links Between Disaster Risk Reduction and Sustainable Development

During the Third UN World Conference on Disaster Risk Reduction, Member States reiterated with a renewed sense of urgency their commitment to addressing DRR and building resilience to disasters within the context of sustainable development and poverty eradication. This included, as appropriate, integration of both DRR and the building of resilience into policies, plans, programmes and budgets at all levels and within relevant frameworks. The development of capacity to not only understand more fully these critical interlinkages, but also to be able to act on the need to integrate their driving policies at every level of governance and among all stakeholders, is therefore a priority in and of itself.

Actions:
- Increase awareness and understanding of the interlinkages between Agenda 2030 and the Sustainable Development Goals, the Paris Agreement on climate change, the New Urban Agenda and the Sendai Framework among all stakeholders, at all levels, tailored to their context. (e.g., at Ministerial and Parliamentarian level, national and local government)
- Ensure stakeholder knowledge of and access to information that clearly explains how SDGs and Sendai Framework global targets and principles are interlinked, preferably using data and case studies
- Increase knowledge of, understanding about, and the sharing of experiences between countries and regions regarding integration and interlinking practices and opportunities for development planning, monitoring and reporting under Sendai Framework among focal, line, and related sectoral ministries, including National Statistics Offices.
- Target the development of capacity to foster risk-informed development by promoting integration and mainstreaming of DRR among a more broad-reaching target audience that is representative of the greater development effort (e.g., ministries of finance, planning, housing, infrastructure, and others).
- Minimize competition between different areas of practice and divert time and investment from the DRR efforts.
- Incorporate at all junctures the mechanisms to enable development of internal stakeholder capacity to understand, assess, and act on the need to integrate DRR in all development activities in a manner that ensures outcomes are demand-driven and locally-relevant.
- Ensure CD for DRR requirements are identified and emphasized in sectoral and cross-sectoral development plans and programmes.

2: Institutionalizing Disaster Risk Reduction Capacity

Action Area 2.2: Understanding & Integrating Climate Risk Across Sectors

The Sendai Framework considers the coherence of DRR and sustainable development policies, plans, practices and mechanisms, across different sectors, to be one of its guiding principles. In line with this principle and to achieve coherent implementation in line with commitments to the Paris Agreement on climate change, participants highlighted the need to ensure that those tasked with DRR or who play a relevant or influential role are informed of the interlinkages and influences that exist between the two policy goals.

Actions:
- Focus initial CD activities around informing elected and appointed leadership throughout government, including parliamentarians, on the need to increase understanding of and capacity to incorporate climate risk in DRR, resilience and development planning activities, and on motivating them to be champions of change within their area of influence.
- Increase the understanding of the importance of risk forecasting and the influence of climate change risk among disaster risk management and sustainable development stakeholders.
- Coordinate practices and mechanisms that facilitate climate and risk data collection, assessment, management, and reporting.
- Promote the involvement of individuals, organizations, and other stakeholders involved in the development of National Adaptation Plans as providers and/or recipients of capacity development assistance.
- Incorporate climate-related capacity development training, educational, and scenario-based materials into CD for DRR activities, especially those focused on the national risk assessment, national and local disaster risk reduction strategies, and land use planning.

2: Institutionalizing Disaster Risk Reduction Capacity

Action Area 2.3: High-Level Awareness and Cross-Sectoral (inter-ministerial) Understanding of DRR

In line with the *Transforming Our World: 2030 Agenda for Sustainable Development* and the *Sustainable Development Goals*, the Sendai Framework for Disaster Risk Reduction, the Paris Agreement on Climate Change, the New Urban Agenda, the Addis Ababa Action Agenda, and the SAMOA Pathway for Small Island Developing States (SIDS) constitute an integral and ambitious set of action plans for countries, the UN system, and all other development actors. The 2030 Agenda for Sustainable Development recognizes and reaffirms the urgent need to reduce the risk of disasters. Understanding of these interlinkages among key decisionmakers, and among all Ministries, particularly in terms of the commonalities among the Sendai targets and SDG indicators, is important for mainstreaming DRR into all development planning and investment. Tailored and contextualized awareness-raising and capacity to coordinate, advocate, mediate, and negotiate for DRR for Ministers, Parliamentarians, national and local decisionmaker is needed.

Actions:

- Focus initial capacity development efforts on raising the awareness of senior officials and key leadership, especially parliamentarians and business leaders, about the economic case for DRR, highlighting the cost of inaction.
- Maintain engagement with senior leaders throughout the course of CD activities to promote greater appreciation for and understanding of the impacts of risk on operations, to encourage action to address greater risk management, and to advocate on behalf of greater (nation- or society-wide) DRR needs.
- Motivate and encourage decisionmakers to promote DRR planning and implementation within their area of influence to contribute to sustainable development, notably in pursuit of the SDGs.
- Engage stakeholders from the science and technology community to increase cross-sectoral and inter-ministerial understanding of risk-related impacts on development.
- Design targeted CD interventions to ensure relevance to specific ministries, government entities at sub-national levels, and other concerned partners.
- Develop short courses for university students and focus on people other than those already working in the disaster risk reduction field.
- Ensure that some aspects of training and education are mainstreamed in the general curriculum through much more intense advocacy with the ministry of education.

3: Sharing and Using Risk Information Before and After Disasters

Action Area 3.1: Conducting Effective Risk Communication and Knowledge Management

Despite challenges, governments and societies are taking steps to increase their information sharing capacities. The Sendai Framework for Disaster Risk Reduction encourages improvements in how nations manage disaster information before, during, and after disasters occur, and highlights the importance of risk and emergency communications mechanisms, participatory processes for developing communications systems, and expanded use of community, traditional, indigenous and local knowledge to achieve risk reduction targets.

Actions:

- Elicit political or leadership support for and commitment to implementing and overseeing information sharing activities at every level.
- Encourage decisionmakers to support information sharing capacity through the dedication of financial and human resources.
- Support sharing through the building of understanding and trust between relevant agencies, organizations, and other key stakeholders.
- Work with stakeholders at all levels to develop data standards and information requirements that facilitate and simplify data sharing.
- Ensure that knowledge products are tailored and targeted to enable all stakeholders, including vulnerable groups, to use them effectively.
- Promote innovation and technology application (for translation) among relevant stakeholders, including academia, the private sector, and media, to ensure risk data is available and accessible, including for those with disabilities.
- Highlight the value of accurate risk data for stakeholders engaged in emergency response and continuity of operations planning, especially in key businesses sectors (e.g. energy and finance).
- Encourage and support the capture and sharing of best practices and lessons learned through resources, technical assistance, and advocacy.
- Promote the capture and use of traditional knowledge and knowledge at the community level to increase participation of all stakeholder groups in capacity development efforts.
- Convene stakeholders for establishing agreements that support communications and information sharing at the individual, the organizational, and the inter-organizational levels.
- Design CD interventions that appeal to the news media as both a provider and a recipient.
- Support the establishment of legal, regulatory, and procedural frameworks that promote more effective information sharing, including disaster statistics, risk information, and emergency messages.

3: Sharing and Using Risk Information Before and After Disasters

Action Area 3.2: Enhancing Disaster Preparedness and Planning for "Build Back Better"

The value of having in place a system that is prepared to respond to disasters, and incorporate DRR into post-disaster recovery, reconstruction, and rehabilitation, (including in pre-disaster recovery planning efforts), is unquestioned. Disaster impacted countries and communities are almost always better equipped to build back better when actions have been taken to strengthen decision-making and operational capacity prior to disaster onset. As such, the Sendai Framework included through Priority 4 a call on UN member states to address capacity development in this area by creating and strengthening recovery-focused relationships, establishing planning and coordination mechanisms, and introducing methods and procedures to ensure recovery activities, especially for livelihoods and economic recovery, are adequately informed and supported. Countries are encouraged to pursue people-centred multi-hazard, multi-sectoral forecasting and early warning systems, disaster risk and emergency communications mechanisms, social technologies and hazard-monitoring telecommunications systems to address this requirement.

Actions:

- Develop complementarity between formal and informal groups involved in disaster response by seeking coherence of and with capability and practice standards by all.
- Incentivize the conduct of local and sub-national disaster preparedness and disaster recovery planning; provide training materials and guidance to increase standardization and complementarity across communities and regions.
- Provide materials and opportunities for officials in government, private institutions, and throughout society to become educated in actionable response and recovery activities, including participation in official response and recovery action teams.
- Design drills and simulations to include those most likely to be involved in the response and recovery efforts.
- Ensure that efforts are made to educate all stakeholders on the concept of build back better and ensure that there is common understanding among different stakeholder groups, including businesses.
- Develop and provide nationally- and locally-relevant guidance and protocols on early warning and multi-hazard early warning systems, including low-tech options.
- Establish and communicate ex-ante standards for reconstruction.
- Increase the capture and use of lessons learned both before and after disasters and experience sharing to promote and inform those with inexistent or inadequate plans and strategies.
- Engage with engineers and others traditionally involved in pre- and post-disaster recovery planning and operations to support the development of training and education and the raising of awareness about needs.
- Understand how underlying risk factors, including poverty, inadequate livelihoods opportunities, poor land use planning, inequality, climate change and variability, unplanned and rapid urbanization, inter alia, contribute to disaster risk and thus need to be addressed during recovery, reconstruction, and rehabilitation planning and operations.

3: Sharing and Using Risk Information Before and After Disasters

Action Area 3.3: Understanding the Economics of DRR

The Sendai Framework asserts that among the lessons learned from the implementation of its predecessor, the Hyogo Framework for Action 2005-2015 (HFA), is that investment in DRR is cost-effective in terms of prevented future losses. Indeed, over the same 10-year timeframe as the HFA, the total economic loss was more than $1.3 trillion. Stakeholders must have a collective and common understanding and trust in the value proposition of DRR investments if there are to exist concerted efforts to pursue them. Knowledge of the true economic costs of disasters and their negative impact on development play a key role in making such an understanding possible and to ensuring public and private investment is risk-informed.

Actions:

- Enhance capacities to collect and analyse data that supports a more complete, accurate understanding of the actual or anticipated economic, and socio-political, impacts of future hazard events such that cost-benefit analyses may be performed in the analysis of DRR and resilience-building plans.
- Prioritize early CD efforts on increasing the awareness and understanding of the cost-effective benefits, and the economics of risk reduction and resilience, among key decisionmakers working in ministries with influence over DRR and sustainable development decisions.
- Expand the knowledge of and capacity to utilize standardized cost-benefit analysis methodologies for risk-informed public and private investments.
- Increase awareness and understanding of the Sendai Framework and its associated targets among ministry of finance officials and budget officers throughout government at all levels.
- Establish private sector partnerships with entities that understand the value proposition of risk management, risk-informed private investment, and participation in community-based and national DRR efforts.
- Support expansion of stakeholders' understanding of DRR economics to include social and behavioural influences, and the longer-term consequences of disasters (using scenario-based planning and computer-generated models).
- Develop a diverse range of DRR financing instruments and ensure that all relevant stakeholders have adequate access.

4: Establishing Collaborative Action for Disaster Risk Reduction

Action Area 4.1: Establishing an 'All-of-Society' Inclusive Approach

Among its thirteen guiding principles, the Sendai Framework calls for the engagement of all of society, in addition to related calls for shared responsibility between central government and national authorities, sectors and stakeholders as appropriate to national circumstances, and the empowerment of local authorities and communities through resources, incentives and decision-making responsibilities as appropriate. Paragraph 7 of the Framework calls for a "broader and a more people-centred preventive approach to disaster risk," and states that "[d]isaster risk reduction practices need to be multi-hazard and multi-sectoral, inclusive, and accessible to be efficient and effective." Moreover, it calls for the engagement of all relevant stakeholders, including women, children and youth, persons with disabilities, poor people, migrants, indigenous peoples, volunteers, the community of practitioners and older persons. This is critical to avoid creation of inequalities. The public and private sectors, civil society organizations, academic, scientific, and research institutions are each called upon to work more closely and to create opportunities

Actions:

- Ensure that project staff appreciate the value of contributions by all stakeholders in the community and use this as a basis to promote and incentivize the active participation and engagement of a broad range of relevant stakeholders drawn from government, civil society, academia, the private sector, as well as from vulnerable, marginalized, and special interest groups, and individual citizens.
- Incorporate the provision of or encouragement of partnership building guidance, lessons, policies, and other supportive actions and resources into disaster risk reduction capacity development interventions.
- Apply innovative methods and approaches, including gender considerations, when mapping stakeholders, drafting and implementing inclusive DRR policies that encourage involvement of less traditional stakeholders and partners in the capacity development effort.
- Support capacity development programming staff in their efforts to incorporate National and Local Platforms for Disaster Risk Reduction, and other multi-stakeholder mechanisms, to engage all of society.
- Institute approaches, procedures, and mechanisms that together help decisionmakers to assess, understand, and support the 'collective memory' of disaster risk reduction, which in turn supports and expands growth in the culture of prevention and sustainable disaster risk management.
- Ensure that programmes are set up to identify and provide support to individuals from groups that are or have been marginalized given that these same individuals and groups are often more significantly-exposed to risk.

4: Establishing Collaborative Action for Disaster Risk Reduction

Action Area 4.2: Integration of DRR at Local Government Level

Like the impacts of disasters, DRR gains are felt most significantly at the local level. However, there are many factors that together contribute to a predominance of weak local government DRR capacity. The Sendai Framework Target E, in conjunction with indicators of SDGs 1, 11 and 13, seeks to address local DRR capacity by calling for a substantial increase in the number of countries with local DRR strategies by 2020. Additionally, the Sendai Framework's four priorities for action stress the importance of action at both the national and local levels. The Guiding Principles further highlight that disaster risk reduction and management depends on coordination mechanisms within and across sectors and with relevant stakeholders at all levels, requiring the full engagement of all public institutions of an executive and legislative nature at national and local levels, and a clear articulation of responsibilities across public and private stakeholders, to ensure mutual outreach, partnership, complementarity in roles and accountability and follow-up.

Actions:
- Identify CD interventions that help to better utilize a community's in-house staff to reduce or eliminate reliance on 'substitution' capacities provided by external experts to fulfil DRR responsibilities and tasks.
- Push CD efforts down to the local and sub-national levels in a manner that increases understanding and implementation of DRR and promotes integration of DRR and SDG pursuits.
- Utilize CD interventions that support local stakeholder creation and management of, and participation in, and use of locally-based DRR platforms.
- Expand access to locally- and contextually-relevant, culturally-sensitive, and language-appropriate land use and building code training and education, including among key elected and appointed officials with decision-making authority
- Include locally-relevant information on DRR investment, budgeting and resource mobilization in interventions targeting local leaders and decision-makers and stakeholders in the urban and economic development communities.
- Ensure that locally-based stakeholders, including society and local community, appreciate the value of data collection and reporting efforts on data localization, and that they are motivated to contribute to and utilize local risk data products.
- Develop governance tools and incentivization techniques that motivate and enable intergovernmental teams to address local DRR needs in a strategic, locally-relevant manner.
- Ensure that CD ownership exists at the most local level relevant to the project or program.
- Reduce the impact of institutional memory loss through attrition.
- Reduce parallel processes or efforts to address capacity needs.
- Decentralize training so that areas outside of urban centres are reached.
- Increase CD prioritization at the local level and ensure that a wide range of people are exposed to CD efforts rather than those in the offices and agencies most closely-linked to DRR.

4: Establishing Collaborative Action for Disaster Risk Reduction

Action Area 4.3: DRR at Community Level

The role of community level engagement is well articulated throughout the Sendai Framework and within the role of stakeholders, including civil society, volunteers, organized voluntary work organizations and community-based organizations to participate, in collaboration with public institutions, to, inter alia, provide specific knowledge and pragmatic guidance in the context of the development and implementation of normative frameworks, standards and plans for DRR; engage in the implementation of local, national, regional and global plans and strategies; contribute to and support public awareness, a culture of prevention and education on disaster risk; and advocate for resilient communities and an inclusive and all-of-society disaster risk management that strengthen synergies across groups, as appropriate. The role of women, children, persons with disabilities, older persons, indigenous peoples and migrants are noted.

Actions:
- Support the establishment of culture norms that dictate DRR as the responsibility of everyone, not just that of government
- Gather and validate information that informs the local context within which interventions are to be planned.
- Incorporate information and methodologies into CD interventions that are systematic and sustainable in their ability to increase the appreciation for and understanding of DRR at and throughout the community level.
- Ensure that nongovernmental organizations, civic and other community-based associations and voluntary organizations, faith-based groups, individual citizens, and other local stakeholders are engaged in the entire lifecycle of CD processes to the extent that is feasible and appropriate, whether such projects are locally- or nationally-based.
- Tailor interventions so that they are not only useful and relevant, but also engaging to and perceived to be value added by local level stakeholders and partners.
- Ensure long-term local engagement by empowering locally-based partners with management and implementation responsibility, targeting capacity needs at the organizational and enabling environment levels, and institutionalizing CD methods in local policy and practice.
- To the extent that is possible, ensure that program planners understand and link to local routines, livelihoods, cultures, and other key factors that affect a sense of relevance, trust, and motivation to engage.
- Provide rotational training that goes deeper into the staff pool than leadership.
- Involve all community stakeholders in awareness-raising events including disaster exercises.
- Support the enabling environment by providing support to increase local-level access to technology and other CD resources that are not widely available.
- Incentivize community-wide action using community awards, certifications, or prizes.

5: Strengthening External Support Mechanisms

Action Area 5.1: South-South and Peer-to-Peer Mechanisms

Bilateral cooperation through North-South, South-South, and triangular cooperation arrangements have each proven effective in many instances where the transfer of DRR capacity was sought. There has been an increase in calls for South-South arrangements given the tendency for partners to have more closely-matched risk profiles, governing arrangements, economic constraints, and other relational factors. Peer-to-peer partnerships have also played an additional important role in helping countries to harness greater potential in their disaster risk management and reduction activities, and for improving the social, health and economic well-being of citizens, communities, and society as a whole.

Actions:
- Establish and strengthen methods and best practices to help initiate and conduct peer-to-peer (country-to-country and city-to-city) support and learning.
- Develop, promote, and maintain mechanisms that enable country and city partners to gather and share experience and lessons, including those linked to Sendai Framework monitoring.
- Encourage development partners to facilitate arrangements that are more conducive to or supportive of South-South and Triangular cooperation.
- Identify innovative opportunities to support twinning and peer-to-peer approaches, including secondments, government exchanges, symposia, and tours.
- Identify ways to move beyond 'learning together' such that actual sharing of lessons and practices occurs in both existing and new collaborative programmes and in joint exercises.

5: Strengthening External Support Mechanisms

Action Area 5.2: UN Country Teams

The UNPoA exists to ensure Sendai Framework implementation contributes to a risk-informed and integrated approach to 2030 Agenda for Sustainable Development achievement. It addresses the need for coherence and mutual re-enforcement of the UN's resilience building efforts and seeks more effective integration of UN operational preparedness and response capacities into national operational and CD arrangements. The Plan of Action places emphasis on country and local level engagement, ensuring the UN system is responsive to the different country needs and contexts in regard to DRR. Likewise, ongoing United Nations Development System (UNDS) reform recognizes that stronger integrated planning for risk management capacities will bolster the system's ability to anticipate risks and draw on system-wide assets and expertise. UNDAFs must remain risk-informed to ensure any threats to the SDGs and vulnerable populations are well anticipated and mitigated, and where possible, prevented.

Actions:
- Build UN Country Teams' capacities to understand linkages between DRR (vis-à-vis the Sendai Framework and other programmes and efforts) and the SDGs.
- Promote wider UN Country Team understanding of the Sendai Framework Monitor system .
- Ensure UN Country Team staff have an operational-level understanding of the UN Plan of Action for Disaster Risk Reduction and Resilience, such that implementation in all contexts is both possible and likely.
- Support the mapping of existing services, needs, and actions of the national development plan.
- Ensure that all staff involved in country programming can assess and act on the need to include (where necessary) assistance to support technical capacity development as it relates to project-specific or generalized disaster risk.
- Encourage policies that reduce a reliance on activity-focused and rigidly process-oriented DRR efforts that fail to address CD needs of beneficiaries including the national government, by training staff to view interventions through a capacity development lens.
- Support capacity assessments and use the outcomes of efforts in the design and formulation of programmes and projects so they are more responsive to actual CD issues and gaps.
- Ensure that the goal of CD support is to maximize effectiveness, efficiency, sustainability, and country ownership of its own disaster risk reduction needs by ensuring country level stakeholders can effectively, efficiently, resiliently, and self-sufficiently manage and deliver intended products and services to their target groups
- Support the CD efforts of National Platforms for Disaster Risk Reduction.
- Explore alternative models like secondments and colocation within the Office of the Resident Coordinator or other agencies with related mandates.
- Identify UN entities that should be active in-country to support CD priorities.
- Support Coordinators in proactively and regularly engaging Non-Resident Agencies, ensuring their participation in UNDAF elaboration and UN Country Team meetings.

5: Strengthening External Support Mechanisms

Action Area 5.3: Humanitarian Development Nexus

The compressed timelines and response-focused mandates associated with post-disaster humanitarian work can inhibit opportunities to promote and/or support capacity development for disaster risk reduction. Even when disaster risk management capacity is addressed during post-disaster humanitarian work, the tendency is towards enhancing response preparedness rather than managing risk drivers. At the same time, there is significant overlap between the humanitarian and development communities of practice, and in fact the knowledge, skill sets, and influences are oftentimes similar or the same. From a capacity development standpoint, there needs to be more strategic alignment between the two areas of practice.

Actions:

- Use stakeholder engagement, training and education, and other CD tools to address the lack of understanding of the links between development and humanitarian response that may persist between those engaged in response and those focused on DRR and longer-term development.
- Ensure that academic and other research entities have access to areas where humanitarian interventions are ongoing so that accurate, science-based CD resources may be developed.
- Educate humanitarian stakeholders in the long-term value of incorporating DRR considerations into planning and operations for humanitarian interventions, including those that occur in the immediate aftermath of a disaster.
- Encourage humanitarian partners to emphasize disaster risk reduction and resilience messages at the outset.
- Promote and incentivize engagement of humanitarian partners in the CD process, most significantly in the assessment of capacity, implementation, and monitoring and assessment.

6: Advancing and Expanding Disaster Risk Reduction Capabilities

Action Area 6.1: Education for Disaster Risk Reduction

DRR capacity is developed to a significant degree through the availability of relevant educational opportunities, most notably at the higher-education level. The availability of higher education curricula focused on disaster risk management topics is a relatively new phenomenon, and as such there is wide variability in the coverage, quality, and effectiveness of inventory between countries. At the same time, inclusion of DRR lessons in training and education across a broad array of disciplines (e.g., finance, architecture, urban planning) has increased significantly in the past two decades, and this represents a valuable resource to promote CD. The Sendai Framework articulates the role that education plays in the reduction of new and existing risk in its first priority, "Understanding Disaster Risk". Priority 1 calls for the building of knowledge among government officials, civil society, communities and volunteers, as well as the private sector, through sharing experiences, lessons learned, good practices and training and education on DRR, including the use of existing training and education mechanisms and peer learning. It encourages progress in this area through: the promotion of investments in multi-hazard and solution-driven research in disaster risk management; the incorporation of disaster risk knowledge into formal and non-formal education, civic education, as well as professional education and training; and the promotion of national strategies to strengthen public education and awareness in disaster risk reduction. CD programmes that utilize or support DRR education are understandably hailed for the significant role they play in the achievement of Sendai Framework targets.

Actions:

- Establish a national-level platform to promote and support the development and improvement of higher-education programmes in DRM, including the development of standards of teaching and learning, competency-based curricula, demand-driven coursework, and other support.
- Target education ministry leadership and staff to raise awareness of their role, motivate them to action, and ensure the efforts they initiate or promote are in line with DRR goals.
- Encourage/empower schools (primary, secondary and university) to incorporate resilience programmes that address risk through a multitude of means (e.g., changing the organizational culture, DRR lessons in the curriculum, and instituting enterprise risk management).
- Provide teachers with curriculum materials and training of trainer courses to enable broad-reaching exposure of risk reduction education and messaging.
- Incentivize and support the mainstreaming of DRR into standard curricula.
- Provide the materials and support that enables embedding of DRR materials and messages into existing professional training programmes, including employee on-boarding, staff technical training, and other avenues for entry across all government and societal sectors.
- Establish competency-based standards for key positions that encourage applicants and incumbents to seek and enrol in DRR training and education relevant to their job roles, and that encourage programmes of higher-education and professional training to develop and offer relevant courses and degree-based programmes to source expected vacancies
- Assess DRR research needs and increase availability of financial support to encourage educational facilities to address those needs through training and degree-based programmes.
- Engage with community centres and civil society organizations to identify opportunities for non-traditional engagement of target populations with risk-related messages including on early warning systems (e.g., through community theatre, civic association meetings, public events, and other venues).
- Increase access to education and training using online learning systems.

6: Advancing and Expanding Disaster Risk Reduction Capabilities
Action Area 6.2: Innovation and Use of Technology for DRR

The need to develop and apply innovative DRR solutions is consistently identified as a key area of need in both the literature and by participants in the consultative process. There exist substantial global disparities with regards to the awareness of and access to technologies that promote DRR and enable disaster risk reduction capacity. Moreover, there are insufficient motivators and/or incentives for stakeholders, irrespective of their sector, to actively pursue research, innovation, and development in the areas of science and technology that support DRR capacity. All too often, training, education, and CD in general is based on anecdotal evidence or assumptions rather than on research methods and hard science. Without purposeful investment in this area, including that which supports CD, insufficient capabilities to achieve progress in several core areas of the Sendai Framework will persist.

Actions:
- Promote and incentivize DRR research and development by partners in academia, the private sector, the media, civil society organizations, and others, through action by the national disaster management office or other government entity actively engaged in such efforts.
- Encourage and enable government decisionmakers in key ministries to assess the cost-benefit relationship of public investments in DRR research considering the reductions that may be expected in terms of minimized direct and indirect disaster losses.
- Promote academic investments in research, development, and student scholarship by creating an environment wherein employment prospects among students engaged in research and development viewed positively.
- Engage and support the mass media by enabling media stakeholders to synthesize and communicate innovations and opportunities for research, and the availability and purpose of the products of innovation, to spur the action of other stakeholders.
- Support an economic environment through policy and other methods that incentivize private sector development of DRR-focused technologies either directly (e.g., a promise to purchase products or technologies directly) or indirectly (a policy that ensures a market for such products or technologies) that ultimately serve to increase capacity of one or more target groups.
- Create, improve, or otherwise support platforms and fora by which government and other relevant stakeholders (e.g. private sector, academia.) may work collaboratively to promote and/or invest in DRR as an innovative, practical, affordable, and localized pursuit.

Section 4: Stakeholders and Partners

Effective CD depends on the involvement of all stakeholders, all partners, and all of society. Stakeholders may become involved as a provider of CD assistance, as a recipient of training or some other benefit through interventions, or perhaps a mix of provider and recipient roles. In some cases, this may involve little more than providing leadership, authority, or other forms of support, or receiving exposure to risk reduction messages.

During the consultative process, workshop and survey participants worked to characterize in broad and inclusive terms the CD for DRR roles and responsibilities of each of the following stakeholder categories for which roles and responsibilities are listed:

1. National Government (including elected leaders, parliamentarians, and line ministries)
2. Local and Sub-national Government
3. Private Sector and Professional Organizations
4. Nongovernmental and Civil-Society Organizations (NGOs and CSOs)
5. Academia
6. Individuals and Households
7. Media
8. Regional Organizations including IGOs
9. The UN, International Organizations (IGOs), and International Financial Institutions (IFIs)

Each of the primary stakeholder groups concerned with or impacted by CD for DRR are presented in terms of the expected or likely roles and responsibilities. These are presented to assist stakeholders in recognizing not only the value that is gained through engagement with the DRR process, but also to support a broader understanding of how each may assume greater control of efforts to improve their own capabilities and those of their community or nation, and how the common and collective roles and responsibilities of each are interlinked.

Stakeholder analysis is suggested while developing the national DRR strategy and plan, and as a first step to establish the key partners and stakeholders. Note: the list below is not exhaustive.

Strategic Approach to Capacity Development for
Implementation of the Sendai Framework for Disaster Risk
Reduction

Stakeholder: Local and Sub-national Government

Roles and Responsibilities:

- Promote knowledge and understanding of the Sendai Framework among all offices and all local stakeholders and assess local capacity development needs as dictated by the Sendai Framework priorities.
- Assert and assume local ownership and leadership of capacity development efforts.
- Convene community stakeholders and lead or coordinate locally-based capacity development efforts.
- Perform risk assessments that inform the assessment of capacity needs.
- Coordinate and communicate the results of community-wide capacity needs assessments.
- Support the enabling environment for capacity development through legislation, policies, procedures, budgeting, and strategic planning.
- Support the enabling environment by providing standards, accreditation, technologies, and resources that guide and support planning, assessment, communications, information sharing, and other programmatic needs.
- Integrate capacity development for disaster risk reduction, sustainable development, and climate change adaptation pursuits, and mainstream each throughout all relevant government offices.
- Increase awareness of capacity development needs and the value of reducing them.
- Ensure local activities are coordinated and alighted with those occurring at the sub-national and regional and liaise with national and subnational governments about capacity needs and the support required to address them.
- Provide or otherwise support training and education programmes that address locally-relevant capacity needs.
- Encourage and empower leadership and staff to understand their role in disaster risk reduction and associated capacity needs and provide mechanisms to address those needs.
- Facilitate community-based capacity development initiatives and activities.
- Conduct monitoring and evaluation of capacity development activities.
- Identify capacity resources in the community and engage with stakeholders to further develop or otherwise harness disaster risk reduction capacity.
- Collaboration and coordination among cities.
- Work directly with citizens or support engagement through nongovernmental and private sector organizations to understand and address capacity gaps and/or invest in DRR as an innovative, practical, affordable, and localized pursuit.

Stakeholder: Private Sector and Professional Organizations

Roles and Responsibilities:

- Participate in and complement locally-based and government-led capacity development strategic planning, including capacity assessments.
- Work with government and other stakeholders to identify where research and development needs are greatest.
- Provide products and services that support capacity development, including those that support the capacity development process.
- Coordinate with other private sector entities either in general or by sector and/or geographic area to address common capacity development needs.
- Support community-wide capacity development efforts through corporate social responsibility and fundraising, mentorship, training, secondment, and other programmes and initiatives.
- Build disaster resilient infrastructure.
- Organize and participate in knowledge exchanges.
- Establish sector-specific training, accreditation, and credentialing programmes.
- Contributing to the enabling environment by making infrastructure and technical assets available, and by working with government to formulate policies and practices.
- Identify and establish competency-based requirements in job descriptions to encourage individual and academic-based development of capacity development resources.
- Encourage new and existing staff to participate in individual and job-related capacity development training.
- Work together as a block to encourage disaster risk reduction activities (e.g., land use policies, safety practices, building codes, regulation).

Stakeholder: NGOs and CSOs

Roles and Responsibilities:

- Participate in and complement locally- and nationally-based capacity development strategic planning efforts, including capacity assessments.
- Work with communities of care (especially marginalized and vulnerable groups), government counterparts, the private sector, and other stakeholders to identify capacity development research and development needs.
- Serve as an intermediary as required to ensure wider stakeholder involvement in the strategic planning process.
- Design service-based programmes and other support to address capacity development needs of target populations.
- Coordinate with other nongovernmental organizations either by sector or geographic area to address common capacity development needs.
- Support community-wide capacity development efforts through mentorship, training, secondment, and other programmes and initiatives, especially for special groups such as indigenous, youth, migrant, disability groups.
- Organize and participate in knowledge exchanges.
- Contributing to the enabling environment by making infrastructure and technical assets available, and by working with government to formulate policies and practices.
- Identify and establish competency-based requirements in job descriptions to encourage individual and academic-based development of capacity development resources.
- Encourage new and existing staff to participate in individual and job-related capacity development training.
- Work with target communities to understand needs and to elevate the importance of capacity development.
- Ensure that projects consider capacity development needs and encourage and support national- and local- ownership of capacity development efforts.
- Ensure that capacity development interventions are demand-driven and impact-based.
- Advocate for target populations with regards to capacity development needs to other national and community stakeholders (including government and the private sector).
- Provide technical assistance and training.

Stakeholder: Education and Research Institutions

Roles and Responsibilities:

- Elevate awareness of capacity development needs both internal and external to the academic community.
- Encourage faculty to pursue research that supports disaster risk reduction knowledge and practice.
- Provide curriculum and course offerings that prepare the next generation of disaster risk reduction experts, ensuring that the skills that are taught match the skills that are required.
- Incorporate the disaster risk reduction curriculum beyond tradition disaster risk management courses to include finance, financial risk management, development, planning, public policy, public health, and others.
- Support the identification of key competencies and provide competency-based learning.
- Coordinate with government, the private sector, and civil society organizations to understand and more effectively address training and education needs to meet disaster risk reduction job requirements.
- Develop and provide reliable and audience-appropriate access to courses that serve audiences that fall outside the traditional academic community, including courses with short timeframes, courses utilizing non-technical terminology and concepts, courses that are locally-tailored, and other distinctions that increase interest in courses or otherwise motivate participants to enrol in them.
- Collect and share data and information that supports disaster risk reduction.
- Organize, convene, and participate in conferences, symposia, round-table discussions, and other information exchanges.
- Develop and apply capacity standards and support monitoring and evaluation efforts.
- Develop localized learning materials and provide capacity development trainings that go beyond the student body including specialized courses for professional and government leadership.
- Provide data and knowledge resources that better inform government policymaking.
- Educate and disseminate disaster risk reduction information to students, staff, and faculty.
- Support basic, primary and secondary schools in developing curriculum-based training for students and staff.

Stakeholder: Individuals and Households

Roles and Responsibilities:

- Includes immigrant and refugee populations.
- Commit to lifelong learning by staying informed not only for alerts but also about new developments.
- Build and support a culture of resilience that considers risk management to be every citizen's responsibility.
- Learn what to do as an individual, whether at home, at work, or within the community, to address community-wide risk drivers, and find the time to address capacity gaps through education, training, or other means.
- Encourage family, friends, and neighbours to increase their capacity to address risk drivers.
- Participate in and inform locally- and nationally-based capacity development strategic planning efforts, including capacity assessments.
- Participate in individual and community-wide preparedness training.
- Remain active in local disaster risk reduction efforts through schools, religious organizations, social networks, professional associations and other means.
- Understand risk and vulnerability drivers that impact the community, and demand responsible action to address them by local elected leaders and businesses.

Stakeholder: Media

Roles and Responsibilities:

- Raising awareness, advocacy and motivation of society on DRR
- Extend special programmes for Media staff
- Strengthening linkages with other stakeholders to flow information
- Introduce innovative products for risk information
- Collecting, analysing and sharing information
- All groups to provide information to media
- Maintain a link to academia

Stakeholder: Regional Organizations Including IGOs

Roles and Responsibilities:

- Set the tone for regional action on capacity development.
- Coordinate regional efforts to conduct strategic planning on disaster risk reduction capacity development.
- Lead the implementation of regional capacity development frameworks and strategies
- Establish standards and benchmarks to guide regional action.
- Support member countries by providing funding, training, technical assistance, information sharing, and advocacy.
- Promote national-ownership and sustainability through training-of-trainer and other similarly-focused initiatives.
- Encourage inter-regional cooperation among member countries where similar capacity development needs arise between them and provide implementation support.
- Create an enabling environment through policies, agreements, and regional partnerships.
- Increase integration of capacity development with other related policy goals including sustainable development, climate change adaptation, and others.
- Encourage bilateral collaborations between countries to ensure of transboundary DRR capacity development.
- Identify cooperative capacity development opportunities, including South-South, Triangular, and Peer-to-Peer relationships, and encourage the capture and sharing of lessons learned and best practices.
- Organize and fund regional meetings and regional capacity development initiatives.

Stakeholder: The UN, International Organizations, and IFIs

Roles and Responsibilities:

- Continue to provide global leadership on disaster risk reduction and the capacity development required, including targets, goals, and standards.
- Promote cross-sectoral and transboundary support, cooperation, and coordination.
- Pursue and continue the implementation of existing capacity development programs and promote the use of guidelines and good practices developed within the UN system.
- Provide resources to support monitoring and evaluation of capacity development programmes at national and regional levels as they pertain to the Sendai Framework.
- Provide technical expertise, information, and other guidance and resources to increase the capacity of member countries to better understand disaster risk, reduce vulnerabilities, and adapt to climate change.
- Integrate capacity development activities into all disaster risk reduction projects and programmes.
- Create and maintain knowledge and information management platforms, including for best practices and lessons learned specific to capacity development activities.
- Establish venues for training and sources of funding.
- Expand understanding of the linkages between disaster risk reduction, sustainable development, and climate change adaptation within the United Nations system, and develop corresponding policy, to ensure that all project planning and implementation addresses capacity development both adequately and appropriately.
- Ensure implementation partners address capacity development needs in a coordinated manner and in line with the capacity development principles.
- Ensure that capacity development programmes reach less visible DRR staff that are operating at the local or sub-national levels, or that are working outside the traditional DRM agencies and offices such that the participant pool is expanded both vertically and horizontally.
- Facilitate communication and coordination among members and between regions on capacity development issues of global significance and influence.
- Implement UN Plan of Action for DRR.
- Standardize learning outcomes and delivery but ensure that both are provided in languages (or have adequate translation support) that enable greater local and non-traditional staff participation.
- Identify cooperative capacity development opportunities, including South-South
- Play supporting and brokering roles to ensure a stronger coordination and support to Member States, and avoid duplication and build upon existing programmes and institutions
- Partner with Regional Organizations to provide guidance on standards of terminology and global tools. (e.g. Sendai Framework Monitor)
- Recognize, support and promote use of national/local institutions for continuity of training, and academic programmes. (e.g. for research, documentation)
- Maintain a 'roster' of experts as trained trainers available, focus on training of trainers.

Section 5: Anchors for Effective Capacity Development for DRR

Operationalization of the strategic approach by stakeholders engaged in CD for DRR must be comprehensive and sustained. There exists a need for concerted national planning efforts led by key target outcomes and supported through actionable planning guidelines by which desired results may be met. A "one-size-fits-all" methodology is not possible. As stakeholders gain a more accurate recognition of capacity needs in the DRR context, they must not rush the process thereby negating time-tested assessment and planning methods. The following anchors can help to strengthen and institutionalize CD and the actions required to make it successful.

Promoting awareness of the need for CD at all levels and by all stakeholders, and supporting the development of national and local strategic plans (for capacity development)

National and local governments, through their DRM offices or dedicated DRM platform can drastically increase the reach and effectiveness of CD planning. Greater coordination of CD activities is required. National governments (and local and sub-regional governments where appropriate) can develop comprehensive stakeholder-driven CD strategies that are linked to yet distinct from any national DRR strategy. These CD national strategies would centralize CD efforts and serve a range of important functions including:

- Increase awareness of the Sendai Framework and associated CD activities
- Increase engagement of relevant stakeholders in the CD process
- Coordinate disparate CD programmes and activities
- Reduce or eliminate CD overlaps and gaps
- Provide a platform for information sharing and communication
- Establish common CD principles, goals, and objectives
- Increase national and local ownership and participant buy-in
- Centralize capacity assessment efforts and facilitate the reporting of outcomes
- Promote the building of effective implementation partnerships
- Identify and establish appropriate points of entry for CD interventions
- Standardize the CD process
- Increase access to resources and incentives for action
- Provide common indicators for monitoring and evaluation

Such a strategy would provide consistent and operational guidance for relevant stakeholders. It would enable the translation of the Sendai Framework's broad CD objectives into ground-level actionable directives and activities. It would serve as the basis for identifying capacity assets and for developing capacity enhancement objectives that support the achievement of DRR strategies. The resulting frameworks may help to reveal the types and degree of support required from external partners and increase alignment of national or community-based activities with those occurring in pursuit of other policy agendas (such as CCA or SGDs). While it would be beneficial regardless of the geographic area, such a strategy would increase in importance as the number of stakeholders increases and the field becomes more complex.

A possible approach to anchor capacity development could be to integrate a capacity development plan with the national and local DRR plans as required by the Sendai framework. The trade-off would be that a separate CD strategy would allow a closer engagement of stakeholders specific for CD. The process of engagement is critical, especially convening a broad range of stakeholders to agree on

priorities, to promote a common vision of what the problem is and what the opportunities are, as well as the collective resources available. The plan could be developed by a Committee of stakeholders, which will also monitor the implementation by developing local contextualized indicators. Stakeholders must include those who manage the resources in the governments – the Ministry of Finance and the Budget Office. Should also include Planning Ministry, and other sector Ministries to cover all aspects of development, aiming for Resilient SDGs.

Another option could be for the regional intergovernmental organizations to   articulate regional CD priorities and further supporting countries to assess and their CD priorities.

Establishing nationally-based and Sendai Framework-relevant evaluation indicators that enable measurement of capacity development outputs, outcomes, and impacts

Stakeholder communities engaged in DRR, whether nationally-, sub-nationally-, or locally-based, must establish a set of needs-driven performance measures that enable locally-relevant monitoring and evaluation. This applies to not only the impact that CD efforts have on DRR in terms of progress towards the Sendai Framework goals and targets, but also in terms of the outputs and outcomes of the CD efforts themselves.

Because no two communities of action are the same, and projects are each unique in what they seek to accomplish, there do not exist universal indicators for evaluation and assessment. While stakeholders engaged in CD efforts are likely to have developed performance measures for monitoring and evaluation of their own internal project efforts, they each have much to contribute to the development of national, societal, or community-wide indicators as well. These can form the centrepiece of the national or local CD strategy, as they communicate what all stakeholders are striving to achieve through their efforts.

Indicators as developed should enable evaluation of:

- Output
- Outcome, and
- Impact

Ultimately, it is the impact, as measured against the 38 Sendai Framework Indicators [39] , that determines the success of CD efforts in terms of reductions in disaster risk that occur because of having been performed. However, what can be and is achieved is a function of the capacity gains, and these gains merit their own measures as driven by the goals of CD itself. Appendix 11 includes a number of proposed indicators for monitoring and evaluation of CD for DRR.

The indicators proposed here are for measuring the impact of a CD project or initiative. They are not linked in any manner with the indicators for the SDGs and for the Sendai Framework monitoring. The idea is not meant to increase the work load of governments and development partners, the objective is to ensure that any CD effort is accompanied by simple indicators which can help to measure progress and impact over time. Without a mention, it is often the case that indicators are not part of the original plan for CD, missing out on an opportunity to measure and demonstrate success in CD. This strategic approach recommends that all projects and efforts must have indicators to measure the level of

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[39] http://bit.ly/2iUt1NC.

capacity that has been developed, understanding that CD is a long process. A template will be annexed.

Expanding South-South, Triangular, and other partnership and cooperation opportunities through the creation of a global CD provider marketplace

Given the novel nature of CD efforts in the DRR domain, there exists a lack of strong provider networks at the local, national, and international levels. There are and will continue to be situations where governments and organizations recognize capacity gaps and understand the remaining CD needs but are unable to address those needs. By establishing or otherwise creating a CD provider marketplace(s), implementation partnership opportunities may be greatly expanded. The marketplace could be developed at different levels – local, national and perhaps regional.

Partnership marketplaces have been established for other similar pursuits, such as UNDP-developed SSMART for SDGs. The SSMART for SGDs is a global marketplace and an end-to-end service that provides easy and broad access to demands and supply in development solutions to address challenges that have been identified in achieving the Sustainable Development Goals (SDGs). [40] Structures may be established at the international, regional, and national levels to address challenges that relate to achievement of the Sendai Framework goal. Through such a structure, it will be possible to:[41]

- Enable partners to post demands, search for solutions, share solutions and collaborate
- Help partners, including private sector - banks and businesses, assess demands and facilitate collaboration between each other in seeking or sharing solutions.
- Provide advisory services to partners, including resources and expertise for feasibility studies, adaptation of solutions for a specific context, project implementation, monitoring and impact assessments.
- Encourage and allowing partners to share solutions, post their demands and proactively seek collaborative opportunities and partnerships to create a vibrant marketplace of ideas, expertise, knowledge and technologies.
- Enable partners to map services and demand, collect case studies and good practices, coordinate knowledge management with other groups and networks including Prevention Web, STAG, Youth academy of science, CADRI, SSMart, and more non-traditional groups.

Demystifying Capacity Needs by Providing Nationally- and Locally-Relevant, Sendai Framework-Focused Target Capability Standards

To better understand the capacities that are needed, whether for the purposes of performing a capacity assessment or to design and implement coordinated CD projects and programs, it is necessary to first have an understanding of the competencies and capabilities of the individuals and organizations tasked with DRR-related roles and responsibilities. For most CD stakeholders, actionable and accurate information on these competencies and capabilities is not readily available.

CD partners can work together to develop DRR capability and competency guidelines. Guidelines should be locally- or nationally-relevant to the extent possible, and provide a means to achieve the

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[40] UNDP, 2016.
[41] UNDP, n/d. P. 1.

desired output, outcomes, and impacts of DRR efforts including those aligned with the Sendai Framework. Capabilities are supported by competencies, and are delivered by various combinations of planning, organization, equipment, training, and exercise.

Capability standards allow stakeholders to determine whether or adequate capacity exists, whether in the individual, organizational, or enabling environment levels, to perform a required function or to achieve a desired end state. They are holistic and therefore assess the capabilities of whole communities, societies, or countries in terms of their ability to address needed conditions or conduct necessary actions. In this manner, they enable more focused use of time and resources, and provide confidence in assessments of resilience.

Examples of information that capability standards may provide include:[42]

- Identification and definitions of specific capabilities
- Expected outcomes and impacts of the capability
- Relationships to and influences on and of other capabilities
- The activities, tasks, and measures that must be performed in order for the capability to meet expectations (capability elements)
- Preparedness measures required to ensure capabilities exist
- Performance measures or other assessments to evaluate capabilities
- Capability activity process diagrams and relational maps
- Capability development planning assumptions
- Differentiated capability and capacity measures (i.e., needs distinguishes by community size or hazard profile)
- Relevant capability and capacity standards reference material

Strengthening advancement and professionalization of DRR capacities and capabilities by establishing regional and national CD institutes

Stakeholders identified a critical shortage of educational and training resources to support CD for DRR needs, especially those at the higher-education level. Such training and education needs are not limited to university degree students and in fact stand to benefit those mid-career and leadership professionals who are not enrolled in such programs even more so. While a small number of national governments and academic associations have begun establishing academic platforms that could better support advancement and professionalization of DRR capabilities, there remains much room for action in this area.

Whether through a country's national DRR platform or by cooperative agreement between academic and training institutions that provide relevant course offerings, centralization of curriculum development and course offerings is an implementation solution that carries significant promise. Like the marketplace of providers mentioned above, such 'institutes' could facilitate the connection of providers of education and training with the individuals and organizations for which training is an identified need.

The infrastructure around which such an institute is built could vary in size according to the needs and resources of the stakeholders that create it, centring on such functions as administration, hosting of

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[42] US Department of Homeland Security, 2007. Pp. 6-9.

technological solutions, storage or materials and coursework, granting of certifications, and other related tasks (e.g., marketing and outreach). However, the effort could and perhaps should remain user driven, with the communities of stakeholders engaged in DRR best equipped to develop guidance documents, texts, lectures, courses (including downloadable course content for instructors to adopt), and other resources to support standards- and needs-driven CD. Such institutes could also serve as platforms by which stakeholders assess and address professionalization needs and opportunities and push the agenda among academic and other partners.

Anchoring through United Nations Engagements

The implementation of the global CD strategy requires appropriate coordinating mechanisms, agreed by partners. Several points of coordination are possible, depending on the nature of the partnership.

For UN agencies potential possibilities include:

1. **UNDAF (and other UN strategic partnership frameworks)**: The UN Development Assistance Framework (UNDAF) will by 2019 become the single most important mandatory United Nations tool for planning and accountability for results.[43] UNDAFs will need to be risk-informed, to ensure that any threats to the SDGs and vulnerable populations are well anticipated and mitigated, and where possible, prevented[44]. This positioning of the UNDAFs provides a unique opportunity for coherent and sustained CD. In case CD for DRR is not reflected in the UNDAF, it is an opportunity missed.

   At the time the UNCT develops the UNDAF (and other UN strategic partnership frameworks for non-UNDAF countries), CD needs of the government must be determined through consultations and a detailed capacity needs assessment through CADRI or other available mechanisms (when possible). An approach towards CD for the needs identified can be developed as part of the UNDAF and through the Common Country Analysis, which informs the UNDAF. The process will help identify partners for implementation. UNDAF and CCA are implemented in 129 countries and approximately 20 per year. UNISDR will provide advisory services, as required.

   The link with Common Country Assessments and UNDAF could be a model to reflect coherence across 2030 development agendas, which could be an inspiration of national and local policies. The national DRR plans and strategies should be linked with the UNDAF, ensuring the capacity development needs of both government, and the UNCT are reflected. This option moves Sendai from "disaster risk management sphere" to "development sphere".

   A similar approach will be used for **UN System Strategic Approach on Climate Change Action[45]**: Through the implementation of the impact area – Climate Resilience and DRR, which calls for joint CD for risk informed development. This impact area will be pivoted through the UNDAFs, which can be the entry point for coordinating the CD strategy, amongst partners, as

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[43] United Nations General Assembly, 2017b.
[44] From: Repositioning the United Nations development system to deliver on the 2030 Agenda: our promise for dignity, prosperity and peace on a healthy planet, Report of the Secretary-General
[45] https://www.unsceb.org/content/un-system-strategic-approach-climate-change-action-0

well as with the national government. This approach involves close coordination and collaboration with UNDG.

Similarly, the proposed analytical framework on risk and resilience[46] has suggested a systems-thinking approach, a risk and resilience equation, and a prevention lens to guide the implementation of these measures within the UN system.

2. **United Nations Plan of Action on Disaster Risk Reduction for Resilience: Towards a Risk-Informed and Integrated Approach to Sustainable Development (UNPoA)**: The UNPoA identifies three key results of **Commitment 2** Build UN system capacity to deliver coordinated, high-quality support to countries on disaster risk reduction:

> **Result 2.1**: UN system and related organizations have intensified their capacity to support countries to integrate disaster and climate resilience into national, sectoral and local development strategies and plans that are aligned with the Sendai Framework.
>
> **Result 2.2**: UN system, related organizations and UN Country Teams (UNCTs) have strengthened their ability to effectively support national and local communities in early warning, preparedness, response and recovery.
>
> **Result 2.3**: Disaster risk and climate information that is compliant with disaggregation requirements of the SDGs and the Sendai Framework, informs all complete or partial UNDAFs and other UN Development Partnership Frameworks.

Reporting of the implementation of the three results of the UNPoA by the UN agencies could become a mechanism to coordinate the global CD strategy by adhering to the CD principles as identified in the strategic approach, as pillars for reporting on the three results. Though it is an internal UN tool, the objective is to recognize the potential of this as a mechanism to monitor the link with CD in UN actions.

To operationalize these proposals UNISDR may organize a meeting on the implementation of the Strategy with all UN DRR Focal Points, after launch of the Strategic Approach.

For coordination with national governments, possibilities include:

1. **CD for DRR Platform (Marketplace)**: An online platform developed to provide a marketplace where service providers can connect with governments requiring specific CD services – this will be an attempt to help demand meet supply. The demand side being the governments, and the supply side being the service providers. This could be modeled on **SS Mart for SDGs**[47]. The platform is envisaged to also include space for sharing of best practices, lessons learned, mapping of partners (an on-going process), making it a "living" platform. The platform will be designed so it can link with networks of partners and tap into the networks to help disseminate "demands and requests" and link up with possible service providers through the networks of our partners.

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[46] http://www.unsceb.org/CEBPublicFiles/RnR.pdf

[47] http://global-ssmart.org/en

2. **The Sendai Monitor**: The governments, through the national Sendai focal points, will be asked to report on the adherence of the strategic approach within the country. (Relevant custom nationally determined indicators). The Sendai Monitor tools (custom indicators portion) can help governments develop plans for DRR, detailing activities to be undertaken to achieve the resilience desired in the Sendai Framework. Projectization of the activities defined under the DRR plan will help develop a finance mechanism for the plan. The custom indicators also ask for dedicated CD plans or policies and can involve local governments.

Indicators relevant for this action:

> **Custom Nationally Determined Indicators:**
> **5. DRR education, awareness raising and CD[48]**
> **I-20**: Mandatory Education: Are disaster risk knowledge (disaster mechanism, DRR measures and emergency preparedness) incorporated into the national educational curriculum at primary and secondary levels? (Y/N)
> **I-23**: CD for government official: Are there dedicated plan or policy to strengthen the DRR capacity of public officials at both national and local levels? (Y/N)
> **I-24**: CD for civil and private sector: Are there a dedicated plan or policy to strengthen the DRR capacity of civil and private sector? (Y/N)
>
> **4. Accountability and liability**
> **II-15**: Capacity Review: Does the national government carry out assessment of the technical, financial and administrative DRM capacity to deal with the identified risks at national and local level? (Y/N)
>
> **Global Targets:**
> **Global target F:** Substantially enhance international cooperation to developing countries through adequate and sustainable support to complement their national actions for implementation of this framework by 2030.
> **F-7**   Number of international, regional and bilateral programmes and initiatives for DRR-related CD in developing countries.

The role of regional inter-governmental organizations can be important. Regional strategies can help develop and adopt custom indicators relevant to the region. The regional IGOs can ensure all their members report on the global target on CD, F7, and on the custom indicators. They can also play a role in linking the members to the marketplace. A similar role can be played by regional and national training institutes.

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[48] The term 'capacity building' has been replaced with 'capacity development' for consistency and clarity. There are fundamental differences between these two terms, but these differences have little impact on the content of this document. See Section 2 for more information on the differences between capacity building and capacity development.

Next Steps

At least one year of rollout is likely to be required prior to implementation of the Strategic Approach to ensure its success. Rollout will include actions (seminars, orientation sessions, advocacy, pilots for testing) that ensure national governments, UN agencies and country teams, and other partners possess an adequate understanding of the approach. Further events will be organized at the Regional Platforms for DRR.

The process may include organization of pilots in select countries in coordination with UNDOCO, focusing on countries engaged in development of UNDAF, and other countries keen to pilot. The role of regional inter-governmental organizations to adapt to the regional context, and monitor progress is important and can be explored in the pilots. The pilots will investigate the role of CD for DRR in Induction Training for Resident Coordinators.

To enable a more user-friendly version of the strategic approach the document will be made available online, in modular form, so users can select and download portions relevant to their context and needs. The proposed online platform will also have space for possible entry points, such as the EC's Civil Protection Mechanism, SDG Task Forces (e.g. in the Pacific), regional strategies and others. The online platform will include the Marketplace, examples of strategies, best practices, links to guidance on "how to implement DRR", tool, etc. It will make the strategic approach a "living document". Focus would be to provide a menu of options for countries looking at CD for DRR. For the services and products offered in the Marketplace, a system of peer validation will be established, to enable users to rate the products/services they have utilized. The Marketplace will also have space for new ideas and innovations.

Additionally, efforts will be made to disseminate the approach amongst SDG, climate groups and networks. The idea of Science and Technical Advisory Group (STAG) supporting the development of standards and accreditation will be explored.

Appendices

Appendix 1: Relationships Between the Strategic Approach and the Sendai Framework for Disaster Risk Reduction (Sendai Framework)

Relationship to Sendai Framework for Disaster Risk Reduction (DRR)

The Sendai Framework for Disaster Risk Reduction establishes one main goal, four priorities for action to address global disaster risk, and seven global targets with indicators to measure success along those lines. These broad-sweeping objectives give rise to several actions and activities for which a broad array of capacity needs has arisen. The Strategic Approach is structured around meeting these DRR-specific CD needs, most notably those that have been identified by stakeholders involved in the consultative process as being most critical to impacting implementation progress.

Relationship to Sendai Framework "Words into Action" Guides (WIA)

The Words into Action [49] Guide aim to provide practical guidance on implementing the Sendai Framework across a number of topics, with advice on and useful strategies for implementing the actions required to meet stated objectives. Whereas Words into Action tells stakeholders what they can do to implement the Sendai Framework, the Strategic Approach tells them what is needed to most effectively identify and address the resource, capability, and competency requirements of those actions.

Relationship to the Sendai Framework Monitor

The Sendai Framework Monitor is an accountability tool to assist countries in monitoring, assessing, and evaluating progress and challenges in the implementation of DRR at the global and national levels. The Strategic Approach supports UN Member States' progress towards the meeting of implementation indicators captured by the Sendai Monitor by helping the relevant stakeholders to identify and address required capacity (capability, competency, and resource) gaps.

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[49] Words Into Action Implementation Guides for Sendai Framework build upon the experience of the development and use of the similar "Words into Action" guide created during the Hyogo Framework for Action decade, which ran from 2005 to 2015. http://bit.ly/2Ch6SRi

Appendix 2: The Consultative Process and List of Consultations

An initial discussion towards the development of this document was facilitated by UNISDR during the 2017 Global Platform for Disaster Risk Reduction in Cancun, Mexico. The discussion was attended by over thirty DRR stakeholders from national and local government, national training institutes and academia, nongovernmental organizations, UN and other relevant actors and experts.

The participants acknowledged the great demand for CD for implementation of the Sendai Framework, and identified gaps in the existing initiatives. The discussion was open and focused on all areas of CD for implementation of the Sendai Framework, including possible areas of priorities such as the use of risk information, risk-informed development plans and strategies, Sendai Framework monitoring, understanding the links between DRR and development, among others. Participants called for regional consultations to further identify CD needs as well as to understand existing strengths and capacities.

Between July and November 2017, regional consultations were convened by the UNISDR Global Education and Training Institute (GETI) in collaboration with the UNISDR regional offices. The consultations brought together over 150 representatives of 38 Member States, 14 local government authorities and city networks, 14 UN and international organizations including from country teams, 12 nongovernmental organizations, 10 intergovernmental organizations, 7 academic and scientific organizations, and 4 private sector entities.

The two-day in-person consultations sought to understand the most urgent CD needs for Sendai Framework implementation and disaster risk sensitive development planning among countries. The consultation was designed to highlight gaps and opportunities, consult on the most appropriate solutions to address the evolving needs, and establish a way forward to support CD for DRR programming.

An instrument developed by UNISDR GETI for the consultation purpose included indicators selected from draft custom nationally determined indicators of the Sendai Framework Monitor to stimulate understanding of implementation requirements. In groups, participants discussed the capacity needs and obstacles to implementing the actions required to achieve the aspirations of the Sendai Framework. Through this process, participants understood the magnitude and scale of the task ahead of them to implement and report progress on the Sendai Framework.

The first day provided a facilitated understanding of the full dimensions of CD and identified critical or priority needs of UN Member States, as well as obstacles. The second day validated common principles, identified existing approaches, and proposed solutions and partners for sustainable CD. The outcomes of the consultation have been used as the basis for this document.

The in-person consultations were complemented by online consultations undertaken primarily in November 2017 which sought additional national government, expert and stakeholder views on the obstacles, most urgent needs, principles, proposed approaches and partnerships for sustainable CD. The online consultations further validated and elaborated the priority areas identified during the in-person consultations.

Online consultations occurred in two formats: (i) a short online survey sent to targeted stakeholder groups such as the UNISDR Science and Technology Advisory Group (STAG), the Private Sector Alliance for Disaster Resilient Societies (ARISE) and the Global Network of Civil Society Organisations for Disaster Reduction (GNDR); (ii) a longer survey sent to additional national government

representatives, CD experts and stakeholders involved with the CD needs of countries with whom follow-up calls for individual interviews were made.

A global expert consultation was conducted upon completion of a zero draft of the document in Geneva on 14-15 March 2018. Over 100 stakeholders including representatives from UN Member States, regional intergovernmental organizations involved in CD, members of the UN DRR focal point group, CADRI, STAG, the ARISE Board, Global Risk Assessment Framework experts, and others, were in attendance. This meeting enabled a thorough critique of the document and validation of the guidance proposed. Implementation and monitoring strategies were identified and mechanisms for partnership coordination were established.

The current total of participants in the consultation events is 328.

List of Consultations

Region(s)	Event	Location and Dates	Members States	Stakeholders
Global	Discussion: Global Capacity Development Strategy for Implementation of the Sendai Framework for Disaster Risk Reduction *(56 participants)*	23 May 2017, 2017 Global Platform, Cancun, Mexico	Australia, Bosnia and Herzegovina, Croatia, Egypt, Guatemala, Kuwait, Lebanon, Mongolia, South Sudan, Swaziland, Sweden, Zambia	*Local government*: La Plata, Argentina, Tecoluca, El Salvador; Aqaba City, Jordan; Chiapas, Mexico; Iriga City, Philippines; *IGO*: CEPREDENEC, DPPI-SEE, Pacific Community *NGO*: ASB, CANEUS, CBM, GNDR, CMB New Zealand, Fundación todo tuyo Maria Riadis, Panama; *UN and International*: ADPC, CADRI, FAO, GFDRR, UNDP Indonesia, UNICEF, UNESCO, WHO, *Academia*: CUDRR+R, CEPED Brasil, REDULAC/RRD, University of Alabama in Huntsville, Nagasaki University, Massey University / Joint Centre for Disaster Research, *Private Sector/Foundations*: Instituto de Gestión Desarrollo y Negocios, Bill and Melinda Gates Foundation, RESILIENT/CITY
Africa, Asia	Consultation during the KOICA-UNISDR Joint Fellowship Programme module on the Understanding the Sendai Framework at National Level: Development of Risk Reduction Strategies and Plans *(18 participants)*	5 July 2017, Incheon, Republic of Korea	*Africa:* Cameroon, Ghana, Mozambique *Asia:* Indonesia, Philippines, Sri Lanka	*N/A*
Arab States, Asia	Consultation during the Training of Trainers Workshop on the Understanding the Sendai Framework at Local and National Level *(15 participants)*	18-20 July 2017, Incheon, Republic of Korea	*Arab States*: Lebanon	*Arab States:* *UN:* UNDP Lebanon, UNDP Tunisia, *Local government:* Union of Municipalities of Zghorta, Lebanon; Khartoum State, Sudan; Makati City, Philippines; Incheon, ROK; *NGO:* Center for Environment and Development for the Arab Region and Europe, Egypt; Osman Ahmed Osman Institution, Egypt *Asia:* South & Southwest Sub-region United Cities and Local Governments Asia Pacific (UCLG ASPAC); Municipal Association of Bangladesh-MAB & Bangladesh Union Parishad Forum (BUPF); Association of District Development Committees of Nepal (ADDCN); AIILSG;

Arab States	Arab States Consultation: Capacity Development Strategy for Implementation of the Sendai Framework *(14 participants)*	9-10 October 2017, Abu Dhabi, United Arab Emirates	Lebanon, Palestine, Sudan, Tunisia, United Arab Emirates	*Local government:* Aqaba, Jordan *IGO:* League of Arab States (LAS)
Africa, Americas, Arab States, Asia	Consultation during the Training of Trainers Workshop on the Understanding the Sendai Framework at National Level: Development of Risk Reduction Strategies and Plans and Introduction to Monitoring *(24 participants)*	17-18 October 2017, Incheon, Republic of Korea	*Africa:* Ethiopia, Kenya, Liberia, Mauritius, Swaziland, Zambia *Arab States*: Tunisia *Americas*: Argentina, The Dominican Republic, Guatemala, Paraguay	*IGO*: African Union (AU), Central American Centre for the Coordination of Natural Disasters (CEPREDENAC); *Local government:* Catbalogan City, Philippines *NGO*: Asian Disaster Preparedness Center Academy (ADPC), Egyptian
Americas	Americas Consultation: Capacity Development Strategy for Implementation of the Sendai Framework *(22 participants)*	26-27 October 2017, Panama	Argentina, Colombia, Costa Rica, Ecuador, Guatemala, Nicaragua, Paraguay, Saint Lucia, Uruguay	*IGO:* CEPREDENAC, CDEMA, CAN, EU/ECHO *Academia:* Consejo Superior Universitario Centroamericano (CSUCA); Latin American and Caribbean Network of Universities for DRR (REDULAC) *UN:* UNDP LAC; IFRC *NGO:* GNDR LAC
Africa	Africa Consultation: Capacity Development Strategy for Implementation of the Sendai Framework *(4 participants)*	Incheon, Republic of Korea	Mauritius, South Sudan	*IGO*: IGAD
Asia and the Pacific	Asia-Pacific Consultation: Capacity Development Strategy for Implementation of the Sendai Framework *(16 participants)*	6-7 November 2017, Bangkok, Thailand	Australia, Mongolia, Vietnam, Thailand	*IGO:* ASEAN, ECO; *UN & International:* IFRC Regional Centre; UNDP Bangkok Regional Hub, UN Women Vietnam, OCHA Regional Centre; *Private sector:* ARISE Japan *NGO:* ADPC, Duryog Nivaran, SEEDS
Online	Online consultations towards the development Global Capacity Development Strategy for Implementation of the Sendai Framework	November-December 2017	Bosnia and Herzegovina, Cote d'Ivoire, The Gambia, Ghana, Maldives, Nepal, Sierra Leone, Swaziland, and (2) anonymous.	*5 Academia working in:* Perú, Iran, Japan, Mauritius, the Philippines. *3 Local government of:* the Philippines, Uganda. *20 NGOs working in:* Afghanistan, Argentina, (2) Bangladesh, Burundi, Central African Republic, El Salvador, Haiti, Irak, Jordan, the

	(2 surveys, one with follow-up interviews) *(49 total participants; 44 surveys only; 5 surveys with follow-up discussion)*			Philippines, Nepal, Nigeria, Pakistan, (2) Peru, Somalia, South Sudan, Sweden, Syria, Turkey, United Kingdom, (2) United States, and (2) anonymous. *2 Private sector working in:* Mauritius, globally. *4 Regional organizations working in:* East Africa; Pacific Region; (2) South and Southeast Asia.
Global	Global expert consultation on the zero draft of the Global Capacity Development Strategy in support of the implementation of the Sendai Framework for Disaster Risk Reduction *(110 participants)*	14-15 March, 2018	Argentina, Australia, Azerbaijan, Belgium, Bolivia, Brazil, Colombia, Czech Republic, DPRK, Egypt, Georgia, Ghana, Greece, Holy See, Indonesia, Japan, Jordan, Lao PDR, Lebanon, Madagascar, Mali, Mexico, Mongolia, Montenegro, Morocco, Nepal, Nigeria, Peru, Philippines, Portugal, Russian Federation, Senegal, Slovakia, South Sudan, Sri Lanka, Sweden, Switzerland, The former Yugoslav Republic of Macedonia, Uruguay, Uzbekistan, Venezuela	Asian Disaster Preparedness Centre (ADPC), Bahá'í International Community, Capacity for Disaster Reduction Initiative (CADRI), Caribbean Disaster Emergency Management Agency (CDEMA), Centro de Coordinación para la Prevención de los Desastres Naturales en América Central (CEPREDENAC), CIMA Foundation, DRI International, Economic Community of Central African States (ECCAS), Economic Cooperation Organization (ECO), European Commission DG ECHO, Expertise France, FAO, Florida International University, Global Network of Civil Society Organisations for Disaster Reduction (GNDR), IFRC, IGAD Secretariat, ILO, Information and Knowledge Management for Disaster Risk Reduction (IKM4DRR), International Council for Adult Education, International Training Centre of the ILO, IOM, ITU, League of Arab States, Lund University, Making Cities Resilient Advocate, Pacific Community, Pacific Disaster Center, Peri U and Makerere University, Platform for Disaster Displacement, Public Health England, STAG and Indonesian Institute of Sciences, Switzerland Centre for Education and Research in Humanitarian Action, The University of the South Pacific, UN Environment, UN Major Group for Children & Youth, UN OCHA, UN WOMEN, UNDOCO, UNDP, UNECE, UNESCO, UNFPA , UNISDR, University of Geneva, UNSSC, WFP, WHO

Appendix 3: Select Capacity Development Planning Tools

1. CADRI Capacity Assessment Tool: http://www.cadri.net/en/cadri

2. UNDP "The Process of Capacity Development": http://bit.ly/2kHQQso

3. World Bank "Capacity Development Results Framework": http://bit.ly/2By2VrA

4. JICA Capacity Development Guideline / Manual: http://bit.ly/2AVFK9T

5. JICA Capacity Development Handbook: http://bit.ly/2BhKmdP

6. Government of Rwanda Capacity Building Toolkit: http://bit.ly/2yVsuR0

7. UN Major Group for Children and Youth "Seeds for a Safer Tomorrow Toolkit": http://bit.ly/2EBNC1x

Appendix 4: Capacity Development Obstacles

- **Insufficient understanding or appreciation of DRR-specific capacity development needs**

  The initial challenge many stakeholders confront, and likewise one of the principal drivers behind the drafting of this Strategy, is the fact that there exists insufficient understanding and appreciation of the capacities required to bring about DRR and the methods that exist to build them. In other words, it is often the case that CD for DRR does not occur because stakeholders don't know what to do, or they don't believe it to be necessary. A large part of the problem stems from the fact that most CD research focuses on general economic and social development needs and not on DRM or risk reduction, and that there exists a continuing lack of understanding regarding the definition and scope of CD as a field and as an approach.[50] This has collectively led to a shortage of "robust, evidence-based guidance on how capacity for DRM can be generated at the national and local levels effectively".[51] At the same time, a lack of appreciation for the importance of CD for DRR activities has translated to insufficient dedication of dedicating human, financial, and other resources to such efforts, and has stymied efforts to develop concerted and coordinated CD plans.

- **Over-reliance on training and education**

  Where CD for DRR is occurring, there is an overwhelming emphasis on providing individuals with training and education while neglecting the organization-level and enabling environment needs and structures.[52,53] Training and education are critical component of CD efforts in that they can help to raise awareness of key issues, impart the knowledge required to act appropriately and effectively, and enable appropriate technical and administrative skills. They are generally easy to design, develop, and conduct, recipients are typically willing and oftentimes highly motivated to participate, and positive results can be quickly achieved. However, excessive focus on the capacity of individuals impacts sustainability when staff turnover and attrition results in an immediate loss of institutional knowledge.

- **A lack of access to or existence of facilities, programmes, or resources to support awareness, knowledge, and skills**

  While the research shows that most CD for DRR efforts are focused on providing training and education, there is also a scarcity of facilities, programmes, or resources equipped to support development of the awareness, knowledge, and skills required to achieve DRR objectives. Without such facilities and programmes in place, DRR-relevant staff and stakeholders are unable to easily address their knowledge and skills gaps. This results in persistent and increasing reliance on international development organizations and donors for such needs, and likewise the extent

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[50] Morgan, 2006. P.2.
[51] Few, 2015. P.9.
[52] Hagelsteen and Becker, 2014. P.94.
[53] Morgan, 2006. P.4.

to which end users can influence or direct their own education and training remains limited. Although a major source of these challenges is the shortage of accredited and quality-assured training programmes in the DRR Sector,[54] it is at times just a lack of materials in a language understood by stakeholders. It is also the case that CD project reports are not often published, and those that are commonly have the results omitted (thereby preventing peers from identifying good practices and lessons learned to incorporate them into their own efforts.)[55]

- **Failing to provide access to or support for disaster risk reduction capacity development opportunities for staff that are not traditionally involved in Disaster Risk Management (DRM)**
  Even where CD for DRR activities are being pursued, they are typically concentrated within and on the needs of those departments and agencies most closely affiliated with, responsible for, or focal point for governmental DRM (e.g., national or local offices of emergency management). Other individuals, agencies, or organizations that do not play as obvious a role but are nonetheless critical, such as elected officials, other line ministries (e.g., finance, agriculture, education, national statistics) planning agencies or departments, humanitarian organizations, private sector entities, and others, are excluded from crucial capacity and capability gains. The same is often true of DRR policy and legislation that is too closely focused on the needs of the DRM system and on disaster response and recovery activities in lieu of approaching DRR from a more comprehensive, integrated, and all-of-society vantage.

- **Insufficient availability of resources (Human, technical, financial, other)**
  Competition for both financial and human resources is a persistent challenge in almost all DRM matters, and the resourcing of CD efforts is no exception. Insufficient resources also extend to technologies, tools, equipment, information, data, and other resources. Without proper incentives or recognition of some future returns, there is little appetite to motivate investment in such resources by private sector entities and academic institutions.

- **Little or no local ownership of capacity development programmes and projects**
  One of the most commonly-cited obstacles to CD for DRR is a lack of local ownership in the programmes themselves. It is a common criticism of all CD programmes that external partners and donors dominate program design, methods selection, identification of targets, and other aspects. When recipient community stakeholders are not involved throughout the entire project cycle, or do not feel that they are influential or able to contribute to the process, acceptance and motivation both suffer. From an effectiveness standpoint, ownership is also important because efforts

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[54] Hemstock, et.al., 2016. P. 16.
[55] USAID, 2010. P. 10.

are less likely to target needs accurately and in fact often do no more than alleviate the inadequacies and constraints perceived by the donor or partner.[56]

- **Insufficient focus on sub-national capacity**

  An International Red Cross and Red Crescent Movement (IFRC) assessment of CD for DRR needs found that efforts have largely ignored the sub-national levels of government (states, provinces, etc.) even as local government levels have seen an increase in attention. This "missing middle"[57] as it is called is found to be problematic given the leadership and coordination value of subnational government in driving a policy agenda like that of DRR and considering opportunities to integrate local and subnational programmes. Also, there are lost opportunities where capacities, policies, and procedures at the national and local level do not coincide or coordinate with those at the sub-national level.

- **A lack of standardized indicators for the evaluation of disaster risk reduction capacity development efforts**

  Progress in the improvement and expansion of CD for DRR efforts is challenged by the fact that there are few tools by which programmes and practices may be assessed according to their impacts. As is often true with all CD projects, especially those funded or performed by external partners, reporting systems are much more likely to consider whether project goals have been met than whether the project had an impact on DRR capacity. Another common problem is that reporting systems often limit the scope of their measures in such a way as to reinforce a very narrow view of CD.

- **Lack of general awareness and knowledge of risk drivers and the role stakeholders play in societal disaster risk reduction (including at the local level and among the public)**

  A large component of CD efforts are guided by a common awareness of the need for such efforts, as well as their own awareness of how stakeholders' own activities and the activities of others contribute to risk. For instance, if there exists insufficient public awareness of the importance of environmental buffers (e.g., coastal mangroves to absorb storm surges), there will not be a strong public call on government and other stakeholders to acquire the human and other resources to promote and protect such resources. There will also be a lack of outrage against those who act, legal or otherwise, that damages or destroys those DRR resources.[58] As is true in many respects, public funding and other public

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[56] Oxford Policy management, 2010. P. 3.

[57] Few, 2015. P. 10.

[58] This issue was described by Raymond Burby in *Cooperating with Nature: Confronting Natural Hazards with Land Use Planning for Sustainable Communities* (1998) (http://bit.ly/2BKLNPN) where it was stated that, "local governments are responsible for approving development projects and building plans and they are the front-line of risk reduction in planning and building. However, many local governments, especially in smaller towns or poor districts, do not have adequate staff with the adequate technical capacity [to do so]."

and private investment on CD will closely track the public sentiment and the public and policy agendas. Citizens and stakeholders alike need to understand and appreciate the risks that exist and the opportunities that exist to address them to react appropriate to information on CD needs.

- **A lack of understanding of existing legal instruments**
  Knowledge and understanding of the various legal instruments guiding DRR, and of the legal instruments guiding other policy pursuits that are linked to DRR in some manner, may be lacking among some or all of the relevant CD stakeholders. Such linkages are not always apparent, and partnerships between the different communities of stakeholders engaged in the various pursuits may not be well-established. Such instruments and endeavors exist at all levels from the most local to the global-international (e.g., conventions and agreements instituted under the United Nations umbrella). It is important that relevant national CD plans and strategies for DRR refer to and include such linkages with other relevant policy areas for DRR, development, and other strategies, including capacity assessments and the crafting of action plans.

- **A focus on non-conflict areas**
  Post-conflict areas and the people that live within them are highly vulnerable to the effects of natural hazards. The conflict is likely to have reduced or eliminated institutional knowledge on DRR practices, diverted funding for mitigation programmes, and severely weakened the vital enabling environment within which DRR efforts become possible. These areas are thus where CD for DRR needs are most comprehensive and most urgent. However, the focus of CD FOR DRR efforts have thus far been on non-conflict areas[59]. Even when efforts do focus on post-conflict areas, the fragility of the communities targeted and the institutions and organizations within them are typically less capable of taking a lead role in program planning, design, and conduct. This leads to an ongoing cycle of vulnerability and disaster that stand in the way of post-conflict recovery and development.[60]

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[59] Lucas, 2013. P. 10.; UNDG, 2017.
[60] Few, 2015. P. 10.

Appendix 5: Driving Principles of Effective Capacity Development[61]

- **Efforts are Guided by a Common Understanding (of terms, concepts, standards, and norms)**
  The research, development, and practical application of CD for DRR remain relatively new endeavours.[62,63] As such, there exists only partial coherence between practitioners and programs, and acceptance of a common set of terms and concepts has yet to occur. Because professionalization in any field is time-intensive, emergence of a common global consensus is unlikely in the near term. Even in the absence of a common doctrine, however, individuals and organizations working together in pursuit of CD for DRR can improve their coordination and cooperation by identifying, agreeing upon, and adopting a common understanding and consistent use of terms and practices. In doing so, conceptual discrepancies and miscommunication will be minimized.

- **Efforts are Coherent Within and Between Levels (National, Sub-national, and Local)**
  In order to avoid wasting of resources, duplication of efforts, and conflicting priorities, it is important that national-, sub-national, and local-level actors and processes are cognizant of programs and activities that are being planned and conducted in pursuit of CD for DRR. In this manner, it is possible to bridge capacity and communication gaps that commonly exist between national and local levels.[64]

- **Efforts Pursue an "All-of-Society" Approach**
  The development of DRR is the concern of an entire society, and the interactions between the CD efforts of different individuals, entities, organizations, institutions, and sectors can drastically influence how risk reduction occurs and what successes may be achieved. Programming efforts should consider how their efforts may apply broadly across multiple stakeholders (whether populations, agencies or organizations, professional disciplines, or levels of government), and should consider how cross-sectoral combinations may result in synergistic movement towards common goals. The perspectives of both those with expertise or resources to provide CD and those who are vulnerable and affected by disasters are valuable not only in planning but also in terms of the longer-term relationships created. All stakeholders, including government, national partners, UN agencies, nongovernmental organizations and private sector entities, should be considered, and programming should seek ways to improve stakeholders' capacity to interact with each other.

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[61] Also see Appendix 8
[62] Hagelsteen and Burke, 2016. Pp. 43 and 44.
[63] Morgan, 2006. P.2.
[64] Few, 2015. P. 15.

- **Efforts are Goal-Driven, Impact-Focused, and Transformative**

  CD programming must identify clear objectives and expected outcomes that can be judged to make a lasting impact on coherent implementation of national DRR plans and policy, including the Sendai Framework and the 2030 Agenda. Goals need to address both the capacities themselves and the impact of their existence. Identification of effective assessment indicators through which progress and impact may be measured will be contingent on the existence and clarity of these targets. Stakeholders should consider both the outcome-level objectives (Capacity for why? Capacity for whom? Capacity for what) and the output level objectives (Capacity for how well to do what?) in their planning.[65] Because CD is a process of change, goals and impacts must address a greater overall transformation wherein DRR is improved or becomes possible over time rather than as a one-off intervention.

- **Efforts are Demand-driven and Needs-based**

  CD programming must align not just with what capacity assessments identify to be gaps or shortfalls, but also with what stakeholders and target audience desire. There are oftentimes many ways to achieve capacity, and the most effective of these will typically be that which is familiar to and preferred by the individuals and organizations for which change is sought. CD programming must also consider what is needed in light of existing capacities and ongoing programmes. Neglecting to address needs according to these two factors will at best waste limited resources, but at worst result in the creation of parallel structures and counterproductive outcomes. Conformance with this standard requires both the knowledge of and adaptation to local conditions, beginning with identification of the requirements and performance expectations of the individuals or organizations supported.[66] This includes consideration of cross-sector issues including gender, marginalization, and economic inequality. A well-planned capacity assessment that enables identification of both demands and needs is a critical tool.

- **Efforts are Strategic and Sustainable**

  CD programming must support the strategic implementation of national and sub-regional policy and programming,[67] and do so in a manner that promotes long-term sustainable results. Rather than presenting as an afterthought of DRM policy pursuits, or as a stand-alone measure, it is most effective when embedded in strategy formulation.[68] It should be integrated systematically in programming, starting from the analysis of needs through implementation, operations, and monitoring and evaluation, avoiding insomuch as possible the emergence of parallel structures

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[65] UNDG, 2017. P.10.
[66] CADRI, 2011.
[67] E.g., implementation of national and local disaster risk reduction plans and policies, SDGs, the Sendai Framework for Disaster Risk Reduction, the Paris Agreement on climate change, sustainable economic development)
[68] CADRI, 2011.

and mechanisms. Where integration of DRR, SD, and CCA has been achieved, CD programming should conform to those efforts, and speak to those partners, to the extent possible. While short-term results are recognized for their importance both in terms of improving lives and building motivation, it is important that efforts seek longer-term results that enable lives to be improved long after any program or project has ended. Interventions may be scheduled in such a way as to alleviate pressure to show visible results without undermining longer-term capacity gains.[69]

- **Efforts are Nationally-Owned and Led**
  Development partners and international organizations have committed to promoting national ownership for development programmes, and this extends to the CD function. Programming for such efforts must aim to be convened, organized or co-organized, funded or cost-shared, and directed by internal governmental or community institutions if they are to be relevant, effective, and sustainable. Management control should exist at the level that is most appropriate for the impacts that are sought, whether national, sub-national, or local. Assurance at every juncture along the CD cycle that efforts will remain stakeholder-informed and, to the extent possible, managed, is central to the concept of national ownership. This should be apparent even where such processes are heavily-supported by the international development community. Such commitments cannot be imposed from the outside but must occur organically. As such, deliberate design that ensures programming is needs-based and demand driven is critical.

- **Efforts are Value-Added**
  CD programming should add value, avoid duplication and aim for coherent implementation. Value should be measured both in terms of sustainable capacity that is created and DRR that is achieved. This requires a more "holistic DRR-influenced approach to [disaster risk management] capacity" that requires attention be given to "understanding and planning for long-term changes in risk; moving beyond a focus on short-term emergency management to capacity in disaster prevention, mitigation and long-term recovery; prioritizing the reduction of vulnerability; targeting the needs of vulnerable groups; and addressing gender inequalities in both vulnerability and capacity."[70]

- **Efforts are Practical, Replicable, and Localized**
  Planners may wish to pursue an ideal level of capacity that, if attained, could drastically reduce or even eliminate risk. However, if such targets do not account for the motivations, resources, and capabilities of the stakeholders involved (both recipients and providers), such goals will not be practical, including in terms of project timeframes. CD programming must also consider whether their interventions are understood and relevant in local languages and the local context, and whether it is possible for governmental and other affiliated partners to replicate, adapt, and

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[69] Few, 2015. P15**.**
[70] Few, 2015. P15.

adopt the methods to meet their needs. Approaches should truly aim to develop sustainable individual, organizational, and enabling environment capacity, rather than typifying "fly-in, fly-out" approaches.

- **Efforts Foster Partnerships**

  CD programming must be conducted in a manner that enables the identification and engagement of appropriate and viable partners drawn from all appropriate sectors (public, private, and civil society organizations) and levels. Methods and practices that are employed should be based on partners' existing capabilities, identified needs, and organizational objectives, with the aim of enhancing in-country ownership and sustainability. It is important that partners have a clear and significant role in not only program implementation but also design to increase the likelihood that measures are appropriate and effective.

- **Efforts are Standard-Conformant or Standard-Setting**

  Without standards, it is difficult for those involved in DRR to understand that CD is needed. Where standards exist, whether based on competencies or other measures, CD programming should assess needs accordingly and aid in a manner that addresses gaps. Where required, programming partners should identify or develop and apply quality standards for projects or interventions that enable the measurement of the quality of progress and results prior to implementation and not the other way around.

- **Efforts Employ a Mix of Activities across Multiple Levels and Timeframes**

  Traditional CD has favoured classroom-based approaches, and while these are effective they alone limit potential gains. CD can achieve much greater and more sustainable impacts when efforts are varied, do not focus solely on one level (individual, organizational, and enabling environment), and address a range of timeframes. They should be appreciative of the interrelationships that exist between the individual, organizational, and enabling environment levels, and ensure a complementarity of actions that fosters change. Planning needs to have a strategic basis and employ a combination of complementary activities beyond the provision of training and education. Targeted activities can enable engagement across the short, medium, and longer-term timeframes, which ensures both rapid results and sustainable impacts, which together help to keep partners engaged and motivated. The key to all of this is assurance that efforts are not fully-independent projects but rather components of a single, coordinated process.[71]

- **Efforts Strengthen Knowledge Frameworks**

  CD programming should provide opportunities to capture, assess, translate, transfer, and broker knowledge to foster innovation.

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[71] GFDRR, 2016.

Appendix 6: Foundational Elements of Effective Capacity Development

Several elements that are vital to any CD for DRR effort have been identified through the literature review and consultative process. While most of these are indicative of a strong supportive environment, they are influential at the individual and organizational levels as well.

- **Financial Resources**
  Leaders must commit to supporting CD not only through their leadership and authority, but also through their willingness to provide or encourage dedicated funding. Without the expectation of financial support, CD is not possible.

- **Political Support**
  Capacity is most likely to be both developed and effectively utilized where there exists strong political ownership and commitment at the highest levels of authority. Organizations and societies are both driven by policy, rules, and norms, and individuals are likely to follow the example of their leaders. Support provided by elected officials and other community leaders sets the tone and establishes the culture. On the other hand, a lack of support can have a detrimental impact on the ability to identify and recruit project champions and likewise to encourage participation.

- **Incentives**
  All stakeholders, whether traditional recipients or providers of CD efforts (or both) need to be motivated by a desire to effect positive outcomes through change. This requires an accurate understanding of what is required and on what basis. Where motivation is weak or does not exist, incentives can be used. Incentives can be used to increase motivation factors that are either intrinsic (e.g., a desire to: feel safe, gain acceptance, address corruption, provide a sense of order, achieve independence) or extrinsic (e.g., a desire to receive: financial compensation, qualification for employment, a promotion, an award).

- **A Supportive Culture**
  CD efforts cannot succeed unless they are being provided within an environment that understands and supports their value. This is addressed in the enabling environment, but it is also in and of itself a critical element without which success and sustainability of any effort at any level is unlikely.

- **Existing Structures and Mechanisms**
  CD initiatives should not only account for but should also be based on countries' national development policies, strategies, governance structures and mechanisms. Programs and projects that are donor-supported should therefore coincide with primary development processes and reinforce the existing policy framework and reform processes.

- **Relevant and Valid Information**
Planning and implementation of CD relies on the accurate input and analysis of contextual and operational information. It must remain up-to-date, relevant, and accessible to support informed decision-making.

- **Flexibility and Adaptability**
CD planning and design efforts need to ensure there exists a high degree of flexibility to accommodate a shifting operational context (e.g., political, organizational), changing needs, and differences that exist between stakeholders. Rigid processes and strategies will pose a challenge to programmes that aspire to be both demand-driven and responsive to beneficiaries' needs.

- **Complementarity**
Efforts need to be knowledgeable of existing and previous activities and likewise must build upon those issues wherever possible. Those involved in programming need to establish whether stakeholders have participated in activities that are relevant to what is planned and incorporate that information into project design.

- **Innovation**
Business as usual cannot sustain CD efforts. Staying abreast of human and technological innovations and opportunities to innovate approaches to CD should be considered and explored. Innovations may also include new use of existing or traditional knowledge.

- **An Exit Strategy**
Exit strategies help to ensure that programs, or the gains that have been achieved through them, will continue in a sustainable manner once external support has been withdrawn. Such strategies are most effective when developed early in the planning process and in consultation with partners, beneficiaries, and other CD stakeholders. In addition to minimizing the likelihood of conflict and tension that may arise from misunderstanding, they reduce attitudes of dependence by ensuring all stakeholders understand very early in the process their long-term roles and responsibilities.[72]

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[72] Gardner, Greenblott, and Joubert, 2005.

Appendix 7: Capacity Development Planning Questionnaire

1. **Whose capacities do we need to develop?**

   _____
   _____
   _____
   _____

2. **To what end do we need to develop this capacity?**

   _____
   _____
   _____
   _____

3. **What kinds of capacities need to be developed for this?**

   _____
   _____
   _____
   _____

4. **What will be their purpose?**

   _____
   _____
   _____
   _____

5. **How do we measure and monitor these capacities and the results they are meant to achieve?**

   _____
   _____
   _____
   _____

Appendix 8: Checklist of Capacity Development for Disaster Risk Reduction Principles

✓ **Capacity Development Efforts are Guided by a Common Understanding**
- ☐ There exists coherence between practitioners and programs, and acceptance of a common set of terms and concepts.
- ☐ Individuals and organizations working together in pursuit of CD for DRR have identified, agreeing upon, and adopted a common understanding and consistent use of terms and practices.

✓ **Efforts are Coherent Within and Between Levels (National, Sub-national, and Local)**
- ☐ National-, sub-national, and local-level actors and processes are cognizant of programs and activities that are being planned and conducted in pursuit of CD for DRR all levels.

✓ **Efforts Pursue an "All-of-Society" Approach**
- ☐ Programming efforts apply broadly across multiple stakeholders and consider how cross-sectoral combinations may result in synergistic movement towards common goals.
- ☐ The perspectives of both those with expertise or resources to provide CD and those who are vulnerable and affected by disasters have been considered.
- ☐ Programming seeks ways to improve stakeholders' capacity to interact with each other.

✓ **Efforts are Goal-Driven, Impact-Focused, and Transformative**
- ☐ Programming identifies clear objectives and expected outcomes that can be judged to make a lasting impact on coherent implementation of national DRR plans and policy, including the Sendai Framework and the 2030 Agenda.
- ☐ Goals address both the capacities themselves and the impact of their existence.
- ☐ Stakeholders have considered both outcome- and output-level objectives in their planning.
- ☐ Goals and impacts pursue long-term positive transformation of DRR capabilities.

✓ **Efforts are Demand-driven and Needs-based**
- ☐ Identification of local demands and needs is possible.
- ☐ CD programming aligns with what stakeholders and target audience members desire.
- ☐ Interventions are familiar to and preferred by the individuals and organizations for which change is sought.
- ☐ CD programming considers what is actually needed in light of existing capacities and ongoing programmes.
- ☐ Establishment of parallel structures has been avoided.

☐ Interventions are conducted with the knowledge of and in a manner that adapts to local conditions.

✓ **Efforts are Strategic and Sustainable**

☐ Programming supports the strategic implementation of national and sub-regional policy and programming in a manner that promotes long-term sustainable results.

☐ CD interventions are embedded in strategy formulation and integrated systematically starting from the analysis of needs through implementation, operations, and monitoring and evaluation.

☐ Where integration of DRR, SD, and CCA has been achieved, CD programming conforms to those efforts, and speaks to those partners.

☐ Efforts balance short term gains with longer-term results that enable sustainable improvement of lives beyond the project or program timeframe.

✓ **Efforts are Nationally-Owned and Led**

☐ Programming is convened, organized or co-organized, funded or cost-shared, and directed by internal governmental or community institutions.

☐ Management control exists at the level that is most appropriate for the impacts sought.

☐ CD efforts are stakeholder-informed and, to the extent possible, managed, at every step in the CD cycle.

☐ Commitments occur organically and not from the outside.

✓ **Efforts are Value-Added**

☐ CD programming adds value, avoids duplication and aims for coherent implementation.

☐ Value is measured in terms of sustainable capacity that is created and DRR achieved.

✓ **Efforts are Practical, Replicable, and Localized**

☐ CD targets account for the motivations, resources, and capabilities of the stakeholders involved (both recipients and providers).

☐ CD programming considers whether interventions are understood and relevant in local languages and the local context.

☐ CD programming considers whether it is possible for governmental and other affiliated partners to replicate, adapt, and adopt the methods to meet their needs.

☐ Approaches aim to develop sustainable individual, organizational, and enabling environment capacity.

✓ **Efforts Foster Partnerships**
- ☐ CD programming is conducted in a manner that enables the identification and engagement of appropriate and viable partners drawn from all appropriate sectors and levels.
- ☐ Methods and practices employed are based on partners' existing capabilities, identified needs, and organizational objectives, with the aim of enhancing in-country ownership and sustainability.
- ☐ Partners have a clear and significant role in not only program implementation but also design.

✓ **Efforts are Standard-Conformant or Standard-Setting**
- ☐ Where standards exist, whether based on competencies or other measures, CD programming assesses needs accordingly and provide assistance in a manner that addresses gaps.
- ☐ Programming partners have identified or developed and applied quality standards for projects or interventions that enable the measurement of the quality of progress and results prior to implementation.

✓ **Efforts Employ a Mix of Activities across Multiple Levels and Timeframes**
- ☐ CD efforts focus on multiple levels of capacity (individual, organizational, and enabling environment) and are appreciative of the interrelationships that exist between these levels.
- ☐ CD efforts address a range of timeframes and ensure a complementarity of actions that foster change.
- ☐ Planning has a strategic basis and employs a combination of complementary activities beyond the provision of training and education.
- ☐ Targeted activities enable engagement across the short, medium, and longer-term timeframes.
- ☐ Projects and programs are components of a single, coordinated process.

✓ **Efforts Strengthen Knowledge Frameworks**
- ☐ CD programming provides opportunities to capture, assess, translate, transfer, and broker knowledge in order to foster knowledge innovation.

Appendix 9: Checklist of Common Capacity Development for Disaster Risk Reduction Obstacles

- **DRR-specific capacity development needs are understood and appreciated**

  There exists sufficient understanding and appreciation of the capacities required to bring about DRR and the methods that exist to build them. Stakeholders know what to do and believe those tasks and actions to be necessary. The following strategies and methods have been attempted in order to increase understanding and appreciation of DRR specific CD needs:

  - National CD plan, framework, or strategy has been drafted
  - Capacity needs assessments are being promoted for use in all projects and programmes that address DRR and DRM (in coherence with CCA and SD)
  - Development partners are encouraged or required to incorporate CD for DRR considerations into their project designs
  - Competency-based standards are applied to K-12 and higher-education DRR courses and curricula
  - Competency-based standards have been established for jobs that are directly and/or indirectly associated with DRR

- **Training and education balanced with other non-training interventions**

  CD efforts address organization-level and enabling environment needs and structures in addition to providing training and education to individuals. The following strategies and methods have been applied in order to increase CD sustainability:

  - CD efforts include a mix of activities that together address the individual, organizational, and enabling environment levels
  - 'Train-the-trainer' courses have been incorporated into regular training and education programs to ensure new staff and staff replacements can receive the required instruction
  - 'On-the-job' training programmes, mentorships, and use of secondments have been instituted
  - Interventions have focused on the "whole of society" (including elected representatives, private sector representatives, civil society organizations, and even the general public)

- **Action has been taken to increase access to and the existence of facilities, programmes, and resources to support awareness, knowledge, and skills**

  There exist sufficient facilities, programmes, and resources that are equipped to support development of the awareness, knowledge, and skills required to achieve DRR objectives. DRR-relevant staff and stakeholders are able to easily address their knowledge and skills gaps. Reliance on international development organizations and donors for CD needs is minimal or is being reduced. End users are able to influence or direct their own education and training. Materials are in a language understood by stakeholders. CD project reports are published, with results included.

The following strategies and methods have been applied to increase access to facilities, programmes, or resources that support DRR awareness, knowledge, and skills, for all stakeholders:

- o Public and private higher-education institutions have been provided with curriculum development materials and support, including materials translation
- o Organizations are encouraged or required to publish CD tools and reports in all relevant languages
- o Participation in academic and training programs have been incentivized through the establishment of minimum DRR educational competencies in DRR-related job descriptions
- o Online access to training and education is offered
- o In-country DRR information and knowledge platform that includes lessons learned and good practice has been established
- o Staff have been supported in their efforts to participate in international and regional training and education exchange programmes, including through the hosting of other countries' staff

- **Access to and support for disaster risk reduction capacity development opportunities have been provided for staff that are not traditionally involved in Disaster Risk Management (DRM)**
  CD for DRR development activities are not concentrated within and on the needs of those departments and agencies most closely affiliated with, responsible for, or focal point for governmental DRM. Individuals, agencies, and organizations with less obvious yet critical DRR roles (e.g., elected officials, non-disaster ministries, planning agencies or departments, humanitarian organizations, private sector entities, and others) are targeted. The following strategies and methods have been applied to ensure a more holistic approach to staff CD:

  - o Integration of DRR, CD, CCA and SD efforts have been pursued, including the use of explicit references in risk-focused legislation
  - o Expansion of policies and programmes that permit eligibility of a greater range of stakeholders has occurred
  - o A wider range of people beyond that extends beyond the offices and agencies most closely linked to DRR is being exposed to CD efforts
  - o A national CD strategy that ensures more accurate identification of CD needs as matched to the organizations and individuals targeted is being or has been created

- **Sufficient availability of resources (Human, technical, financial, other)**
  Interventions are supported with adequate financial and human resources. Resource availability is sufficient in terms of technologies, tools, equipment, information, data, and other resources as well. The following strategies and methods have been applied in order to help meet DRR resource needs:

- o Partnerships and collaboration opportunities have been pursued with stakeholders and partners in order to create opportunities for secondment of officials with CD needs
- o Partnerships have been established with the private sector and academia
- o Capacity assessments have been conducted in order to better understand the scope of technical expertise that exists among all stakeholders
- o Long-term resource development strategies have been crated as a component of a national or sub-national CD strategy, linked where possible to legislation
- o Incentives that encourage and maintain required resource allocations have been applied

- **Local ownership of capacity development programmes and projects exists**

Ownership of programs or projects lies with the national or local governments rather than with external partners or donors, including in program design, methods selection, identification of targets, and other aspects. Recipient community stakeholders are involved throughout the entire project cycle. The following strategies and methods have been applied to increase local ownership of CD programmes and projects:

- o A comprehensive stakeholder analysis has been performed at the earliest stages of project design
- o Local organizations have been encouraged to play a key role in project management and decision-making
- o Projects are demand-driven and needs-based
- o Local stakeholders and communities have been engaged in localizating content and tools

- **Sufficient focus on sub-national capacity**

DRR CD efforts have addressed the sub-national levels of government in project design and implementation. Integration of local and subnational programmes exists. Capacities, policies, and procedures at the national and local level coincide and/or coordinate with those at the sub-national level. The following strategies and methods have been applied in order to improve CD for DRR at the sub-national level:

- o Sub-national governments have been encouraged to play a coordinative role in capacity assessment and development efforts, including development of sub-national CD strategies and establishing a DRR-focused position or office at the sub-national level that are in line with the national strategy
- o Sub-national governments have been empowered to work with cities in their region to participate in global resilience efforts including Making Cities Resilient, New Urban Agenda, Tsunami Ready International, and others

- **Standardized indicators have been developed for the evaluation of disaster risk reduction capacity development efforts**

  Tools exist that enable the assessment of programmes and practices according to their impacts. Reporting systems consider whether or not the project had an impact on DRR capacity and not just output and outcomes. Reporting systems address a broad view of CD. The following strategies and methods have been applied in order to improve the existence of and access to standardized indicators for the evaluation of CD for DRR efforts:

  - A national CD strategy, framework, or plan with corresponding results-based indicators has been developed
  - Compliance programmes with corresponding performance guidelines that enable monitoring and evaluation of CD efforts and sharing of lessons learned and best practices have been developed
  - Seminars, workshops, and other activities and means have been conducted in order to develop and mainstream multi-stakeholder owned and accepted evaluation indicators and methods

- **General awareness and knowledge of risk drivers and the role stakeholders play in societal disaster risk reduction (including at the local level and among the general public)**

  There exists a common awareness of the need for CD efforts and awareness among stakeholders in terms of how their own activities and the activities of others contribute to risk. Citizens and stakeholders understand and appreciate the risks that exist and the opportunities that exist to address them in order to react appropriate to information on CD needs. The following strategies and methods have been applied in order to increase general awareness and knowledge of risk drivers and the role stakeholders play in societal DRR:

  - An 'all-of-society' approach to community risk management has been encouraged
  - Private sector and nongovernmental partners have been included in disaster planning and exercise efforts
  - There has been integration of the DRR and SD communities at the local level
  - A locally-focused and managed DRR knowledge platform has been established
  - Encouragement or provision of opportunities for informal education and public awareness raising has occurred

- **Adequate consideration of capacity development in conflict and post-conflict areas**

  CD efforts have occurred in post-conflict areas, addressing the hazard vulnerability of the people that live within them and any reductions in or elimination of institutional knowledge on DRR practices. The following strategies and methods have been applied in order to increase CD efforts in post-conflict areas:

  - Assessment of hazard risk and vulnerability has been prioritized early in the post-conflict reconstruction process

- o Individuals or ministries capable of championing CD for DRR have been identified
- o The CD for DRR process has been performed in planning and design for reconstruction and development in all sectors, focusing on capacity assessment and target indicators
- o Stakeholder awareness of CD needs has been increased
- o Coordination mechanisms have been established for CD efforts at all levels
- o Migrants have been engaged in DRR planning and processes wherever possible

Appendix 9.2: Additions to Checklist of Common Capacity Development for Disaster Risk Reduction Obstacles

Insufficient understanding or appreciation of DRR-specific capacity development needs	
How can we address this challenge?	*Who is best positioned to address it?*
- Understand how risk is created: Focus on roots and causes. Understanding risk and how to do risk assessments must be understood at all levels in institutions. Mindsets must be changed so that the concept of "Risk" must be incorporated from the beginning in all sectors, particularly in planning. Road mapping from risk assessment, to define capacity development needs based on existing capacities, will lead to developing action plans and implementation defined action plans. - Capacity development efforts will only be sustained if there's strong DRR governance. A legal framework needs to be in place (work with Congress). Harness political support (work with parliamentarians, local authorities, among others). - Advocacy and coordination is needed for DRR capacity building. Within countries there is demand but no one to help link DRR between sectors and making the links with resilience building. Recognize the Government as being the main player who can pave the way for others being involved such as NGOs and allocate a budget. Look at existing opportunities, and across levels (local, national, regional, global) and sectors. Build capacity for society (children, youth, elder population, citizen groups, among others) – and not only work with experts. - Develop leadership, negotiation, communication competencies among those involved in DRR. We must go beyond NDMOs and include research agencies and others, especially the implementers. Use of national platforms for DRR must be emphasized and an inclusive approach applied. - Must move beyond purely academic efforts and follow a combination of academic activities and practical and competency-based skills training that is continued over time.	- Need a strong system at national level / institutional framework to coordinate the other sectors (applies to all the below). - Government and National Platforms. - Units across different sectors of government (coordinated). - Political actors (i.e. Parliamentarians). - Private sector (including financial services, construction businesses).
Over-reliance on training and education	
How can we address this challenge?	*Who is best positioned to address it?*
Systemic mapping: Need to take stock of what it takes to implement the Sendai Framework, how countries are addressing each of the Sendai Framework priorities (e.g understanding risk).	- Through all institutions: not only through disaster management units but all sectors (integrating DRR in their plans). - Government leading multi-sector stakeholders - National Platforms

• Ensure development plans integrate DRR (across sectors), then embed capacity development strategies within national DRR plans and strategies (overcome the "ad-hoc approach" of capacity development in DRR). • Robust and well documented plans for organizations (drawn from existing national and international standards). • Need to build institutional capacity and not just individual capacity to account for staff turnover. Need to identify what training is needed and institutionalize. • Training [still] needed, but three realms need to be synchronized: i. Sectors (competences), ii. Higher education and technical institutions, iii. Formal education (happens on a continuous basis). • Mainstream and embed DRR training into other national trainings and human resource management at all levels. • Twinning Government to Government and individual to individual approaches should be adopted. • All institutions should dedicate funds for DRR and incorporate into their planning to ensure sustainability of training programs. • Raising public awareness of DRR within the concept of "Risk Management" • Certification of professionals, training and volunteers. • Suggest supporting overseas scholarships to reduce education / training costs.	• National Training systems in country • Schools, universities • Private sector
A lack of access to or existence of facilities, programmes, or resources to support awareness, knowledge, and skills	
How can we address this challenge?	*Who is best positioned to address it?*
• Disseminate better and increase awareness of existing programmes: demand is lacking. Sometimes programmes exist but are not taken advantage of because of lack of awareness (e.g. underattended DRR courses within Masters programmes). • Need to integrate into formal institutions and curricula: there are programmes, but too much "ad-hoc approach". Develop risk management courses and standards in the university level training of disaster management. • Sustainable access is needed. Use technology more for DRR training (e.g. online platforms). Make existing programmes and resources inclusive. Global and National integrated platform for training/learning is needed. • Use university knowledge/research for cost-benefit analysis.	• Universities • Media (to generate positive stories) • UN agencies, e.g. UNISDR could start an integrated online platform, and academic institutions, amongst other service providers, could pick up work from the platform. • Regional Organizations and IGOs. • Networks and associations for resilience, e.g. The Pacific Resilience Partnership (PRP)

- Other sectors must understand how DRR is relevant to them and their work. - Governments and donors should balance funding allocations for all. - Utilize the four phases of disaster management as entry points. Document real disaster event responses to assess current effectiveness and capacity. These should be used to inform training and learning needs. - Utilize the existing learning systems of multi-lateral organizations (e.g. WHO, FAO, ILO) in contributing to the learning of nations and individuals. The excellent reach of regional organizations to penetrate into the national levels should be better utilized. - Capture practice: showcase good examples and where things did not work.	
Failing to provide access to or support for disaster risk reduction capacity development opportunities for staff that are not traditionally involved in Disaster Risk Management (DRM)	
How can we address this challenge?	*Who is best positioned to address it?*
- Focus on 'institutions' not traditionally involved in DRM, not just 'staff'. - Take a comprehensive approach: Include sub-national level. Increase capacity of non-disaster sectors to understand DRR and include them in the National Platforms. Encourage non-disaster related Ministries and politicians into DRR strategy development and planning. - Target implementation practitioners, and not just the coordinators. - Simplify and tailor language for multi-sectors to understand the concept of DRR. - Include DRR into the education training institutions, school curricula with associated accreditation. - Peer-to-peer learning with workshops and recognition of engagement all actors from national to local with accreditation. Sharing of learning between countries and good practice and accreditation schemes. - Accreditation mechanism to be developed. - Develop new communication systems. Use media to engage all, particularly after disasters.	- Public sector at national, local and municipal government level. Ministries of planning, economic development and finance are key. Department of Education engagement for building school and academic curricula required. - Faith-based groups. - Private sector and business continuity professionals. - Media
Insufficient availability of resources (human, technical, financial, other)	
How can we address this challenge?	*Who is best positioned to address it?*

• Link up with those implementing SDGs (1, 11, and 13 as entry points but don't leave others unattended), harness the resources available for SDG implementation. • Focus energy on cost-benefit analysis to have evidence-based arguments to incentivize investments in DRR. • Cooperation, not competition for shared resources: more resources only for DRR not needed, but rather DRR included across sectors and accounted for in existing resources. Assess where the resources are really needed. Pool resources and do not work in siloes. • Incentivize non-government sector partners (e.g. tax deductions) so they can be more interested in DRR engagement. • Tailor language when targeting different sectors. • Better evaluate activities to collect evidence and address needs and design more effective programmes and policies. • Placement and authority of the national Sendai Framework Focal Point in a country is crucial. • Mapping of capacity at national level would be necessary to understand what's there and what's needed. • Promote exchange programmes and forums, technical assistance, peer review and other options. Capacity development goes beyond training. • Capacitate to strengthen political support for focal points and National Platforms to report against the Sendai Framework. • Capture capacity needs in legal instruments, such as the need for technical, administrative, financial capacities. • Develop understanding of new risks (e.g. cascading impact of cyber, nuclear, industry)	• Highest level of authority at national level empowered to coordinate across sectors. • Government • National Platforms, with improved information sharing. • Local levels who are the first affected and first responders in time of emergency, so that they also manage resources in the most efficient manner. • Use universities for cost-benefit analysis. • Media. • UNISDR: guidelines on the positioning of the focal point on how to address full scope of the Sendai Framework; analysis of National Platforms; provide guidance to Member States.
Little or no local ownership of capacity development programmes and project	
How can we address this challenge?	*Who is best positioned to address it?*
• "Capacity development" language appears to only be used when talking about overseas assistance and not internal national development.	• National Platforms.

• Countries would like to avoid dependency on external training, but most training comes from overseas. • Development partner activities must be aligned with national priorities. • Incentivize donors to work with countries on what they need and not what the donor wants. Countries often don't know how to say no to donors. • Encourage use of National Platforms to increase local ownership. • Improve understanding of full scope of the Sendai Framework and linkages with 2030 agenda and the SDGs. • DRR capacity development programmes need to be connected to local/ national/international development plans of the government (e.g. strategy or legislation) for it to be sustainable. • Focus on Terminology, which matters a lot when trying to build ownership. • Focus on Local government who have the maximum need for capacity building as they have the best understanding of their risk. • Engage Private Sector in capacity building processes, which is still lacking.	• The UNISDR knowledge platform PreventionWeb could play the role: examples that highlight the way countries have addressed capacity development are needed.
Insufficient focus on sub-national capacity	
How can we address this challenge?	*Who is best positioned to address it?*
• Use National Platforms to increase local level ownership. • National government provide sub-national and local governments with capacity to develop and implement relevant local DRR strategy (decentralization with resources) and facilitate local actors to access capacity development funds. • National government should ensure that national strategy is built upon local strategy and provide ownership at the sub-national level. • Provide scalable and low-cost awareness raising and trainings on this issue with local level (e.g. Training of Trainers or online learning) • Local DRR platforms to help strengthen the vertical and horizontal coordination in the country.	• National Platforms. • National Government and sub-national government. • Donor agencies, who should have allocation mechanisms to support local actors.
A lack of standardized indicators for the evaluation of disaster risk reduction capacity development efforts	

How can we address this challenge?	*Who is best positioned to address it?*
• Use and promote the CADRI standard set of indicators: developed over time through CADRI, which has been used in 30 countries' assessment. 20-30 countries have used this to monitor the capacity development for DRR Plan. • Align capacity development for DRR projects and programmes with the national capacity development strategy to measure also the longer-term impact of the efforts to implement the Capacity Development for DRR Strategy	• National Platforms • CADRI

| 9. Lack of general awareness and knowledge of risk drivers and the role stakeholders play in societal disaster risk reduction (including at the local level and among the public) ||

How can we address this challenge?	*Who is best positioned to address it?*
• Prioritize capacity development among decision makers and lawmakers, e.g. targeting parliamentarians. • Bring decision makers and technical experts together to build common understanding (including terminology) and identify roles and responsibilities. • Build on existing and natural intersection of knowledge and potential for action. • Assess existing organizational setup to understand where and how to strengthen the essential organizational governance (regional, national, local). • Raise awareness of the population and their role: identify steps and inform population what is their role vs. role of government (civil responsibility and expectations of government).	• Government (as centre of decision-making) through National Platforms for DRR are key to ensure cross-sectoral and institutional arrangements, plus stakeholders. • Universities as sustainable partners who are in-country or remain to support country officials to provide support (e.g. risk analysis). • Engage and tailor to local communities and local knowledge ('local experts' who observe local changes and impacts). • Technical and liaison persons

| **A focus on non-conflict areas** ||

How can we address this challenge?	*Who is best positioned to address it?*
• Understand and identify who can capacitate in conflict areas: look to neighbours (e.g. regional assistance during Ebola). • Embed capacity development at start of interventions, both during emergencies and where conflict is recurring; Stakeholders need to be involved in the interventions.	• Integrate/target capacity building of peacebuilding processes. • Key intermediary organizations especially Civil Society, during post-conflict situation when country rebuilding.

• Integrate conflict-sensitive approaches in DRR, and risk-sensitive approaches in conflict prevention.	• Identify 'key enabling agents' according to the context (e.g. Red Cross/Red Crescent – as a neutral agent, community/ grassroots level, academia, CSOs.)
• Focus on capacitating trusted local/national actors.	
• Capacitate Regional bodies on national challenges.	• Identify and target those 'who are left' post-conflict (e.g. elderly, women, children).
Pre-conflict:	
• Build capacity and awareness of protecting key infrastructure (often targeted during conflict and most vulnerable to disaster), e.g. health, education, critical infrastructure.	• Regional bodies as a liaison between government and UN; risks are shared and Regional Organizations can help coordinate.
• Understand and capacitate how to avoid conflict. Address underlying risk drivers of 'inequality' and reinforce inter-community dialogue.	• Capacitate and utilize regional and global peacekeeping forces both pre- and post-conflict identified by government.
• Promote good governance: due to "power grabs" and fragmentation, coordination is key, as well as use of local trusted actors.	• Broad participation from national to local, local authorities and NGOs.
• If possible, identify the key capacities that need to be strengthened. Undertake hazard and vulnerability assessments.	• Local/national/regional CSOs and humanitarian actors need to be capacitated to remain as a neutral actor.
Post-conflict:	• Local population, who best understand change (pre-conflict).
• Understand 'who's left': strengthen institutions wherever they exist.	• Media in raising public awareness.

|	
Additional Challenges	
Need more DRR education in university curricula	
How can we address this challenge?	*Who is best positioned to address it?*
• Create demand: Disseminate better what's available, across different fields. • Need to understand that cadres trained now in universities will implement DRR beyond 2030.	• DRR experts need to be able to speak the language of different sectors (i.e. economy and finance, banking industry). • Media (positive messages!)
General challenges and considerations requiring attention:	

- Sustainability.
- Broad stakeholder engagement.
- Lack of enabling environment and convening power to avoid fragmentation.
- Need to sell DRR activities as part of the SDGs and not just the Sendai Framework.
- How to tailor approaches to the sectors; and how to deliver programmes at various scales.
- Lack of understanding on the roles of sectors play in DRR; Use of language is essential when talking to different sectors (e.g. private sector).
- Use knowledge centers in addition to academic centers.
- Capacity development should not result in any group being left behind.
- Effective engagement and communication channels [variety of media/method] to target all, including age, gender, ability.
- Lack of incentives for capacity development for DRR; Incentives such as recognition of knowledge by accreditation for individuals and organizations and financial mechanisms.
- The timeframe of internationally funded capacity development efforts is usually too short to measure the impact.

Appendix 10: Capacity Development Process

It is important to develop a theory of change for each capacity development initiative or project that is developed for implementation of the Sendai Framework. The following two examples aim to explain the process of developing a theory of change in simple terms:

Theory of Change example 1: Vaccination

Assertion: We know we need to vaccinate to decrease the incidence of disease and that we can improve people's lives. The eradication of smallpox has been a triumph for risk reduction. In this example (figure 2), vaccination programmes (Input) deliver vaccines (Output) which immunize children (Outcome) which decrease incidence of disease (Impact) and help improve chance of life (Long-term Impact).
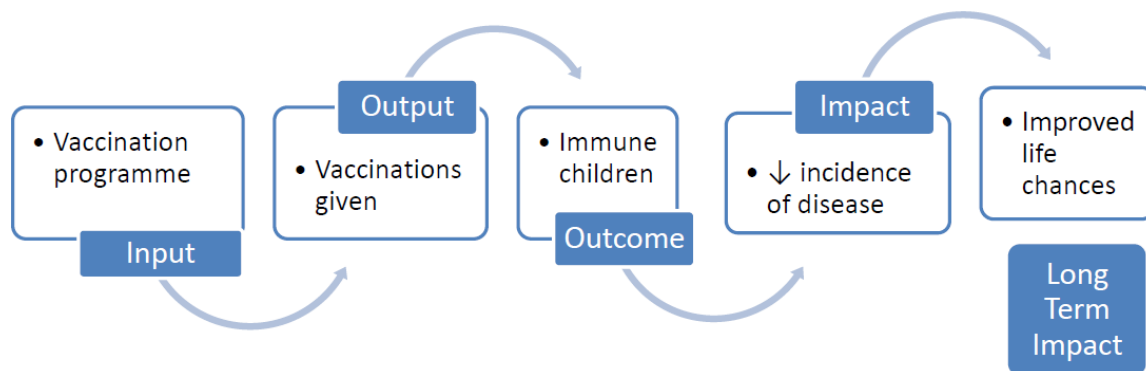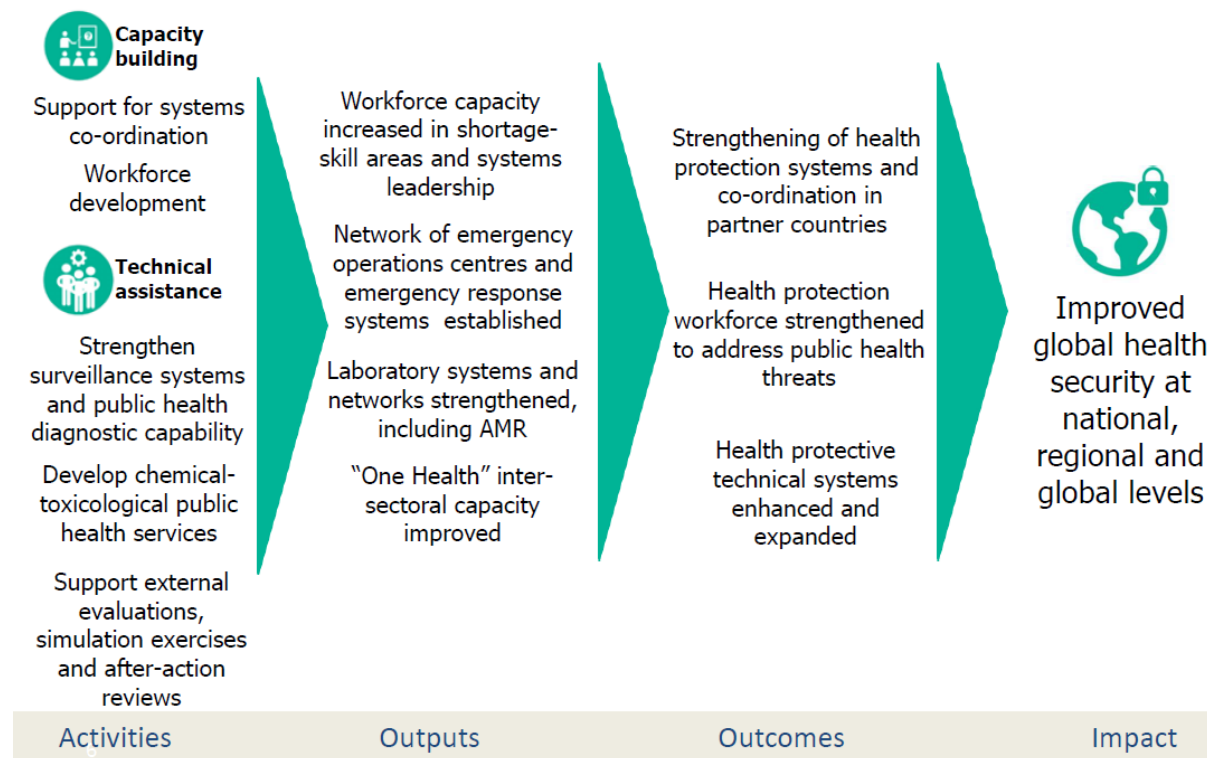

But what about, e.g., capacity development, national ownership and sustainability? Who gives the vaccine (e.g. mitigating incorrectly given vaccines)? Who measures the changes? Who are the partners? How is it sustained? How is it monitored for change? (e.g. strain replacement when there are variations in flu)? How are the risks understood and relevant actions planned (e.g. changing climate in the global South where increasing temperatures put vaccine storage at risk)? Not addressing these aspects can lead to confusion. **Assumptions are a critical part of the programme and theory of change development and management.**

Theory of Change example 2: International Health Regulations

Assertion: The International Health Regulations (referenced thrice in the Sendai Framework) provide a strong legal foundation for health disaster risk reduction. In this example (figure 3), we see a path where capacity development and technical assistance (Activities) support increased skills, networks established, systems strengthened, and inter-sectoral capacity improved (Outputs) which lead to the strengthening of systems and coordination in partner

countries, the workforce strengthened to address threats, and protective and technical systems enhanced and expanded (Outcomes), which ultimately improve global health security at all levels (Impact).

Capacity building

Support for systems co-ordination

Workforce development

Technical assistance

Strengthen surveillance systems and public health diagnostic capability

Develop chemical-toxicological public health services

Support external evaluations, simulation exercises and after-action reviews

Workforce capacity increased in shortage-skill areas and systems leadership

Network of emergency operations centres and emergency response systems established

Laboratory systems and networks strengthened, including AMR

"One Health" inter-sectoral capacity improved

Strengthening of health protection systems and co-ordination in partner countries

Health protection workforce strengthened to address public health threats

Health protective technical systems enhanced and expanded

Improved global health security at national, regional and global levels

| Activities | Outputs | Outcomes | Impact |

Though capacity development is a complex task, formulating a coherent theory of change can help achieve the objective efficiently.

Additionally, certain steps are proposed as a sample of steps to be taken when designing a capacity development project. Before following these steps, an articulation and definition of the problem and a theory of change is suggested.

Step 1: Stakeholder Engagement

The Sendai Framework calls for "a broader and a more people-centred preventive approach to disaster risk,"[73] because the community of stakeholders engaged in or otherwise affected by DRR is all-encompassing. Everyone and every entity is affected by risk, and therefore each of these stands to benefit from its reduction. DRR is an endeavour for which efficiency and effectiveness are contingent on efforts not only addressing all-hazards, but also all sectors and stakeholders, and therefore it – and the CD efforts to enable it - must each be inclusive and accessible.

Each project will differ with regards to what people, organizations, and communities are influenced or affected by it. Planning for CD should begin, not end, with engagement of those who stand to be affected in some manner[74] (as recipient, contributor, provider, or otherwise), and it is contingent on programming staff to understand what that means for their project or endeavour. This is not a simple task, yet it is critical and thus necessary because:

1. It fosters the commitment and active participation of leaders who can drive the change, and key players
2. It creates buy-in, a common understanding, and a sense of ownership (thereby reducing resistance and antagonism)
3. It calibrates assumptions and enhances the accuracy of assessments
4. It helps to validate targets
5. It increases the appropriateness and acceptability of interventions
6. It establishes accountability, transparency, complementarity, and sustainability

The aim of this first step is to initiate the relationships and the dialogue that will inform and resource the project, and perhaps form the basis of partnerships that support implementation, monitoring, and evaluation. It also helps planners to better understand who the key actors are, and what influence they have within and outside their area of influence. While there are common targets for engagement at the international, national, local, and nongovernmental and private sector levels, it is also critical that engagement occur or be sought even with those relevant groups that are weak or have very little representational capacity.[75]

Stakeholder engagement typically involves the following three activities:

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[73] UNISDR, 2015b. Paragraph 7.
[74] UNDP, 2009.
[75] UNDG, 2017.

1. A preliminary assessment of possible CD needs, and identification of any informal or formal political social or political dimensions[76]
2. Mapping of all key stakeholders and relevant actors (including those with need, resources, expertise, and influence)[77], and the relationships and dependencies that exist between them[78]
3. Identification of strategic partners

Step 2: Capacity Needs Assessment

CD interventions must be based on actual assessed needs and not just on desired output or outcomes. It is through the comparison of existing and desired capacities, within a unique local context, that CD interventions take form. Research has found that such assessments are often conducted too late in the process to be effective, and sometimes not at all, with the result being reduced impacts and unintended outcomes.[79] In order to ensure that CD programmes are addressing a real problem, and are realistic in terms of their goals and timelines, planners first need to answer the following questions:

- What CD efforts have taken place, are ongoing, or are planned?
- How much capacity already exists, what is that capacity, and what changes are already happening?
- How ready for change are targeted stakeholders, as based on their motivations and constraints, and what do they hope to achieve with regards to DRR (including their role in making that possible)?
- What is the local political, social, cultural, economic, physical, and environmental context into which interventions will be introduced?[80]

In doing so, it will be possible to determine with greater accuracy the following points of reference which together form the foundation of planning and subsequent assessment baseline:[81]

- Why CD is needed
- What CD is needed
- Who will participate in and/or benefit from CD

A capacity assessment typically involves three steps:[82]

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[76] LenCD, n/d.
[77] CADRI, 2011.
[78] Hegelsteen and Becker, 2014.
[79] Few, P.14.
[80] Hagelsteen and Becker, 2014.
[81] CADRI, 2011.
[82] UNDP, 2011; UNDP, 2009.

1. Mobilizing actors and designing the capacity assessment
2. Conducting the capacity assessment
3. Assessing and interpreting the results

An effective capacity needs assessment considers a broad range of perspectives and experiences to ensures a 'one-size-fits-all' approach is avoided. Even within the same geographic area, it is possible for there to be differences in capacity among stakeholder groups, and patterns of capacity or the lack thereof. The capacity needs assessment articulates capacities, gaps, and points of entry (for CD intervention) at each of the three levels (individual, organizational, and enabling environment), seeks to understand the cause and impact of such gaps, and sets the stage for the identification of effective interventions. Finally, it provides the initial indicators by which progress is measured in both process and outcome evaluations to follow.

Resources to support capacity assessment include:

- Asian Development Bank. 2008. Capacity Assessment and Capacity Development in a Sector Context Tool Kit. http://bit.ly/2jOu3uI.
- Japan International Cooperation Agency (JICA). 2008. Capacity Assessment Handbook: Project Management for Realizing Capacity Development. http://bit.ly/2BJCwr9.
- LenCD. N/d. How to Assess Existing Capacity and Define Capacity Needs. http://bit.ly/2BznHGO.
- UN Development Group. 2008. UNDG Capacity Assessment Methodology: User Guide for National Capacity Development. http://bit.ly/2zPcUrz.
- UNDP. 2008. The UNDP Capacity Assessment Methodology http://bit.ly/2Anrg3g
- UNDP. 2008. The UNDP Capacity Measurement Framework http://bit.ly/2i3aePx

Step 3: Defining the Intervention

With stakeholders engaged and a needs assessment in hand, planning staff are prepared to design and develop the intervention(s) required. This could be in the form of a capacity development plan. It is important that those involved in planning draw from the same representational community that was involved in the assessment process, and that a mix of engagement techniques targeting multiple levels of capacity (individual, organizational, and enabling environment) be considered. Efforts will ideally follow a timeline that allows for both short-term 'quick wins' and more heavily-impactful and perhaps more complex and protracted methods. An approach that sets forth explicit prioritization by both impact and order (e.g., *immediate, medium-term, and long-term) will improve the dedication of resources and improve alignment with other policy directives (e.g., 2030 Agenda and Paris Agreement).* Any interventions should link to targets and indicators, and there must be an exit strategy.

Interventions typically focus on developing one or more of the following capacity elements:[83]

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[83] UNDP, 2011.

1. Institutional Arrangements

   Institutional arrangements include the policies, practices and systems that allow for effective functioning of an organization or group. These may include 'hard' rules such as laws or the terms of a contract, or 'soft' rules like codes of conduct or generally accepted values. To better understand institutional arrangements, think of the rules that govern a sports game. These tend to be a combination of formal written rules, for example on what constitutes a goal, and unwritten codes of conduct, such as good sportsmanship.

2. Leadership

   Leadership is the ability to influence, inspire and motivate others to achieve or even go beyond their goals. It is also the ability to anticipate and respond to change. Leadership is not necessarily synonymous with a position of authority; it can also be informal and be held at many levels. Although leadership is most commonly associated with an individual leader, from a village elder to a country's prime minister, it also exists within the enabling environment and at the organizational level. Think of a government unit that takes the lead in pushing for public administration reform, or of large social movements that bring about change at the more systemic level.

3. Knowledge

   Knowledge, or 'literally' what people know, underpins their capacities and hence CD. Seen from the perspective of our three levels (identified above), knowledge has traditionally been fostered at the individual level, mostly through education. But it can also be created and shared within an organization, such as through on-the-job training or even outside a formal organizational setting through general life experience and supported through an enabling environment of effective educational systems and policies.

4. Accountability

   Accountability exists when rights holders can make duty bearers deliver on their obligations. From a CD perspective, the focus is on the interface between public service providers and its clients or service providers and oversight bodies. More specifically, it is about the willingness and abilities of public institutions to put in place systems and mechanisms to engage citizen groups, capture and utilize their feedback as well as the capacities of the latter to make use of such platforms. Accountability also refers to establishing an understanding of who will do what, who will ensure it gets done, and what will the consequences be if it doesn't. It should flow both upward and downward through clearly stated goals and responsibilities.

Through the development of these and other capacity elements, CD efforts will ideally result in the production of actual capacity, considered an 'output' of the intervention. Through these capacity outputs, it goes to reason that beneficiaries will be equipped to initiate actions, which are the

outcome of the CD efforts. And from these outcomes, measurable impacts may be noted. The literature review noted five distinct capacities that are relevant to achievement of DRR targets and goals per the Sendai Framework, including:[84]

1. **Capacities for engagement**
   Capacities of relevant individuals and organizations to engage proactively and constructively with one another to identify, assess, and manage disaster risk.

2. **Capacities to generate, access and use information and knowledge**
   Capacities of individuals and organizations to research, acquire, communicate, educate and make use of pertinent information to be able to identify and assess hazard risk and analyse and implement risk reduction opportunities.

3. **Capacities for policy and legislation development**
   Capacities of individuals and organizations to plan and develop policy and legislation, including strategies and plans, that support or otherwise affect DRR.

4. **Capacities for management and implementation**
   Capacities of individuals and organizations to enact DRR policies, plans, strategies and/or regulatory decisions, and plan and execute relevant sustainable risk management actions and solutions.

5. **Capacities to monitor and evaluate**
   Capacities of individuals and organizations to effectively monitor and evaluate project and/or program achievements against expected results and to provide feedback for learning, adaptive management and suggesting adjustments to the course of action if necessary.

Interventions should seek to strategically integrate with ongoing and completed CD efforts, especially those that have engaged directly with targeted stakeholders. Recognition of and building upon such efforts allows for the benefit of lessons learned and best practices, especially in light of stakeholder motivation built through positive outcomes and celebrated successes.

A good plan of intervention includes the following:[85]

1. Identification and formulation of pathways (could be a theory of change) to CD, based on evidence and tested approaches

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[84] Adapted from Global Environmental Facility, 2010. P.8.
[85] UNDG, 2017.

2. Identification and formulation of CD goals
3. Integration of strategic partnerships and establishment of a division of labour

Step 4: Building Partnerships for Implementation of Capacity Development

CD implementation can be strengthened dramatically through the building of partnerships. Implementation partners may have a broad range of benefits to offer, including credibility, access, human and financial resources, expertise, knowledge, information and more. Partners also stand to benefit themselves, and in fact the motivations for partnership are greatest when such conditions exist. It is important that clear and mutually acceptable roles and responsibilities are established for all partners, and the partnership must in no way violate the guiding principles or undermine the project goals. The partnerships will help conduct Step 5.

Hagelsteen and Burke identified a set of questions planners can ask when assessing partnership opportunities. These include:

- Are the drivers (motives) for partnering on the part of different actors clear?
- Is the purpose of the partnership clear?
- Do the partners have a written agreement, and if so, what does it include?
- Are the benefits and risks of collaborating articulated?
- How is accountability of the partners described?
- What are the provisions for building, maintaining, reviewing and evaluating the partnership's impact and collaboration process?
- Is there a clear project management structure and operating procedures with timetables?
- Do the terms of reference consider both technical and softer CD elements?

The type of service provider or partner to engage depends on the task at hand, the target group, complexity of the task and the coverage area.[86] Guidance on stakeholder engagement should be referred, to help build the right partnerships. Considerations for such decisions might include the following criteria:

- What relationship does the partner have with the target audience? Are they considered credible, and can they organize or mobilize that community?
- Will the partnership be cost-effective?
- Is the partner likely to stay engaged in the project, and do they have the capability to foster project scalability?
- Does the partner possess knowledge or skills relevant to the identified capacity needs?
- Does the partner have the resources, systems, and infrastructure needed to support implementation?

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[86] UNDP, 2011.

- Does the partner have relationships with key networks, decision-makers, or policy makers?
- Does the partner have any political clout, and are they considered politically neutral?

Step 5: Implementation of Capacity Development Efforts

Implementation partners can begin to address capacity gaps once the design of a needs-based, demand-driven intervention program has been completed. Due consideration must be given to the partner leading the effort, the one in the driving seat e.g. the national government. The implementation effort should begin and remain flexible to adapt as conditions and needs change as dictated by monitoring and process evaluation.

Recipient stakeholders' interface with implementation efforts should be through a known and trusted source, at least in the early stages of the process. Research on implementation by the United Nations Development Program found that where internal and external partners were involved, implementation that was managed through national systems and processes rather than through the parallel systems of external partners, chances for sustainability were considerably improved.[87] More detailed discussion of this issue is in Section 4 and Section 5.

Step 6: Monitoring and Evaluation

Monitoring and evaluation is a vital yet largely-undervalued part of CD.[88] It is conducted not only to ensure implementation partners are progressing towards their intended goals, and to ensure those goals are resulting in the changes required to meet capacity needs – it also helps in the identification of and accommodation for unintended consequences. For this reason, evaluation must not be limited to the completion of implementation efforts, as it is too late to redirect if things do not occur or progress as expected once this point has been reached. It helps to identify the extent to which capacity has been reached.

Monitoring and evaluation efforts must be part of the implementation plan and should address both the process and its impact. Evaluation efforts can look at several different factors that help the implementation team to better understand how they are doing, such as whether planning assumptions are proving valid, whether the foundational principles are being adhered to, or whether progress towards the meeting of target indicators has resulted (and if so, the degree to which it has).

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[87] UNDP, 2011.
[88] Hegelsteen and Becker, 2016.

Whether planned as a continuous monitoring effort or a series of periodic evaluations, there must exist measures of performance (indicators) as well as standard protocols to guide the process, data systems to collect what is found, authority to carry out the tasks required, and access to necessary human and financial resources. There are three foci of assessment efforts that together provide a full picture of project or program effectiveness, including:[89]

- Output (what capacity has been produced or provided, and what learning has been facilitated)
- Outcome (what changes in performance have occurred because of capacity improvements)
- Impact (how has disaster risk been reduced or otherwise affected)

Monitoring and evaluation are pointless in the absence of an effective strategy to communicate and report on findings. Consultation participants noted that the body of knowledge on CD for DRR was stunted by a lack of published or otherwise available project reports. Moreover, in the absence of a commonly-adopted set of quality standards, planners need to develop their own.

Monitoring and evaluation plans should consider:[90]

2. What will be monitored and evaluated
3. What processes will be employed?
4. How, when, how often, and by whom will monitoring and evaluation occur?
5. Which monitoring, evaluation, and learning approaches are described?
6. Are there dedicated resources for monitoring evaluation and learning activities?
7. Will a mixture of quantitative and qualitative methods be used?
8. Who is responsible for project reporting – to whom, how often, and in what language?
9. How are the lessons learned assessed, documented, shared, and put into practice?

Tools and resources that can be used to guide monitoring and evaluation planning and conduct include:

- The Capacity Development Scorecard. In *A Framework to Monitor Capacity Development Initiatives*. Global Environmental Facility (GEF). http://bit.ly/2isXBRS.

The Capacity Development Results Framework. World Bank. http://bit.ly/2By2VrA

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[89] UNDG, 2017.
[90] Hagelsteen and Burke, 2016.

Appendix 11: Proposed Indicators for Monitoring and Evaluation of Capacity Development for Disaster Risk Reduction

These indicators have been adapted to the DRR context from *Monitoring Capacity Development in GEF operations: A Framework to Monitor Capacity Development Initiatives*, GEF, 2011, pp. 12-16

Capacity Result 1: Capacities for engagement Relevant individuals and organizations (disaster management or DRR department, sectoral ministries, local government, private sector, NGO and civil sector, gender organization, scientific organization, the citizens, and others relevant) engage proactively and constructively with one another in managing a global DRR issue.		
Indicator 1.1 – Degree of legitimacy/mandate of lead disaster risk reduction organizations: This indicator measures whether or not the appropriate organizations and individuals targeted for CD have been identified, as determined by how clearly and accurately their respective responsibilities have been defined (in accordance with Sendai Framework goals and targets) and whether the authority they hold to perform these responsibilities is recognized.	Organizational responsibilities for DRR are not clearly defined	0
	Organizational responsibilities for DRR are identified	1
	Authority and legitimacy of all lead organizations responsible for DRR are partially recognized by stakeholders	2
	Authority and legitimacy of all lead organizations responsible for DRR recognized by stakeholders	3
Indicator 1.2 – Existence of operational multi stakeholder mechanisms: This indicator measures whether or not there exist public and/or private mechanisms (e.g., associations,	No multi stakeholder mechanisms are in place	0
	Some multi stakeholder mechanisms are in place and operational	1
	Some multi stakeholder mechanisms are formally established through agreements, MOUs, etc.	2

contracts, memoranda of understanding) through which the engagement and coordination of DRM stakeholders may occur, and whether or not these mechanisms are functional.	Comprehensive multi stakeholder mechanisms are formally established and are operational/functional	3
Indicator 1.3 – Existence of cooperation among stakeholder groups: This indicator measures the quality of involvement of stakeholders, including representation of all appropriate stakeholder groups, the establishment of stakeholder consultation processes, and the active contribution of these stakeholders to decision-making.	Identification of stakeholders and their participation/involvement in management decision-making is poor	0
	Stakeholders are identified but their participation in management decision-making is limited	1
	Stakeholders are identified and regular consultations mechanisms are established	2
	Stakeholders are identified and they actively contribute to established participative management decision-making processes	3
Capacity Result 2: Capacities to generate, access and use information and knowledge This is the capacity of relevant individuals and organizations to research, acquire, communicate, educate and make use of pertinent information to be able to identify and assess hazard risk and analyse and implement DRR solutions.		
Indicator 2.1 – Degree of stakeholders' disaster risk reduction awareness: This indicator measures how much awareness stakeholders have with regards to the existence and severity of hazard risk at all levels (including the community level), and about the existence and availability of risk reduction interventions.	Stakeholders are not aware about global DRR issues and their related possible solutions	0
	Stakeholders are aware about global DRR issues but not about the possible solutions	1
	Stakeholders are aware about global DRR issues and the possible solutions but do not know how to participate	2
	Stakeholders are aware about global DRR issues and are actively participating in the implementation of related solutions	3

Indicator 2.2 – Access and sharing of disaster risk reduction information by stakeholders: This indicator measures knowledge that exists about the information needs of disaster risk reduction stakeholders, the adequacy of the information management infrastructure in place, and the degree to which sharing of this knowledge and information is occurring.	The DRR information needs are not identified and the information management infrastructure is inadequate	0
	The DRR information needs are identified but the information management infrastructure is inadequate	1
	The DRR information is partially available and shared among stakeholders but is not covering all focal areas and/or the information management infrastructure to manage and give information access to the public is limited	2
	Comprehensive DRR information is available and shared through an adequate information management infrastructure	3
Indicator 2.3 – Extent of inclusion/use of local and traditional knowledge in disaster risk reduction decision-making: This indicator measures whether or not local and traditional knowledge exists among stakeholder groups (including beneficiaries), and whether such knowledge has been captured and shared among stakeholders for effective participative decision-making processes.	Local and traditional knowledge is ignored and not taken into account into relevant participative decision-making processes	0
	Local and traditional knowledge is identified and recognized as important but is not collected and used in relevant participative decision-making processes	1
	Local and traditional knowledge is collected but is not used systematically into relevant participative decision-making processes	2
	Local and traditional knowledge is collected, used and shared for effective participative decision-making processes	3
Indicator 2.4 – Existence of disaster risk reduction education programmes: This indicator looks at the quantity and quality	No DRR education programmes are in place	0
	DRR education programmes are partially developed and partially delivered	1

of formal and informal DRR education that are provided by and available to stakeholders, as a factor of capacity gaps and stakeholder demand.	DRR education programmes are fully developed but partially delivered	2
	Comprehensive DRR education programmes exist and are being delivered	3
Indicator 2.5 – Extent of the linkage between disaster risk reduction research/science and policy development: This indicator measures the linkage between DRR policy and research; including the identification of research needs and research strategies and programmes; and the relevance of the research available to policy development.	No linkage exists between DRR policy development and science/research strategies and programmes	0
	Research needs for DRR policy development are identified but are not translated into relevant research strategies and programmes	1
	Relevant research strategies and programmes for DRR policy development exist but the research information is not responding fully to the policy research needs	2
	Relevant research results are available for DRR policy development	3
Capacity Result 3: Capacities for strategy, policy and legislation development This is the capacity of relevant individuals and organizations to plan and develop DRR policy and legislation, and to develop strategies and plans, all of which support or otherwise operationalize DRR efforts.		
Indicator 3.1 – Extent of the disaster risk reduction ***planning and strategy development process***: This indicator measures the quality of the planning and strategy development process, whether the planning and strategy development process produces adequate plans and strategies related to DRR, and if adequate resources and coordination mechanisms are in place to ensure proper	The DRR planning and strategy development process is not coordinated and does not produce adequate DRR plans and strategies	0
	The DRR planning and strategy development process does produce adequate DRR plans and strategies but there are not implemented /used	1
	Adequate DRR plans and strategies are produced but there are only partially implemented because of funding constraints and/or other problems	2
	The DRR planning and strategy development process is well coordinated by the lead DRR organizations and produces the required DRR plans and strategies; which are being implemented	3

implementation of these plans, programmes and projects.		
***Indicator 3.2 – Existence of policies and regulatory frameworks to support capacity development**: This indicator measures the completeness of the policy and regulatory frameworks that exist or have been put in place to support DRR (including CD for DRR), including measurement of mechanisms for enacting, complying, and enforcing these policies and laws.*	The DRR policy and regulatory frameworks are insufficient; they do not provide an enabling environment	0
	Some relevant DRR policies and laws exist but few are implemented and enforced	1
	Adequate DRR policy and legislation frameworks exist but there are problems in implementing and enforcing them	2
	Adequate policy and legislation frameworks are implemented and provide an adequate enabling environment; a compliance and enforcement mechanism is established and functions	3
***Indicator 3.3 – Adequacy of the information available for disaster risk reduction decision-making**: This indicator measures the adequacy of the information available for decision-making, if the information is made available to decision-makers, and if this information is updated and used by decision-makers.*	The availability of information for DRR decision-making is lacking	0
	Some DRR information exists but it is not sufficient to support the DRR decision-making processes	1
	Relevant DRR information is made available to DRR decision-makers but the process to update this information is not functioning properly	2
	Political and administrative decision-makers obtain and use updated DRR information to make decisions	3
Capacity Result 4: Capacities for management and implementation This is the capacity of relevant individuals and organizations to perform the required implementation actions guided or mandated by DRR policies, plans, strategies and/or regulatory decisions, and the capacity plan and execute relevant sustainable risk management actions and solutions.		
Indicator 4.1 – Existence and mobilization of resources by the	The DRR organizations don't have adequate resources for their programmes and projects and the requirements have not been assessed	0

relevant organizations: This indicator measures the availability of human, financial, and other resources within the relevant organizations, whether potential sources for resource shortfalls have been identified, and whether resources have been mobilized appropriately.	The resource requirements are known but are not being addressed	1
	The funding sources for these resource requirements are partially identified and the resource requirements are partially addressed	2
	Adequate resources are mobilized and available for the functioning of the lead DRR organizations	3
Indicator 4.2 – Availability of required technical skills and technology transfer: This indicator measures the availability of skills and knowledge, if the technical needs and sources are identified and accessed by the program or project, and if there is a basis for an ongoing locally- or nationally-based upgrading of skills and knowledge.	The necessary required skills and technology are not available and the needs are not identified	0
	The required skills and technologies needs are identified as well as their sources	1
	The required skills and technologies are obtained but their access depend on foreign sources	2
	The required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading the technologies	3
Capacity Result 5: Capacities to monitor and evaluate Individuals and organizations have the capacity to effectively monitor and evaluate project and/or programme achievements against expected results and to provide feedback for learning, adaptive management and suggesting adjustments to the course of action if necessary to reduce disaster risk and make risk-informed development decisions.		
Indicator 5.1 – Adequacy of the project/programme monitoring process: this indicator measures the existence of a monitoring framework, if the monitoring involves stakeholders and if the	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme	0
	An adequate resourced monitoring framework is in place but project monitoring is irregularly conducted	1
	Regular participative monitoring of results is being conducted but this information is only partially used by the project/programme implementation team	2

monitoring results inform the implementation process.	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action	3
Indicator 5.2 – Adequacy of the project/programme evaluation process: this indicator measures the existence of an evaluation framework, if the adequate resources and access to information is available and if the evaluation results inform the planning process.	None or ineffective evaluations are being conducted without an adequate evaluation plan; including the necessary resources	0
	An adequate evaluation plan is in place but evaluation activities are irregularly conducted	1
	Evaluations are being conducted as per an adequate evaluation plan but the evaluation results are only partially used by the project/programme implementation team and other staff designing the next generation of projects	2
	Effective evaluations are conducted timely and accurately and are used by the implementation team to correct the course of action if needed and to learn lessons for further project planning activities.	3

These indicators have been adapted to the DRR context from: Global Environmental Facility (GEF). 2011. *Monitoring Capacity Development in GEF operations: A Framework to Monitor Capacity Development Initiatives*. pp. 12-16.

Appendix 12: Summary of Priority Areas and Actions for Capacity Development

Summary of Priority Areas and Actions for Capacity Development		
	Priority Area	Actions
1	Developing and Strengthening Disaster Risk Reduction Fundamentals	1.1 Ensuring Use of Loss and Risk Information
		1.2 Disaster Risk-Informed Development Plans
		1.3 Funding and Resource Mobilization for DRR
		1.4 Monitoring of Sendai Framework Implementation
2	Institutionalizing Disaster Risk Reduction Capacity	2.1 Understanding Links Between Disaster Risk Reduction and Sustainable Development
		2.2 Understanding Climate Risk Across Sectors
		2.3 High-Level Awareness and Cross-Sectoral Understanding of DRR
3	Sharing and Using Risk Information Before and After Disasters	3.1 Conducting Effective Risk Communication and Knowledge Management
		3.2 Enhancing Disaster Preparedness and Planning for "Build Back Better"
		3.3 Understanding Economics of DRR
4	Establishing Collaborative Action for Disaster Risk Reduction at the National and Local Levels	4.1 Establishing an 'All-of-Society' Approach
		4.2 DRR at Local Government Level
		4.3 DRR at Community Level
5	Strengthening External Support Mechanisms	5.1 South-South and Peer-to-Peer Mechanisms
		5.2 UN Country Teams
		5.3 Humanitarian Development Nexus
6	Advancing and Expanding Disaster Risk Reduction Capabilities	6.1 Education for Disaster Risk Reduction
		6.2 Innovation and Use of Technology for DRR

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