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RISK GOVERNANCE

Building Blocks for Resilient Development in the Pacific

A Policy Brief | OCTOBER, 2016

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Authors: Sarah Selby and Moortaza Jiwanji

Reviewers: John Hay, Scott Hook, Kevin Petrini, Martin Ras and Thomas Jensen

Designer: Kautane Pene | Editorial: Jone Tuiipelehaki Raqauqau | Photography: UNDP Country Teams

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Executive Summary

This policy brief is the product of testing, learning and adapting a mainstreaming approach to resilient development[1] in the Pacific. It is based on an in-depth review and analysis of global and regional literature on approaches to mainstreaming, climate change and disaster risk management and governance reform[2]. It draws on extensive testing of mainstreaming approaches in four countries (Solomon Islands, Vanuatu, Fiji and Tonga) carried out through the Pacific Risk Resilience Programme (PRRP). It highlights the importance of engaging development decision makers and practitioners at all levels of governance for the management of climate change and disaster risks.

The target audience for this policy brief includes government, partners and academic institutions working towards resilient development in the Pacific region. It has been prepared for national, sector and local government development actors (finance and planning, key development sectors or sub-national levels) working across the Pacific to implement the new *'Framework for Resilient Development in the Pacific' (FRDP)*[3]. The main purpose of the policy note is to introduce risk governance as a foundation for mainstreaming risk into development policy and practice for more effective management of climate change and disaster risks.

A 'development-first' approach to managing risk. Pacific Island Countries are some of the most vulnerable in the world to natural hazards and climate change. Traditionally, climate change and disaster risks have been managed as standalone activities outside development policy and practice and yet these risks are largely rooted in 'unchecked' development. 'Development-first' approaches to risk management, therefore, can encourage development actors to lead 'from within' development itself. This involves mainstreaming risk, including gender and social dimensions of risk, into development policy and practice.

Transforming the development agenda. This policy note proposes that transforming the development agenda itself rather than simply 'adding on' risk is necessary in the region, by: i) treating risk management as an ongoing and continuous process (rather than a 'one-off' or standalone activity); ii) working 'from within' development and putting 'people at the centre' when dealing with underlying causes of disaster and climate change risk; and iii) promoting the engagement and behavioural change of multiple stakeholders across the board.

The risk governance building blocks. Deep-seated governance issues need to be tackled in order to effectively mainstream disaster and climate change risk, including gender and social dimensions of these risks, into development. *'Risk governance building blocks'* will help put in place the enabling environment for risk informed development, and these include: PEOPLE (the actors involved in development); MECHANISMS (the underlying architecture for development); and PROCESSES (the procedures, tools and products such as plans guiding implementation).

Countries taking the lead on resilient development. Strengthening of the risk governance building blocks has been successfully piloted in the region around core components of governance (the people, mechanisms and processes) that guide development decision making and implementation. Country led risk governance initiatives in the Pacific are already demonstrating strong prospects for more resilient development outcomes, which can be replicated and sustained in the long term. Experience has shown that countries are taking context specific approaches to risk governance, and these include: working 'from within' existing development systems in Solomon Islands; through 'overarching mechanisms' for climate change and disaster risk reduction in Vanuatu; bridging top-down with bottom-up approaches in Tonga; and an all-stakeholder approach to managing risks at the local level in Fiji.

A 'Development-First' Approach to Managing Risk | 1

KEY MESSAGES

- Traditional 'risk-first' approaches manage disaster and climate change risks outside of development practice, resulting in standalone policies or projects.
- Disaster and climate change risks are largely rooted in uniformed development and as such their management needs to be mainstreamed.
- A more recent 'development-first' approach to risk management starts with national development objectives.

A NEW ERA IN THE REGION

The recently launched regional Framework for Resilient Development in the Pacific (FRDP)[4] brings renewed impetus to resilient development. Endorsed by Pacific Islands Forum Leaders in September 2016, it provides an opportunity to take stock of current approaches to achieving resilient development in the region. It builds upon an earlier paradigm shift, which recognised that "business as usual" approaches to managing risk in the Pacific (focusing on disaster response and recovery), were unsustainable and could slow or even disrupt economic growth.[5]

Traditional approaches to managing risk in the Pacific, have made a substantive contribution towards pro-actively dealing with risks before a disaster happens. They have also significantly raised the profile of climate change adaptation (CCA) and disaster risk reduction (DRR) in the region. These approaches are generally led by climate change and disaster management practitioners (usually from national disaster management offices, climate change agencies or external agencies) and use climate and disaster data, projections or vulnerability assessments to assess risks and opportunities.

Whilst these 'risk' or 'hazard-first' approaches have offered valuable insights and successful pilots, this often data-heavy approach has been critiqued for treating risk as a unique or separate entity, and creating new or parallel risk policies, processes and projects[6] *(see Box 1)*. Similarly, there has been a widespread failure to institutionalise or connect the outcomes of community based activities (or 'bottom activities),' and establish linkages between local level and wider national level development planning and budgeting.[7] For example, a number of countries in the Pacific have chosen to develop dedicated national policies on climate change and disaster risk management, for example the Joint National Action Plans (JNAPs) in Tonga and Cook Islands. However, these plans tend not to be formally linked to national development planning and budgetary systems and a recent review has highlighted limited traction of NAPs in fostering mainstreaming into the development agenda.[8]

BOX 1: Risk-first approaches

Traditional risk-first approaches in the Pacific have focused on stand-alone DRR or CCA national policies or community-based projects, which are not formally linked to national development planning, budgetary systems or development priorities. Often externally driven, or pilot in nature, these have tended to focus on quick impact at the community level at the expense of deeper engagement with government actors, making it difficult to sustain activities beyond the lifespan of projects.

The FRDP advocates for a more integrated,[9] cohesive and less siloed approach to managing climate risks, disaster risks *and* poverty across the region partly to make more efficient use of resources and rationalise multiple sources of funding (which often address similar needs). It fosters an all-stakeholder coordinated approach, and in particular the involvement of government development sector actors. It also promotes the inclusion and representation of the needs and priorities of those disproportionately impacted by climate change and natural hazards.

The FRDP also calls for the 'mainstreaming' of climate and disaster risk. It moves beyond bringing separate issues together, and instead treats climate change and disaster risk management as a fundamental development issue. It guides practitioners to *'mainstream into development planning including policy making, planning, financing, programming and implementation, to build resilience'*[10] and provides strategic and voluntary guidance to help practitioners understand climate change and disaster risk management as a development challenge for the Pacific. It also places gender and protection as key principles central to the implementation of the FRDP. This regional trend, is also reflected at the global level, with several frameworks and guidelines also being developed to support mainstreaming.[11]

BRINGING RISK INTO THE DEVELOPMENT AGENDA

Risk is largely rooted in unchecked development; and this calls for the consideration of risk as an intrinsic part of development policy and practice.[12] Pacific Island countries have some of the highest exposure and sensitivity to natural hazards in the world. Of the 20 countries with the highest ranking for risk, a quarter are located in the Pacific region.[13] Whilst the implications of natural hazards for development are clear, it is important to recognise that development choices can also be a fundamental driver of vulnerability to climate change and disaster impacts.[14]

There is increasing consensus therefore, both regionally and globally, that risk considerations need to be 'grounded in development.'[15] This has focused attention on: i) resilient development as a common goal across development, climate change and disaster risk management; and ii) mainstreaming as a process to bring risk into the centre of development decision making, budgeting, policies, processes and practice.[16]

Mainstreaming is not a new concept - it has long been adopted by different sectors and for varied cross-cutting considerations. Practitioners in the region have recognised its relevance for building resilience in the Pacific. Yet despite extensive use of the term mainstreaming, there is no clear blueprint for putting it into practice; and hence mainstreaming results have been mixed. Numerous barriers have emerged, including a lack of: awareness, risk knowledge, political will, local ownership, stakeholder participation, coordination, capacity and funding; and power and resource struggles between different actors.[17] Similarly, regional reviews have noted that development practitioners did not always understood the value of DRR and CCA, particularly given difficulties quantifying benefits.[18]

More recently 'development-first' or 'development-centric' mainstreaming approaches to risk management have emerged. These begin with an understanding of development priorities, current stressors, and vulnerabilities.[19] They then bring risk impacts into focus over relevant timescales to understand current and future risks and identify priorities for action.[20] They call for a range of development actors (and not just CCDRM specialists), to engage. They also advocate for entry points (for resilience building) from within national, local, and sector development planning and budgeting processes.

Attempts at mainstreaming have had mixed results. Despite many successes in terms of policy development, awareness raising and capacity development, a number of reviews have revealed some shortcomings[21] *(see Box 2).* Specifically, efforts to reduce risk have not matched the scale of the challenge; and institutional and funding arrangements are generally fragmented between national, subnational and sector levels.[22] Similarly, there has been insufficient consideration to implementation challenges (such as human and financial resources) and also to sustainability over the long term. What is needed is to move beyond simply adding on risk, to fundamentally transforming development practice itself. This means changing the behaviour of development stakeholders for more institutionalised mainstreaming.

BOX 2: Development-first approaches

More recent development-first approaches in the Pacific have at times focused on adding risk issues to current development plans, policies and projects in order to 'risk proof" using a climate or risk lens. Whilst valuable, these do not always help strengthen the existing development system or question the social inequalities or vulnerabilities (i.e. root causes) that contribute to risk. There is also concern that these approaches can fail to incorporate the experiences, perceptions and concerns of communities or other target audiences and in particular, their development priorities.

> Transformative approaches to mainstreaming are needed for more resilient development.

Transforming the Development Agenda | 2

KEY MESSAGES

- Mainstreaming of disaster and climate change risk is an **ongoing process** rather than a one-of activity.
- Working **'from within'** development and putting people at the centre will help deal with the underlying causes of disaster and climate change risk.
- An **all-stakeholder** approach is required with effective leadership, deliberate engagement of new actors and behavioural change across the board.

Transforming the development agenda is complex, but can be boiled down to three key characteristics: i) treating risk management as an ongoing and continuous process; ii) working from 'within' development policy and practice itself; and iii) engaging 'all-stakeholders'[23] with a focus on development stakeholders.

RISK MANAGEMENT AS AN ONGOING PROCESS

Risk management needs to move beyond a series of separate climate change and DRM policies or initiatives. Experience is showing that this requires a mainstreaming process that is long term, ongoing and iterative. Practitioners have identified the following core considerations.[24]

- **Move away from standalone risk management activities.** New approaches are moving away from parallel plans and systems for risk and instead putting risk at the 'heart' of development.[25] This means strengthening existing development systems and processes to deal with risk, rather than creating stand-alone policies, processes, products and projects for risk.

- **Treat mainstreaming as an ongoing process rather than a 'one off' activity.** There has been a tendency to focus on integrating cross-cutting issues such as risk into specific policies (i.e. poverty reduction strategies). This has at times resulted in tokenism and implementation challenges with questions around sustainability over the long term.[26] A key consideration is therefore to shift the focus towards processes that generate, sustain and put policies into action. A transformative approach to mainstreaming therefore needs to promote a process of institutionalising or sustaining change that strengthens and transforms the existing development system.[27]

> ***For example, in Tonga, Vanuatu, Fiji and Solomon Islands*** new resilient development positions have been created in national planning and finance ministries, key sectors (e.g. agriculture or education) and subnational government. These provide in-house, long-term and continuous support to mainstreaming risk management from within the development agenda.

WORKING 'FROM WITHIN'

Working from within development policy and practice itself is a key characteristic and at the centre of this transformative approach. Practitioners globally and in the region, have identified the following related considerations.

- **Dealing with root causes.** An important requirement is to begin with an understanding of local development priorities, current vulnerabilities and existing stressors (e.g. urban migration) to identify underlying root causes of risk. Experience suggests that practitioners should look to alter the fundamental attributes of a risk generating development system rather than building on an existing risk generating system.[28] This means examining and addressing (as part of development practice) the underlying root causes or contributing factors that make a community vulnerable to hazards and climate change. These include physical factors (e.g. location or quality of buildings), socio-economic factors (e.g. gender, poverty, inequality), and environmental factors (e.g. deforestation).

For example, in Tonga, local government and the Ministry of Internal Affairs (MIA) have helped integrate climate change and disaster management into a "bottom-up" planning process, which explicitly considers the needs of vulnerable groups.

- **Putting people at the centre.** There is increasing recognition of the importance of inclusive processes, which gather contributions across different stakeholder groups, and proactively considers the needs of all members of the community. This includes those disproportionately impacted by climate change and natural hazards. Genuine mainstreaming is about empowering people.

- **Political commitment.** Moving away from externally imposed priorities, requires political will, national leadership and commitment to empower national development actors. It needs change agents that can champion risk informed development.

"There are 'early results' of transformational change in Solomon Islands – where previously the perception was that CCDRM should fall on NDMO and climate change line functions. Now new 'Line Ministries' are taking up the challenge more seriously."

Dr Melchior Mataki,
Permanent Secretary, MECDM, Solomon Islands

ALL-STAKEHOLDER ENGAGEMENT

Engaging multiple stakeholders at all levels is a key characteristic at the heart of transforming the development agenda. The new regional resilience framework (FRDP) calls for an all-stakeholder approach to achieving resilient development outcomes in the region: *'building resilience should involve all stakeholders from different sectors, organisation types and governance levels.'*[29] Early experience has identified the following core considerations.

- **Leadership.** A key consideration is the mobilisation of new people. Government development actors (notably from finance, development planning, and key sectors such as agriculture, health, education and infrastructure) should drive risk management, moving away from the widespread focus on DRM or climate change agencies.[30] Instead of bringing development stakeholders into the conversation on climate change and disasters, these risks need to be brought into the development domain.

For example, in Vanuatu, the National Advisory Board on Climate Change and Disaster Risk Reduction (NAB) was created in 2012 to support mainstreaming. A Risk Governance Analysis was subsequently undertaken and bought leadership concerns to the forefront. As a result, leadership was aligned more closely with overall development policy-making.

- **New actors.** An important consideration is the mobilisation and empowerment of a diverse set of, noting that transformational change must also embrace civil society stakeholders and the private sector.[31] A recent review in the Pacific identified that the most importance capacities for building resilience were found within local communities and local organisations (including local government).[32]

- **A change in mindset and behaviour.** A fundamental consideration is behaviour change. Organisations must act differently.[33] This requires that governments take an active role in bringing about shifts in interest, perceptions (including viewing risk as an "add-on"), building coalitions for change, and engendering a change in behaviour to achieve risk informed development.

"It is important that we deal with the 'deep-seated' issues and not get caught up with the 'nitty-gritty' of climate change and disaster risk management work. We have to go 'behind the scenes' and address some of the root governance issues"

Sipuru Rove, Resilient Development Officer,
Ministry of Agriculture, Solomon Islands

RISK INFORMED DEVELOPMENT REQUIRES DEEP-SEATED CHANGES IN GOVERNANCE

Transforming development to align with the characteristics previously described, requires tackling deep-seated governance issues underlying development practice. Governance, in its simplest sense, is about how decisions are made and implemented.[34] The conclusion that strengthening governance is key to operationalising risk informed development, reflects experiences from mainstreaming other cross-cutting considerations, such as gender and environment. These demonstrate the importance of good governance to effectively engage with risk management, rather than dealing more superficially with.[35]

> Mainstreaming of risk has to be recognised as a governance issue

Risk Governance Building Blocks | 3

KEY MESSAGES

- Risk governance provides the 'enabling environment' for risk informed development and achieving resilient development outcomes.
- Strengthening risk governance is recommended around three governance components:
  - **People** (the actors of development) – leadership, capacity and knowledge.
  - **Mechanisms** (the underlying architecture for development) – institutional arrangements, partnerships, coordination networks, and the legal and policy framework.
  - **Processes** (the procedures and products for development) – budgeting processes, planning processes, tools, and products (e.g. plans).

***Although there is no universally accepted definition of risk governance**, in general it refers to the enabling environment for the management of risks* (see UNDP definition in key concepts).

RISK GOVERNANCE AND RESILIENT DEVELOPMENT

Risk governance is defined here, as the enabling environment for risk informed decision making and implementation. Strengthening disaster risk governance to manage risk, is the second of the four risk Sendai Framework 'priorities for action.'[36] Globally and increasingly regionally, it is viewed as the pathway towards making development sustainable and resilient; and achieving both the Sustainable Development Goals and national development goals.[37]

The risk governance building blocks[38] provide a framework for strengthening the enabling environment for managing and responding to risk. In practice this means adapting the core components of governance – the people, mechanisms and processes supporting development practice – to the specific requirements of risk. This framework places gender and social dimensions at the centre to the very definition of risk. Each of these three governance components comprise a number of specific opportunities for risk governance strengthening known as the "risk governance building blocks" (*see Figure 1)*. These can be applied at all levels of governance (defined as decision making and implementation), notably: the regional, national, sector, sub-national and community levels.

FIGURE 1: Risk governance building blocks

The building blocks are interdependent and mutually reinforcing. Initial findings through the Pacific Risk Resilience Programme (PRRP) show that strengthening a number of blocks simultaneously, can increase mainstreaming successes. However, priority building blocks are context specific.

The new regional framework for resilient development (FRDP) supports this focus on governance.

- *The achievement of FRDP goals* is critically dependant on a 'sound enabling environment' including resources, institutional arrangements, dialogue, communications and partnerships. For example, the proposed Pacific Resilience Partnership (PRP)[39] provides the institutional arrangements for knowledge sharing and forging partnerships at the regional level.

- *The FRDP principles* call for mainstreaming and provide guidance on how development actors should approach mainstreaming. These resonate with "good governance" principles, for example, prioritising the vulnerable, protecting human rights, integrating gender considerations, and advocating for transparent access to information. Climate change and natural hazards threaten core human rights (including the rights to life, safety, dignity and non-discrimination) thus elevating the importance of ensuring the protection of these rights are central to all components of governance: the people, the mechanism and the processes. This premise has been unequivocally recognised by the Pacific as a guiding principle central to humanitarian and development action in the region.[40]

- *Finally, the FRDP guidelines provide a list of voluntary priority actions* listed by goal and stakeholder. The risk governance building blocks can help make sense of these, by breaking them into the three governance components and constituent building blocks described in more detail next.

PEOPLE - the actors involved in development

People are at the root of more resilient development outcomes. Strengthening this component to galvanise a change in the way that stakeholders approach risk management, means building leadership, skills and knowledge for risk informed development, notably of development actors. Core building blocks for this governance component are:

- **Leadership and change agents (Block 1).** Build the political commitment and leadership of key development actors (and specifically practitioners from finance, planning, and key sectors) at all levels to advocate for, and inspire: a shift in mindset, new ways of thinking, and behavioural change in support of risk informed development.

> ***For example, in Solomon Islands*** the joint leadership of the Permanent Secretaries for the Ministries of Development Planning and for Climate Change and Disaster Management has paved the way for risk informed development, under the umbrella of the National Development Strategy.

- **Human capacity and awareness (Block 2).** Build risk awareness and in-house capacity[41] of development actors (moving beyond traditional training) for driving and sustaining risk informed development from "within" development practice. This means creating a new network of CCDRM focal point specialists or change agents within national and subnational development planning, finance and sector agencies.

> ***For example, in Vanuatu*** the creation of a new Resilience post in the Ministry of Women has led to the mainstreaming of gender dimensions into the government led recovery programme. This is the first time there is dedicated funding for gender mainstreaming in Vanuatu for recovery.

- **Knowledge and communication (Block 3).** Build awareness and knowledge of risk management (including the gender and social dimensions of risk), for example through risk assessments and risk mapping, and strengthen communication networks, to risk inform local development priorities, planning and budgeting processes.

> ***For example, in Solomon Islands*** a centralised GIS database has been established to prepare risk maps for development planners.

This component, resonates clearly with the FRDP goals, which will require an 'all-stakeholder approach' to secure their implementation.

MECHANISMS - the underlying architecture for development

It is vital to structure the way that people interact and take part in risk management to facilitate a more coordinated and sustainable approach. Enabling risk management within development decision making and implementation involves strengthening the institutional arrangements, networks, roles, responsibilities, and policy frameworks. Core building blocks for this governance component are:

- **Institutional arrangements (Block 4).** Build upon existing arrangements (e.g. committees/working groups) as far as possible to ensure roles and responsibilities for risk are embedded or mainstreamed within functions of departments, sectors or cross-sectoral fora.

  For example, in Vanuatu a Risk Resilient Unit (RRU) was established within the Department of Agriculture with FAO and GIZ after TC Pam. It overseas and coordinates food security response and recovery to ensure a seamless transition to longer term agricultural resilient development.

- **Partnerships and coordination networks (Block 5).** Build partnerships and coordination mechanisms for risk management to increase resources (and support more efficient use of resources) and joint actions of multiple-stakeholders.

  For example, in Fiji a partnership between the agriculture cluster and telecommunication companies (Digicel and Vodafone), helped collect damage data and share joint messaging on food security.

- **Legal and policy framework (Block 6).** Strengthen legislation, regulations, policies and strategies from a risk perspective[42] and put in place mechanisms and capacities for their implementation.

  For example, the Government of Solomon Islands has embarked on an agenda of risk informing its national development priorities and its National Development Strategy (2016-30) now includes an objective on resilient and sustainable development.

This component, resonates clearly with the FRDP, given that successful implementation of the FRDP goals will depend on strong partnerships, fostering cooperation at all levels and new networks and alliances.

PROCESSES - the procedures and products guiding implementation

Risk management must become an integral part of routine development procedures, tools and products for risk informed development activities on the ground (e.g. projects) and resilient development outcomes. Strengthening routine development processes (e.g. planning) and associated products (e.g. plans, monitoring an evaluation reports) to facilitate risk management, will ensure that risk informed development is the new norm. Core building blocks for this governance component are:

- **Financing processes & allocations (Block 7).** Strengthen allocation of development budget for risk informed development projects and policies alongside the ability to identify, increase and manage funds for risk (including climate finance).

  For example, in Tonga a Climate Finance and Risk Governance Assessment (CFRGA) was carried out by the Ministry of Finance and National Planning, helping to integrate risk into the budgeting and planning process via the 'One-Tool Process.'

- **Planning processes & tools (Block 8).** Embed risk and link bottom-up/top-down development planning processes and procedures (e.g. project design, assessment/screening, planning, review, implementation, monitoring and evaluation) and accompanying tools (e.g. screening guidelines, project templates) as a basis for more risk informed projects and policy implementation.

  For example, in Slomon Islands the Ministry of Development Planning (MDPAC) incorporated risk into its Medium Term Development Planning Process (MTDP). Sector planners are now trained to risk screen MTDP project proposals prior to submission to MDPAC.

- **Products (Block 9).** Strengthen key development products (such as national, sector or community development plans; monitoring and evaluation reports; or regional development profiles) to ensure they address and incorporate risk in support of more resilient outcomes.

  For example, in Tonga risk was included as an integral component of the Tonga Agriculture Sector Plan (TASP), which is being used to mobilise donor funding for more resilient agriculture.

This component, resonates clearly with the FRDP, given that successful implementation of the FRDP goals will depend on strong partnerships, fostering cooperation at all levels and new networks and alliances.

> Risk governance aims to provide the enabling environment for risk informed development and therefore more resilient development outcomes.

4 | Country-led Resilient Development

KEY MESSAGES

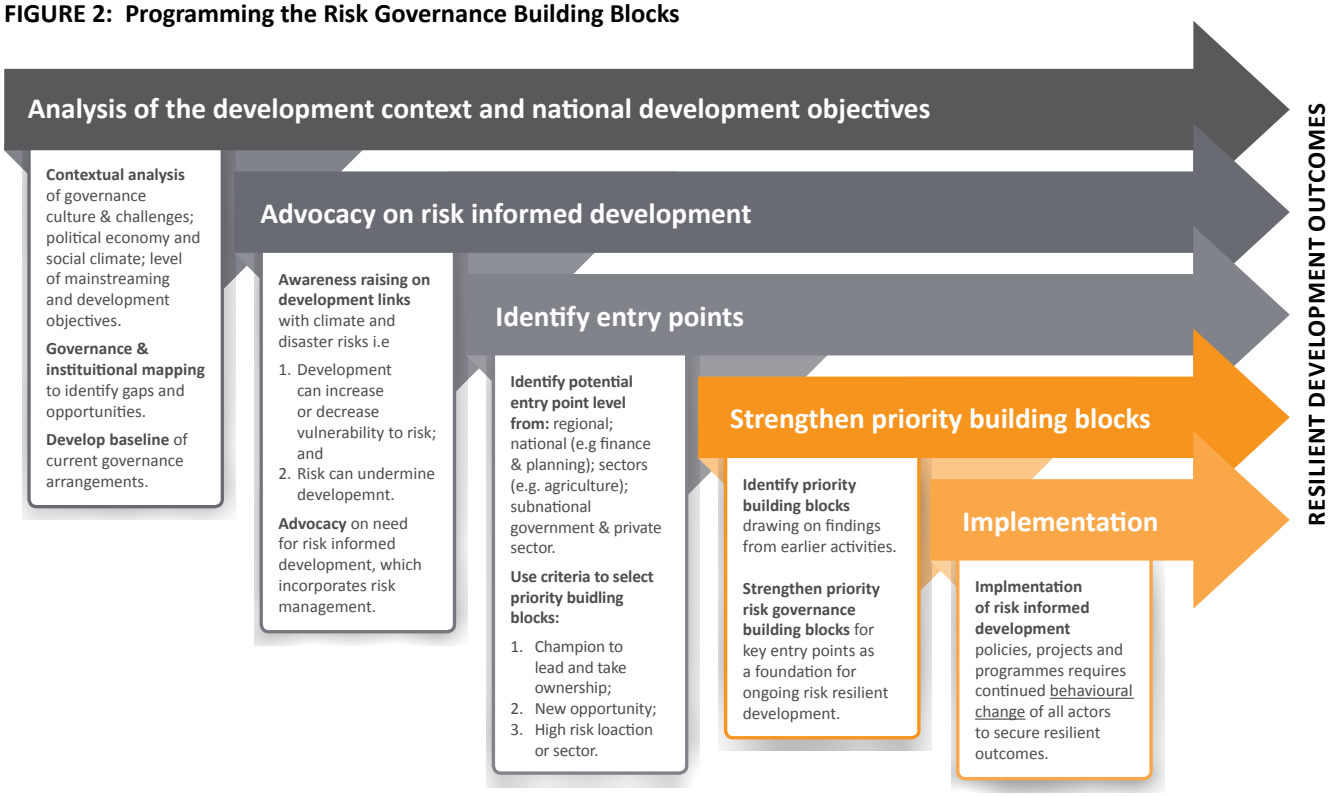
- Several countries in the region are leading the way with risk governance initiatives at national, sector and subnational levels.
- There is no 'one-size-fits-all,' and priority entry points for risk governance strengthening are generally determined by context and evolve over time.
- Risk governance initiatives are showing strong prospects for more resilient development outcomes, which can be replicated, sustained and are more permanent in the long term.

THE PROCESS OF RISK GOVERNANCE

Several countries are already leading the process of defining and implementing risk governance initiatives at all levels. They are embarking on a process of reform, by strengthening the risk governance building blocks in multiple 'entry-points.'

A general order for programming the risk governance building blocks for resilient development is emerging based on experiences in selected countries *(see Figure 2)*. These demonstrate that implementation of the risk governance building blocks needs to be driven by champions and fuelled by behavioural change in each of the entry points.

FIGURE 2: Programming the Risk Governance Building Blocks



Analysis of the development context and national development objectives

Establishing the political, economic and social context helps understand the drivers, incentives, motivations and challenges for risk informing national development objectives and the extent to which development policies and practices are risk informed. Central to this analysis are gender and social dimensions of risk and how these are being understood and addressed. A recent review of progress with Disaster Risk Governance emphasised the intersecting and dynamic nature of risk management and the need to situate support for disaster risk governance more clearly within a political economy analysis.[43] Similarly, analysing the risk governance deficits and challenges (e.g. the roles of different actors, institutional capacity and coordination mechanisms) provides a risk governance baseline against which future progress can be mapped.

Advocacy on risk informed development

Awareness raising on the risk/development interaction along with advocacy on the need for risk informed development, are fundamental for building political will and commitment and identifying government change agents or CCDRM champions in different entry points (i.e. sectors and geographical locations).

Identify entry points

Entry points are context specific and identified following context analysis. Some countries are working with multiple entry points either at: national level entry points (e.g. Solomon Islands finance and planning ministry); sector level (e.g. Tonga and the agriculture sector); c) sub-national level government (e.g. Vanuatu); and/or d) the private sector (e.g. Fiji or Solomon Islands). Specific criteria for selecting the most appropriate entry points has included: i) presence of a champion or leader; ii) whether new opportunities are presented (e.g. an update of a policy or planning guidelines); and iii) geographical areas or sectors that are high risk.

"National governments need to lead, sub-national governments need to be empowered and communities must benefit"

Christian Nielsen,
Executive Director (LLEE)

Strengthen priority building blocks

Context analysis highlights governance gaps and priority building blocks. There is no predetermined sequence for strengthening the building blocks and priority building blocks differ between entry points. In each entry point, practitioners are usually working on multiple building blocks simultaneously. Initiatives to strengthen the building blocks typically include:

1) new 'resilient development' or risk management positions created within government ministries linked to development (people); 2) stronger national coordination mechanisms across multiple sectors and (mechanisms); and 3) budgeting and planning processes that more visibly require risk to be included in decision making and resource allocations (processes).

Implementation

A strengthened enabling environment for risk informed development is not enough. Even if some building blocks (e.g. government risk management capacity and risk informed planning processes) are strengthened for key entry points (such as the subnational level), risk informed development projects still need to be delivered on the ground for more resilient outcomes. Thus the implementation or programming phase of risk informed policy and project cycles, is dependent upon sustained advocacy and behavioural change of key stakeholders (government, communities, development partners). This is needed to mobilise sustained support (resources, technical input) to operationalise policies and implement development activities and continually monitor and evaluate resilience outcomes.

Since 2013, a number of countries in the region have been testing the risk governance building blocks for resilient development. The experiences presented in this policy note are mainly from the Pacific Risk Resilience Programme (PRRP), which is providing a testing ground by working with Pacific governments in multiple entry points to strengthen risk governance. In time, other initiatives in the region will also be captured and shared. Some PRRP experiences are shared below by country practitioners.

SOLOMON ISLANDS: Managing risks 'from within'

The history of Solomon Islands has been punctuated with the impacts of natural hazard events, climate variability and change. Countries are seeing first-hand that development that does not take into account these potential impacts, can then lead to increased vulnerability to disaster events and climate change. For example, unplanned housing and home gardens along a number of main rivers and low lying coastal regions in Honiara, were severely damaged during the 2014 floods. The approach taken is for new government resilient development positions to mainstream risk into development 'from within' existing development mechanisms and processes, by strengthening multiple building blocks.

Solomon Islands Permanent Secretary for MDPAC, Shadrach Fanega sharing points from the NDS

Under the joint leadership of the Permanent Secretaries for environment (MECDM) and development planning (MDPAC), work has already started on developing human capacity for risk management across a number of government agencies (including national planning, the agriculture sector, the gender and social welfare ministry, and two provinces for more informed development planning. Moving forward, the Government, with support from UNDP and the World Bank, has also recently initiated a 'roundtable' across all government ministries and with development partners for coordinating on resilient development. This will identify and guide key risk governance strengthening initiatives, including institutional arrangements to integrate risk into development and explore climate finance options. This is being firmly anchored within the recently launched the risk informed National Development Strategy (NDS). Through these collective efforts risk is now being promoted as 'everybody's business' and as an integral part of development policy and practice.

"We need to work out ways to address these risks in each sector at all levels. Risk governance will deliver a more systematic approach to addressing the multiple risks to development"

Dr Melchior Mataki,
Permanent Secretary (MECDM)

KEY MESSAGES FROM THE EXPERIENCES IN SOLOMON ISLANDS:

- **Resilient development initiatives cannot be led by technical disaster and climate change line agencies alone.** Risk management has to be *'brought into'* into the core functioning of development across all sectors and layers of government and all stakeholders.
- **It is important to allow institutional arrangements for risk-informed development to grow 'from within' existing development arrangements**. This needs the buy-in of all stakeholders, so as to bind their actions towards more resilient outcomes.

VANUATU: 'overarching mechanism' for managing risks

Risk governance work in Vanuatu started substantively in 2013, with a national risk governance assessment (RGA), which looked into financing, governance structures, capacities, and legal frameworks. The RGA provided the advocacy platform for leadership on risk governance mainly through an overarching coordinating body for DRR and CCA – the National Advisory Board (NAB). It led to the formulation of the national Climate Change and Disaster Risk Reduction (CCDRR) policy; a road map for more effective access and management of climate financing; and the identification of entry points for mainstreaming risk into development. The RGA has helped to engage a broader range of stakeholders in this process of reform. Planning and finance agencies within Government are now integrating risk into development budget allocation via the Prime Minister's Officer (PMO).

"This is something new in Vanuatu, but puts the government in the driving seat"

Ben Tabi,
Decentralisation Manager (DLA)

Knowledge Hub Chairman and Secretary putting out Sandalwood seedlings for hardening.

At sub-national level, and through the leadership of the Department of Local Authority (DLA), ***'Risk Resilient Planning, Budgeting, Monitoring and Evaluation Guidelines'*** were development and are being used at community, Area Council and Provincial levels as a framework for risk informed development. These planning guidelines are increasingly being used to coordinate CCDRR initiatives by government and NGOs. These initiatives are being sustained by the provision of dedicated resilient development capacities, including new government posts within the DLA, provincial planning level, national planning (Department of Strategic Planning, Policy and Aid Coordination) and sectors (e.g. agriculture and social welfare/women's affairs).

KEY MESSAGES FROM THE VANUATU EXPERIENCES:

- **Vision for the future:** the National Advisory Board (NAB) for CCDRR can become the vehicle to help integrate risk into all levels of development.
- **Sub-national and national linkages:** climate change and disaster risk management actions on the ground need to be connected to national decision making through sub-national level governance mechanisms.

TONGA: top-down and bottom-up approaches to managing risks

Risk governance work in Tonga has started at the community level and is linking up to national level development planning. The Government of Tonga, through the Ministry of Internal Affairs (MIA) and its Department of Local Government (DLA), has embarked on a bottom-up approach to development through

> *"Risk governance forms the building blocks for 'self-reliance' in Tonga'"*
>
> **Ana Bing Fonua**,
> Chief Executive Officer (MIA)

a community development planning (CDP) process. Climate and disaster risks have become an integral part of the development process from the 'grass-roots' up. Risk informed community priorities, through the CDPs, are now being elevated to national level and are being used as a basis for allocating budget. This approach to development has highlighted a shift from an administrative to a more 'community-driven' approach to dealing with disaster and climate change issues. This has been supported by dedicated human capacity - 'resilience officer' positions - at both national and island levels. For instance, in 'Eua Island, the CDP process has led to the construction of several community centres doubling up as evacuation centres, which have been built to withstand TC category 3 winds and include adequate access points for people with disabilities. Other CDPs have led to the provision of water tanks for drought prone areas.

At the national level, the Government has undertaken a Climate Finance and Risk Governance Assessment (CFRGA). The recently endorsed assessment provides a roadmap and proposed institutional arrangements for integrating climate and disaster risk management, across all stakeholders (horizontally) but also with the considerable engagement of local level stakeholders (vertically). In this vein, the agriculture sector has taken a medium term approach to planning for the sector with the recent formulation of the Tonga Agriculture Sector Plan (TASP). In this plan, all development goals can only be achieved if they pass certain criteria for climate resilience. The CFRGA also included a substantive analysis of gender and protection dimensions to managing risks.

Community Development Consultation undertaken in Haapai, Tonga.

Work is already underway by MIA in Ha'apai (following TC Ian) to help communities identify gender and protection issues themselves in the context of disasters and to refer these through formal and informal channels.

KEY MESSAGES FROM THE TONGA EXPERIENCES:

- **Bottom-up and top-down approaches** to risk management need to be linked in order to be sustainable.
- **Gender and protection issues** are 'central' to the very definition of risk relating to disasters and climate change.

Community participants in a Western Division community training on integrating risk into community development plans in Fiji

FIJI: 'all stakeholder' approach to local level risk management

Risk governance is seen to be highly relevant in the Fiji context and strengthening has started significantly at sub-national level. The approach is built around the vision of 'safe and resilient' communities through partnerships with all stakeholders. In the Western division, for instance, the process for community development – the Community Capacity Building (CCB) – now includes risk. This approach is supported by the inclusion of new human capacities - 'resilience' officers to undertake this task on an ongoing basis. Community development plans that are risk informed, are now attracting financing from both government and partner funding streams, such as the GEF Small-Grants Programme (SGP).

> *"Risk governance... is a perfect fit for 'building self-reliance' in Fiji"*
>
> **Dr Josefa Koroivueta,**
> Permanent Secretary
> (Ministry of Women, Children and Poverty Alleviation)

The Community development planning process includes all sectors and partners active at the community level. Engaging 'all stakeholders' is seen to be critical in understanding and addressing risks. In the Western Division local government has proactive engaged the private sector. As noted by the Commissioner Manasa Tagicakibau: *'the establishment of partnership programs with the private sector will support innovative efforts of Government to empower our communities to identify risks and needs and to formulate and implement sustainable response mechanisms.'* The Commissioner Western's office has worked in partnership with a tourism operator to help communities build food banks as a preparedness measure for cyclones and this was applied in the recent aftermath of TC-Winston. This approach to community development and private sector engagement is now being replicated in other parts of the Yasawas. The strategy for the future is to develop a model of a 'safe and resilient' community and link this upwards through the CCB process, to sub-national and national development planning and budgeting processes.

KEY MESSAGES FROM THE FIJI EXPERIENCES:

- **Climate and Disaster risk management are not stand alone concepts** but need to be seen as priorities at the centre of development planning.
- **Human capacity development of CCDRM skills within government development agencies** needs to be continuous to ensure sustainability during transfers and movements of risk informed personnel.

> There is already evidence that risk governance strengthening approaches are providing a stronger foundation for resilient development in the Pacific.

List of Acronyms and Key Concepts

CEO	Chief Executive Officer
CCA	Climate Change Adaptation
CCB	Community Capacity Building
CCDRM	Climate Change & Disaster Risk Management
CCDRR	Climate Change & Disaster Risk Reduction
CDP	Community Development Planning
CFRGA	Climate Finance & Risk Governance Assessment
DLA	Department of Local Authority
DRR	Disaster Risk Reduction
FAO	Food and Agriculture Organisation
FRDP	Framework for Resilient Development in the Pacific
GEF	Global Environment Facility
GIZ	German Society for International Cooperation
IRCG	International Risk Governance Council
JNAP	Joint National Action Plan
MAL	Ministry of Agriculture and Livestock
MDPAC	Ministry of Development Planning & Aid Coordination
MECDM	Ministry of Environment, Climate Change, Disaster Management and Meteorology
MIA	Ministry of Internal Affairs
NAB	National Advisory Board
PMO	Prime Minister's Office
PRRP	Pacific Risk Resilience Programme
PRP	Pacific Resilience Partnership
TASP	Tonga Agriculture Sector Plan
UNDP	United Nations Development Programme

Climate Change. A change of climate, which is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and which is in addition to natural climate variability observed over comparable time periods (UNFCCC, 1992).

Climate Risk. A risk to the ongoing integrity and/or functionality of natural and/or human systems as a result of climate change (FRDP, 2016).

Enabling environment. The context that stimulates, guides and supports effective and efficient functioning of institutions and individuals (adapted from FRDP, 2016).

Disaster Risk. The potential disaster losses, in lives, health status, livelihoods, assets and services, which could occur to a particular community or a society over some specified future time period (UNISDR, 2009).

Disaster risk management. The systematic process of using policies, plans, organisations and operational skills, capacities and actions to lessen the adverse impacts of hazards, as well as the possibility of a disaster (adapted from UNISDR, 2009)

Disaster risk reduction. The systematic approach to identifying, assessing and reducing the risk of a disaster (UNISDR, 2009).

Disaster risk governance. The way in which public authorities, civil servants, media, private sector, and civil society at community, national and regional levels cooperate in order to manage and reduce disaster and climate related risks. This means ensuring that sufficient levels of capacity and resources are made available to prevent, prepare for, manage and recover from disasters. It also entails mechanisms, institutions and processes for citizens to articulate their interests, exercise their legal rights and obligations, and mediate their differences" (UNDP, 2013)."

Governance. The mechanisms, processes, and institutions though which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences (UNDP, 2013)

Hazard. A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage (UNISDR).

Mainstreaming. A process for incorporating risk considerations into existing development systems, priorities, capacities, policies, processes and practices (IIED, 2014).

Resilience. The ability of a system, community or society exposed to hazards, and/or climate change to resist, absorb, accommodate and recover from the consequences of a hazard event of climate change in a timely and efficient manner (UNISDR, 2009)

Resilient development. Development processes and actions that address the risks and impacts of disasters and climate change while progressing to stronger and resilient communities (FRDP, 2016).

Risk informed development. Development that has risk management as an integral part of its systems, priorities, capacities, policies, processes and practices.

Risk governance. The totality of actors, rules, conventions, processes and mechanisms and is concerned with how relevant risk information is collected, analysed and communicated, and how management decisions are taken (IRGC, 2008)

Notes

1 Note the focus is on disaster and climate resilient development (rather than conflict resilience)

2 UNDP (2016b) *Risk Governance Building Blocks for Resilient Development in the Pacific: Analytical Piece for the Pacific Risk Resilience Programme (PRRP)*

3 FRDP (2016) *Framework for Resilient Development in the Pacific: An Integrated Approach to Address Climate Change and Disaster Risk Management, 2017-2030*

4 This is a single integrated regional framework, which succeeds two separate frameworks: i) the Pacific Disaster Risk Reduction and Disaster Management Framework for Action (RFA); and ii) the Pacific Islands Framework for Action on Climate Change (PIFACC).

5 World Bank/GFDRR (2012) *Acting Today for Tomorrow: A Policy Practice Note for Climate and Disaster Resilient Development in the Pacific Islands Region*

6 USAID (2014) *Climate-Resilient Development: A Framework for Understanding and Addressing Climate Change*

7 UNDP (2010) *Mainstreaming Disaster Risk Reduction into Development at the National Level: A Practical Framework:* UNDP, Geneva.

8 SOPAC & UNDP (2011) *An Internal Review of the Regional Disaster Risk Management Mainstreaming Programme in the Pacific.*

9 This reflects the SAMOA Pathway and is consistent with the post 2015 global agendas (e.g. the Sustainable Development Goals, the new Paris Agreement adopted under the UNFCCC, the Sendai Framework for DRR, and the World Humanitarian Summit Commitments to Action) which hold significant promise for a more integrated approach.

10 FRDP (2016), first Guiding Principle, p.13

11 See: *"Risk informed Development: A tool for Mainstreaming DRR and CCA into Development" (UNDP, 2016) -in draft.*

12 UNDP (2010) - *see above*

13 UNU-EHS (2016) *World Risk Report 2016*

14 OECD (2009) *Integrating Climate Change Adaptation into Development Co-operation: Policy Guidance*

15 FRDP (2016) - *see above*

16 IIED (2014) *Climate Resilience: from Mainstreaming to "Main-streamlining":* United Kingdom

17 IIED (2014) – see above & UNDP (2015) *Strengthening Disaster Risk Governance: UNDP Support During the HFA Implementation Period 2005-2015:* UNDP, New York

18 Hay, J (2012) *Disaster Risk Reduction and Climate Change Adaptation in the Pacific: An Institutional and Policy Analysis*

19 OECD (2009) - *see above*

20 USAID (2014) – *see above*

21 IIED (2013) *A framework for Mainstreaming Climate Resilience into Development Planning*

22 Scheuer, J (2016) *From Sendai to Paris: Risk Informed Development UNDP*

23 FRDP – *see above*

24 PRRP – all case studies in this policy brief are taken from PRRP UNDP

25 IIED (2013) - *see above*

26 International Alert (2008) *Building Institutional Capacity for Conflict-Sensitive Practice: The Case of International NGOs*

27 IIED (2013) - *see above*

28 ODI (2012) *Resilience: A risk Management Approach:* ODI Background Note.

29 FRDP (2016) - *see above*

30 UNDP (2015) – *see above*

31 FRDP (2016) - *see above*

32 Hay (2012) - *see above*

33 ADB (2012) *Mainstreaming Gender Equality: A Road to Results or a Road to Nowhere: Operations Evaluation Department*

34 IRGC (2008) *An introduction the IRGC Risk Governance Framework.* International Risk Governance Council: Switzerland.

35 UNEP (2011) *Effective national Environmental Governance – A Key to Sustainable Development.* See also: Mackay, F and Bilton, K (2003) *Learning from Experience: Lessons in Mainstreaming Equal Opportunities*

36 UNISDR (2015) *Sendai Framework for Disaster Risk Reduction 2015-2030*

37 Aysan, Y. and Lavell, A. (2014) *Disaster Risk Governance during the HFA Implementation Period: Global Thematic Review.* Background Paper prepared for GAR15, commissioned by UNDP. New York. IIED (2013)

38 For more information, see: *UNDP PRRP (2016) Risk Governance Building Blocks for Resilient Development in the Pacific: An Analytical Piece.*

39 The Pacific Resilience Partnership (PRP) will bring together a variety of different stakeholder groups and communities of practice on climate change, disaster risk management and sustainable development: to share experiences and lessons learned; harmonise approaches; and, collaborate more closely in working towards the shared, collective goal of building climate and disaster resilience in the Pacific.

40 FRDP Guiding Principle 3 reiterates the need to *"protect human rights, such as the right to life, safety, dignity, non-discrimination, and access to basic necessities, to ensure that every person has equitable access to humanitarian and development assistance, according to his or her specific needs"* (p.13)

41 See http://www.cadri.net/ for more information on the Capacity for Disaster Reduction Initiative (CADRI).

42 See IFRC and UNDP (2015) *The Checklist on Law and Disaster Risk Reduction: An Annotated Outline*

43 UNDP (2015) *Strengthening disaster risk governance: UNDP support during the HFA implementation period 2005-2015:* UNDP, New York

PRRP

PACIFIC RISK RESILIENCE PROGRAMME

For more information, contact:

Pacific Risk Resilience Programme (PRRP)

UNDP Pacific Office in Fiji

Private Mail Bag, Suva, Fiji @ prrp@undp.org (679) 3227 541

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