



## SUMMARY OF PROGRESS IN VANUATU (2016)


- **Overall risk governance strengthening progress for 2016 is scored 4.2 (intermediate), with a change of 2.5 (medium/major) against the 2013 baseline.**
- **Most significant progress is for the processes governance component, scoring 4.6 (intermediate), with a change of 2.9 (medium/major) against the 2013 baseline.**
- **Most significant progress is for the sub-national and agriculture entry points, with progress rated as 4.2 (intermediate) and 4.7 (intermediate) respectively.**

**This report shares PRRP and partner progress for 2016 in Vanuatu.** It firstly summarises risk governance strengthening progress for the three main governance components (people, mechanisms and processes) including the development of risk informed (or risk integrated) governance outputs such as policies, processes and plans for key entry points (i.e. national, subnational and agriculture sector). It then shares progress implementing risk informed governance outputs in support of risk informed development practice (i.e. activities, projects and programmes). In future reports, progress towards resilience outcomes and capacities will be shared.

**Risk governance strengthening progress is evident for all three governance components** (e.g. people, mechanisms and processes) against the 2013 baseline in Vanuatu, although the most significant progress is with risk informing processes and products (a change score of 2.9) followed by mechanisms (a change score of 2.3 - see Table 1). The former in part is attributed to the finalisation, piloting and training on the new risk informed subnational development planning process; and the preparation of risk informed Area Council and Community Development Plans.

**Table 1: Benchmarking progress in Vanuatu**

Risk governance component	Risk governance baseline (end 2013)	Risk governance strengthening progress (end 2016)	Risk governance change
<b>PEOPLE</b> 	<ul style="list-style-type: none"> <li>• <b>Limited leadership, championing or dedicated capacities</b> for risk management within government development agencies.</li> <li>• <b>Ad-hoc &amp; stand-alone training.</b></li> <li>• <b>No systematic collection, sharing or communication</b> of user friendly risk knowledge, data or maps.</li> </ul>	<ul style="list-style-type: none"> <li>➤ <b>Leadership, engagement &amp; commitment strengthened</b> for subnational and agriculture sector.</li> <li>➤ <b>Four national &amp; two subnational resilient development posts</b> established/continued.</li> <li>➤ <b>DLA training workshops held in Sanma, Malampa, Shefa &amp; Tafea</b> for Provincial Council officials and Area Council Secretaries.</li> <li>➤ <b>Multiple agriculture sector training workshops undertaken</b> on risk management &amp; DRR in agriculture.</li> <li>➤ <b>Risk mapping for subnational development supported</b> although has faced data constraints.</li> <li>➤ <b>DLA supported to coordinate “hubs of communication” with NGOs.</b></li> <li>➤ <b>Three new community food security “Knowledge Hub” and network</b> established to support resilient farming.</li> </ul>	<b>MEDIUM (2.2)</b>  <i>Major changes towards political commitment, capacities, and risk knowledge for risk informed decision making &amp; behaviour change</i>
<b>MECHANISMS</b> 	<ul style="list-style-type: none"> <li>• <b>National Advisory Board on CC and DRR (NAB)</b> created in 2012 but duplicated functions, dominated by MCC, and limited link to development policy making.</li> <li>• <b>Sub-national decision making concentrated</b> at provincial level.</li> <li>• <b>Gap between short-term response</b> and longer term recovery planning.</li> </ul>	<ul style="list-style-type: none"> <li>➤ <b>Ongoing support to refine NAB secretariat</b> and project management arrangements to provide a more coordinated approach on CCDRM.</li> <li>➤ <b>Roles and responsibilities</b> of subnational government in sub-national planning clarified.</li> <li>➤ <b>Institutions in support of risk informed Community Development Planning (CDP)</b> process strengthened.</li> <li>➤ <b>Risk Resilient Unit (RRU)</b> established in partnership with FAO and GIZ.</li> <li>➤ <b>An informal network of NGOs</b> created by DLA to harmonise development planning and explore partnerships.</li> <li>➤ <b>New RRU post supported to increase collaboration</b> with regional and national partners.</li> </ul>	<b>MEDIUM (2.3)</b>  <i>Major changes to risk informing the policy/legal framework, partnerships &amp; institutional arrangements for risk, &amp; increasing</i>

	<ul style="list-style-type: none"> <li>Limited private sector engagement in risk management.</li> <li>NGOs involved in CCDRM but bypassed local government and little coordination.</li> </ul>	<ul style="list-style-type: none"> <li>M &amp; E policy drafted for the National Strategic Development Plan and broadly incorporates risk considerations.</li> <li>Integrated National Climate Change and Disaster Risk Reduction (CCDRR) policy finalised</li> </ul>	<i>coordination across the humanitarian-development gap</i>					
<b>PROCESSES &amp; PRODUCTS</b> 	<ul style="list-style-type: none"> <li>Limited interest or activity for climate financing.</li> <li>Development planning top-down with no linkage between community or ward needs</li> <li>Risk not incorporated into national budgeting or planning processes (e.g. project cycle) &amp; products (e.g. plans).</li> <li>CCDRM investment usually “ad-hoc” &amp; NGO led</li> <li>No coordinated or systematic integration of risk into sector plans.</li> <li>No subnational development plans prepared.</li> </ul>	<ul style="list-style-type: none"> <li>Climate Finance Working group established.</li> <li>Ongoing support to ensure risk incorporated into budget allocations and project profile guidelines/tools.</li> <li>New risk informed planning process and guidelines for local government finalised.</li> <li>New RRU post prepared multiple tools e.g. assessment guides, standard operating procedures for DRM.</li> <li>Draft National Sustainable Development Plan (2016-30) formulated in line with SDGs and CCDRR considerations.</li> <li>Ministries supported to risk inform Corporate Plans – Ministry of Internal Affairs (MIA) and Ministry of Climate Change (MCC).</li> <li>Development of Area Council and Community Development Plans supported</li> <li>New RRU post prepared several sector plans e.g. CCDRR Implementation Plan and national contingency response plan for cyclones and flooding.</li> <li>Three school safety plans developed for Sanma province.</li> </ul>	<b>MEDIUM (2.9)</b>  <i>Major progress towards risk informing development processes &amp; plans with early progress towards implementation.</i>					
<b>Change scores</b>	0 -1.0	None (limited)	1.1 -2.0	Small (minor)	2.1 -3.0	Medium (major)	3.1	High (significant)

Risk governance strengthening progress scores for Vanuatu show that all three entry points (national, subnational and agriculture sector) are at the intermediate stage (see Table 2). The most progress is evident for the agriculture sector, given the new Risk Resilience Unit (RRU) and resilient development post within DARD (*progress score of 4.7*). Similarly, progress risk informing the sub-national planning process has contributed to the high progress score at the sub-national level (*progress score of 4.2*). Progress is slightly less at the national level.

Table 2: Benchmarking progress in Vanuatu by entry point

ENTRY POINT	PROGRESS	RISK GOVERNANCE COMPONENT						
		People	Mechanisms	Processes	ALL			
National	Baseline	1.3	2.0	1.0	1.6			
	2016	3.3	5.0	2.3	3.6			
	Change	2.0	2.5	1.3	1.9			
Subnational	Baseline	1.3	1.5	1.5	1.4			
	2016	3.7	3.5	5.5	4.2			
	Change	2.3	2.0	4.0	2.8			
Agriculture	Baseline	1.3	2.9	2.5	1.9			
	2016	3.7	4.5	6.0	4.7			
	Change	2.3	2.5	3.5	2.8			
ALL	Baseline	1.3	2.0	1.7	1.7			
	2016	3.6	4.3	4.6	4.2			
	Change	2.2	2.3	2.9	2.5			
<b>Progress scores</b>	1.0 -2.9=	Basic	3.0 -6.1=	Intermediate	6.0 -9.0=	Advanced		
<b>Change scores</b>	0 -1.0	None (limited)	1.1 -2.0	Small (minor)	2.1 -3.0	Medium (major)	3.1	High (significant)

Implementation of risk governance strengthening outputs (e.g. CDPs) is still in its infancy in Vanuatu, but there have been early successes during 2016. The focus has been on putting in place the enabling risk government environment (i.e. capacity and, leadership) to support risk informed decision as well as the behavioural changes needed to sustain change and ensure risk management is factored into routine development practice. Early evidence of implementation progress includes resource mobilisation, for example grant applications for climate resilient seeds and farmer field schools, or for on-going DRR activities (and possibly staff) for the RRU.

# 1. Introduction

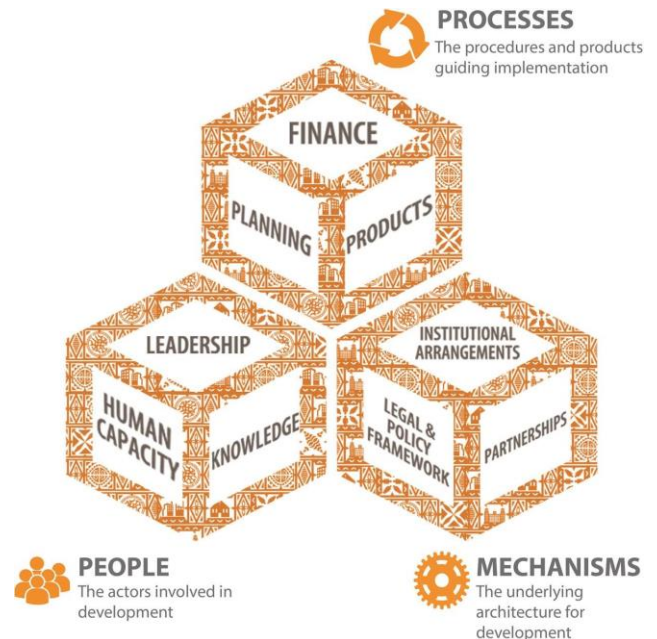
The Pacific Risk Resilience Programme (PRRP) is helping to promote and strengthen risk governance as a foundation for risk informed development and ultimately to improve the resilience of Pacific communities to climate change and disasters.

Risk governance is defined as the enabling environment for risk informed decision making and implementation. PRRP is working with government partners in Vanuatu to strengthen the core components of governance - the people, mechanisms, and processes supporting development practice – to the specific requirements of risk management. Each of these three components of governance comprise several specific opportunities for risk governance strengthening known as the “risk governance building blocks<sup>1</sup>” (see Figure 1).

In Vanuatu, PRRP has been programming the risk building blocks for resilient development by: i) analysing the development context, national development objectives and preparing a risk governance baseline; ii) advocating on risk informed development; iii) identifying entry points; iv) strengthening priority building blocks; and v) implementing governance outputs (including risk informed development activities) for more resilient outcomes.

This report shares progress on PRRP and partner risk governance strengthening activities in Vanuatu over the past year (2016) set against a baseline prepared at the start of PRRP (end of 2013). It then documents progress towards implementation<sup>2</sup> of risk informed development outputs (e.g. policies, plans, projects) and in future years will map progress towards more resilient outcomes and capacities.

Figure 1: Risk Governance Building Blocks



## 2.2 Vanuatu Context

**Risk context.** In 2015, Vanuatu was struck by one of the worst disasters ever to hit the Pacific region, Tropical Cyclone Pam. Approximately 75,000 people (32 percent of the population) were left in need of emergency shelter and 96 percent of food crops in affected areas were destroyed. Subsequently, a strong El Nino event struck the Pacific (2015/6), bring dry conditions, which led to water shortages, food insecurity and health issues to Vanuatu, further exacerbating the impacts of TC Pam.

**Governance context.** A Risk Governance Assessment was undertaken in 2014 and provided the baseline at the governance baseline at the start of the programme as well as highlighting several risk governance gaps including leadership and institutional arrangements of the National Advisory Board (NAB). However, the political, economic and social context in Vanuatu is constantly changing, with knock-on impacts for the governance context within which PRRP and partners are working. This changing risk governance context has influenced progress in Vanuatu over 2016. For example, a change in leadership (e.g. DG Jotham -insert details), has changed the political commitment to a “development first” approach to risk - ???

<sup>1</sup> See: *Risk Governance Building Blocks for Resilient Development in the Pacific: A Policy Brief (October 2016): UNDP* (<http://www.preventionweb.net/publications/view/51325>)

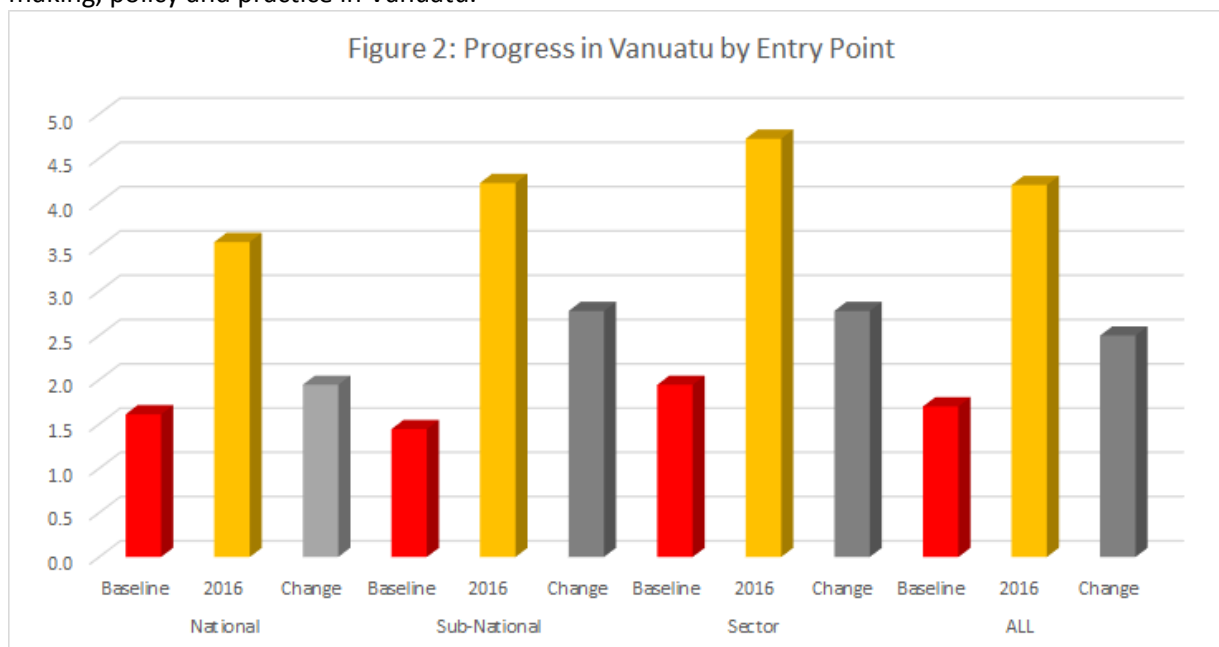
<sup>2</sup> This is mapped against key implementation steps: i) design/planning; ii) resource mobilisation; iii) delivery/operation; and iv) monitoring & evaluation (M & E).

## 2. Progress in Vanuatu 2016

### 2.1 Overview of Progress

**Governance strengthening progress for all three governance components (people, mechanisms and processes) is rated as intermediate (rather than basic)** and several risk governance strengthening outputs (including risk informed development policies, plans, project proposals) have been prepared (see *Table 3*). Risk governance strengthening highlights for 2016 are detailed in *Annex A* and include: i) DLA training workshops for Provincial and Area Council government officials on the risk informed sub-national guidelines; ii) launch of the Risk Resilient Unit (RRU) within the ministry for agriculture; and iii) introduction of three new community food security knowledge hubs and networks to support resilient farming.

**Good progress has been made in partnership with the Vanuatu, for all entry points over 2016, although progress is slightly less at the national level** (see *Figure 2*). The latter reflects difficulties engaging *[insert explanation]*. Governance strengthening progress is most significant for the agriculture sector (*change against the baseline was scored at 4.0*) and at the sub-national level (*a change score of 3.5*). Stronger risk governance for all these entry points, is providing the foundation or enabling environment (including behavioural changes) for routine risk informed decision making, policy and practice in Vanuatu.






**The transformation of risk governance outputs, such as risk informed policies, plans and processes into resilience outcomes is a long-term process and progress is context specific.** It is noticeable in Vanuatu, that progress towards implementation is taking time and requires risk governance strengthening for multiple building blocks. At this stage, a limited number of risk informed governance outputs have progressed to resource mobilisation (see *Figure 3*). Progress is notable in the agriculture sector, where the RRU has mobilised funding for DRR activities (and new capacity). Similarly, the M & E policy for the NSDP was only prepared in 2016, so it is too early to monitor implementation results.



Figure 3: Risk Governance Output Implementation Cycle

With the risk governance enabling environment continually strengthened, more significant implementation progress is expected for 2017.

**Table 3: Highlights for Vanuatu (2016)**

Risk governance component	Risk governance outputs	Implementation progress
 <p><b>PEOPLE</b></p>	<ul style="list-style-type: none"> <li>➤ <b>Political commitment &amp; engagement of subnational &amp; sector leaders</b> for risk informed development.</li> <li>➤ <b>Six resilient development posts</b> with in-house capacity on CCDRM.</li> <li>➤ <b>Four provincial, X Area Council &amp; 32 community training workshops</b> on risk informed development planning.</li> <li>➤ <b>Dialogue &amp; synergies between DLA, PMO, NDMO &amp; NSO</b> around subnational guidelines.</li> <li>➤ <b>Increased awareness and understanding of risk management</b> from multiple agriculture sector training workshops.</li> <li>➤ <b>Three new community Knowledge Hubs for information exchange &amp; training</b> on resilient agriculture.</li> <li>➤ <b>RRU monthly newsletters.</b></li> <li>➤ <b>Advisory messages on preparedness.</b></li> </ul>	<p><i>Early signs of risk informed <b>decision making and behavioural change</b> (which will sustain risk informed development) with new posts, champions, political commitment and knowledge.</i></p> <ul style="list-style-type: none"> <li>➤ <i>For example, risk informed decision making is now widespread in the agriculture sector (a <b>better example?</b>)</i></li> </ul>
 <p><b>MECHANISMS</b></p>	<ul style="list-style-type: none"> <li>➤ <b>More functional NAP</b> for risk informed developmental.</li> <li>➤ <b>Operational RRU bridging transition</b> between response-recovery-development.</li> <li>➤ <b>Informal network of NGOs.</b></li> <li>➤ <b>Regular Food Security and Agriculture Cluster (FSAC) meetings</b> (bi-monthly).</li> <li>➤ <b>M &amp; E policy for NSDP, CCDRR policy, Meteorology &amp; Climate Change Bill.</b></li> </ul>	<p>Pockets of progress, with new institutional arrangements being implemented:</p> <ul style="list-style-type: none"> <li>➤ <i>For example, the new RRU is now operational and has funding <b>???</b> (<b>resource mobilisation</b>).</i></li> </ul>
 <p><b>PROCESSES &amp; PRODUCTS</b></p>	<ul style="list-style-type: none"> <li>➤ <b>Climate Finance Working Group.</b></li> <li>➤ <b>Updated national planning tools</b> including risk (?).</li> <li>➤ <b>Risk informed sub-national planning process</b> and guide (<a href="#">hyperlink to press release</a>).</li> <li>➤ <b>Risk informed agriculture project proposals.</b></li> <li>➤ <b>Risk informed NDSP.</b></li> <li>➤ <b>Risk informed Corporate Plan for MCC</b></li> <li>➤ <b>Risk informed Strategic Plan for RhHRU.</b></li> <li>➤ <b>Two RRU grant applications:</b> i) distribution of climate resilient seeds; ii) farmer field schools.</li> </ul>	<p>Evidence of progress towards resource mobilisation</p> <ul style="list-style-type: none"> <li>➤ <i>RRU Corporate Plan is being used to obtain finding e.g. GIZ have committed \$62,000 for ongoing DRR activities and possibly staff.</i></li> </ul>

## 2.2 Key achievement by entry point

**In Vanuatu, progress has been particularly significant at national and sector levels over 2016.** This section shares progress across all three entry points (national, sub-national and agriculture sector) against the 2013 baseline, for risk governance outputs and progress towards implementation of these outputs.

**NATIONAL LEVEL: progress rating 3.6 (intermediate)**

**At the start of the programme, (mid 2013), there was no real integration of climate and disaster risk into national budgeting processes, tools or products.** Similarly, there was limited national understanding, knowledge, leadership, political commitment, advocacy or capacities for risk informed development. Climate change and disaster hazards were dealt with in “silos” by the Ministry of Climate Change (MCC) and National Disaster Management Office (NDMO) respectively. However, a Risk Governance Analysis (RGA) exercise in 2014, highlighted the importance of dealing with risk as a critical element of development rather than as a tokenistic add-on and identified key entry points for mainstreaming. The RGA further provided 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 also helped to

engage a broader range of stakeholders in this process of reform. The RGA further identified that the National Advisory Board NAB was duplicating functions of other agencies and was dominated by MCC. It therefore helped to support for dual ownership, align leadership and reinforce secretariat and project management arrangements in support of more coordinated approaches.

**During 2016, PRRP worked with its partners on several risk governance strengthening building blocks.**

It supported the MCC and the NAB taskforce prepare a National Climate Change and Disaster Risk Reduction (CCDRR) Policy and helped risk inform the new National Sustainable Development Plan (NDSP) (2016-30) and associated M & E policy. Similarly, the provision of in-house dedicated resilient development capacities or change agents including within the Department of Strategic Planning, Policy and Aid Coordination (DSPPAC), the NAB, and Ministry of Justice and Social Welfare has facilitated mainstreaming as per the development planning framework, initiated momentum for a more systematic risk informed local development planning process and the supported integration of risk into development budget allocation via the Prime Minister's Officer (PMO). *[need convincing on this point, has it happened?]*

*"This is something new in Vanuatu, but puts the government in the driving seat" Ben Tabi, Decentralisation Manager (DLA)*

**SUB-NATIONAL LEVEL: progress rating 4.2 (intermediate)**

**At the start of the programme, CCDRM investment at the local level was often "ad-hoc," usually dependent on external support (with limited engagement of local or national government) and not systematically coordinated.** Similarly, there was little devolution of authority for CCDRM and very little local government capacity. Separate fora for climate change and DRN existed, with often separate arrangements for government and Civil Society Organisations – with limited coordination/engagement between the two; and limited engagement of the private sector. Finally, sub-national decision making was concentrated at the provincial level, with very coordination with sector, Area Council or national planners; and sub-national development planning was top-down. The RGA further provided the advocacy platform for leadership and ownership within the Department of Local Authorities (DLA).

**Over the course of 2016, PRRP with support from the two new subnational posts has engaged with subnational leadership** including the Provincial Technical Advisory Committee (TAC) and Area Council Secretaries to clarify roles and responsibilities and secure local ownership of the new risk informed sub-national planning process including the recently finalised "risk informed subnational planning guidelines." These are waiting endorsement. Training workshops were held by DLA (in partnership with CARE) in Sanma, Malampa, Shefa and Tafea for Provincial Council officials and Area Council Secretaries on the risk informed planning process including risk screening of development priorities (capacity). In addition, support has been given to Community Development Committees to increase their involvement in the development of risk informed Community Plans (CDPs). The guidelines were pilot-tested at the Area Council and village level in four provinces and seven ACs; resulting in one Area Council Development Plan and 32 CDPs over the course of the year (products). The DLA has also created an informal network of NGOs to harmonise development planning work at subnational level and to ensure that NGOs work with, rather than bypass government systems (institutional arrangements). The DLA is also exploring further partnerships to replicate subnational planning (e.g. UNDAF). The next step is to secure implementation of CDP identified activities. For instance, *any examples we can share of implementation?*

**AGRICULTURE SECTOR: progress rating 4.7 (intermediate)**

**At the start of the programme, few sectors had CCDRM elements in their policies, strategies, plans, processes or activities and there was little in-house CCDRM expertise.** In addition, institutional arrangements and the role of sector agencies following a disaster was ambiguous with little coordination between stakeholders. Similarly, a gap existed between short-term response, recovery and long term development planning with few links between sectors and the Department of Strategy, Policy, Planning and Aid Coordination (DSPPAC).

**During 2016, support for the Director General of Agriculture and the Extension Service Director has galvanised leadership, built capacities and established institutional arrangements for risk management** at the national and provincial level (leadership). At the start of the year, the new Risk Resilient Unit (RRU) within the Department of Agriculture and Rural Development (DARD) was launched (**in 2016??**) and a new resilient development post recruited, providing in-house capacity for risk management (capacity). Capacity development has been strengthened for risk management through multiple agriculture sector training workshops including: i) four training workshops in all provinces and Departments on DRR in agriculture; ii) extension officer training in nursery and EL Nino risk management; iii) training on undertaking baseline surveys; and iv) training of extension officers on risks from natural hazards (e.g. drought and cyclone). Similarly, RRU has worked proactively with internal and external partners to share and disseminate information including a monthly newsletter and send advisory messages on how to prepare for the cyclone season and manage drought (knowledge). To develop capacity and risk knowledge at the community level, three new Knowledge Hubs were established (linked to Area Council Development Plans for food security), which also help to improve communication between farming communities and agriculture extension officers and support regular information exchange and training (via a demonstration plot) on agriculture resilience.

**Progress strengthening the first governance component (people) and in particular strengthening political commitment has provided support for risk informing governance mechanisms.** Of note, is the establishment of the RRU within DARD to coordinate and oversee food security response and recovery and to ensure a more seamless integration into longer term agriculture development initiatives (therefore helping to bridge the humanitarian-development gap) (institutional arrangements). This unit was established in partnership with FAO and GIZ. PRRP support via the new post in RRU has led to the following activities: i) the Food Security and Agriculture Cluster (FSAC) meets regularly (approximately two times a year) and there is good collaboration between the partners and the MALFFB; and ii) there is strong support from the regional cluster (e.g. FAO & WFP). Similarly, support through the new post in RRU has resulted in a number of new or updated processes or operating procedures for MALFFB, including standard operating procedures for DRM; a food assistance SOP; and revision of the rapid technical assessment process for the sector (planning processes). Finally, support has also resulted in the development of sector plans (e.g. *CCDRM implementation Plan* and a *National Food Security and Agriculture Contingency Response Plan*) (products).

**Progress towards implementation of risk informed policies, processes, tools, plans has reached resource mobilisation stage** for the sector. For example, RRU have applied for grants to provide climate resilient seeds and farmer field schools. Similarly, it has also successfully secured a grant from GIZ for on-going DRR activities and possibly more staff (USD 62,000).

### 3. Lessons Learnt

Several challenges and success factors have been identified by PRRP and its partners in Vanuatu. These relate primarily to risk governance strengthening, although implementation lessons are starting to emerge.

**Key risk governance strengthening challenges identified during 2016 are varied, but relate to a need to link governance strengthening activities at all levels.** Notably, the progress made on risk for all governance components (e.g. people, mechanisms, processes) at the subnational level, needs to be linked to sector, subnational and agriculture entry points (e.g. the private sector, NGOs). For example, linking the “bottom-up” risk informed planning (which is based on community priorities) to national planning and budget allocations is an ongoing challenge.

**The past year has highlighted several success factors for both governance strengthening and implementation of risk informed governance outputs.** These include galvanising political commitment immediately following a disaster (disasters reveal weaknesses, which create space for robust institutional and policy reform); capitalising on initial donor attention for recovery funding; and ensuring the availability of good quality data and appropriate information management. *[others?]*

**Opportunities for replicating and scaling up<sup>3</sup> risk governance strengthening activities in Vanuatu to support sustainability and lasting benefits beyond the lifetime of the programme** are emerging. These include:

- *Identifying “evangelists to preach our message”* and influence long-term and day-today adoption of risk informed tools and processes.
- *Strengthening ownership.* For example, the Community Development Planning Guidelines have not been used in provinces outside of PRRP target provinces and needs ownership and leadership at the national level (e.g. NAB) to support replication elsewhere. *[is this right? Other ideas]*
- *Institutionalising risk informed mechanisms and processes.* For example, including the risk informed planning process in subnational legislation. *[is this right?]*

**Table 4: Outstanding challenges in Vanuatu**

Building Block	Governance & implementation challenges & Success Factors
Leadership	<ul style="list-style-type: none"> <li>• Galvanising political commitment immediately following a disaster.</li> </ul>
Capacity	<ul style="list-style-type: none"> <li>• Insufficient consideration of GSI.</li> <li>• Limited capacity and resources for risk informed development planning at subnational level.</li> </ul>
Knowledge	<ul style="list-style-type: none"> <li>• Communication between stakeholders, particularly adequate sharing of information of knowledge products.</li> </ul>
Legislation	<ul style="list-style-type: none"> <li>• Standalone policies for climate/disaster risk separated from development policy (i.e. NSDP).</li> </ul>
Institutions	<ul style="list-style-type: none"> <li>• Lack of institutional platforms to formalise collaboration.</li> </ul>
Partnerships	<ul style="list-style-type: none"> <li>• Limited engagement of the private sector.</li> <li>• Need for more strategic and long term partners.</li> </ul>
Budgeting	<ul style="list-style-type: none"> <li>• Capitalising on initial donor attention for recovery funding.</li> </ul>
Planning	<ul style="list-style-type: none"> <li>• Linking subnational planning with national planning.</li> </ul>
Products	<ul style="list-style-type: none"> <li>• Limited provincial based sector plans especially for agriculture/education.</li> </ul>

<sup>3</sup> PRRP defines replication as copying a concept/model/approach/ activity (exactly) and transferring to a new geographical location or entry point (e.g. sector). Scaling-up means increasing the size or reach by expanding a tested or piloted model or concept to serve more people, a larger geographical area, a broader policy or a larger range of institutions. A different approach may be needed to achieve scale.



## Acronyms

<b>AC</b>	Area Council
<b>CC</b>	Climate Change
<b>CCA</b>	Climate Change Adaptation
<b>DRM</b>	Disaster Risk Management
<b>CCDRM or CCDRR</b>	Climate Change Disaster Risk Management/ Reduction
<b>DLA</b>	Department of Local Authority
<b>DSPPAC</b>	Department of Strategic Planning, Policy and Aid Coordination
<b>IRGC</b>	International Risk Governance Council
<b>MCC</b>	Ministry of Climate Change
<b>NAB</b>	National Advisory Board on Climate Change and Disaster Risk Reduction
<b>NAP</b>	National Action Plan on Disaster Risk Reduction and Disaster Management
<b>NAPA</b>	National Adaptation Programme for Action
<b>NDMO</b>	National Disaster Management Office
<b>PAA</b>	Priorities and Action Agenda for Vanuatu 2006-15
<b>PRRP</b>	Pacific Risk Resilience Programme
<b>PMO</b>	Prime Minister's Office
<b>VMGD</b>	Vanuatu Meteorology and Geo-hazards Department
<b>WB</b>	World Bank

***Update acronym list***

**Annex A: Risk Governance Strengthening Progress in Vanuatu by entry point (n= national; s= subnational; a= agriculture) [pink highlights, I have added/changed scoring– so need confirmation]**

Building blocks	Risk governance baseline (end 2013)	Baseline score			Risk governance strengthening activities (2016)	Progress score			Governance OUTPUTS	Change		
		N	S	A		N	S	A		N	S	A
1. Leadership	Limited leadership or championing of risk informed development.	1	2	1	<p>Ongoing strengthening of leadership of the Department of Local Authorities (DLA) within MIA, who have championed risk informed development at subnational level.</p> <p>Promoted leadership, engagement and political commitment at the local level e.g. Technical Advisory Groups (TAG) (Sanma), Area Councilor (North Efate) Area Council Secretaries (Sanma &amp; North Efate-Shefa, and ownership of the risk informed planning process by Area Council Secretaries (ACS) and Area Counselor.</p> <p>Supported Director General of Agriculture, &amp; Extension Service to build capacities &amp; establish institutional arrangements for risk management.</p>	3	4	3	<p>Champions for risk informed development particularly at subnational and sector levels.</p> <p>Engagement of provincial level leadership and provincial agriculture sector Extension Service Director and Officers.</p>	2	2	2
2. Human capacity	<p>No dedicated individuals for CCDRM (within core planning or finance ministries, sectors, or subnational government) with risk capacities and dedicated responsibilities for DRR and CCA.</p> <p>Ad-hoc and stand-alone training provided by regional organisations such as SPC, GIZ and SPREP etc.</p>	2	1	2	<p>Four resilient development national posts established: i) Department of Strategy, Policy, Planning and Aid Coordination (DSPPAC); ii) National Advisory Board; iii) Ministry of Justice and Social Welfare; iv) Risk Resilient Development Unit (RRU) within Department of Agriculture and Rural Development (DARD).</p> <p>Two subnational resilient development (provincial disaster) posts continued in 2016 in Sanma and Malampa (through NDMO). (with WB?)</p> <p>Several training workshops undertaken including: i) induction and on-going coaching for key posts; ii) DLA training workshops in Sanma, Malampa, Shefa and Tafea for Provincial council officials and ACS; iii) extension officer training in nursery and El Nino risk management, natural hazards &amp; baseline surveys; iv) community risk integration training for development planning.</p>	4	3	4	<p>Six posts created with in-house national, sector and local capacity to understand and manage risks.</p> <p>4 provincial, X Area Council &amp; 32 community training workshops on risk informed development planning.</p> <p>Multiple agriculture sector training workshops, including four training workshops in all provinces and Departments on DRR in agriculture.</p>	2	2	2

Building blocks	Risk governance baseline (end 2013)	Baseline score			Risk governance strengthening activities (2016)	Progress score			Governance OUTPUTS	Change		
		N	S	A		N	S	A		N	S	A
3. Knowledge & communication	<p>Hazard maps existed in VMGD and NDMO but not integrated with demographic or social data (from the Department of Lands) to identify exposure &amp; vulnerability; and limited qualitative information on village-level sensitivities that influence risk and resilience.</p> <p>Data in general not disseminated or translated into risk knowledge products.</p> <p>NAB only just created (the cross-sectoral platform for policy -making on CCDRM).</p>	1	1	1	<p>Risk mapping for subnational development supported but has faced data constraints, although community risk maps have been developed as part of risk integrated training.</p> <p>DLA supported to coordinate “hubs of communication” with NGOs on community development linked to DLA planning guidelines.</p> <p>RRU worked proactively to share and disseminate information including newsletter for agriculture cluster members and wider government &amp; collect data (e.g. Vulnerability and Capacity Assessment for the agriculture sector for each province).</p> <p>Supported establishment of community knowledge hubs and networks. These provide platforms and demonstration plots to improve understanding and communication between agriculture extension officers (AEOs) and support regular information exchange and training on agriculture resilience.</p>	3	4	4	<p>Dialogue &amp; synergies between DLA, PMO, NDMO, NSO around efforts to develop subnational guidelines.</p> <p>Three new community Knowledge Hubs established.</p> <p>RRU Monthly Newsletters.</p> <p>Advisory messages on cyclone and drought preparedness.</p> <p>Increased knowledge, risk data and use of risk-sensitive farming information &amp; technologies.</p>	2	3	3
4. Institutional arrangements	<p>A National Advisory Board on Climate Change and Disaster Risk Reduction (NAB) created in 2012 as an integrated high-level policy making and strategic advisory board. Perception that NAB duplicated functions and was dominated by MCC with limited link to overall development policy-making.</p> <p>Sub-national decision making concentrated at the</p>	2	1	1	<p>Ongoing support to refine NAB secretariat and project management arrangements to ensure link with development policy and practice; and qualify respective roles of PMO, NDMO and sectors for recovery.</p> <p>Clarified roles and responsibilities of subnational government e.g. the Provincial Technical Advisory Committee (TAC) in sub-national planning.</p> <p>Strengthened existing institutions in support of risk informed CDP process e.g. Community Development Committees.</p>	4	3	4	<p>Refined national institutional arrangements for risk informed development.</p> <p>Operational RRU bridging the transition between response-recovery-development.</p>	2	2	3

Building blocks	Risk governance baseline (end 2013)	Baseline score			Risk governance strengthening activities (2016)	Progress score			Governance OUTPUTS	Change		
		N	S	A		N	S	A		N	S	A
	<p><b>provincial level</b> and limited coordination with sector, Area Council and national level planning.</p> <p><b>Gap between short-term response</b> (led by NDMO) and longer-term recovery planning. Planning unit in PMO not involved in recovery assessments and limited funds available.</p>				<p><b>Supported shift in institutional arrangements for recovery</b> following TC Pam (e.g. centralisation and direction of recovery under PMO) including review of national disaster committee to bring in key sectors for longer term recovery planning (<b>did this happen?</b>).</p> <p><b>Risk Resilient Unit (RRU) established (in partnership with FAO and GIZ)</b> within DARD to coordinate and oversee food security response and recovery to ensure more seamless integration of risk into agriculture development.</p>							
<b>5.Partnerships &amp; coordination</b>	<p><b>Limited engagement of private sector</b> in adaptation or risk management.</p> <p><b>Separate fora for CC and DRM</b> and Civil Society-led networks separate from government.</p> <p><b>NGOs have been involved in CCA/DRR but often not in partnership or coordinated</b> with local governments; their projects often bypasses local government.</p>	2	1	2	<p><b>NAB Secretariat function established providing more coordinated approach</b> on CCDRM with partners on: i) climate financing; ii) COP22; and iii) project review and endorsements.</p> <p><b>DLA created an informal network of NGOs</b> to harmonise development planning work at subnational level and explore opportunities with new partnerships (e.g. UNCDF) to replicate the risk informed planning process.</p> <p><b>Supported RRU post to increase collaboration with partners</b>, link with regional partners (e.g. FAO/WFP) and arrange regular Food Security Cluster (FSAC) meetings. <i>[Leave out telecoms partnerships as reported last year?]</i></p>	3	3	4	<p><b>More functional NAB Secretariat.</b></p> <p><b>Informal network of NGOs.</b></p> <p><b>Regular FSAC meetings</b> (approximately 2 times per month).</p>	1	2	2
<b>6.Legal and policy framework</b>	<p><b>Separate but overlapping policies dealing with CCA and DRM</b> e.g. National Disaster Act (2006), National Action Plan on DRR (NAP 2006-16), and National Adaptation Programme for Action (NAPA 2007) with no</p>	1	1	1	<p><b>M &amp; E policy drafted for the National Strategic Development Plan</b> and broadly incorporates risk consideration (although further support is needed including development of risk indicators).</p> <p><b>Integrated National Climate Change and Disaster Risk Reduction (CCDRR) policy</b> finalised by the NAB policy task force.</p>	3	1	1	<p><b>M &amp; E policy</b> (incorporating risk).</p> <p><b>Standalone CCDRR policy.</b></p> <p><b>Meteorology and Climate Change Bill.</b></p>	2	0	0

Building blocks	Risk governance baseline (end 2013)	Baseline score			Risk governance strengthening activities (2016)	Progress score			Governance OUTPUTS	Change		
		N	S	A		N	S	A		N	S	A
	in-depth treatment of DRR or links to development.  <b>No systematic integration of CCDRM into sector policies.</b>				<b>Work underway to review the National Disaster Act</b> including putting in place provision for recovery coordination.							
<b>7. Budgeting/ financing processes &amp; tools</b>	Limited interest or activity in relation to climate financing.  <b>Development budget allocated without consideration to climate and disaster risks</b> and their management.  CCDRM investments at the sub-national level often “ad-hoc” dependent upon (I)NGOs, development partners and/or donors and not coordinated systematically against an analysis of risk.	1	1	1	<b>Climate Finance Working group established</b> (with representation from PMO, finance, MCC, NAB) following an assessment of institutional capacity as part of the 2014 RGA. It monitors and advises on actions as per recommendations from the National Implementation Entity (NIE) Roadmap for eligibility for direct access to international CCA funds.  <b>Ongoing work to ensure risk is incorporated into allocations of national budget</b> now the new DSPPAC post is in place.	3	2	4	<b>Climate Finance Working Group.</b>	2	1	3
<b>8. Planning processes &amp; tools</b>	<b>Disaster and risk not incorporated into national planning processes</b> including the project planning cycle.  <b>Development planning top-down.</b>  <b>Lack of linkages between community or ward needs and provincial/ national/ sectoral planning</b> on the other including CCDRM.	1	1	2	<b>Risk (and GSI) are being incorporated into the current project profile guidelines</b> and therefore the project cycle <i>[need update – used for 2017 proposals? Any risk training at DSPPAC?]</i> .  <b>New risk-informed planning process and guidelines for local government have been finalised</b> and awaiting endorsement. The guidelines were piloted tested at the Area Council and village level in four provinces and 7 ACs.  <b>The new RRU post has supported development</b> of: i) MALFFB SOP for DRM; ii) food assistance SOP; iii) Rapid Technical Assessments guide for the sector; and iv) elaborated the standards & guidelines for humanitarian interventions.	2	5	4	<b>Updated national planning tools</b> including risk (???).  <b>Risk informed sub-national planning process &amp; guidelines</b> ( <a href="#">hyperlink press-release</a> ).  <b>Risk informed agriculture project proposals</b> (??).  <b>SOP and guidelines for MALFFB</b> e.g. for DRM	1	4	2

Building blocks	Risk governance baseline (end 2013)	Baseline score			Risk governance strengthening activities (2016)	Progress score			Governance OUTPUTS	Change		
		N	S	A		N	S	A		N	S	A
9. Products	<p>Earlier national development plans largely focused on economic focus.</p> <p>No coordinated or systematic integration of risk into sector plans (and policies).</p> <p>No subnational level development plans prepared.</p> <p>Village level CCDRM planning and pilot projects promoted by NGOs and strong civil society network, but limited scaling-up, difficult relations between NGOs &amp; government, who were often bypassed.</p> <p>Separate disaster management plan only prepared for Sanma.</p>	1	1	2	<p><b>Draft National Sustainable Development Plan (NDSP) (2016-30) formulated</b> in line with SDGs; and CDRR considerations integrated. Provincial consultation on the NDSP has taken place along with validation <i>[is this correct?]</i></p> <p><b>Support to MCC to develop its five-year strategic corporate plan</b> <i>[progress?]</i>.</p> <p><b>Support to MIA to develop Corporate Plan</b>, which makes linkages to the draft NSDP and incorporates risk considerations.</p> <p><b>Risk incorporated into 1 AC Development Plan (Sanma) and 32 Community Plans</b> (Sanma 26 and Shefa 6).</p> <p><b>3 School Safety Plans</b> developed with risk integrated (Sanma province).</p> <p><b>The new RRU post has supported development of:</b> i) National Food Security and Agriculture Contingency Response Plan for cyclones and flooding; and ii) a CCDRR Implementation Plan – identifying how to achieve the policy priorities on CCDRR and Food Security (in progress).</p>	2	4	4	<p><b>Risk informed NDSP.</b></p> <p><b>MCC Corporate Plan.</b></p> <p><b>RRU risk informed Strategic Plan.</b></p> <p><b>Two RRU grant applications</b> to: i) distribution of a basket of climate resilient seeds; ii) Farmer field schools.</p> <p><b>RRU grant committed</b> by GIZ for on-going DRR activities and possibly staff (\$62,000).</p> <p><b>1 ACDP and 32 CDP.</b></p>	1	3	2

<b>CHANGE SCORES</b>	0 -1.0	None (limited)	1.1 -2.0	Small (minor)	2.1 -3.0	Medium (major)	>3.1	High (significant)
<b>PROGRESS SCORES<sup>4</sup></b>	1.0 -2.9	Basic	3.0 -6.1	Intermediate	6.0 -9.0	Advanced		

<sup>4</sup> See PRRP's "Risk Governance Trajectory of Change – Progress criteria" for more detail on stages (available in the Annex of PRRP Progress Report: 2016)