



Policy coherence between disaster risk reduction and climate change adaptation

CASE STUDY - UGANDA



UNDRR
UN Office for Disaster Risk Reduction

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Acronyms and abbreviations

| | |
|----------------|--|
| AfDB | African Development Bank |
| CCA | Climate Change Adaptation |
| CCFF | Climate Change Financing Framework |
| CPEIR | Climate Public Expenditure and Institutional Review |
| DCCMS | Department of Climate Change and Meteorological Services |
| DRM | Disaster Risk Management |
| DRR | Disaster Risk Reduction |
| EWS | Early Warning Systems |
| GoU | Government of Uganda |
| GCF | Green Climate Fund |
| GDP | Gross Domestic Product |
| GEF | Global Environment Facility |
| GFDRR | Global Facility for Disaster Risk Reduction |
| HFA | Hyogo Framework for Action |
| KIIs | Key Informant Interviews |
| INDC | Intended Nationally Determined Contributions |
| M&E | Monitoring and Evaluation |
| MDAs | Ministries Departments and Agencies |
| MoFPE | Ministry of Finance, Planning and Economic Development |
| MoLG | Ministry of Local Government |
| MPC | Ministerial Policy Committee |
| NAP | National Adaptation Plan |
| NCCP | National Climate Change Policy |
| NDPIII | Ugandan National Development Plan III 2020/21-2024/25 |
| NPA | National Planning Authority |
| NPDPM | National Policy for Disaster Preparedness and Management |

| | |
|---------------|--|
| ODA | Official Development Assistance |
| OPM | Office of the Prime Minister |
| PoA | Africa Regional Plan of Action for the implementation of the SFDRR |
| RSBR | Risk-sensitive Budget Reviews |
| 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 |
| UGX | Uganda Shillings |
| UNFCCC | United Nations Framework Convention for Climate Change |
| USD | United States Dollar |

Introduction

Background

In the past ten years, 83 per cent of all disasters triggered by natural hazards were caused by extreme weather- and climate-related events, such as floods, storms and heatwaves, and killed more than 410,000 people worldwide (IFRC, 2020). In 2020, only, 80 disasters were recorded across 36 African countries. Among them, floods affected seven million people and caused 1,273 deaths, the highest figure since 2006 (CRED & UNDRR, 2020). Disasters in Africa are predominantly hydro-meteorological, comprising cyclones, storms, floods, extreme temperatures, wildfires, and droughts. Other forms of hazard affecting the region include earthquakes, epidemics, volcanic eruptions, and landslides (GFDRR, 2018), causing devastating socioeconomic impacts. The high vulnerability and exposure to disasters have been attributed to rapid population growth, fast but poorly planned urbanization, environmental degradation and climate variability and change (GFDRR, 2018). Climate change is expected to increase the frequency and intensity of natural hazards in the continent, leading to increased disaster risk and derailment of sustainable development. Thus, these disasters are posing a serious challenge to Africa's economic growth and achievement of the sustainable development agenda.

The Sendai Framework for Disaster Risk Reduction (2015-2030), the SDGs and the Paris Agreement are guiding countries towards sustainable development. In particular, the Sendai Framework recognizes that DRR is a cross-cutting agenda that needs coherence with other development frameworks, thereby requiring collaboration and cooperation with a wide range of stakeholders including scientists and the local communities, to help governments in its implementation. Design and implementation of effective disaster risk reduction strategies is one of the tools the countries in Africa are using to combat recurrent and future disaster risks, through a multi-hazard approach in prevention, preparedness, response, and recovery, as well as reconstruction. In addition, climate change adaptation strategies, National Adaptation Plans (NAPs) and National Determined Contributions (NDCs) establish countries' ambitions and plans to achieve adaptation.

Several studies have shown that the two approaches of disaster risk reduction (DRR) and climate change adaptation (CCA) share commonalities and convergences in the problems they seek to solve in sub-Saharan Africa (UNDRR, 2020; GFDRR, 2018). They also share similar approaches, tools, objectives and outcomes, including similar



understanding of risk as a product of three elements: exposure, hazards and vulnerability. Besides, their commonalities can be exploited to better inform discussions as the region seeks to develop and update policies and strategies.

In response to the need to support efficient implementation of the 2030 Agenda and the Sendai Framework in sub-Saharan Africa, the United Nations Office for Disaster Risk Reduction (UNDRR) is supporting closer engagement of DRR and CCA practices, communities, and institutions. This is aimed at fostering coherent implementation of DRR and CCA measures, taking advantage of their interlinkages underpinned by shared objectives, concepts, and activities, despite different institutional and political settings at global and national levels. To this end, UNDRR is supporting the application of comprehensive climate and disaster-risk management (CRM) principles and guidance. The latter aims to strengthen synergies between DRR and CCA, identifying mutually beneficial opportunities across policies and

programmes, and enhancing the capacity of governments for cross-sectoral planning while ensuring vertical alignment.

To gain a better understanding of coherence policies and practices from the perspective of practitioners involved in DRR, CCA and SDGs, UNDRR conducted three multi-stakeholders' workshops between 2019 and 2020, and undertook a desk review of DRR and CCA policies and strategies (including NAPs) in sub-Saharan Africa. Key Informants Interviews (KII) with researchers and colleagues from the UN system and the IFRC were also undertaken. The results of this analysis are reflected in the working paper titled *Disaster risk reduction and climate change adaptation, Pathways for policy coherence in Sub-Saharan Africa (2020)*. Building upon the recommendations from the working paper, UNDRR ROA sought to complement the regional analysis with case studies focusing on four national contexts in sub-Saharan Africa, namely Benin, Niger, Malawi, and Uganda.

Objectives

The case studies aim to enhance the understanding of policy design and implementation practices in support of DRR and CCA, identify good practice examples and provide recommendations to advance coherence between DRR and CCA practices in the four countries. In addition to the policy and planning perspective, the case studies also aim at gaining a better understanding of the role that budgeting, finance and risk assessments can play in bringing DRR and CCA practices and communities together at national level.

The target audience for the case studies includes policymakers, technical partners and other stakeholders in Benin, Niger, Malawi and Uganda working on DRR, CCA and SDGs policy design and implementation. Furthermore, the case studies may provide useful insights for other government stakeholders in sub-Saharan Africa, UN System, the Red Cross Movement, INGOs, Civil Society Organizations (CSOs), academia, donors and other actors supporting policy coherence between CCA and DRR policies and practices in the region.

Outline

All case studies have a common introduction presenting the overall objectives and methodology, as well as a summary of findings from the four case studies. In addition, each case study outlines the national policy landscape and institutional arrangements for the two practices, and presents the findings from the policy review according to strategic, conceptual, institutional, operational and financial considerations. Further to the policy landscape, the case

studies also include a particular focus on two areas of work that present entry points for policy coherence between DRR and CCA: budgeting and finance (Malawi and Uganda) and risk assessments (Benin and Niger). Drawing upon these insights, the case studies provide key messages and priority actions for enhancing policy coherence between DRR and CCA practices at national level in Benin, Niger, Malawi, and Uganda. Table 1 summarizes the case studies foci.

TABLE 1. CASE STUDIES FOCI

| | Policy, planning and institutional arrangements | Finance and budgeting | Risk assessments |
|--------|---|-----------------------|------------------|
| BENIN | ✓ | | ✓ |
| MALAWI | ✓ | ✓ | |
| NIGER | ✓ | | ✓ |
| UGANDA | ✓ | ✓ | |

Source: author

Methodology

A qualitative research methodology was the main approach used in the study, including (i) a desk review of DRR, CCA and sustainable development regulatory frameworks, policies, strategies, plans and project documents and, (ii) interviews with key stakeholders working on DRR, CCA and SDGs in the four countries, referred to as Key Informant Interviews (KIIs) in the document. The findings of the desktop review are incorporated with the findings of the KIIs. The full methodology for each of the three research areas (policy, budget and finance, risk assessments) is available in Annex 1.

The analytical framework below, adapted from UNDRR (2020a), served as basis for the analysis developed in the case studies. According to the analytical framework, policy coherence for DRR and CCA can be assessed through five aspects that help establish the extent to which consistency occurs between DRR and CCA within countries (Table 2). The level of integration depends on the extent to which any of the five coherence aspects are addressed. Accordingly, results of the analysis are presented considering the five dimensions outlined below.

TABLE 2. SUMMARY OF THE FIVE DIMENSIONS OF DRR AND CCA COHERENCE

| Dimension | Characteristics |
|----------------------|---|
| Strategic | 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 | Explores how countries link DRR and CCA conceptually, in particular through the concepts of risk and resilience. |
| Institutional | Considers whether there are intentions to promote coordination between DRR and CCA institutions and the institutional provisions for such coordination. |
| Operational | Looks at measures, actions and activities which that bring together DRR and CCA practices, and, to which what extent planning is considered cross-sectoral. |
| Financial | Explores whether and how funding strategies and investments bring together DRR and CCA. |

Source: UNDRR (2020a)

Summary of findings



Strategic coherence

- **Coherence between DRR and CCA occurs from both a technical necessity and a strategic focus.** From a technical perspective, there are a number of similarities between DRR and CCA, which leads to overlapping mandates, similar projects and duplication of funding and efforts. At a strategic level, the integration of both agendas makes sense, but in practice it is not straightforward, notably because DRR and CCA are managed within different departments and agencies, and horizontal and vertical collaboration has not been institutionalized.
- One of the main issues at strategic level is which one of the two policy agendas should be leading the strategic direction. Currently, climate change dominates international discussions and priorities (including funding), while DRR is often absent or secondary in national planning. **National development plans and funding have a strong role to play in bringing together the two practices.** National development plans can clarify the linkages, roles and responsibilities between the two fields, as well as promote joint mainstreaming into other sectors plans and budgets.



Conceptual coherence

- **Conceptually, the notion of risk (i.e., hazard, exposure, vulnerability) is well understood by both DRR and CCA communities,** although they may not always use the same wording.
A shared understanding of risk can be an entry point to fostering closer conceptual coherence, leading to more-aligned agendas.
- **At national level, DRR and CCA communities tend to work separately on the development of risk assessments and there are currently no harmonized methodologies for developing risk assessments (RAs).** RAs are conducted in the context of projects, and based on various procedures using different sources of data, methods, and approaches. Consequently, it is rare to see an integration of results from various assessments in other assessments. Harmonizing risk-assessment methodologies through the development of guidelines for DRR and CCA communities could provide a frame to easily analyse and link results, avoid duplication of efforts and resources, and ensure

the assessments are fit for purpose. The guidelines should also inform RAs at sub-national level.

- **Developing risk assessments requires diverse data and information from a wide range of stakeholders** (including data providers, technical sectoral agencies, academic and research institutions, and the private sector). National working groups, committees (e.g., Niger on food insecurity) or a regular dedicated agenda point of the National DDR Platform (e.g., Benin) on risk understanding can facilitate exchanges across relevant stakeholders on risk assessments.
- **Capitalizing on data collected and results produced in the context of risk assessments is important.** A common open knowledge platform could be established at national level to host DRR and CCA data, methodologies, and results of studies. Such platforms can foster use and application of data and results across the communities, particularly in planning processes where multiple sources of evidence are required.



Institutional coherence

- **DRR and CCA are managed by different departments with different mandates, but institutional coherence is being established through various coordination mechanisms** at national level such as national platforms (e.g., National DRR-CCA Platform in Benin) or technical committees (e.g., Technical committee on climate change and DRM in Malawi). In Malawi, the Technical Committees for DRR and CCA were merged in 2019 due to the practical necessity of optimizing resources. In Benin, the National DRR platform became the National DRR and CCA Platform in 2012 following the 2011 severe floods. Regular formal meetings and decision-making power



Operational coherence

- **Operationally CCA and DRR share common measures and activities**, notably related to prevention of hydrometeorological hazards. However, joint planning for these actions seems to be limited.
- **Several planned activities at national level can bring coherence between DRR and CCA** through risk knowledge, the harmonization of methodologies and the development of a national framework for risk mapping.

- **Programming and planning are mostly driven by international funding mechanisms** such as the Green Climate Fund (GCF), the Adaptation Fund, and the Global Environment Facility (GEF), **which are mainly addressing CCA concerns**, while DRR is mostly driven by post-disaster funding.

Financial coherence

- **To finance DRR and CCA common objectives, more focus should be put jointly towards investing in prevention against hydrometeorological hazards.** For example in Uganda, the NDP 3 (2021-2026) advocates for a programme approach for implementation, identifying lead implementers and other responsible parties across the different ministries and agencies. This approach provides opportunities for DRR-CCA stakeholder consultation, which could be focused on understanding climate risks, exploring common priorities for DRR and CCA, in order to prioritize resources and assess financial needs to implement them.
- **The financial architecture for DRR is donor-driven and with a focus on managing disasters rather than disaster risk.** At the moment, most international as well as domestic financing for DRR have been more reactive to disasters and not based on implementation of national plans.
- **Climate change budget-tagging is becoming institutionalized, but the disaster component is missing.** CCA financing often includes DRR activities especially if tagged as resilience or infrastructure-building activities. However, often this is not clearly understood, and is more accidental than programmatic. Ministries of Finance should foster the joint integration of DRR and CCA into sector plans and budgets. Furthermore, more capacity development is needed to both Ministries of Finance and a number of sectors on how to integrate CCA and DRR issues into budgeting and planning.
- **Domestic public spending on DRR and CCA is low, with DRR public spending being lower than CCA.** This is further exacerbated by a lack of national funds to mobilize domestic DRR and CCA financing. Reliance on foreign inflows to finance DRR and CCA is unsustainable since one cannot plan for donor funds because its scope and eventual release is beyond the control of the government.



1. National context

1.1 Main disaster and climate risks

The Republic of Uganda is exposed to a number of hazards including droughts, floods, animal and human epidemics, earthquakes, lightening, landslides, technological hazards and wildfires, among others. Frequent landslides, because of land degradation and heavy rains around Mount Elgon region, have contributed to loss of lives, property, and livelihoods. In 2019, Uganda was heavily affected by disasters. Over 297,000 people were affected and 257 people died (CRED, 2017).

1.2 Institutional arrangements for DRR and CCA

Table 3 below presents an overview of DRR and CCA lead institutions and coordination mechanisms in Uganda.

TABLE 3. OVERVIEW OF INSTITUTIONAL ARRANGEMENTS FOR DRR AND CCA

| | | |
|-------------------------------|------------|--|
| LEAD INSTITUTION | DRR | Department of Disaster Management Affairs (DoDMA) |
| | CCA | Environmental Affairs Department (EAD), Ministry of Forestry and Natural Resources |
| COORDINATION MECHANISM | DRR | National Disaster Risk Management Committee (NDRMC) National Disaster Risk Management Technical Committee (NDRM-TC) |
| | CCA | National Steering Committee on Climate Change (NSCCC) National Technical Committee on Climate Change (NTCCC) |

Source: author

Lead institutions

In Uganda, the **Directorate of Relief, Disaster Preparedness and Refugees in the Office of the Prime Minister (OPM) is the lead agency** for coordination and implementation of disaster preparedness and management, in collaboration with line ministries, UN agencies, NGOs, local Governments and the private sector. The Minister for Relief, Disaster Preparedness and Refugees links the OPM to Cabinet. The Minister is responsible for making rules and regulations on the management of potential disasters and presents annual reports relating to disaster preparedness and management to Cabinet. The Minister is also responsible for linking DRR to inter-governmental organizations, the donor community, the private sector,

regional and international frameworks. The ministries for education, agriculture, internal affairs, gender, transport, information and urban and housing, as well as the international organizations and parastatals are given specific roles in DRR actions (GoU, 2010, p.28).

In climate change adaptation, **Uganda's Ministry of Water and Environment** is providing the overall leadership for implementation of climate-change strategies and measures, in close collaboration with Ministries Departments and Agencies (MDAs) and other stakeholders, due to the cross-cutting nature of climate change. The Climate Change Department (CCD) was created in 2008 under the Ministry of Water and Environment, with the main objective to strengthen Uganda's implementation of the UNFCCC

and the Kyoto Protocol. The ministries of Finance, the National Planning Authority (NPA) and the MDAs are given specific responsibilities to promote low-carbon climate-resilient pathways for sustainable development in the country.

Coordination mechanisms

Disaster-risk management and climate-change matters are coordinated at two levels in Uganda – i.e., national and district.

DRR mechanisms

Uganda has a **National DRR platform** which includes government's line ministries as well as UN entities, NGOs, and academia. A parliamentary caucus on DRR is active in the country to advocate on various DRR issues among the policy makers. The National Disaster Preparedness and Management Policy (2010) established a number of institutional arrangements, with detailed roles and responsibilities for efficient coordination and integration of DRR into sectors from the national up to community levels (GoU, 2010, p.47).

The coordinating structures include the following:

- **The Presidency: Responsible for declaring a state of emergency or disaster after thorough briefing by the minister responsible for Disaster Preparedness in the OPM.**
- **The Cabinet: Responsible for advising the president on disaster-related matters.**
- **Inter-ministerial Policy Committee: Responsible for sectoral matters related to disaster management and preparedness in Uganda.**
- **National Emergency and Coordination Centre (NECOC) under OPM: Responsible for the effective coordination and networking of emergency-response institutions (e.g., fire brigade, police rapid-response units, Uganda Red Cross Society, hospitals' emergency units etc.). At district level, the District Emergency Coordination and Operations Centre coordinates emergency operations and reports to NECOC and to the Chief Administrative Officer.**

- **At the decentralized level, coordination structures are present at district, city and village levels (i.e., City Disaster Committee, City Disaster Management Technical Committee, District Disaster Policy Committee, District Disaster Management Technical Committee, Municipal/Town Disaster Management Technical Committee, Village Disaster Management Committee).**

CCA mechanisms

The National Climate Change Policy Committee and **National Climate Change Advisory Committee** are responsible for coordinating CCA implementation at national level. Specifically, the National Climate Change Policy Committee is responsible for information flow on resource requirements and allocation for efficient implementation of climate-change actions in the country. At district level, a similar coordination arrangement is mirrored, with CCA anchored in the District Natural Resources Department of each district. Adequate arrangements are made to ensure all MDAs integrate CCA issues into their planning and implementation frameworks to support low-carbon climate-resilient pathways and sustainable development.

There have been ongoing efforts to try to merge the two coordination mechanisms into one, which have been unsuccessful to date, including due to the different scope of hazards covered by the two communities.

1.3 Policy landscape for DRR and CCA

The policy landscape included a mapping of strategic and planning documents for DRR, CCA and Sustainable Development (SD) in Uganda. The full list of strategic and planning documents is presented in Table 4. Although many sectoral policies and strategies include DRR and CCA considerations, they were not part of the scope of this mapping. Indeed, the mapping aimed at identifying the main strategic frameworks' guiding actions of DRR and CCA practices. The main sustainable-development framework was also considered, as it is the umbrella under which all development actions are implemented in the country.

TABLE 4. DRR, CCA AND SUSTAINABLE DEVELOPMENT POLICIES AND STRATEGIES IN UGANDA

| Field | Document |
|-------|---|
| SD | Uganda National Development Plan III |
| DRR | National Disaster Preparedness and Management Policy, 2010 |
| | Disaster Preparedness and Strategic Plan and Budget |
| | Five Year Disaster Risk Reduction Strategic Development Plan, 2017-2022 |
| CCA | Uganda's National Policy for Climate Change, 2015 |
| | Uganda's Intended National Determined Contribution (INDC), 2015 |
| | Uganda's National Climate Change Costed Implementation Strategy, 2013 |
| | Uganda's Strategic Program for climate resilience, 2017 |

Source: author

Sustainable development

The Ugandan National Development Plan III (NDPIII) (2020/21-2024/25) aims to achieve the objectives of Uganda's Vision 2040, EAC Vision 2050, Agenda 2063 as well as the SDGs (GoU, 2020). The Plan aims to increase household income and thus reduce vulnerability and build resilience of population through sustainable industrialization, employment and sustain-

able wealth creation. It defines the broad direction for the country and sets key objectives and targets for the sustainable socioeconomic transformation of Uganda. Having learnt from the interlinked challenges of disasters and climate-related extreme events in curtailing economic progress from NDP I & II, the country has made a **deliberate effort to integrate climate change and DRR fields into one chapter in the NDPIII.**

DRR policies and strategies

Uganda has two instruments guiding DRR actions: the **National Disaster Preparedness and Management Policy** (NDPMP) and Uganda's Five-Year Strategic Disaster Preparedness Plan and Budget. Adopted in 2010, Uganda's NDPMP aims at strengthening institutions and mechanisms that will reduce the vulnerability of people, livelihoods, and assets to disasters, through systematic disaster prevention, mitigation, preparedness, and management.

The National **Disaster Preparedness Strategic Plan 2017-2022** seeks to operationalize the policy with key actions geared at supporting the National Integrated Early Warning System (NIEWS), conducting hazard and risk profiling, and strengthening the National and District Emergency Coordination Centers (NECOCs). Risk mapping, strengthening scientific research, improving land use, promoting awareness of risks, and integrating DRR into sectors are planned for. A number of disasters prevalent in Uganda are mentioned in the Strategic Plan including droughts, landslides, floods, earthquakes, epidemics, accidents and environmental degradation.

CCA policies and strategies

Uganda has several climate-change-related policies, strategies, and programmes to advance CCA actions and resilience to climate change. These are Uganda's NAPA, Uganda's Intended Nationally Determined Contribution (2015), the National Climate Change Policy (2015) and Uganda's Strategic Program for climate resilience (2017). Guidelines for mainstreaming climate change into the MDAs activities have also been developed. Additionally, Uganda has developed a National Climate Change Costed Implementation Strategy in 2013 to provide details of the cost of various climate-change-related programmes and activities. A National Readiness Proposal was developed in 2019 to access funding under the Green Climate Fund (GCF) Readiness and Preparatory Support Programme.



2. Results from the policy review

Summary results from the policy review are presented below in Table 5. Seven strategic and planning documents for DRR and CCA were analysed in light of strategic, conceptual, institutional, operational and financial considerations (see Annex 1 for the full methodology). The analysis was complemented by KIIs, to provide additional practical insights.

TABLE 5. OVERVIEW OF THE LEVEL OF COHERENCE FOR DRR AND CCA INSTRUMENTS IN UGANDA

| | | Strategic | Conceptual | Institutional | Operational | Financial |
|------------|--|-----------|------------|---------------|-------------|-----------|
| SD | National Development Plan III 2018-2022 | ●● | ●● | ● | ●● | ●●● |
| DRR | National Disaster Preparedness and Management Policy, 2010 | ●● | ● | ● | ●● | ● |
| | Disaster Preparedness Strategic Plan and Budget 2017-2022 | ●● | ● | ● | ●● | ● |
| CCA | National Climate Change Policy, 2015 | ●●● | ●● | ● | ●●● | ● |
| | Strategic Program for climate resilience, 2017 | ●● | ●● | ●● | ●● | ● |
| | National Costed Implementation Strategy, 2013 | ● | ●● | ●● | ●● | ●●● |

● Limited ●● Partial ●●● Substantial

Source: author

2.1 Strategic coherence



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.

Overall policies and strategies achieve partial strategic coherence in Uganda. In particular, the NDP III has taken a leaf from its predecessors, creating a fertile policy environment for linkages between DRR and CCA. The NDPIII acknowledges the need for risk-informed development and emphasizes the linkage between disasters and climate change. It also highlights disasters and climate change have posed a challenge to achieving the objectives of previous NDPs. As such, the NDPIII emphasizes the need to incorporate risk planning and mitigation into development plans and budgets, to cater for unforeseeable challenges. The fact that the NDPIII brings together DRR and CCA fields can be used to advance strategic coherence in the respective DRR and CCA frameworks and plans.

Generally, the CCA instruments appear to be more progressive than DRR instruments in promoting the DRR and CCA linkages. The NCCP recognizes that disaster risk reduction is one of the benefits that the country can derive from climate-resilient development (section 2.3 of the NCCP). Furthermore, DRR is mentioned as an “adaptation policy priority” that should ensure “disaster mitigation and adequate preparedness for climate change induced risks, hazards and disasters.” Additionally, a detailed outline of sector-specific policy responses is provided under the Policy-specific objective 2 of the NCCP which seeks to identify and promote adaptation policy responses for Uganda. This section specifically identifies DRM as one of the relevant sectors and describes international and continental DRR policy frameworks as well as the country’s DRR-related legislation.

Adopted in 2010, the NDPMP does not refer to post-2015 agreements and agendas and, as such, lags behind in integration between DRR, CCA and sustainable development issues. Nonetheless, the NDPMP refers to pre-2015 international climate-change frameworks (e.g., Kyoto protocol and Montreal protocol among others). In addition, the NDPMP

aims to facilitate a cross-sectoral approach to DRR and includes climate change as a guiding principle. Although the Policy mentions the need to develop climate-change adaptation and mitigation measures to reduce the causes and the negative impacts of climate change, it misses the opportunity to explicitly aim at ensuring coordination and integration of DRR and CCA practices.

For both the NCCP and NDPMP, the strategic implementation of the policies is multi-sectoral, with emphasis on mainstreaming their respective practices into other sectors. To this end, Uganda has developed a climate-change mainstreaming guideline to further the integration of CCA into key sectors such as water, agriculture, urban planning, livestock, etc. Nonetheless, such a document has not yet been developed for DRR, and hinders successful implementation of DRR measures at sub-national level.

From the KIIs, it became clear that CCA and DRR are treated as two different policy priorities, managed by two different departments with different mandates. Several MDAs still understand DRR only in terms of disaster response. More advocacy on DRR and what it entails may be needed in order to foster a common understanding of the subject among MDAs. In general, the research found that few of the respondents believed that DRR is a subset of CCA and vice versa. The two practices are seen as complementary, with a number of commonalities. As such, several role-players, inside as well as outside government, have been making strides in bringing these two practices closer together. In particular, the National Planning Authority (NPA) identified the broad similarities in CCA and DRR and opted for a joint approach to budgeting on a programme basis for DRR and CCA under the NDPIII.

2.2 Conceptual coherence



Conceptual coherence explores how countries link DRR and CCA conceptually, in particular through the concepts of risk and resilience.

In the NDP III, Chapter 24 titled “Risk management” shows the inextricable conceptual linkages between CCA and DRR. Additionally, the study found that both CCA and DRR documents concur that climate change will escalate the frequency and intensity of disasters such as droughts, floods, heat waves and landslides, noting that losses in lives, livelihoods and assets may result. However, the findings show no reference to the three elements of risk - hazard, exposure, and vulnerability.

KIIs also demonstrated variations in understanding of key concepts of both areas which might impede

relationships and formulating joint activities. Given that there were variations in the understanding of the DRR and CCA concepts by the stakeholders, and limited elaboration in the documents, capacity-building aiming to foster a common understanding of these concepts may be beneficial. In practice DRR and CCA has been linked at conceptual level by the recently developed Risk Atlas of Uganda (OPM, 2021). The impact of hydrometeorological hazards further enabled a linkage between these two concepts.

2.3 Institutional coherence



Institutional coherence considers whether there are intentions to promote coordination between DRR and CCA institutions and the institutional provisions for such coordination.

Institutional coherence in CCA and DRR instruments was assessed as limited and could be further advanced. The documents refer to coordination mechanisms domiciled in the respective DRR and CCA institutional set-up (i.e., Department of Disaster Preparedness in the OPM and the Ministry of Water and Environment). However, the inclusion of the CCA counterparts in the DRR instruments, such as the Disaster Preparedness Strategic Plan 2017-2022, is not explicit, while there is clear reference for inclusion of DRR stakeholders in some CCA instruments. Notably, the NCCP, which was developed much later than the NDPMP, makes specific mention of institutional structures set up under the NDPMP in its Policy-objective 2.

Beyond the reference to respective DRR and CCA lead institutions in policies, the study finds that generally the DRR and CCA coordination structures are operating in parallel from national to the district levels. However, there are opportunities for bringing them closer together, notably under the umbrella of the National Planning Authority (NPA) and the Ministry of Local Government (MoLG). On the one hand, by grouping CCA and DRR under one programme and establishing a performance monitoring framework to support implementation of activities in the NDPIII, the NPA facilitates joint planning and sets the basis for closer coordination of activities. One respondent noted that: “If you clearly define the roles and areas of collaboration, then you will retain your mandate.” On the other hand, both CCA and DRR policies give

a detailed stakeholder analysis, and many of the identified actors important for the successful implementation of both policies are the same. In particular, the NCCP identifies the Ministry of Finance, Planning and Economic Development (MoFPED), the NPA and MoLG as key role players for the implementation of climate-change activities, and the NDPMP estab-

lishes a Ministerial Policy Committee (MPC), which includes the same institutions. Both policies also emphasize mainstreaming of their core issues down to local government level in the different sectors, with established focal points.

2.4 Operational coherence



Operational coherence looks at measures, actions and activities that bring together DRR and CCA practices and, to what extent planning is considered cross-sectoral.

The common operational linkages between the CCA and DRR rest on the common focus on vulnerability reduction and resilience-building within the NDPIII. Respondents confirmed the value of grouping CCA and DRR under the same programme in the NDPIII. The focus in such operation planning has shifted to the resilience agenda, in which CCA and DRR more easily find cohesion. However, CCA and DRR still operates separately.

Both the NDPMP and the NCCP acknowledge the common strategies that are mutually beneficial but, due to the years difference between their development, it is understandable that the operational cohe-

rence between these policies is lacking. Operational coherence could be strengthened by taking advantage of the following activities:

- **Vulnerability-based mapping in the context of climate change.**
- **Innovative insurance schemes to insure against destruction of extreme weather or climate events.**
- **Strengthening the National Emergency Coordination and Operation Centres.**
- **Early-warning and preparedness systems for weather- and climate-induced extreme events.**

2.5 Financial coherence



Financial coherence explores whether and how funding strategies and investments bring together DRR and CCA.

When it comes to budgeting and funding for CCA and DRR the NDPIII groups, both DRR and CCA aspects fall under “Natural resources, Environment, Climate change, Land and Water management.” From the Plan, it is not possible to distinguish exactly the amount of budget allocated to each sector. However, KIIs confirmed that the allocations made to this broader sector find their application through the sector-specific policies.

The NCCP gives policy direction towards improved investment in climate change and identifies various options as sources of funding. Under the section on “Implementation”, the MoFPED is specifically mentioned, and its functions identified to include ensuring budgetary provisions and indicative planning at central and local government levels as well as within sectors. Detailed provisions for financing of the NCCP are shared in the “Financing and Resource Mobilization” section, whose policy objective seeks to facilitate mobilization of financial resources

to address climate change in Uganda. Equally, the NDPMP adopts a sectoral approach for resource mobilization, as outlined under the “Strategies and Mechanisms” section.

Most documents reviewed show mobilization of funds for implementation of the respective DRR or CCA measures, with no reference to joint fundraising. Generally, CCA interventions have several opportunities for funding from external and internal sources that can be used to fund DRR activities that cut across the two domains. There is apparent stronger support from the government toward CCA field than DRR, as revealed by stakeholders during the KIIs. There is a need to closely engage the ministry responsible for planning for resource mobilization for the two domains.



3. Focus on budgeting and finance as entry point for coherence

The study on budget and finance was undertaken to better understand how financial coherence can be achieved. To this end, the study analysed financial instruments for DRR and CCA in Uganda, as well as budget expenditures for DRR and CCA. A full methodology is available in Annex 1.

3.1 Financial instruments

Overview of international and domestic financial instruments for DRR and CCA

At international level, Uganda has access to various financiers for DRR and CCA. Most of the international resources for DRR were provided through the Global Facility for Disaster Reduction and Recovery (GFDRR) at the World Bank. While both DRR and CCA have access to the Special Climate Change Fund (SCCF), the fund of Strategic Priority on Adaptation (SPA) from the Global Environment Facility, the Adaptation Fund, the Climate Investment Fund (including the Strategic Climate Fund), and the Green Climate Fund (GCF).

At regional level, Uganda has access to the African Development Bank (AfDB) climate fund - the Africa Climate Change Fund (ACCF) and African – Arab Disaster Response Fund (AADRF) and to the Congo Basin Forest Fund (CBFF). CCA stakeholders also have access to the East African Community (EAC) Climate Change Fund.

The main form of international financial instruments are grants and loans, with grants taking precedence. There is one loan-financing instrument for CCA activities out of 11 donor-funded DRR and CCA programmes (see Annex 5 for the list of active donor-funded DRR and CCA programmes).

When looking at domestic sources, there are a variety of financing instruments used as shown in Table 6. Those have been focusing on the management of disasters, such as the development of contingency funds or contingent loans or grants (through donors), or financial-risk management approaches to help build shock-responsive social-protection systems or risk-transfer solutions such as agriculture insurance markets.

TABLE 6. OVERVIEW OF DOMESTIC FINANCING INSTRUMENTS

| | | |
|------------|--------------------------------|---|
| DRR | National Disaster Funds | National Disaster Preparedness and Management Fund |
| | Reserves | Contingencies Fund to Strengthen Disaster Risk Resilience |
| | Insurance | Uganda Agriculture Insurance Scheme (UAIS) |
| | Social Protection | Northern Uganda Social Action Fund 3 (NUSAF 3) |
| CCA | National Climate Funds | National Environment Fund (NEF) under the National Environment Act (2019) |
| | Carbon markets | Uganda Carbon Bureau |
| | Insurance | Uganda Agriculture Insurance Scheme (UAIS) |

Source: author

DRR financing

Domestic financing for DRR is operationalized under the Contingency Fund established under the Public Finance Management (PFM) Act 2015. In FY2018/19, the Government of Uganda spent USD 16.7 million (UGX 62.068 billion)¹ in DRR activities. The activities fall under the response-and-relief phase of disaster-risk management (DRM) with 34 per cent of funds catering for resettlement and 26% for relief activities. Prior to this, there was no expenditure drawn from the Contingency Fund since FY2015/16, which had an allocation of USD 2.1 million (UGX 7.14 billion)² that remained unspent.

CCA financing

As of February 2020, Uganda had received USD 109.8 million in climate-finance funds from various bilateral and multilateral agencies. Out of this, 81 per cent were funds dedicated to CCA from Adaptation for Smallholder Agriculture Programme (ASAP), Adaptation Fund (AF), Global Climate Change Alliance (GCCA), Green Climate Fund IRM (GCF IRM) and Least Developed Countries Fund (LDCF)

multilateral sources (Climate Funds Update, 2019).

According to Uganda's NDC report submitted in 2016, the country forecasts the average annual cost of adaptation to be USD 107.4 million, about 6.6 per cent of total Official Development Assistance (ODA) received in 2013 and 4.2 per cent of government revenues, excluding grants, in 2012. The National Climate Change Policy and Costed Implementation Strategy estimated that Uganda will require financing of USD 2.9 billion, about 1.2 per cent of 2011 GDP, by 2030.

In Uganda, several funds have been established to implement CCA activities. These funds include the National Environment Fund (NEF) under the National Environment Act 2019, Tree Fund under the National Forestry and Tree Planting Act (NFTPA), and Uganda Biodiversity Fund under the National Biodiversity Finance Plan 2019/20 – 2027/28. However, despite operationalization of these funds, there have not been many outputs and outcomes from the funds. Uganda is currently reviewing how the funds can be placed under one umbrella fund such as a CC facility under the Uganda Development Bank (UDB) that is dedicated to CC activities, but can also target financing for DRR activities.

¹ Using an average exchange rate from Bank of Uganda's 2018 and 2019 official mid-year exchange rate

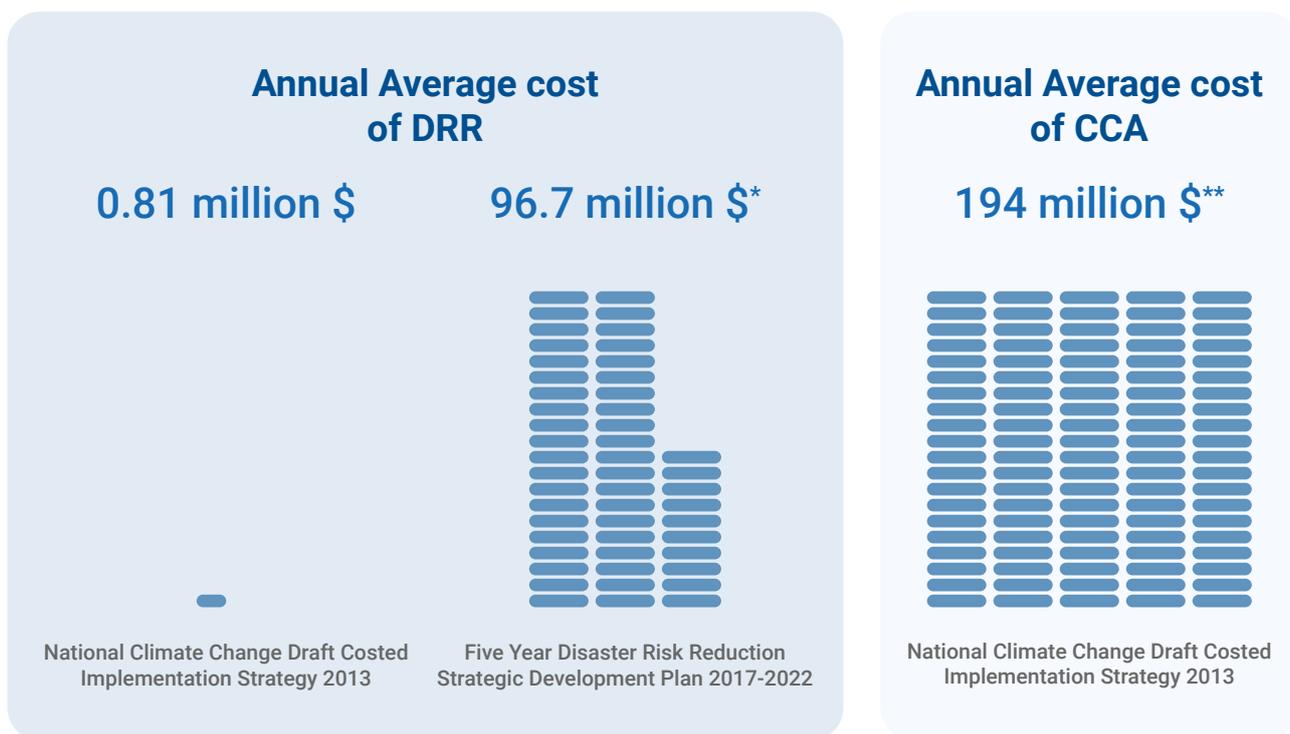
² Using an average exchange rate from Bank of Uganda's 2015 and 2016 official mid-year exchange rate

3.2 DRR and CCA expenditures

The NDPMP establishes that an allowance of a minimum of 1.5 per cent of the annual approved budget is expected to be allocated to the National Disaster Preparedness and Management Fund. The fund should be established in collaboration with the Ministry of Finance Planning and Economic Development (MoFPED) and OPM to develop a National Disaster Preparedness and Management Fund Bill. The costed plan titled “Uganda’s five-year Disaster Risk Reduction Strategic Development Plan 2017-2022” estimated that an annual average of USD 98 million³ is needed to fund various programmes and projects over a five-year period. This is estimated to 1.9 per cent of GDP.

According to NCCP, the cost of addressing climate change is estimated at 1.6 per cent of GDP which equates to USD 258 million annually. However, when comparing to Uganda’s planned expenditures for climate-change interventions, estimated at 0.2 per cent of GDP, it highlights a 1.4 per cent gap (Tumushabe et al., 2013). According to the study on Economic assessment of the impacts of climate change in Uganda (GoU, 2015) the cost of inaction on CCA is indeed high, about USD 406 million over a five-year period (2015-2020), which amounts to an annual-basis equivalent to 5 per cent of ODA received and 3.2 per cent of government revenues, excluding grants.

TABLE 7. OVERVIEW OF DOMESTIC FINANCING INSTRUMENTS



*exclusive of quoted USD 0.81 million for DRR
 **used 2017 exchange rate of UGX 3,611.36 from Bank of Uganda

— = 2 million \$

Source: Authors’ compilation based on associated strategies listed

³Conversion from UGX 176.3 billion using Bank of Uganda 2017 official mid-year exchange rate

Despite having financing tagged as either DRR or CCA, the financing is not usually channelled through the designated DRR and CCA actor (i.e., the Office of the Prime Minister, Department of Disaster Preparedness, Management and Refugees and the Ministry of Water and the Environment, Climate Change Unit). Some of the financing, both domestic and international, is channelled through other ministries who have DRR and CCA activities e.g., in agriculture for financing for climate-resilience activities. Furthermore, some of the DRR and CCA financing is channelled through NGOs and development partners who will work either with the designated DRR and CCA actors in implementation of activities or with other MDAs.

Methodology used for tracking DRR and CCA expenditures

Uganda's chart of accounts does not contain a DRR marker. However, as previously mentioned, the country is looking at integrating a budget-tracking system to monitor climate finance. The Ministry of Water and Environment advises ministries, departments, and local governments on the application of the tagging for CCA and compiles and consolidates information to inform budget hearings.⁴

Starting from 2019, the country has been using the following tools to track CCA:

- **Output budgeting tool (OBT) that determines standard indicators for funding and tracking at the national level. The tool is used by the Ministry of Finance, Planning and Economic Development (MoFPED).**
- **Local government assessment tool (LGAT), used by sub-national governments to determine the minimum performance measures and conditions for CCA.**

- **Performance measurement framework (PMF) that is being developed by the Climate Change Department to monitor and report on the National Climate Change Policy (NCCP) and implementation strategy performance.**

Uganda started requiring, as per the 2017/18 Budget Call Circular, that all ministries, plan for and budget for CCA. The Ministry of Finance and Planning is attempting to institutionalize a budget-tagging system to track financial inflows for DRR and CCA projects. The finance ministry also has a project underway, funded by the World Bank, to track CCA actions by tagging budget allocations.

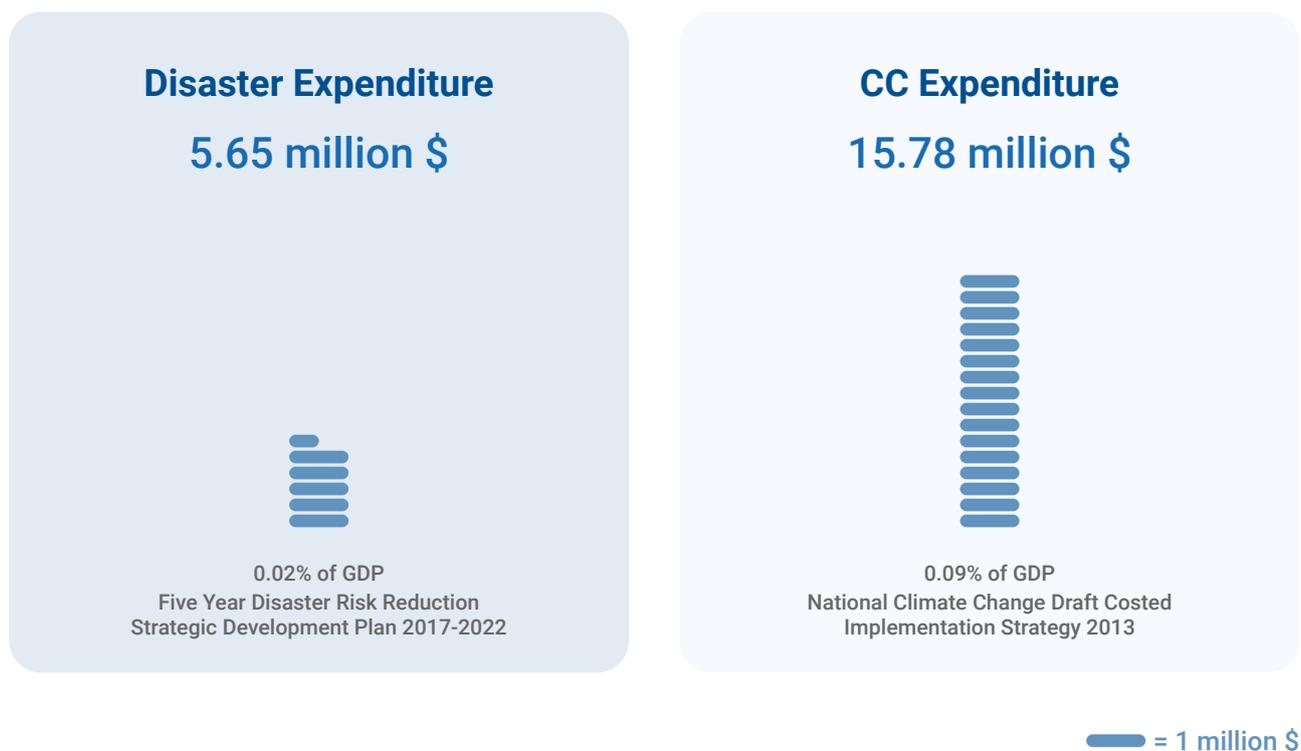
CSOs in Uganda developed and implemented a set of CCA indicators to measure progress from implemented activities across sectors. The indicators were developed by a consortium of NGOs under Africa Climate Change Resilience Alliance (ACCRA). The tool developed is the TAMD framework, using two tracks: Track 1 that measures climate-risk management effectiveness, and Track 2 that measures development performance using bottom-up adaptation or development indicators (Kajumba et.al., 2016).

Estimated public expenditure on DRR and CCA

Analysis has been conducted to estimate the percentage of DRR or CCA expenditures against total expenditures and GDP, as presented in Table 8, which shows a review of all available documentation on public spending estimates for DRR and CCA (only the most recent data was presented for the case study).

⁴Uganda created a five-digit code in its planning and budgeting system. The first digit indicates the objective of the National Climate Change Policy; the second and third identify the sector; the fourth specifies the type of policy response; and the fifth identifies the specific strategy or activity.

TABLE 8. ANNUAL PUBLIC SPENDING ESTIMATES FOR DRR AND CCA



Source: Authors' compilation based Tumushambe et al. (2013), and MoFPED (2019)

Public spending on DRR and CCA is very low, with DRR public spending being lower than CCA. This is further exacerbated by a lack of national funds to mobilize domestic DRR and CCA financing. At the domestic level, despite having budget allocations set aside for DRR and CCA activities, the funds requested are reduced due to other priorities that may arise during a fiscal year. This highlights that most times, DRR and CCA agendas take a back seat in fiscal spending.

According to Uganda's Public Financial Management Reform Strategy 2018–2023, provisions for budget tracking for climate expenditure have been made. This involves establishing a Climate Expenditure Tracking Framework (CETF) to *track climate-change-related expenses and capacity-building for greening the policy formulation process through specialized climate-change audits*. The specialized audits will have a shared tracking system to monitor and report on implementation of audit recommendations across ministries, departments, agencies, and local governments.



4. Recommendations



Strategic

1. Ensure a common set of objectives and principles aiming to boost DRR and CCA coordination are reflected in the next DRR and CCA frameworks (including NAP).

The NDP III provides an opportunity to increase strategic coherence between DRR and CCA in their respective policies and plans. As Uganda progresses to update or develop the DRR policy and the NAP, there is need to ensure the vision, goals and principles of these documents boost strategic coherence.

2. Update or add a companion in the climate-change mainstreaming guide to include DRR aspects.



Conceptual

3. Build capacities of DRR and CCA stakeholders to foster a common understanding of the concepts of risk and similarities and differences

between the two fields. There are currently variations in the understanding of DRR and CCA concepts, and limited elaboration

in the documents do not bring clarifications on their similarities and differences. There is a need to foster a common understanding of the concepts of risk (hazard, exposure, vulnerability), notably building upon the new Risk Atlas. This can help clarify mandates and responsibilities.



Institutional

4. Conduct further study on DRR and CCA stakeholders through mapping and stakeholder analysis, with a view to clarifying roles and responsibilities of the two fields to support planning and implementation of joint activities.

5. Advocate for closer exchanges and engagement of the DRR and CCA coordination mechanisms.



Operational

6. Conduct activities bringing DRR and CCA stakeholders together at strategic and technical levels to clarify potential areas where synergies can be exploited and potential areas of overlaps, notably regarding vulnerability-based mapping in the context of climate change, innovative insurance schemes, early-warning and preparedness systems for weather- and climate-induced extreme events.

7. Establish common criteria, and monitoring and evaluation frameworks, to track progress of operations or projects that are being implemented, for DRR and CCA.



Financial

8. Promote resource mobilization for both CCA and DRR implementation by exploiting their synergies and complementarities. There is a need to closely engage the ministry responsible for planning for resource mobilization for the two domains. Given that a significant amount of CCA financial resources is sourced from development partners such as World Bank, UN agencies and bilateral, it is critical they engage in supporting domestic resource-mobilization efforts.

9. Integrate DRR into the existing climate-screening and tracking tools. This will ensure that synergies across DRR and CCA activities can be screened before release of funds to maximize implementation.

10. Consider the possibility of establishing a climate-change financing facility under a local development bank such as the Uganda Development Fund, to target DRR and CCA financing. The facility can be used to house the various CCA funds, which have not been used by DRR and CCA designated authorities.



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Annex 1: Methodologies

Full methodology for policy review

Desk review and mapping methodology

The following documents were analysed for this study: regulatory frameworks (laws, act, decrees), national government policies, strategies and plans for DRR and CCA as well as National Development Plans (NDPs). The documents were sourced from online sources such as UNFCCC, respective country and UNDRR websites. In some instances, the DRR and CCA focal persons in the country supplied these documents.

Analysis of documents

The desk review of documents included two parts: (i) a preliminary screening and (ii) an analysis of how CCA is considered in DRR documents and how DRR is considered in CCA documents. During preliminary screening, the following information was gathered from the instruments:

- Basic information of the document (e.g., name, timeframe, from DRR or CCA etc).
- Stage of development (e.g., draft; adopted; implemented).
- Scope of disasters addressed by the document.
- Leading institution and coordination mechanism.

In-depth analysis of the DRR, CCA and development documents followed the basic screening guided by the UNDRR coherence analytical framework called the “integration spectrum”, which looks at **strategic, conceptual, institutional, operational, and financial** aspects in order to establish the overall level of coherence of the documents. To determine the level of integration of DRR and CCA into the policy instruments, the five dimensions were examined as explained in the table below.

| Dimension | Characteristics |
|----------------------|---|
| Strategic | 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 | Explores how countries link DRR and CCA conceptually, in particular through the concepts of risk and resilience. |
| Institutional | Considers whether there are intentions to promote coordination between DRR and CCA institutions and the institutional provisions for such coordination. |
| Operational | Looks at measures, actions and activities which that bring together DRR and CCA practices, and, to which what extent planning is considered cross-sectoral. |
| Financial | Explores whether and how funding strategies and investments bring together DRR and CCA. |

A rating of either limited, partial, or substantial, depending on the level of coherence of the instrument, was assigned. A matrix comprised of 15 questions was used for the analysis. The matrix includes detailed questions which are more adapted to the review of strategies, but the same questions can guide the analysis of the other documents (regulatory frameworks and NDPs).

Characteristics of the dimensions

| | |
|----------------------|--|
| Strategic | <ul style="list-style-type: none">• Adheres to international and regional guidance and processes related to DRR and CCA• Addresses DRR and CCA jointly in the vision, goals, principles• Aims to mainstream DRR and CCA jointly into other sectors |
| Conceptual | <ul style="list-style-type: none">• Aims to build resilience to climate and disaster risks• Establishes linkages between disasters and climate-change risks• Discusses synergies or differences between DRR and CCA |
| Institutional | <ul style="list-style-type: none">• Describes coordination mechanisms to support coordination between CCA and DRR stakeholders and activities• Identifies the lead agency for DRR and CCA• Refers to coordination of DRR and CCA practices at the decentralized level• Identifies roles and responsibilities of DRR and CCA actors through a cross-sectoral plan• Identifies external actors who support coherence between DRR and CCA |
| Operational | <ul style="list-style-type: none">• Includes objectives and activities aiming to boost coherence between DRR and CCA• Identifies specific activities and sectors for which DRR/CCA are relevant |
| Financial | <ul style="list-style-type: none">• Includes an estimation of budget in support of joint DRR/CCA activities.• Refers to joint funding for DRR and CCA.• Promotes risk insurance schemes to reduce the impacts of climate change and multiple hazards. |

Limits of the methodology

The analytical frame was initially developed to read and analyse DRR and CCA policies, strategies, and plans. In the context of this research, it was also used to analyse the DRR and CCA coherence in other national documents such as national development plans, laws, decrees, and sectoral plans. The analysis revealed that although the five dimensions are useful in order to look at different aspects of these documents, the screening questions are not always relevant when reading more-general documents, as DRR and CCA practices may not be explicitly mentioned. The analysis is thus subject to interpretation to what DRR and CCA practices entail and how they can contribute to achieving planned outcomes (enhancing resilience of vulnerable people etc.). Although some laws and decrees were analysed through the matrix, the lack of elements to fill in the matrix systematically led to a score of 0 and as such, the scoring system was not used for these documents. For NDPs, the matrix helped identify some strategic, conceptual and operational elements of coherence, but was very weak for assessing institutional and financial coherence. This result has been anticipated as NDPs usually do not explicitly mention DRR and CCA.

Key informant interviews

After the desk review, detailed KIIs were conducted focusing on the DRR and CCA focal persons and stakeholders using the five dimensions of coherence. The information gathered from the KIIs helped to further analyse coherence achievements and practices. Interviews also helped capture organizational practices and activities that support coherence with regard to DRR and CCA.

Methodology for finance review

Desk review and mapping methodology

Desk-based research reviewed various organizations and websites and documents. Document sampling identified five documents with clear budget-tracking methodologies and allocations for DRR and CCA (listed under Annex 2 and highlighted). These documents were selected using key words in search engines and organizations' search functions. These key words include *DRR policy, *CCA policy, *DRR law, *CCA law, *DRR CCA integration, *financing for DRR*, *financing for CCA*, *budget methodologies for DRR*, *budget methodologies for CCA*, *DRR initiatives in Malawi and Uganda *, *CCA initiatives in Malawi and Uganda*. From the top results, only the most relevant documentation was chosen for analysis. The most recent documentation was chosen to avoid out-of-date information. To ensure this, only documents from 2010 onwards were considered since they were assumed to align to HFA and SFDRR. The leading questions to be answered during the document sampling were:

- “What type of policy coherence between DRR and CCA in Malawi and Uganda is evident?”
- “What are the existing frameworks and methodologies for tracking and monitoring DRR and CCA spending in Malawi and Uganda?”

The mapping methodology used the following criteria in order to clearly define the budgeting-allocation tools that can be used to review climate and disaster-risk expenditures and thus, evaluate financial coherence:

- The mapping reviewed only current and available budgeting and financing directly accessible to governments, or channelled via the finance ministry in Malawi and Uganda. It does not include budgeting and finance that was not disbursed nor those yet to be accessed.
- Funding and financing instruments offered by development partners that target DRR and CCA, and are directly available and accessible to Malawi and Uganda were considered.

The funding and financing instruments included in the mapping study are all aligned with global disaster risk reduction (SFDRR), and climate (Paris Agreement) frameworks. They have a strong disaster risk reduction and climate change adaptation component.

Key informant interviews

Key informant interviews (KII) were chosen as the best-suited data collection method. KII were decided upon not because they are in any way representative of the general population that may be affected by whatever issue is being studied, but because of their specialised knowledge of the topic under investigation. KII were conducted online due to current logistic limitations and COVID-19 restrictions, to obtain qualitative data. These interviews took the form of online exchanges with individuals who are knowledgeable about budget allocations and institutional arrangements for DRR and CCA. To save time, and target the maximum number of respondents, some interviews accommodated up to four respondents from one organisation simultaneously. Although respondents could build on the responses of other participants, a true focus group methodology was not followed, and each respondent was treated as an individual response. Multiple researchers form part of the discussions and used probing and follow-up questions to elicit responses.

Sampling

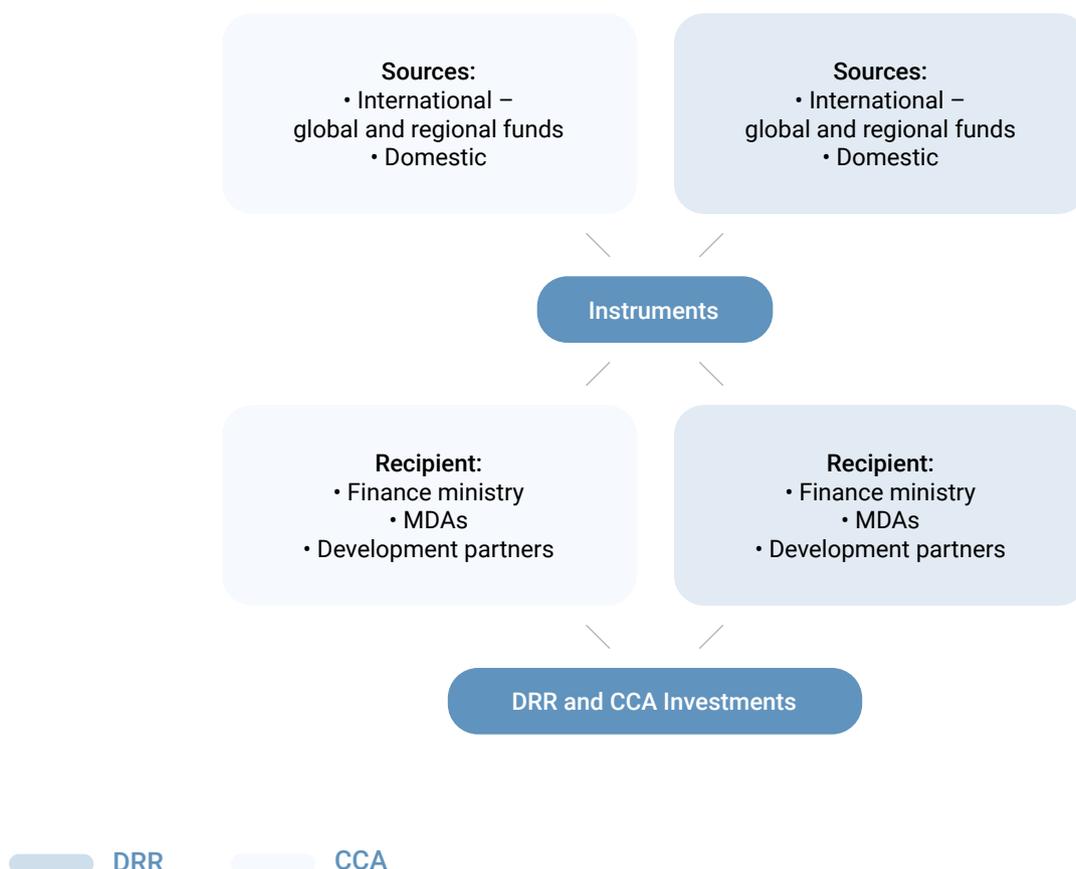
Respondents were purposefully sampled due to their expert and in-depth knowledge of the field of study. Focal points for DRR and CCA in Malawi and Uganda were identified and approached via email. The purpose of the study was explained, and a process of snowball sampling followed, based on the referrals by respondents.

Subsequent possible respondents were targeted, which led to more interviews and referrals. The snowball sampling continued until data saturation was reached in each of the countries. In total, nine KII (four for Malawi and five for Uganda) were held, which included 15 respondents from Malawi (10) and Uganda (five).

Analytical framework

Under financial coherence, the analytical framework presented below is largely descriptive in nature, with quantitative data identifying DRR and CCA investments. These investments can be backtracked to a financial value chain for DRR and CCA. The main part of financial coherence is to document the sources, instruments, recipients and volumes of DRR and CCA financing both at domestic and international levels. This analysis can show the gaps in expected DRR and CCA financing against currently budgeted and mobilised resources. Hence, this analysis provides a systematic overview of investment and financial routes and flows for DRR and CCA and the revealed gaps in the value chain. From Figure 2, the dotted box represents the entry points for coherence – at source and recipient levels.

FIGURE 2. ANALYTICAL FRAMEWORK OF COHERENT DRR AND CCA FINANCE



Source: Authors' analysis

Annex 2: List of documents analysed

| Field | Document |
|------------|---|
| SD | Uganda National Development Plan III |
| DRR | National Disaster Preparedness and Management Policy, 2010 |
| | Disaster Preparedness and Strategic Plan and Budget |
| | Five Year Disaster Risk Reduction Strategic Development Plan 2017-2022 |
| | Effectiveness of Disaster Management and Risk Reduction in Uganda: What are the challenges – BMAU Briefing Paper 8/19 |
| | Uganda DRR budget tracking: What are the key areas for investment? |
| CCA | Uganda's National Policy for Climate Change, 2015 |
| | Uganda's Intended National Determined Contribution (INDC), 2015 |
| | Uganda's Strategic Program for climate resilience, 2017 |
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| | Economic assessment of the impacts of climate change in Uganda 2015 |
| | Climate Finance Mobilization in Uganda 2020 |
| | Uganda National Climate Change Finance Analysis |
| | An Outlook of Uganda's Climate Finance Landscape 2017 |

Annex 3: List of institutions interviewed

For this analysis, there were three rounds of consultations:

- Key informants' interviews during the development of the analysis.
- Written consultation on version 1 of the document. The document was shared with those consulted during the research phase, and other stakeholders identified afterwards.
- A multi-country virtual consultation was held on version 1 of the document.

Institution

Ministry of Water and Environment, Environment Affairs Department

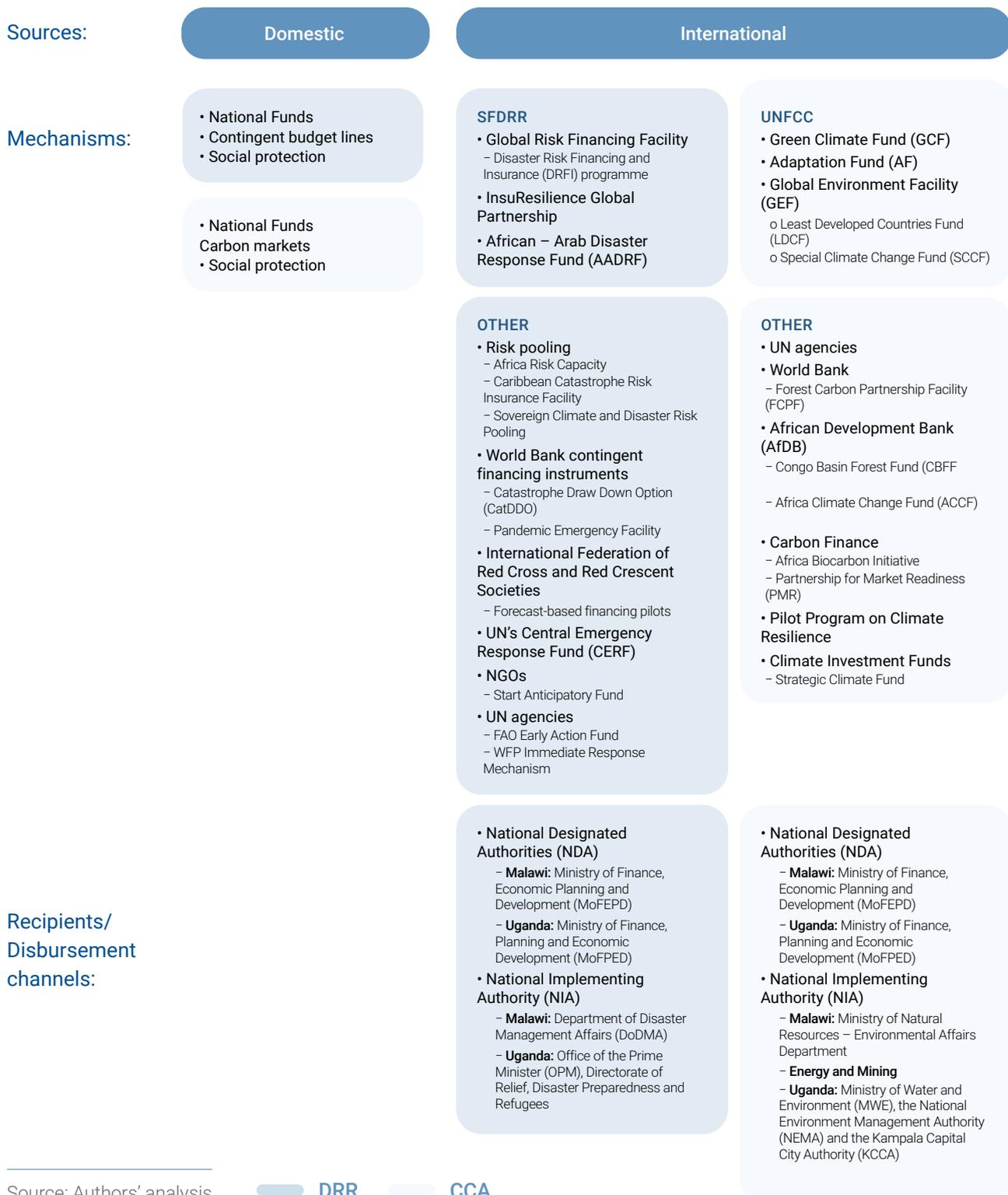
National Planning Authority (NPA)

Office of the Prime Minister, Department of Disaster Preparedness and Refugees

World Vision, Uganda

Annex 4: DRR and CCA financial architecture

FIGURE. DRR AND CCA FINANCING ARCHITECTURE



Source: Authors' analysis

— DRR — CCA

Annex 5: List of active donor-funded DRR and CCA programmes in Uganda

International DRR and CCA donor funded information was obtained by reviewing dedicated DRR and CC funds that were still active as at 2020. The database for UNDP projects was also reviewed. The analysis only accounted for financing that were tagged as either DRR and/or CCA as its primary or secondary objective.

| Project/ Programme | Project Aim | Focus | Instru- ment | Financier | Timeframe | Implementing Partners | Funds, in USD millions |
|--|--|-------|-------------------------------|---|-----------|--|------------------------|
| Risk Assess- ment and Resilience Action Plan | Improve the unders- tanding of national disaster risks in Uganda, to improve community resilience, to mainstream multi-sectoral DRR and CCA considerations at the community level, to provide targeted DRM support to Kampala city, and to measure progress towards building resi- lience. | DRR | Grant | European Union (EU) - African, Caribbean, and Pacific (ACP) Region Disas- ter Reduction Partnership Trust Fund | 2015-2020 | Office of the Prime Minister, District Local Governments | 0.95 |
| The Emer- gency Res- ponce and Resilience Strategy for Refugees and Host Communi- ties project | Provide emergency support, while investing in existing national and local capacity to ensure they can adequately serve both refugee and host communities. | DRR | Grant | Government of Japan, UN Central Emergency Response Fund (CERF), and United Nations Development Programme (UNDP) | 2017-2020 | Office of the Prime Minister, District Local Governments | 21 |
| Building Resilient Communi- ties, Wetland Ecosys- tems and Associated Catchments in Uganda Project | Enhancing Ugandan subsistence farmers' abili- ty to deal with climate impacts. | CCA | Grant & Tech- nical sup- port | Global Climate Fund (GCF) and United Nations Development Programme (UNDP) | 2017-2025 | Ministries of Water and Environment, Ministry of Agriculture, Animal Industry and Fisheries, and Uganda National Meteorology Authority | 24.14 |
| Irrigation for Climate Resilience Project (ICRP) | Provide farmers in the project areas with access to irrigation and other agricultural services, and to establish management arran- gements for irrigation service delivery. | CCA | Loan | World Bank | 2018-2020 | Ministry of Water and Environment | 169.2 |

| Project/ Programme | Project Aim | Focus | Instru- ment | Financier | Timeframe | Implementing Partners | Funds, in USD millions |
|--|--|-------|-----------------|---|-----------|---|------------------------------|
| Enhancing resilience of communities to climate change through catchment-based integrated management of water and related resources in Uganda | Increase the resilience of communities to the risk of floods and landslides in Awoja, Maziba and Aswa catchments through promoting catchment based integrated, equitable and sustainable management of water and related resources | CCA | Grant | Adaptation Fund | 2016-2020 | Sahara and Sahel Observatory via Ministry of Water and Environment | 7.75 |
| Ecosystem-based approaches to adaptation: strengthening the evidence and informing policy | Examine the effectiveness of ecosystem-based adaptation (EbA) to the impacts of climate change. | CCA | Grant, regional | German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) as part of the International Climate Initiative (IKI) | 2015-2022 | Andean Association - Peru, Kenyan Wildlife Service (KWS) - Kenya, Ministry of Environment (MMA) - Chile, Ministry of Environment and Energy (MINAE) - Costa Rica, Ministry of Environment and Natural Resources (MARN) - El Salvador, Ministry of Forest and Soil Conservation - Nepal, Ministry of Water and Environment - Uganda, National Office of Protected Areas (SERNANP) - Peru | 18.03* |
| Enhancing Climate Services for Infrastructure Investments (CSI) | Strengthen the supply and demand in the market for climate services | CCA | Grant, regional | German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) as part of the International Climate Initiative (IKI) | 2017-2022 | Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, Deutscher Wetterdienst (DWD), Engineers Canada, Ministry of Environment - Brazil, National Institute for Space Research (INPE) - Brazil, Nile Basin Initiative (NBI), World Federation of Engineering Organisations (WFEO) | 17.70** |
| Support Programme on Scaling up Climate Ambition on Land Use and Agriculture through NDCs and National Adaptation Plans (SCALA) | Build adaptive capacity and to implement low emission priorities in agriculture and land use. | CCA | Grant, regional | German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) as part of the International Climate Initiative (IKI) | 2019-2025 | Food and Agriculture Organization of the United Nations (FAO) | 17.87*** |

| Project/ Programme | Project Aim | Focus | Instru- ment | Financier | Timeframe | Implementing Partners | Funds, in USD millions |
|---|---|-------|-----------------|--|-----------|--|------------------------------|
| Building Resilience and an Effective Emergency Refugee Response (BRAER) | Provide emergency life-saving assistance to the large influxes of refugees arriving in Uganda, build resilience among refugee | DRR | Grant | UK - Foreign, Commonwealth and Development Office (FCDO) | 2018-2023 | World Health Organization (WHO), World Food Programme (WFP), United Nations High Commissioner for Refugees (UNHCR), Mercy Corps Europe, Save the Children UK, DAI Europe, Palladium International Ltd (UK), International Bank for Reconstruction and Development (IBRD), United Nations Children's Fund (UNICEF), Ernst & Young | 123.75 **** |
| Northern Uganda: Transforming the Economy through Climate Smart Agribusiness (NU-TEC) | To increase the resilience to climate change of poor farmers in Northern Uganda, and to increase their incomes | CCA | Grant | UK - Foreign, Commonwealth and Development Office (FCDO) | 2014-2022 | International Procurement Agency, Mercy Corps Europe, Coffey International Development, Oxford Policy Management, AgDevCo, Palladium International Ltd (UK), AECOM | 27.00 |

*used European Central Bank official average exchange rate for 2015;

*used European Central Bank official average exchange rate for 2017;

***used European Central Bank official average exchange rate for 2019;

****used World Bank Local Currency Unit to USD exchange rate for 2018; ` used World Bank Local Currency Unit to USD exchange rate for 2014

Source: Authors' compilation based on linked sources

