

## 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 created 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 localizing 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?*

- 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.

#### *Who is best positioned to address it?*

- 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?*

- Disseminate better and increase awareness of existing programmes: demand is lacking. Sometimes programmes exist but are not taken advantage of because of lack of awareness (e.g. underattended DRR courses within Masters programmes).
- Need to integrate into formal institutions and curricula: there are programmes, but too much “ad-hoc approach”. Develop risk management courses and standards in the university level training of disaster management.
- Sustainable access is needed. Use technology more for DRR training (e.g. online platforms). Make existing programmes and resources inclusive. Global and National integrated platform for training/ learning is needed.
- Use university knowledge/research for cost-benefit analysis.
- Other sectors must understand how DRR is relevant to them and their work.
- 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.

### *Who is best positioned to address it?*

- Universities
- Media (to generate positive stories)
- 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.
- Regional Organizations and IGOs.
- Networks and associations for resilience, e.g. The Pacific Resilience Partnership (PRP)

## 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?*

- 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.

### *Who is best positioned to address it?*

- 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?*

- 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)

### *Who is best positioned to address it?*

- 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?*

- “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.

### *Who is best positioned to address it?*

- 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?*

- 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.

#### *Who is best positioned to address it?*

- 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?*

- 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

#### *Who is best positioned to address it?*

- 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?*

- 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).

*Who is best positioned to address it?*

- 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?*

- 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.

### *Who is best positioned to address it?*

- 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.