



PACIFIC RISK RESILIENCE PROGRAMME

# Pacific Risk Resilience Programme (PRRP)

## PROGRAMME DOCUMENT



**United Nations Development Programme**  
**Country: Regional**  
**Project Document**

**Project Title:** Pacific Risk Resilience Programme (PRRP)

**UNDAF Outcome(s):** Improved resilience of PICTs with particular focus on communities, through integrated implementation of sustainable environmental management, climate change adaptation/mitigation and disaster risk management.

**Expected Regional Programme for Asia and the Pacific Outcome(s):**

*Outcome 3:* Countries are able to reduce the likelihood of conflict and lower the risk of natural disasters, including from climate change (Strategic Plan Outcome 5).

*Outcome 4:* Development debates and actions at all levels prioritise poverty, inequality and exclusion, consistent with our engagement principles (Strategic Plan Outcome 7).

**Expected Output(s):**

*Output 3.1:* Effective institutional, legislative and policy frameworks in place to enhance the implementation of disaster and climate risk management measures at national and sub-national levels.

*Output 3.2:* Preparedness systems in place to effectively address the consequences of and response to natural hazards (geo-physical and climate related) and man-made crisis at all levels of government and community.

*Output 4.1:* National development plans to address poverty and inequality are sustainable and risk-resilient.

**Implementing Partner:** United Nations Development Programme Pacific Centre (UNDP PC)

**Responsible Parties:** Live and Learn Environment Education (LLEE)




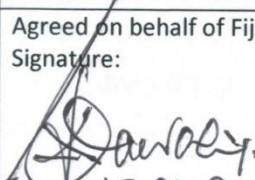
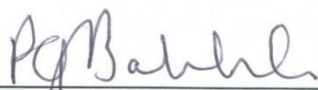
**Brief Description**

The Pacific Risk Reduction Programme (PRRP) is helping to build the national and regional risk governance enabling environment to improve the resilience of Pacific communities to climate change and disasters. It is being delivered in partnership with four Pacific island countries - Solomon Islands, Vanuatu, Tonga and Fiji (based on their high-risk profile and potential to demonstrate successful models for regional replication), UNDP Pacific Centre and the international NGO Live and Learn Environmental Education (LLEE). The Programme is centred on three Outcome areas for national implementation under one coordinated Programme: 1) CCDRM considerations are integrated into coherent cross-sectoral development planning, budgeting and performance frameworks; 2) participating countries integrate CCDRM considerations into sub-national and community needs assessment, planning, budgeting, and performance frameworks; and 3) internal and external stakeholders use quality, credible information generated by the Programme to inform their readiness for, adoption of, or commitment to effective risk governance. The programme is funded by the Australian Government through a partnership between UNDP and the international NGO, Live and Learn Environmental Education (LLEE).

<p>Programme Period: 5 years and 9 months          Programme Document: Revised March 2015</p> <p>Key Result Areas (Strategic Plan): Outcomes 5 and 6</p> <p>Atlas Award ID: 0004893</p> <p>Start date: Oct 2012          End Date: July 2018</p> <p>PAC Meeting Date          Management Arrangements: DIM</p>	<p>Total resources required: USD\$14,300,000</p> <p>Total allocated resources: _____</p> <ul style="list-style-type: none"> <li>• Regular: _____</li> <li>• Other:             <ul style="list-style-type: none"> <li>○ Donor (DFAT): USD14,300,000</li> <li>○ Donor: _____</li> <li>○ Donor: _____</li> <li>○ Government: _____</li> </ul> </li> </ul> <p>Unfunded budget: _____</p> <p>In-kind Contributions: _____</p>
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Note: Donor resources are provided in AUD in instalments over the life of the programme. The USD equivalent may therefore fluctuate with exchange rates.

## Signature Page

Agreed on behalf of Solomon Islands Government: Signature:  Name: Melekehu Maki Designation: Permanent Secretary	Agreed on behalf of Vanuatu Government: Signature:  JO THAM NAPAT Name: Designation: DIRECTOR GENERAL
Agreed on behalf of Tonga Government: Signature:  Name: ATOLOTU PALU Designation: DEPUTY CEO MFNP	Agreed on behalf of Fiji Government: Signature:  Name: Joeli Ganafio Designation: ASST. Minister.
Agreed on behalf of the United Nations Development Programme: Signature:  Name: Designation:	





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## EXECUTIVE SUMMARY

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The US\$14.3 million<sup>1</sup> Pacific Risk Reduction Programme (PRRP) is funded by the Australian Government through a partnership between UNDP and the international NGO, Live and Learn Environmental Education (LLEE). The Programme is helping to build the national and regional risk governance enabling environment to improve the resilience of Pacific communities to climate change and disasters and climate change. It is being delivered in four Pacific island countries - Solomon Islands, Vanuatu, Tonga and Fiji – based on their high-risk profile and potential to demonstrate successful models for regional replication.

PRRP is a large-scale risk governance programme in one of the most vulnerable regions in the world. The Pacific is highly vulnerable to natural disasters and the impacts of climate change. This is compounded by a range of economic and social factors including: global economic fluctuations, internal conflict (in recent decades), population growth and migration (internal and external), poorly planned coastal development, unplanned urban growth and land use, environmental and ecosystem degradation, and unsustainable use of natural resources such as extensive logging and mining. In combination, this has significant negative impact on Pacific people (especially the poor and marginalised) and socio-economic development across the region.

In recent years there has been a marked international shift from focusing on disaster response to reducing disaster and climate change risks by bringing resilience dimensions into broader development efforts. This concept of risk governance is now rapidly emerging in the Pacific region and positions climate change and disaster risk management (CCDRM) at the heart of development. Most Pacific islands countries have developed policy and planning instruments for managing disasters and addressing climate change. However ongoing capacity and resource constraints undermine the delivery of integrated approaches across development sectors. The need for integrated, comprehensive and whole of government approaches for managing risk and addressing community-based issues is also prioritised in the regional Strategy for Climate and Disaster Resilient Development in the Pacific currently under development. The significant level of development partner funding for CCDRM, however, remains largely focused on ‘silo’ approaches. It is mostly uncoordinated, which is problematic in countries with limited absorptive capacity, often bypassing government systems and distorting government structures as well as delivery. There is also limited sharing of information on successes and challenges between communities, between communities and governments, between levels of government, and across the region.

PRRP is, therefore, premised on the need for inclusive, integrated and comprehensive development approaches - at regional, national, sub-national and community levels - to manage risk and build resilience. On this basis, the Programme is contributing to the broad development **Goal** of: strengthening the resilience of Pacific island communities to disasters and climate change related risk. In doing so the Programme’s **Purpose** is to support: Governments, civil society and communities in trial locations, and in accordance with their unique contexts, identify risks and needs and formulate, and in some cases implement socially inclusive, effective and sustainable responses. Expected **End-of-Programme Outcomes** and associated **Contributing Outcomes** are:

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<sup>1</sup> The actual amount of investment by DFAT is \$16 million AUD. Given that this is provided in installments over the programme duration and that UNDP operates in US dollars, the US dollar total is an estimate and is likely to change based on future currency exchange fluctuations between AUD and USD.

1. *CCDRM considerations are integrated into coherent cross-sectoral development planning, budgeting and performance frameworks through:*

1.1: National development planning

1.2: National disaster management planning (preparedness and recovery)

1.3: Private sector engagement

2. *Participating Countries integrate CCDRM considerations into sub-national and community needs assessment, planning, budgeting, and performance frameworks through:*

2.1: Sub-national development risk governance

2.2: Sub-national specific sector risk governance

3. *Internal and external stakeholders use quality, credible information generated by the Programme to inform their readiness for, adoption of, or commitment to effective risk governance through:*

3.1: Diffusion to internal stakeholders

3.2: Diffusion to external stakeholders

In the crowded CCDRM ‘space’ in the region, PRRP places less emphasis on technical aspects of service delivery and more on bringing risk governance initiatives directly into the mainstream of sustainable development. Ways of achieving this involve supporting change in systems and institutions as well as in behaviour and capacity of individuals. This requires unprecedented levels of inclusiveness, engagement with and collaboration between stakeholders, as well as clearer formulation and understanding of the roles, responsibilities and accountabilities of governments, communities, the private sector, civil society, development partners and other stakeholders. The Programme’s key delivery **approaches** focus on:

- *Working with change agents through key entry points* – grounding change through sectoral entry points with a range of change agents in government and other agencies driving the process. PRRP’s in-country teams are working with communities and governments at all levels in key thematic areas such as food security, education, disaster management, risk (climate and disaster) finance and natural resource management.
- *Sub-national/community levels* - building resilience at the community level by encouraging partnerships between sub-national governments, communities and NGOs, as well as linkages between sub-national and national governments.
- *Capacity development* - in all programming efforts to bring about change that is generated and sustained over time from within Pacific countries. A range of Programme capacity development approaches, including bringing together change agents in communities of practice, is expected to build risk management capacity at all levels.
- *Gender equality and social inclusion (GSI)* - drawing on specific national cultural dynamics and opportunities for change, recognising that disasters have different effects on different groups in society, with climate change likely to exacerbate these impacts. GSI officers are being recruited in each of the Programme’s four partner countries to help to ensure that the views and needs of all people are incorporated in planning and decision-making processes and interventions, at all levels and across key sectors.
- *Partnerships* - developing and strengthening partnerships and networks with local, national, regional and international agencies to facilitate comprehensive and coordinated approaches to risk governance, as well as develop an enabling environment for those agencies directly providing CCDRM services. PRRP will build upon, complement, harmonise with and leverage from the range of government, NGO, civil society, regional, international and development partner programmes in the four partner countries that have been working to support community resilience.

- *Emergent design approaches informed by ‘learning-by-doing’ and ‘action-research’* - ensuring that implementation of an innovation Programme such as PRRP adapts to unique country-specific governance systems and capacities. The broad focus on improving risk governance will be balanced with visible results that are of benefit to stakeholders. This will help to demonstrate progress and increase commitment for the Programme to develop a model for risk governance that can be replicated and expanded both within and across countries in the region. In broad terms, work on Inception Phase programming and early activities in 2013 are being followed by testing/modelling in the four countries, with the application and leveraging of successes until Programme completion in early 2018.
- *National and regional knowledge and learning* – to expand understanding and approaches to climate change and disaster risk into development-focused actions. Diffusion of knowledge from PRRP work will focus on providing relevant, quality and credible information to governments, communities and other stakeholders directly involved in the Programme as well as other stakeholders across the region.

A strong focus on **monitoring, evaluation and learning** (MEL) will test PRRP’s direction and specific interventions to broaden and deepen the Programme as it develops, as well as provide information for national and regional knowledge and learning. Specific resource allocation for MEL will support the people and institutions needed to collect, study, and disseminate relevant analysis, data and information. An **information system** is being established by UNDP to accrue performance information across the Programme and support analysis and regular **reporting**, as well as ensure that the Programme’s **risk management** remains robust.

**Management** of the Programme is by UNDP Pacific Centre in partnership with Live and Learn Environmental Education (LLEE). The programme’s Suva, Fiji regional ‘hub’ is supervised by a UNDP Programme Coordinator and LLEE Regional Manager. At the country level national UNDP and LLEE officers work as one team and provide a strong national and sub-national PRRP presence with key change agents at different levels. GSI officers are part of each country team. Additionally, a range of national, regional and international advisers and experts are being engaged as an integral part of the PRRP team to complement and add value to national and Programme personnel across a range of areas. **Governance** of the Programme is supported by National Steering Committees and a Regional Programme Board that provide oversight and strategic direction.

A crucial element of PRRP’s **sustainability** is its support through key national entry points and change agents at community and government levels. The Programme’s broad aim of supporting evolutionary change through strengthening enabling environments and national and regional knowledge and learning for risk governance will support sustainability of investments. While it is expected that PRRP will significantly improve risk governance in the Pacific, impacts will not become evident for some time given the entrenched challenges and capacity constraints of addressing a complex and wide-ranging issue. A medium-term view (five years) of the Programme positions the relevance of the risk governance approach in the Pacific region and provides a sound platform for change in the coming years.

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## 1. INTRODUCTION

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Following a programme design process in May 2012 UNDP's Pacific Centre and the Australian Department of Foreign Affairs and Trade (DFAT) entered into an agreement in October 2012 for development and implementation of the US\$14.3 million Pacific Risk Resilience Programme (PRRP).<sup>2</sup> PRRP focuses on helping improve risk governance mechanisms and national and regional enabling environments to improve the resilience of Pacific communities to the impacts of climate change and disasters. The Programme is being implemented over five years (2013-2018) through a partnership between UNDP and the international NGO, Live and Learn Environmental Education (LLEE), in four Pacific island countries - Solomon Islands, Vanuatu, Tonga and Fiji. These countries were selected in the design process based on their high risk profile, demonstrated interest in the approach proposed, and potential to demonstrate a successful model for regional replication (based on previous Australian Government support). A Regional Programme Board has been established to provide strategic guidance and review progress and comprises representatives from the four countries, DFAT, UNDP and LLEE.

Based on recommendations of the design, PRRP was further developed through an Inception Phase between October 2012-March 2014.<sup>3</sup> In line with international aid effectiveness principles and lessons learned, the Inception Phase applied a 'learning by doing' approach by:

- Communicating and advocating the broad Programme scope to stakeholders and highlighting where it can add value and innovate;
- Analysing the key needs and capacities in each of the four countries to further refine the Programme's change strategy and approach;
- Identifying thematic entry points, champions and key change agents for early and ongoing implementation;
- Developing relationships and partnerships with national, regional and international agencies;
- Establishing implementation and management arrangements; and
- Developing key outputs within each country as well as work planning for the first 12 months.

Further refinement of the Programme was undertaken during 2014 through development of its Monitoring, Evaluation and Learning (MEL) Framework. These processes have been critical to position the relevance of PRRP's risk governance approach in the 'crowded' climate change and disaster risk management (CCDRM) sector in the Pacific region and provide a sound platform for implementation and learning in the coming years. The Regional Programme Board has endorsed the Programme, supported by Aides Memoire and letters of agreement from Government authorities in the four partner countries.

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<sup>2</sup> The PRRP design, *Reducing Risk and Building Community Resilience in the Pacific* (AusAID, May, 2012) included an independent expert and UNDP and DFAT personnel.

<sup>3</sup> PRRP Inception Report: *Working Towards Resilient Communities in the Pacific*, UNDP/LLEE, November 2013



## 2. SITUATION ANALYSIS

**The Pacific is one of the more vulnerable regions in the world** threatened by natural hazards such as cyclones, earthquakes, volcanoes, droughts and floods, in addition to the impacts of climate change. These vulnerabilities are compounded by economic and social factors such as: global economic fluctuations, population growth and migration (internal and external), poorly planned coastal development, unplanned urban growth and land use, environmental and ecosystem degradation, and unsustainable use of natural resources such as extensive logging and mining. This has significant impact on:

- i) *People*: with disasters affecting approximately 4 million people in the region between 1950 and 2011, causing 8,693 reported deaths, and resulting in damage costs of around US\$3.2 billion.<sup>4</sup> It is widely acknowledged that disasters have a disproportionate effect on the poor and marginalised with climate change likely to exacerbate these impacts.
- ii) *Socio-economic development*: with the Pacific failing to meet the Millennium Development Goal (MDG) 1 to eradicate extreme poverty and hunger, risk resilience in terms of poverty and food security is a regional priority in the post-2015 development agenda.

**In recent years there has been a marked shift from focusing on disaster response to reducing disaster and climate change risks and addressing the underlying causes of vulnerability by incorporating resilience dimensions into development.**<sup>5</sup> Development, if not adequately informed by disaster and climate risk, is a key determinant of communities vulnerability.<sup>6</sup> This is particularly relevant in the Pacific where initiatives that do not account for the risk profile of climate change and disasters can have significant negative impact on the lives and livelihoods of communities. Simply managing the symptoms of climate change and disasters is not likely to be sustainable.

**The concept of ‘risk governance’ is rapidly emerging in the Pacific region and positions the management of climate change and disaster risk in the heart of development.**<sup>7</sup> This can be described as the way in which authorities, public servants, media, private sector and civil society coordinate with communities to manage and reduce climate change and disaster related risks. Risk governance can transform approaches from a response and relief focus toward addressing underlying causes of climate change and disaster risk. These approaches should be decentralised as well as established as a normal part of the process of development.<sup>8</sup>

**Most Pacific islands countries (PICs) have developed policy and planning instruments for managing disasters and addressing climate change but capacity and resource constraints undermine their management and implementation.** Based on international commitments, such as the Hyogo Framework for Action<sup>9</sup>, these articulate national objectives and priorities but vary in terms of degree of detail and

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<sup>4</sup> GFDRR, 2012

<sup>5</sup> Boyd et al, 2008; Cannon & Muller-Mahn, 2010; Mitchell & Harris, 2012; Turnbull et al, 2013

<sup>6</sup> Lavell and Maskrey, 2013

<sup>7</sup> World Bank, GFDRR, *Acting Today for Tomorrow: a policy practice note for climate and disaster resilient development in the Pacific Islands region*, 2012

<sup>8</sup> PRRP Inception Report (Annexes), UNDP/LLEE, November 2013

<sup>9</sup> The Hyogo Framework for Action (HFA) was adopted in 2005 with an expected outcome of: substantial reduction of disaster losses, in lives and the social, economic and environmental assets of communities and countries.

acceptance by national stakeholders. Through efforts of a number of committed Government personnel, some countries are providing dedicated resources for disaster management through sectoral approaches (e.g. the education sector in Solomon Islands, Vanuatu and Fiji), as well as pilot projects at the community level for managing food security risks posed by climate change (e.g. Solomon Islands and Tonga). Some countries are actively integrating climate change and disaster risk (or including additional pillars) into national strategic development priorities through Joint National Action Plans - JNAPs (e.g. Tonga). Some are considering the development of 'resilient' frameworks that provide the basis for more risk-sensitive development.<sup>10</sup> In the finance and planning spheres a number of governments are shifting approaches to planning and budgeting towards a medium-term framework (e.g. Tonga and Solomon Islands have requested PRRP support to help integrate risk from climate change and disasters into their planning and budgeting processes). A growing number of PICs are also strengthening mechanisms for accessing and better managing the significant flow of funds to the region for climate change and disasters (e.g. with preliminary assessment work undertaken in Vanuatu and Fiji with support from PRRP).

Despite this progress, national planning processes have not led to the effective delivery of planned CCDRM interventions at sub-national or community levels (despite decentralisation policies in most PICs).<sup>11</sup> Whole-of-government and national to local coordination and partnership is a major gap in the Pacific with a general lack of clarity on the roles of sub-national government and/or competition of different administrative levels over authority and resources. Overly complex and resource intensive processes for national disaster management offices (NDMOs), climate change focal points and other key agencies with severe capacity challenges (e.g. finances, human resources) also constrain their ability to drive implementation for effective disaster management (preparedness and response).

**The need for integrated, comprehensive and whole-of-government approaches for managing risk and addressing community-based issues are prioritised in regional frameworks.** Based on Pacific Leaders' focus on climate change and disasters as a key challenge for Pacific countries, the Pacific Disaster Risk Reduction and Disaster Management Framework for Action (2005-2015) and the Pacific Islands Framework for Action on Climate Change (2006-2015) are supported by a range of regional networks including the Pacific Platform for Disaster Risk Management and the Pacific Climate Change Roundtable.<sup>12</sup> Progress on implementation of these has been mixed – with more focus on developing policies and plans and less on helping countries operationalise them, especially at the community level.<sup>13</sup> In response, the Strategy for Climate and Disaster Resilient Development in the Pacific (SRDP) is currently under development for commencement from 2016 and focuses on integrating CCDRM through the lens of resilient development for the region. PRRP is contributing to the formulation of the strategy (through case-studies and advice) and will support its delivery in the partner countries.

**The significant level of development partner support for CCDRM is, however, currently uncoordinated, which is problematic in countries with limited absorptive capacity, often bypassing government systems and distorting government structures as well as delivery.** Donor funding is largely provided in silos and 'captured' at regional and national level policy and planning levels. While pilot activities abound, limited practical solutions have emerged or are being replicated in a coordinated way with, for example, multiple

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<sup>10</sup> MECDM, 2013 – this includes Solomon Islands, based on a multi-stakeholder workshop in March 2013 (supported by PRRP)

<sup>11</sup> Dimitrov, 2010; Preston et al, 2011; Van den Berg & Feinstein, 2010

<sup>12</sup> Refer Pacific Islands Forum Communiqués 2005-2013

<sup>13</sup> Mid-term Review of Hyogo Framework for Action

approaches to community-based disaster risk management (CBDRM). These community level activities are often disconnected from government structures, not followed up or sustained, and are of variable and often unknown quality. This makes it difficult to achieve the holistic and multi-sectoral response that is required for more resilient development, resulting in duplication, inefficiencies and missed capacity development opportunities. As CCDRM is largely unregulated, any agency or individual can become involved in both or either and this can result in an ‘overdose’ of well-intended projects that succeed in overwhelming country capacities and fragmenting resilience building efforts.<sup>14</sup> It is also clear that institutional rigidity of some donor agencies, requiring conformity to narrowly-defined funding streams and reporting requirements, makes cooperation and partnership more difficult.<sup>15</sup>

**These factors combine to create a level of frustration in the region.** Governments and other agencies are overwhelmed with the demands being made by donors around CCA and DRM, and have limited capacity to absorb the substantial additional financial resources coming on-line for the region. Communities are, reportedly, suffering ‘death by consultation’.<sup>16</sup> Senior managers in Pacific governments require support for implementing national priorities, not more reviews and plans.<sup>17</sup> Conversely, donor agencies are not realising timely outcomes from their investments. At the policy level the need for integration of CCDRM is clear. The practical reality is that little is happening at the operational level in terms of integration or action for Pacific people.

**There is also limited systematic sharing of knowledge and lessons between communities, between communities and governments, between levels of government, and across the region.** However, from a limited range of available reviews, evaluations and international literature, some common lessons for enhancing risk governance are emerging that have been reinforced through PRRP’s emergent design approach:<sup>18</sup>

- *Strong political will and leadership:* Informed political and economic leadership and authority at the highest level of government and influential line ministries is required to achieve integration of climate change and disaster risk considerations in national economic planning and the critical mobilisation of human and financial resources.
- *Local level risk management:* Improved local understanding of how hazards, vulnerability and exposure interact with development processes is the cornerstone to effectively allocate and utilise resources that deliver more resilient development outcomes. Strong, collaborative partnerships between sub-national governments and communities are essential, along with a focus on building governance capacities. This provides opportunities to recognise the value of applying traditional knowledge and governance systems while building in contemporary thinking and risk governance at local levels.

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<sup>14</sup> PRRP Inception Report (Annexes), UNDP/LLEE, November 2013

<sup>15</sup> GFDRR, 2012

<sup>16</sup> Design team roundtable meeting, Tonga, November 2011

<sup>17</sup> Design team consultations with Chair of National Advisory Committee on Climate Change, Vanuatu, November 2011

<sup>18</sup> These include, inter alia: ISDR/SPC *Mid Term Review of Pacific Regional DRM Framework for Action*; DFAT’s *PEHRI Evaluation*; Indonesia’s *Safer Communities through Disaster Risk Reduction in Development* (SCDRR) Programme; the Australian/Indonesian Facility for Disaster Reduction (AIFDR) *Building Resilience Programme*; and ODI Working Paper – *Exploring Political and Socio-Economic Drivers of Transformational Climate Policy*, October 2013.

- *Vertical and horizontal linkages between community-based approaches to national level:* Building these linkages requires: careful framing of the risk governance discourse around economic growth and development; institutionalising risk governance across government systems (as opposed to development of parallel processes such as Joint National Action Plans on Disaster Risk Management and Climate Change); greater involvement by relevant central Ministries (in particular finance and economic planning); targeted efforts through line or sector agencies (e.g. awareness raising efforts through education or drought-proofing through agriculture); and identification of entry points into Government coordinating Ministries such as Finance and/or Planning, or through sectoral Ministries/Agencies such as education, health, agriculture and community development.<sup>19</sup> Clarity on the roles of different administrative levels over authority and resources is essential.
- *Alignment to national policies, processes and cultural values:* The complexity of CCDRM is underlined by the cross-sectoral nature of the challenge, influencing all aspects of the development spectrum - from planning to financing and governance. To help re-focus the separate efforts of the CCA and DRM communities of practice it is critical to understand how political factors influence economic and social outcomes in specific national and sub-national contexts.<sup>20</sup> Initiatives need to start small in alignment with, and be adaptive to, countries' own policies, systems, cultural context and the pace of change (in line with international aid effectiveness principles). This will help account for specific national: funding, policy, and legislative frameworks within which CCA and DRM operate; the ways in which agents interact and how agency is recognised within and between the CCA and DRM communities; and solutions through both formal and informal mechanisms.<sup>21</sup> Alongside technical inputs and institutional processes, it is vital to consider 'softer' issues such as vested interests, incentives, and power to support behaviour change. Seeking greater inputs from national actors instead of a reliance on external agents will better identify domestically-driven solutions suited to a country's specific complex social, cultural, political and institutional context.
- *Gender and social inclusion (GSI):* Understanding the different needs and roles of men and women, people with disabilities and other social groups (including youth and older people) is critical to addressing vulnerability and building resilience at the community level. People have different needs and perspectives based on their roles, social status, rights, physical capacity, etc. Conflicts, political unrest and poor governance are additional factors increasing people's vulnerability. Different social groups often need special assistance. This may be because: they live in high risk locations; or they have little opportunity to protect themselves from the consequences of climate change and disaster risk; or the lack of available support renders them unable to respond appropriately. While there are challenges in balancing strong centralised political leadership with inclusion and local empowerment - it is important to ensure genuine participation for accountability to all stakeholders. Failure to meaningfully engage at all levels of society, particularly at the local level, raises key issues of equity, representation and recognition. All community members are powerful agents of change with different groups often acutely aware of the measures required to reduce their exposure to sources of risk. Risk management should draw on the knowledge and experience of older people. Women have a key role

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<sup>19</sup> UNISDR and UNDP, *Disaster Risk Reduction and Climate Change Adaptation in the Pacific: An Institutional and Policy Analysis*, 2011

<sup>20</sup> ODI Working Paper – *Exploring Political and socio-economic drivers of transformational climate policy*, October 2013

<sup>21</sup> Gero, A., K. Méheux, et al. (2010)

to play, in part due to their responsibilities and experiences as principal caregivers in families and, more broadly, because their enhanced participation in political, economic and social life supports sustainable development. Children and youth make up a significant portion of the population of PICs and therefore represent a huge resource for achieving change. This highlights the need for the education sector to play a more active role in education and awareness-raising related to disaster and climate risks.

- *Capacity development:*<sup>22</sup> Risk governance approaches require the development and resourcing of new and additional capacity at all levels. Inclusion of capacity strengthening and training and its role in the resilience of different social groups to climate change and disaster risk is an essential part of linking planning and strategies to individuals and institutions. This involves capability in adaptive management – a systematic process that continually adjusts and improves management policies and practices, and responds to new and emerging issues. It also includes skills in reshaping of governance and institutional arrangements, managing resources, and disseminating information and knowledge. National and sub-national governments need to build their capacity to ensure that actions to enhance the resilience of development outcomes being undertaken by other key players (e.g. communities and small enterprises) are well-informed and coordinated.
- *Strong partnerships:* Successful implementation relies on developing strong partnerships to foster cooperation and collaboration at all levels. Establishing links with other CBRM activities and government, civil society and development partner programmes is critical for policy coherence and to reduce duplication and transaction costs for countries. The private sector can make specific contributions to risk resilience on a local scale by raising awareness among peers, in industry, in the public sector, and in communities. In many PICs the informal sector provides a vital economic contribution to households, especially the poorer and more remote ones. Typically dominated by women, the informal sector in the Pacific involves a range of income generating activities such as handicrafts, food processing, and merchandising in market places. Strategies should be developed for public/private partnership measures to protect and support quick recovery for small producers and small-scale businesses.
- *Robust monitoring and evaluation (M&E):* When supporting change in complicated and complex contexts, systematic M&E (necessary for accountability) should be balanced by participatory qualitative approaches. Such information on the adoption and diffusion of change and innovation will help programmes better target appropriate stakeholders and test assumptions. M&E processes should: balance disaggregated statistical data with qualitative and participatory data collection; provide opportunities for the inclusive participation of different stakeholder groups; and help develop national monitoring capacity at all levels. This approach has resource implications that need to be factored in programme budgets.
- *Knowledge sharing and effective communications:* The effective sharing of knowledge of the successes and challenges of risk governance will help governments and communities enhance their resilience to disasters and climate change. Fundamental to successful communication is the need to be consistent,

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<sup>22</sup> Capacity development is defined as: the process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time (UNDP, 2009).



transparent, responsive, timely, accessible and relevant to the needs of target groups. Different groups should be encouraged to contribute to knowledge and learning in meaningful and equitable ways.

- *Long timeframes:* The risk of a programme exacerbating existing vulnerabilities, influencing local power dynamics and promoting maladaptive pathways remains high, particularly during the early implementation phase. For sustainable change there is a need for a long-term view in terms of resilience measures: (i) by local governments for their effective engagement with communities that, typically, experience significant resource and capacity constraints and need considerable support and time; and (ii) to embed integration of risk governance through governments at all levels. This will require trade-offs in matching the need for delivering change within a time-bound programme, with iterative approaches recognising complex social-economic and political realities at both national and sub-national levels.

### 3. THEORY OF CHANGE

Based on this contextual analysis and lessons learned, the theory of change (TOC) underpinning the PRRP is premised on the need across the region for integrated and comprehensive approaches - at national, sub-national and community levels - to manage risk<sup>23</sup> and build resilience<sup>24</sup>.

As focus shifts from disaster response to integrated responses to **building resilience** for CCDRM - efforts can better address the underlying causes of vulnerability<sup>25</sup> and incorporate these dimensions into broader socio-economic development. For development to take place in a way that factors in climate change and disaster risks – i.e. **risk governance**<sup>26</sup> – PRRP asserts that coordination and integration is required across governments and their stakeholders (horizontally), as well as through all levels of national decision-making from national to local (vertically). Such system wide changes need to be accompanied by attitudinal and cultural changes that respect the human rights of different social groups.

If governments at national as well as sub-national levels have the will and capacity to mainstream CCDRM into development and sectoral policies, plans, recurrent budgets and, ultimately, implementation - an effective **enabling environment**<sup>27</sup> can be developed for building resilience.

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<sup>23</sup> Risk is defined as: the combination of the likelihood of a hazard event (including changes in frequency, intensity and spatial extent due to climate change) and the potential detrimental consequences.

<sup>24</sup> Resilience is defined as: the capacity of a system, community or society potentially exposed to hazards to adapt, by resisting or changing in order to reach and maintain an acceptable level of functioning and structure (UNDP, 2010).

<sup>25</sup> Vulnerability is defined as: the diminished capacity of an individual or group to anticipate, cope with, resist and recover from the impact of a natural or man-made hazard (<http://www.ifrc.org> - accessed January 2014).

<sup>26</sup> Risk governance is defined as: the way in which public authorities, civil servants, media, private sector, and civil society coordinate at community, national and regional levels 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 and processes for citizens to articulate their interests, and exercise their legal rights and obligations and mediate their differences (UNDP, 2013).

<sup>27</sup> In the context of the PRRP an enabling environment has the following characteristics: enabling systems at national, provincial and local levels to accommodate risk governance; enabling and mobilizing community groups towards climate change and disaster resilience; and linking communities and community innovation with government systems.

Climate change and disasters have their greatest impact at the local level. With better connections to government structures and systems, **communities can be empowered** to better identify their risks and needs, formulate and implement sustainable responses, and also demand more accountable governance. PRRP asserts that risk management between sub-national governments and communities can be integrated and mutually reinforcing with support to develop capacity to plan and implement appropriate community-based adaptation (CBA), ecosystem-based adaptation and Community Based Disaster Risk Management (CBDRM) approaches.

Achieving improved risk governance will take many years through the effects of a range of stakeholders through various interventions that may progress at different rates in different contexts, reflecting an evolutionary approach to behavioural, social and institutional change. Challenges in achieving an integrated approach between national, sub-national and community levels should not be underestimated. Nonetheless, the Programme's TOC makes the case that a range of interventions and engagement with various stakeholders, if strategically and consistently implemented over time, will help **strengthen the resilience of Pacific island communities to disasters and climate change related risk**.

As an end point, risk reduction in the Pacific will have been addressed when risk management:

- capacity in key sectors is strengthened to support communities identify and implement inclusive and sustainable interventions;
- planning and delivery mechanisms of sub-national governments and communities are inclusive, coordinated, mutually reinforcing and integrated into national processes;
- is integrated across Government need assessments, policies, plans, budgets and performance frameworks at all levels in response to community priorities; and
- engagement and sharing of information is effective within countries and across the region.

Change requires both underlying and direct interventions. It can be unpredictable. Underlying interventions in creating an enabling environment for risk management are necessary to buttress direct interventions to empower all members of communities to identify risks and needs, and formulate and implement sustainable and inclusive responses. In combination, the interaction of underlying and direct interventions will: help inform governments of community concerns and needs; support governments' capacity to respond inclusively to community needs; and integrate sub-national government and community-based CDRM.

The Programme contends that these types of interventions can be best operationalised at a country level through thematic **entry points** (e.g. food security, education and disaster management), and associated **change agents** (e.g. teachers, school managers, farmers, agricultural extension officers, social services providers and disaster managers). In doing so, systemic change can be triggered for innovation and new thinking in the context of vertical and horizontal integration and applied as a basis for replication in other areas. The selection of appropriate entry-points and **capacity development** of change agents can create links between upstream and downstream approaches.

Windows of opportunity for change may open at different scales and at different times. For example, collective action at the local level may bring about larger scale transformation, whereas changes in the institutional framework may enable wider transformation from above. Thus, national policies that drive large-scale change will inevitably give rise to complex and unpredictable effects at lower levels, and vice-

versa. Therefore, if initiatives are aligned to **national policies and systems**, pathways and agents for change can be identified and engaged in line with specific country contexts and resource and capacity challenges. For sustainable change there is a need for intensive support when working with communities, national and sub-national governments, and with government at all levels to mainstream inclusive approaches to risk management. PRRP believes that an **iterative programmatic approach** informed by ‘learning by doing’ and ‘action research’ has the best chance of success.

As disasters have different effects on different groups in society, with climate change likely to exacerbate these impacts, **gender equality and social inclusion (GSI)** can ensure that the perspectives and needs of all people are incorporated in planning and decision-making processes, and interventions. If the strengths of traditional knowledge, women and other social groups are accounted for at all levels of risk governance - from planning and budgeting to community decision-making processes – PRRP asserts that there will be greater opportunities to manage risk to build inclusive community resilience.

It is not possible at the outset to identify all the entry points and change agents to support sustained change in risk governance over the five-year period of PRRP. If the pathways of change identifying the causal links between implementation and behaviour change are to lead to long-term sustainability, quality feedback is required through **monitoring, evaluation and the dissemination of knowledge and learning**. If information is shared between communities, between communities and government, between levels of government, and across the region, PRRP asserts that its interventions can be most effective and lead to long-term change.

Based on these assertions, the TOC model for the PRRP is represented in the Table below:

**Figure 1: PRRP Theory of Change Model**

Hypothesis	This is more likely to occur if...	This will require that...	By focusing on...	Assuming that...
If we invest strategically and consistently over time in a range of interventions with various stakeholders, taking care to be inclusive in all approaches- we can strengthen the resilience of Pacific island communities to climate change and disaster related risk.	There is a strong enabling environment for governments, civil society and communities to identify their risks and needs and implement inclusive, effective and sustainable responses.	<p>Risk governance:</p> <ol style="list-style-type: none"> <li>1) Considerations are integrated into coherent cross-sectoral development planning, budgeting and performance frameworks;</li> <li>2) Considerations are integrated into sub-national and community needs assessment, planning, budgeting, and performance frameworks; and</li> <li>3) Internal and external stakeholders use quality, credible information to inform their readiness for, adoption of, or commitment to effective risk governance.</li> </ol>	<ul style="list-style-type: none"> <li>• National, sub-national and community levels</li> <li>• Capacity development</li> <li>• Gender equality and social inclusion</li> <li>• Partnerships</li> <li>• Iterative approaches informed 'learning-by-doing' and 'action-research'</li> <li>• National and regional knowledge and learning</li> </ul>	<ul style="list-style-type: none"> <li>• Routine needs assessment, planning, budgeting and performance management systems are sufficiently robust to achieve meaningful changes in resilience for communities.</li> <li>• Community-based planning mechanisms are sufficiently robust to sustain changed practices.</li> <li>• Cross-sectoral coordination practices are sufficiently effective to achieve meaningful changes in resilience for communities.</li> <li>• Decision makers do not have competing priorities that lower the priority of risk governance interventions.</li> <li>• Individuals are identified that can effectively lead change.</li> <li>• Knowledge products are perceived as relevant, credible or of good quality by stakeholders.</li> </ul>

## 4. PROGRAMME PURPOSE AND OUTCOMES

PRRP will contribute to this TOC and the broad development **Goal** of enabling Pacific island communities to become more resilient to climate change and disaster related risk. In doing so the **Purpose** of the Programme is to support: governments, civil society and communities in trial locations, and in accordance with their unique contexts, identify risks and needs and formulate, and in some cases implement socially inclusive, effective and sustainable responses.

The Programme will work across the following three End-of-Programme Outcomes (EOPOs) and associated Contributing Outcomes (COs) that identify specific areas that partner countries may engage in depending on their own specific context. In each country the Programme works at the national level as well as trial locations at sub-national and community levels. The first two EOPOs are the technical heart of PRRP and are focused on integrating CCDRM into routine development governance. The third EOPO is focused on generating relevant and credible information to inform risk governance interventions in partner countries, and to encourage other national and regional stakeholders to consider adopting approaches that show prospects for being effective.

**END-OF-PROGRAMME OUTCOME 1: CCDRM CONSIDERATIONS ARE INTEGRATED INTO COHERENT CROSS-SECTORAL DEVELOPMENT PLANNING, BUDGETING AND PERFORMANCE FRAMEWORKS.**

This refers to integration of CCDRM into cross-sectoral development plans at the national level (i.e. horizontal integration). Integration of CCDRM is first addressed through needs-based national development planning and expenditure frameworks, and then reflected in some associated sectoral corporate plans. This includes work with DRM Clusters such as education, agriculture or social protection to ensure that risk reduction is considered in recovery plans in response to a particular disaster. It is not sufficient to focus on the integration of CCDRM in routine development planning without ensuring that risks are also considered during response and recovery planning in times of actual disaster (and when commitment to managing risk is stronger and immediate benefits can be seen).<sup>28</sup>

**Contributing Outcomes 1.1: National development planning** - These outcomes are concerned with strategic national development planning. This usually involves a range of stakeholders from government, private sector and civil society working together to plan for nation-wide development. The Programme team will work with relevant government agencies to improve the integration of CCDRM considerations into the way stakeholders collaborate, cooperate and coordinate during national planning and budgeting activities. The Programme team will also work with officials responsible for the design and implementation of M&E activities to ensure that CCDRM concerns are reflected in national performance management systems and can inform future development planning. One of the Contributing Outcomes is directed at national development planning, while the second one addresses sector-specific planning that typically flows from National Development Plans. Partner countries will select sectors to work on in line with national priorities (to date, corporate planning in the agriculture and education sectors has been emphasised).

*CO 1.1.1 CCDRM considerations are integrated into coherent National Development Plans, budgets and performance frameworks.*

*CO 1.1.2 CCDRM considerations are integrated into National Corporate Plans, budgets and performance frameworks.*

**Contributing Outcomes 1.2: National disaster management planning (preparedness and recovery)** - These outcomes are concerned specifically with national disaster planning (as distinct from routine development planning discussed under CO 1.1 above). National disaster planning includes preparedness for responding to disasters and recovery. One of the Contributing Outcomes is directed at improving needs-based preparedness plans, while the other two are focused on establishing new recovery plans.

*CO 1.2.1 A functional Cluster coordination mechanism operates to coordinate a needs-based preparedness plan, and implement activity plans in times of a disaster (focus is on Education, Food Security and Social Protections Clusters).*

The aim of the Cluster approach is to strengthen national, regional and international partnerships and ensure more predictability and accountability in responses to humanitarian emergencies.<sup>29</sup> Through existing Clusters PRRP will support joint planning processes that are led by the Cluster lead agency. This

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<sup>28</sup> UNDP has a long history and reputation for supporting recovery planning through the Cluster System and PRRP will complement this assistance.

<sup>29</sup> United Nations Website: <https://business.un.org/en/documents/6852>



involves the assessment of risk and needs at the community level through a unified assessment methodology, and enhancing cooperation, collaboration and coordination processes.

*CO 1.2.2 Recovery approaches that are activated in a disaster event are reflected in revised national plans and planning processes.*

The Programme team will assist relevant national agencies in partner countries, where appropriate, to establish and operate a Recovery Committee to deal with national recovery planning addressing a particular disaster. These plans will identify how different sectors and donors will work together to support recovery. During this process, existing national development plans will be reviewed to identify where adjustments may be required to better support the recovery effort.

*CO 1.2.3 Community members in a small number of locations benefit from activities identified in activated recovery plans.*

A Direct Support Mechanism will provide funds to selected communities to support important recovery activities if and when a disaster occurs. While not expected to result in sustained changes, the provision of immediate and vital support in times of disaster may be required from the Programme.

**Contributing outcomes 1.3: Private sector engagement** - The private sector makes a significant contribution to national development and engaging in business partnerships to address CCDRM integration is a new and evolving area. Programme teams will facilitate private sector partnerships with government, or directly with communities, when viable options are identified with partner countries.

*CO 1.3.1 Durable partnerships with the private sector reach communities (particularly remote communities) to deliver cost-effective services or provide access to CCDRM activities.*

The private sector can be well placed to play a role in the delivery of services or activities relevant to CCDRM. For example, telecommunications companies can help governments reach communities with important messages. Companies can work through existing government programmes, or directly with communities, to develop infrastructure or processes to improve resilience in times of disaster. It will be important to consider the commercial or reputational incentives for the private sector to work with communities so that activities can be sustained or even expanded.

*CO 1.3.2 CCDRM considerations are integrated into consent processes for private sector development activities.*

To strengthen the work with government national development planning under CO 1.1.1, PRRP will help relevant agencies integrate CCDRM considerations into business approval processes for private sector development. The Programme team will also support governments to clearly communicate expectations to the private sector, including guidance on how best to meet approval criteria.

**END-OF-PROGRAMME OUTCOME 2: PARTICIPATING COUNTRIES INTEGRATE CCDRM CONSIDERATIONS INTO SUB-NATIONAL AND COMMUNITY NEEDS ASSESSMENT, PLANNING, BUDGETING, AND PERFORMANCE FRAMEWORKS.**

This relates to the integration of CCDRM into sub-national programming of key sectors (i.e. vertical integration). PRRP will work with sub-national and community level decision-makers involved in development planning and particular sectors to ensure local planning informs and reflects CCDRM considerations. Planning will reflect the perspectives and needs of communities and different social groups within those communities, and will also include development of geographical information systems for risk assessment. The Direct Support Mechanism is available for some communities to demonstrate the practical benefits of integrating CCDRM into routine planning processes.

**Contributing outcomes 2.1: Sub-national development risk governance**

*CO 2.1.1 CCDRM considerations are integrated into sub-national development needs assessment, planning, budgeting and performance frameworks at the sub-national and community levels.*

PRRP will assist at sub-national levels with quality needs assessments to help ensure that location-specific risks are identified, as well as account for the perspectives and needs of different social groups. The use of geographical information systems to map risk is an important aspect of this work. LLEE Programme team members will help local government officials build their capacity to integrate CCDRM considerations into routine community planning, as well as local or international NGOs where they facilitate community planning. This will also help strengthen NGOs' capacity to integrate CCDRM across their own programmes. PRRP will partner with the University of the South Pacific (USP) to deliver training to local government officials and relevant NGOs on key concepts and approaches for integrating CCDRM (also building capacity for USP staff). LLEE Programme team members will provide on-going support at community level for effective practice during specific development planning processes.

*CO2.1.2 Community members in a small number of trial locations benefit from demonstration of CCDRM activities identified in community level development plans.*

Preparing plans and budgets that reflect CCDRM integration requires decision makers to allocate limited resources to new activities. The Programme's Direct Support Mechanism will provide funds to selected communities to demonstrate practical benefits from investing in activities that increase their resilience to climate change and disasters. These demonstration activities are targeted to: (i) community decision-makers to help them recognise the benefits of integrating CCDRM into their community level plans and the value of attracting resources from a range of sources (particularly local government as well as relevant donors); and (ii) local government decision-makers so they can ensure that resources are made available during development planning to support better CCDRM integration.

**Contributing outcomes 2.2: Sub-national specific sector risk governance** - This is focused on developing sectoral corporate plans at sub-national level. As in CO 2.1, some communities will be selected for additional support through the Direct Support Mechanism to implement an activity of a local sectoral plan.

*CO 2.2.1 CCDRM considerations are integrated into specific sector needs assessment, planning, budgeting and performance frameworks at the sub-national and community levels.*

CO 2.2.2 *Community members in a small number of trial locations benefit from implementation of CCDRM activities identified in sub-national sectoral plans.*

**END-OF-PROGRAMME OUTCOME 3: INTERNAL AND EXTERNAL STAKEHOLDERS USE QUALITY, CREDIBLE INFORMATION GENERATED BY THE PROGRAMME TO INFORM THEIR READINESS FOR, ADOPTION OF, OR COMMITMENT TO EFFECTIVE RISK GOVERNANCE**

This focuses on the diffusion of innovation across the Programme at the sub-national, national and whole-of-Programme levels to inform an evolving knowledge base of effective approaches and lessons learned about risk governance. This knowledge base is expected to inform decision makers who are directly involved in the Programme as well as other stakeholders across the region. Learning will be generated from the M&E system and country-specific Risk Governance Analyses. While PRRP does not have the resources to reach all potential external stakeholders or provide sufficient exposure to expect a high degree of use of knowledge generated, it is expected that information generated from the Programme is considered by target stakeholders as relevant to their needs, credible and of good quality.

**Contributing outcome 3.1: Diffusion to Internal Stakeholders**

*Participating country stakeholders adapt relevant process and procedures from their own experiences, and the evolving evidence base of principles and practices for effective risk governance.*

Internal stakeholders are those participating directly in the Programme and include members of partner country agencies, NGOs, community groups, and private sector participants, as well DFAT, UNDP, and Programme implementation teams.

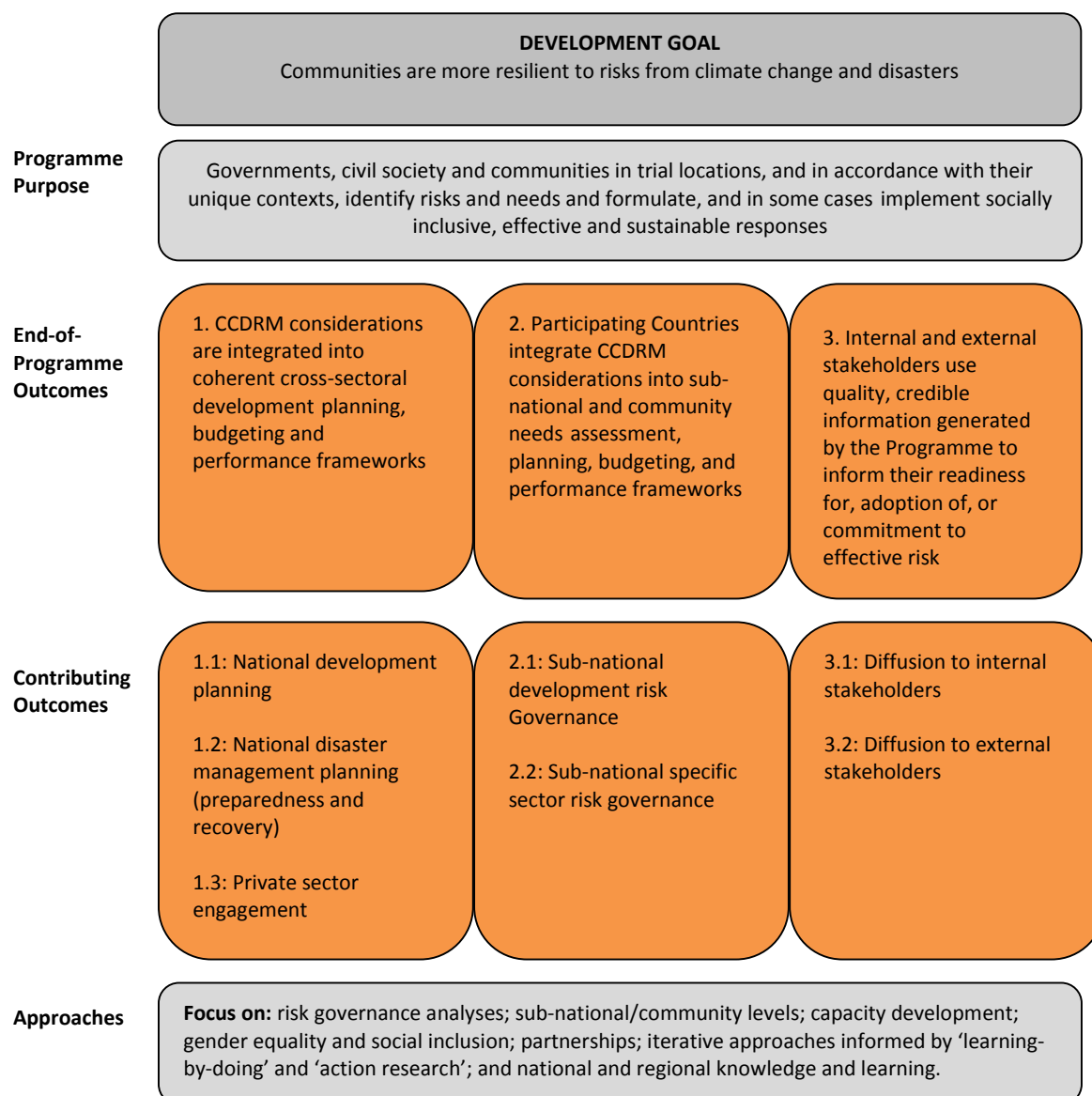
**Contributing outcome 3.2: Diffusion to External Stakeholders**

*External stakeholders in participating countries and the region consider the evolving evidence-base of principles and practices for effective risk governance as relevant and credible for use.*

External stakeholders are those with an interest in better risk governance, but are not participating in the Programme. They include representatives from non-Programme government agencies and NGOs in partner countries, other countries in the region, Pacific regional organisations, other related programmes in DFAT and UNDP, and other donors in the region.

A range of national and regional activities to achieve these Outcomes and account for country-specific priorities and processes and outlined in Country and Regional and associated Annual Work Plans (AWPs). Delivery **approaches** (outlined in detail in [Section 5](#)) will focus on: risk governance analyses; sub-national/community levels; capacity development; gender equality and social inclusion; partnerships; iterative approaches informed by ‘learning-by-doing’ and ‘action-research’; and national and regional knowledge and learning. This strategic framework for the Programme is summarised below:

**Figure 2: PRRP Strategic Framework**



## 5. APPROACHES AND RATIONALE

In the crowded CCDRM 'space' in the region, PRRP places less emphasis on technical aspects of CCDRM and more on supporting an enabling environment for risk governance to improve resilience for Pacific people. It will add value by helping to bring risk governance initiatives directly into the mainstream of sustainable development - moving the current focus on disaster and climate response to sustainable development-centred climate change and disaster risk governance pathways. Ways of achieving this paradigm shift involve seeking to support change in systems and institutions as well as in behaviour and capacity of individuals. This requires unprecedented levels of inclusiveness, engagement with and collaboration between key stakeholders, as well as clearer formulation and understanding of the roles, responsibilities and accountabilities of governments, communities, the private sector, civil society, development partners and other stakeholders. Work in these areas commenced from the Inception Phase and has helped refine the Programme's key approaches that include:

*Risk governance analysis:* There is limited national or regional analysis on the enabling environment, capacities and institutional arrangements for managing CCDRM risks at all levels within PICs. The Programme is supporting the analysis of capacities for managing risk to climate change and disasters both across government and other stakeholders (horizontally) as well as through all levels of decision-making from national to local (vertically). This involves examination of the entire governance system in each country and requires a significant level of understanding and commitment to risk governance. To this end the Programme is developing strong relationships with risk governance ‘champions’ within government departments and across sectors. Under the Inception Phase, detailed analysis was undertaken in Vanuatu with broad findings reinforcing the need for a risk governance approach to help calibrate systems and processes for sustainability. This approach will be being replicated in the other countries as PRRP progresses. The Programme is also building on Climate Public Expenditure and Institutional Review (CPEIR) work in the region that also identifies key gaps in capacity to manage risk as an integral part of sector development policies, plans, budgets and implementation.

*Entry points and change agents:* Systemic change will be triggered and grounded through identified sectoral entry points. Various change agents in government and other agencies will drive this process with support from PRRP. Working through change agents is critical to the impact, sustainability and relevance of PRRP that is specifically avoiding taking a direct service delivery role. Also key to the risk governance approach is engagement with economic and social development agencies (e.g. planning and finance departments and key social and economic sectors such as education and agriculture), as well as traditional DRR/CCA stakeholders (e.g. Disaster Management Offices and climate change units). Integrating CCDRM initiatives can be more viable when focusing on a specific sector and relevant line agencies as a basis for replication across national systems.

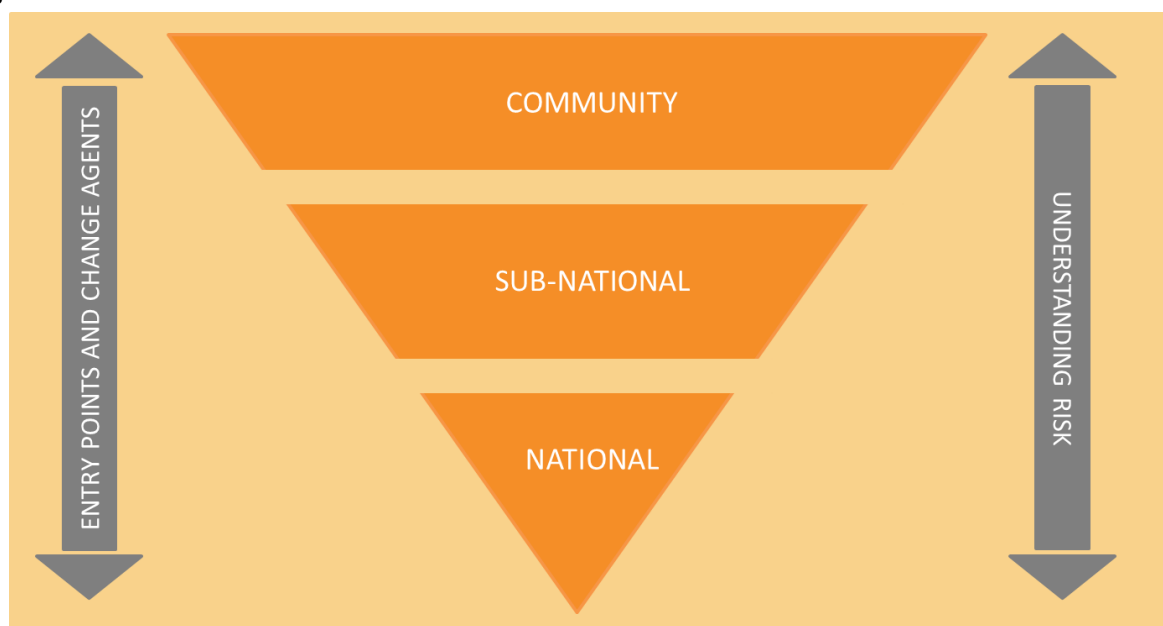
Analysis has been conducted in each country to identify and mobilise the most strategic key entry points and change agents to support the delivery of PRRP interventions. Criteria applied for this process has examined:

- 1) The capacity of change agents;
- 2) Political will for a risk governance approach to CCDRM;
- 3) Emerging mainstreaming of CCDRM (e.g. in medium term development planning in Solomon Islands and decentralisation processes in Vanuatu);
- 4) The level and significance of disaster and climate change risk; and
- 5) The significance of the sector in terms of social and economic development (and potential leverage with other sectors and agencies).

Entry points have identified a thematic area through which opportunities for community and systemic change exist and through which PRRP’s in-country teams can work, via change agents, with communities and governments at all levels. These include food security, education, disaster management, climate finance and natural resources management - with linkages to change agents such as teachers, school managers, farmers, agricultural extension officers and disaster managers. This approach is described in the Figure below:



Figure 3



*Sub-national/community focus:* The greatest potential for integrating CCDRM in PICs is at the sub-national and community levels.<sup>30</sup> The bulk of Programme resources is therefore committed to building resilience at the community level and encouraging partnerships between sub-national governments, communities and NGOs, as well as linkages between sub-national and national governments. Better sub-national and national linkages are expected to help communities: meet their basic needs; improve their livelihoods; enhance leadership and decision-making processes; and improve their access to networks and information on innovation.<sup>31</sup> PRRP’s strategic framework and broad approaches will be adapted to national contextual and capacity realities and will include focus on needs assessments to encourage development planning to respond to perspectives and needs at the local level, rather than top-down planning. These considerations are expected to be reflected in needs assessment, plans, budgets and performance frameworks, as well as into the processes that generate and operationalise these documents. A range of interventions will be supported through a Direct Support Mechanism to help some communities implement elements of plans that require external resources and other forms of assistance (including technical support), and as a means of ‘model testing’ improved CCDRM planning.

*Capacity development:* The Programme is taking a capacity development approach that aims to bring about transformation in changing mindsets and attitudes that is generated and sustained over time from within Pacific countries.<sup>32</sup> It will help enhance risk management capacities through: targeted training to introduce new ideas and methods of operating; quality and timely technical and policy support; effective networking through strong partnerships and relationships; and providing access to good practices and lessons learned. These different activities, when grouped together in a community of practice, are expected to develop a strong reinforcing environment to build risk management capacity at all levels. Capacity development is being integrated systematically in all programming efforts from the risk analyses to delivery instruments and tools. The approach to risk governance explicitly acknowledges the need to

<sup>30</sup> UNISDR/UNDP, *Disaster Risk Reduction and Climate Change Adaptation in the Pacific: An Institutional and Policy Analysis*, 2011

<sup>31</sup> Vanuatu Climate Adaptation Network (VCAN), *Community Resilience Framework* (draft), 2013

<sup>32</sup> UNDP, *Capacity Development: A UNDP Primer*, 2009

go beyond singular entities and that a sustainable approach to managing risk requires stronger integration within Government and across sectors; across Governments, NGO, private sector and partner agencies; and/or from national to community levels. As such, PRRP needs to go beyond focusing capacity development initiatives on single individuals and agencies and also help strengthen *vertical* and *horizontal* relationships in the national governance system incorporating nuanced capacity development approaches that suits different institutions and groups.

*Gender and social inclusion:* An integral component of PRRP is the inclusion of the concerns of different groups of society, through equitable participation in the processes of risk governance. Equitable participation acknowledges everyone's worth as a valued member of society. This contributes to social cohesion, a necessary condition for building community resilience for sustainable national development. Faced with threats of disasters, past generations of Pacific island communities developed a culture that valued co-operation as opposed to competition. They developed strong social cohesion within their small isolated communities. PRRP will help to ensure that the governance systems addressing climate change and disasters take the value of co-operation across different groups of society into account. As such it has developed specific GSI approaches for each partner country to draw on specific cultural dynamics and opportunities for change. As ensuring gender and social inclusive (GSI) implementation is an essential element of risk governance, GSI officers are being recruited in each of the four partner countries. Approaches include:

- Analysing the different needs and contributions of men, women, people with disabilities, youth and older people as a standard process in all **risk governance assessments**; engaging these groups at all stages of risk governance assessments; and helping entry points and change agents develop their capacity to implement inclusive assessment methodologies.
- Undertaking **participatory community consultation** to gain a full understanding of existing structures and initiatives and ensure that CCDRM approaches are relevant and appropriate to the needs and strengths of different community groups.
- Advocating for active involvement of these groups in **decision-making** at all levels.
- Building the **capacity** of key partner government agencies to understand and respond to the different needs of different community groups.
- Ensuring **activities** are designed to deliver inclusive and fair outcomes for different community groups, including: capacity development approaches and communication mechanisms that encourage equitable participation; and separate consultations in community consultations on individual activity design and implementation.
- Advocating for involvement of different community groups to promote balance and **equity in programmes**.
- **Equal opportunity employment and work practices** within PRRP, including the Regional Programme Board addressing gender and social inclusion as a key part of its role.
- Providing gender equality and human rights **training** to raise awareness and contribute to positive behaviour change for community members, CSOs, local NGOs, government officials and the Programme team.
- **Monitoring, evaluation and review** processes informed by appropriate expertise (including participation and inclusion of women and different community groups) with reporting to contribute to the shared knowledge base on inclusive risk governance. Data will be disaggregated by sex and different social groups for Programme planning and documentation of effects.

- **Increasing awareness** on the intersections between gender, disability, development, natural resource management, climate change and disaster risk.

*Partnerships:* PRRP is a partnerships-based programme. Crucial to its success is the enabling of existing networks and modalities and building upon, complementing, harmonising with and leveraging from the range of government and development partner programmes in the four partner countries. Work to date has embedded PRRP within national priorities including the identification of risk governance champions within government and civil society. The Programme has already encouraged participation and ownership from governments and civil society groups, as well as a range of regional and international agencies (many of whom have existing relationships with UNDP, LLEE and DFAT). These include:

- At community levels with village councils, community groups, religious groups, local CSOs/NGOs, and those development partners working in service delivery;
- With provincial governments, municipalities and area councils;
- At national levels with ministries, parliaments, private sector organisations, media, NGOs; and
- With regional agencies and international technical and development partners, including relevant programmes of Pacific regional organisations (predominantly through SPC and PIFS), DFAT (e.g. through current bilateral programmes and the regional Disability Inclusive Development initiative), and UNDP (e.g. through existing and pipeline CCDRM projects managed by the UNDP Multi-Country Office based in Fiji – which manages country specific projects in Vanuatu, Tonga and Fiji – and a dedicated UNDP Sub-Office in Solomon Islands).

Existing Aide Memoires between governments and PRRP highlight appropriate partnerships in the four countries that will be expanded as the Programme progresses.

*Emergent design:* As highlighted in *Section 3* (Theory of Change), a risk governance programme such as PRRP is unable to predict outcomes against a series of known intermediate steps. As well as limited knowledge about what approaches work for effective risk governance, there are also marked differences between countries. These relate to: the strength of existing country governance structures and systems; country readiness to embrace GSI principles; country experiences in community-based planning processes; emergent windows of opportunities that present themselves to introduce new policy agendas or policy options; competing priorities in the national context; organisational incentives to adopt new practices; instability of change agents in position; and absorptive capacity of country partners. PRRP is, therefore, an innovation programme that involves reorganisation at the systems level.

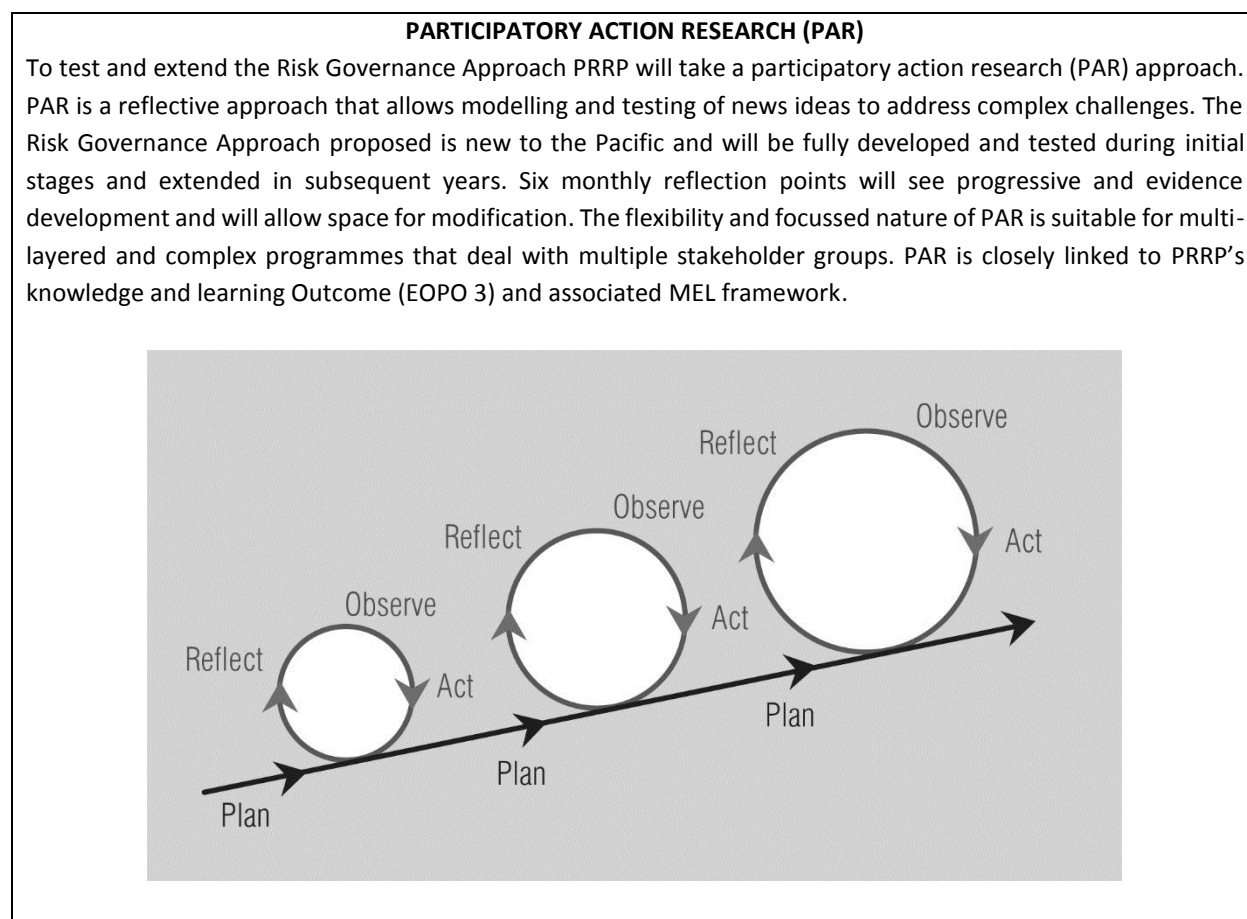
Although there are commonalities across the Programme in terms of the EOPOs outlined above in *Section 4*, each PRRP Country Programme is unique with an evolving AWP tailored to national needs and particular windows of opportunity. PRRP’s iterative programmatic approach informed by ‘learning-by-doing’ is therefore based on reflective practice and adapting to lessons learned through changed perceptions and circumstances within the unique contexts of partner countries. Programming will be flexible to ensure that implementation adapts to country-specific governance arrangements and capacities with six-monthly review of the direction of the Programme to manage opportunities to re-calibrate as and where required.<sup>33</sup> The broad focus on improving risk governance will be balanced with visible results that are of

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<sup>33</sup> This approach is taken by similar multi-country programmes in the region such as the UNDP/UNCDF Pacific Financial Inclusion Programme (PFIP).

benefit to stakeholders to demonstrate progress and increase commitment for the continuous building of momentum of the Programme. This will involve paying careful attention to prioritisation by: starting small; building on successes of horizontal and vertical integration of CCDRM approaches from community to national levels; and progressive sequencing and engagement based on evidence that approaches will work in a particular national or sub-national context.

This programming approach is based on aid effectiveness lessons, especially in fragile states such as in the Pacific, and aims to develop a model for risk governance that can be replicated and expanded both within and across countries if the approach proves successful and additional funds become available. It also helps address sustainability and manage risk effectively.<sup>34</sup> In broad terms, work on Inception Phase programming and early activities in 2013 is being followed by testing/modelling in the four countries in 2014, with the application and leveraging of successes until Programme completion in early 2018. With around 30 percent of Programme funding allocated to deliverables and 70 percent focused on systems and behaviour change, this will ease the transfer of funds across the Programme to adjust to absorptive capacity and the level of support required that will vary across countries and is likely to change over the Programme’s duration.



*Knowledge and learning:* As a large-scale regional risk governance programme it is essential that the knowledge and learning derived from PRRP is made available in the region and beyond. A key Outcome

<sup>34</sup> Brookings institute, Taking Activities to Scale in Fragile and Low Capacity Environments, AusAID Briefing, June 2011; UNDP PC/SOPAC Review of Regional DRM Mainstreaming Programme in the Pacific, March 2011.

of the Programme is to generate relevant, credible and quality information for stakeholders to understand the benefits, barriers and pre-requisites for effective integration of risk governance, and to identify any principles with broader applicability that could guide the development of effective approaches in context. Diffusion of knowledge will aim to re-focus discussions and approaches on CCDRM - moving them from a process-dominated discourse about responses, to resilient development-focused actions that deliver tangible outcomes and benefits to Pacific people.

*Figure 4* below is a representation of the learning cycle of the Programme. At the whole-of-Programme level, Programme teams provide advice to participants based on three sources of information: analytical pieces that draw on international, regional and national literature or experiences on better practice in risk governance; evolving knowledge generated through the PRRP M&E system; and well-informed professional judgement from Programme teams or other stakeholders. Regular synthesis of this evolving knowledge base will help partner countries refine their approaches during implementation. At a country level, a range of exploratory studies will be undertaken to learn about what works, and to identify Programme or contextual factors that account for any change. These studies will also identify any pre-requisites that must be in place for a reasonable expectation of success. Regular synthesis of the information generated at the country level is expected to inform national partner agencies to improve their approaches as well as inform the whole-of-Programme knowledge base. Over the life of the Programme the knowledge base will distil the learning across all partner countries to develop a set of guiding principles for risk governance in the Pacific context. This knowledge will be packaged into suitable messages and formats, and communicated to internal and external stakeholders via a range of effective channels. This process will be guided by a *Diffusion of Innovation Strategy*. Important outcomes of the Programme will be the extent to which this information reaches intended users, and if and how they integrate this knowledge into conceptual, political or instrumental uses<sup>35</sup>

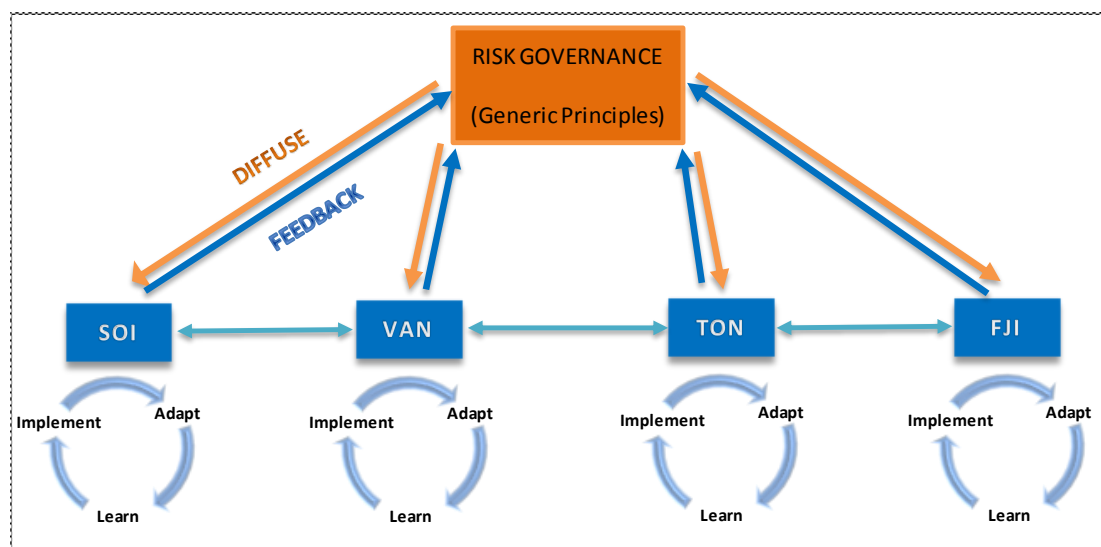
To support this strategy, PRRP is able to access a range of knowledge management and communications services externally as well as from UNDP Pacific Centre's Integrated Communications Knowledge Management function (comprising the Pacific Solution Exchange, the Gender and Knowledge Management Specialist, Communications Specialist, and Knowledge Communications Analyst).

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<sup>35</sup> **Conceptual use:** this is where information 'enlightens' decision makers. It feeds new information into a decision maker's general views, or opens up new possibilities for the policy agenda. The information informs the arena in which decisions are made. It can challenge existing assumptions and traditions. It can alter the way issues are framed and options are presented, or increase or reduce the priority that certain issues are given in the policy or practice setting. It can be useful background material. **Political use:** Here information is used to legitimize a political action. Sometimes information can be used to support an existing view or position on something. To convince non-believers, strengthen arguments, and reduce the influence of those who do not agree. **Instrumental use:** This is where knowledge leads directly to a real decision. It is where the knowledge provides very specific information that leads to the design of a new policy, program, process or procedure so that practices are improved, or ineffective programs are no longer funded. This is less common than conceptual or political use.



**Figure 4: Diffusion of Learning**



*Policy coherence:* PRRP is consistent with, and adds value to, Australian, regional, UN and other international policy frameworks including:

- DFAT’s *Safer Future: a Disaster Risk Reduction Policy for the Australian Aid Program*, and *Humanitarian Action Policy (HAP)*.
- *Emerging Strategy for Climate and Disaster Resilient Development in the Pacific (SRDP)*
- *Hyogo Framework for Action (HFA) 2005-15*.
- *World Bank’s Policy and Practice Note on integrating disaster risk management (DRM) and climate change adaptation (CCA) in the Pacific*.
- *OECD’s Declaration on Integrating Climate Adaptation into Development Cooperation (2006)*.
- UNDP’s global Strategic Plan (2014-2017), Pacific Regional UNDAF, and UNDP’s Regional Programme Document for Asia and the Pacific (2014-2017)<sup>36</sup>
- Aid effectiveness principles under the Paris Declaration, Pacific Aid Effectiveness Principles, Accra Action Agenda and Forum Compact.

*Limitations:* The focus of the Programme is on integrating risks posed by climate change and disasters into development (i.e. risk governance) - and not improving broader governance systems. This can raise the need to address underlying governance issues. For example, when trying to integrate CCDRM into a cross-sectoral plan, the underlying coordination mechanism or the planning process itself may be weak. The scope of the Programme does not allow for significant interventions to deal with these underlying systems or underlying performance management systems. Where systems are weak, the Programme will analyse the impact this has on CCDRM integration, and may support partners to identify alternative resources to help solve any underlying issues.

<sup>36</sup> Through the UNDP Asia-Pacific Regional Programme Document’s Outcome 3 on lowering the risks of disasters and climate change and, specifically, Output 3.2: Effective institutional, legislative and policy frameworks in place to enhance the implementation of disaster and climate risk management.

These Programme approaches are detailed through specific national and regional activities that contribute to End-of-Programme and Contributing Outcomes - outlined in Country Strategies and associated Annual Work Plans (AWPs), as well as the Results and Resources Framework (RRF – see below).

## 6. RESULTS AND RESOURCES FRAMEWORK

PRRP is being implemented through partner-led investment (in DFAT terminology) for a project outside a Country Programme Action Plan (in UNDP terminology). As such UNDP Pacific Centre signed a third-party cost-sharing agreement with DFAT in October 2012 for a US\$14.3 million investment to January 2018.<sup>37</sup> UNDP subsequently entered into a partnership agreement with LLEE in October 2013 for Programme implementation. These arrangements reflect consideration of: value for money, ability to impact on the lives of people directly through established programmes at community levels, appropriate management capacity, sound relationship networks with NGOs, acceptance and reputation with national stakeholders, and maximising opportunities for the harmonisation of programs of other development partners.

PRRP is scalable and structured to accommodate a growing and changing volume of work over time. In the context of the country-led, evolutionary approach of PRRP the budget may be adjusted as appropriate and agreed through Programme governance processes. Annual Programme resource allocations are detailed in the country and regional AWPs. The **indicative budget** for the Programme is summarised in the Table below and in the Results and Resources Framework (RRF) at *Annex 1*.

	USD
EOPO1 National Development	\$5,820,100
EOPO2 Sub-National Development	\$3,174,600
EOPO3 Diffusion of Innovation	\$1,587,300
Programme Management Costs	\$3,718,000
<b>TOTAL</b>	<b>\$14,300,000</b>

## 7. MANAGEMENT AND IMPLEMENTATION

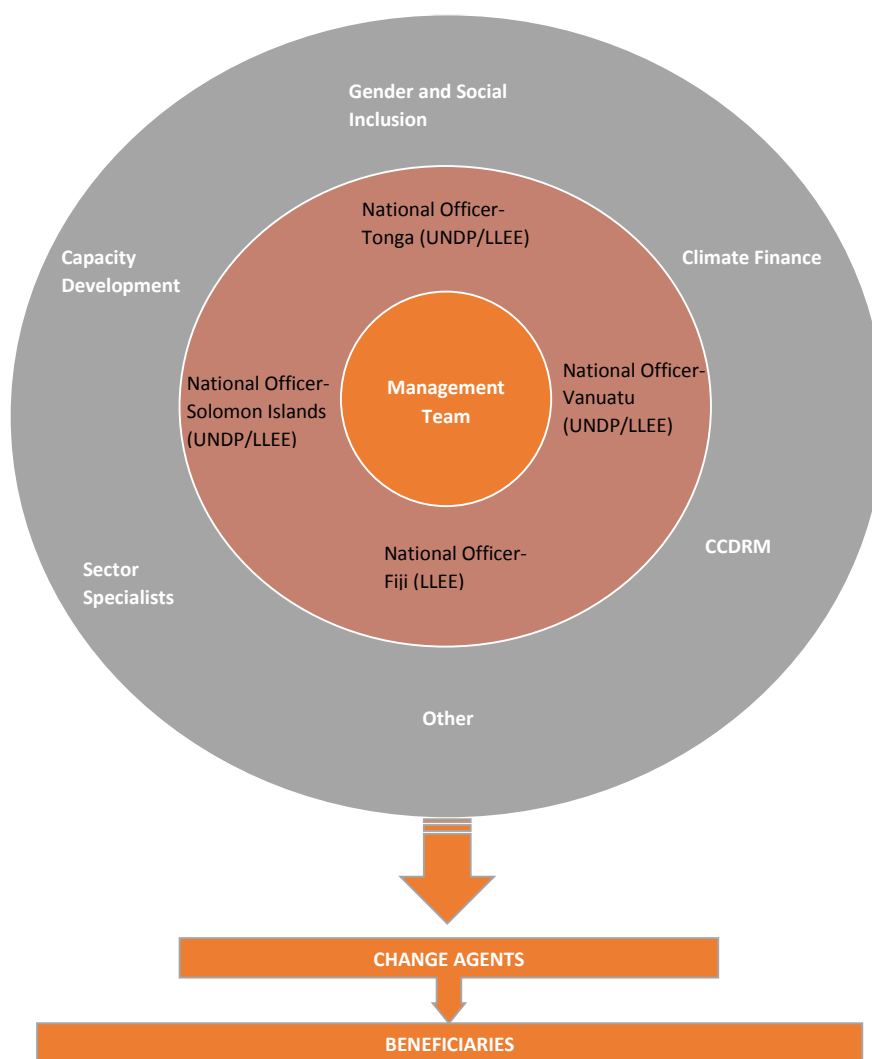
PRRP is helping to review and expand national integration and coordination functions in the four partner countries with national steering committees being established and/or strengthened to manage integration of CCDRM across Government and civil society and with development partners. As a risk governance Programme it is essential that **management arrangements** support these current and evolving governance arrangements. Existing national coordination mechanisms will therefore provide oversight and strategic direction for the Programme at country level.

<sup>37</sup> The actual amount of investment by DFAT is \$16 million AUD. Given that this is provided in installments over the programme duration and that UNDP operates in US dollars, the US dollar total is an estimate and is likely to change based on future currency exchange fluctuations between AUD and USD.

**Management** of the Programme is undertaken by UNDP Pacific Centre in partnership with LLEE. The partnership between the two agencies is based on a 'hub and spokes' management model. At regional management level both the UNDP Programme Coordinator and LLEE Regional Manager are based in Suva and meet regularly (including with DFAT), undertake joint in-country visits where possible, and liaise with regional and international partners, as well as knowledge management specialists within UNDP. At the country level national UNDP and LLEE officers work as one team as reflected in the AWP for each country. UNDP Programme Assistants are located in UNDP offices in Solomon Islands, Tonga and Fiji, and within the Ministry of Climate Change in Vanuatu. LLEE Local Level Coordinators are based in LLEE offices in each country with offices also at Provincial levels in Solomon Islands and Vanuatu. In Tonga, LLEE is co-located with the Mainstreaming of Rural Development Innovation (MORDI) Tonga Trust.

These arrangements provide a strong national and sub-national PRRP presence with key change agents at different levels and are supported by regular meetings and close liaison within Programme country teams. GSI officers are being recruited for each country team to ensure inclusive and participatory involvement of different social groups at all levels of Programme delivery. As PRRP is an innovation Programme priority has been given to recruiting highly capable and motivated staff with skills that can facilitate local input rather than having a focus on control of specified Outcomes. Additionally, a range of national, regional and international advisers and technical experts are being engaged for short-term inputs, as required. This pool of expertise is an integral part of the PRRP team and will complement and add value to national and Programme personnel across a range of areas. Appropriate administrative support is also in place to assist with Programme administration, procurement and financial management. These arrangements are summarised in *Figure 5*:

Figure 5



To maximise efficient Programme management, **roles and responsibilities** are as follows (and illustrated in *Figure 6* below):

**Regional Programme Board** will:

- Comprise membership from Solomon Islands, Vanuatu, Fiji, Tonga, DFAT, UNDP and LLEE - with country members from national CCDRM steering committee (if/when established) or appropriate delegate
- Meet virtually six-monthly to review progress, approve work plans and provide overall strategic direction and quality assurance to the Programme
- Provide context-specific advice on gender and social inclusion issues, risk management and regional knowledge dissemination

**UNDP Pacific centre** will:

- Provide the overarching Programme coordination and management role
- Be responsible for quality assurance, national and Programme-level M&E and reporting to Governments, the Regional Programme Board, DFAT and UNDP

- Provide policy analysis and advice, including on gender equity and social inclusion, to help support change in risk governance as it develops
- Facilitate national and regional institutional partnerships between levels of government and across sectors and countries (including with Pacific regional organisations, DFAT Posts and other UN and development partners' programmes)
- Advocate for CCDRM integration across government and sector programmes
- Lead capacity development activities for Government agencies at national and sub-national levels
- Manage the knowledge management system to ensure that performance information and lessons learned are captured within and across the four countries and support regional practice
- Provide Secretariat services to the Regional Programme Board
- Source policy advice and technical expertise: (i) by establishing a Programme Technical Advisory Group (TAG); and (ii) from UNDP regional centres and other regional and international partners
- Establish and manage a conflict resolution system to ensure accountability of Programme implementation

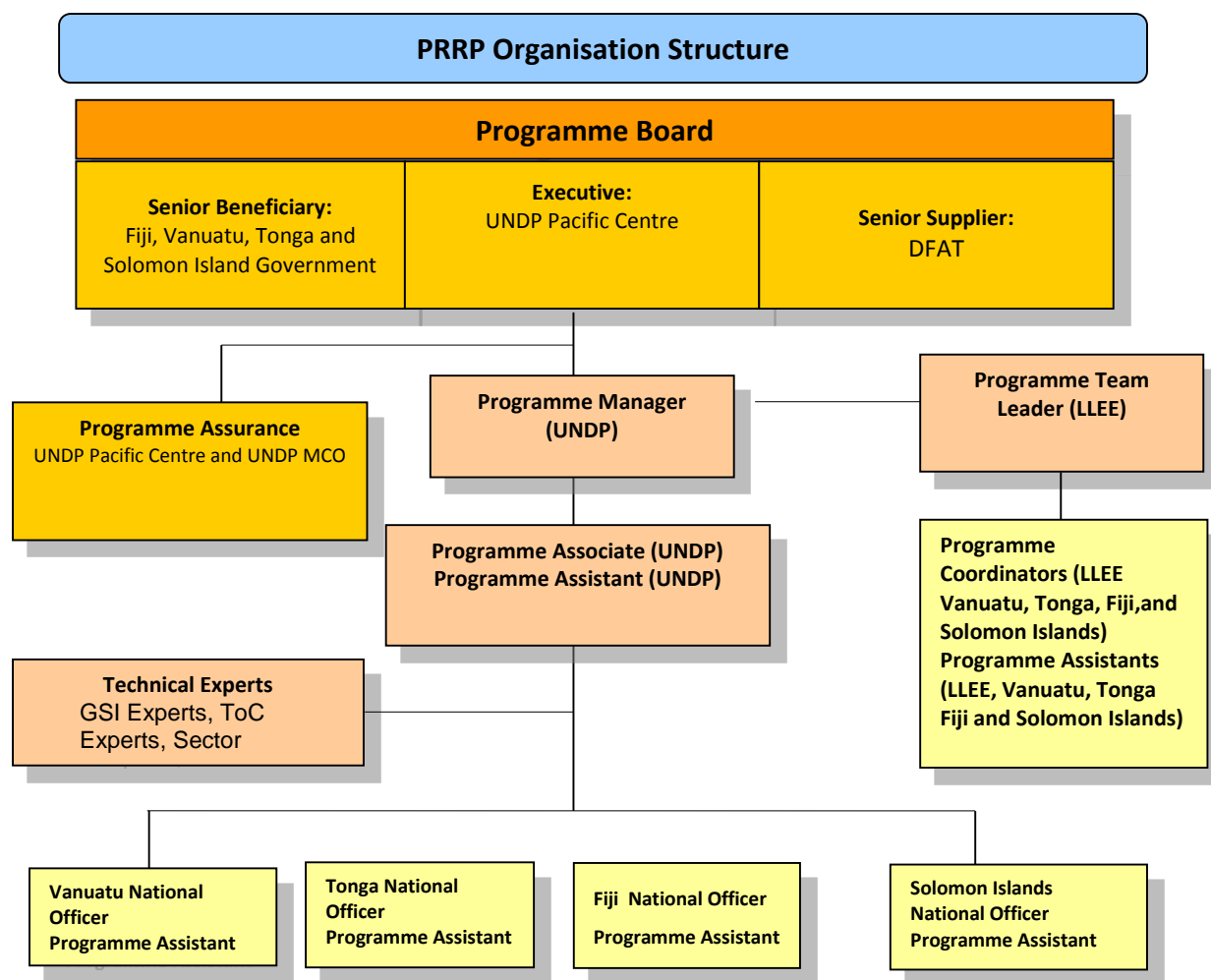
**LLEE will:**

- Manage Programme implementation through change agents at sub-national and community levels including, as required, establishing contracts and/or agreements with relevant NGOs and CSOs
- Develop and expand partnerships with sub-national government bodies, NGOs, CSOs and communities, particularly to improve gender equality and social inclusion in CCDRM
- Facilitate/mentor sub-national involvement in Programme activities, particularly the provision of technical advice and support to communities and local level governments
- Facilitate technical appraisal of community small grants (under the Direct Support Mechanism) through sub-national or national appraisal committees, as appropriate; and, potentially, facilitate grant proposals from sub-national to national levels if required
- Support M&E and knowledge management, particularly by gathering participatory information at sub-national levels

**Pool of expert advisers will:**

- Be selected and appointed by UNDP Pacific Centre, in consultation with the Regional Programme Board, on flexible contracts for a range of short-term inputs as required
- Provide specific advice and peer review to complement and add value to national and Programme expertise
- Comprise a range of national, regional and international advisers and technical experts in areas such as CCA and DRM, climate finance, GSI, capacity development, M&E, knowledge management, sectoral expertise, etc.

**Figure 6: PRRP Organisation Structure**



## 8. MONITORING, EVALUATION AND LEARNING

PRRP’s emergent design approach informed by ‘learning-by-doing’ and ‘participatory action-research’ is based on reflective practice and adapting to lessons learned through changed perceptions and circumstances. As PRRP is based on an emergent strategy to support effective adoption and diffusion of risk governance innovations in the complex CCDRM context - its ongoing monitoring, evaluation and learning (MEL) and performance management varies from traditional systematic log-frame approaches to M&E.<sup>38</sup> It focuses on:

- Developing new measures and monitoring mechanisms as outcomes emerge in response to context-specific implementation and engagement;
- Qualitative processes to capture system dynamics, interdependencies and emergent interconnections; and
- Learning to respond strategically to what is unfolding.

<sup>38</sup> DFAT, *Pacific Regional Evaluation Capacity Building Program*, 2013; Quinn-Patton, *Developmental Evaluation: Applying Complexity Concepts To Enhance Innovation And Use*, 2010

Programme MEL must provide accountability to multiple stakeholders, including information required for national, DFAT and UNDP reporting and compliance processes. Development of a simple and effective MEL Framework to serve multiple objectives is therefore challenging and requires flexibility to evolve as PRRP progresses. On this basis, the MEL Framework has been developed to **serve the following needs**: (i) learning and modification as the Programme develops for policy and practice evidence to achieve a paradigm shift for risk governance; (ii) information for influencing stakeholders; (iii) accountability for outcomes and spending to funders and partners; and (iv) contribution of learning on risk governance across the region.

The Framework is premised on the following **principles**:

- Providing opportunities for the influence of stakeholders;
- Accounting for Pacific people's diversity, including women, people with disabilities, youth and older people;
- Building national expertise in inclusive, participatory M&E;
- Allowing flexibility for adaption to local contexts, changing circumstances and concerns of stakeholders;
- Focusing on qualitative and participatory collection of information to address the social dimensions of change and examine the driving forces of individuals, communities and institutions towards change;
- Assessing and identifying new and emerging risks; and
- Ensuring simplicity without over-burdening partners and detracting from Programme delivery - yet rigorous and sufficiently comprehensive to provide meaningful findings.

**Methodology** will cover:

- Measuring progress that is being achieved (through Contributing Outcomes) as well as the change being sought (through End of Programme Outcomes);
- Performance questions to measure more intangible aspects of attitudes and behaviour to risk governance – importantly through the voices of stakeholders from community to national levels;
- Using existing formal measurement, where it exists, through national and regional partners (such as national CCDRM reporting, regional agency and UN/DFAT programmes, and research institutions) to: enhance capacity of national government and community stakeholders; reduce duplication of efforts; and support comparative evaluation of change;
- Integrating social inclusion issues (e.g. gender, age, disability, etc.) through disaggregating data by social groups (this can be time-consuming but is essential as a key element of PRRP); and
- Using a variety of reporting formats for different stakeholders (standard, visual, oral, etc.).

**Approaches to data collection** include performance monitoring, a range of quality assessments, analytical pieces and exploratory evaluations, monitoring of the Direct Support Mechanism, and regular joint monitoring visits.

International lessons demonstrate the importance of allocating adequate resources to MEL without it overtaking the focus on delivery of Programme activities. Specific **resource allocation** at a country as well as broader Programme level will support the people and institutions needed to collect, study, and disseminate relevant data and information. Despite resource and capacity constraints in PICs **MEL needs**

to be ‘owned’ by national implementers as part of core work and not as an ‘add-on’ supported by external agencies or advisers. As a complex multi-stakeholder governance Programme, PRRP will support in-country MEL functions through: capacity development of change agents and other key stakeholders, as well as its national team members and GSI officers; the M&E resources of UNDP Pacific Centre; and an international M&E specialist at strategic points during Programme implementation.

Country strategies and regional activities have separate monitoring approaches in line with national analysis and change pathways. These are consistent with the strategic focus of PRRP and contribute to broader End of Programme and Contributing Outcomes. Analysis from national monitoring will feed into Programme-level MEL. UNDP will coordinate **management** of these activities in partnership with LLEE. Change agents responsible for implementation of activities will be expected to provide information on progress of delivery against expected outcomes. PRRP field and GSI officers will support this process with specific responsibilities for analysis and feedback including field data collection and evaluations. Government and community stakeholders will also be supported to provide information about the relevance and the quality of activities. As a key user of the MEL information provided, the Regional Programme Board will ensure that quality information meets Programme needs and stakeholder expectations.

As discussed above in *Section 5 (Knowledge and Learning)*, an **information system** will be established by UNDP to accrue performance information across the Programme and support analysis and reporting. The database will capture information to enable reporting by intervention against relevant Contributing Outcomes and ensure that issues arising during implementation are identified and addressed.

PRRP implementation, management and monitoring require ongoing and systematic **reporting** to the full range of stakeholders that is analytical, rather than a detailed description of what has been delivered. Reporting will capture M&E information and share lessons to provide feedback on progress, as well as the causal links between the Programme’s TOC, strategic framework and implementation. Reporting responsibilities and frequency, supported by reporting protocols for Programme teams, are as follows:

- *Annual Plan*: prepared by UNDP/LLEE for approval by the Regional Programme Board. The Annual Plan will include: an update on progress over the past 12 months (including financial disbursements disaggregated by country and GSI considerations) in line with the Programme’s strategic framework; and a forward work plan and budget estimates for ongoing regional and national activities for the coming year. The annual plan and associated reporting will be submitted to the Board at the end of each calendar year.
- *Six-monthly reports*: prepared mid-way through each implementation year by UNDP/LLEE for approval by the Regional Programme Board. These reports will be brief, providing an update on progress, expenditure and significant issues requiring attention or decision, and including an update on forward pipeline and budgets. These reports may be submitted electronically.
- *Exception reporting*: as and when required regarding significant issues requiring attention or decision.
- *Independent Evaluations*: in compliance with UNDP requirements, a series of external evaluations will be undertaken (Mid-Term - 2016), and towards Programme completion (Final Term – mid 2018). Evaluations will: test the relevance of Programme activities to key stakeholders; evaluate performance against the expected Programme Outcomes; identify lessons relating to efficiency and effectiveness from implementation; and evaluate the effectiveness and sustainability of institutional



arrangements. The final term evaluation will also explore the feasibility and scope for a second phase to PRRP.

- *Final Report*: prepared by UNDP/LLEE for approval by the Regional Programme Board at PRRP completion in July 2018.

Measuring the effectiveness of risk governance programmes, policies and national systems is inherently complex and, to date, limited attention has been focussed in this area in the Pacific. This poses specific **risk management** challenges for PRRP's MEL approach. Institutional challenges include: competing demands on change agents and stakeholders; inability to develop a culture of reflection, debate and learning; insufficient technical or human resource capacity to carry out MEL functions; and tentativeness by stakeholders in utilising and disseminating MEL findings. Technical challenges include: defining success against uncertainty of impacts; and determining adequate timing for the evaluation of activities to derive a useful measure of outcomes in light of exogenous factors. Together, these challenges may result in MEL approaches not being implemented in total or part as has been the case with many other development programmes across the region. Measures to reduce these risks include: supporting national MEL functions with targeted capacity development; incorporating MEL roles into the TORs of the Regional Programme Board and duty statements and performance appraisal processes of PRRP management and team members; using external MEL expertise as required; and supporting and promoting regional risk governance learning.

During the Inception Phase, initial MEL approaches were identified and have since been further refined at End-of-Programme and Contributing Outcomes level for the broad Programme, based on M&E approaches (at Outputs level) identified in the four Country Strategies and specific regional activities. These are based on best practices from operational monitoring, evaluation and reporting frameworks.<sup>39</sup>

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## 9. RISK MANAGEMENT

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Implementation of PRRP, which is supporting innovation and complex risk governance work, is an inherently high-risk exercise. It will be important for management to be flexible and avoid risk-averse responses while also ensuring accountability. This may involve experimentation and potential failure in some instances. To ensure the integrity of Programme implementation, strong relationships and open discussions will be critical as the willingness and capacity to work collaboratively, as well as share knowledge and learning, are significant risks to achieving better risk governance at all levels.

Programme management of a complex multi-sector Programme across countries will require appropriate capacity with recruitment of skilled and experienced personnel with flexibility to receive external advice and assistance. As UN administrative mechanisms can be complex, UNDP Pacific Centre will need to ensure streamlined and appropriate processes. Management of the Direct Support Mechanism by LLEE

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<sup>39</sup> This includes UNDP's *Monitoring and Evaluation Framework for Adaption to Climate Change, 2007*; GEF's *Adaptation Monitoring and Assessment Tool*; *Learning to ADAPT: M&E Approaches in Climate Change Adaptation and Disaster Risk Reduction – Challenges, Gaps and Ways Forward*, Strengthening Climate Resilience Discussion Paper 9, DFID; Quinn-Patton, *Developmental Evaluation: Applying Complexity Concepts To Enhance Innovation And Use*, 2010; and UNDP's *Regional Programme for Asia and the Pacific, 2014-2017*.

will need to ensure financial accountability without excess administrative burdens. Key risks for the Programme and proposed management approaches are detailed in the MEL Plan. These include:

- Routine needs assessments, planning, budgeting and performance management systems may not be sufficiently robust to achieve meaningful changes in resilience for communities.
- Community-based planning mechanisms may not be sufficiently robust to sustain changed practices.
- Cross-sectoral coordination practices may not be sufficiently effective to achieve meaningful changes in resilience for communities.
- Decision makers may have competing priorities that lower the priority of risk governance interventions.
- Individuals who can effectively lead change are not identified for new Posts.
- Knowledge products are not perceived as relevant, credible, or of good quality by stakeholders.

Regional and national teams and key thematic entry points and change agents will monitor implementation to ensure that risk management remains robust. The Regional Programme Board will also assess and advise on risk management responses in line with DFAT and UNDP processes.

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## 10. SUSTAINABILITY

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A crucial element of PRRP's sustainability is its support through national policies, processes and systems at community and government levels via policy advice, capacity development and partnership approaches. Additionally, supporting evolutionary change through strategic and consistent support to strengthen the enabling environment for risk governance and national and regional knowledge and learning will support sustainability of investments. A strong focus on MEL will test assumptions of the broad direction and specific proposed approaches for broadening and deepening the Programme as it develops.

While it is expected that PRRP will have significant implications for improving risk governance and resilience in the Pacific, the sustainability of support will not become evident for some time given the entrenched challenges and capacity constraints of addressing a complex and wide-ranging issue. A medium-term view of five years will build a basis for further support beyond July 2018 if additional investment becomes available, as well as signal the long-term systemic nature of the CCDRM risk governance challenge in the region.

## ANNEX 1: RESULTS AND RESOURCES FRAMEWORK

<p><b>PRRP will contribute to achieving the following Outcomes of the Regional Programme for Asia and the Pacific (2014-2017):</b></p> <p><b>Outcome 1.</b> Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded (Strategic Plan outcome 1)</p> <p><b>Outcome 3:</b> Countries are able to reduce the likelihood of conflict, and lower the risk of natural disasters, including from climate change (Strategic Plan outcome 5)</p> <p><b>Outcome 4:</b> Development debates and actions at all levels prioritise poverty, inequality and exclusion, consistent with our engagement principles (Strategic Plan outcome 7)</p>				
<p><b>Regional Programme for Asia and the Pacific (2014-2017) Outcome Indicators:</b></p> <p><b>Indicator 1.4:</b> Number of countries in which comprehensive measures are implemented with UNDP assistance to achieve low-emission and climate-resilient development objectives</p> <p><b>Indicator 3.1:</b> Percentage of countries with disaster and climate risk management plans that are fully funded in national, local and sectoral development budgets</p>				
<p><b>Partnership Strategy:</b></p> <p><b>Donor:</b> Australian Government Department of Foreign Affairs and Trade (DFAT)</p> <p><b>Implementing Partner:</b> United Nations Development Programme Pacific Centre (UNDP PC)</p> <p><b>Responsible Partner:</b> Live and Learn Environmental Education (LLEE)</p>				
<p><b>Project title:</b> Pacific Risk Resilience Programme</p> <p><b>ATLAS AWARD ID:</b> 00084347</p>				
<b>ATLAS PROJECT ID (Regional):</b> 00092407	<b>ATLAS PROJECT ID (Vanuatu):</b> 00092406	<b>ATLAS PROJECT ID (Tonga):</b> 00092405	<b>ATLAS PROJECT ID (Fiji):</b> 00092401	<b>ATLAS PROJECT ID (Solomon):</b> 00092403
<p><b>PRRP PURPOSE:</b> Governments, civil society and communities in trial locations, and in accordance with their unique contexts, identify risks and needs and formulate, and in some cases implement socially inclusive, effective and sustainable responses.</p>				

End-of-Programme Outcome 1	Indicator	Baseline	Source of verification	Risks and Assumptions	INPUTS (USD)
<b>CCDRM considerations are integrated into coherent cross-sectoral development planning, budgeting and performance frameworks</b>					<b>\$5,738,700</b>
<b>Contributing Outcome 1.1: National development planning</b>					
1.1.1 CCDRM considerations are integrated into coherent National Development Plans, budgets and performance frameworks	# countries with national development plans that adequately meet quality criteria # countries with national development plan budgets that meet quality criteria # countries with national development plan performance frameworks that meet quality criteria	Risk not integrated in Government development planning and budgeting and performance frameworks Capacity constraints in integrating risk in national institutional frameworks Lack of effective coordination and access to climate finance	Performance monitoring Quality assessments Analytical pieces Exploratory evaluations Joint monitoring visits	Routine needs assessment, planning, budgeting and performance management systems may not be sufficiently robust to achieve meaningful changes in resilience for communities Decision makers may have competing priorities that lower the priority of risk governance interventions PRRP cannot identify individuals for new posts that can effectively lead change.	
1.1.2 CCDRM considerations are integrated into National Corporate Plans, budgets and performance frameworks (additional emphasis on Agriculture and Education Corporate Plans).	# of associated sector corporate plans that meet quality criteria # of associated sector corporate plan budgets that meet quality criteria # of associated sector corporate plan performance frameworks that meet quality criteria	Absence of national, sub-national and community planning, coordination and implementation mechanisms for risk in key sectors Capacity constraints at all levels	As above	Routine needs assessment, planning, budgeting and performance management systems may not be sufficiently robust to achieve meaningful changes in resilience for communities Cross-sectoral coordination practices may not be sufficiently effective to achieve meaningful changes in resilience for communities Decision makers may have competing priorities that lower the priority of risk governance interventions PRRP cannot identify individuals for new posts that can effectively lead change	
<b>Contributing Outcome 1.2: National Disaster Management (Preparedness and Recovery)</b>					
1.2.1 A functional Cluster coordination mechanism operates to coordinate a needs-based preparedness plan, and implement activity plans in times of a disaster (focus is on education, food security and social protections Clusters).	# countries with Education Cluster needs-based preparedness plans that adequately meet quality criteria # countries with Food Security Cluster needs-based preparedness plans that adequately meet quality criteria # countries with Social Protection Cluster needs-based preparedness plans that adequately meet quality criteria	As above	As above	Routine needs assessment, planning, budgeting and performance management systems may not be sufficiently robust to achieve meaningful changes in resilience for communities Cross-sectoral coordination practices may not be sufficiently effective to achieve meaningful changes in resilience for communities	

				Decision makers may have competing priorities that lower the priority of risk governance interventions PRRP cannot identify individuals for new posts that can effectively lead change	
1.2.2 Recovery approaches that are activated in a disaster event are reflected in revised national recovery plans and planning processes.	# countries with national recovery plan that meets quality criteria	As above	As above	As above	
1.2.3 Community members in a small number of trial locations benefit from activities identified in activated recovery plans	A small number of key performance indicators for activities supported under the direct support grants. These should be included in Activity design and reflect the capacity of implementing partners to collect.	CCDRM not integrated in disaster recovery planning	Performance monitoring Quality assessments Analytical pieces Exploratory evaluations M&E of Direct Support Mechanisms (DSM) Joint monitoring visits	Community-based planning mechanisms are not sufficiently robust to sustain changed practices Cross-sectoral coordination practices may not be sufficiently effective to achieve meaningful changes in resilience for communities	
<b>Contributing Outcome 1.3: Private Sector Engagement</b>					
1.3.1 Durable partnerships with the private sector reach communities (particularly remote communities) to deliver cost-effective services or provide access to CCDRM activities.	Evaluative studies only	Risk not generally integrated in PPPs, or CCDRM-specific PPPs established	Performance monitoring Quality assessments Analytical pieces Exploratory evaluations Joint monitoring visits	Routine needs assessment, planning, budgeting and performance management systems may not be sufficiently robust to achieve meaningful changes in resilience for communities Community-based planning mechanisms are not sufficiently robust to sustain changed practices Cross-sectoral coordination practices may not be sufficiently effective to achieve meaningful changes in resilience for communities Decision makers may have competing priorities that lower the priority of risk governance interventions PRRP cannot identify individuals for new posts that can effectively lead change	
1.3.2 CCDRM considerations are integrated into consent processes for private sector development activities.	# countries with guidelines for private sector development activities that integrate CCDRM considerations # countries with private sector development activity approval criteria that integrate CCDRM considerations	As above	As above	Routine planning, budgeting and performance management systems may not be sufficiently robust to achieve meaningful changes Cross-sectoral coordination practices may not be sufficiently effective to achieve meaningful changes Decision makers may have competing priorities that lower the priority of risk governance interventions PRRP cannot identify individuals for new posts that can effectively lead change	

End-of-Programme Outcome 2	Indicator	Baseline	Source of verification	Risks and Assumptions	INPUTS (USD)
<b>Participating Countries integrate CCDRM considerations into sub-national and community needs assessment, planning, budgeting, and performance frameworks</b>					<b>\$3,130,200</b>
<b>Contributing Outcome 2.1: Sub-national development risk governance</b>					
2.1.1 CCDRM considerations are integrated into sub-national development needs assessment, planning, budgeting and performance frameworks at the sub-national and community levels	% participating provincial development plans that meet CCDRM quality criteria % participating provincial development plan budgets that meet CCDRM quality criteria % participating provincial development plan performance frameworks that meet CCDRM quality criteria % participating community development plans that meet CCDRM quality criteria	Risk not incorporated in sub-national and community planning  Capacity constraints in integrating risk in sub-national and community planning	As above	Routine needs assessment, planning, budgeting and performance management systems may not be sufficiently robust to achieve meaningful changes in resilience for communities Community-based planning mechanisms are not sufficiently robust to sustain changed practices Cross-sectoral coordination practices may not be sufficiently effective to achieve meaningful changes in resilience for communities Decision makers may have competing priorities that lower the priority of risk governance interventions PRRP cannot identify individuals for new posts that can effectively lead change	
2.1.2. Community members in trial locations benefit from demonstration of CCDRM activities identified in community level development plans	A small number of key performance indicators for activities supported under the direct support mechanism. These should be included in Activity design and reflect the capacity of implementing partners to collect.	CCDRM not integrated in community development plans	Performance monitoring Quality assessments Analytical pieces Exploratory evaluations M&E of DSM Joint monitoring visits	Community-based planning mechanisms are not sufficiently robust to sustain changed practices Cross-sectoral coordination practices may not be sufficiently effective to achieve meaningful changes in resilience for communities	

Contributing Outcome 2.2: Sub-national specific sector risk governance					
2.2.1. CCDRM considerations are integrated into specific sector needs assessment, planning, budgeting and performance frameworks at the sub-national and community levels	Same as 2.1.1 but indicating which sectoral plans are the subject of assessment	Risk not incorporated in sub-national and community planning  Capacity constraints in integrating risk in sub-national and community planning	Performance monitoring Quality assessments Analytical pieces Exploratory evaluations Joint monitoring visits	Routine needs assessment, planning, budgeting and performance management systems may not be sufficiently robust to achieve meaningful changes in resilience for communities Community-based planning mechanisms are not sufficiently robust to sustain changed practices Cross-sectoral coordination practices may not be sufficiently effective to achieve meaningful changes in resilience for communities Decision makers may have competing priorities that lower the priority of risk governance interventions PRRP cannot identify individuals for new posts that can effectively lead change	
2.2.2. Community members in a small number of trial locations benefit from implementation of CCDRM activities identified in sub-national sectoral plans	Same as 2.1.2	CCDRM not integrated in community development plans	Performance monitoring Quality assessments Analytical pieces Exploratory evaluations M&E of DSM Joint monitoring visits	Community-based planning mechanisms are not sufficiently robust to sustain changed practices Cross-sectoral coordination practices may not be sufficiently effective to achieve meaningful changes in resilience for communities	

End-of-Programme Outcome 3	Indicator	Baseline	Source of verification	Risks and Assumptions	INPUTS (USD)
<b>Internal and external stakeholders use quality, credible information generated by the program to inform their readiness for, adoption of, or commitment to effective risk governance</b>					<b>\$1,565,100</b>
<b>Contributing Outcome 3.1 Diffusion to internal stakeholders</b>					
Participating country stakeholders adapt relevant processes and procedures from their own experiences, and the evolving evidence base of principles and practices for effective risk governance	Evaluative studies only	Low levels of understanding/awareness of the need to integrate risk Ineffective risk governance analyses, knowledge management and communications Poor quality and sharing of risk information	Performance monitoring Quality assessments Analytical pieces Exploratory evaluations Joint monitoring visits	Reputation of implementation and funding partners from knowledge products that are not perceived as credible/quality by target stakeholders	
<b>Contributing Outcome 3.2 Diffusion to external stakeholders</b>					
External stakeholders in participating countries and the region consider the evolving evidence-base of principles and practices for effective risk governance as relevant and credible for use	% priority knowledge products that pass peer review % target stakeholders who are aware of relevant knowledge products % target stakeholders who consider relevant knowledge products relevant to their needs % target stakeholders who consider relevant knowledge products of sufficient quality for use	As above	As above	As above	
<b>PROGRAMME MANAGEMENT</b>					<b>\$3,666,000</b>
Efficient Programme management/governance	Evaluation of efficiency and effectiveness of: Strategic oversight of the program Programme implementation against the annual plan Programme expenditure Human and material resource management Risk management	New programme	Performance monitoring  Consultations with Programme stakeholders  Programme documentation	Appropriate management arrangements and capacity are in place to identify appropriate and expanded opportunities to impact on broader change in the medium to long term to help bring risk governance into development and sectoral planning Regional Programme Board members have the capacity (skills/time/resources) to participate effectively	
<b>TOTAL</b>					<b>\$14,300,000</b>