



**UNDRR**

UN Office for Disaster Risk Reduction

**SENDAI FRAMEWORK**

FOR DISASTER RISK REDUCTION 2015-2030

# Disaster Risk Reduction and Climate Change Adaptation

## Pathways for policy coherence in Sub-Saharan Africa



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*Pathways for policy coherence in  
Sub-Saharan Africa*

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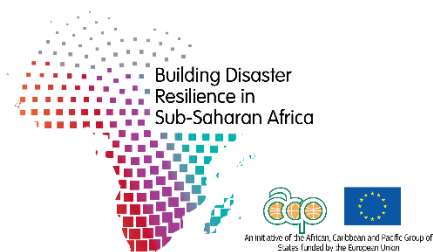
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# Acronyms

AUC	African Union Commission
ARC	African Risk Capacity
CCA	Climate Change Adaptation
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EWS	Early Warning Systems
GAR	Global Assessment Report
GCF	Green Climate Fund
GEF	Global Environment Facility
GFDRR	Global Facility for Disaster Risk Reduction
GRAF	Global framework for risk assessments
IFRC	International Federation of the Red Cross and Red Crescent Societies
IPCC	Intergovernmental Panel on Climate Change
LDCs	Least Developed Countries
LDCF	Least Developed Countries Fund
M&E	Monitoring and Evaluation
NAP	National Adaptation Plan
NDC	National Determined Contributions
NDRRP	National Disaster Risk Reduction Platform
NGOs	Non-Governmental Organizations
NSO	National Statistics Office
OECD	Organization for Economic Cooperation and Development
OIEWG	Open-Ended Intergovernmental Expert Working Group
RECs	Regional Economic Communities
SCCF	Special Climate Change Fund
SDGs	Sustainable Development Goals
SSA	Sub-Saharan Africa
UNDP	United Nations Development Programme
UNDRR	United Nations Office for Disaster Risk Reduction
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention for Climate Change
VNR	Voluntary National Review
WBG	World Bank Group

# Executive Summary

**The Agenda 2030 calls for enhanced policy coherence for sustainable development.** In response to this call, in sub-Saharan Africa, the United Nations Office for Disaster Risk Reduction (UNDRR) is working on fostering policy coherence among two practices which are closely linked: Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA). By generating more efficient and effective preparedness, response and recovery processes while making more efficient use of financial and human resources, **policy coherence among DRR and CCA practices can contribute to a more sustainable development.**

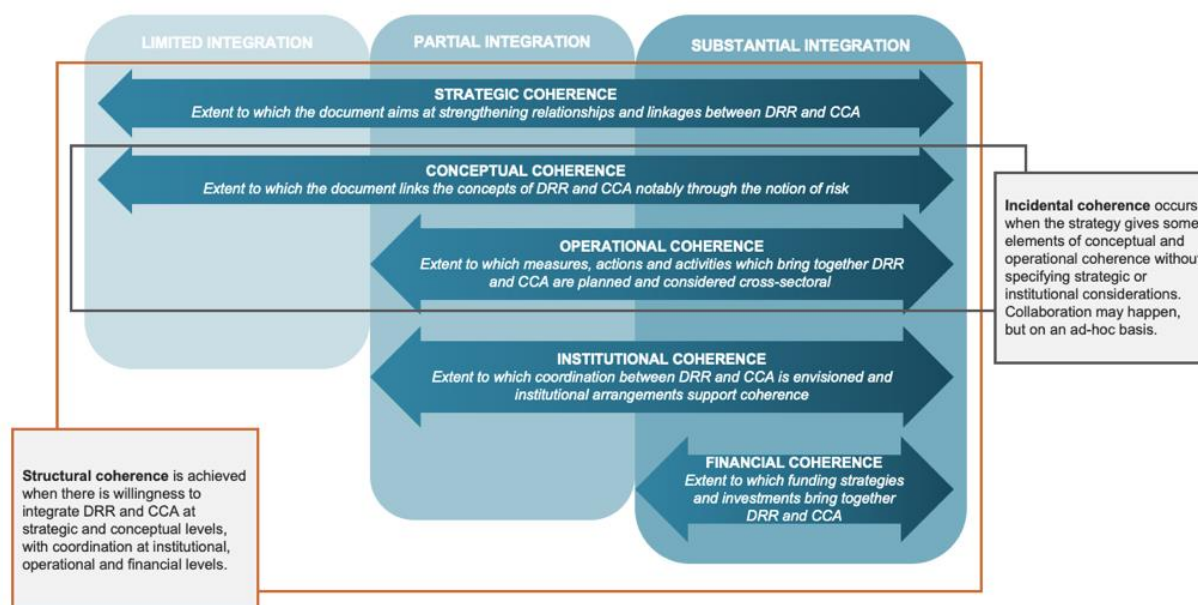
Nonetheless, as DRR and CCA have been historically managed by different political processes and communities, the way to policy coherence is paved with challenges. Building upon the common aim of the Agenda 2030, the Sendai Framework for Disaster Risk Reduction (2015-2030) and the Paris Agreement on climate change, to reduce vulnerability and enhance resilience to the impact of disasters and climate change, **the report proposes pathways for policy coherence in sub-Saharan Africa based on an analysis of policy documents.**

In light of the **integration spectrum**, the report proposes an approach to assess the level of integration - limited, partial or substantial - of the two fields in DRR and CCA policy documents in sub-Saharan Africa. Strategic, conceptual, institutional, operational and financial aspects were analyzed in DRR and CCA strategies from thirty-two (32) countries in the region out of the 44 countries covered by the UNDRR Regional Office for Africa (ROA).

- **Strategic coherence:** looks at whether DRR and CCA are explicitly addressed jointly or if there is an aim to strengthen the relationship and linkages between the two fields.
- **Conceptual coherence:** explores how countries link DRR and CCA conceptually, in particular through the concept of risk.
- **Institutional coherence:** analyses whether coordination between DRR and CCA is envisioned, and if and how institutional arrangements support coherence.
- **Operational coherence:** looks at measures, actions and activities which bring together DRR and CCA practices and to which extent planning is considered cross-sectoral.
- **Financial coherence:** explores whether and how funding strategies and investments bring together DRR and CCA.

The analysis suggests that **policy coherence is more incidental than structural.** Integration of DRR and CCA in policy documents does not seem to be deliberately planned but inadvertent. Although there are conceptual elements which show a recognition of linkages between disasters and climate change, and operational elements which indicate overlapping activities, there is rarely an indication that these are the results of a collaborative process. In the absence of detailed cross-sectoral strategies, the level of collaboration in the design and implementation of activities cannot be assessed.

## The conceptual framework of the integration spectrum



**Moving to a more substantial integration of DRR and CCA in policy documents means advancing towards a structural approach to coherence** whereby **strategic, conceptual, institutional, operational and financial coherence are achieved**. First, this would require particular emphasis on conceptual and institutional coherence to ensure that policy documents clarify roles and responsibilities and set a basis for coherent cross-sectoral implementation of DRR and CCA. Second, financial aspects in support of DRR and CCA are weak - if not absent - thereby putting a coherent implementation at risk. It is therefore essential to strengthen financial considerations.

**Institutional arrangements are a corner stone of structural coherence and should be strengthened**. In sub-Saharan Africa, policy coherence requires multi-stakeholder engagement involving governments and partners. At the government level, existing mechanisms such as DRR platforms or climate change committees, offer the opportunity to increase synergies across sectors, scales and instruments. Ideally, countries could consider integrating part of the administrative set-up, through joint DRR-CCA Committees or Platforms as it can contribute to a more efficient use of financial and human resources while ensuring enhanced coordination.

**As key government partners, international and regional organizations and agencies should support governments in their efforts towards coherence**. A preliminary mapping of some actions conducted by non-government actors in the region, whom are engaging on DRR and CCA through financial support and technical assistance, underlined that policy coherence is often supported incidentally by the integration of actions dealing with climate extreme events and not always supported at the institutional and financial levels. As such, actors working on DRR and CCA should place policy coherence as an explicit aim of their actions and seek coordination and partnerships with other implementing partners based on their comparative advantage. Within the UN system, the United Nations Country Team (UNCT) under the leadership of the Resident Coordinator, represents a space of coordination at the national level.



Drawing upon the analysis of governments' policy documents and coordination mechanisms, **this report proposes pathways for achieving policy coherence in sub-Saharan Africa based on the four priorities of the Sendai Framework**: Understanding risks; Governance; Investments; and Preparedness and Recovery. The below recommendations are aimed at governments and implementing partners who support DRR and CCA at regional and national levels. For effective policy coherence, all activities require involvement of DRR and CCA experts and policy makers at national level.

### 1. Develop common grounds for understanding risks to inform policy-making

- Map data available for hazard and vulnerability assessments, to identify gaps and enhance data availability, data sharing and data repositories
- Develop joint-methodologies for hazard and vulnerability assessments
- Conduct risk assessments and share results to enhance knowledge, discussion and feedback
- Enhance availability of local data and strengthening of local institutions dealing with risk and disaster loss data
- Strengthen capacities of DRR and CCA policy makers and experts on the use of risk assessments for risk-informed policy making (DRR&CCA strategies, sectoral policies, national development plans), this includes capacity to draft terms of reference of risk assessment studies
- Promote the use of disaster loss databases and historical disaster trends analysis on extreme events
- Promote collaboration between disaster management agencies, climate change departments, meteorological services, scientific community, academia, sectorial representatives, national statistics offices, geospatial agencies, among others for the development of comprehensive risk assessments.

### 2. Establish a strong governance system to achieve long-term resilience

- Map institutions, coordination mechanisms, legal frameworks, policies, strategies, M&E's frameworks and partners initiatives, which are already in place for DRR and CCA. Undertaken jointly by DRR and CCA actors, it should identify synergies, overlaps and gaps.
- Convene multi-stakeholder peer-learning exchanges to review information and identify opportunities to harmonize policy, strategies and M&E's frameworks and address capacity gaps.
- Promote legal frameworks that integrate effectively DRR and CCA, clarify mandates and assign roles and responsibilities while addressing the needs of vulnerable groups.
- Increase awareness and understanding of coherence of government actors through the dissemination of advocacy tools and facilitation of trainings and peer-learning exchanges.
- Ensure systematic integration of DRR and CCA policy makers and experts in existing inter-ministerial and multi-stakeholder platforms and committees at national and local levels (e.g. DRR Platforms; Climate change committees).
- Capitalize on current DRR and CCA planning processes (e.g. NAPs and strategies), involving DRR and CCA lead implementing agencies and experts to ensure structural integration through strategic, conceptual, institutional, operational and financial coherence.
- Strengthen National Statistics Offices (NSO) for the production and centralization of data and information related to risk-assessments and indicators.

- Capitalize on current monitoring and reporting processes such as Voluntary National Reviews (VNRs) and the Sendai Framework Monitor (SFM) reporting.

### **3. Increase investment and budget support for DRR and CCA**

- Convene DRR and CCA actors together with Ministries of Finance to define methodologies and approaches for tracking investments and expenditures in DRR and CCA.
- Conduct risk-sensitive budget reviews and expenditure reviews and use them for advocacy towards investments in and budget support for DRR and CCA.
- Facilitate dialogue among Ministries of Finance, Planning and DRR and CCA structures to identify priorities for interventions and convene actions for increase investment for resilience and optimize sources of funding and domestic resources.
- Promote collaboration between DRR and CCA actors to support the development of risk financing strategies combining budget support, risk transfer and insurance mechanisms.
- Enhance awareness on the role of the private sector for DRR and CCA and advocate for its involvement to enhance resilience in a coherent manner.

### **4. Clarify roles for preparedness and enhance adaptation for building back better**

- Promote policy dialogue among meteorological services, CCA and DRR stakeholders to clarify roles and responsibilities in Early Warning Systems (EWS) and optimize interventions (capacity building, data availability, standard operating procedures and linkages to response and adaptation).
- Strengthen coordination mechanisms to define implementation modalities of areas of work that converge among DRR and CCA strategies, namely those dealing with preparedness, EWS and emergency response.
- Ensure systematic integration of adaptation to inform recovery planning through capacity building, comprehensive risk-assessments and coordination mechanisms.
- Coordinate the coherent application of social protection, insurance and risk transfer mechanisms foreseen for the response and recovery phases by both DRR and CCA strategies

# Introduction

## Background

**Climate-related disasters accounted for about 90 percent of the 7,255 major disasters between 1998 and 2017, most of them floods and storms** (Wallemacq & House, 2018). With the rise of global temperatures, climate-related disasters will become more frequent and intense: putting lives, livelihoods and economic assets at risk (IPCC, 2018). Already, the last twenty years have seen a dramatic increase of 251 percent in direct economic losses from climate-related disasters.

**Over the past decades, Sub-Saharan Africa (SSA) has been particularly impacted** (Paeth, et al., 2010). As large numbers of population depend on agriculture to live, the consequences of extreme weather events such as droughts and floods have disastrous impacts on people, livelihoods and assets. In the last three months of 2019 alone, floods in Central and East Africa have affected millions of people (OCHA, 2019), and about 1200 people lost their lives (Save the Children, 2019). Furthermore, as temperature increases in sub-Saharan Africa are projected to be higher than the global mean temperature increase, the region will be more exposed to temperature extremes and climate-related risks (IPCC, 2018).

**Reducing disaster risk and adapting to climate change is therefore necessary to achieve sustainable development.** Disaster risk reduction (DRR) and climate change adaptation (CCA) are two fields of work which aim at strengthening resilience of people and societies by managing risks and adjusting to climate change. Although, they have strong similarities and complementarities, DRR and CCA are often implemented in separate ways as they have emerged from different global processes and are managed by different actors and custodian agencies.

### Box 1: Definitions DRR and CCA

**Adaptation:** In human system, the process of adjustment to actual or expected climate and its effects, in order to moderate harm or exploit beneficial opportunities. In natural systems, the process of adjustment to actual climate and its effects; human intervention may facilitate adjustment to expected climate and its effects. (IPCC, 2018)

**Disaster risk reduction** is aimed at preventing new and reducing existing disaster risk and managing residual risk, all of which contribute to strengthening resilience and therefore to the achievement of sustainable development. (UNDRR, 2016)

**In 2015, Members of the United Nations adopted the Sendai Framework for Disaster Risk Reduction 2015-2030, the Paris Agreement for Climate Change and the 2030 Agenda for Sustainable Development.** Recognizing the linkages between DRR, CCA and sustainable development, the communities managing the three global processes have started to introduce and promote more coherence in their respective core agreements. For instance, the Sendai Framework notes that DRR is essential for sustainable development as disasters can derail development plans and reverse hard-earned development gains. In addition, the Sendai Framework recognizes climate change as a driver of disaster risk, enhancing the frequency and impacts of disasters.

**Nonetheless, the implementation of each agenda has led to the creation of a diverse range of institutional arrangements, planning documents, funding mechanisms and monitoring and evaluation frameworks.** There is therefore a need to identify commonalities as well as differences between these mechanisms in order to overcome siloed approaches and avoid the duplication of efforts in implementing DRR, CCA and sustainable development with the ultimate objective of fostering risk-informed development.

**The overall objectives of coherence are to leverage synergies and mutually beneficial opportunities across policies to support risk-informed development** and to circumvent or minimize potential adverse outcomes of policies on development. This must be achieved by enhancing governments' leaderships' capacities to converge cross-cutting policy objectives and identify trade-offs while ensuring vertical alignment with broader global objectives.

**As the custodian agency overseeing the implementation of the Sendai Framework, UNDRR strongly promotes the alignment of national and local DRR strategies to the Sendai Framework to optimize the participatory, inclusive and intersectoral approach** initiated by countries. Drawing upon the Sendai Framework, UNDRR identified 10 key elements that should be covered by DRR strategies. Key element 9 is to promote policy coherence relevant to DRR such as sustainable development, poverty eradication, and climate change, notably with the SDGs and the Paris Agreement.

**In sub-Saharan Africa, Member States of the African Union have expressed their strong commitment to the implementation of the Sendai Framework** by adopting the Africa Programme of Action (PoA) for the implementation of the Sendai Framework for Disaster Risk Reduction 2015-2030 (AUC, 2016). Despite this important commitment and significant progresses made in aligning DRR strategies to the Sendai Framework, more efforts are needed to increase DRR mainstreaming and accelerate policy coherence across policies and sectors.

**There is still limited understanding of how to achieve policy coherence between DRR and CCA in practice and a limited knowledge of initiatives already underway.** At regional level, some Member states and stakeholders have developed tools and mechanisms to foster policy coherence such as the regional framework for integrated approaches to address climate change and disaster risk management in Asia-Pacific. In SSA, more guidance, entry points and examples of good practices are needed at national and local levels to foster policy coherence between DRR and CCA.

## Objectives

This report aims at enhancing the understanding of how policy coherence is approached in sub-Saharan Africa in order to propose entry points to strengthen policy coherence between DRR and CCA.

This report does not seek to reinvent the wheel by redefining concepts or by arguing whether CCA should be mainstreamed into DRR or DRR should be viewed as a cross-cutting theme within CCA (Birkmann & von Teichman, 2010; Kelman, 2015). Rather, it tries to capture the evolution of concepts and the current status of discussions, building upon the current literature and practitioners' experience, to identify where alignment and coherence can happen.

The target audience of this report includes policy advisers and policymakers in SSA countries working on DRR, CCA and SDGs implementation. Furthermore, the report may provide useful inputs for regional entities, such as the African Union Commission (AUC) and Regional Economic Communities (RECs) as well as for implementing partners in the region including the United Nations System (UNS), the Red Cross Movement, INGOs, Civil Society Organizations (CSOs), academia, donors and other actors supporting policy coherence between CCA and DRR.

## Methodology

**This report builds upon a literature review, a review of planning documents in SSA, interactions and consultations with SSA countries through DRR, CCA and SDGs government representatives (also called “focal points”) as well as a questionnaire** on coherence between DRR-CCA and SDGs (herein after ‘the questionnaire’) that was sent to all DRR and SFM Focal Points in sub-Saharan Africa countries (April 2019).

The literature review covered reports and articles on the evolution of concepts and practices for both DRR and climate change produced by different organizations and authors (NGOs, academia, UN agencies). Articles and discussion papers on the linkages between DRR and CCA from a general perspective and from different regions (e.g. Asia, Latin America) constitute an important part of the analysis.

The review of planning documents included an analysis on how CCA is considered in national DRR strategies, and, likewise, how DRR is taken into account in national CCA strategies and National Adaptation Plans (NAPs). 21 DRR strategies, 26 CCA strategies (including NAPs), and 40 Intended National Determined Contributions (INDCs) were reviewed. The linkages between DRR and CCA were analyzed drawing upon the integration spectrum, an analytical framework which looks at strategic, conceptual, operational, institutional and financial considerations.

This literature review and the desk review of policy and strategy documents was complemented with consultations with researchers as well as practitioners from governments, UN system, development partners and NGOs, through workshops, semi-structured interviews and questionnaires. Notably, this working paper builds on the discussions and findings of a peer-learning exchange on policy coherence between DRR, CCA and SDGs organized by UNDRR in July 2019 in collaboration with other UN agencies and relevant stakeholders working on the implementation of the three global agreements.

Finally, some results from the questionnaire informed the analysis in chapters 2 and 3. The aim of the questionnaire was to get a better sense of the progress and challenges that countries from SSA face in the development and implementation of national DRR strategies and associated processes. The questionnaire was both qualitative and quantitative as it included open-ended, multiple choice and dichotomous questions. Questions were clustered under three main topics, as follows: 1. Disaster Risk Reduction in-country (40 questions); 2. Climate Change Adaptation in-country (15 questions); 3. DRR-CCA and SDGs coordination mechanisms (5 questions). Answered by 70 per cent of SSA countries between April and September 2019, the questionnaire provided instrumental insights and a basis on which to build upon the qualitative analysis of planning documents.

## Outline of the report

**Chapter 1 presents the overarching international frame** which is currently guiding Member States in the implementation of DRR and CCA practices at national level. The chapter then looks at the origins and evolution of the two fields to highlight their similarities, signs of convergence and differences. This is instrumental to understand the benefits of their integration and challenges which hinder policy coherence. Finally, the chapter looks at different conceptual approaches to policy coherence in order to propose an approach to policy coherence in SSA.

**Chapter 2 presents the status of integration of DRR and CCA in sub-Saharan Africa in terms of policy and planning tools** in light of strategic, conceptual, institutional, operational and financial considerations. To this end, the chapter looks at integration of CCA into DRR strategies in countries whom have validated a DRR strategy before 2020. Conversely, the chapter then looks at how DRR is integrated into climate change policies and planning documents, including strategies and National Adaptation Plans (NAPs). Finally, the chapter puts forward some conclusions on how coherence is currently achieved in sub-Saharan Africa through policy and planning documents while giving some recommendations to enhance policy coherence in the region.

**Chapter 3 gives an overview of how various actors working on DRR, CCA and SDGs implementation in SSA are currently working on coherence.** The chapter starts with an overview of how governments in the region are currently approaching policy coherence and how some countries have developed or strengthened governance mechanisms in order to foster policy coherence between DRR and CCA. Furthermore, the chapter presents a preliminary mapping of actions conducted by non-government actors in the region whom are actively engaging on DRR and CCA matters. In particular, the chapter looks at some key global and regional financial actors and implementing partners. The chapter does not present an exhaustive mapping, but provides a basis on which further research can build upon.

**Building upon the findings of previous chapters, Chapter 4 identifies pathways and entry points to further enhance policy coherence in the region.** The entry points are clustered in four categories which are aligned to the Sendai Framework four priorities: (1) Understanding risks; (2) Governance; (3) Investments; (4) Preparedness and building back better.

# Chapter 1: Global and conceptual approaches to coherence

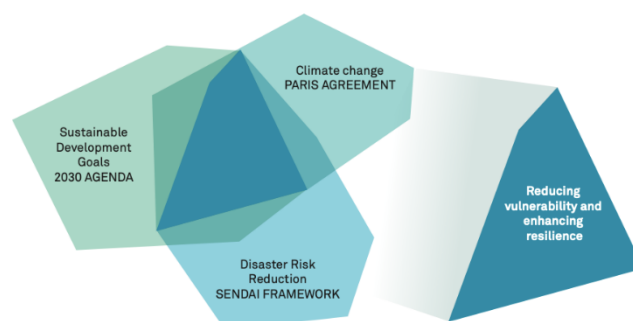
## HIGHLIGHTS

1. **The 2030 Agenda, the Sendai Framework and the Paris Agreement set the global frame for reducing vulnerability and increasing resilience** of population and guide national policy efforts on sustainable development, DRR and CCA.
2. **The Sendai Framework and the Paris Agreement share commonalities in their aim and scope** and include explicit or indirect linkages with the other community on enhancing the understanding of risks, increasing investments and preparedness efforts to tackle climate-related risks. These common characteristics **provide opportunities to build collaboration and policy coherence**.
3. **As political agenda and practices are evolving, DRR and CCA are converging at both conceptual and practical levels.** DRR is becoming more vulnerability-centred and increasingly looking forward, when CCA is more and more concerned with addressing current risks.
4. **As they converge, there are increased opportunities for and benefits of an integrated approach including an enhanced knowledge-base, more efficient use of financial and human resources and improved planning tools and processes** for more efficient and effective preparedness, response and recovery to climate change and disaster risk.
5. **Nonetheless, the different origins of DRR and CCA practices still create strong differences and mismatches in terms of governance, data and information and funding streams** which hinder policy coherence and requires policy approaches for improved collaboration and integration.
6. **Understanding the status of integration between DRR and CCA at the policy level requires to look at policy documents** at national levels: DRR strategies, NAPs and National Development Plans.

## Introduction

**States bear the primary responsibility to prevent and reduce disaster and climate-related risk. Nonetheless, their policies and actions are guided by international frameworks** that they have negotiated and committed to implement. Among them, the Sendai Framework for Disaster Risk Reduction 2015-2030, the Paris Agreement for Climate Change and the 2030 Agenda for Sustainable Development, set the frame for national policy efforts on sustainable development, disaster risk reduction and climate change, and together provide a roadmap for a more sustainable and resilient world (see Figure 1).

**Figure 1: Common objectives of the three global agreements**



Source: (UNDRR, 2020)

**The chapter first presents the overarching international frame which is currently guiding Member States in the implementation of DRR and CCA practices at national level (1.1).** As such, it looks broadly at the umbrella under which all development activities fall: The Agenda 2030. Then the chapter presents the Sendai Framework and the Paris Agreement, highlighting the commonalities and linkages which can serve as a basis to build policy coherence at regional, national and sub-national levels. **The chapter then explores the origins and evolution of the concepts and practices of DRR and CCA at the global level: Where they come from, how they have converged through times and what are the remaining differences and mismatches (1.2).** This part concludes on the remaining challenges which hinder policy coherence between the two fields. Finally, based on these challenges in the context of the post-2015 agreements, **the chapter proposes an approach to policy coherence (1.3).**

#### **Box 2: Definitions cooperation, coordination, integration and coherence**

**Policy coherence or integration** : desired outcome, an end-state in which policies show minimum redundancy, incoherence and lacuna (Peters, Managing horizontal government: the politics of coordination, 1998). The outcome could be a new joint policy or the integration of one component into an existing one.

**Cooperation / Collaboration / Coordination:** understood as mechanisms to reach a common outcome. Cooperation and coordination have been defined as different levels of inter-organizational relationships. While cooperation refers to a more informal and base-level relationship, coordination is established by more structured and formal mechanisms and levels of connectidness (Keast, Brown, & Mandell, 2007) (Meijers & Stead, 2004)

### **1.1 Three global frameworks, one common aim: Enhancing resilience**

#### **1.1.1 Agenda 2030: The umbrella for coherent sustainable development**

**The Agenda 2030 for Sustainable Development and its 17 Sustainable Development Goals (SDGs) form the global policy framework for poverty eradication and a sustainable economic and social development.** Under SDG 17 which aims at strengthening partnerships for development,

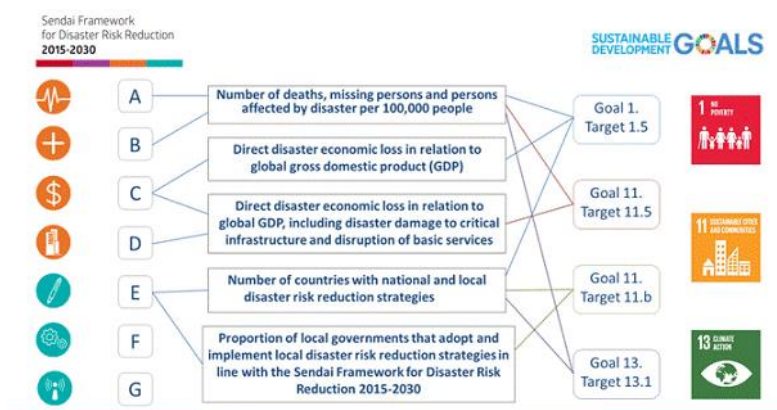


Target 17.14 is to enhance policy coherence for sustainable development. This means ensuring that policies and actors work together in order to achieve sustainable development.

**With regard to climate change, SDG 13 on climate action aims at ‘strengthening resilience and adaptive capacity to climate-related hazards and natural disasters in all countries’** (UN, 2015, p. 23). In addition to this specific goal on climate action, other SDGs also contribute to the aim of strengthening resilience. In particular, UNFCCC (2017) noted that fulfillment of SDGs 1, 3, 5, 6, 14 and 15 is likely to increase resilience to climate change, and SDGs 7, 9, 11 and 12, address the fundamental causes of climate change.

On the other hand, **there are no SDGs specifically focused on DRR but the Agenda 2030 refers to the Sendai Framework** (UN, 2015, p. 22) and **11 indicators of the SDGs 1, 11 and 13** - No Poverty, Sustainable Cities and Climate Action respectively - are directly related to the Sendai Framework’s indicators (see Figure 2).

**Figure 2: Linkages between the SDGs and Sendai Framework indicators**



Source: (UNDRR, s.d.)

**Overall, the Agenda 2030 recognizes that disasters and climate change undermine development gains, and it is necessary to build resilience of people and communities** in order to achieve sustainable development. DRR and CCA are therefore ingrained in sustainable development from a conceptual perspective and in a practical manner by the integration of related goals, targets and indicators.

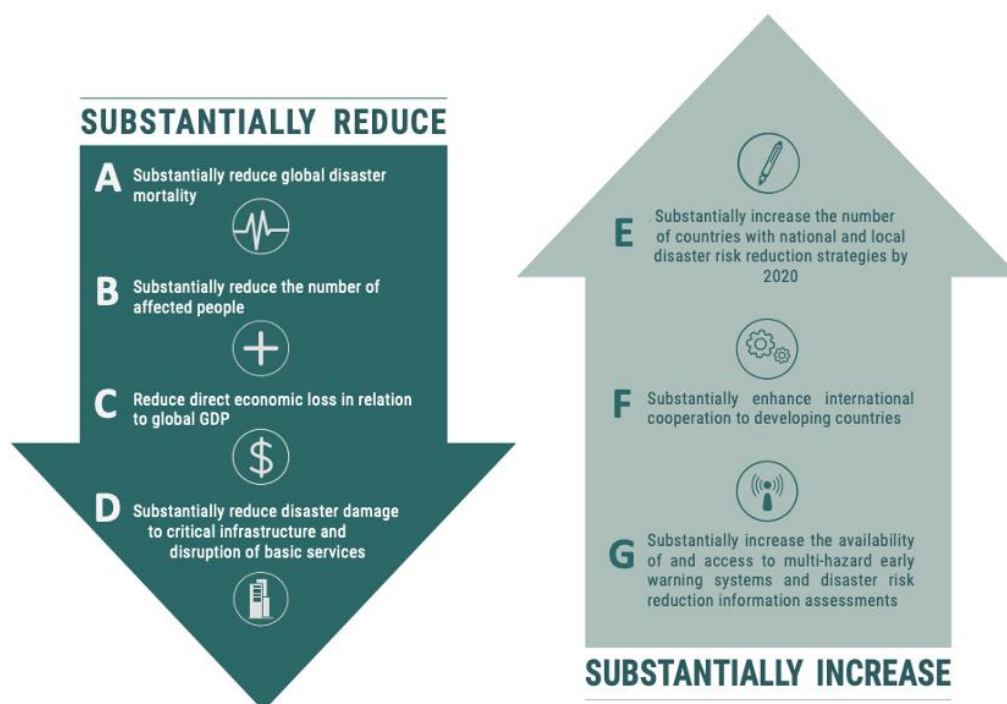
### 1.1.2 The Sendai Framework for Disaster Risk Reduction (2015-2030)

**The Sendai Framework is a 15-year voluntary agreement which aims at preventing the creation of new risks and reducing existing disaster risk** through the implementation of integrated and inclusive measures that prevent and reduce hazard exposure and vulnerability to disaster. To this end, the framework is articulated around four priorities for action and seven (7) targets.

- **Priority 1. Understanding disaster risk** means that disaster risk management should be based on an understanding of disaster risk in all its dimensions of vulnerability, capacity, exposure of persons and assets, hazard characteristics and the environment.

- **Priority 2. Strengthening disaster risk governance to manage disaster risk** means ensuring that strong legal framework, policies, planning tools, and partnerships are in place.
- **Priority 3. Investing in disaster risk reduction for resilience** is about strengthening public and private investment in disaster risk prevention and reduction through structural and non-structural measures.
- **Priority 4. Enhancing disaster preparedness for effective response** and to “Build Back Better” after a disaster.

**Figure 3: The seven Targets of the Sendai Framework**



Source: (UNDRR, 2019)

The Sendai Framework does not directly refer to the post-2015 agreements as it was adopted and endorsed before the 2030 Agenda and the Paris Agreement. Nonetheless, through its guiding principles, it promotes policy coherence with other frameworks and agenda in relation to sustainable development, growth, food security, health and safety, climate change and variability, and environmental management (paragraph 19.h). In particular, **the Sendai Framework promotes direct engagement with the climate change community under priorities 1,2 and 4** in relation to:

1. **The use of climate change scenarios for improved preparedness, response and recovery.** In the Sendai Framework, climate change (CC) is identified as a risk driver, increasing frequency and intensity of disaster risk (paragraph 13). Climate change scenarios, by taking into account long-term climate change and variations, contribute to a better understanding of disaster risks and should be included into comprehensive risk assessments (Priority 1, paragraph 25.b). Ultimately these comprehensive risk assessments which include CC scenarios need to be taken into account when reviewing and updating preparedness and contingency policies, plans and programmes to ensure better preparedness, response and

recovery (Priority 4, paragraph 33.a). However, Kelman (2015) notes that the Sendai Framework does not go into further details regarding the impact of climate change on the different components of risks, and in particular on hazards and vulnerability. On the one hand, the variation in temperatures and precipitations have an impact on the intensity and the frequency of hydrometeorological and biological hazards, on the other hand, it increases vulnerability by affecting ecosystems as well as physical, social and economic factors. If the impact on the hazard is widely understood and included, the second aspect is often lacking in planning processes.

2. ***Improved collaboration at global and regional levels including UNFCCC to address climate change.*** Under Priority 2, which aims at strengthening DRR governance, the Sendai Framework recognizes the need to **foster collaboration between institutions and tools and across sectors including climate change, biodiversity and environment, amongst others**. Nonetheless, this collaboration is limited to global and regional mechanisms and institutions, and does not address governance mechanisms for policy coherence at national and local levels *per se*. Moreover, the Sendai Framework recognizes that United Nations Framework Convention on Climate Change (UNFCCC) bears the mandate for addressing climate change. The Sendai Framework promotes collaboration and partnerships with other agencies working on relevant frameworks and in particular the UNFCCC, in order to 'reduce disaster risk in a meaningful and coherent manner throughout the interrelated intergovernmental processes' (UNDRR, 2015, p. 11).

**At national level**, the Sendai Framework Target E regarding the development of national and local DRR strategies and plans by 2020, is the first step to creating the conditions to manage disaster risk. As such, it is the main planning tool which allows to integrate other dimensions and sectors which are relevant to DRR into planning, and therefore foster coherence.

The Sendai Framework puts emphasis on climate change as it is present throughout the document compared to other risk drivers such as urbanization or specific hazards (tsunami or landslides are not mentioned for instance). This shows that climate change is particularly relevant to DRR. This can also be a symptom of the growing political attention and widespread recognition of the importance of climate change (Tearfund, 2008). Overall the Sendai Framework promotes coherence with climate change actions in particular regarding comprehensive risk assessments and policy development. However, the Sendai Framework lacks a specific reference to the climate change community when addressing the need for investments and use of financial mechanisms for DRR (priority 3).

### 1.1.3 The Paris Agreement for Climate Change

The Paris Agreement is a 10-year binding agreement which aims at strengthening the global response to the threat of climate change by keeping, this century, a global temperature rise well below 2 degrees Celsius above pre-industrial levels and to pursue efforts to limit the temperature increase even further to 1.5 degrees Celsius (UNFCCC, 2015). To do so, the climate change community works on two complementary fronts: mitigation and adaptation.

Mitigation measures and policies are interventions aiming at reducing the emissions of greenhouse gases (GHG) including CO<sub>2</sub> emissions in order to curb the temperature rise. As per Article 4.2 of the

Paris Agreement, the main international tool to monitor the reduction of GHG are National Determined Contributions (NDCs) which countries are required to submit by 2020 to provide an outline of their national ambitions to tackle climate change through mitigation and adaptation efforts. Most countries will only provide an update of their Intended National Determined Contributions (INDCs) also called 'First NDC' which they had prepared in anticipation of the COP21 in order to give an outline of their post-2020 climate actions. The climate actions communicated in NDCs will overall determine whether the world will be able to achieve the long-term goals of the Paris Agreement including achieving net zero emissions in the second half of the century. These NDCs will be reviewed and updated every five years (e.g. by 2020, 2025, 2030), regardless of the implementation time frames.

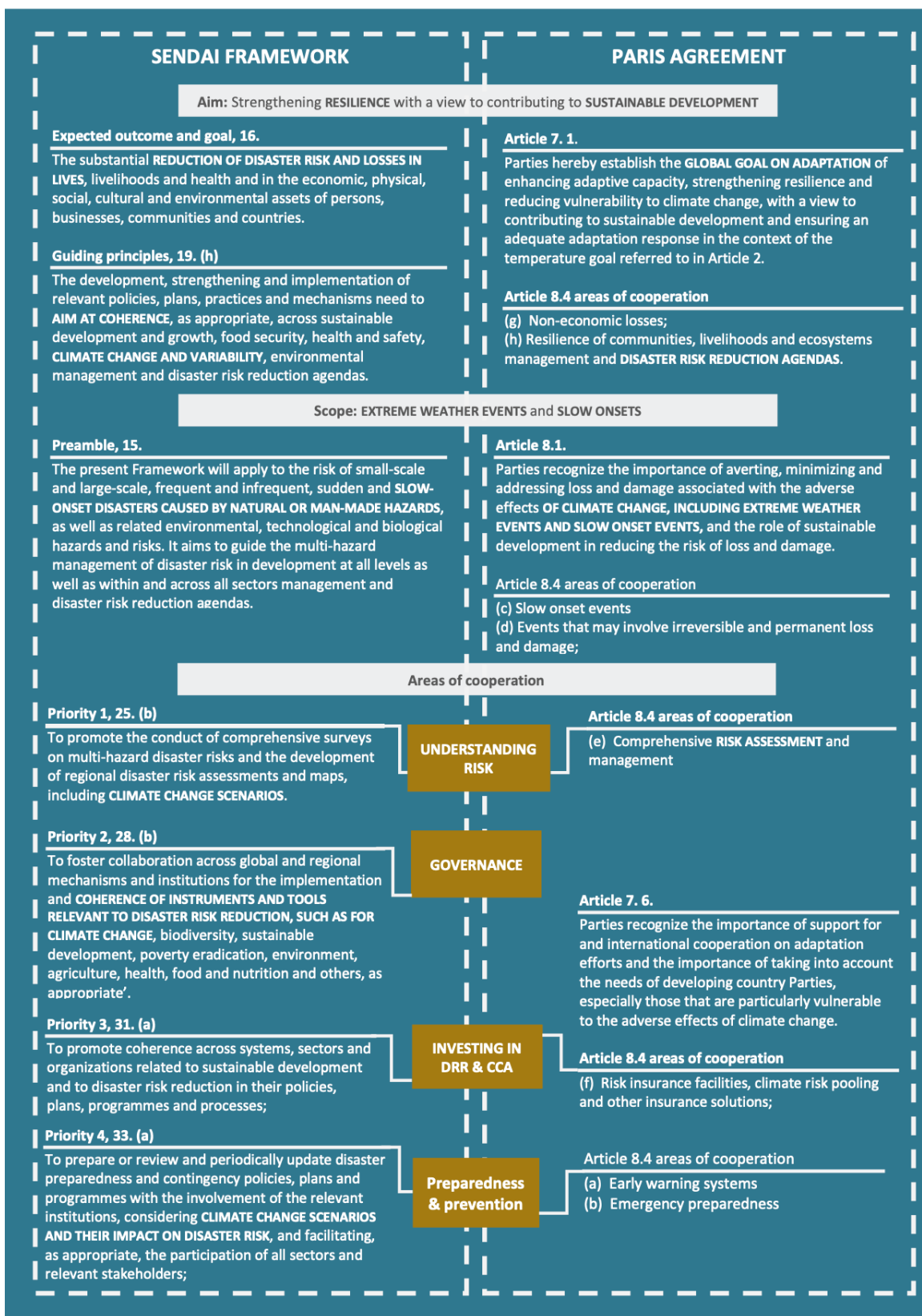
At the same time, experts and the international community recognized that humans need to adapt to a changing climate as temperatures are still rising. Thus, people and societies need to adjust to actual or expected climate and its effects, in order to moderate harm or exploit beneficial opportunities (IPCC, 2018). The Paris Agreement (Article 7) defined a global goal on adaptation, to enhance adaptive capacity, strengthen resilience and reduce vulnerability to climate change, with a view to contributing to sustainable development and ensuring an adequate adaptation response in the context of the global temperature limit of less than 2°C (UNFCCC, 2015).

Along with this global goal on adaptation, Article 9.1 invites developed countries to provide financial resources to developing countries in order to help them achieve their adaptation and mitigation goals. There is no specific number given in the Paris Agreement, however through decision 1/CP.21, paragraph 53, Member States participating in the COP21 extended the goal that was set in Cancun of mobilizing jointly \$100 billion through 2025. Therefore, in addition to domestic revenues, **bilateral and multilateral development partners have committed to enhance their financial support to climate change adaptation efforts and planning processes**. Part of these funds aim at supporting developing countries to develop and / or implement their adaptation activities and in particular National Adaptation Plans (NAPs) which is the main planning instrument in terms of adaptation at national level.

In the Paris Agreement, there is no direct reference to the Sendai Framework, disasters or to the DRR community. Nonetheless, Articles 7 and 8 which tackles respectively CCA and loss and damage associated with effects of climate change, including extreme weather events and slow onset events, are intrinsically linked to DRR. In addition, Article 8.4 gives an overview of areas of cooperation in order to enhance understanding, actions and support for averting, minimizing and addressing loss and damage, all of which are core areas of work of the DRR community and part of the scope, priorities and targets of the Sendai Framework (see below Figure 4). In particular, the Paris Agreement promotes cooperation with other stakeholders on risk assessments, early warning systems and emergency preparedness.

### 1.1.4 Summary of linkages and commonalities between the global frameworks

**Figure 4: Sendai Framework and Paris Agreement commonalities**



The analysis of the linkages between the Paris Agreement and the Sendai Framework gives an overview of the current global frame in which DRR and CCA are implemented while highlighting common characteristics between the two fields of work.

**Both agreements include explicit or indirect linkages with the other community.** While the Paris Agreement refers indirectly to the DRR community and promotes cooperation on risk assessments, EWS and preparedness, the Sendai Framework goes further by explicitly referring to the climate change community and by promoting coherence with climate change on policies, strategies and tools. In terms of financing, both address the need to increase investments in adaptation and DRR through various sources of funding and financing mechanisms such as insurances.

**Most importantly, the two global agendas share the same aim and – in part – the same scope.** Both practices are indeed driven by the same aim to reduce vulnerability and enhance resilience of people and societies for a sustainable development. To achieve this goal, both communities address risks related to extreme weather events and slow onsets. These two conceptual commonalities have therefore led to overlapping areas of work notably in terms of understanding risks, prevention of and preparedness to climate-related risks. In addition, in terms of planning, this means that they are faced with the same need to be mainstreamed into development planning and budgets in order to contribute to sustainable development. As both agreements are aligned with Agenda 2030 timeframe, this provides an opportunity for aligning planning tools and mainstreaming them into development planning.

The analysis points out that DRR and CCA are still managed by different processes and actors. Overcoming siloed approaches to enhance coherence among DRR and CCA requires to go beyond international agendas and explore the origins and evolution of concepts and practices over time.

## 1.2 Different origins but converging concepts and practices

**DRR and CCA practices share common characteristics upon which to build collaboration and coherence. However, DRR and CCA also present differences which hinder policy coherence.** Outlining them is important to underline their complementarities and identify synergies and opportunities for exchanges on knowledge and practices with a view to improving the effectiveness and efficiency of efforts led in both fields. On the other hand, specifying differences helps to understand the remaining barriers to their integration.

**The source of their differences lies into their origins: different cultures, communities and approaches.** After outlining the core differences of the practices based on the fields they originated from, the section looks at how these differences have evolved over time. The section argues that as political processes and field practices evolve, DRR and CCA communities have shown signs of convergence on both conceptual and practical aspects which creates opportunities for better policy coherence. In spite of these signs of convergence, practical differences remain and hinder coherence.

### 1.2.1 Two fields, two different origins

**First, DRR and CCA have different theoretical and cultural origins** (Serrao-Neumann, Crick, Harman, Schuch, & Choy, 2015; Schipper, 2009; Tearfund, 2008; Sperling & Szekely, 2005) **which**

**led to different practical characteristics in terms of approaches, spatial scales, institutional arrangements, methodologies and policy frameworks.**

**DRR originated from the humanitarian field and emergency responses to disaster events.** As such, DRR has been driven by short-term actions and processes most concerned with current and new risks. This has also made DRR a community-based process stemming from experience and from the field (Birkmann & von Teichman, 2010; Tearfund, 2008; Sperling & Szekely, 2005). Furthermore, in governments, DRR has been embedded in Ministries of Interior, under a civil protection unit.

**Conversely, CCA is rooted in scientific theory and has stemmed from the international policy agenda to the field** (Tearfund, 2008; Sperling & Szekely, 2005). Notably Shamsuddoha et al. (2013) pointed out that the CCA community has developed global models focused on long-term actions addressing uncertainty and future risks and which have been difficult to downscale. The top-down approach from which adaptation emerged results in less presence at the local level and more difficulty to communicate information about climate change in a way that contributes to adaptation efforts on the ground (Birkmann & von Teichman, 2010). In addition, in governments, CCA has usually been managed by Ministries of Environment or meteorological services (Birkmann & von Teichman, 2010).

**In addition, although both fields have addressed climate-related risks, also called extreme weather events and slow-onsets, the DRR community has a wider scope.** Indeed, disaster risk reduction looks at technological hazards (e.g. industrial pollution, nuclear radiation, toxic wastes, dam failures, transport accidents, factory explosions, etc.) as well as all natural hazards, including biological, meteorological, and geophysical (UNDRR, 2016).

### 1.2.2 Evolution of concepts and practices: Towards a convergence of DRR and CCA?

Obvious differences between DRR and CCA persist, such as the DRR community's continued concern with geophysical hazards, but as concepts and political agenda evolve, areas of convergence are increasingly evident in the case of climate-related hazards.

#### *DRR shifting from a hazard centered to a vulnerability centered approach*

**Understandings of the concept of disaster have evolved over time.** While the disaster risk community has its origins in the response to "sudden events", **the concept of risk reduction has evolved to understand disasters as historical processes, where vulnerability plays a key role** (Garcia, 2005; Lavell, 2011). Disasters are therefore situations where a pre-existent risk becomes concrete and is materialized through losses and damages. It has become recognized that a disaster is not solely a single event but should rather be considered a *process* which "becomes unavoidable in a context of historically produced vulnerability" (Hoffman & Oliver-Smith, 2002, p. 3). Disasters uncover the complex interactions between environmental and socio-cultural systems. In line with this approach, disaster risk is constructed by human actions and decisions, when inadequate development processes produce high levels of vulnerability.

**In the earlier stages of disaster studies the dominant orientation was a hazard-centered approach which considered disaster as an external agent that disrupts the social order and produces change.** This view minimizes the socio-economic factors that structure vulnerability to disaster. In other words, this paradigm tends to disregard that disasters may result from, rather than

impinge on development (Hilhorst, 2004). The discrepancy between the natural and social view in disaster research encouraged the emergence of a new paradigm which was vulnerability centered. This approach challenged existing mindsets by proposing that the main object of study and policy making should be the communities at risk and the factors that affect their level of vulnerability. **Disasters could not be addressed anymore as an “inevitable catastrophe” and therefore responsibilities in reducing vulnerability could not be ignored.**

**The paradigm shift from hazard to vulnerability-oriented views on disasters was reflected by global documents on DRR** - notably in the Hyogo Framework for Action (2005-2015) and the Sendai Framework, both of which emphasize the need to enhance the resilience of societies. The differentiation between intensive and extensive risk also provides elements to analyze the vulnerability as a long-term process. Extensive risk manifests as large number of recurrent, small-scale, low severity disasters (UNDRR, 2015). Frequent, small scale disasters can erode the development base of a society and thus, increase vulnerability (IPCC, 2012).

**The conceptual emphasis on vulnerability is also mirrored in the Global Assessment Reports (GARs)**, UNDRR’s biennial flagship document for assessing the latest development in DRR thinking and practice. Since the inaugural report in 2009, there has been a concern with ‘risk drivers’, such as poor urban planning and poverty, that affect the vulnerability of populations. The insight that risk is endogenous to complex systems, and cuts across different dimensions of social life with ‘elements of surprise and non-linearity’, has taken on a progressively more important role in GAR publications, culminating in the most recent iteration of the GAR in 2019. Such an approach takes vulnerability, conceived of as ‘cumulative and cascading’, as the most important focus for DRR, privileging patterns of inequality that occur within the development process over the incidence of natural hazards (UNDRR, 2019). In the context of this approach, **it has become widely accepted that vulnerability is entrenched and exacerbated by climate change**, as the magnitude and frequency of extreme events increases and changes in average climatic conditions and levels of climate variability occur.

In parallel to the conceptual evolution in the DRR community, **concern over the role of vulnerability** has been increasing in the last decades within the negotiations on how to address climate change and its impacts.

#### *Converging political agenda: Growing attention on adaptation*

The United Nations Framework Convention on Climate Change was signed in 1992 and initially focused mostly on mitigation. At the time, there was trust that mitigation efforts would succeed in reducing the impact of climate change and that societies would gradually adapt by themselves (Schipper & Pelling, 2006). **Adaptation was considered to divert efforts from mitigation and the effects of climate change were perceived as a long-term scenario with high levels of uncertainty**, which rendered difficult the identification of adaptation options (Schipper & Pelling, 2006).

The 2001 Marrakesh Accords represented a landmark for adaptation within UNFCCC (Huq, Mahid, & Suliman, 2018). Since then, several structures (i.e. Adaptation Fund, the Least Developed Countries Expert Group - LEG) and frameworks (i.e. National Adaptation Programmes of Action – NAPA) were set up in order to increase adaptation efforts focusing on enhancing resilience and reducing



vulnerability. In 2007, the Bali Action Plan explicitly mentioned risk reduction strategies as one of the means to address climate change impacts in developing countries (UNFCCC, 2007).

**In 2010, adaptation was given the same level of priority as mitigation as per the Cancun Adaptation Framework (CAF).** An Adaptation Committee was established along with financial mechanisms to support LDCs to design and implement the National Adaptation Plans (NAPs) and other adaptation actions. This convergence of concerns continued throughout the 2010s, with the IPCC special report on Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation stressing the importance of DRR to adaptation efforts and recognizing that the scope of **disaster extends beyond extreme events in statistical terms as disasters are conditioned by the levels of exposure and vulnerability** (IPCC, 2012).

**The IPCC Fifth Assessment Report (AR5) went further,** aligning understandings of risk between the two communities. In AR5, vulnerability and hazard are both integrated as a component of risk, whilst the notion of exposure refers to human and economic exposure to harmful impacts rather than climate parameters (as in previous versions of the IPCC Assessment Reports). **This account of risk as the interface between hazard, vulnerability and exposure is widely recognized amongst DRR practitioners.** Conceptual convergence around the notion of risk has logically brought closer the terminologies on vulnerability, exposure and hazard used by both fields as shown in Table 1 below.

**Table 1: DRR and CCA terminologies**

Terminology	DRR	Climate change
<b>Hazard</b>	A <b>process, phenomenon or human activity</b> that may cause <b>loss</b> of life, injury or other health impacts, property damage, social and economic disruption or environmental degradation.	The <b>potential occurrence of a natural or human-induced physical event</b> or trend that may cause <b>loss</b> of life, injury, or other health impacts, as well as damage and loss to property, infrastructure, <i>livelihoods</i> , service provision, <i>ecosystems</i> and environmental resources.
<b>Exposure</b>	The <b>situation</b> of people, infrastructure, housing, production capacities and other tangible human assets located in hazard-prone areas.	The <b>presence</b> of people; <i>livelihoods</i> ; species or <i>ecosystems</i> ; environmental functions, services, and resources; infrastructure; or economic, social, or cultural assets in places and settings that could be adversely affected.
<b>Vulnerability</b>	The <b>conditions</b> determined by physical, social, economic and environmental factors or processes which increase the susceptibility of an individual, a community, assets or systems to the impacts of hazards.	The <b>propensity or predisposition</b> to be adversely affected. Vulnerability encompasses a variety of concepts and elements including sensitivity or susceptibility to harm and lack of capacity to cope and adapt.
<b>Risk</b>	The <b>potential loss</b> of life, injury, or destroyed or damaged assets which could occur to a system, society or a community in a specific period of time, determined probabilistically as a function of hazard, exposure, vulnerability and capacity.	The <b>potential for adverse consequences</b> where something of value is at stake and where the occurrence and degree of an outcome is uncertain. In the context of the assessment of climate impacts, the term risk is often used to refer to the potential for adverse consequences of a climate-related hazard, or of adaptation or mitigation responses to such a hazard, on lives, livelihoods, health and well-being, ecosystems and species, economic, social and

		cultural assets, services (including ecosystem services), and infrastructure. Risk results from the interaction of vulnerability (of the affected system), its exposure over time (to the hazard), as well as the (climate-related) hazard and the likelihood of its occurrence.
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Source: (UNDRR, 2016), (IPCC, 2018)

The focus on comprehensive risk management (CRM) is also gaining momentum in the climate change community, especially within the Warsaw International Mechanism for Loss and Damage. In the 5-year rolling workplan of the Executive Committee, strategic workstream C is focused on enhancing cooperation and facilitation in relation to CRM approaches, (including assessment, reduction, transfer and retention). This enhanced cooperation and facilitation aims at addressing and building long-term resilience of countries, vulnerable populations and communities to loss and damage, including in relation to extreme and slow onset events through (a) emergency preparedness, including early warning systems; (b) measures to enhance recovery and rehabilitation and build better; (c) social protection instruments, including social safety nets; and (d) transformational approaches. To work on these areas, a Technical Expert Group on Comprehensive Risk Management (TEG-CRM) has been created. The TEG-CRM will identify gaps and develop methodologies to enhance knowledge and understanding of CRM approaches; facilitate stakeholder engagement and capacity building; and develop guidance for creating comprehensive risk profiles, risk management strategies and approaches, and climate risk insurance solutions.

These twin shifts in conceptual emphasis – from hazard to vulnerability in DRR and from mitigation to adaptation in CCA - have catalyzed work on the practical linkages between disaster risk reduction and climate change adaptation. It is also important to note that, as the concepts evolve, some characteristics of DRR and CCA may also converge including regarding temporal scales.

*Convergence in practice: Closing the temporality gap*

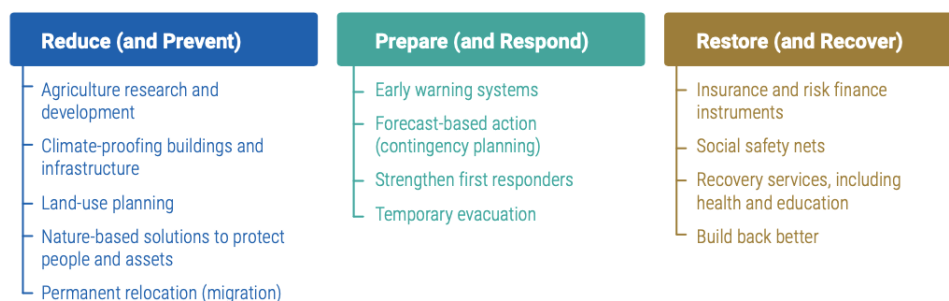
**As previously mentioned, DRR has been understood as focusing on short-term relief rather than long-term resilience** and therefore addressing mostly current and new foreseeable risks based on previous experiences. As such, the DRR community had traditionally a particular focus on activities related to preparedness and response to disasters, which translated into actions such as planning evacuations, developing contingency planning and early warning systems. Conversely, **CCA has been associated with long-term perspectives and future risks**. In terms of actions, the CCA community has traditionally focused on agriculture research and development, infrastructures or environmental management.

**Since the Hyogo Framework for Action (UN, 2005) DRR increasingly looks forward.** The DRR community is putting more emphasis on prevention and has been increasingly concerned with addressing future risks and uncertainty. This is in part illustrated by the promotion of the inclusion of climate change scenarios in risk-assessments in the Sendai Framework. DRR practitioners have started to integrate climate-scenarios in risk assessments to improve planning and risk-informed decision-making. For instance, in 2018 and 2019, UNDRR Regional Office for Africa (ROA) with CIMA

Research Foundation, developed 16 country risk-profiles<sup>1</sup> on floods and droughts which integrate climate change projections.

**On the other hand, as climate change is already affecting people, the CCA community is also shifting its focus from its long-term perspective to including emergency planning.** The Figure below is taken from the report *Adapt Now: A Global Call for Leadership on Climate Resilience*, published by the Global Commission on Adaptation (2019). The report is a call to decision-makers to act now and invest in climate adaptation while providing recommendations in key sectors such as food security, the natural environment, water and finance. Among them, Disaster Risk Management (DRM) is seen as a key sector in which the international community should invest (Chapter 7). **According to the GCA, CCA also addresses preparedness, response and recovery.** Strengthening first responders, contingency planning, temporary evacuation, recovery services, building back better, which have traditionally been DRR practices are seen as basic elements of CCA.

**Figure 5: Basic elements of CCA**



Source: (Global Commission on Adaption (GCA), 2019)

Therefore, the temporality gap between DRR and CCA seems to be closing. Overall, as long as both fields evolve towards a vulnerability-centered approach, there will be increased areas of convergence and the delimitation with sustainable development will become more difficult. This provides opportunities for greater coherence, although siloed approaches remain a challenge.

### Challenges and opportunities

Summarized in Table 2, **differences in characteristics between DRR and CCA provide learning opportunities for each field based on complementarities and contribute to increase their efficiency and effectiveness through enhanced coordination and integration.** In particular, greater coherence between DRR and CCA fields can contribute to ensuring that development does not exacerbate existing and future levels of natural and man-made hazards including climate risk and that development gains are protected from the impact of disasters and climate change, through:

<sup>1</sup> Angola, Botswana, Cameroon, Equatorial Guinea, Gabon, Gambia, Ghana, Guinea Bissau, Kenya, Kingdom of Eswatini, Côte d'Ivoire, Namibia, Rwanda, São Tomé and Príncipe, United Republic of Tanzania, and Zambia.

1. **Enhanced knowledge-base**, with more advanced technical knowledge and expertise in assessing, understanding, and managing risks. For instance, as CCA emerged from scientific knowledge, the community brings a strong science background and knowledge in risk modelling and climate projections. On the other hand, DRR has methodologies, tools, and approaches which integrates local and historical knowledge. The combination of different knowledge types and data on short- and long-term hazards, exposure and vulnerability can contribute to more successful and effective planning, for better prevention, response and recovery (Mysiak, et al., 2018).
2. **More efficient use of financial and human resources**. For example, DRR has already been embedded in institutions at the local level, which could be used to support the localization of CCA through existing channels. In terms of financial resources, CCA benefits from increasing political and widespread recognition (Tearfund, 2008), this is visible notably through the increasing funding commitments from Member states to the Global Environment Facility (GEF), Green Climate Fund (GCF), Adaptation fund (AF) and other funding mechanisms in support of adaptation (Schipper, Thomalla, Vulturius, Davis, & Johnson, 2016). These mechanisms can be leveraged by the DRR community with regard to actions addressing climate-related risks.
3. **Improved planning tools and processes**. For instance, the CCA community can benefit from the experience of the DRR community with developing monitoring and evaluation frameworks.

**Table 2: Differences between DRR and CCA**

Category	DRR	CCA
<b>Origin &amp; Culture</b>	<b>Humanitarian</b> assistance following a disaster event.	<b>Scientific</b> theory
<b>Scope</b>	<b>All hazards</b> . Technological hazards and natural hazards including biological, meteorological, and geophysical.	<b>Climate-related hazards</b> , extreme weather events and slow onsets.
<b>Approach</b>	Community-based process stemming from <b>bottom-up</b> experience	Community-based process stemming from policy agenda, <b>top-down</b>
<b>Temporality</b>	<b>Short-term</b> , current and new risks but increasingly looking forward	<b>Long-term</b> , new and future risks but becoming more present looking
<b>Spatial scale</b>	<b>National</b> and local	<b>Global</b> models
<b>Governance</b>	<b>Ministry of Interior</b> , and civil protection	<b>Ministry of Environment</b> and Environment agencies
<b>Planning tools</b>	Long existing <b>DRR strategies</b> .	NAPAs and <b>NAPs are more recent</b> .
<b>Political attention</b>	Political and widespread recognition often quite <b>weak</b>	Political and widespread recognition <b>increasingly strong</b>
<b>International agenda</b>	<b>Sendai Framework</b> is a voluntary framework which timeframe is 2015-2030.	<b>Paris Agreement</b> is a binding agreement which timeframe is 2020-2030.
<b>Funding streams</b>	Ad-hoc and insufficient relying on <b>domestic public finance and donors'</b> commitments.	<b>Official mechanisms</b> decided by COP21. Multiple funding streams, which are increasing: GEF, GCF, Adaptation fund.
<b>Monitoring Frameworks</b>	<b>7 targets</b> and 38 global indicators under the Sendai Framework.	<b>No monitoring</b> framework

Source: Compiled by UNDRR based on (Shamsuddoha, Roberts, Hasemann, & Roddick, 2013); (Birkmann & von Teichman, 2010) (Mercer, 2010); (Tearfund, 2008); and UNDRR (2019) peer learning exchanges with Member states and partners in Sub-Saharan Africa.

To leverage these potential benefits, it requires overcoming the remaining challenges and barriers to policy coherence. Although DRR and CCA are converging, their different origins have generated practical mismatches which are still anchored in political processes and practices and hinder policy coherence, notably regarding:

1. **Governance:** at national level, DRR, CCA, and sustainable development are implemented by different Ministries and agencies and therefore have different policy, planning and monitoring processes.
2. **Data and information:** there are a lack of data and information, as well as a lack of exchanges of available data.
3. **Funding mechanisms:** CCA and DRR have different sources of funding and are implemented by different actors which leads to duplication of efforts and competition over resources.

## 1.3 Policy approach for coherence

### 1.3.1 From coordination to policy coherence

The fields of DRR and CCA have been converging both conceptually and in practice during the last decades, but practical mismatches are still present. The concepts of coordination and coherence from a managerial and policy-making perspective are examined in order to provide further elements to the discussion on how to build pathways for a more integrated approach for DRR and CCA in sub-Saharan Africa.

This report adopts the term of coherence following the lead of SDG 17 of the Agenda 2030 which calls for 'policy and institutional coherence' (UN, 2015). **It is important to note that the terms 'coherence', 'coordination' and 'integration' are very closely related** and their use - as different or interchangeable concepts - will depend to some extent on the organizational perspectives considered and vary depending on the authors consulted (Metcalf, 1994; Peters, 1998; Peters, 2018; Meijers & Stead, 2004; Keast, Brown, & Mandell, 2007; Candel & Biesbroek, 2016).

The terms policy coordination and integration are more commonly found in the management literature, while policy coherence is widely used in the international development arena. In public management literature, coordination and integration are associated to the need of the government to deliver services to citizens and implement policies without leaving gaps in the services or the population covered and avoiding redundancy, so that duplication is avoided, and resources are optimized (Peters, *Managing horizontal government: the politics of co-ordination*, 1998). Coordination and integration can be both interorganizational or intraorganizational: among units in one ministry, among ministries or among different organizations (Metcalf, 1994) and be influenced by manifold factors including division of labor, professional boundaries, power, hierarchy and personalities (Persson, 2004; Peters, 2018).

Metcalf (1994) sees coordination as a management capacity and a condition that enables a determined system to perform better. The author proposed a policy coordination scale from *independent decision making by ministries* to an *overall government strategy*. The notion of integration

is not explicitly mentioned but understood through the gradual steps of the scale towards a unified strategy. In the same line, Peters (1998) defines policy coordination as an “end-state” in which policies and programmes show “minimal redundancy, incoherence and lacuna” (p. 296). Ten years later, Peters (1998) refers to policy integration and coordination as interchangeable concepts.

Conversely, some scholars posit that integration is differentiated from coordination by a higher level of intensity in the relationships with more formal institutional arrangements and higher interdependency among the actors involved and see integration as a process where coordination is part of a continuum towards integration (Meijers & Stead, 2004; Keast, Brown, & Mandell, 2007; Candel and Biesbroek, 2016). Meijers and Stead (2004) state that while policy coordination aims at mutually enforced and consistent policies, policy integration leads to a new joint policy for the sectors involved and requires more interaction. On the contrary, for Persson (2004) policy integration can occur with different degrees, not leading necessarily to a joint new policy. The output can be several parts unified into a (new) whole part or one component incorporated into a larger (existing) unit. Candel and Biesbroek (2016) state that the process towards integration is indeed gradual but not necessarily linear: some circumstances may slow down the process or even take it back.

For the specific discussion on coherence among disaster risk reduction and climate change adaptation, a range of terms are used in the literature to denote the real and potential interlinkages between DRR and CCA agendas. Integration and alignment, coordination and collaboration, synergies and a ‘common approach’: all have been used – sometimes interchangeably - to refer to the need to find ways for the two fields to work closer together towards a shared outcome.

The NAP Global Network (2018) draws upon the concept of “alignment” to suggest a continuum from *informal* to *systematic alignment* in policies related to climate change, disaster risk reduction and sustainable development. UNFCCC (2017) refers to an **integrated approach** to adaptation, sustainable development and disaster risk reduction pointing out that there is not a preferable degree of integration as a fully integrated approach may be counterproductive to self-determined outcomes.

This report navigates through this complex conceptual landscape by considering policy integration as a synonym of policy coherence, namely a gradual process - not necessarily linear - including coordination and leading towards integration (Candel & Biesbroek, 2016) and by no means normative (UNFCCC, 2017).

For the purpose of this analysis, policy integration and policy coherence are understood **as an outcome of a continuum (process)** where **coordination** implies behaviors and actions undertaken by concerned actors and leading to the expected outcome and the level of **integration** is reflected in, the **content of the policy document** (either new joint policy or plan or the incorporation of one component into an existing one). Further research is needed to complement the current analysis with a study on legal instruments, attitudes and organizational practices needed to enhance coordination and thereby the implementation of the policies in a coherent manner.

### 1.3.2 Policy documents for coherence

**Understanding the current status of policy coherence in sub-Saharan Africa requires looking at existing planning and policy documents which guide actions at national and local levels on**

**DRR and CCA.** The three global agreements have each established planning instruments to support policy efforts in these field.

- 1. National DRR strategies** (Sendai Framework Target E) are the main policy document that sets the government vision for managing disaster risk and allows to integrate other dimensions and sectoral approaches which are relevant to DRR into planning such as CCA or development planning and budgeting. Developing a national DRR strategy is a multi-stakeholder process which provides a great opportunity to engage with DRR, CCA and development practitioners across all sectors and appropriate government and non-government actors (UNDRR, 2019).
- 2. Climate change adaptation strategies** are the policy documents that establish the government priorities to increase adaptation. They are sometimes integrated in a larger climate change strategy together with mitigation (e.g. Mozambique) or stand alone adaptation strategies. In addition, **NAPs** are the planning process for adaptation at national level promoted by UNFCCC and funded for their development is being made available for countries. NAPs have two main objectives which are: (a) To reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience; (b) To facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate. Hence, NAPs allow countries to assess their vulnerabilities, mainstream climate change risks and address adaptation through development planning (UNFCCC, s.d.). As such, NAPS also provide an opportunity to enhance coherence between DRR and CCA as it aims at reducing vulnerability, fosters dialogue and partnerships among sectors and stakeholders, including DRR. The technical guidelines for development of NAPs mentions risk and vulnerability assessments as one of the initial steps to develop a NAP.
- 3. National development plans (NDPs)** is the overarching framework which guides development efforts at national level and serves as the localization tool for the prioritization of SDGs. As such, it provides the national vision and priorities and the leverage for DRR and CCA to be linked to the institutional arrangements, budget and programmes aiming at enhancing resilience at the national level. Mainstreaming DRR and CCA into NDPs is a priority for both fields. Even if NDP are not part of this analysis, it is important to note that they are the planning documents that can provide further insights on how to ensure policy coherence among DRR and CCA.

## Chapter 2: Status of policy coherence between DRR and CCA in sub-Saharan Africa

### HIGHLIGHTS

1. An analysis of 50 planning documents for DRR and CCA in light of strategic, conceptual, institutional, operational and financial considerations suggests that **integration of CCA into DRR strategies varies widely from limited, to partial and substantial integration whereas the integration of DRR into CCA strategies is mostly partial.**
2. **The analysis suggests that policy coherence is more incidental than structural. In other words, integration of DRR and CCA is occurring more often on an *ad-hoc* basis.** Although there are conceptual elements which show that there is recognition that DRR is linked to climate change, and operational elements which indicate overlapping activities, there is rarely an indication that these are the results of a collaborative process.
3. **Moving to a more substantial integration of DRR and CCA in policy documents means advancing towards a structural approach to coherence.** In particular, institutional coherence is key to ensuring that policy documents adopt of coherent approach to the design and implementation of DRR and CCA.
4. **Financial coherence should also be further pursued through the strengthening of funding aspects in support of implementation of DRR and CCA.** Financial coherence is rare and the lack of financial substance with regard either to DRR or CCA and to coherence agenda means that prospects for implementation remain ambiguous.

### Introduction

**In 2015, African Union adopted the Agenda 2063: The Africa We Want (AUC, 2015), which is the continent's strategic framework for an inclusive and sustainable development.** In order to achieve its first aspiration 'a prosperous Africa, based on inclusive growth and sustainable development', Goal 7 is to achieve 'environmentally sustainable climate resilient economies and communities' notably through the priority area of work 'climate resilience and disasters from natural hazards and preparedness' (AUC, s.d.).

**This is carried out through the alignment of the Africa Regional Strategy and its Programme of Action (PoA) for the Implementation of the Sendai Framework for Disaster Risk Reduction 2015-2030 in Africa (AUC, 2016).** The latter aims to strengthen mechanisms, frameworks, and capacities to implement and coordinate DRR strategies with climate change and, as such, includes a specific target on climate change. This provides an opportunity to strengthen coherence and synergies between DRR and CCA in support of the achievement of the goals of Agenda 2063 and global frameworks, in Africa. Regarding CCA, the African Union (AU) has a draft climate change strategy since 2013 which has not



been adopted. Combined with global agreements, these agenda and strategies set the framework for DRR and CCA coherence in sub-Saharan Africa.

In SSA, countries have dedicated significant efforts to aligning their DRR strategies to the Sendai Framework (Target E) and most countries have developed climate change strategies and / or started formulating NAPs. Among them, 5 countries have submitted a NAP document to the UNFCCC, as of December 2019.

**This chapter presents the status of integration of DRR and CCA in sub-Saharan Africa in terms of policy and planning documents.** To this end, the first section outlines the methodology used to analyze the documents (2.1). Using the analytical framework presented in the methodology, the chapter looks at how CCA is integrated into DRR policies and planning documents (2.2), and at how DRR is integrated into climate change policies, strategies and plans (2.3). Finally, results from both analyses are compared and some conclusions are put forth regarding the overall level of integration of DRR and CCA in policies and strategies in SSA (2.4).

## 2.1 Methodology

**This chapter builds on an internal review of 50 policy and strategy documents for DRR and CCA** (see list in Annex 1) as well as 40 INDCs. **It also includes results from the questionnaire** on coherence between DRR-CCA-SDGs that was sent to Member states in SSA and to which 31<sup>2</sup> answered. Although responders were asked to consult their CCA and SDGs colleagues, further exchanges suggest that most DRR focal points did not consult with other colleagues and therefore introduced a self-perception bias in the results. In addition, open-ended questions were often skipped which makes the results incomplete and difficult to aggregate. Despite these two limitations, the questionnaire provided instrumental insights and a basis on which to develop the frame of the qualitative analysis.

**The analytical framework called ‘integration spectrum’** (see Table 3) was developed based on a preliminary analysis of planning documents, a literature review and exchanges with practitioners. The process of developing the analytical frame was iterative and therefore the spectrum reflects the current situation of policy integration. It is anchored into the policy landscape in SSA and may not reflect the situation in other regions. For instance, in SSA, financial aspects and funding strategies are often overlooked in policy and strategy documents for DRR and CCA. Therefore, the criteria for financial coherence might seem basic.

**The spectrum includes a three-level scale from limited integration to substantial integration.** In order to determine the level of integration of DRR and CCA into policy documents, five areas which are core to policies and strategies were looked at, as follows:

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<sup>2</sup> Angola, Benin, Botswana, Burkina-Faso, Burundi, Cabo Verde, Central African Republic, Chad, Congo, Cote d’Ivoire, Ethiopia, Eswatini, Gabon, Ghana, Guinea, Madagascar, Malawi, Mali, Mauritius, Mozambique, Namibia, Niger, Nigeria, Sao Tomé and Principe, Senegal, Seychelles, Tanzania, Togo, Uganda, Zambia, Zimbabwe.

1. **Strategic coherence:** looks at whether DRR and CCA are explicitly addressed jointly or if there is an aim to strengthen the relationship and linkages between the two fields.
2. **Conceptual coherence:** explores how countries link DRR and CCA conceptually, in particular through the concept of risk.
3. **Institutional coherence:** analyses whether coordination between DRR and CCA is envisioned, and if and how institutional arrangements support coherence.
4. **Operational coherence:** looks at measures, actions and activities which bring together DRR and CCA practices and to which extent planning is considered cross-sectoral.
5. **Financial coherence:** explores whether and how funding strategies and investments bring together DRR and CCA.

**Table 3: Integration spectrum for policy coherence analysis**

Themes	Substantial integration	Partial integration	Limited integration
<b>Strategic</b>	Promotes coherence of DRR and CCA, addressing them jointly; Have aims at mainstreaming both DRR and CCA into other sectors.	Addresses CCA or DRR as a cross-cutting theme or through one strategic axis. Have aims at mainstreaming DRR into CCA and vice-versa.	Promotes integration of DRR or CCA into development and other sectoral policies and plans, without specifying which.
<b>Conceptual</b>	Acknowledges synergies between DRR and CCA; Takes into consideration that CC is one risk factor, increasing frequency and intensity of disaster events; Accounts for CC by including some climate-change projections or refers to the need to include them.	Takes into consideration that CC is one risk factor.	Takes into consideration that CC is one risk factor.
<b>Institutional</b>	Mentions a cross-sectoral vertical coordination mechanism to support coherence; Identifies roles and responsibilities linked to DRR and CCA activities.	Mentions the lead environment/ CCA agency or the lead DRR agency.	NA
<b>Operational</b>	Identifies common areas of work which cover the DRR cycle (Prevention, Preparedness, Response and Recovery); Includes capacity building activities for CCA and DRR practitioners.	Have several cross-sectoral objectives and activities	NA
<b>Financial</b>	Promotes use of DRR funding or CCA funding for both communities; Includes an estimation of budget in support of DRR and / or CCA activities.	NA	NA

Source: UNDRR

**Monitoring and evaluation are one of the key elements of strategies and policies.** However, monitoring frameworks were not included in the frame of the analysis as it was observed that strategies rarely include a monitoring framework. Considering the linkages at the operational and financial level,

it is assumed that coherence will need to be ensured when designing monitoring frameworks in order to avoid duplication of efforts.

**It is important to note that there is no intention of promoting a prescriptive view on policy integration or coherence.** The preferable levels of integration depend on the context as high levels of integration may undermine the ability of actors to pursue and reach self-determined outcomes (UNFCCC, 2017).

**In addition, attitudes, behaviors and organizational practices to integration are not part of the scope of this analysis.** The scope is limited to an analysis of coherence at the planning level reflected in the documents themselves (output level). The authors acknowledge that planning documents are just one piece of the broader policy landscape and may not reflect the level of collaboration and coordination of DRR and CCA communities at the country level. That is why, when possible, the results of both analyses are compared to present the overall integration in one country. For instance, in Zambia, there is limited integration of CCA in the DRR strategy but substantial integration of DRR in the CCA document.

## 2.2 Coherence in DRR strategies

**Target E of the Sendai Framework aims to substantially increase the number of countries with national and local disaster risk reduction (DRR) strategies by 2020.** It is the first target to be achieved, since DRR strategies are instrumental to achieving any other targets as it allows countries to set a vision, strategic objectives, and to prioritize key actions aiming at strengthening the resilience of communities and societies.

### 1.2.1 Terminologies regarding DRR policies, strategies and plans

Countries have different ways to name DRR strategy documents. Some call it a strategy, other call it a framework or a strategic plan of action. But there are mainly two types of documents<sup>3</sup>. On the one hand, **there are the 3- to 5-year documents** (50%) which include both a vision and a multi-sectoral plan of action (e.g. Guinea, *Stratégie Nationale de Reduction des Risques de Catastrophe 2019-2023*). On the other hand, **there are the 10+ year documents which end in 2030 in alignment with the Sendai Framework** (50%). Some countries have one document which includes both the long-term vision and the short-term plan and goals which will be revised frequently (e.g. Zambia, *National disaster risk management framework 2017 – 2030*). Other countries may have a set of documents which include a broad and long-term framework for DRR which will be complemented by a short-term multi-sectoral plan at a later stage (e.g. Madagascar, *Stratégie Nationale de Gestion des Risques et des Catastrophes 2016-2030*).

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<sup>3</sup> Based on results from the DRR, CCA, and SDGs questionnaire.

### Box 3: Basic definitions of DRR policy and planning documents

**Disaster risk reduction policies and strategies** define goals and objectives across different timescales and with concrete targets, indicators and time frames. In line with the Sendai Framework, these should aim at preventing the creation of disaster risk, the reduction of existing risk and the strengthening of economic, social, health and environmental resilience. DRR strategies are planning tools that provide the vision and long-term perspective, identify goals and actions decided by a high-level authority at national or local level or a multi-stakeholder mechanism with the appropriate authority, building on the country context (governance structure, political and economic priorities) on an understanding of disaster risk (prevailing hazards, risk vulnerability, exposure, perception of risk and existing coping capacities of society) and an evaluation of current DRR systems and capacities at country level. DRR strategies should be closely linked with development plans so that underlying factors of risk and resilience-building can be fully addressed.

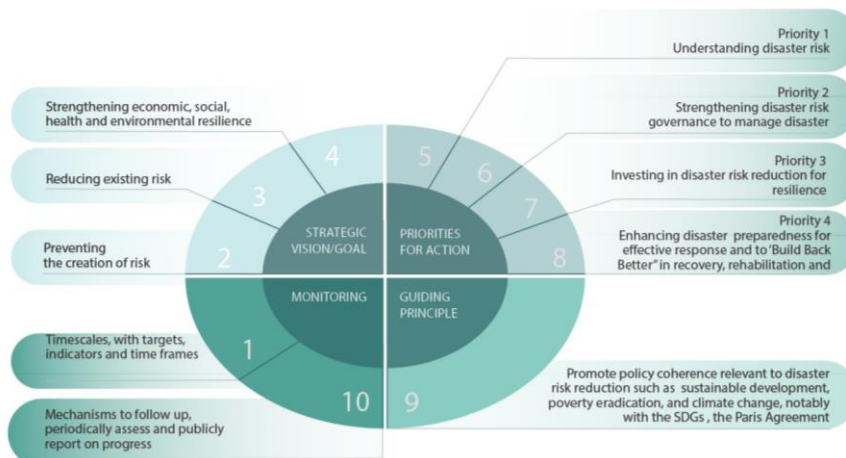
**DRR action plan or roadmaps** are usually short-term documents that provide operational orientation for implementation of the strategy by defining priority actions, timeframes, budget and resources, roles and responsibility of various entities in delivering results, identifying indicators and modalities for review and monitoring progress. It may be developed as one comprehensive national DRR plan, as risk-sensitive development plan, as sector-specific plans, or addressing specific hazards.

Source: (UNDRR, 2019)

#### 2.2.2 Advancement of Target E in SSA: aligning DRR strategies to the Sendai Framework

To measure alignment of DRR strategies to the Sendai Framework, 10 key elements (see Figure 6) which capture and reflect the key principles and the four priorities of the Sendai Framework, were identified. Although all Sendai Framework aims and priorities have linkages with climate change (see chapter 1; section 1.1.2), one specific element (9) monitors the level of promotion of policy coherence including with climate change and the Paris Agreement.

Figure 6: 10 key elements for alignment of DRR strategies to the Sendai Framework



Source: UNDRR (2019)

These elements were captured as part of a technical guidance note on monitoring and reporting on progress in achieving the Sendai global targets, developed by UNDRR to guide UN Member states in using the online Sendai Framework Monitor (see Box 4). In the system, monitoring of Target E is both quantitative and qualitative. Countries input data but also self-assess their policies and mechanisms in place for DRR through two indicators:

- E-1 Number of countries that adopt and implement national disaster risk reduction strategies in line with the Sendai Framework for Disaster Risk Reduction 2015-2030.
- E-2 Percentage of local governments that adopt and implement local disaster risk reduction strategies in line with national strategies

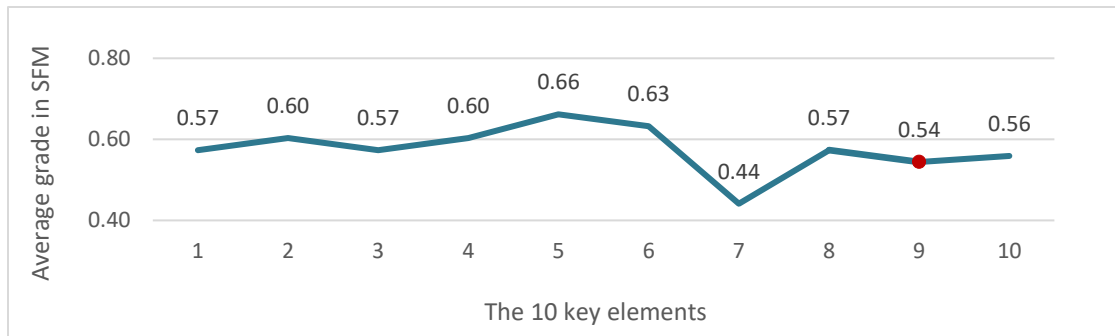
#### **Box 4: The Sendai Framework Monitor**

To monitor progress against the Sendai Framework, UNDRR launched the Sendai Framework Monitor (SFM) in March 2018. The SFM is an online accountability tool to support countries in monitoring, assessing and evaluating progress and challenges in the implementation of DRR at global, national, sub-national and local levels. The Sendai Framework monitoring is an annual official process which is led by the government of each country. The tool encourages a country-led multi-stakeholder approach to monitoring by allowing the government to add multiple users from various ministries, agencies, civil society, academia, UN system, etc. to input data in the system or simply to observe the process. In addition, the online tool promotes accountability as data validated by the authorities are publicly available on the website. Finally, the monitoring of the Sendai Framework contributes to reporting against DRR related indicators of the 2030 Agenda for Sustainable Development. Indeed, 11 indicators of Sustainable Development Goals (SDGs) 1, 11 and 13 - No Poverty, Sustainable Cities and Climate Action respectively - are directly related to Sendai Framework indicators.

Source: UNDRR

Under indicator E1, Member States assess their DRR strategy by rating each of the 10 key elements on a scale from 0 to 1 (with 0 being no achievement or existence, and 1.0 comprehensive achievement). As of end 2019, more than 50% of countries in SSA have started reporting in the system, and 17 countries have reported against Target E for at least one year. Bearing in mind, that the process is still new and that many countries in the region which have a validated or draft DRR strategy aligned to the Sendai Framework are not yet reporting in the system, it is important to note that key element 9 'Promote policy coherence relevant to DRR' – notably the 2030 Agenda, Paris Agreement, New Urban Agenda, Poverty reduction policies - is identified as a weak element in DRR strategies which requires further efforts and actions.

**Figure 7: Average grade of the 10 key elements**

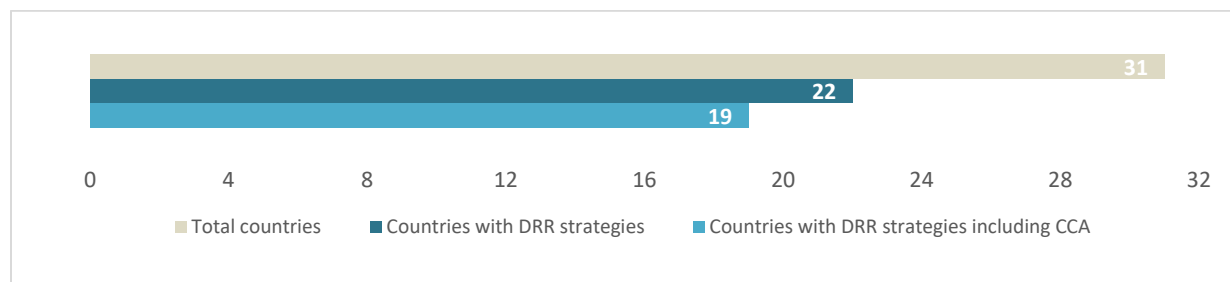


Source: UNDRR based on SFM data (2019)

### 2.2.3 Integration of CCA into DRR strategies in SSA

Based on the results of the questionnaire, 82 per cent of countries whom have a DRR strategy include CCA into their DRR strategy document (see Figure 8).

**Figure 8: Number of countries integrating CCA into their DRR strategy**

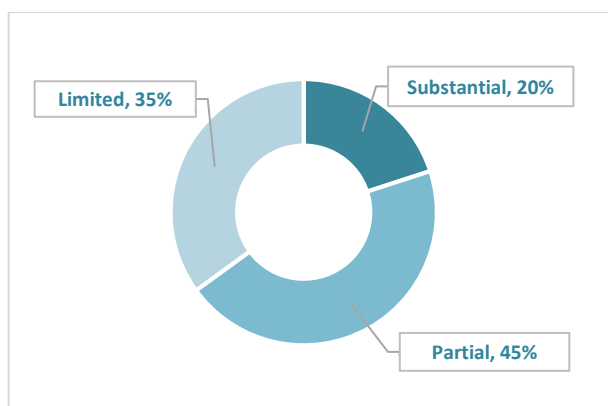


Source : UNDRR based on questionnaire replies (2019)

However, only a third of countries provided further information on the ways they do it. Countries mentioned that CCA is a strategic objective or a cross-cutting issue or a risk driver. In order to better understand how this integration is done, the authors analyzed 20 documents in light of the integration spectrum and clustered them into three categories (substantial, partial and limited) in order to

aggregate the results. Overall, results show that integration of CCA into DRR strategies varies according to countries (see Figure 9).

**Figure 9: Integration of CCA into DRR strategies**



Source: UNDRR based on internal review

According to the desk review conducted by UNDRR ROA, 19 countries in the region have validated DRR strategies and seven (7) countries are in progress of developing or validating their strategies, as of December 2019. The number of strategies reported by countries in the questionnaire and the figure UNDRR is providing differ. On the one hand, all SSA countries did not reply to the questionnaire and, on the other hand, there is a gap between draft strategies and validated strategies. For instance, Tanzania has a draft strategy which has not been validated, therefore they reported that they do not have a strategy. Conclusions of the analysis of some of these strategies in light of the 10 key elements showed that the promotion of policy coherence with global agreements is frequently mentioned in the background of the strategies but is often lacking in the objectives, strategic pillars or actions.

Table 4 uses the *integration spectrum* criteria in order to present the results of the analysis. The first column ‘coherence in practice’ outlines occasional and rare elements found in DRR strategies regarding coherence. The second column gives examples of good practice identified in DRR strategies.

**Table 4: CCA into DRR strategies**

	Coherence in practice	Examples
<b>Strategic</b>	<b>RARE:</b> Strengthening coherence or integration with CCA.	Cabo Verde opted for a systematic integration of climate change adaptation into the DRR strategy. CCA is explicitly mentioned in the objective of the strategy and its consideration is maintained across the document, including strategic axes and actions.

<b>Conceptual</b>	<p><b>OCCASIONAL:</b> Climate change can reverse development efforts, and have negative impacts on societies, economic assets and the environment.</p> <p><b>RARE:</b> Inclusion of projections of climate change to improve DRR planning.</p>	Congo's draft strategy includes a paragraph on CC with some broad projections for 2100 – higher precipitations in the North and higher temperatures in the South. It also includes some details on the impact of CC on the society.
<b>Institutional</b>	<p><b>OCCASIONAL:</b> Refers to the lead Environment Agency / Ministry of Environment</p> <p><b>RARE:</b> Setting up a coordination mechanism for mainstreaming DRR and CCA.</p>	Namibia's strategy establishes a coordination mechanism for mainstreaming DRR and CCA, with both CCA and DRR specialists, located within the Office of the Prime Minister.
<b>Operational</b>	<p><b>OCCASIONAL:</b> Areas of work identified by several countries include:</p> <ul style="list-style-type: none"> <li>• Risk assessments – developing climate impact scenarios</li> <li>• Raising awareness, strengthening knowledge of all actors through education and trainings</li> <li>• Developing EWS</li> <li>• Capacity building of actors working on DRR and CCA.</li> </ul> <p><b>RARE:</b> Sectors include land use planning and urbanism, housing and infrastructure, health, agriculture, water, social protection and safety nets</p>	Eswatini's strategy includes operationalization of coherence through technology development/transfer, enhanced social protection schemes, existing simulation exercises explicitly orientated at CCA and DRR, which are also to be integrated into building codes and infrastructure design.
<b>Financial</b>	<p><b>RARE:</b> Identification of international, bi-lateral, national or private funding streams that will be used to fund activities in DRR/CCA. This includes also the promotion of risk insurance through climate risk pooling.</p>	Zambia's National disaster risk management framework (2017 – 2030) includes one Target (4.3) which aims to 'Promote the uptake of risk insurance through climate risk pooling and other innovative insurance risk solutions.' Activities include undertaking an inventory of institutions that offer climate related insurance products or promoting climate risk insurance in communities.

### Key findings from the review suggest the following:

1. **There is a real variety in coherence levels from persistent and explicit interrelation to almost no links.** The analysis points to two types of coherence: **a structural integration and an incidental integration.**
  - **Structural integration** is achieved when there is willingness to integrate both fields at strategic and conceptual levels, with coordination at institutional and operational levels mainly on activities are related to risk knowledge (methodologies and tools to evaluate and monitor risks for DRR and CCA) and to capacity building (actors need to understand DRR and its integration with CCA).
  - Conversely, **incidental integration** occurs when the strategy outlines some activities which can be led and implemented by DRR and CCA actors but without specifying the engagement of CCA actors. Collaboration may happen on an ad-hoc basis.
2. **Conceptual coherence is rarely mirrored by institutional and operational coherence which remain weak.** Although most DRR strategies acknowledge that climate change is a



risk driver amongst other, increasing frequency and intensity of extreme weather events or hydro-meteorological hazards, institutional and operational coherence score relatively low. For instance, only few countries mention a cross-sectoral coordination mechanism at different level to support coherence among DRR and CCA and identify roles and responsibilities linked to DRR and CCA.

3. **Institutional weaknesses create operational weaknesses.** Even when there is a good level of integration of CCA issues conceptually and operationally, without assigned roles and responsibilities or a detailed action plan, it is difficult to understand whom will actually implement adaptation.
4. **Financial coherence is very rare and the lack of financial substance with regards either to DRR or to coherence agenda means that prospects for implementation remain ambiguous.** No strategy identifies joint funding mechanisms for DRR and CCA and only few countries mention the need of promoting the use of DRR and CCA funding for both communities.
5. **It is worth noting that strategies designed based on the concept of resilience perform well in terms of coherence** (e.g. Malawi). Lessons learned from the implementation of these resilience strategies will provide insights for enhancing coherence among the different development agendas in the near future.
6. **Overall, there seems to be an implicit assumption that DRR and CCA are linked and maybe that DRR encompasses CCA.** In several documents, there are no specific mention of the relation of DRR and CCA – their synergies or differences (see chapter 1) - but one action or coordination mechanism will mention DRR and CCA together. For instance, when referring to the coordination mechanism for M&E (Unit for Emergency Prevention and Management), Madagascar's strategy mentions for the first time DRR and CCA together. In addition, Axis 2 on DRR governance includes one activity aiming at strengthening management and operational capacities of the decentralized level on DRR and CCA.

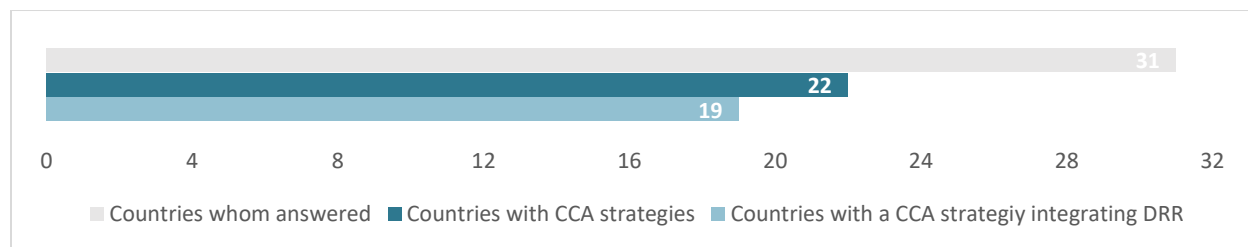
### 2.3 Coherence in CCA strategies

This section uses the same approach than the previous. Understanding how DRR is included into CCA planning processes includes looking at integration of DRR into CCA policies and strategies, as well as NAPs and NDCs (see chapter 1).

### 2.3.1 Integration of DRR into CCA strategies in SSA

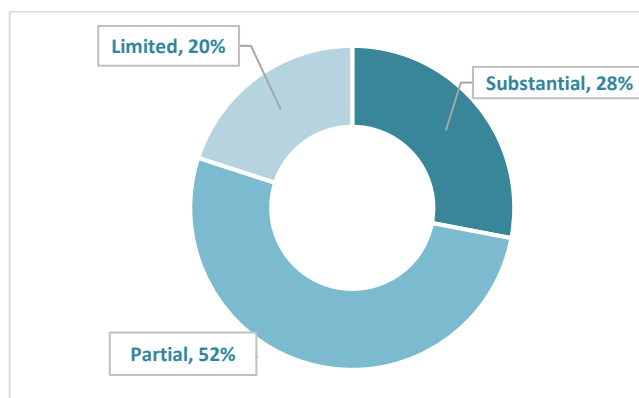
In the questionnaire, 22 countries reported that they have a CCA strategy. Among them, one country considers that the NAP is the CCA strategy. 86 per cent of countries who have a CCA strategy report that the document integrates DRR to some extent (19/22) (see Figure 10).

**Figure 10: Number of CCA strategies integrating DRR**



**Countries who provided further information mentioned that disaster risk reduction is integrated as a strategic axis; a cross-cutting issue; in a chapter on vulnerabilities; as part of CCA measures; through EWS; or inferred from adaptation and resilience building sections.** In order to have a more comprehensive approach to the integration of DRR in CCA documents, the authors analyzed 25 documents in light of the integration spectrum and clustered them into three categories (substantial, partial and limited) in order to aggregate the results. Overall, results show that integration of CCA into DRR strategies is partial (see Figure 11).

**Figure 11: Integration of DRR into CCA documents**



Source: UNDRR based on internal review (2019)

### 2.3.2 Analysis of DRR into CCA policies

Table 5 uses the *integration spectrum* criteria in order to present the results of the analysis. The first column 'Coherence in practice' outlines common, occasional and rare elements found in CCA strategies regarding coherence. The second column gives examples of good practice identified in CCA strategies.

**Table 5: Integration of DRR into CCA strategies**

	<b>Coherence in practice</b>	<b>Examples</b>
<b>Strategic</b>	<p><b>OCCASIONAL:</b> Has objectives focused on mainstreaming CCA into DRR.</p> <p><b>RARE:</b> Have aims at integrating DRR and CCA for better policy coherence.</p>	<p>Cote d'Ivoire's Programme National Changement Climatique (2015-2020) puts policy coherence as a guiding principle, and as a strategic axis. In addition, in Axis 6 which addresses DRM, it is noted that CCA must be mainstreamed into DRM instruments and CCA should take into consideration civil protection actions and processes, where relevant.</p>
<b>Conceptual</b>	<p><b>COMMON:</b> Climate variability has an impact on frequency and intensity of extreme weather events (mostly floods and droughts) and / or risk of disasters and has negative impact on society and economic assets.</p> <p><b>OCCASIONAL:</b> CC as a risk factor among others, driving vulnerability, increasing exposure to climate-related disasters.</p> <p><b>RARE:</b> DRR recognized as a constituent of CCA, or vice-versa. DRR and CCA recognized as complementary.</p>	<p>Mauritius's National Climate Change Adaptation Policy framework (2012) includes a specific section on integration of DRR into CCA which highlights commonalities between DRR and CCA (reducing vulnerability to hazard), while acknowledging their different origins. The document also notes that DRR and CCA overlap in many ways, notably by addressing weather events and using similar tools. The framework concludes that, in the future, DRR and CCA should be integrated in a single framework.</p>
<b>Institutional</b>	<p><b>OCCASIONAL:</b> Mentions the lead agency for DRR / DRR Platform.</p> <p><b>RARE:</b> Coordination mechanism bringing explicitly DRR and CCA together.</p>	<p>In Burkina-Faso's NAP, the National Council for the Environment and Sustainable Development (CONEDD) will be coordinating the NAP. There is a specific reference to the active role that the Special Committee for CC and Disaster Prevention will play. The NAP refers to the lead agency in DRR - National structure in charge of disaster and humanitarian crisis prevention available in the form of the National Emergency Aid and Rehabilitation Council (CONASUR) with its own permanent secretariat and identifies as a need: capacity-building for better integration of the CCA dimension in disaster prevention, preparation and response plans.</p>
<b>Operational</b>	<p><b>COMMON:</b> The most common area of work is related to enhancing risk-knowledge through activities such as identifying and mapping risks and investing in technologies for better meteorological information, in order to develop or strengthen EWS. Sectors which are the most relevant to integration of DRR and CCA: Agriculture; Water; Health; Energy; Housing and infrastructures; Education.</p> <p><b>OCCASIONAL:</b> Areas of work identified by several countries include: Capacity building of actors working on DRR and CCA; Mainstreaming CCA into contingency planning / civil protection activities; Community based DRR; Management of eco-systems; Awareness raising and strengthening knowledge of all on DRR and CCA.</p> <p>Sectors which are the most relevant to integration of DRR and CCA: Industry; Transport; Tourism.</p>	<p>Adaption is one of the five pillars of the climate change strategy in Angola. The programmes on agriculture, coastal management and water resources include components on DRR mainly on early warning and flood and drought management. The programme on health focuses on analysis of risk of epidemics, early warning and public awareness. The programme on infrastructure includes actions on risk mapping, particularly in relation to floods. The Civil Protection is systematically mentioned as a partner for the actions related to early warning.</p>

	<b>RARE:</b> Social protection schemes / safety nets.	
<b>Financial</b>	<p><b>OCCASIONAL:</b> Promotion of risk insurance schemes through climate risk pooling and other innovative insurance risk solutions to reduce impacts of CC.</p> <p><b>RARE:</b> Identification of international, bi-lateral, national or private funding streams that either explicitly address - or will be used to fund the activities of the strategy, and therefore encompasses DRR and CCA.</p>	Social protection is one of the pillars of the climate change strategy of Mozambique. One of the priority actions within this pillar includes increase the adaptive capacity of the vulnerable persons through the strengthening of the linkages among the social protection systems and the mechanisms for disaster response, including the articulation with early warning systems.

### Key findings from the review suggest the following:

1. **CCA strategies aim at preparing and adapting to ‘climate-risk’ and ‘extreme events’ which translates operationally in activities which can be categorized as adaptation or disaster preparedness indistinctively.** Some areas of work traditionally considered as disaster preparedness or response measures (risk mapping, resilient housing and infrastructures, flood and drought management and EWS) appear in CCA strategies as adaptation options.
2. **Conceptually, there are almost no explicit linkages made between CCA and DRR.** Although most countries recognize that CC increases risks and has an impact on frequency and intensity of extreme weather events, in particular floods and droughts, extreme events are considered as a CCA issue. Occasionally there is a mention of DRM activities being the same as adaptation activities and vice-versa but without any further details. Only one country mentioned that DRR and CCA have commonalities, as well as differences. Another country mentioned that DRR and adaptation are complementary but did not provide additional information.
3. **Without institutional coherence, it is difficult to assess to which extent CCA and DRR are integrated at policy level.** Most documents do not include a cross-sectoral implementation strategy and therefore do not specify which institution will be responsible for the operational aspects of what is traditionally considered as DRR actions (prevention, preparedness, response and recovery).
4. **Most strategies identify some operational actions which relates to DRR and CCA, through common areas of work or sectoral integration.** The most common area of work is enhancing risk knowledge (mapping, identification of risks) in order to develop better EWS. DRR is addressed as a specific sector and is still mostly seen as a response / emergency area of work (EWS, contingency planning). In the DRR cycle, integration of CCA in prevention, preparedness and response is often present. However, **countries almost never mention recovery processes and building back better which has been identified as a potential key phase to integrate CCA and DRR.**

### 2.3.3 Supplement to the analysis of CCA strategies: NAPs and INDCs

INDCs and NAPs are the two instruments promoted by the UNFCCC respectively to outline adaptation ambitions and to plan and implement them. As there are no equivalent to INDCs in DRR practices, INDCs cannot be compared and as such have not been included in the policy analysis. Nevertheless, as they outline commitments of governments to reduce the impacts of climate change, they provide insights with regard to strategic aspects of policy coherence and can serve as leverage to increase coherence through a high-level process. The analysis showed that only a third of SSA countries address DRR in their commitments. **With the next round of submissions of NDCs in 2020, countries have an opportunity to promote policy coherence between CCA and DRR at strategic, conceptual, institutional and financial levels.**

In 2019, no countries in SSA had submitted their NDC, the deadline being 2020. However, 40 countries had submitted an INDC document prior to 2015, and among them 29<sup>4</sup> refer to DRR. Most countries refer to disasters as an element that is to be addressed as part of CCA activities and only 13 countries have specific actions which are geared towards addressing DRR directly. These activities focus on:

1. Increasing disaster preparedness through EWS, particular emphasis is put on this activity which appears to be the most common when addressing DRR in relation to CCA (Eswatini, Ethiopia, Ghana, Lesotho, Niger, Rwanda, Sierra Leone);
2. Developing DRR policies and strategies (Ethiopia, The Gambia, Liberia, Mauritius, Sierra Leone, Zimbabwe);
3. Including DRR in sectorial approaches on water, agriculture or urban settings (Niger, Togo, Zimbabwe)
4. Building adaptive capacity and enhancing prevention (Ghana, Lesotho);
5. Increasing understanding of risk through data collection and risk assessments (Cote d'Ivoire, Rwanda, Seychelles).

In line with these ambitions, five (5) countries<sup>5</sup> have published a NAP between 2015 and 2019. A broad analysis of the integration of DRR into NAPs showed that overall DRR is included in all NAPs, demonstrating the relevance of DRR to CCA. However, more work is still needed to align objectives, activities and indicators.

Three countries have included DRR as a substantial area of work by including it as a standalone objective usually focused on protecting and increasing the resilience of vulnerable people. One country partially included DRR as part of a sectorial activity aiming at protecting most vulnerable people. Finally, one country only mentioned DRR as an important cross-cutting issue. Furthermore, all NAPs refer to the national institution in charge of DRR either to underline the need to coordinate on specific DRR related issues or to build capacity of the institution to integrate CCA into the DRR cycle. In Togo,

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<sup>4</sup> Benin, Burundi, Cabo Verde, Cameroon, CAR, Chad, Cote d'Ivoire, Eswatini, Ethiopia, The Gambia, Ghana, Guinea-Bissau, Lesotho, Liberia, Malawi, Mali, Mauritius, Mozambique, Niger, Nigeria, Rwanda, Sao Tome, Seychelles, Sierra Leone, Tanzania, Togo, Uganda, Zambia, Zimbabwe.

<sup>5</sup> Burkina-Faso, Cameroon, Ethiopia, Kenya, Togo

the Ministry of Environment is in charge of DRR. In terms of areas of work where DRR and CCA are integrated, countries mention contingency planning and early warning systems.

#### **Box 5: DRR into NAPs**

In Burkina-Faso's NAP, DRR is included as a short-, medium- and long-term objective 'Protect persons and goods from extreme climate events and natural disasters.' This includes activity such as: taking into account resilience in development projects and programmes; formulating contingency plans at regional and local levels and plans to support vulnerable populations; providing sustainable financing for disaster and humanitarian crisis prevention and management by formulating and implementing an appropriate financing strategy. For the implementation, the NAP plans to build capacities of the national structure in charge of disaster and humanitarian crisis prevention for better integration of the CCA dimension in disaster prevention, preparedness and response plans.

In Cameroon's NAP, DRR is cited as part of specific objectives aimed at protecting vulnerable people. This includes awareness raising of vulnerable people on climate change and disasters, setting up a national fund for people affected by climate-related disasters and strengthening capacities to anticipate hazards and their impacts on security and vulnerable people. One project focuses on updating the national contingency plan and operationalizing the emergency fund, in coordination with civil protection.

Objective 4 of Ethiopia's NAP is to 'establish resilient systems that can withstand disasters and risks imposed by climate change through building collaborative partnerships among the relevant stakeholders and enhancing the thematic integration among different development sectors'. Specific objective 16, aims at improving EWS to enhance planning for disaster and climate risk management through better knowledge management system, climate information exchange systems and enhanced networking capabilities. The DRM Commission will be responsible for data collection.

Mainstreaming DRR into various sectors is part of the vision of Kenya's NAP. It also includes a standalone objective aiming at enhancing resilience of vulnerable populations to climate shocks through adaptation and DRR strategies. In terms of institutional arrangements, the National Drought Management Authority will continue to coordinate drought management and DRR actions and will be expected to report annually to the National Climate Change Council on the status and progress of CCA and resilience on one project.

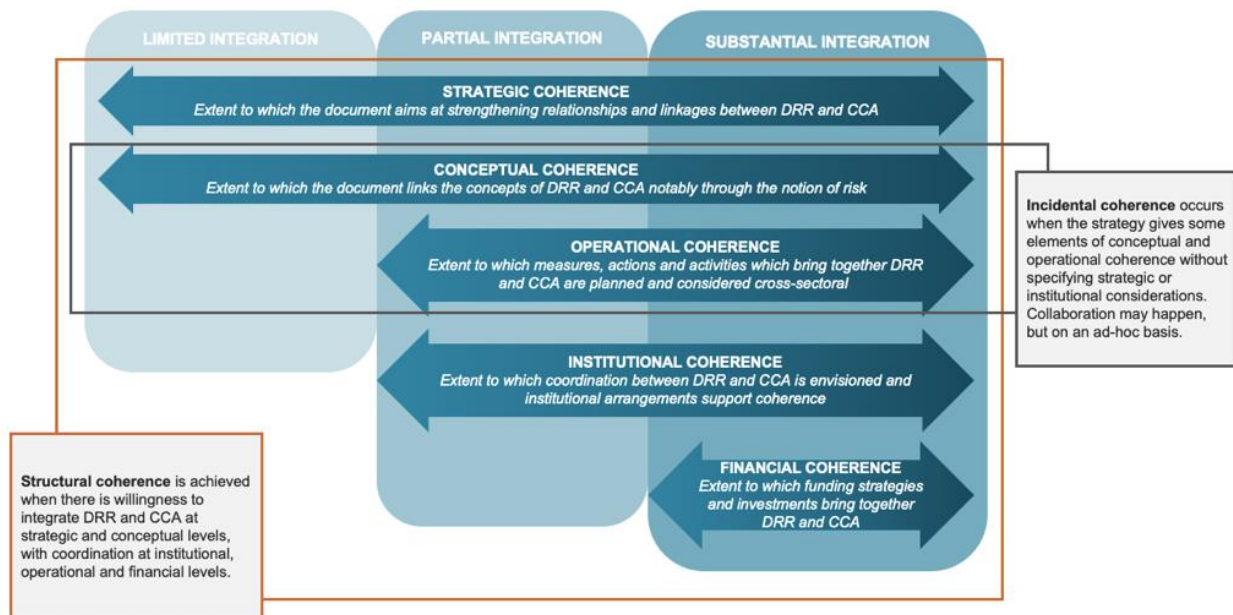
Source: UNDRR based on the review of the NAP documents

## 2.4 From incidental integration to structural integration for better policy coherence

**The analysis of DRR and CCA policy documents in SSA points out that policy coherence is more incidental than structural.** In other words, integration of DRR and CCA is occurring more often on an *ad-hoc* basis. Although there are conceptual elements which show that there is recognition that DRR is linked to climate change, and operational elements which indicate overlapping activities, there is rarely an indication that these are the results of a collaborative process. There may be some information exchanges, but in the absence of detailed cross-sectoral strategies, the level of collaboration in the design and implementation of activities cannot be assessed.

**Moving to a more substantial integration of DRR and CCA in planning documents means advancing towards a structural approach to coherence.** This would require particular emphasis on clarifying conceptual and institutional coherence in order to ensure that policy documents set a basis for coherent implementation of DRR and CCA. Nonetheless, both criteria do not have the same strategic value in terms of coherence. The analysis suggests that conceptual coherence is necessary but not sufficient to build a structural approach, whereas institutional coherence is the corner stone of a structural approach to coherence and thus, of a substantial integration.

**Figure 12: Incidental and structural integration in light of the integration spectrum**



#### 2.4.1 Clarifying conceptual coherence for institutional and operational coherence

**Conceptual linkages among DRR and CCA are almost never explained in DRR and CCA strategies:** They seem to be assumed without details on the differences and similarities of both domains and the implications these conceptual linkages may have for the institutional, operational and financial components of the strategies.

**There needs to be more explicit recognition of synergies between DRR and CCA,** and further explanation on how they relate to be able to define roles and responsibilities and areas of collaboration. **Although, conceptual linkages do not lead necessarily to operational coherence, it is a first basis to build upon** to define actions and roles and responsibilities for each community.

**Capacity building and facilitation of exchanges on similarities, differences and convergence among CCA and DRR for national and regional actors may have positive repercussions** in coherent planning and implementation. Enhancing understanding of differences and similarities can contribute thereby to defining perimeters and clarifying roles and responsibilities for better coordination and implementation.

## 2.4.2 Lack of institutional coherence hinders operational and financial coherence

**Common areas of work are frequently identified (implicitly or explicitly) in DRR and CCA strategies** but the analysis suggests that there are no coordination mechanisms ensuring coherence at planning and implementation levels.

**Hazards that are frequently found in both strategies are floods, droughts, hurricanes and heatwaves.** This implies that both strategies envision actions to prepare and adapt to the impacts of these hazards –frequently called “extreme events” by the CCA practitioners. However, in the absence of details on institutional coherence, it is unclear to what extent the consideration of these areas in both strategies is the result of dialogue and coordination or represent rather a convergence in the understanding that both communities have of their areas of work, responsibilities and contributions to enhance resilience.

In sum, **the authors suggest that institutional coherence is the key pillar to achieve policy coherence among DRR and CCA.** There is a need to strengthen DRR and CCA governance in policies, outlining how responsibilities will be attributed and how coordination will happen. Strengthening institutional coherence will allow to move from incidental coherence to a structural coherence.

**Financial coherence should also be further pursued through the strengthening of funding aspects in support of implementation of DRR and CCA.** Financial aspects are still weak in most documents and therefore implementation is compromised. Nonetheless, in CCA strategies, the consideration of hazards as floods and droughts and domains as early warning, implies that climate finance mobilized for the implementation of CCA strategies such as GEF, GCF or the Adaptation Fund (see chapter 1) is being or can be allocated and leveraged for actions related to DRR. This provides an entry point for financial coherence which should be further explored.

**Institutional coherence could then contribute to avoiding a duplication of efforts and resources by providing a platform for discussing the allocation and prioritization of funds and activities** based on comparative advantage and expertise of both practices. In this context, detailed actions plans are useful tools which allow for the clarification of objectives, responsibilities and budget, and as such can support institutional, operational and financial coherence.

**Planning documents are just one piece of the broader policy landscape and may not reflect the level of coordination of DRR and CCA communities at the country level.** Chapter 1 (section 1.3) pointed out that the integration of DRR and CCA into policy documents is before all the result of a process of inter-organizational relationships. Depending on the level of formality of the relationship, structures in place and the involvement of actors, the output of their relationships will be more or less integrated. Therefore, to complement the analysis of the policy documents it is important to look at mechanisms in place in SSA to coordination between DRR and CCA.



## Chapter 3: Multi-stakeholder engagement, governments and partners working towards policy coherence in sub-Saharan Africa

### HIGHLIGHTS

1. **Different leading institutions does not mean that policy coherence will not be achieved.** Inter-sectoral coordination mechanisms can play a critical role in fostering policy coherence between DRR and CCA along **with national budget, funds, legal frameworks and political leadership.**
2. **Countries should capitalize on existing mechanisms such as DRM and Climate Change Committees and / or Platforms,** which are the main existing coordination mechanism in country to increase synergies across sectors, scales and instruments. Investments in these mechanisms should be prioritized, and agenda and work plan should ensure to place coordination of DRR and CCA issues amongst the discussion points.
3. Where possible, **joint DRR and CCA coordination mechanisms** should be encouraged as they can contribute to **enhanced policy coherence while contributing to a more efficient use of human and financial resources.**
4. **Funding for adaptation can be leveraged for increasing coherence between CCA and DRR activities.** Many projects focus on common issues to the two practices such as resilient livelihoods, agriculture or ecosystems and include activities as developing risk and vulnerability assessments, creating early warning systems for natural hazards or accessing to risk transfer mechanisms etc.
5. **Many international and regional actors are currently implementing initiatives addressing DRR and CCA** notably through capacity building, policy support, risk information, preparedness, response and adaptation projects and programmes. **However, policy coherence is rarely explicit and often supported incidentally** by the integration of actions dealing with climate extreme events and not always supported at the institutional and financial levels. **Partners have a key role to play in fostering coherence in their programmes.**

### Introduction

**Institutional coherence has been acknowledged as a pillar to enhance overall coherence. This chapter gives an overview of some efforts which have been made to date by various government and non-government actors in order to achieve policy coherence between DRR and CCA in sub-Saharan Africa.** First, the chapter focuses on how governments have enhanced collaboration in order to foster policy coherence. In doing so, it presents some good practice examples of vertical and horizontal coordination mechanisms which are used to bring together DRR and CCA.

**Second, the chapter provides a preliminary mapping of some actions conducted by non-government actors in the region whom are engaging on policy coherence in particular through financial support, technical assistance and research.** Its scope ranges from international organizations, within the UN system and beyond, to development partners, research centers and partnerships. This non-exhaustive mapping provides a basis on which further research can build upon. The chapter shows encouraging work on coherence already occurring at a variety of scales in SSA, and recognizes that renewed coherence activity should, and will necessarily, engage with efforts and projects already underway.

### 3.1 Government actors

**DRR and CCA strategies seldom provide information on coordination mechanism for DRR and CCA activities** (see chapter 2). Some strategies have an objective to set up a coordination mechanism (e.g. National DRR Platform) and outline actors involved in it (e.g. Ministry of Environment or Health etc.). Other strategies refer to a mechanism already in place and usually make a reference to a law, decree or policy document which gives more details about the mechanism. Compared with strategies, policies tend to have longer and more detailed chapters on institutional arrangements and therefore, on coordination mechanisms. Overall, the desk-review of DRR and CCA strategies showed that CCA documents tend to be more explicit about coordination mechanisms.

**Capturing how coherence happens in country requires to complement the desk-review of strategy documents with additional information on national coordination processes.** This section is based on results from the questionnaire and qualitative information collected via interviews and workshops. It looks at multisector coordination mechanisms as well as other governments approaches and tools which can contribute to enhanced DRR and CCA coordination such as national budget, funds, legal frameworks and political leadership.

#### 3.1.1 Coordination mechanisms: bringing together fragmented institutional arrangements

**At national level, different institutions are leading DRR and CCA agenda which poses a challenge to coordination between the two fields** (see chapter 1). In SSA, some countries have placed DRR activities under a high political level such as the Office of the President, Vice-President or Prime Minister, or under the Ministry of Environment (MoE), which provides opportunities for better collaboration between DRR and CCA. Nonetheless, this is still marginal. Results from the questionnaire confirm that in most countries DRR falls under the leadership of Ministries of Interior whereas CCA is managed by Ministries of Environment. In addition, engagement among the two communities is not consistent and only done few times a year through inter-ministerial or intersectoral meetings.

**Different leading institutions does not mean that policy coherence cannot be achieved. There needs to be established structures for discussion and collaboration between institutions,** with clear roles and responsibilities assigned. In addition, as both CCA and DRR practices are seeking to build actions using a 'whole of society approach' informed by multiple sectors and actors, these coordination mechanisms will benefit from the participation of all relevant stakeholders involved in DRR and CCA implementation.

### Box 6: Definitions, horizontal and vertical coordination

**Horizontal coordination** refers to a mechanism which gathers various sectors together. For instance, most countries in SSA have set up National DRR Platforms which are defined as a generic national mechanism for coordination and policy guidance on DRR that is multi-sectoral and interdisciplinary. It is usually composed of experts from ministerial departments involved at technical level in DRR supported by the UN system, humanitarian NGOs, civil society, private sector, faith-based organizations and financial partners.

**Vertical coordination** links different administrative levels together, from the national to the district level.

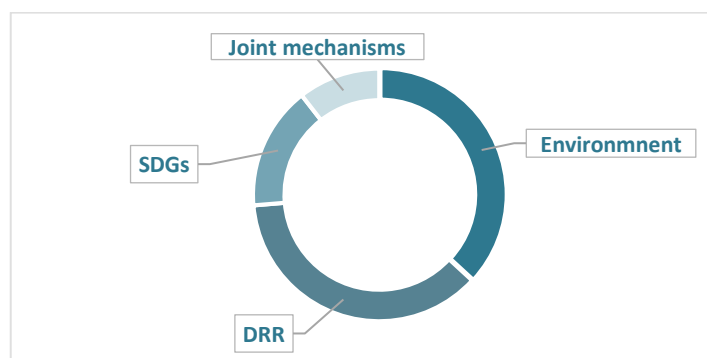
Whether they are vertical or horizontal, coordination mechanisms can either be **formal**, in this case there are mandated roles and responsibilities defined usually by law, decree or in a policy document. Coordination can also be **informal**, relying on *ad hoc* information exchanges and personal ties.

#### 3.1.2 Typology of traditional multisectoral coordination mechanisms for coherence

In the questionnaire, 61% of countries (19/31) reported that they have a coordination mechanism for discussion of CCA and DRR issues. Based on countries' replies, the different inter-sectoral mechanisms were clustered in three groups:

1. Mechanisms **embedded in one of the two community** (DRR or Environment);
2. **Joint mechanisms** between DRR and CCA;
3. **Mechanisms** under the sustainable development and/or **SDGs umbrella**.

**Figure 13: Coordination mechanisms for DRR and CCA**



Source: UNDRR based on questionnaire (2019)

#### *Mechanisms embedded in one of the two community*

**Most countries report that they use the coordination mechanism for either DRR or climate change to create linkages between the two fields.** Inter-ministerial and multi-stakeholder platforms and committees such as Climate Change Committees, DRR Committees, National DRR Platforms (NDRRP) connect government and non-government institutions and organizations around DRR or climate change issues. These types of mechanisms already exist in most SSA countries and therefore

present an opportunity to mobilize efficiently actors working on DRR and CCA. In particular, all NDRRP involve Ministries of Environment.

**Nonetheless, to ensure effective coordination of DRR and CCA through these mechanisms, some challenges need to be addressed.** Most countries report that engagement is done through the participation of DRR or CCA experts in these fora. In the absence of agenda and minutes from these meetings, it is difficult to grasp to which the extent DRR and CCA experts directly engage, notably in terms of information exchange and implementation. In addition, countries note a strong turnover of members in these meetings, which limits knowledge management and coordination. Finally, all of these mechanisms are not meeting regularly. For instance, some NDRRP are not active and more than 70 per cent of countries whom replied, identify the lack of funds as the main challenge for their platforms. **Investments in coordination mechanisms are needed to ensure regular collaboration.**

**Box 7: Good practice from Ghana, vertical coordination mechanism for data collection to support CCA and DRR**

In Ghana, national, regional and local Disaster Management Committees brings together DRR and CCA. Through this vertical coordination mechanism, data is collected at district level for both DRR and CCA, with the same tools, and compiled at regional and national levels through the Committees. Once compiled, the data is sent to the national development planning commission - under the PMO - where staff are in charge of monitoring and evaluation.

**Existing multi-sectoral coordination mechanisms embedded in one of the two fields provide opportunities for discussion and enhanced collaboration between DRR and CCA**, providing that governments ensure that DRR and CCA experts and policy makers are involved in these mechanisms.

*Joint DRR-CCA mechanisms*

**Few countries in SSA have set up joint coordination mechanisms between DRR and CCA actors.** Two cases of countries (Benin and Malawi) which have identified the need to gather the two entities under a common platform in order to define guidance for DRR and CCA and ensure more efficient response to climate and disaster-risk challenges, are presented below. Although, both platforms have the same purpose, the two mechanisms have been defined by different processes: Benin's Platform was put in place by decree n°2011-834 in 2011 and is both horizontal and vertical. Conversely, Malawi's Technical Committee was set up in 2019 and membership, functioning and responsibilities, are still to be determined.

### **Box 8: Good practice from Benin and Malawi, joint CCA-DRR mechanisms**

In 2011, **Benin** put in place a National DRR and CCA Platform (PNRRC-ACC) which purpose is to promote prevention and DRM in policies, plans and programmes regarding sustainable development, define guidance for DRR and climate change and facilitate the mobilization of resources for prevention, disaster management, recovery and post-disaster development. The mandate, purpose and functioning of the Platform are defined by Decree n°2011- 834 of 30 December 2011. Co-chaired by the Minister of Interior, Minister of Environment, Minister of Health and Minister of Social Affairs, the Platform is composed of government representatives, UN system, development partners, Red Cross and Humanitarian NGOs. In addition, the Platform is replicated at all administrative levels: county, municipality and town, and information is passed on through the various platforms from the town level to the national and *vice-versa*.

In **Malawi** DRR is managed by the Department of Disaster Management Affairs (DoDMA) and CCA is managed by the Environmental Affairs Department (EAD). Both departments have set up technical committees, respectively the National Technical Committee on Climate Change and the National Disaster Preparedness and Relief Committee. In 2019, these two structures were merged into one joint mechanism called the Climate Change and Disaster Risk Management Committee. This structure emerged from the development process of the *National Resilience Strategy*, which pointed to the need to improve coordination of the two sectors since Malawi's major disasters are caused by natural hazards (i.e. floods and droughts). The draft Terms of Reference (TOR) of the committee notes that '*It is important to promote the integration of risk reduction associated with existing climate variability and future climate change into strategies and programmes for the reduction of disaster risk and adaptation to climate change.*' The purpose of the mechanism is to create, , **a forum for technical guidance** on DRR and CCA and, **a platform for knowledge sharing, planning and monitoring**. Among its functions, the Technical Committee should ensure vertical coordination between districts' and national level committees. In addition, Malawi is exploring the possibility of replicating this mechanism at higher political level.

**Joint coordination mechanisms between DRR and CCA provide an opportunity for more efficient use of financial and human resources** by integrating two different mechanisms that were previously working and gathering separately. Integrating the platforms reduces the number of meetings which might have a positive effect on attendance. In addition, joining the platforms allows to reduce costs and therefore contributes to overcoming the main challenge of coordination mechanisms: the lack of funds.

**Coordination mechanisms which are enshrined in a law or decree contribute to establishing leadership, clarifying mandates, roles and responsibilities, and thereby facilitate collaboration** across practices and at different levels. Ensuring coordination between DRR and CCA also requires articulating the local level and the national level to relay information. Joint vertical coordination combined with joint horizontal coordination contribute to institutionalizing the collaboration at different levels.

*Mechanisms under the sustainable development and/or SDGs umbrella*

**Many countries have set up mechanisms under the leadership of Ministries of Finance and Planning to support the implementation of sustainable development and the SDGs.** These

mechanisms take various forms from National Commissions to Committees at both policy (Steering Committee) and technical levels (Committee on SDGs). These mechanisms usually include all sectorial ministries with a view to integrating key issues into development planning and reporting against achievements.

**Countries report that these mechanisms serve as fora for exchanges and coordination between DRR and CCA practices** although it is unclear to which extent DRR and CCA actors actually engage with each other in this context. Coordination with sustainable development and SDGs is essential in order to mainstream DRR and CCA into development planning and other sectors. However, looking closer at examples of coordination between DRR and CCA which happen under the sustainable development umbrella, the analysis suggests that there is usually a preliminary coordination which happens only between DRR and CCA. For instance, both Benin and Namibia have set up other mechanisms to support discussions between DRR and CCA separately.

#### **Box 9: Good practice from Benin and Namibia**

Since 2016, **Benin** has been localizing the SDGs and created a General Directorate for Monitoring and Coordination of SDGs implementation (DGS-ODD), to support this process. This Committee, which includes all sectorial ministries, CSOs and universities, serves as the coordination mechanism to enhance coordination between DRR, CCA and SDGs.

**Namibia** has developed a strategy for mainstreaming DRR and CCA into Development Planning 2017-2021. Although Namibia had already developed several legal and policy documents to address on the one hand DRR (DRM Act. 2012; National Policy on DRM 2017) and CCA on the other hand (CC Act and Policy), they identified the need for a specific document that would enhance the mainstreaming of both DRR and CCA including for more efficient use of financial resources. The mainstreaming process started with the NDP and will go to the local level. Some key challenges experienced during the strategy development included a limited understanding of DRR and constrained budget needs for DRR into sectorial plans. In addition, Namibia noted that the Climate Change Committee, which was established with the National Policy on Climate Change, as well as the DRM Committee served as coordination mechanisms including for reporting on the implementation of the strategy. These reports as well as sectorial reports are then consolidated by the National Planning Commission for integration into the NDP.

### 3.1.3 Enablers of coordination between DRR and CCA

Other government mechanisms such as national budget, funds, legal frameworks and political leadership can foster policy coherence.

**Ministries of Finance and Planning can play a critical role in bringing together DRR and CCA activities by tracking and allocating budget in a coherent manner.** Currently most countries do not track DRR expenditures as DRR is mostly funded through sectorial budgets (Health, Environment, Education, Agriculture etc.) and by Ministries which operate independently from the lead agency in DRR. Therefore, they do not share this data with DRR units or departments. CCA presents the same challenge. Existing funding schemes which are structured according to the objectives of the issuing

institution hinders coherence (Birkmann & von Teichman, 2010). There is a need to centralize and allocate budget through MoF for DRR and CCA according to commonly defined objectives.

**The allocation of funds according to an overall common objective such as increasing resilience can incentivize the two communities to coordinate around a common goal.** ‘Resilience programming shifts the balance of effort and resources from short-term humanitarian assistance efforts toward a combination of disaster risk management, climate change adaptation, livelihood diversification, social protection programmes, and longer-term institutional development’ (UNDP, 2015). This was the rationale behind the creation of the Zimbabwe Resilience Building Fund (ZRBF).

**Box 10: Good practice from Zimbabwe: The Resilience Building Fund (ZRBF)**

The ZRBF funds interventions aiming at achieving increased capacities of communities to withstand shocks and stresses, which includes DRR and CCA activities. The ZRBF interventions falls under the Resilience strategic framework for Zimbabwe developed in 2015 and designed to be responsive to various national policies and statutes including the Zimbabwe Agenda for Sustainable Socio-Economic Transformation (ZIM-ASSET), National Climate Change Response Strategy (2015) and the Civil Protection Act (1989) (Zimbabwe Resilience Building Fund, s.d.). The ZRBF is also designed to address the SDGs, Paris Agreement and Sendai Framework. In terms of governance, the Steering Committee is responsible for making policy decisions, and guide the implementing partner in the execution of the projects. It is a multistakeholder mechanism which includes the Ministry of Agriculture, Ministry of Local Government, Food and Nutrition Council, Ministry of Public Service, and development partners (UNDP, EU, DFID, Sweden) (ZRBF, s.d.).

**In addition, clarifying mandates, roles and responsibilities and coordination arrangements through legal frameworks, policies and strategies can support the establishment of strong coordination mechanisms.** However, more research needs to be conducted at national level in order to understand the actual involvement of actors in these coordination mechanisms, what kind of structures foster coordination, which characteristics have enabled or facilitated collaboration.

**Finally, enhancing coordination for policy coherence between DRR and CCA requires strong political leadership at national level to drive the coherence agenda.** As key government partners, international and regional organizations and agencies should support governments in their efforts towards coherence. Non-government actors working at local, national and regional levels have an important role to play in fostering policy coherence through funding, advocacy, planning and implementation.

### 3.2 Non-government actors

This section provides a preliminary mapping of some actions conducted by non-government actors in the region whom are engaging on policy coherence in particular through financial support, technical assistance and research. Its scope ranges from international organizations, within the UN system and beyond, to development partners through regional entities.

### 3.2.1 Financial actors

Chapter 1 pointed out that the Paris Agreement - unlike the Sendai Framework - has set dedicated financial mechanisms to fund adaptation commitments. Throughout the decade, a range of multilateral funding mechanisms has emerged in order to help developing countries reach their adaptation goals. This includes the Least Developed Countries Fund, the Special Climate Change Fund, the Adaptation Fund, the Global Environment Facility and the Green Climate Fund. **This section looks at projects funded by these actors to better understand how climate change funds are being mobilized and can be best leveraged to address coherence between DRR and CCA.** In addition, the section presents other financial actors whom mobilize resources for CCA and DRR while providing technical assistance.

#### *The Adaptation Fund*

The **Adaptation Fund (AF)** was established in 2007 to fund CCA projects in eight sectors including agriculture, food security, urban development, water management and DRR. DRR encompasses preventive measures such as **risk and vulnerability assessments, strengthening climate information and developing early warning systems**, to ensure that natural hazards do not evolve into disasters (Adaptation Fund, s.d.).

**Under DRR projects, the AF currently funds three regional projects<sup>6</sup>** which have been approved in 2019 for an implementation period of four years and a budget of \$11 million to \$14 million (Adaptation Fund, s.d.). These projects have different approaches and focus area (i.e. hazard specific; urban context; protection of a transboundary ecosystem) but all projects have the same goal to build resilience of communities and **have strong operational linkages between DRR and CCA through components such as creating EWS, developing emergency response plans and increasing knowledge and awareness on climate risks.**

**Nonetheless, at institutional level, projects rarely include the lead disaster management authority as implementing partner which poses challenges to a coherent approach to DRR and CCA.** For instance, Kenya has two agencies coordinating DRR: the Kenya National Disaster Operation Centre (NDOC) and the National Drought Management Authority (NDMA). But in the proposal neither NDOC nor NDMA are mentioned as national executing entities and partners where only climate change, meteorological and environment entities are identified (Sahara and Sahel Observatory, 2019).

**An analysis of other sectorial projects, in particular those under ‘food security’, reveals that the promotion of institutional coherence relies on the lead implementing entity.** In SSA, the World Food Programme (WFP) is leading two projects in Lesotho and Malawi. The latter which has been approved in 2019 for five years with a budget of USD \$10 million addresses coordination between DRR and CCA actors. Developed in concertation with the Department of Disaster Management Affairs (DoDMA), the project contributes to enhancing the capacity of people to withstand

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<sup>6</sup> 1. ‘Strengthening drought resilience for small holder farmers and pastoralists in the IGAD region’ ; 2. ‘Building urban climate resilience in south-eastern Africa’; 3. ‘Integration of climate change adaptation measures in the concerted management of the WAP transboundary complex: ADAPT-WAP’



risks and ensure reduction of disaster losses which are at the core of the National Resilience Strategy (2017-2030) and the Disaster Risk Management Policy (2015). Notably, DoDMA is a member of the Project Steering Committee and has a role to play in improving access to insurance as a risk transfer mechanism for targeted farmers affected by climate change and food insecurity (WFP, 2019).

### *The Green Climate Fund*

The **Green Climate Fund** is a global platform established in 2010 to respond to climate change by investing in low-emission and climate-resilient development to reduce GHG emissions and help vulnerable societies adapt to the impacts of climate change (GCF, s.d.). As such, it aims to deliver equal amounts of funding to mitigation and adaptation. In terms of adaptation, the GCF funds the preparation and implementation of individual adaptation actions prioritized through the NAP process and supports the development phase of NAPs through the Readiness and Preparatory Support Programme.

The objective of the Readiness Programme is to enhance the capacity of national institutions. All developing country parties to the UNFCCC can access this Programme which can **provide up to \$1 million per country per year** for support related to institutional capacity building, coordination, policy and planning, and programming for investment **and up to \$3 million per country for the formulation of NAPs and/ or other adaptation planning processes** (GCF, s.d.). It is important to note that within these specific funding caps, countries may submit multiple proposals over multiple years. The following international organizations are among the accredited entities which Readiness proposals have been approved: UNEP (20 approved proposals), UNDP (11), FAO (8), GGGI (5), UNIDO (4). Among other international partners which have submitted at least one proposal are: AfDB, GIZ, IUCN. Two countries in SSA have currently no readiness proposals approved: Sierra Leone and Cap Verde (GCF, s.d.).

In addition to the Readiness programme, the GCF has approved 22 adaptation programmes in SSA as of April 2020. These adaptation programmes focus on **ecosystem-based adaptation, resilient agriculture, resilient livelihoods or urban flood management at national level**.

### *The Global Environment Facility*

The **Global Environment Facility** (GEF) supports adaptation to climate change in developing countries through two funds which were established in 2001: the **Least Developed Countries Fund** (LDCF), which supports adaptation needs in LDCs through resilience-building investments in sectors and capacity building to better understand risks, vulnerability and adaptation to climate change; and the **Special Climate Change Fund** (SCCF), accessible by all developing countries, it has an enhanced focus on technology transfer, innovation, and private sector engagement (GEF, s.d.).

Through these two funds, the GEF supports **adaptation projects related to biodiversity, water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems and integrated coastal zone management**. It also supports monitoring of diseases and vectors affected by climate change, and related early warning systems. It builds capacity for disaster prevention related to climate change, including for droughts, floods and wildfires, and also provides catastrophe risk insurance. For instance, in South Africa, the GEF funds through the SCCF a project on 'reducing disaster risks from wildfire hazards associated with climate change' implemented by UNDP. Implementing partners in SSA are: AfDB, UNDP, UNEP, World Bank,

Development Bank of Southern Africa (DBSA), FAO, IFAD, IUCN, UNIDO, West African Development Bank.

#### **Box 11: The NAP Global Support Programme (NAP-GSP)**

Funded by the GEF, the NAP-GSP programme is implemented by UNDP and UNEP to assist least developed and developing countries to identify technical, institutional and financial needs to integrate climate change adaptation into medium and long-term national planning and financing. The programme supports the process to formulate and implement NAPs under the UNFCCC. Currently both UNEP and UNDP are mostly focusing on supporting countries to develop a Readiness and Preparatory Support Proposal to access funds from the GCF in order to develop a NAP.

#### ***The World Bank Group***

The **World Bank** (WB) published in 2019 its Action Plan on Climate Change Adaptation and Resilience, which outlines the WB's strategy for tackling CCA. The first objective of the strategy is to **boost adaptation financing to reach \$50 billion over 2021-2025** through the International Development Association (IDA) and the International Bank for Reconstruction and Development (IBRD) (World Bank, 2019). In Africa, the WB provides support to countries to achieve a climate and disaster resilient development, through various financial products including the Africa Climate Business Plan (ACBP) as well as technical assistance such as support to access funds from the GEF or to develop a national DRR strategy (e.g. Benin).

**The World Bank also developed tools such as the Climate and Disaster Risk Screening to support mainstreaming of climate and disaster resilience into key development policies, programs, and projects.** The tool can be used by development practitioners for an early stage screening of national level planning processes or project design in agriculture, water, energy, health, transportation, and policy level (World Bank Group, s.d.). The tool links to climate projections, country adaptation profiles, and disaster risk data sources from the World Bank's Climate Change Knowledge Portal. The data, combined with the user's understanding of the country context, generates a characterization of risks to help inform dialogue, consultation, and planning processes at the project and program level.

**Set up in 2015, the Africa Climate Business Plan (ACBP) is a platform for climate action that finances 176 projects totaling of \$17 billion dollars** which includes both mitigation and adaptation projects. Some of these projects also cover DRR objectives and activities (World Bank, 2019). For instance, the Senegal Saint Louis Emergency Recovery and Resilience Project seeks to reduce the vulnerability of populations to coastal hazards—including floods.

The **Global Facility for Disaster Risk Reduction (GFDRR)** is a multi-donor partnership and grant-making facility managed by the World Bank and designed to protect lives and livelihoods from disasters. Its mission is to facilitate implementation of the Sendai Framework and to contribute to the achievement of the SDGs and the Paris Agreement by ensuring that all development policies, plans, and investments are designed to minimize disaster risks and build the resilience of people and economies to climate change (GFDRR, 2020). In particular, with the Resilience and Climate Change Programme, the GFDRR aims to improve identification and understanding of risk under future climate

scenarios; avoid the creation of new risks and reduce existing risks; and support the design and implementation of investment policies that include climate-resilience measures. This is achieved through grant financing, technical assistance, training and knowledge sharing activities to mainstream disaster and climate risk management in policies, strategies, regulations and plans. In 2019, the Africa region was again the largest in GFDRR's active portfolio and included 78 active grants worth \$77 million (GFDRR, 2020). The GFDRR has an important role to play in facilitating policy coherence between DRR and CCA in SSA.

**Table 6: Examples of on-going projects which can support coherence in sub-Saharan Africa**

Actors	Types of activities funded	Beneficiaries in SSA	Implementing partners	Funding
<b>Adaptation Fund</b>	Risk and vulnerability assessments; Climate information; EWS; Emergency response plans; Knowledge and awareness on climate risks; Access to insurance etc.	Kenya, Sudan, Uganda, Madagascar, Malawi, Mozambique, Union of Comoros, Benin, Burkina Faso, Niger, Malawi, Lesotho	WFP, UN-Habitat, Sahara and Sahel Observatory	Between \$10 million to 14 million for each project
<b>Green Climate Fund</b>	Risk and vulnerability assessments; Ecosystem-based adaptation; Resilient agriculture; Resilient livelihoods; Urban flood management etc.	All countries in SSA have a readiness proposal approved except for Sierra Leone and Cap Verde.	UNEP, UNDP, FAO, GGGI, UNIDO, AfDB, GIZ, IUCN	Up to \$3 million / country for the formulation adaptation planning processes
<b>Global Environment Facility</b>	Capacity building to better understand risks, vulnerability and adaptation to climate change (LDCF); Biodiversity; Water resources management; Land management; agriculture; health; Infrastructure development; Fragile ecosystems; Integrated coastal zone management.	All countries in SSA	AfDB, UNDP, UNEP, WBG, Development Bank of Southern Africa (DBSA), FAO, IFAD, IUCN, UNIDO, West African Development Bank.	
<b>World Bank Group</b>	Financial products including the Africa Climate Business Plan (ACBP)	176 projects in Africa, including Senegal		\$17 billion dollars which includes both mitigation and adaptation projects.

Source: UNDRR

**Funding for adaptation can be leveraged for increasing coherence between CCA and DRR activities.** Many projects focus on common issues to the two practices such as resilient livelihoods, agriculture or ecosystems and include activities as developing risk and vulnerability assessments, creating early warning systems for natural hazards or accessing to risk transfer mechanisms etc. **The adaptation funding mechanisms present an opportunity to mobilize resources to enhance policy coherence.** However, lead implementing partners need to ensure institutional coherence in their proposals, notably by ensuring involvement of DRR agencies on DRR related activities. Ministries of Environment, which are usually the

lead national agencies need to work closer with DRR agencies and units and / or designate a focal point to address this coordination inside the Ministry of Environment.

### 3.2.2 Implementing partners for coherence

*Regional leading actors: the African Union and the Regional Economic Communities (RECs)*

The **African Union Commission (AUC)** has a Climate Change and Desertification Unit in charge of climate change related issues and a DRR Unit. Through these two Units, the AUC provides capacity building support to AU Member states on respective issues. In terms of coherence, the AU has a specialized agency: **the African Risk Capacity (ARC)** which supports African governments to improve their capacities to better plan, prepare, and respond to natural hazards. ARC aims at strengthening countries' DRM systems through capacity building and accessing rapid and predictable financing when a disaster strikes to protect the food security and livelihoods of vulnerable populations (ARC, s.d.).

Currently, the **ARC provides index insurance against droughts to participating governments** whom have developed contingency plans which determine how insurance payouts will be used when the insurance is triggered. For this drought product, ARC uses a software called Africa Risk View (developed by WFP) which combines satellite weather surveillance with data on vulnerable populations in order to estimate and trigger readily available funds to participating states. In other words, **ARC brings together early warning, contingency planning and insurance mechanisms, to provide liquidity shortly after a catastrophic event.** In the period 2019/2020, ARC's risk pool includes The Gambia, Mali, Cote D'Ivoire, Niger, Senegal, Chad, Zimbabwe, Madagascar, Togo, Burkina Faso, Mauritania.

**Regional Economic Communities (RECs)** form an important group of policy actors in the region working on distinct projects relevant to both DRR and CCA. For instance, the **Southern African Development Committee (SADC)**, established in 2008 a DRR Unit responsible for coordinating regional preparedness and response programmes for transboundary hazards and disasters such as the natural resources management programme; the agricultural information management system or the regional vulnerability assessment and analysis programme (RVAA). To fill the gap in terms of risk analysis, information and knowledge management systems, SADC set up the Climate Services Centre which provides meteorological, environmental and hydro-meteorological services for monitoring extremes in climate condition for improved DRM. SADC has also initiated a Regional Early Warning Centre linking national and continental EWS to ensure proactive response to climate emergencies (SADC, s.d.).

Similarly, the **Intergovernmental Authority on Development (IGAD)** has a project dedicated to Building Resilience to Disasters through Risk Management and Climate Change Adaptation, implemented with GFDRR and the national meteorological and hydro metrological Services. The project provides targeted support to IGAD member state to improve capacity for coordination and planning to accelerate effective implementation of DRM. Beyond these initiatives that explicitly deal with topics relevant to both DRR and CCA, RECs engage in a variety of agenda-specific projects, from the **East African Community's (EAC) Climate Change Programme**, which aims to create 'community based climate initiatives' and 'strengthen regional capacity to access climate change funding', to

smaller scale initiatives such as training in DRR-sensitive journalism conducted by the **Economic Community of West African States (ECOWAS)**.

**RECs work on both operational and institutional coherence.** As evidenced above, RECs can engage in specific projects with goals closely linked to coherence between CCA and DRR agendas, either explicitly or as an implication of the focus of the project. For example, initiatives centered around EWS or data dissemination require technical inputs from, and offer practical outputs for, both the DRR and CCA communities. Further, the regional structure of the organizations mean that RECs can offer particular modes of institutional coherence: both bringing together different states to offer horizontal coherence at the international level and connecting global funding streams to sub-regional projects in a manifestation of vertical coherence.

The AUC and the RECs therefore have the capacity to form a real strength of the coherence movement in SSA, providing a space where multiple agendas and a variety of actors can collaborate.

#### *The United Nations Systems and coherence in Africa*

**The United Nations Development Programme (UNDP)** supports implementation of SDGs, DRR and CCA at national level notably through capacity building and support to planning processes such as NAPs, DRR strategies and NDCs. UNDP country offices and their connections with governments at national and subnational level represent an opportunity for coherent implementation of global agendas. UNDP has been a long-standing partner for the implementation of GEF projects aiming at enhancing, among other domains, climate change adaptation. GCF funds particularly NAP readiness projects that are being implemented in Benin, Niger, Cote d'Ivoire, Democratic Republic of the Congo, Liberia and Mozambique. In addition, UNDP works closely with governments for the development of national DRR strategies in Angola, Botswana, Burundi, Cabo Verde, Cote d'Ivoire, Guinea, Madagascar, Malawi, Mauritius, Nigeria and Togo. Finally, UNDP supports governments in convening stakeholders to draft the country's Voluntary National Review (VNR) (e.g. Kenya) to analyze progress in the implementation of the SDGs and enhance policy coherence through sustainable development.

The **UN Economic Commission for Africa (UNECA)** can serve as a forum in Africa for policy coherence between DRR and CCA. The African Climate Policy Centre (ACPC) aims at enhancing the capacity of African countries to develop coherent policy frameworks based on climate information and knowledge on vulnerability, risks and impacts (UNECA, s.d.). The ACPC also seeks to identify sectoral priorities and responses for managing climate risks and guiding related investments notably through the Weather and Climate Information Services for Africa (WISER) programme. The programme aims to improve decision-making (crop choice for instance) by knowing what the weather and climate is likely to be. UNECA also has a specific **focus on the production of statistics for the African region**. This includes economic, demographic and social statistics as well as geo-information. This information is essential for the assessment of vulnerabilities and therefore for the development of appropriate CCA and DRR strategies. Through the African Center for statistics, UNECA can contribute to advocate for coherent use of data and information for both DRR and CCA through National Statistics Offices.

Climate change adaptation is a significant component of the work of the **United Nations Environment Programme (UNEP)** and the projects implemented cover four priority areas: (i) Ecosystem-based adaptation; (ii) Knowledge, analysis and networking; (iii) World Adaptation Science Programme and (iv) National Adaptation Plans (NAPs) (UNEP, 2019). UNEP is accredited to the GCF, the Adaptation

Fund and the GEF and implements a wide array of projects linking CCA and DRR. In terms of Readiness Proposals for the development of NAP, UNEP works in Malawi, Eswatini, Ghana, Nigeria and Zimbabwe. Likewise, the programme Disasters and Conflicts implements projects on ecosystem-based approaches for disaster risk reduction (ECO-DRR) which are instrumental for adapting to climate change and reducing impacts of disasters.

**UN Habitat's** focus on resilience in urban areas entails an inherent focus on coherence among climate change and DRR. This focus on resilience includes the reduction of vulnerability to different shocks, including actions on DRR, CCA, social protection, coverage of basic services and political participation. UN Habitat draws upon participatory planning supported by the City Rap tool to identify priorities areas of intervention to enhance resilience. This process allows various stakeholders to analyze the underlying conditions of vulnerability without labeling them in specific domains such as DRR or CCA, thereby fostering coherence. The project "Building urban climate resilience in south-eastern Africa" implemented in Madagascar, Malawi, Mozambique and Union of Comoros and involving the DRR of SADC and DIMSUR exemplifies this approach. The project includes a series of "sub-projects" aiming at enhancing social, economic and environmental resilience in selected cities. This includes actions such as interventions to prevent erosion and flooding, early warning systems for floods, construction of evacuation centers, urban greening interventions in high risk areas, sustainable forest management, mangrove rehabilitation, community-managed rainwater harvesting, improving drainage capacity and improving solid waste management. The project includes capacity building for municipal staff so that they can plan and implement the sub-projects and maintain the realized investments. The project also aims at working with national governments to create institutional arrangements and process for scaling up and replicating the climate resilience approach in other urban settlements and facilitating learning among local and national governments.

The **World Food Programme** (WFP) delivers food assistance in emergencies and works with governments and communities to improve nutrition. Internally, WFP has a Climate and Disaster Risk Reduction Programme Unit (OSZIR) which brings together integrated climate risk management, disaster risk reduction and climate adaptation approaches towards this aim. In its 2017 climate change policy, WFP set out a four-step approach to fulfill its policy objectives which brings coherence between DRR and CCA activities: (1) Understand climate-related problems and needs; (2) Integrate climate and DRR into country strategies and programmes; (3) Work with climate finance; (4) Test, learn, scale-up and mainstream. In terms of activities, WFP has a wide range of tools which encompasses both DRR and CCA activities and covers prevention, preparedness, response and recovery activities in a coherent manner (WFP, 2018). This includes climate analyses and assessments, climate information services, insurance mechanisms, forecast based finance, livelihoods resilience, policy support etc. In particular, in its project proposals to the AF and to the GCF, WFP consistently brings together both sectors at institutional and operational levels by promoting an integrated approach which involves both national climate change and DRR government actors and communities (WFP, 2019).

#### *Other partners*

**GIZ** implements projects to reinforce economic development, resilience, adaptation to climate change and for risk reduction. The Global initiative on disaster risk management (GIDRM), implemented from 2013 to 2020 supports, amongst others, the coherence among the 2030 Agenda, the Paris Agreement and the Sendai Framework. The third phase, planned to start in 2021 for three years, aims at contributing to a paradigm shift from DRR as a specific sector to mainstreaming of risk reduction into

sectors to apply for a long-term integration of DRR into development plans. The third phase targets also Africa, particularly SADC secretariat and selected countries in the SADC region. The adaptation portfolio of GIZ addresses not only weather extremes, but also slow-onset changes such as rising temperatures, increasing water shortages and rising sea levels. GIZ supports bilateral partner countries in the field of climate change adaptation in key sectors such as agriculture, biodiversity, environmental protection, water, waste management and policy advice, including the support for the development of NAP. In addition, GIZ together with various partners, supports the global NDC Partnership, the NAP Global Network and the InsuResilience Initiative.

The **International Federation of the Red Cross and Red Crescent Societies (IFRC)** and the national societies promote community-based approaches for risk reduction, including participatory enhanced vulnerability and capacity assessments (VCA), volunteer training and capacity strengthening on school based and community-based Disaster Risk Reduction, early warning systems and early action protocols and the National Societies are being supported with the development and implementation of their Disaster Risk Management strategies. In Africa, The IFRC Disaster Law Programme supports national governments developing and enhancing legal frameworks for effective disaster risk management. IFRC also works with the African Union Commission to reinforce capacities for cross border humanitarian response as well as with RECs such as IGAD, ECOWAS and SADC. The Disaster Policy Handbook includes considerations of climate change in the guidelines provided. During the 33<sup>rd</sup> International Conference of the Red Cross and Red Crescent Movement in 2019, States adopted Resolution 7 which encourages governments to assess whether their existing domestic disaster laws, policies, strategies and plans are climate-smart in preparing for and addressing the evolving risks of weather-related disasters, while ensuring an integrated approach to disaster risk management and climate change adaptation. In 2020, IFRC published a literature review on aligning CCA and DRR on existing knowledge on the topic and looks into an array of potential avenues that could be relevant for law and policy coherence. **The Red Cross Red Crescent Climate Center** supports the Red Cross and Red Crescent Movement and its partners in reducing the impacts of climate change and extreme weather events. One key programme that the Red Cross Red Crescent Climate Center supports is the Forecast-based Financing (FbF) which enables access to humanitarian funding for early action based on in-depth forecast information and risk analysis.

To conclude, policy coherence in sub-Saharan Africa requires a **multi-stakeholder engagement** involving governments and partners. Implementing partners such as the UN agencies, GIZ and IFRC dispose of **vast knowledge and particular expertise to foster policy coherence** at different levels and in different sectors. By a review of some of the projects being implemented, mainly with climate change adaptation funding, it is concluded that policy coherence is not systematically an explicit aim of the interventions. **Policy coherence is often supported incidentally by the integration of actions dealing with climate extreme events and not always supported at the institutional and financial levels.** Actors working in DRR and CCA in sub-Saharan Africa could foster an integrated approach for resilience, facilitating dialogue among the two fields through adapted coordination mechanisms. **Within the UN system, the United Nations Country Team (UNCT) under the leadership of the Resident Coordinator, represents a space of coordination at the national level.**

# Chapter 4: Pathways for policy coherence in sub-Saharan Africa

## Introduction

This report has the objective of suggesting pathways to enhance policy coherence among DRR and CCA in sub-Saharan Africa. These recommendations do not pretend to be exhaustive and detailed but to foster further dialogue among the actors working in DRR and CCA in the region. The recommendations are therefore aimed at governments and their partners and are presented based on the four priorities of the Sendai Framework.

### 4.1 Priority 1: Develop common grounds for understanding risk to inform policymaking

**Risk assessments** are fundamental for risk-informed planning. The methodologies to conduct risk assessments are very diverse and the literature in this regard is extensive. Depending on the purpose of the assessment, a different methodology will be applied, but the final objective remains the quantification of present and future risks. In order to decide what approach is the most appropriate depending on the expected planning outcomes, mismatches in territorial and temporal scales of risk assessments are an important challenge to be addressed (Birkmann & von Teichman, 2010; Birkmann, Jamshed, Sauter, & Garschagen, 2019). This is particularly evident when considering the impacts of climate change in the assessments and there is need to downscale global climate models into a specific territory.

The DRR community is working on a **global framework for risk assessments (GRAF)** gathering a broad-based community of risk specialists and designed to inform planning across sectors at all level. The climate change community relies on the **Warsaw International Mechanism for Loss and Damage** to increase consensus, knowledge and availability of methods to measure the impact of climate change. Even if there is no harmonized definition or methodologies within the UNFCCC to define loss and damage (L&D), an evolution towards an understanding of the impacts of climate change in terms of 'risk' has been perceived in the last years and better pictured in the AR5 (see section 1.2.2.). According to the L&D mechanism, the impacts of climate change can be translated into non-economic and economic losses and this is in line also with the risk metrics used by the DRR community.

**Vulnerability-centered approaches have gained attention in both DRR and CCA communities in the last years** (see chapter 1). Considering that vulnerability varies over time and space (Cutter & Shirley, 2003), some vulnerability assessments present rather a snapshot of the situation than a dynamic evolution of the conditions that make some social groups more susceptible to natural hazards or the impacts of climate change (UNDRR, 2019). Herein lies one of the key challenges for long term planning for risk reduction and climate change adaptation. It is very difficult to get a dynamic picture of the evolution of vulnerability conditions in order to match them with the evolution of climate parameters, in other words, temporal scales differ. Dynamics aspects of vulnerability are being more considered in the vulnerability research arena. Projections on GDP, population growth and



urbanization serve as vulnerability proxies to be combined with climate projections. Depending on the final objective of the risk assessment, it will be necessary to decide if we draw upon projected socio-economic pathways combined with predictions of climate parameters or focus on localized aspects of vulnerability such as results of household surveys, knowledge on EWS, risk perception, conditions of built environment among others. **Technical expertise and the participation of different disciplines including natural and social sciences is much needed to identify methodologies appropriate for the purpose of the risk assessments** and that take into account the technical and financial conditions of countries in sub-Saharan Africa.

Without greater attention to collecting, analyzing, and using data, countries will be unable to track progress on reducing climate and disaster risks, and lack the evidence to make sound future decisions related to development and economic growth. In sub-Saharan Africa, **there is a need to invest and dedicate resources to data collection at the local level and to the development of risks assessments** which can inform policymaking. In addition to the use of risk assessments to inform coherent policymaking, knowledge of risk should be enhanced at all levels of the society through **formal and informal education, public awareness and citizen participation.**

### Recommendations

- **Map data available for hazard and vulnerability assessments**, to identify gaps and enhance data availability, data sharing and data repositories
- Develop **joint-methodologies** for hazard and vulnerability assessments
- Conduct **risk assessments** and share results to enhance knowledge, discussion and feedback
- **Enhance availability of local data** and strengthening of local institutions dealing with risk and disaster loss data
- **Strengthen capacities of DRR and CCA policy makers** and experts on the use of risk assessments for risk-informed policy making (DRR&CCA strategies, sectoral policies, national development plans), this include capacities to draft terms of reference of risk assessment studies
- Promote the **use of disaster loss databases** and historical disaster trends on extreme events for climate change
- **Promote collaboration** between disaster management agencies, climate change departments, meteorological services, scientific community, academia, sectorial representatives, national statistics offices, geospatial agencies, among others for the development of comprehensive risk assessments.

## 4.2 Priority 2: Establish a strong governance system to achieve long-term resilience

The difference in institutional arrangements between DRR and CCA has created challenges for policy coherence regarding data and information exchange, planning processes, funding schemes and

monitoring and reporting. Breaking silos between DRR and CCA requires coherent governance systems which build upon legal frameworks, policies, coordination mechanisms, strong leadership, clear roles and responsibilities, resources, monitoring and accountability set up across sectors and at all levels (UNDRR, 2019). Cross sectoral and multi sectoral approaches are indeed key to building a common understanding. Building upon good practice examples presented in chapter 3, some entry points for improving governance in support of coherence between DRR and CCA are presented in relation to coordination mechanisms, planning and monitoring and evaluation.

#### 4.2.1 Coordination mechanisms

As they provide institutional spaces for collaboration and partnerships, ensure the circulation of relevant knowledge and allow the identification of synergies between different agendas, coordination mechanisms are a fundamental building block in developing coherence between CCA and DRR agendas.

**Strengthening governance for policy coherence between DRR and CCA starts with increasing vertical and horizontal collaboration in a formal way between the two practices.** This can be done through strengthening existing inter-ministerial and multi-stakeholder platforms and committees, such as National DRR Platforms, DRR Committees or Climate Change Committees, which serve as inter-sectoral coordination mechanisms for DRM or climate change action. Governments need to ensure that DRR and CCA policy makers and experts participate in these fora. In addition, the agenda could include systematically one point dedicated to enhancing the collaboration between the two practices in relation to either risk knowledge, planning, implementation or monitoring. Ideally, countries could consider **integrating part of the administrative set-up, through joint DRR-CCA Committees or Platforms** as it can contribute to a more efficient use of financial and human resources while ensuring enhanced coordination (e.g. Malawi, Benin).

In addition, it is necessary to **articulate the coordination between local and national levels to relay information.** Joint vertical coordination combined with joint horizontal coordination contribute to institutionalizing the collaboration at different levels. Governments should capitalize on existing mechanisms and knowledge which have been embedded at the local level. In particular as DRR has been embedded in institutions at the local level, DRR actors could support CCA integration and implementation at the local level (e.g. Ghana).

Enhancing coherence through coordination mechanisms **requires strong political leadership backed up by legal frameworks.** There needs to be commitment to the coherence agenda at the highest-political level to ensure coordination at technical level. Establishment of legal frameworks for coordination of DRR and CCA would be useful to clarify mandates, assign roles and responsibilities while facilitating collaboration across practices, sectors and at different levels.

**There is also a need for better understanding of the two fields of work for DRR and CCA policy makers and technical staff.** Increasing awareness and understanding of adaptation and DRR similarities and differences can contribute to enhancing understanding of synergies, clarifying roles and responsibilities and ultimately improving planning and implementation. This can be done through the dissemination of advocacy tools and facilitation of trainings and peer-learning exchanges at regional, national and local levels.

**At national level, one factor that has improved coherence between DRR and CCA in relation to knowledge sharing is the use of web-based knowledge portals** and multi-stakeholders' coordination platforms including public-private, national and local actors (Mysiak, et al., 2018). Knowledge platforms provide opportunities to communicate and share more consistent and complementary knowledge for DRR and CCA.' These platforms usually include guidance and decision support tools; data and information; policies at transnational, national and subnational levels; and experience and case studies from practice (EEA, 2017, p. 14).

#### 4.2.2 Planning

**Planning processes have a clear role to play in fostering coherence as they provide an opportunity to identify synergies, clarify role and responsibilities and ensure that coherence in planning effectively translates into implementation.** DRR and CCA planning processes, notably the development of NAPs, CCA and DRR strategies and plans should systematically involve of DRR and CCA lead implementing agencies and experts to ensure ownership and alignment of policies, strategies and programmes. The document should ensure strategic, conceptual, institutional, operational and financial coherence, as well as alignment with objectives of national development plans. Putting resilience at the center of these planning processes can also generate better policy coherence.

**In SSA, there are at least six CCA strategies expiring in 2019 and 2020 and many countries are currently working on NAP development and DRR strategies to achieve Target E.** This provides an opportunity for coherent approaches between DRR and CCA into the new strategies and NAPs. In this process, international and regional partners have a key role to play as almost all of these planning tools are developed with support of UN agencies (UNDP, FAO, UNICEF, WFP, IOM, UNRCO etc.) and development partners. In particular, UN agencies must work actively together to identify a common set of entry points to enhance policy coherence which can be applied in the process of developing DRR strategies and policies. The siloed approach must be overcome inside the UN system through strategic partnerships and tools (including through the UNSDCF).

#### 4.2.3 Monitoring

**Monitoring and evaluation processes offer on-going opportunities for collaborative learning and forward planning** between DRR and CCA while ensuring a more efficient use of resources. At national level, there is a need to identify synergies between current reporting frameworks in order to strengthen their integration. There is also a need to define common methodologies and instruments for data collection and lessons learned to inform further planning processes. **National Statistics Offices (NSO) should be a strategic partner in this process as they play a key role in the production and centralization of data and information** for the three frameworks. They should be strengthened to support coherence and leverage on the trade-off of the indicators that are reported under the Sendai Framework and the Agenda 2030.

There is also a need to **capitalize on current monitoring and reporting processes such as Voluntary National Reviews (VNRs) and the Sendai Framework Monitor (SFM) reporting.** As part of its follow-up and review mechanisms, the 2030 Agenda encourages Member states to conduct

VNRs which aim to facilitate the sharing of experiences related to SDGs implementation, including successes, challenges and lessons learned, with a view to accelerating the implementation of the 2030 Agenda in coherence with the Paris Agreement and the Sendai Framework. The VNRs include a gap analysis and identify sectors that contribute to SDGs targets and indicators and, as such, can contribute to highlighting discrepancies and gaps in terms of coherence, notably the lack of synergies between sectorial approaches and policies. VNRs also provide an opportunity to bring together actors working on SDGs, CCA and DRR implementation, and can contribute to creating partnerships for coherence, notably for data collection and monitoring and evaluation.

In sub-Saharan Africa, DRR focal points are often not aware of or involved in the VNR process despite the need to involve sectors contributing to SDGs targets and indicators. In addition, SDG stakeholders are not always aware that the DRR community has undertaken efforts to report on DRR related targets and indicators (Targets 1.5; 11.5; 11.b; 13.1) in the SFM. As SFM data is shared with UNDESA to contribute to the annual SDGs reporting, the **SFM process can provide DRR related data for the VNRs and could be a useful support to enhance coordination and dialogue among DRR, CCA and SDGs communities including through NSOs.**

## Recommendations

- **Map institutions, coordination mechanisms, legal frameworks, policies, strategies, M&E frameworks and partners initiatives**, which are already in place for DRR and CCA. Undertaken jointly by DRR and CCA actors, it should identify synergies, overlaps and gaps.
- **Convene multi-stakeholder peer-learning exchange to review information and identify opportunities** to harmonize policy, strategies and M&E frameworks and address capacity gaps.
- **Promote legal frameworks that integrate effectively DRR and CCA**, clarify mandates and assign roles and responsibilities while addressing the needs of vulnerable groups.
- **Increase awareness and understanding of coherence of government actors** through the dissemination of advocacy tools and facilitation of trainings and peer-learning exchanges.
- **Ensure systematic integration of DRR and CCA policy-markers** and experts in existing inter-ministerial and multi-stakeholder platforms and committees at national and local levels (e.g. DRR Platforms; Climate change committees).
- **Capitalize on current DRR and CCA planning processes** (e.g. NAPs and strategies), involving DRR and CCA lead implementing agencies and experts to ensure structural integration through strategic, conceptual, institutional, operational and financial coherence.
- **Strengthen National Statistics Offices (NSO)** for the production and centralization of data and information related to risk-assessments and indicators.
- Capitalize on current monitoring and reporting processes such as **Voluntary National Reviews (VNRs)** and the **Sendai Framework Monitor (SFM)** reporting to enhance coherence among DRR and CCA

### 4.3 Priority 3: Increase investments and budget support for DRR and CCA

The Sendai Framework states that “public and private investment in disaster risk prevention and reduction through structural and non-structural measures are essential to enhance the economic, social, health and cultural resilience of persons, communities, countries and their assets, as well as the environment (UNDRR, 2015, p. 18)

**Countries in SSA need to mobilize more resources for DRR and CCA jointly. They need to develop financial strategies that brings together domestic and international resources as well as different financial instruments to fund disaster prevention, response and recovery.** To address residual risk, insurance products and risk transfer mechanisms should be promoted and scaled-up in the region as they are effective to address major / extensive disasters. On the other hand, when dealing with slow onsets and lower impact events, long term investments in disaster risk mitigation and adaptation are more adapted. For effective disaster risk reduction, there is a need for comprehensive and balanced investments strategies which tackle both low frequency/high impact events and high frequency/low impacts events.

**In terms of funding schemes, putting the common goal of resilience at the center of programmes and projects can allow for leveraging sources of funding** notably from the various CCA dedicated funding mechanisms (GCF, GEF, Adaptation fund etc.). At the same time, some authors have suggested DRR funding should be more flexible, in terms of the time span and in terms of actions, in order to provide the opportunity to utilize funds received for a specific disaster for medium and long-term adaptation strategies (Birkmann & von Teichman, 2010).

**Disaster risk reduction strategies, in coherence with national development plans, should provide the path to increase investment for resilience by involving all sectors including the private sector.** However, countries in sub-Saharan Africa show limited investment in disaster risk reduction and risk financing (Van Niekerk, Coetzee, Kruger, & Shoroma, 2013; UNDRR, 2020). Priority 3 of the Sendai Framework is one of the most underrepresented key elements in DRR strategies in sub-Saharan Africa, pointing out the challenges that countries face in integrating financial considerations in DRR strategies. Most SSA countries do not have a dedicated DRR budget and lack domestic resources to implement their DRR strategy. Therefore, when Priority 3 is addressed in strategies, it is mostly through objectives and activities aiming at mobilizing resources to fund the implementation of the strategy, instead of guiding the allocation of resources to targeted sectors and fostering disaster risk finance to increase resilience.

**Tracking the level of investment and actual expenditures in DRR in order to identify gaps and establish priorities is challenging but necessary.** Currently most countries do not track DRR investments and expenditures as DRR is mostly funded through sectorial budgets (Health, Environment, Education, Agriculture etc.) and by Ministries which operate independently from the lead agency in DRR. In addition, disaster risk reduction can take many forms as different domains can be considered DRR depending on the expected outcome of the intervention (e.g. humanitarian aid,

climate change adaptation or development), making it difficult to differentiate between DRR and CCA investments (Van Niekerk, Coetzee, Kruger, & Shoroma, 2013; UNDRR, 2020).

**Risk Sensitive Budget Reviews (RSBR) are one important exercise to identify allocations related to DRR and CCA** and should provide the elements to mobilize the needed allocations to advance in risk reduction and climate change adaptation. RSBR could be an advocacy tool to revise the DRR and CCA strategic priorities and the contribution of sectors (UNDRR, 2020). Combined, the OECD-DAC Rio Marker for Climate and the DRR Policy Marker provide methodologies to monitor development finance flows that target respectively the three objectives of the Rio Conventions - biodiversity, climate change and desertification (OECD, 2016) and DRR interventions. RSBRs are useful tool for tracking budget allocations, but they should be complemented by expenditure reviews to compare the actual level of investment in DRR and CCA.

**Drawing upon the similarities, differences and convergence among climate change and disaster risk reduction, actors should convene at national levels to discuss methodologies** on how to mark the different programmes and projects at national level related to both climate change and disaster risk reduction. Intersectoral dialogue, consensus exercises and participatory methods should be applied to reach an agreement on how to mark investments differentiating disaster risk reduction and climate change and where the areas of convergences lie.

In this process, **Ministries of Finance and Planning can play a critical role** in bringing coherence among DRR and CCA practices through budget planning and expenditure reviews. They can also contribute to increasing domestic sources of funding for coherence.

### Recommendations

- Convene DRR, CCA actors together with Ministries of Finance to define **methodologies and approaches for tracking investments and expenditures** in DRR and CCA.
- **Conduct risk-sensitive budget reviews and expenditure reviews** and use them for advocacy towards investments in and budget support for DRR and CCA.
- Facilitate dialogue among Ministries of Finance, Planning and DRR and CCA structures to identify priorities for interventions and convene actions for **increase investment for resilience and optimize sources of funding and domestic resources**.
- Promote collaboration between DRR and CCA actors to support the **development of risk financing strategies** combining budget support, risk transfer and insurance mechanisms.
- **Enhance awareness on the role of the private sector for DRR and CCA and advocate for its involvement to enhance resilience in a coherent manner.**

## 4.4 Priority 4: Clarify roles for preparedness and enhance adaptation for recovery

Priority 4 of the Sendai Framework centers on preparedness and recovery, recognizing that the rehabilitation phase post-disaster is a critical opportunity to Build Back Better (BBB). Coherence between CCA and DRR in this sense largely focuses on specific actions for preparedness which

engage both the CCA and DRR communities - pragmatically, the creation of early warning systems and integrated risk assessments.

As mentioned throughout this report, there is an increasing convergence of the notions of adaptation and preparedness when referring to extreme weather events. CCA is intervening in a wide array of projects dealing with early warning and to some extent, contingency planning. Early warning is one of the areas covered by both DRR and CCA strategies without clear understanding of the specific roles and coordination mechanisms in place to optimize interventions in this area. It was also noted that the GCF, Adaptation Fund and GEF finance numerous projects on early warning under climate change adaptation portfolios.

**Disaster preparedness to “Build Back Better” in recovery, rehabilitation and reconstruction is a key area for integration of CCA and DRR which should be further harnessed.** The Sendai Framework calls for the development of capacities that reduce disaster during the recovery phase. Climate change impacts scenarios need to be part of risk assessments and inform planning guiding the recovery, rehabilitation and reconstruction. They are instrumental to ensuring that new infrastructures are resilient to future climate changes and arbitrating long-term decisions. For instance, investing in more resilient infrastructure may lead to a waste of resources or ‘maladaptation’ if the city needs to be relocated. Several authors have pointed out that this has not been explored sufficiently due to unplanned rapid reconstruction processes (Schipper, 2009; Birkmann & von Teichman, 2010; Serrao-Neumann, Crick, Harman, Schuch, & Choy, 2015). This was confirmed by the policy analysis for the purpose of this report: strategies seldom included recovery measures and did not mention the implications of climate change in the recovery process.

Cooperation of diverse institutions, multiple authorities and related stakeholders at all levels is again essential to facilitate dialogue and identify the most appropriate interventions in this area. This includes capacity building to all relevant stakeholders and planning processes supported by high-level decision-making processes.

## Recommendations

- Promote policy dialogue among meteorological and hydrological services, CCA and DRR stakeholders to **clarify roles and responsibilities in EWS and optimize interventions** (capacity building, data availability, standard operating procedures and linkages to response and adaptation).
- Strengthen **coordination mechanisms to define implementation modalities of areas of work that converge** among DRR and CCA strategies, namely those dealing with preparedness, EWS and emergency response.
- Ensure **systematic integration of adaptation to inform recovery planning** through capacity building, comprehensive risk-assessments and coordination mechanisms.
- Coordinate the coherent application of **social protection, insurance and risk transfer mechanisms** foreseen for the response and recovery phases by both DRR and CCA strategies

## Conclusion

This report aims at contributing to the debate on policy coherence among DRR and CCA focusing on sub-Saharan Africa. Conceptual coherence is supported by the linkages of the 2030 Agenda, the Paris Agreement and the Sendai Framework for Disaster Risk Reduction around the concept of resilience. The evolution of paradigms of both DRR and CCA towards a vulnerability centered approach and the alignment of the definition of risk are a basis for a coherent design of policies and programmes.

Drawing upon the paradigm of policy integration as a gradual process or continuum going from coordination to integration, this report focuses on policy documents (DRR and CCA strategies) as an output reflecting the level of integration among DRR and CCA.

While the conceptual convergence among the two fields is acknowledged, operational coherence reflected in the analyzed policies seems incidental rather than structural. Institutional coherence reveals to be the main path to build policy coherence in the region. The absence of clarity on the coordination mechanisms in place to ensure coherent implementation of the areas of work that are present both in DRR and CCA renders difficult the assessment of the level of integration of the policies in practical terms. Moreover, monitoring frameworks are systematically missing in most of the DRR and CCA strategies. The lack of monitoring frameworks hinders the assessment of the extent to which climate change adaptation and disaster risk reduction are being implemented coherently.

A comprehensive approach to risk management is a core building block for policy coherence among DRR and CCA. Actors involved should develop a common understanding of the impacts of hazards and climate change and their implications for planning. Comprehensive risk assessments are therefore instrumental to achieve structural and operational coherence and to facilitate planning for prevention, response, recovery and building back better. Increasing investment for resilience, including the optimization of domestic and international funding sources is essential to ensure implementation.

This report suggests some recommendations to increase the level of integration in policies. It does not seek to provide an ideal path for coherence as each context requires tailored approaches. However, it is important to ensure that there is an explicit objective of policies and programmes towards achievement of coherence supported by mechanisms which safeguard a coordinated implementation.

The analysis of DRR and CCA policy documents offers an overview of the status of policy coherence in the region and provides insights to continue the debate on how to pursue operationalization in the region. The report does not offer however in-depth insights on organizational practices and inter-and intraorganizational connections at the national level. Further research on organizational behavior and planning would be the next step to complement this first overview and contribute to enrich the ongoing discussion on the operational aspects of policy coherence in sub-Saharan Africa.



# Annex

## 1 - List of policy and strategy documents reviewed for the policy analysis

Country	DRR documents	CCA documents (including NAPs)
<b>Angola</b>	Plano estrategico de Prevencao e Reducao do risco de desastres, 2016	Estratégia nacional para as alterações climáticas 2018-2030
<b>Benin</b>	Stratégie Nationale de Réduction des Risques de Catastrophe (2019-2030)  Decree n°2011- 834 of 30 December 2011 – Creation of the PNRRC-ACC	
<b>Botswana</b>	National disaster risk reduction strategy (2013-2018)	Botswana Climate Change Response Policy - Draft Version 2, 2017
<b>Burkina Faso</b>		Burkina Faso National Climate Change Adaptation Plan (NAP) 2015
<b>Burundi</b>	Stratégie nationale de réduction des risques de catastrophes 2018-2025	
<b>Cameroon</b>		Plan National d'adaptation aux changements climatiques du Cameroun (NAP) 2015
<b>Cabo Verde</b>	Estratégia nacional de reducao de riscos de desastres, 2018	
<b>Chad</b>		Strategie nationale de lutte contre les changements climatiques (2017)
<b>Congo</b>	Stratégie Nationale de Prévention et de Réduction des Risques de Catastrophes (SNPRRC) de la République du Congo	
<b>Côte d'Ivoire</b>		Programme National Changement Climatique (PNCC), Document de Strategie Du Programme National Changement Climatique (2015-2020)
<b>Eswatini</b>	Resilience strategy and action plan Swaziland, 2017	National Climate Change Strategy and Action Plan (2015-2020)
<b>Ethiopia</b>	Ethiopia's Program of Action to better align its National Disaster Risk Management Policy and Strategy with the Sendai Framework for Disaster Risk Reduction 2015-2030 and the Africa Program of Action for implementation of Sendai Framework in Africa	Ethiopia's Climate Resilient Green Economy National Adaptation Plan (May 2019)
<b>Gabon</b>		Plan national climat
<b>Ghana</b>	Ghana Plan of Action for DRR and CCA (2012)	National Climate Change Adaptation Strategy (2015-2020)
<b>Guinea</b>	Stratégie Nationale de Reduccion des Risques de Catastrophe (2019-2023)	
<b>Kenya</b>		Kenya National Adaptation Plan 2015-2030 Enhanced climate resilience towards the attainment of Vision 2030 and beyond (NAP)
<b>Lesotho</b>		Climate Change Response Strategy
<b>Liberia</b>		National Policy and Response Strategy on Climate Change (2018)

<b>Madagascar</b>	Stratégie Nationale de Gestion des Risques et des Catastrophes (2016-2030)	
<b>Malawi</b>	National Resilience Strategy (2018)	National Climate Change Management Policy - 2016
<b>Mali</b>	Stratégie Nationale de Réduction des Risques de Catastrophes au Mali et Plan d'action pour la mise en œuvre de la stratégie nationale de réduction de réduction des risques de catastrophes 2015-2019	Stratégie Nationale Changements Climatiques Plan d'Action National Climat (2011)
<b>Mauritius</b>		National Climate Change Adaptation Policy Framework for the Republic of Mauritius (2012-2022)
<b>Mozambique</b>	Plano director para a Redução do risco de desastres (2017-2030)	Estratégia Nacional de Adaptação e Mitigação de Mudanças Climáticas (2013-2025)
<b>Namibia</b>	National Strategy for Mainstreaming Disaster Risk Reduction and Climate Change Adaptation into Development Planning in Namibia (2017-2021)	National Climate Change Strategy and Action Plan (2013-2020)
<b>Niger</b>	Stratégie Nationale de Réduction des Risques de Catastrophe (SNRRC) et Plan d'Action de mise en œuvre de la stratégie nationale de réduction des risques de catastrophe (2019-2023).	
<b>Nigeria</b>	National DRM Policy (2019)	National Adaptation Strategy And Plan Of Action On Climate Change For Nigeria (Naspa-Ccn) (2011)
<b>South Africa</b>	Disaster Management Monitoring and Evaluation Framework (2014)	National Climate Change Adaptation Strategy (2019)
<b>South Sudan</b>	National Disaster Risk Reduction Strategy for Community Resilience Building in South Sudan and Plan of Action (2019-2024)	National Adaptation Plan of Action (NAPA) to climate Change, 2015, Ministry of Environment.
<b>Tanzania</b>	National Disaster Risk Reduction Strategy (2020 – 2025) Building Resilience for Sustainable Socioeconomic Development	National Climate Change Strategy (2012)
<b>Togo</b>		Plan National d'Adaption aux Changements Climatiques du Togo (PNACC) (2018)
<b>Uganda</b>		Uganda National Climate Change Policy (2015)
<b>Zambia</b>	National disaster risk management framework (2017 – 2030) Operationalising the Sendai Framework	National Policy on Climate Change (2016)
<b>Zimbabwe</b>		Zimbabwe's Climate Change Response Strategy

## 2 - List of persons interviewed and consulted

<b>Name</b>	<b>Institution</b>
Diana María Contreras Mojica	Newcastle University
Paul Desanker	UNFCCC
Alexander Forbes	UNEP
Manuel Friedlein	GIZ
Ivo Litzenberg	GIZ
María Mercedes Martínez	IFRC
Stella Ngugi	IFRC
Julie Teng	UNDP
Simone Sandholz	UNU-EHS
Lisa Schipper	University of Oxford
Fruzsina Strauss	UN-Habitat

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