



# INTER AGENCY WORKING GROUP (IAWG) GUIDING PRINCIPLES ON DISASTER RISK REDUCTION AND CLIMATE CHANGE

**EAST AND HORN OF AFRICA**

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This study has been prepared by Karimi Gitonga

This study has been endorsed by: ACTED, ACTS, Action for Sustainable Change, Save the Children

Layout and design: Angela Wachira

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## ACRONYMS

<b>AAAA</b>	Addis Ababa Action Agreement on Finance for Development
<b>ACCRA</b>	Africa Climate Change Resilience Alliance
<b>CBA</b>	Community Based Adaptation
<b>CBDRR</b>	Community Based Disaster Risk Reduction
<b>CC</b>	Climate Change
<b>CCA</b>	Climate Change Adaptation
<b>COP</b>	Conference of the Parties
<b>DLCI</b>	Drylands Learning and Capacity Building Initiative for Improved Policy and Practice in the Horn of Africa
<b>DRR</b>	Disaster Risk Reduction
<b>DRRAP</b>	Drought Risk Reduction Plan of Action
<b>ECB</b>	Emergency Capacity Building Project
<b>GHACOF</b>	Greater Horn of Africa Climate Outlook Forum
<b>HFA</b>	Hyogo Framework for Action
<b>HVC</b>	Hazards, Vulnerabilities and Capacities
<b>IAWG</b>	Interagency Working Group
<b>IAWG DRR/CC</b>	Interagency Working Group DRR/CC Sub-Working Group
<b>IFRC</b>	International Federation of the Red Cross and Red Crescent Societies
<b>IGAD</b>	Intergovernmental Authority on Development
<b>LAC</b>	Local Adaptive Capacity Framework
<b>REDD+</b>	Reducing Emissions from Deforestation and Forest Degradation
<b>REGLAP</b>	Regional Learning and Advocacy Group
<b>SDGs</b>	Sustainable Development Goals
<b>SFDRR</b>	Sendai Framework for Disaster Risk Reduction



## FORWARD

The East and Horn of Africa are among the most affected regions worldwide by extreme climatic events such as floods, landslides, drought leading to massive damages on the lives and livelihoods of the vulnerable populations. The intensity and frequency of those natural hazards are increasing due to climate change, and this trend is set to continue. In addition to the various initiatives which took place since 2011, more efforts must be put by governmental and non-governmental actors to support the vulnerable populations in mitigating the effects of seasonal and non-seasonal natural hazards and avoid losing the benefit of development efforts.

In East Africa, a large number of international humanitarian and development organizations are part of the Inter Agency Working Group on Disaster Risk Reduction and Climate Change. The purpose of this group is to share evidence-based learning and build consensus through dialogue and networking in order to influence Disaster Risk Reduction (DRR) and Climate Change (CC) policy and practice in East and Central Africa while helping to bridge the humanitarian – development divide. This working group is also composed of three sub-groups: an Evidence Based Learning group, a Cross Border Risk Assessment group and a Governance group.


Since the 2011 drought, which was one of the most severe droughts in the region, a large amount of researches and studies have been carried out, looking at how to do better and more sustainable DRR and CC programming, how to influence DRR & CC policies so that governments' can strengthen their role to protect their population from destructive hazard, how to support efficiently the communities and the local/national authorities in getting ready to face those hazards with minimum damages, etc. This work was carried out at all levels and by various actors, and generated large amount of learning.

The Evidence Based Learning group (composed of ACTED, ACTS, ADRA, CARE International, and the IFRC) felt the need to compile and synthesize this information in order to make it more accessible to the practitioners and to encourage DRR & CC actors in the region to adjust their programming based on all the learning which has been generated since 2011. The learning retrieved from the existing literature was turned into guiding principles for better DRR & CC programming in East and Horn of Africa and similar contexts.

The study was carried out by Karimi Gitonga, led by the Evidence Based Learning sub group. The rest of the members of the IAWG DRR & CC who formed the study's advisory group were involved at key steps of the study (ToR development, mid-term review and review of draft study report) and finalisation of the report, which was presented on February 22nd 2017. This work has also been done in collaboration with the IAWG Policy and Advocacy sub-group, in a view to broaden the perspective of the study by using its content to enrich the advocacy work and up take of the principles by practitioners within the sector.

We hope this document will provide the reader with more clarity on the advancement and learning achieved in the region, and with useful recommendations on how to harmonize and boost up the progress that the humanitarian and development actors are trying to achieve in strengthening disaster risk reduction and climate change adaptation among vulnerable communities in East and Horn of Africa.

Malika Noisette Ogwang



*Co-Chair of the DRR & CC sub-group,  
International Federation of Red Cross and Red Crescent National Societies*

# THE IAWG DRR/CC GUIDING PRINCIPLES

## 1. MAINSTREAMING DRR/CC

- 1.1. Programming should encompass a twin track, risk informed approach to development and humanitarian programs, focusing on the risks not crises
- 1.2. Protection and promotion of livelihoods should be seen as a core function of DRR/CC programming
- 1.3. DRR/CC programs should be built on an understanding of the context (Hazard, Vulnerability, Capacity) and in depth political analysis
- 1.4. Multi-sector and multi-hazard outlooks and approaches are fundamental
- 1.5. Technocratic approaches to DRR/CC are insufficient, the software is as important as hardware
- 1.6. Accountability mechanisms and clarity around resource allocation and spending on DRR and CC should be standard practice

## 2. ENGAGING WITH EXISTING INSTITUTIONS/STRUCTURES

- 2.1. Success comes through strong community engagement and leveraging existing capacity, resources, and infrastructure
- 2.2. CBDRR and CBA mechanisms should be built on existing community management structures whenever possible
- 2.3. Promote building and improving on existing decision making systems for risk prioritisation/screening
- 2.4. Priority should be on reaching the most vulnerable with DRR and CC activities
- 2.5. Early warning and action systems should be based on a people centred approach
- 2.6. Enhancing government responsibility and accountability on protection and DRR/CC mechanisms should be an essential part of every project

## 3. LINKAGES BETWEEN ALL LEVELS

- 3.1. Multi-stakeholder platforms and collective planning, action and engagement systems are a fundamental common approach
- 3.2. A harmonized approach to context specific DRR/CC is needed
- 3.3. All planning processes should be vertically integrated and combined with iterative and future orientated planning at each level
- 3.4. Capacity building of communities on government duties, rights and local/national planning processes is essential to ensure vertical linkages
- 3.5. Support partnerships which enable cross-sector or interdepartmental information systems and sharing

## 4. STRENGTHENING COMMUNITY ADAPTIVE CAPACITIES

- 4.1. DRR/CC should be integrated and planned together to tackle short and long term climate risks
- 4.2. Strengthening adaptive capacity is an iterative, flexible and adaptive process and should be in line with the vision and aspirations of communities
- 4.3. It should be based on a broad understanding of adaptive capacities
- 4.4. Success requires a culture of stakeholders and systems willing to act on uncertainties, forecasts and future scenarios
- 4.5. Gender equality and tackling underlying causes of risks should be an explicit goal in strengthening community capacity
- 4.6. Community understanding and access to climate services and information is essential to support informed decision making

## 5. STRENGTHENING SYSTEMS AND APPROACHES

- 5.1. Integrated, participatory and risk informed development and planning processes should be supported
- 5.2. DRR/CC programming should aim at identifying, tackling, and strengthening capacity at individual, household, and systems levels
- 5.3. Capacity building of local government for ownership, leadership, accountability, and management of DRR/CC processes is key
- 5.4. Effective institutionalization should build on political and policy buy-in, community representation, resource and budget allocation, participatory research, and capacity building at multiple levels
- 5.5. Knowledge sharing, cross-learning and impact/evidence generation should be promoted across programs
- 5.6. Risks in East Africa are dynamic not static and innovative and evolving systems are needed to meet current and future challenges

# INTRODUCTION

Since 2011 a noticeable shift in both the understanding of the drivers of crisis risk in the East Africa region and solutions to overcoming these challenges has occurred amongst key humanitarian agencies. The Interagency Working Group (IAWG) on disaster Preparedness for East and Central Africa has made a strong contribution to this over this time period. Within the IAWG the Interagency Working Group DRR/CC Sub-Working Group (IAWG DRR/CC) has been a strong proponent of evidence based research and actions to ensure effective disaster risk reduction (DRR) and climate change (CC) adaptation and mitigation measures are undertaken to help communities in the region build resilience to current and future shocks and stresses.

This movement has been accompanied by a vast amount of documentation on best practice in DRR and CC in the form of operational and applied research, evaluations, policy and advocacy documents, and studies conducted through individual IAWG DRR/CC members and joint collaborations. In addition to this, 2015-2016 has been characterised by a number of international agreements that have consolidated global positioning and thinking on the future trajectories of DRR and CC programming through the Sustainable Development Goals (SDGs), the Sendai Framework for Disaster Risk Reduction (SFDRR), the Paris Agreement on Climate Change and the World Humanitarian Summit.

In this light the IAWG DRR/CC commissioned a meta-analysis and review of studies, documentation and best practice produced and used by its membership, and the development of Interagency DRR/CC Guiding Principles. These principles are intended to also help inform evidence based policy advocacy at national, regional and global levels as well as be a mechanism for closer co-ordination and harmonisation in programming approaches by working group members. These guidelines have subsequently been endorsed and adopted by the IAWG DRR/CC and

represent a collective understanding on common priorities in DRR/CC design and implementation across the membership. The Interagency DRR/CC Guiding Principles are organised around five thematic areas highlighted as key by the IAWG DRR/CC. These are:

1. Mainstreaming DRR/CC
2. Engaging with existing institutions/ structures (i.e. government, local authorities, civil society)
3. Linkages between all levels (community, local, national, regional)
4. Strengthening community adaptive capacities
5. Strengthening systems and approaches

## METHODOLOGY

As part of the production of the Guiding Principles a meta-analysis and synthesis of over 50 evidence documents on DRR/CC submitted by the IAWG DRR/CC membership was conducted. This evidence and data gathering and analysis was based on documents submitted by the IAWG DRR/CC members between September 2016 and December 2016 against pre-defined criteria. These criteria were developed in conjunction with the IAWG DRR/CC Evidence-Base sub-group and agreed with the wider membership during the Inception Workshop. Key criteria were the geographical limitation of relevant DRR/CC documentation to the East Africa region and specifically on Ethiopia, Kenya, Somalia, Rwanda, Tanzania, Uganda and regional timelines and the need for documents to have been developed from 2011 to date. The agreed criteria are listed below:

### Documentation Inclusion/ Exclusion Criteria

IAWG DRR/CC member produced

IAWG DRR/CC member identified as having significant influence on member policy/practice

Any intervention type in line with DRR/CC programming

### Documentation Inclusion/ Exclusion Criteria

Covering one of the five thematic areas

- a. Mainstreaming DRR/CC;
- b. Engaging with existing institutions/ structures;
- c. Linkages between all levels;
- d. Strengthening community adaptive capacities;
- e. Strengthening Systems and Approaches)

Ethiopia, Kenya, Somalia, Uganda, Tanzania, Rwanda or regional/ cross border as a geographical focus

Quantitative and qualitative papers included

From 2011 to date

English language

An initial screening process ensured that only relevant studies and research documents meeting the necessary criteria were considered in the meta-analysis. In addition to this a small number of key informant interviews were also conducted with agencies in order to capture relevant DRR/CC learning or information that may not have been formally recorded or was documented in other formats. These interviews were also important in highlighting "grey literature" or sources which may not have been formally submitted at that time.

## CHALLENGES/LIMITATIONS OF THE STUDY

The total documents and information submitted came from 22 % of the total IAWG membership. Although this may seem small in terms of representation due to the similarities in terms of organisation focus, and the cross member nature of documents submitted this may be seen as an adequate reflection of the IAWG DRR/CC as demonstrated in Annex 2. Nevertheless, this is still a limitation to acknowledge. In addition, although within the initial study scope, due to a lack of submitted documentation covering relevant DRR/CC in the country, Rwanda was excluded from the final scope. More details on the thematic, geographic and livelihoods coverage of the



information submitted and challenges and limitations within this can be found in Annex 3.

## FINDINGS

### EXISTING INTERAGENCY DRR/CC GUIDING PRINCIPLES AND BEST PRACTICE

The starting point for the development of the Guiding Principles was to understand and build on historic efforts in this area. Previous interagency collaboration had developed interagency guiding principles linked to DRR and CC in the period from 2010 to 2013. These were specifically sought out and included within the meta-analysis and synthesis of evidence. Within East Africa the multi-agency Regional Learning and Advocacy Group (REGLAP now DLCI) operated from 2010 until 2013. Under REGLAP evidence based lessons learnt; good practice; and policy advocacy documentation on DRR was generated and disseminated in the region. Where possible, and where they met the inclusion criteria, some of this evidence has been included in the review. However, it is important to acknowledge the work of REGLAP in building consensus on effective

DRR/CC programming and the need for these to be conducted as a multi-stakeholder and consortia approach. In a similar vein the Africa Climate Change Resilience Alliance (ACCRA), an alliance of five organisations, has been operational in Uganda and Ethiopia in the East Africa region since 2011. Since then this collaborative approach has developed the CC adaptation conceptual frameworks underpinning good practice and implementation in Community Based Adaptation (CBA) within the region. The collective conceptualisation and specifically the Local Adaptive Capacity (LAC) framework were also considered as part of the meta-analysis.

Specific guiding principles have also been developed through other interagency methods. The European Commission DG for Humanitarian Aid and Civil Protection (DG ECHO) funded the Drought Risk Reduction Action Plan (DRRAP) in the Horn of Africa region from 2012-2013. Under DRRAP, partner organisations operated under a framework for coordinated risk reduction actions in Ethiopia, Djibouti, Kenya, Somaliland and Uganda. Within this DRRAP partners produced collaborative guidelines on DRR from best practices identified in implementation<sup>3</sup>. Likewise, the 2013

Emergency Capacity Building (ECB) Project was a multi-agency initiative that developed interagency guiding principles on integrated approaches to DRR and CC adaptation<sup>38</sup>. More recently, Care International has also developed a CC adaptation checklist aimed to support and guide interventions to ensure long term and effective impacts<sup>39</sup>. An overview of the DRRAP, ECB, and Care International guiding principles is shown in Annex 4.

These existing principles have been included as part of the meta-analysis and do provide a good in-depth reference point to some areas in more detail than possible within the scope of this project. The Guiding Principles developed as part of this synthesis refer to, and are in agreement with existing ones. However, this current process provides the added benefit of building on advancements and developments in the 3 years following initial efforts and has been developed to be in alignment with the new international policy framework and priorities from 2015 onwards (Annex 1). A strong lesson learnt in terms of the DRRAP and ECB guidelines is the need to have strong adoption and ownership of the principles by the IAWG DRR/CC and to view them as living, flexible and evolving Guiding Principles.





THE IAWG DRR/CC GUIDING PRINCIPLES

Following the meta-analysis, 6 Guiding Principles were synthesised reflecting on each of the five thematic areas. These principles are listed on page 3 and described in detail in the next section. An analysis of the developed principles against the supporting documentation and evidence was also undertaken. According to the methodology (Annex 3), each document

submitted was given a weighted score based on its robustness and reliability. These were then used to give a weighted score based on the number of documents supporting each Guiding Principle and the robustness/reliability of them. In this way, the principle with the strongest support and highest weighted score of 12 is “1.3 - DRR/CC programs should be built on an understanding of the context (Hazards, Vulnerabilities and Capacities) and in depth political analysis”. The principles

with the least support and weighted scores are 3.2 and 4.2. This is not to say that they are not evidence based or valid principle but relatively they received less support than others. An analysis was also conducted for each of the Guiding Principles to show the total number of literature supporting them and the agencies engaged with the production of specific literature documents. This can be seen in Annex 2.

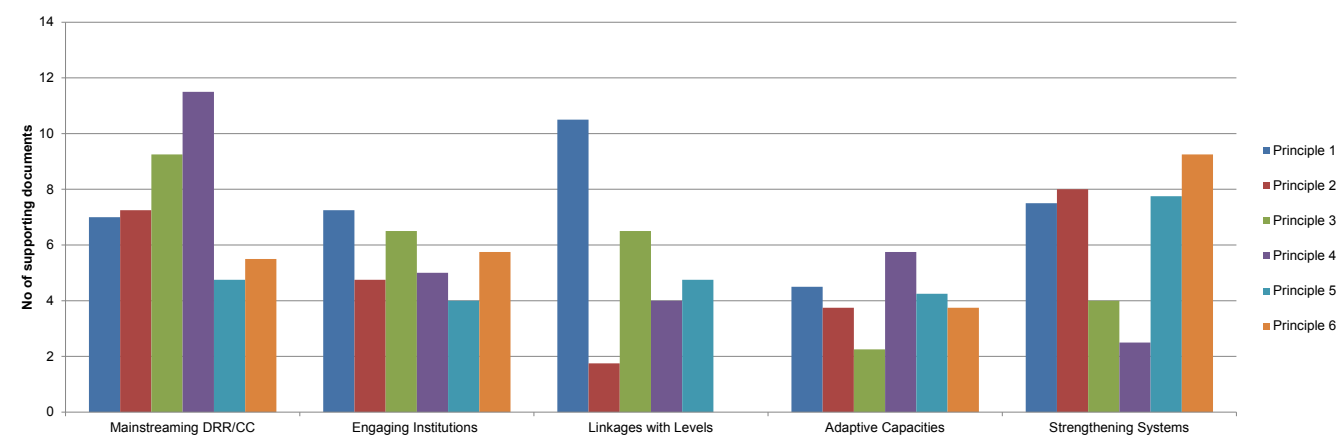


Figure 1: Weighted Support to the IAWG DRR/CC Principles from the Documentation



# THE IAWG DRR/CC GUIDING PRINCIPLES

## 1. MAINSTREAMING DRR/CC

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- 1.3. DRR/CC programs should be built on an understanding of the context (Hazard, Vulnerability, Capacity) and in depth political analysis
- 1.4. Multi-sector and multi-hazard outlooks and approaches are fundamental
- 1.5. Technocratic approaches to DRR/CC are insufficient, the software is as important as hardware
- 1.6. Accountability mechanisms and clarity around resource allocation and spending on DRR and CC should be standard practice

**1.1** A common thread throughout the evidence submitted is the need for mainstreaming of DRR /CC to be based on a risk informed approach and to cover both development and humanitarian programming. The IFRC review of their 2010 Horn of Africa response has a key recommendation for both programming and national drought policy programming <sup>2</sup>. Similarly, the Care International/URD toolkit on reaching resilience through DRR/CC demonstrates the need to focus on the causes of risks and not the crises <sup>37</sup>. This evidence highlights the principle on the need to effectively mainstream DRR/CC into development programs <sup>49</sup> as well as practical examples of how this could be achieved such as through crisis modifiers <sup>10</sup> and scalable programming <sup>27</sup>.

**1.2** A strong focus of the programming activities of the IAWG DRR/CC members speaks directly to promoting or protecting livelihoods <sup>15, 21, 33</sup>. This is framed in viewing drought, and associated impacts such as displacements, as a function of eroded livelihoods rather than failure of rains <sup>7</sup>. Promotion of livelihoods through income generation, technology and skills transfer, rewards for environmental services <sup>36</sup>, and climate sensitive agriculture methods features strongly in the evidence as good mechanisms to protect livelihoods <sup>21</sup> and livelihood assets <sup>40</sup> against extremes.

**1.3** The evidence shows strong consensus on the need for DRR/CC programming being built on in depth

hazard, vulnerability and capacity (HVC) analyses <sup>3, 29, 38</sup>. Emanating strongly with this is the need for appropriate political analysis which often may be missing <sup>1</sup>. This is outlined in issues around inequalities <sup>50</sup>, the political nature of program decisions <sup>1</sup> and priorities <sup>10, 28</sup> and the fact that DRR/CC programs do not exist in a political vacuum. The need for political power analysis to be conducted alongside DRR/CC risk analysis is strong internal and external advocacy point and a barrier to effective participation of affected and vulnerable groups within these processes <sup>36, 39</sup>.

**1.4** The principle on multi-sectoral and multi-hazard outlooks and approaches as fundamental is principle with the highest weighted score (12) and over 50% of the evidence submitted supporting it. The lack of multi-sectoral and multi-hazard approaches is a common barrier cited in evaluations of climate change adaptation <sup>35</sup>, mitigation <sup>20</sup> and disaster risk reduction programs <sup>4</sup>. Adoption of this principle means a shift from silo mentality to multi-sectoral planning and monitoring and evaluation systems. However, to make better practices and improved programming impact a reality will require the adoption of new ways of working to facilitate this.

**1.5** Evaluations and reviews of DRR and CC programming also demonstrate the limitations of a solely technocratic approach to DRR and CC. Evidence shows a lack of focus on human capacity alongside technology introduction, or understanding of the political analysis <sup>1</sup>, or social and

cultural appropriateness often leads to failures in implementation <sup>15, 31</sup>. This is also strongly related with the reduced sustainability of initiatives <sup>15</sup>. The human capacity perspective element of technology introduction or programming should not be overlooked or underestimated.

**1.6** Accountability in terms of resource allocation and spending on DRR/CC is also been highlighted as key to effective DRR/CC mainstreaming. Reviews show how DRR/CC allocation in some contexts is not appropriately spent or utilised where allocated <sup>5</sup>, the needs for clarity in general on the resources available <sup>48, 50</sup> and on the prioritisation mechanisms around them <sup>1</sup>. There is a clear role for the IAWG DRR/CC working with the IAWG Advocacy Group to lead on this and in supporting both internal and external DRR/CC funding accountability mechanisms being established and taken up such as the Core Humanitarian Standards, and on consolidated advocacy around this. As shown in Annex 1 the newly established political framework is very strongly focused on issues of accountability and provides the policy framework to support this role.

# THE IAWG DRR/CC GUIDING PRINCIPLES

## 2. ENGAGING WITH EXISTING INSTITUTIONS/ STRUCTURES

- 2.1. Success comes through strong community engagement and leveraging existing capacity, resources, and infrastructure**
- 2.2. CBDRR and CBA mechanisms should be built on existing community management structures whenever possible**
- 2.3. Promote building and improving on existing decision making systems for risk prioritisation/screening**
- 2.4. Priority should be on reaching the most vulnerable with DRR and CC activities**
- 2.5. Early warning and action systems should be based on a people centred approach**
- 2.6. Enhancing government responsibility and accountability on protection and DRR/CC mechanisms should be an essential part of every project**

**2.1** In engaging with existing institutions the need for strong community ownership and leveraging existing community capacities is a constant evidence reference point<sup>41, 43</sup>. The literature submitted has strong examples of poor stakeholder engagement leading to negative policy or programming outcomes<sup>20</sup> and the need to build on assessments of existing capacities<sup>4</sup>.

**2.2** In line with the principle 2.1 the need for community-based DRR (CBDRR) and community based adaptation (CBA) to engage and build on existing community structures and not create parallel ones unnecessarily is a common principle<sup>14</sup>. This also highlights the need to support the integration of local government structures with community committees for implementation of risk reduction plans<sup>4</sup>. This horizontal engagement should be balanced with the vertical engagement described in the next thematic area.

**2.3** With both DRR and CC interventions the need for adding a risk lens and mechanism for screening and prioritisation is also a strong component emerging from the evidence. The need to have forward looking and participatory decision making systems which can be strengthened<sup>31</sup>, and a clear focus on understanding and prioritisation around different risks comes through clearly. This is supported by best practice examples on consensus building on short-term risk projections<sup>8</sup> and in enabling longer-term climate proofed development<sup>32</sup>.

This also highlights potential roles the IAWG DRR/CC could play at regional level on interpreting and contextualising global and regional risk projections.

**2.4** Nevertheless as a counterpoint to principle 2.3 it is acknowledged in the literature that a focus on existing decision making systems may result in those who have been traditionally excluded, marginalised and most vulnerable being continually excluded. Across the literature reviewed it is clear that reaching the most vulnerable is seen as a value-add of collective and individual IAWG DRR/CC programming. This is in line with the need to tackle issues around the status quo that maybe perpetuating vulnerabilities<sup>47</sup> and in avoiding the misconception of a homogenous community<sup>41</sup>.

**2.5** In the best practice identified, the effectiveness of early warning and action systems is shown to be closely related to ensuring they were people centred<sup>6</sup> and supporting understanding and action by communities' themselves<sup>9</sup>. The interplay between social norms and the effectiveness of early warning systems is a core factor in this as is the need to understand local knowledge, culture, power and lifestyle factors in the uptake of early warning<sup>27</sup>. Barriers to effective message uptake can be seen as socially constructed and therefore a people-centred approach is needed to understand, navigate around and break down these social constructions.

**2.6** The ultimate agent tasked with the protection of individuals from both long and short term risks is the government.

This comes through strongly in the policy environment (Annex 1) though often DRR and CC may not be seen as a priority amongst governments and within policies. In that line the need to enhance government capacity to take up this role and ensure that government can be held accountable in this regard was strongly expressed in the evidence. This included examples on measures to overcome the political and bureaucratic risk adverse positions inhibiting government action on DRR/CC disasters, developing appropriate incentives and understanding of rewards for appropriate risk taking actions on disaster risks (e.g. supporting media information on government actions or losses and impacts averted)<sup>10</sup>, and supporting analysis, complementarity and citizen accountability of government DRR/CC systems<sup>23</sup>. For this principle to be effectively adopted this needs to be elevated as an advocacy agenda as well as steps taken to highlight accountability gaps and their implications on affected communities.



# THE IAWG DRR/CC GUIDING PRINCIPLES

## 3. LINKAGES BETWEEN ALL LEVELS

- 3.1. Multi-stakeholder platforms and collective planning, action and engagement systems are a fundamental common approach
- 3.2. A harmonized approach to context specific DRR/CC is needed
- 3.3. All planning processes should be vertically integrated and combined with iterative and future orientated planning at each level
- 3.4. Capacity building of communities on government duties, rights and local/national planning processes is essential to ensure vertical linkages
- 3.5. Support partnerships which enable cross-sector or interdepartmental information systems and sharing

**3.1** The need for multi-stakeholder platforms is a principle supported by over 50% of the documents reviewed. The necessity of multi-stakeholder platforms is shown to be key for implementation of effective early warning systems<sup>5</sup>, in implementation of REDD+ mechanisms<sup>14</sup>, and in effective long term climate change adaptation measures<sup>44</sup>. The functioning of these platforms in allowing for diverse views to be expressed, in consensus building, and in facilitating effective planning can be considered as a best practice to be adhered to in all programs.

**3.2** This principle reflects an area where greater action is needed and also an area of potential influence by the IAWG DRR/CC. Examples of programming in the literature show how differing approaches in DRR/CC have been implemented by different actors in the same geographical context leading to confusion and a lack of coherence for both communities and government<sup>5</sup>. There is a potential role for the IAWG DRR/CC in playing a lead role in harmonisation of approaches especially where members are implementing in clusters or the same areas. To enable this IAWG member organisations would each be responsible for ensuring flexibility in their approaches and willingness to adapt these which should not take away from the separate organisational mandates and outcomes expected. Similarly, there is an important role to be played in supporting government efforts to enable harmonisation by DRR/CC actors.

**3.3** Building on the horizontal engagement described in principle 2.2 effective linkage between levels requires that planning processes and mechanisms are also integrated in a vertical and holistic manner. This means that local community plans and mechanisms need to fit into and be supported through local and national government planning systems<sup>30</sup>. Similarly, natural resource management efforts undertaken by IAWG DRR/CC members should fit within wider ecosystem and watershed based planning and implementation modalities<sup>34</sup>. There has been a danger for member DRR/CC programming to be seen as standalone or solely community focused leading to disconnect with government and wider systems, and a proliferation of standalone CBDRR/CBA structures. This should be a point of advocacy within the IAWG DRR/CC membership and with wider practitioners. Linked to vertical planning integration is the need for the planning itself to be seen both as an iterative<sup>39</sup> and forward looking process<sup>31</sup>. In the climate change adaptation sphere a strong contribution to this is the work of ACCRA<sup>42</sup>. However, there is also strong documentation in the research for short term DRR and other programming to not only focus on short term needs but to take into account longer term development pathways<sup>28</sup> and future negative impacts of disasters<sup>52</sup>.

**3.4** The formal planning processes need to allow spaces for communities, most knowledgeable on local ecological and economic dynamics, to participate

<sup>36</sup>. Examples show that even within devolved government environments these spaces may not be operating effectively<sup>14</sup>. This leads to issues of lack of accountability within the planning process and the need for community capacities to be effectively strengthened to interact, understand and know their rights within it<sup>29, 36</sup>. A core principle of approaches to DRR/CC programming with communities should be the allocation of budget and resources in programs to build the capacity of communities to engage in this.

**3.5** Effective linkages are dependent on both vertical and horizontal information sharing platforms<sup>39</sup>. The need to strengthen and facilitate cross sectoral and interdepartmental sharing is shown in the evidence to be important for climate services functioning<sup>11</sup>, early warning and action mechanisms<sup>10</sup>, and linking Disaster Management Agencies and structures<sup>41</sup>. Within East Africa at a regional level this is a role partly mandated to IGAD and the Greater Horn of Africa Climate Outlook Forums (GHACOF)<sup>27</sup>. The IAWG DRR/CC can also play roles in facilitation of these connections at regional and national levels and in advocating for them to happen.

# THE IAWG DRR/CC GUIDING PRINCIPLES

## 4. STRENGTHENING COMMUNITY ADAPTIVE CAPACITIES

- 4.1. DRR/CC should be integrated and planned together to tackle short and long term climate risks
- 4.2. Strengthening adaptive capacity is an iterative, flexible and adaptive process and should be in line with the vision and aspirations of communities
- 4.3. It should be based on a broad understanding of adaptive capacities
- 4.4. Success requires a culture of stakeholders and systems willing to act on uncertainties, forecasts and future scenarios
- 4.5. Gender equality and tackling underlying causes of risks should be an explicit goal in strengthening community capacity
- 4.6. Community understanding and access to climate services and information is essential to support informed decision making

**3.1** The need for multi-stakeholder platforms is a principle supported by over 50% of the documents reviewed. The necessity of multi-stakeholder platforms is shown to be key for implementation of effective early warning systems<sup>5</sup>, in implementation of REDD+ mechanisms<sup>14</sup>, and in effective long term climate change adaptation measures<sup>44</sup>. The functioning of these platforms in allowing for diverse views to be expressed, in consensus building, and in facilitating effective planning can be considered as a best practice to be adhered to in all programs.

**3.2** This principle reflects an area where greater action is needed and also an area of potential influence by the IAWG DRR/CC. Examples of programming in the literature show how differing approaches in DRR/CC have been implemented by different actors in the same geographical context leading to confusion and a lack of coherence for both communities and government<sup>5</sup>. There is a potential role for the IAWG DRR/CC in playing a lead role in harmonisation of approaches especially where members are implementing in clusters or the same areas. To enable this IAWG member organisations would each be responsible for ensuring flexibility in their approaches and willingness to adapt these which should not take away from the separate organisational mandates and outcomes expected. Similarly, there is an important role to be played in supporting government efforts to enable harmonisation by DRR/CC actors.

**3.3** Building on the horizontal engagement described in principle 2.2 effective linkage between levels requires that planning processes and mechanisms are also integrated in a vertical and holistic manner. This means that local community plans and mechanisms need to fit into and be supported through local and national government planning systems<sup>30</sup>. Similarly, natural resource management efforts undertaken by IAWG DRR/CC members should fit within wider ecosystem and watershed based planning and implementation modalities<sup>34</sup>. There has been a danger for member DRR/CC programming to be seen as standalone or solely community focused leading to disconnect with government and wider systems, and a proliferation of standalone CBDRR/CBA structures. This should be a point of advocacy within the IAWG DRR/CC membership and with wider practitioners. Linked to vertical planning integration is the need for the planning itself to be seen both as an iterative<sup>39</sup> and forward looking process<sup>31</sup>. In the climate change adaptation sphere a strong contribution to this is the work of ACCRA<sup>42</sup>. However, there is also strong documentation in the research for short term DRR and other programming to not only focus on short term needs but to take into account longer term development pathways<sup>28</sup> and future negative impacts of disasters<sup>52</sup>.

**3.4** The formal planning processes need to allow spaces for communities, most knowledgeable on local ecological and economic dynamics, to participate

<sup>36</sup>. Examples show that even within devolved government environments these spaces may not be operating effectively<sup>14</sup>. This leads to issues of lack of accountability within the planning process and the need for community capacities to be effectively strengthened to interact, understand and know their rights within it<sup>29, 36</sup>. A core principle of approaches to DRR/CC programming with communities should be the allocation of budget and resources in programs to build the capacity of communities to engage in this.

**3.5** Effective linkages are dependent on both vertical and horizontal information sharing platforms<sup>39</sup>. The need to strengthen and facilitate cross sectoral and interdepartmental sharing is shown in the evidence to be important for climate services functioning<sup>11</sup>, early warning and action mechanisms<sup>10</sup>, and linking Disaster Management Agencies and structures<sup>41</sup>. Within East Africa at a regional level this is a role partly mandated to IGAD and the Greater Horn of Africa Climate Outlook Forums (GHACOF)<sup>27</sup>. The IAWG DRR/CC can also play roles in facilitation of these connections at regional and national levels and in advocating for them to happen.

# THE IAWG DRR/CC GUIDING PRINCIPLES

## 5. STRENGTHENING SYSTEMS AND APPROACHES

- 5.1. Integrated, participatory and risk informed development and planning processes should be supported
- 5.2. DRR/CC programming should aim at identifying, tackling, and strengthening capacity at individual, household, and systems levels
- 5.3. Capacity building of local government for ownership, leadership, accountability, and management of DRR/CC processes is key
- 5.4. Effective institutionalisation should build on political and policy buy-in, community representation, resource and budget allocation, participatory research, and capacity building at multiple levels
- 5.5. Knowledge sharing, cross-learning and impact/evidence generation should be promoted across programs
- 5.6. Risks in East Africa are dynamic not static and innovative and evolving systems are needed to meet current and future challenges

**5.1** At the heart of effective system strengthening is integrated planning. Linked with principles stated before (1.1, 2.1, 3.1, and 4.1) there is a clear role in IAWG DRR/CC member programming in ensuring that planning and implementation processes are integrated, participatory and risk informed. All three components are needed to allow for a comprehensive approach to risk reduction and management. There are various examples of best practice on these in the evidence including on shock responsive social protection systems being established<sup>27</sup>, facilitation of participatory risk analysis<sup>52</sup> and in the establishment of the appropriate engagement fora<sup>19</sup>.

**5.2** In many traditional DRR/CC programmes the level of intervention is quite often at individual or household level. The logic in this is sound to an extent as this is where impacts of climate induced disasters are felt. However, the importance of interventions targeting systems level and evidence around this is highlighted strongly in the evidence<sup>38</sup> as well as the reliance of households on systems. The evidence shows the need for systems approaches<sup>36</sup> and for interventions that mitigate, strengthen and tackle vulnerabilities at individual and household level as well as wider systems e.g. market systems, ecosystems/ watersheds, and socio-economic systems<sup>24, 25</sup>.

**5.3** In system strengthening the need to build capacity for government to fulfil their accountability role and take

ownership and leadership on DRR/CC issues is fundamental. Examples of best practices in this include climate change financial literacy and expenditure accounting training<sup>5</sup>, cross learning and exchange visits<sup>3</sup> and appropriate trainings<sup>41</sup>. Similar to 3.4 adopting this principle requires a commitment of IAWG DRR/CC members to specific budget lines and resources built into programming to enable this.

**5.4** In the sphere of institutionalisation of approaches with government a number of areas are highlighted in the evidence. This includes the need for strong political commitment and policy buy-in<sup>10</sup>; the need for communities' views and reflective experiences on DRR/CC to be represented within this<sup>47</sup>; appropriate and adequate resource, time and budget allocation<sup>52</sup>; participatory research with affected and vulnerable communities; and capacity building at various government levels<sup>12</sup> (e.g. headquarters, district, extension officers). Although the literature shows evidence gaps in this area and the need for more research, it is likely that multiple and diverse pathways are needed for effective institutionalisation.

**5.5** The need for improved evidence and impact generation, knowledge sharing and cross learning across different programs and projects is clear in light of evidence gaps already highlighted. In the literature these evidence gaps are also shown to be on understanding changing livelihoods<sup>4</sup> and livelihood dynamics<sup>7</sup>, but also the impact and cost benefit of differing

DRR/CC interventions. A regional learning agenda had previously been promoted by DRRAP<sup>3</sup> and REGLAP<sup>36</sup> however these structures have transitioned and the need for this evidence generation is clear<sup>9, 27, 48</sup>. There is definite scope and mandate for the IAWG DRR/CC to take up and support this as a function in the region.

**5.6** From the evidence<sup>3,9,10</sup> it is very clear that collective failures in the development/ humanitarian systems have contributed to rather than reduced risks. The dynamic, non-linear, and evolving nature of risks<sup>1</sup> in East Africa, calls into question the ability of these systems to deal with new risks and emerging scale crises. In recognition of this, new innovative and adaptable systems are needed to meet this challenge. Efforts being made by IAWG DRR/CC members around forecast-based financing, early action funding and risk governance and transfer systems speak to potential areas in which IAWG DRR/CC can lead in adopting this principle. Similarly, there is a strong advocacy to the wider community that the IAWG DRR/CC is in a unique position to support at national and regional levels.







# RECOMMENDATIONS

## On the IAWG DRR/CC Guiding Principles

The IAWG DRR/CC Guiding Principles proposed here can be seen to be well grounded in both the literature and evidence base and a reflection of the best practices being established by the IAWG DRR/CC. On average each principle was supported by at least 12 different reference documents with a minimum of at least 5 reference documents supporting a Guiding Principle. Annex 2 shows the breadth and depth of the number of different agencies involved in the evidence base generation and how these correlate to each principle. The Guiding Principles can also be considered a progression of previous interagency and collaborative efforts on principles and in addition are aligned to the new policy, global and regional DRR/CC frameworks established (Annex 1).

The immediate recommendation is for the adoption of these IAWG DRR/CC Guiding Principles by the IAWG DRR/CC. The Guiding Principles highlight clear overlaps and opportunities within the mandate of the IAWG DRR/CC and potential ways that the group can support in:

- Harmonisation of DRR/CC approaches between members in similar geographic areas
- Establishment of accountability mechanisms around DRR/CC resource allocation and utilisation
- Contextualisation of early warning and risk information and prioritisation at a regional level
- Leadership on the regional DRR/CC learning and evidence base agenda
- Further testing, development and uptake of best practices that have been highlighted
- Supporting the new systems and ways of working shifts needed for current and future risks

These areas could be explored within the work plan of the IAWG DRR/CC and also within the composition of its sub working groups.

## On Advocacy for the Guiding Principles

The Guiding Principles also highlight the importance of advocacy towards both government and donors in the effective implementation of the principles. Principles 1.3, 1.6, 2.6, 4.4, 5.2, and 5.6 listed below specifically call for changes in approaches to government or wider risk management practices. These advocacy points should be taken up by the IAWG Advocacy Group with support from the IAWG DRR/CC and developed into specific advocacy priorities and actions.

- 1.3 DRR/CC programs should be built on an understanding of the context (HVC) and in depth political analysis
- 1.6 Accountability mechanisms and clarity around resource allocation and spending on DRR and CC should be standard practice
- 2.6 Enhancing government responsibility and accountability on protection and DRR/CC mechanisms should be an essential part of every project
- 4.4 Success requires a culture of stakeholders and systems willing to act on uncertainties, forecasts and future scenarios
- 5.2 DRR/CC programming should aim at identifying, tackling, and strengthening capacity at individual, household, and systems levels
- 5.6 Risks in East Africa are dynamic not static and innovative and evolving systems are needed to meet current and future challenges

## On Further Research and Subsequent Research Phases

The production of these Guiding Principles has also highlighted future areas of research that should be undertaken to carry this initial phase

forwards. Firstly, a widening of the breadth and scope of the documents submitted could be undertaken to allow for further investigation in the areas of limitation highlighted on cross border programming and urban DRR/CC, and a larger sampling of CC mitigation programming. The low number of reference documents produced that employed participatory research mechanism is also something that could be addressed through an expansion of the criteria in subsequent phases.

Secondly, additional thematic areas were highlighted which were outside the scope of this initial phase but maybe worth exploring in further research. These include:

- Effective institutionalization and DRR/CC best practice uptake
- Measures and steps for internal capacity building and training of staff and integration of DRR/CC across sectors







# ANNEX 1

## ALIGNMENT OF THE IAWG DRR/CC GUIDING PRINCIPLES WITH INTERNATIONAL AGREEMENTS

The landscape and policy framework for global DRR and CC activities has developed significantly in 2015-2016. This period has seen the adoption of a number of global agreements and commitments with direct implications on DRR and CC programming including:

- The Sendai Framework for Disaster Risk Reduction (SFDRR) (2015)
- The Paris Agreement on Climate Change (2015)
- The Sustainable Development Goals (SDGs) (2015)
- The Addis Ababa Action Agreement on Finance for Development (AAAA) (2015)
- The Habitat III New Urban Agenda (2016)
- The World Humanitarian Summit (2016) and Grand Bargain

In response to the adoption of the SFDRR, in 2016 the Africa Regional Strategy for Disaster Risk Reduction (2003-2005) was reviewed and a new Africa Programme of Action for the Implementation of the Sendai Framework for Disaster Risk Reduction (2015-2030) adopted. While all the agreements discussed have relevance it is important to ensure that the DRR/CC Guiding Principles endorsed by the IAWG DRR/CC are in alignment with the most relevant DRR and CC agreements.

### The Sendai Framework for Disaster Risk Reduction (SF-DRR)

The SFDRR (2015-2030) is a global agreement adopted in March 2015 that replaces the preceding Hyogo Framework for Action (2005-2015). The

SFDRR provides guiding principles, priority action areas and activities towards the achievement of seven global targets. In line with the previous Hyogo Framework the priority action areas are based on I - Understanding disaster risk; II - Strengthening disaster risk governance; III - Investing in DRR for resilience; and IV - Enhancing preparedness for effective response and “build back better” in recovery, rehabilitation, and reconstruction. In an expansion in the scope of the Hyogo Framework there is also a greater focus within this on mitigation, livelihoods, and risk construction and generation.

In comparison to the Sendai Framework for action 7 guiding principles are outlined as part of the framework. Broadly these are as follows with the corresponding references to the IAWG DRR/CC Guiding Principles:

Sendai Framework for DRR Guiding Principles	Relevant IAWG DRR/CC Guiding Principles
a. The state has the primary responsibility to prevent and reduce disaster risk	1.6, 2.6, 3.3, 3.4, 3.5, 5.3, 5.4
b. Disaster risk reduction requires shared responsibilities	1.1, 1.4, 2.1, 3.1, 3.3, 3.5, 4.1, 4.4, 5.4, 5.5
c. Protection of persons property, health, livelihoods and assets is paramount	1.2, 1.3, 1.4, 5.2
d. It requires an all-of-society focus including partnership and involvement for those are most affected	1.3, 2.1, 2.2, 2.4,2.5, 2.6, 3.1, 3.4, 4.2, 4.5, 4.6, 5.1
e. Coordination across sectors and stakeholders at multiple levels is required	1.4, 2.3, 3.1,3.2, 3.3, 3.5, 4.1, 5.3
f. Empowerment of local authorities and communities is key	1.3, 2.1, 2.2, 4.6, 5.3
g. Disaster risk reduction requires a multi-hazard approach and inclusive risk-informed decision-making	1.1, 1.3,1.4, 2.3,3.1, 3.3, 5.1
h. Development, strengthening and implementation of relevant policies, plans, practices and mechanisms must be coherent across disciplines	1.1,3.2, 4.1, 5.1, 5.4
i. Locally specific characteristics of disasters must be understood	1.3, 2.2, 3.2
j. DRR is more cost effective than response	4.4, 5.5, 5.6
k. Post disaster recovery should also focus on avoiding new risk creation and increasing awareness of disaster risk	2.3, 2.5, 3.5, 4.3, 4.6, 5.3, 5.5
l. A global partnership is essential for effective DRR	3.1, 3.3, 3.3, 3.5
m. Adequate, sustainable and timely provision of support from developed countries is needed for adequate DRR	3.3, 3.5

In this light it can be seen that the principles are very much in line with the Sendai Framework principles and take these a step further in defining how they can be applied for IAWG DRR/CC members. The IAWG DRR/CC Guiding Principles also speak to the different priority areas in that they cover areas on risk understanding, governance, the need for investment and mechanisms to support this and a focus on linking to both humanitarian and development programmes.

### The Paris Agreement on Climate Change

The Paris Agreement on Climate Change was adopted in December 2015 under the UN Framework Convention on Climate Change (UNFCCC). The Paris Agreement commits to ensuring that the most damaging trajectories on climate change are avoided and that global temperature increases will be kept below the 2°C above pre-industrial level with an aim to limit this to 1.5°C. The

Paris Agreement is a legally binding agreement for states that ratify it and places focus on both climate change mitigation and adaptation as specific aims with the need for comprehensive financing methods towards the two.

The Paris Agreement does not have any guiding Principles but looks at different areas in implementation. These are broadly captured below and the corresponding references to the Guiding Principles.

Paris Agreement on Climate Change	Relevant IAWG DRR/CC Guiding Principles
a. Mitigation	1.2, 1.5, 2.3
b. Adaptation	1.3, 1.4, 2.1, 2.2, 2.3, 2.4, 3.2, 3.3, 4.1, 4.2, 4.3, 4.4, 4.5, 4.6, 5.1, 5.5
c. Loss and Damage	2.3, 4.4, 5.6
d. Finance	4.4, 5.6
e. Technology Development and Transfer	1.1, 1.5, 4.3, 5.5
f. Capacity Building	2.6, 3.4, 4.2, 4.6, 5.3, 5.4
g. Transparency of Action and Support	1.6, 2.6, 3.4, 5.3
h. Global Stocktake	-

As can be seen from the above the IAWG principles speak to most areas of the Paris Agreement and are particularly relevant in the areas of adaptation, capacity building, technology development and transfer and on transparency of action and support. Through this specific adoption of these principles would mean close alignment with the implementation of the agreement

### The Africa Programme of Action for the Implementation of the Sendai Framework for DRR

The Africa Programme of Action was adopted at the Africa Regional DRR Platform in 2016. This programme of action was agreed in the wake of the other major global agreements and so benefits in being able to specifically link to relevant sections of them in its approach. Similar to the SFDRR the programme of action provides

priority actions and activities to achieve the goals of the Sendai Framework in Africa. It adopts the 7 SFDRR global targets but then also adopts 5 additional targets to measure progress on by 2030. As such alignment with much of the areas of the alignment of the Guiding Principles and the SFDRR overlap on the Africa Plan of Action. The Africa Plan of Action adopts 7 guiding principles. These are highlighted below and area also corresponded to the Guiding Principles.

Paris Agreement on Climate Change	Relevant IAWG DRR/CC Guiding Principles
a. DRR is about protecting life, health, assets, livelihoods and rights	1.2, 1.3, 1.4, 5.2
b. DRR is a shared responsibility of all and requires coordinated involvement of all segments and institutions of society	1.3, 2.1, 2.2, 2.4, 2.5, 2.6, 3.1, 3.4, 4.2, 4.5, 4.6, 5.1
c. DRR must be based on contextualized and local measures	1.3, 2.2, 3.2
d. Reducing risk requires a systematic, sustained and comprehensive approach	1.1, 2.5, 3.1, 3.2, 3.3, 4.3, 5.1, 5.2
e. Effective DRR should be informed by robust integrated and disseminated disaster risk knowledge	2.3, 2.5, 3.5, 4.3, 4.6, 5.3, 5.5
f. Sub-national/local community engagement and action is critical for effective DRR	1.3, 2.1, 2.2, 4.6, 5.3
g. Effective cooperation and partnerships is critical for DRR	1.4, 2.3, 3.1, 3.2, 3.3, 3.5, 4.1, 5.3

## ANNEX 2

### GUIDING PRINCIPLES EVIDENCE REFERENCES AND SUPPORTING AGENCIES

Principle (# studies supporting)	Reference Bibliography Number #	Organizations Participating in Referenced Documents
THEMATIC AREA 1 - MAINSTREAMING DRR/CC		
Principle 1.1 (11)	1, 2, 9, 10, 27, 28, 30, 37, 48, 49, 50	ODI, IFRC, Oxfam, Save the Children, Chatham House, FAO, WFP, Care International, URD
Principle 1.2 (17)	2, 4, 6, 7, 9, 15, 21, 23, 28, 30, 33, 35, 42, 43, 47, 48, 50	IFRC, FAO, CIFA, Care International, Helpage International, ACF, ACORD, COOPI, IIRR, NRC, Oxfam, Save the Children, ACTS, ADRA, REGLAP, IIED
Principle 1.3 (18)	1, 3, 10, 14, 20, 27, 28, 29, 30, 31, 37, 38, 39, 40, 41, 47, 48, 50	ODI, FAO, DRAPP, Chatham House, ACTS, IFRC, Save the Children, Oxfam, WFP, ACCRA, ODI, Care International, World Vision, URD, ECB Project, CRS, MercyCorps
Principle 1.4 (25)	4, 6, 7, 8, 9, 10, 14, 20, 26, 27, 28, 29, 31, 32, 34, 35, 36, 37, 38, 39, 40, 41, 42, 49, 50	FAO, CIFA, Care International, Helpage International, ACF, ACORD, COOPI, IIRR, IFRC, NRC, IASC, Oxfam, Save the Children, Chatham House, ACTS, ADRA, WFP, ACCRA, ODI, World Vision, IIED, REGLAP, URD, ECB Project, CRS, MercyCorps
Principle 1.5 (10)	1, 2, 14, 15, 20, 30, 39, 40, 41, 42	ODI, IFRC, ACTS, Save the Children, Care International
Principle 1.6 (9)	1, 3, 5, 10, 27, 29, 48, 49, 50	ODI, FAO, DRAPP, Chatham House, IFRC, Save the Children, Oxfam, WFP
THEMATIC AREA 2 - ENGAGING WITH EXISTING INSTITUTIONS/ STRUCTURES		
Principle 2.1 (16)	2, 3, 4, 14, 20, 28, 29, 31, 35, 36, 38, 39, 40, 41, 42, 50	IFRC, FAO, DRAPP, CIFA, CARE International, Helpage International, ACF, ACORD, COOPI, ACTS, Save the Children, Oxfam, ACCRA, ODI, World Vision, IIED, REGLAP, ECB Project, Care International, CRS, MercyCorps
Principle 2.2 (10)	3, 14, 20, 27, 28, 34, 35, 39, 40, 41	FAO, DRAPP, ACTS, IFRC, Save the Children, Oxfam, WFP, IIED, Care International
Principle 2.3 (15)	3, 8, 9, 12, 14, 15, 20, 31, 32, 37, 39, 40, 41, 42, 47	FAO, DRAPP, IASC, Oxfam, Save the Children, CCAFS, ACTS, ACCRA, ODI, Care International, World Vision
Principle 2.4 (11)	1, 4, 6, 28, 29, 35, 38, 40, 41, 48, 49	ODI, FAO, CIFA, Care International, Helpage International, ACF, ACORD, COOPI, IIRR, IFRC, Save the Children, Oxfam, IIED, ECB Project, CRS, MercyCorps, World Vision
Principle 2.5 (7)	2, 6, 10, 12, 27, 40, 41	IFRC, IIRR, Chatham House, CCAFS, Oxfam, FAO, WFP, Care International
Principle 2.6 (10)	3, 5, 10, 11, 23, 27, 29, 38, 40, 41	FAO, DRAPP, ODI, Chatham House, CICERO, ADRA, IFRC, Save the Children, Oxfam, WFP, ECB Project, Care International, CRS, MercyCorps, World Vision
THEMATIC AREA 3 - LINKAGES BETWEEN ALL LEVELS		
Principle 3.1 (23)	1, 3, 10, 14, 16, 19, 20, 22, 24, 25, 27, 29, 31, 33, 36, 37, 38, 39, 40, 41, 43, 49, 50	ODI, FAO, DRAPP, Chatham House, ACTS, ADRA, SOMREP, World Vision, Oxfam, ACF, DRC, Care International, COOPI, SOMREP, IFRC, Save the Children, WFP, ACCRA, REGLAP, URD, ECB Project, CRS, MercyCorps
Principle 3.2 (5)	4, 6, 22, 40, 41	FAO, CIFA, Care International, Helpage International, ACF, ACORD, COOPI, IIRR, IFRC, ADRA
Principle 3.3 (13)	4, 5, 14, 20, 28, 29, 31, 34, 36, 38, 40, 41, 42,	FAO, CIFA, Care International, Helpage International, ACF, ACORD, COOPI, ODI, ACTS, Save the Children, IFRC, Oxfam, REGLAP, ECB Project, CRS, MercyCorps, World Vision



Principle (# studies supporting)	Reference Bibliography Number #	Organizations Participating in Referenced Documents
Principle 3.4 (10)	3, 5, 11, 29, 31, 34, 36, 40, 41, 42	FAO, DRAPP, ODI, CICERO, Save the Children, ACCRA, Care International, World Vision, REGLAP
Principle 3.5 (10)	10, 11, 14, 20, 27, 31, 36, 39, 40, 50	Chatham House, CICERO, ACTS, IFRC, Save the Children, Oxfam, FAO, WFP, ACCRA, ODI, Care International, World Vision, REGLAP
THEMATIC AREA 4 - STRENGTHENING COMMUNITY ADAPTIVE CAPACITIES		
Principle 4.1 (9)	2, 27, 28, 31, 32, 37, 40, 41, 49	IFRC, Save the Children, Oxfam, FAO, WFP, ACCRA, ODI, Care International, World Vision, URD
Principle 4.2 (9)	3, 21, 28, 34, 37, 39, 40, 41, 42	FAO, DRAPP, ADRA, Save the Children, IFRC, Oxfam, Care International, URD
Principle 4.3 (9)	15, 31, 34, 35, 39, 40, 41, 42, 43	ACTS, ACCRA, ODI, Save the Children, Care International, World Vision, IIED
Principle 4.4 (15)	9, 10, 11, 16, 24, 25, 30, 3132, 38, 39, 40, 41, 49, 50	Oxfam, Save the Children, Chatham House, CICERO, ACTS, SOMREP, ADRA, World Vision, ACF, DRC, Care International, COOPI, SOMREP, ACCRA, ODI, ECB Project, CRS, Oxfam, MercyCorps
Principle 4.5 (10)	3, 4, 33, 35, 37, 39, 40, 41, 47, 48	FAO, DRAPP, CIFA, Care International, Helpage International, ACF, ACORD, COOPI, Save the Children, REGLAP, IIED, Care International, URD, Oxfam
Principle 4.6 (11)	2, 11, 12, 32, 34, 39, 40, 41, 42, 43, 47	IFRC, CICERO, CCAFS, Save the Children, Care International
THEMATIC AREA 5 - STRENGTHENING SYSTEM AND APPROACHES		
Principle 5.1 (14)	1, 2, 3, 4, 9, 11, 16, 27, 28, 36, 40, 41, 43, 49	ODI, IFRC, FAO, DRAPP, CIFA, CARE International, Helpage International, ACF, ACORD, COOPI, Oxfam, Save the Children, CICERO, ACTS, WFP, REGLAP
Principle 5.2 (16)	1, 3, 9, 10, 18, 24, 25, 30, 33, 34, 35, 37, 38, 39, 40, 41	ODI, FAO, DRAPP, Oxfam, Save the Children, Chatham House, ACTS, SOMREP, ADRA, World Vision, ACF, DRC, CARE International, COOPI, REGLAP, IIED, URD, ECB Project, CRS, MercyCorps
Principle 5.3 (11)	3, 6, 19, 22, 24, 25, 32, 33, 39, 40, 41	FAO, DRAPP, IIRR, IFRC, ACTS, ADRA, SOMREP, World Vision, Oxfam, ACF, DRC, CARE International, COOPI, Save the Children, REGLAP
Principle 5.4 (6)	4, 5, 12, 29, 31, 43	FAO, CIFA, CARE International, Helpage International, ACF, ACORD, COOPI, ODI, CCAFS, Save the Children, ACCRA, World Vision
Principle 5.5 (18)	3, 5, 6, 11, 15, 19, 22, 23, 27, 33, 34, 35, 37, 39, 40, 41, 42, 48	FAO, DRAPP, ODI, IIRR, IFRC, CICERO, ACTS, ADRA, Save the Children, Oxfam, WFP, REGLAP, IIED, Care International, URD
Principle 5.6 (18)	1, 2, 9, 10, 24, 25, 27, 28, 30, 32, 35, 37, 38, 39, 40, 48, 49, 50	ODI, IFRC, Oxfam, Save the Children, Chatham House, SOMREP, ADRA, World Vision, ACF, DRC, COOPI, FAO, WFP, IIED, Care International, URD, ECB Project, CRS, MercyCorps

# ANNEX 3

## METHODOLOGY AND LIMITATIONS

### Criteria for evidence screening

Documents and literature that were submitted as part of the evidence base were also screened and graded to account for the robustness, validity and reliability of the evidence. This grading also assisted in giving weighted values for documents to account for principles being supported by more robust evidence. The criteria for grading was based on i) documents published in academic articles; ii) documents formally published or peer reviewed through other mechanisms, iii) documents produced through multi-stakeholder processes; iv) grey literature which may include advocacy, policy, research and evaluation documentations. Each document submitted was given a weighted score from 0.25 to 1 to assess the robustness and reliability of the evidence. Those with the strongest robustness/reliability were given a 1, and those with the weakest 0.25.

Documents submitted as part of the IAWG guiding principles production by country, document type, research type, and thematic focus
Documents by country <ul style="list-style-type: none"><li>Ethiopia (19)</li><li>Kenya (27)</li><li>Somalia (11)</li><li>Uganda (3)</li><li>Tanzania (6)</li><li>Regional/ Cross border (11)</li></ul>
Documents by document type <ul style="list-style-type: none"><li>Academic article (4)</li><li>Project evaluation (11)</li><li>Research (8)</li><li>Toolkit (7)</li><li>Policy document (13)</li><li>Bulletin (1)</li><li>Advocacy document (6)</li></ul>
Documents by research type <ul style="list-style-type: none"><li>Qualitative (12)</li><li>Quantitative (3)</li><li>Mixed method (8)</li><li>Secondary only (9)</li><li>Participatory (1)</li><li>Policy (6)</li><li>N/A (11)</li></ul>
Documents by discipline <ul style="list-style-type: none"><li>Climate Change (13)</li><li>DRR (24)</li><li>Both Climate Change and DRR(13)</li></ul>

### Limitations of the Research

The total documents and information submitted came from a total of 10 out of the total IAWG membership of 44 agencies (22%). Although this may seem small in terms of representation due to the similarities in terms of organisation focus, and the cross member nature of documents submitted this may be seen as an adequate reflection of the IAWG DRR/CC but is still a limitation to acknowledge. This is also discussed in the findings and recommendations.

The thematic area was well covered in terms of different disciplines with CC (48%), DRR (26%) and both CC and DRR (26%) covered by the submitted documents. However, if we were to drill down into the number of documents within CC the majority of the documents dealt with solely CC adaptation (66%), some covered both adaptation and mitigation but mostly from a policy perspective (21%) but there was a lack of documents focusing solely on mitigation (17%). This reflects the predominate role played by many

of the IAWG DRR group members in adaptation rather than mitigation, and also the very low absolute and per capita GHG emissions of the countries in the scope, but is a limitation that is recognised.

In terms of the geographic nature of the documents submitted there was distinctly more evidence on Kenya, Ethiopia and Somalia with less evidence submitted on Tanzania, Rwanda and Uganda. This may reflect the mandates/regions of the different IAWG agencies but has also led to strong bias to the traditional Horn of Africa countries of Kenya, Ethiopia and Somalia. Initially Rwanda was also considered as part of the study focus however a lack of documentation meant this had to be excluded from the scope. This is a limitation of the principles however and a recommendation on moving forwards. Similarly, as a regional working group more focus on cross-border issues and programming best practice would broaden the evidence base for practical DRR/CC action at regional level.

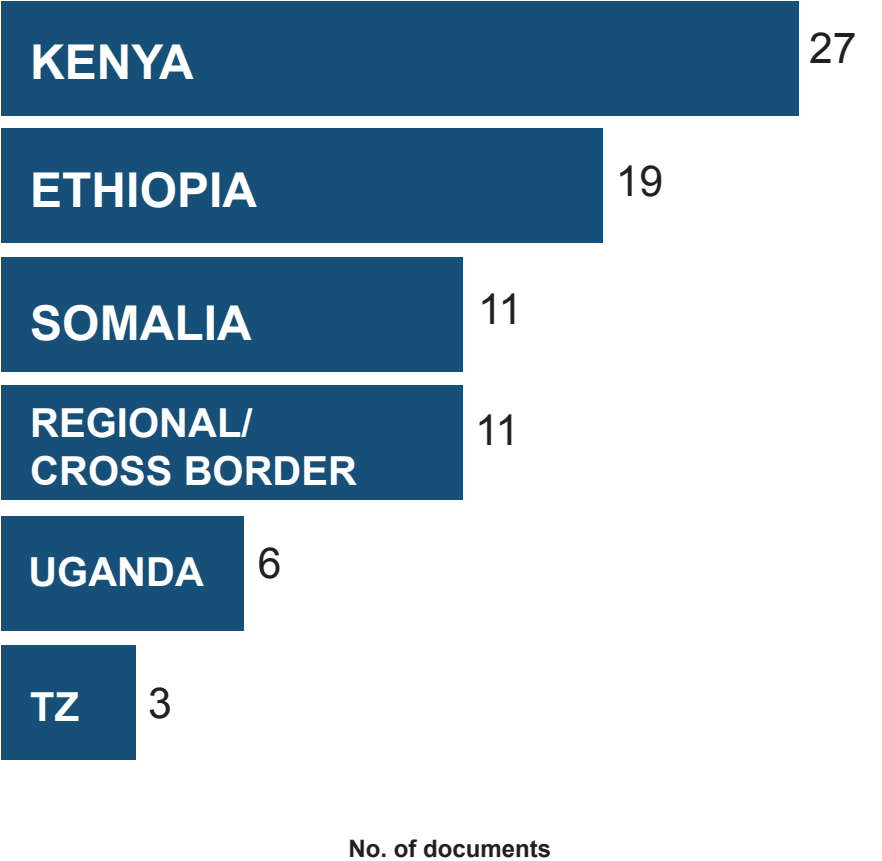


Figure 2: Documents submitted by geographic focus

However, while geographic coverage was broad, coverage across livelihood groups was not as broad. Coverage of multiple livelihoods and in agro-pastoral and pastoral was quite broad however a significant omission can

be seen in documentation on DRR/CC covering both urban and riverine areas. Therefore, while the principles developed can speak broadly to pastoral and agro-pastoral areas such as urban DRR/CC may need a

significantly adapted approach. In addition, there may be other principles or recommendations specific to urban areas that would also need inclusion.

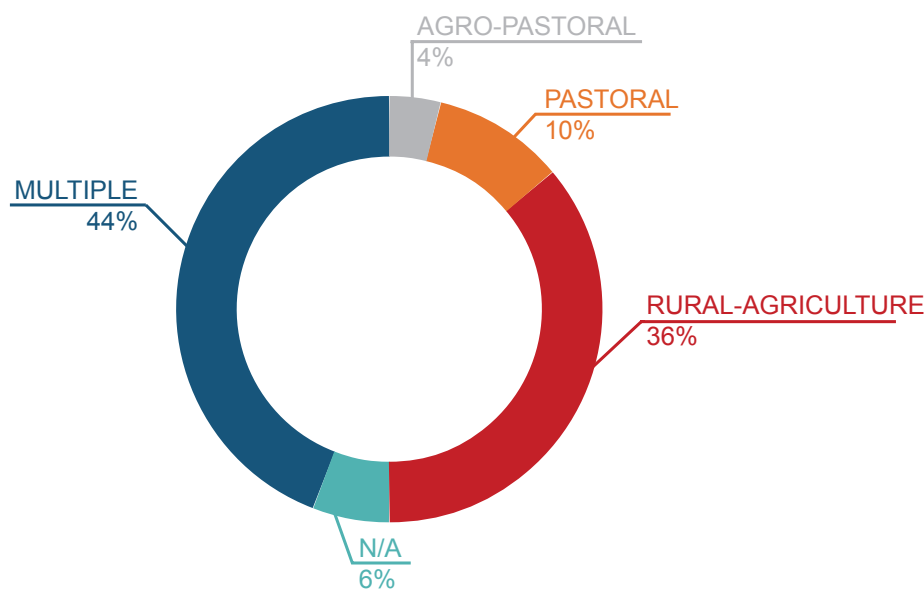


Figure 3: Documents submitted by livelihoods group targeted

Initial analysis showed broad coverage of the study areas by the documentation submitted by thematic area. The lowest coverage

was on thematic areas B (Engaging with existing institutions/structures) and E (Strengthening Systems and Approaches). However, this is not

expected to affect the quality of the findings on the principles.

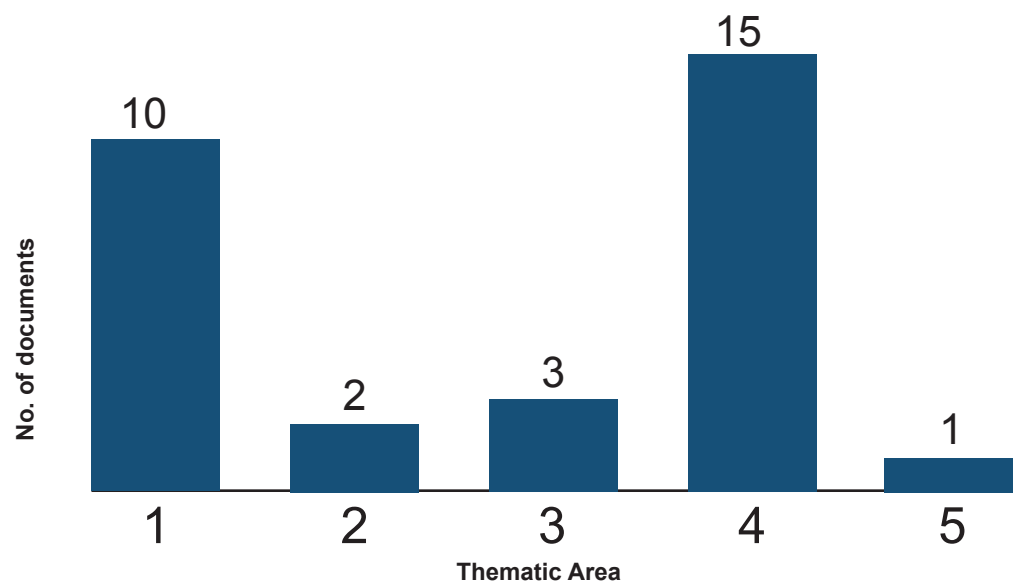


Figure 4: Documents submitted by initial screening of thematic area



Also evident in the literature was the limited amount of research, evaluation, academic articles or policy or advocacy documents submitted which utilised participatory research methodologies in their production. The figure below shows the number of documents reviewed according to the methodology

adopted and also the geographic location covered. This highlights the lack of participatory methodologies employed across the geographic areas covered. While this is not a limitation in itself, and was not an essential criterion, guiding principles 5.4 and 5.5 call for more participatory research

and evidence generation in general. Therefore, there is an acknowledgment that the use of more documentation and evidence produced in collaboration with communities could enhance the developed principles.

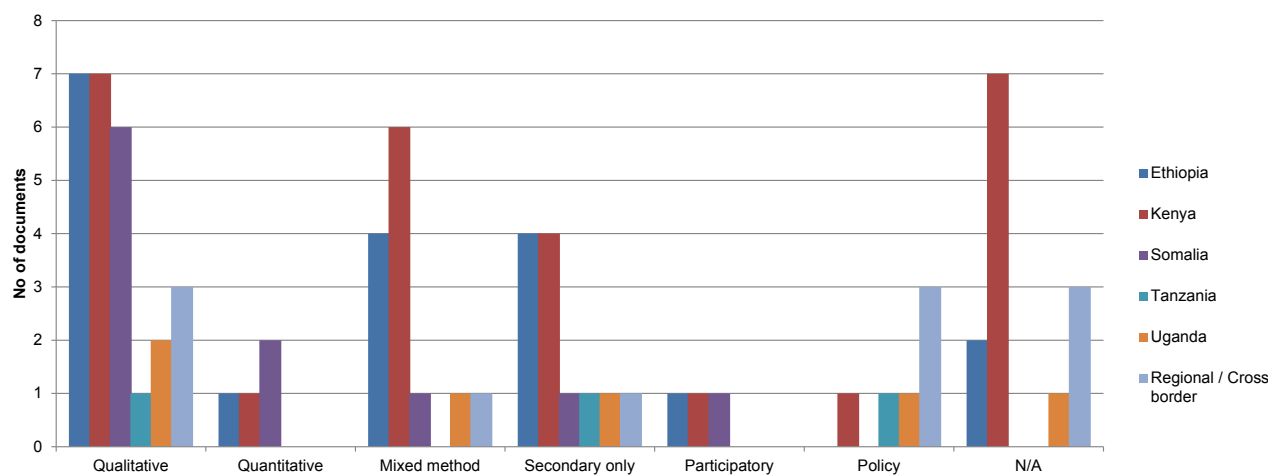


Figure 5: Documents submitted by research methodology

## ANNEX 4

### EXISTING INTERAGENCY DRR/CC GUIDING PRINCIPLES AND BEST PRACTICE

ECB Towards Resilience (2013) <sup>38</sup>	DRAPP Good Practice Principles for DRR (2013) <sup>3</sup>	CARE Adaptation Good Practice Checklist (2016) <sup>39</sup>
<ol style="list-style-type: none"> <li>1. Increase understanding of the hazard and climate change context</li> <li>2. Increase understanding of exposure, vulnerability and capacity</li> <li>3. Recognize rights and responsibilities</li> <li>4. Strengthen participation of, and action by, the population at risk</li> <li>5. Promote systemic engagement and change</li> <li>6. Foster synergy between multiple levels</li> <li>7. Draw on and build diverse sources of knowledge</li> <li>8. Instil flexibility and responsiveness</li> <li>9. Address different timescales</li> <li>10. Do no harm</li> </ol>	<ol style="list-style-type: none"> <li>1. Effective and successful</li> <li>2. Environmentally, economically and socially sustainable</li> <li>3. Gender sensitive</li> <li>4. Technically feasible</li> <li>5. Inherently participatory</li> <li>6. Replicable and adaptable</li> <li>7. Evidence based</li> <li>8. Equitable</li> </ol> <p>The DRAPP Good Practice principles outline the principles that need to be followed for implementation of a drought disaster risk reduction activity. Developed in 2013 it outlines principles in general agreed as good practice principles for DRR activities (above) and also looks at principles for various phases of programme/project implementation, and by cross-cutting themes).</p>	<ol style="list-style-type: none"> <li>1. Analyse climate risks, differential vulnerability and capacity of people, ecosystems and institutions.</li> <li>2. Promote participation, agency and inclusion of all groups</li> <li>3. Incorporate management of uncertainty and use of climate information</li> <li>4. Promote anticipatory, flexible and forward looking adaptation planning and decision making processes</li> <li>5. Promote innovation, local knowledge and technology</li> <li>6. Ensure an integrated and holistic response with adaptive management of climate related risks and impacts over time</li> <li>7. Establish institutional arrangements and linkages which facilitate multi-stakeholder engagement</li> <li>8. Integrate sustainable learning, capacity building and knowledge management processes</li> <li>9. Support ongoing and sustainable adaptation at scale</li> </ol>

## ANNEX 5

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