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" (WIA) Guidance

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 the UN Office for Disaster Risk Reduction 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 UN Office for Disaster Risk Reduction Global Education and Training Institute (GETI) in collaboration with 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 the UN Office for Disaster Risk Reduction Global Education and Training Institute (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 UN Office for Disaster Risk Reduction 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 total of participants in the consultation events is 328.

The resulting Strategic Approach was then presented and discussed during 2018 Regional Platforms for Disaster Risk Reduction where the approach was affirmed, and language refinements recommended. During the final Regional Platform, Member States and IGOs also began to share examples of what a more strategic approach to capacity development looks like. Cases are to be documented and updated within this living document in the future. The total of participants in the Regional Platform events is 148.

List of Consultations

Region(s)	Event	Location & 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

Region(s)	Event	Location & Dates	Members States	Stakeholders
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)

Region(s)	Event	Location & Dates	Members States	Stakeholders
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

Region(s)	Event	Location & Dates	Members States	Stakeholders
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 (2 surveys, one with follow-up interviews) (49 total participants; 44 surveys only; 5 surveys with follow-up discussion)	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 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.

Region(s)	Event	Location & Dates	Members States	Stakeholders
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.

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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.

- **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 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.

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54   Hemstock, et.al., 2016. P. 16.

55   USAID, 2010. P. 10.

• **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 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.

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56   Oxford Policy management, 2010. P. 3.

57   Few, 2015. P. 10.

- **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 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.

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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]."

- **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]

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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 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.

- **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.

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65   UNDG, 2017. P.10.

66   CADRI, 2011.

• **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 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 Coordinated**

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.

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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.

69   Few, 2015. P15.

• **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 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.

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70   Few, 2015. P15.

- **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]

72   Gardner, Greenblott, and Joubert, 2005.

Appendix 7:

Capacity Development Planning Questionnaire

1. Whose capacities do we need to develop?

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

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

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4. What will be their purpose?

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

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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 Coordinated**

☐ 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 9.1:

Checklist to Address Common Obstacles to Capacity Development for Disaster Risk Reduction

√ **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:

☐ Public and private higher-education institutions have been provided with curriculum development materials and support, including materials translation

☐ Organizations are encouraged or required to publish CD tools and reports in all relevant languages

☐ Participation in academic and training programs have been incentivized through the establishment of minimum DRR educational competencies in DRR-related job descriptions

☐ Online access to training and education is offered

☐ In-country DRR information and knowledge platform that includes lessons learned and good practice has been established

☐ 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:

☐ Integration of DRR, CD, CCA and SD efforts have been pursued, including the use of explicit references in risk-focused legislation

☐ Expansion of policies and programmes that permit eligibility of a greater range of stakeholders has occurred

☐ A wider range of people beyond that extends beyond the offices and agencies most closely linked to DRR is being exposed to CD efforts

☐ 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:

☐ Partnerships and collaboration opportunities have been pursued with stakeholders and partners in order to create opportunities for secondment of officials with CD needs

☐ Partnerships have been established with the private sector and academia

☐ Capacity assessments have been conducted in order to better understand the scope of technical expertise that exists among all stakeholders

☐ Long-term resource development strategies have been crated as a component of a national or sub-national CD strategy, linked where possible to legislation

☐ 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:

☐ A comprehensive stakeholder analysis has been performed at the earliest stages of project design

☐ Local organizations have been encouraged to play a key role in project management and decision-making

☐ Projects are demand-driven and needs-based

☐ 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:

☐ 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

☐ 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

☐ Individuals or ministries capable of championing CD for DRR have been identified

☐ 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

☐ Stakeholder awareness of CD needs has been increased

☐ Coordination mechanisms have been established for CD efforts at all levels

☐ Migrants have been engaged in DRR planning and processes wherever possible

Appendix 9.2:

Additions to Checklist to Address Common Obstacles to Capacity Development for Disaster Risk Reduction

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?

- 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).

- 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.

Who is best positioned to address it?

- Through all institutions: not only through disaster management units but all sectors (integrating DRR in their plans).

- Government leading multi-sector stakeholders

- National Platforms

- 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).	• Universities
• 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.	• Media (to generate positive stories)
• 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.	• UN agencies, e.g. the UN Office for Disaster Risk Reduction could start an integrated online platform, and academic institutions, amongst other service providers, could pick up work from the platform.
• Use university knowledge/research for cost-benefit analysis.	• Regional Organizations and IGOs.
• Other sectors must understand how DRR is relevant to them and their work.	• Networks and associations for resilience, e.g. The Pacific Resilience Partnership (PRP)
• 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.	
• Governments and donors should balance funding allocations for all.	
• 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. • 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. • The UN Office for Disaster Risk Reduction: 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. • 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.	• National Platforms. • The UN Office for Disaster Risk Reduction 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

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 conflict-sensitive approaches in DRR, and risk-sensitive approaches in conflict prevention. • Focus on capacitating trusted local/national actors. • Capacitate Regional bodies on national challenges. • 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. • Understand and capacitate how to avoid conflict. Address underlying risk drivers of 'inequality' and reinforce inter-community dialogue. • Promote good governance: due to "power grabs" and fragmentation, coordination is key, as well as use of local trusted actors. • If possible, identify the key capacities that need to be strengthened. Undertake hazard and vulnerability assessments. • Post-conflict: • Understand 'who's left': strengthen institutions wherever they exist.•	• Integrate/target capacity building of peacebuilding processes. • Key intermediary organizations especially Civil Society, during post-conflict situation when country rebuilding. • Identify and target those 'who are left' post-conflict (e.g. elderly, women, children). • Regional bodies as a liaison between government and UN; risks are shared and Regional Organizations can help coordinate. • Capacitate and utilize regional and global peacekeeping forces both pre- and post-conflict identified by government. • Broad participation from national to local, local authorities and NGOs. • Local/national/regional CSOs and humanitarian actors need to be capacitated to remain as a neutral actor. • Local population, who best understand change (pre-conflict). • Media in raising public awareness.

Additional Challenges : Need more DRR education in university curricula

How can we address this challenge?

- Create demand: Disseminate better what's available, across different fields.

- Need to understand that cadres trained now in universities will implement DRR beyond 2030.

Who is best positioned to address it?

- DRR experts need to be able to speak the language of different sectors (i.e. economy and finance, banking industry).

- Media (positive messages!)

Additional Challenges : General challenges and considerations requiring attention
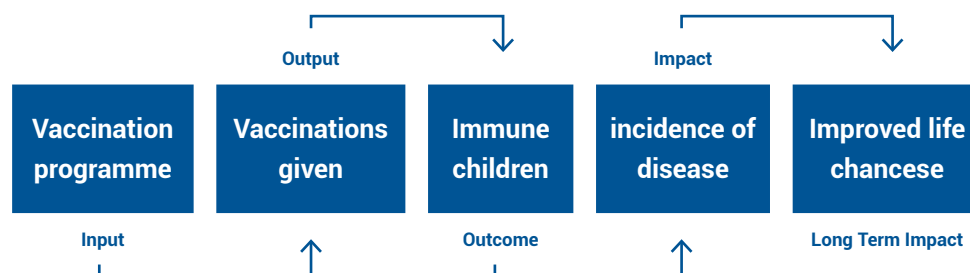
- Sustainability.

- 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).

Output		Impact	
Vaccination programme	**Vaccinations given**	**Immune children**	**incidence of disease**	**Improved life chancese**
Input		Outcome		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).

Activities	Outputs	Outcomes	Impact
Capacity building Support fDr 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 workfrce strengthened to address public health threats Health protective technical systems enhanced and expanded	**Improved global health security at national, regional and global levels**

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

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73   UNISDR, 2015b. Paragraph 7.

74   UNDP, 2009.

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:

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:

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75   UNDG, 2017.

76   LenCD, n/d.

77   CADRI, 2011.

78   Hegelsteen and Becker, 2014.

79   Few, P.14.

- 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]

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,

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80   Hagelsteen and Becker, 2014.

81   CADRI, 2011.

82   UNDP, 2011; UNDP, 2009.

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/2jOu3ul.

• 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]

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.

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83   UNDP, 2011.

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.

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84   Adapted from Global Environmental Facility, 2010. P.8.

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

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?

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85   UNDG, 2017.

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?

- 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.

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86   UNDP, 2011.

87   UNDP, 2011.

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).

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.

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88   Hegelsteen and Becker, 2016.

89   UNDG, 2017.

Monitoring and evaluation plans should consider:[90]

    1. What will be monitored and evaluated

    2. What processes will be employed?

    3. How, when, how often, and by whom will monitoring and evaluation occur?

    4. Which monitoring, evaluation, and learning approaches are described?

    5. Are there dedicated resources for monitoring evaluation and learning activities?

    6. Will a mixture of quantitative and qualitative methods be used?

    7. Who is responsible for project reporting – to whom, how often, and in what language?

    8. 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

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

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90   Hagelsteen and Burke, 2016.

Appendix 11:

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

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, contracts, memoranda of understanding) through which the engagement and coordination of DRM stakeholders may occur, and whether or not these mechanisms are functional.	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
	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 of formal and informal DRR education that are provided by and available to stakeholders, as a factor of capacity gaps and stakeholder demand.	No DRR education programmes are in place	0
	DRR education programmes are partially developed and partially delivered	1
	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 implementation of these plans, programmes and projects.	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

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 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 DRR organizations don't have adequate resources for their programmes and projects and the requirements have not been assessed	0
	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 monitoring results inform the implementation process.	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 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:
Proposed Indicators for Monitoring and Evaluation of Capacity Development for Disaster Risk Reduction

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

Appendix 13:
Capacity Development Strategy Examples and Guidance

This appendix provides references towards the development of capacity development strategies or full text examples. As a living document, this section will be updated over time.

Capacity Development Strategy Examples:

1. **Capacity Development Strategy for Disaster Risk Management in Myanmar 2017-2030**
   Ministry of Social Welfare, Relief and Resettlement, 2017 (http://preventionweb.net/go/59712)