

Section 5: Anchors for Effective Capacity Development for DRR

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

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

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

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

A possible approach to anchor capacity development could be to integrate a capacity development plan with the national and local DRR plans as required by the Sendai framework. The trade-off would be that a separate CD strategy would allow a closer engagement of stakeholders specific for CD. The process of engagement is critical, especially convening a broad range of stakeholders to agree on priorities, to promote a common vision of what the problem is and what the opportunities are, as well as the collective resources available. The plan could be developed by a Committee of stakeholders, which will also monitor the implementation by developing local contextualized indicators. Stakeholders must include those who manage the resources in the governments – the Ministry of Finance and the Budget Office. Should also include Planning Ministry, and other sector Ministries to cover all aspects of development, aiming for Resilient SDGs.

Another option could be for the regional intergovernmental organizations to articulate regional CD priorities and further supporting countries to assess and their CD priorities. A third option is to integrate the CD plan with the National Adaptation Plan (NAP), integrating climate change adaptation with disaster risk reduction. The CD requirements for DRR may also be integrated with the national or local annual development plans. CD would help officials from other departments and Ministries appreciate DRR. Similarly, grass roots level planning will help raise awareness of the community.

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

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

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

Indicators as developed should enable evaluation of:

- Output
- · Outcome, and
- Impact

Ultimately, it is the impact, as measured against the 38 Sendai Framework Indicators, that determines the success of CD efforts³⁹ in terms of reductions in disaster risk that occur because of having been performed. However, what can be and is achieved is a function of the capacity gains, and these gains merit their own measures as driven by the goals of CD itself. Appendix 11 includes a number of proposed indicators for monitoring and evaluation of CD for DRR.

The indicators proposed here are for measuring the impact of a CD project or initiative e.g. have CD measures taken reduced the incidence of fires in my city? A baseline could be developed by the government, and then change is measured over years. They are not linked in any manner with the indicators for the SDGs and for the Sendai Framework monitoring. The idea is not meant to increase the work load of governments and development partners, the objective is to ensure that any CD effort is accompanied by simple indicators which can help to measure progress and impact over time. Without a mention, it is often the case that indicators are not part of the original plan for CD, missing out on an opportunity to measure and demonstrate success in CD. This strategic approach recommends that all projects and efforts must have indicators to measure the level of capacity that has been developed, understanding that CD is a long process.

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

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

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

- Enable partners to post demands, search for solutions, share solutions and collaborate
- Help partners, including private sector banks and businesses, assess demands and facilitate collaboration between each other in seeking or sharing solutions.

³⁹ http://bit.ly/2iUt1NC.

⁴⁰ UNDP, 2016.

⁴¹ UNDP. n/d. P. 1.

- Provide advisory services to partners, including resources and expertise for feasibility studies, adaptation of solutions for a specific context, project implementation, monitoring and impact assessments.
- Encourage and allowing partners to share solutions, post their demands and proactively seek collaborative opportunities and partnerships to create a vibrant marketplace of ideas, expertise, knowledge and technologies.
- Enable partners to map services and demand, collect case studies and good practices, coordinate knowledge management with other groups and networks including Prevention Web, STAG, Youth academy of science, CADRI, SSMart, and more nontraditional groups.

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

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

CD partners can work together to develop DRR capability and competency guidelines. Guidelines should be locally- or nationally-relevant to the extent possible, and provide a means to achieve the desired output, outcomes, and impacts of DRR efforts including those aligned with the Sendai Framework. Capabilities are supported by competencies, and are delivered by various combinations of planning, organization, equipment, training, and exercise.

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

Examples of information that capability standards may provide include:42

- Identification and definitions of specific capabilities
- · Expected outcomes and impacts of the capability
- · Relationships to and influences on and of other capabilities
- The activities, tasks, and measures that must be performed in order for the capability to meet expectations (capability elements)
- Preparedness measures required to ensure capabilities exist

⁴² US Department of Homeland Security, 2007. pp. 6-9.

- Performance measures or other assessments to evaluate capabilities
- · Capability activity process diagrams and relational maps
- Capability development planning assumptions
- Differentiated capability and capacity measures (i.e., needs distinguishes by community size or hazard profile)
- Relevant capability and capacity standards reference material

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

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

Whether through a country's national DRR platform or by cooperative agreement between academic and training institutions that provide relevant course offerings, centralization of curriculum development and course offerings is an implementation solution that carries significant promise. Like the marketplace of providers mentioned above, such 'institutes' could facilitate the connection of providers of education and training with the individuals and organizations for which training is an identified need. A national government body could provide oversight of such institutions, linking the work of the institute with a national or local CD plan. This body could also maintain standards, conduct mapping of CD initiatives, and validate proposals for CD.

The infrastructure around which such an institute is built could vary in size according to the needs and resources of the stakeholders that create it, centring on such functions as administration, hosting of technological solutions, storage or materials and coursework, granting of certifications, and other related tasks (e.g., marketing and outreach). However, the effort could and perhaps should remain user driven, with the communities of stakeholders engaged in DRR best equipped to develop guidance documents, texts, lectures, courses (including downloadable course content for instructors to adopt), and other resources to support standards- and needs-driven CD. Such institutes could also serve as platforms by which stakeholders assess and address professionalization needs and opportunities and push the agenda among academic and other partners.

Anchoring through United Nations Engagements

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

For UN agencies potential possibilities include:

1. UNDAF (and other UN strategic partnership frameworks)

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

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

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

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

Similarly, the proposed analytical framework on risk and resilience⁴⁶ has suggested a systems-thinking approach, a risk and resilience equation, and a prevention lens to guide the implementation of these measures within the UN system.

⁴³ United Nations General Assembly, 2017b.

⁴⁴ From: Repositioning the United Nations development system to deliver on the 2030 Agenda: our promise for dignity, prosperity and peace on a healthy planet, Report of the Secretary-General

⁴⁵ https://www.unsceb.org/content/un-system-strategic-approach-climate-change-action-0

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

2. United Nations Plan of Action on Disaster Risk Reduction for Resilience: Towards a Risk-Informed and Integrated Approach to Sustainable Development (UNPoA)

The UNPoA identifies three key results of **Commitment 2** Build UN system capacity to deliver coordinated, high-quality support to countries on disaster risk reduction:

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

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

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

For coordination with national governments, possibilities include:

1. CD for DRR Platform (Marketplace)

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

2. The Sendai Framework Monitor

The governments, through the national Sendai focal points, will be asked to report on the adherence of the strategic approach within the country. (Relevant custom nationally

⁴⁷ http://global-ssmart.org/en

determined indicators). The Sendai Monitor tools (custom indicators portion) can help governments develop plans for DRR, detailing activities to be undertaken to achieve the resilience desired in the Sendai Framework. Projectization of the activities defined under the DRR plan will help develop a finance mechanism for the plan. The custom indicators also ask for dedicated CD plans or policies and can involve local governments.

Indicators relevant for this action:

Custom Nationally Determined Indicators:

5. DRR education, awareness raising and CD⁴⁸

- I-20: Mandatory Education: Are disaster risk knowledge (disaster mechanism, DRR measures and emergency preparedness) incorporated into the national educational curriculum at primary and secondary levels? (Y/N)
- I-23: CD for government official: Are there dedicated plan or policy to strengthen the DRR capacity of public officials at both national and local levels? (Y/N)
- I-24: CD for civil and private sector: Are there a dedicated plan or policy to strengthen the DRR capacity of civil and private sector?

 (Y/N)

4. Accountability and liability

II-15: Capacity Review: Does the national government carry out assessment of the technical, financial and administrative DRM capacity to deal with the identified risks at national and local level? (Y/N)

Global Targets:

Global target F: Substantially enhance international cooperation to developing countries through adequate and sustainable support to complement their national actions for implementation of this framework by 2030.

F-7 Number of international, regional and bilateral programmes and initiatives for DRR-related CD in developing countries.

The role of regional inter-governmental organizations can be important. Regional strategies can help develop and adopt custom indicators relevant to the region. The regional IGOs can ensure all their members report on the global target on CD, F7, and on the custom indicators. They

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

can also play a role in linking the members to the marketplace. A similar role can be played by regional and national training institutes.

Next Steps

The process of implementing this Strategic Approach may include organization of pilots and eventual upscaling for the suggested Anchors. Dissemination with entities engaged in capacity development, as well as with national governments, will be a continuing process. Additionally, efforts will be made to disseminate the approach amongst SDG, climate groups and networks. The idea of supporting the development of standards and accreditation will be explored through engagement with scientific and academic groups.

To enable a more user-friendly version of this Strategic Approach, the document is made available online, in modular form, so users can select and download portions relevant to their context and needs (https://www.preventionweb.net/sendai-framework/capacitydevelopment). The online platform will be maintained as a living resource based our collective experiences with space for relevant related entry points, example strategies, best practices, links to guidance on "how to implement DRR", tools, and potentially a Marketplace. Focus would be to provide a menu of options for countries looking at CD for DRR.