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*Empowered lives.
Resilient nations.*

RISK GOVERNANCE BUILDING BLOCKS, FOR RESILIENT DEVELOPMENT IN THE PACIFIC



LIVE & LEARN
Environmental Education

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KEY MESSAGES

Disaster and climate risks are a development issue

Over the past ten years, 1.5 billion people were affected by disasters (ISDR 2015). Climate change is projected to magnify disaster and environmental risks (IPCC, 2012); and Pacific Island Countries (PICs) are some of the most vulnerable in the world (World Bank, 2012).

Risks from both disaster hazards and climate change threaten development objectives and are in turn, affected by development choices (OECD, 2009). The realisation that risk is largely rooted in flawed development has meant that increasingly climate and disaster risks are viewed as everyone's business and not just the domain of national disaster management or climate change agencies (UNDP, 2015).

Increasingly, actors from the separate fields of disaster management, climate change and poverty reduction are promoting resilience as a unifying or common goal. However, the route to achieving risk informed and more resilient development is less clear. Although the literature has much to say on why climate change and disaster hazards should be intrinsic parts of development (World Bank, 2012), practitioners are still struggling to translate this theory into practical action.

Mainstreaming risk into development

Mainstreaming literature suggests that climate and disaster risks have traditionally been treated as a stand-alone or add-on issues. Early attempts to bring climate and disaster risk management into the mainstream of development policy and practice, focused on separate or parallel policies, strategies or projects (USAID, 2014). More recent mainstreaming approaches have taken development policies and processes as a starting point, yet at times have struggled to move away from externally imposed priorities, capacities and parallel agendas for risk, and at times have been criticised for degenerating into "tokenism" with very little achieved (IIED, 2013). Further, the literature consistently identifies a number of bottlenecks to mainstreaming. These generally relate to issues of capacity, leadership, commitment, funding, coordination, and knowledge; and these are all key governance issues (Aysan and Lavell, 2014; UNDP, 2015).

A more recent and effective approach to mainstreaming is 'transformative', which moves away from externally imposed priorities and parallel systems, processes and projects for risk (IIED, 2013). Transformative mainstreaming, challenges the success of conventional approaches to delivering risk informed development and instead champions a mainstreaming process that works towards more significant and systematic change (Bahadur, 2013). It looks to embed risk into the "very definition" of development and promote changes in ways of thinking, behaviour and organisational culture (Daly, 2005), taking existing development priorities and capacities as the starting point (IIED, 2013). It also looks to empower development actors to address existing inequalities and vulnerabilities (including those linked to gender and social inclusion) as part of development policy and practice (UNICEF, 2016; UNDP, 2010; Brody, 2005).

Defining risk governance

This paper proposes that to transform approaches to 'mainstreaming' and truly embed or institutionalise risk into development policy and practice, it is necessary to tackle deep-seated governance issues underlying development. Governance in its simplest sense, is about how decisions are made and implemented (IGRC, 2008). For transformative, long term change, it will be necessary to support the people, mechanisms and processes behind

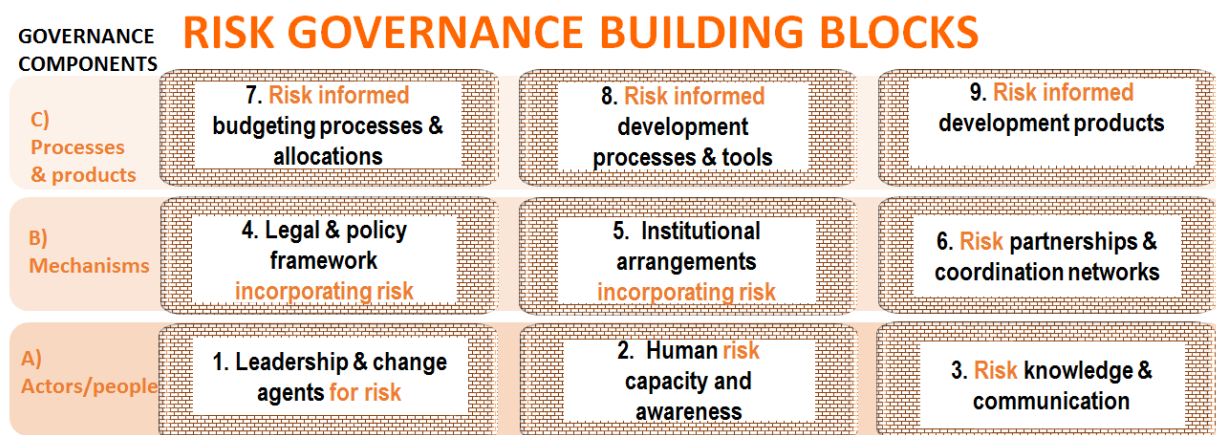
development decision making, and adapt them to the specific requirements of risk management. This means tackling governance issues but from a risk perspective - in other words “risk governance” strengthening.

Given that risk governance is a relatively new field, this paper has drawn heavily on the experiences of mainstreaming and risk governance strengthening for other cross-cutting issues such as gender, conflict, environmental management, HIV/AIDS and sustainable development. These have highlighted that “effective governance is key to success” (UNEP, 2011) and will help institutionalise mainstreaming and ensure risk informed development is the new norm (USAID, 2014; IIED, 2013).

The risk governance building blocks

This paper identifies nine core risk governance building blocks, which provide the foundation for risk informed development. Only by strengthening priority building blocks, will many of the challenges that are currently being faced by practitioners attempting to mainstream risk into development, be resolved. This approach is flexible to differing needs, priorities and different risk sources; and priority building blocks (or entry points) will be dependent upon the mainstreaming context.

Figure 1: The Risk Governance Building Blocks



Experiences in the Pacific

The Pacific Risk Resilience Programme (PRRP), has started to apply the Risk Governance building blocks in the Pacific; and is already seeing early results. The starting point for the programme’s work was an analysis of the political, economic and social country context (including governance challenges) in order to map out the risk governance baseline against the proposed building blocks. This helped identify context specific priorities or entry points. The initial findings are demonstrating that a focus on strengthening priority risk governance building blocks “from within” a country’s development agenda, is supporting more systematic and institutionalised mainstreaming of risks into development planning and budgeting.

The next step is to extend piloting of the building blocks to different countries, context, sectors and levels (i.e. national and subnational) and then update the building blocks with feedback from this practical implementation. Findings from the application of the framework is potentially of great interest, not only in the Pacific, but to government policymakers and planners globally.

ACRONYMS

ACCRA	African Climate Change Resilience Alliance
ADB	Asian Development Bank
CC	Climate Change
CCA	Climate Change Adaptation
CCDRM	Climate Change Disaster Risk Management (integrated)
CSO	Civil Society Organisation
DfID	Department for International Development (UK)
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EC	European Community
EIA	Environmental Impact Assessment
GDP	Gross Domestic Product
GNDR	The Global Network of Civil Society Organisations for Disaster Reduction
HFA	Hyogo Framework for Action
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
IIED	International Institute for Environment and Development
IRGC	International Risk Governance Council
IPCC	Intergovernmental Panel on Climate Change
ISDR	International Strategy for Disaster Risk Reduction
LCDF	Least Developed Countries Fund
MDGs	Millennium Development Goals
NGO	Non-Governmental Organisation
NIE	New Institutional Economics
ODI	Overseas Development Institute (UK)
OECD	Organisation for Economic Cooperation and Development
PEA	Political Economy Analysis
PICs	Pacific Island Countries
PIFS	Pacific Islands Forum Secretariat
PPP	Private Public Partnership
PRRP	Pacific Risk Resilience Programme (UNDP)
SCCF	Special Climate Change Fund
SDGs	Sustainable Development Goals
SIDA	Swedish International Development Agency
SPC	Secretariat of the Pacific Community
SREP	Secretariat of the Pacific Regional Environment Programme
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNICEF	United Nations Children’s Fund
UNISDR	United Nations International Strategy for Disaster Risk Reduction
USAID	United States Agency for International Development
USD	US Dollars
WB	World Bank

1 INTRODUCTION

This paper sets out a framework for ‘Risk Governance’ to help practitioners mainstream climate and disaster risk¹ into development decision making in the Pacific. It is based largely on the experiences of testing this framework in the Pacific via the Pacific Risk Resilience Programme (PRRP). It aims to: i) articulate the rationale for strengthening risk governance as the foundation for transformational and therefore more sustained risk mainstreaming; ii) draw upon lessons and challenges from mainstreaming other cross-cutting issues; iii) unpack the Risk Governance framework and its building blocks to provide practitioners with an approach to embedding risk into development policy and practice; and iv) provide some early experiences programming the building blocks of risk governance in the region.

The primary audience for this framework is government development decision makers, specifically policy makers and planners from national, sector and subnational levels in the Pacific. The framework is also aimed at development partner practitioners working to support governments mainstream climate and disaster risk management into development policies, plans, budgets and projects.

In terms of scope, this paper will limit itself to national, sector and subnational governance (rather than regional governance²). It will also focus on risks associated with climate change (focusing on adaptation), and disaster hazards; emphasising that risks cannot be understood and/or addressed in isolation from gender and social factors, which contribute to vulnerability to disaster hazards and climate change as well as capacity to cope with these events or changes. However, it is noted that the Risk Governance Framework is sufficiently flexible to be applicable to the mainstreaming of other key risks such as environmental management.

This paper is starting point for a series of forthcoming papers that will share experiences applying the Risk Governance Framework to a variety of contexts (i.e. development planning, recovery planning), levels (national, subnational, sector) and countries. These experiences will be used to refine the risk governance building blocks, track mainstreaming progress against the building blocks; and in time demonstrate how strengthening the building blocks will contribute to behavioural change of development practitioners and ultimately tangible resilience outcomes and capacities on the ground in the Pacific.

In terms of content, the paper firstly provides the rationale for new approaches to mainstreaming (*Section 2*), before reviewing experiences (from the gender, conflict, environment, and HIV/AIDs literature) demonstrating more successful transformative approaches to mainstreaming, which are founded on risk governance strengthening (*Section 3*). A framework for Risk Governance is then introduced in *Section 4*; and finally experiences from operationalising the framework in the Pacific are shared in *Section 5*.

¹ Risk is defined as “the probability of suffering harm or loss” (Mitchell and Harris, 2012: 2). It relates to a wide range of risks sources (for example climate change, environmental change, natural disasters, and conflict) and their impact on human life, health, the economy, social institutions, and the natural and built environment (IRGC, 2008).

² Although this Risk Governance framework will help PIC governments implement the forthcoming “*Regional Strategy for Climate and Disaster Resilience in the Pacific*” (SRDP) (PIFs, 2015).

2 MAINSTREAMING RISK INTO DEVELOPMENT

This section identifies that high levels of risks associated with climate change and disasters, can knock Pacific countries off their development pathways; and yet at the same time development itself provides an opportunity to reduce vulnerability and support adaptation. It notes that initial approaches to mainstream risk management into development policy and practice have at times treated risk as an add-on or have promoted parallel risk processes, policies and projects that bypass government development planning systems. This section shares experiences showing that early mainstreaming efforts have not always been sustainable and practitioners frequently highlight multiple challenges or stumbling blocks. This section concludes by introducing the need for new approaches to mainstreaming in the Pacific, that are less piecemeal and project-based; and instead transform the development agenda from “within” and embed risk in a more systematic and permanent way.

2.1 Rationale for mainstreaming risk

Pacific Island countries are some of the most vulnerable in the world to natural hazards (World Bank, 2012). Of the 20 countries with the highest average annual disaster losses against gross domestic product (GDP), eight are Pacific Island countries: Vanuatu, Niue, Tonga, the Federated States of Micronesia, Solomon Islands, Fiji, the Marshall Islands, and the Cook Islands (World Bank, 2012).

Recent climate projections identify significant changes for the Pacific. These include an increase in extreme warm days and nights, change in frequency and intensity of rainfall events, an increase in intensity of tropical cyclones (in the South Pacific), a rise in sea level, and average ocean temperature, and an increase in ocean acidification (SIRCO, 2014; IPCC 2007). In the last decade, some Pacific Island Countries experienced disaster losses that in a single year were close to, and in some cases were higher, than their GDP. For example, the 2007 earthquake and tsunami in Solomon Islands, caused losses equivalent to approximately 90 percent of the 2006 recurrent government budget (ADB, 2007).

Disasters can therefore significantly impact progress towards sustainable development. Over the past ten years, approximately 23 million people were made homeless as a result of disasters and total economic loss was more than USD 1.3 trillion (UNISDR, 2015). This threat to development is set to rise under a changing climate, with disasters increasingly undermining development gains and threatening future development outcomes (World Bank, 2012).

Disasters also disproportionately endangers the rights of economically or socially marginal or vulnerable groups. Disasters impact certain members of society more than others. The gendered asymmetry in vulnerability to disaster and climate risk is primarily rooted in geographic, economic, social, educational, informational and political power imbalances across all levels. Studies have shown that disaster fatality rates are much higher for women, in large part, due to gendered differences in coping capacity and insufficient access to information and early warnings (2013). For example, 61 percent of the deaths in Cyclone Nargis in Myanmar, 55-70 percent of Banda Aceh tsunami deaths and 90 percent of the 140,000 people killed in the 1991 cyclone disaster in Bangladesh were women (World Bank, 2011).

Additionally, vulnerability to climate and disaster risks is affected by development choices. Development can unintentionally increase vulnerability if it is not well planned. Importantly however, development also provides an opportunity to counter increasing damages and losses from disasters (OECD, 2009), through support for underlying factors contributing to vulnerability (see *Box 1*).

In the Pacific, an important turning point was the release of the policy and practice paper: “Acting Today, For Tomorrow,” which identified that “business as usual” approaches would slow economic growth. Specifically, it noted that the focus on disaster relief rather than long-term disaster risk reduction and climate change adaptation would slow economic growth, set back progress against the then Millennium Development Goals³, and increase vulnerability of the poor and other marginalised groups (World Bank, 2012).

Elsewhere, the idea that risk is largely rooted in flawed development has informed more recent consideration of risk as an intrinsic part of development and is a concept that is gaining traction globally internationally (UNDP, 2010).

Box 1: Links between development and disasters

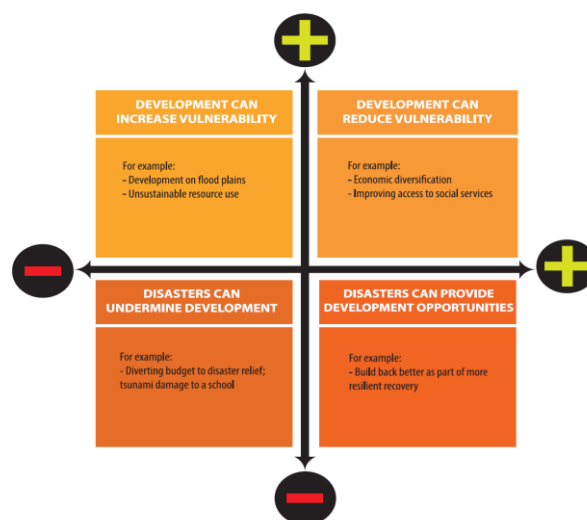
Risk results from the interaction between a source of risk, for example a hazard (e.g. flooding) or changes (e.g. sea level rise) with a vulnerable resource or receptor (i.e. element at risk) notably people, assets, infrastructure, activities and resources. Physical, environmental, economic and social factors shape vulnerability alongside capacity to deal with these risks.

Climate and disaster risks can threaten development objectives and achievements. For example, planned development of certain geographical zones such as coastal areas (vulnerable to sea-level rise and storm surges) or sectors (such as hydropower in the energy sector) can be significantly impacted by hazards (such as tsunamis), climate variability or change effects (such as sea level rise) leading to higher costs in the long run (OECD, 2009).

Public or private development can unintentionally increase risk exposure or vulnerability. For example, an agricultural development on a floodplain or a tourism project in a low-lying coastal area could be at risk from flooding or storm surges. Hazards therefore become disasters as a result of day-to-day development decisions that can be responsible for high levels of vulnerability (UNDP, 2004) (see *Figure 2*).

Conversely, development provides an opportunity to reduce vulnerability to risk, either directly (e.g. locating a new school building away from a floodplain) or indirectly, for example by promoting livelihoods diversification to increase resilience to future disasters). Development that incorporates risk can therefore safeguard humanitarian and economic investments (UNISDR, 2009).

Figure 2: Relationship between development and disasters



³ Note the 17 voluntary Sustainable Development Goals (SDGs) adopted in September 2015, are the successor goals to the MDGs.

In summary, there is increasing consensus regionally and globally that risk considerations need to be “grounded in development” and considered “inherent in the very definition of development” (World Bank, 2012; Aysan & Lavell, 2014;). This has focused attention on:

- **Resilient development** as a common goal⁴ across the development, climate change and disaster risk management agendas; and
- **Mainstreaming** as a process to bring risk into the “mainstream” of development decision making and practice (IIED, 2014).

2.2 Approaches to mainstreaming

Mainstreaming has been promoted as a way to incorporate risk considerations into existing development systems, priorities, capacities, policies, processes and practices (IIED, 2014). Mainstreaming reflects a process of institutionalising or sustaining change to ensure that risk and its management is “*embedded into development practice and fully institutionalised within development agendas*” by a wide range of stakeholders working together to reduce disaster and climate losses (UNDP, 2010).

Mainstreaming is not new; it is a concept that has been adopted by a number of different sectors and for a number of cross-cutting issues. There is general consensus that mainstreaming is an active process rather than a goal (2003) with the outputs of mainstreaming a means to an end (UNDP, 2013; UNDP & SREP, 2013). Three characteristics of mainstreaming are highlighted in the literature: i) it is a deliberate process; ii) there are multiple routes and/outputs that can be targeted (e.g. policies, plans, legislation); and iii) mainstreaming should take place across multiple levels of government (IIED, 2013).

Usually, practitioners have adopted two main starting points for mainstreaming that take either risk or development as a starting point (see *Box 2*). The “risk-first” approach has been critiqued for treating risk as a unique or separate entity, creating an entirely new or parallel set of processes (USAID, 2014). The “development first” approach is increasingly popular as this incorporates consideration of shocks and stresses into existing development processes (USAID, 2014).

Box 2: Risk or development-first approaches to mainstreaming

- **Risk first approach:** many institutions have employed a risk or data-first approach, which draws upon climate data and future projections as a starting point to assess risk and opportunities (USAID, 2014). However, this approach has been shown to mismatch climate projections and data to policy, planning and management timeframes, and the information generated has not always been sector specific, policy-relevant or actionable (*ibid*).
- **Development-first:** this approach identifies entry points within national, local and sector development planning and budgeting processes. It begins with an understanding of development priorities, current stressors, and vulnerabilities and then brings risk impacts into focus over relevant timescales to understand current and future risks and identify priorities for action (USAID, 2014). This approach moves away from risk as a separate issue, avoids parallel processes

⁴ The fields of CCA, DRM and development have developed in parallel, promoted by separate UN bodies and policy frameworks – the UN Framework Convention for Climate Change (UNFCCC) and the Paris Agreement, the Sendai Framework for Disaster Risk Reduction (2015-30) and the Sustainable Development Goals. This separation is often mirrored in national institutional arrangements. Resilience offers a unifying concept and overall goal for these three agendas and different actors (Mitchell and Harris, 2012).

and instead treats CCA or DRR as unique aspects of development. Although climate and disaster information is important, it is only used to increase understanding of development priorities, sectors or geographical areas – leading to more informed planning and decision making i.e. risk informed development.

2.3 Mainstreaming challenges

A range of mainstreaming shortcomings relating to definition knowledge, awareness and methodology have been identified in the literature (Mackay and Bilton, 2003). For example, there is widespread confusion over the meaning of mainstreaming and a multiplicity of definitions: *“mainstreaming is a term which is increasingly used, but is less well understood”* (ibid).

Despite extensive use of the term “mainstreaming,” there is no clear blueprint for putting it into practice (IIED, 2014). This has in part been attributed to the difficulties of developing tools and approaches responsive to specific country contexts or issues of concern (IIED, 2014). A number of initiatives or programmes have developed guidelines or frameworks for tackling either climate or disaster risk⁵ mainstreaming. Rarely however, have these initiatives focused on both DRR and CCA.

Traditional risk-first approaches in the Pacific have focused on stand-alone policy initiatives and have also resulted in a large number of stand-alone community-based DRR or CCA programmes that bypass government planning systems and fail to link with wider development planning processes (IIED, 2013). A number of countries in the Pacific have chosen to develop dedicated national policies on climate change and disaster risk management, for example the Joint National Action Plans (JNAPs) in Tonga and Cook Islands. However, these plans tend not formally linked to national development planning and budgetary systems. Similarly, although a significant body of experience in community-based risk management programmes has accumulated over the last three decades, a number of common weaknesses have been identified. These include their pilot nature, a lack of coordination between different agencies working at the sub-national level, and a tendency to focus on quick impact at the community level at the expense of a deeper engagement with government actors (UNDP, 2010). This lack of engagement with other actors, and integration with planners and policy-makers at different levels of government, has often made it difficult to sustain activities beyond the lifespan of projects.

The more recent focus on development-first approaches to mainstreaming, has led to practitioners advocating two possible outcomes - integration or agenda setting:

- The dominant discourse is integrationist mainstreaming, which focuses on adding issues to current development plans, policies and plans without questioning or addressing inherent social inequalities and state interests. This suggests the notion of integration of risk into development to enhance the latter’s performance (HFA, 2014) and has been linked with the notion of externally imposed priorities and capacities (IIED, 2013). To achieve integration, a number of organisations have adopted what the OECD identify as the “climate lens” or “risk lens” approach to examining and “risk proofing” a strategy, policy, plan, programme or regulation (2009). However, the real impact of applying a climate lens only materialises when translated into actual enforcement of decisions and implementation (OECD, 2009). More recent literature moves away from a focus on “risk proofing” to a more realistic outcome of “risk informing” the development agenda: *“global partners must listen*

⁵ For example, the *“Mainstreaming DRR into Development at the National Level: A Practical Framework”* (UNDP, 2010) or *“Mainstreaming Environment and Climate for Poverty Reduction and Sustainable Development: A Handbook to Strengthen Planning and Budgeting Processes”* (UNDP-UNEP, 2015).

to the growing number of voices that are calling for development to be addressed through a risk-informed lens” (Scheuer, 2016).

- The second discourse is **agenda setting**, which follows a more consultative approach to allow the recognition of marginalised voices and more comprehensively mainstream “*from the bottom up*” (Jahan 1995; UNDP 2010). Since the mid-2000s, attempts to promote risk from the development dimension, have tried to institutionalise the outcomes of community based DRM activities and establish linkages between village-level and wider development planning. This has required, amongst other things, analysing the role of traditional social structures, the power relations within them, and how the use, control and distribution of resources are governed (UNDP, 2010). This discourse offers some important reminders on the importance of incorporating the experiences, perceptions and concerns of communities or other target audiences (IFRC, 2008).

However, development first mainstreaming results have had been mixed. Despite many successes in terms of policy development, awareness raising and capacity building, a large number of reviews have revealed shortcomings in the achievement of mainstreaming goals and objectives (IIED, 2013). Advances are evident, but efforts to reduce risk do not match the scale of the challenge; and institutional and funding arrangements are not conducive to comprehensive and integrated approaches across sectors and levels (Scheuer, 2016). Similarly, there has been insufficient consideration to implementation challenges and sustainability over the long term (International Alert, 2004); and instead mainstreaming has been viewed as a series of outputs, laws or plans (Aysan and Lavell, 2014). Further, the issues being mainstreamed are perceived to originate from outside, with development partners imposing specific expectations for planning, disbursement and monitoring systems (IIED, 2013).

The literature also highlights a number of bottlenecks to mainstreaming, many of which relate to insufficient consideration of the underlying governance issues or governance context (IIED, 2014). These mainstreaming challenges relate most commonly to the following:

- **People or stakeholders:** including low risk capacity, understanding, knowledge and skills; lack of leadership; weak relationships between agencies; poor coordination and limited inter-sector cooperation; information shortages; lack of political will for change; low prioritisation of risk and pre-disaster management; and poor linkages and partnerships with key stakeholders (UNDP, 2015; IIED, 2014).
- **Enabling mechanisms:** including organisational rigidity and silo approaches; limited resources; competition for power and resources between agencies; and poor implementation or enforcement of legislation (UNDP, 2015; Aysan and Lavell 2014).

In response to these challenges, new approaches to mainstreaming are being identified. A more recent, and reportedly, more effective approach is **transformative**, which aims to transform the existing development agenda from within the system (Jahan 1995) and transform the culture of governments and public bodies by addressing underlying governance issues and empowering a wide range of actors (Verloo 2005).

3 RISK GOVERNANCE AND THE RESILIENT DEVELOPMENT AGENDA

This section identifies that a transformative approach to mainstreaming moves beyond “adding on” risk to development policy and practice. Instead, it shows that mainstreaming needs to systematically transform the development agenda from within, and reduce underlying vulnerabilities that contribute to disaster and climate risk. This section draws upon literature for other issues which are similarly cross-cutting in impact (e.g. gender, conflict, HIV/AIDs and environment) to demonstrate that by drilling-down and strengthening underlying components of governance (i.e. people, mechanisms, processes) linked to development decision making, risk will increasingly be considered as part of development policy and practice. This section highlights the importance of behavioural change (rather than simply focusing on governance outputs such as risk informed policies, laws or plans) to support implementation. A shift in mind-sets and behaviours will drive more permanent and institutionalised mainstreaming and ultimately contribute to more resilient development outcomes.

3.1 A transformative approach to mainstreaming

The previous sections have highlight the need for a more transformative approach to mainstreaming that embeds risk at the heart of development. However, the key question is: “*How can this be done?*”

A transformative approach to mainstreaming moves away from externally imposed priorities and parallel systems, processes and projects for risk, to embedding risk into existing development systems, priorities and capacities (IIED 2013). It supports country driven mainstreaming and existing planning expertise as the engine for change (IIED, 2013). It puts risk management in the very definition of development, and highlights the need for a change in thinking and behaviour within agencies, to support sustained transformation of the mainstream itself (Daly, 2005). Despite the concerns that transformation is yet another buzzword, recent research has concluded that it has considerable value in underpinning the notion of radical change as a necessary condition to tackle risks such as climate change (Bahadur, 2012). Transformation is therefore about altering the fundamental attributes of a system (ODI, 2012). Rather than simply adding a palliative onto an existing risk generating system, transformative approaches therefore reframe or redefine development itself (Aysan and Lavell, 2014).

Transformative mainstreaming requires more holistic approaches. The gender literature identifies a need for more holistic or strategic mainstreaming and a deeper understanding of the conceptual issues underpinning mainstreaming (Mackay and Bilton, 2003). Much of the gender mainstreaming experience to-date has been piecemeal including one-off policy, pilot projects, or the development of training and tools in the absence of more systematic structural change. These it is suggested, should be viewed as preliminary initiatives rather than as evidence of mainstreaming in action (ibid). These experiences mirror analysis shared in the climate and disaster risk mainstreaming literature, which further acknowledges that the governance of disaster risk cannot be separated from other types of risk including those associated with climate change, environmental degradation, financial crisis and conflicts (UNDP, 2014). A more holistic mainstreaming approach will support a more comprehensive and deeper understanding of risk and associated vulnerabilities.

Transformative mainstreaming is an on-going process and not a “one-off technical activity.” The tendency to focus on integrating cross-cutting issues into specific policies (i.e. poverty reduction strategies) has resulted in implementation challenges and has been less sustainable over the long term (International Alert, 2004). Experience has shown that mainstreaming is more than just developing appropriate policies and tools (IIED, 2014) or

governance products but about transforming these outputs into resilience outcomes (Aysan and Lavell, 2014). There is therefore a need for durable solutions and this requires addressing governance problems (GDRC, n.d.). Mainstreaming therefore needs to reflect a process of institutionalising or sustaining change (IIED, 2013).

Transformational mainstreaming requires a focus on people. National actors are by far the most important factor in effecting change; and transformational change can by definition only be achieved by country actors (UNDP, 2011). This means political will and commitment (World Bank, 2012), broad based national ownership for transformational change (UNDP, 2011) and empowering governments to determine how risks relate to *their* plans and priorities then decide on action as required (IIED, 2013). A review of recent case studies to identify success factors for transformational change, further identified that in order to be successful, *“truly transformational change must also embrace civil society stakeholders, both in the commercial and the non-profit sectors, including community based organisations”* (UNDP, 2011). Therefore, as one practitioner noted, there is consensus that transformative approaches to mainstreaming are needed to address and overcome existing power differences and interests (Daly, 2005) and ultimately are needed to empower a diverse set of actors (Verloo, 2005).

Transformative mainstreaming requires significant changes in ways of thinking, behaviour and organisational culture. Mainstreaming requires change: the organisational culture must break with old ways of thinking and act on new concepts (ADB, 2012). For example, the gender literature notes that real change in the situation of women cannot be achieved by adding marginal programmes for women. Instead, it requires changes to mainstream policies and resource allocations to ensure the priorities of women are incorporated⁶; and that they participate in decision making (UNDP, 2010). Effective climate and disaster risk governance therefore requires governments to take an active role in bringing about shifts in interest, perceptions and building coalitions for change (Meadowcroft, 2009). Specifically, leadership, political commitment and motivation, including financial support are needed to support change, promote integration and strengthen the organisational culture at all levels and across all programmes (ADB, 2012; International Alert, 2004). These are all governance issues.

3.2 The critical role of effective governance

The literature for other cross-cutting issues consistently identifies ‘effective,’ ‘good’ or ‘good-enough’ governance as the key to mainstreaming success (Aysan and Lavell, 2014). More recent literature challenges the prevailing development paradigm that treats some cross-cutting issues such as the environment as an institutional and economic externality with mainstreaming degenerating into tokenism with little achieved (IIED, 2014). Instead, the literature increasingly identifies that strategic and deep-seated changes are needed in the enabling governance environment (*ibid*): *“that effective governance is key to success in addressing environmental challenges – or for that matter any important societal objective – is beyond reasonable dispute”* (UNDP, 2014). Pahl-Worstl confirm the importance of effective governance: *“governance failures are central to many natural resource problems.”* Similarly, effective governance is seen as a key and decisive factor in the outcome of efforts to respond to the AIDS epidemic at global and national levels (UNDP, n.d).

Transformational mainstreaming means tackling a number of core governance issues (see Box 3). Governance provides the best opportunities for addressing the root causes of risk (UNISDR/UNDP, 2015) and is one of the top four global priorities for action articulated by the Sendai Framework adopted in March 2015. It is identified in the

⁶ This resonates with a human rights approach, which seeks to analyse inequalities, which lie at the heart of development problems (UNICEF, 2016).

literature as critical to institutionalise mainstreaming and to overcome the challenges that have been experienced to date (IIED, 2014).

Box 3: What is governance?

Governance refers to the interaction and decision-making amongst actors at all levels (including those in positions of power, the private sector and ordinary citizens) (Brody, 2009). According to UNDP it comprises the: *“mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences”* (UNDP, 2013).

Good or effective governance is about the quality of decision making and is characterised by the following principles: participation, responsiveness, transparency, accountability, effectiveness, efficiency, rule of law, inclusion and equity (UNDP, 2013).

The literature for other cross-cutting issues highlights the importance of underlying governance issues to secure transformational change; rather than dealing superficially with policies and projects on the surface (IIED, 2013). A number of key governance issues are emphasised in the literature (see Box 4).

Box 4: Strengthening governance to secure transformational change

- **Awareness raising to support transformative approaches** (Mackay and Bilton, 2003). For example, at the heart of the governance and AIDS challenge is the possible trade-off between viewing AIDS as an emergency that calls for vertical responses; and regarding it is an integral component of a broader national development agenda⁷ (UNDP, n.d.). As UNDP note advocacy and awareness raising are needed to influence people, policies, structures and systems to bring about change” (UNDP, 2010).
- **High level commitment, political will and commitment.** The gender literature identifies strong and sustained political will as probably the single most important factor for successful mainstreaming (Mackay and Bilton, 2003): *“gender mainstreaming is doomed to fail if explicit institutional commitment and systematic approaches are lacking”* (UNDP, 2010). Further, leadership is perceived to be essential to ensure that gender is the centre of attention, to mobilise high levels of commitment (UNDP, 2010) and to support new ways of thinking (ADB, 2012): *“leadership has not consistently supported the implementation of gender mainstreaming policy, resulting in policy evaporation”* (IIED, 2014). Leadership is also identified as a critical element for ensuring adequate domestic spending on HIV prevention (UNDP, n.d) and political support and motivation is also identified as a major contributor to strengthening conflict-sensitive organisational culture (Mackay and Bilton, 2003).
- **Human and institutional capacity development.** UNEP identifies a set of core precepts that form the basis for effective environmental governance and these emphasise building capacity (2014). Similarly, conflict sensitivity in the development agenda has been shown to require more than just developing appropriate policies and tools. Instead, organisational capacity building is identified as necessary to truly integrate conflict sensitivity at all levels of the organisation and across all programmes (International Alert, 2004). A recent review of case studies demonstrated that: *“the achievement of transformational change, which is sustainable, sustained and makes a lasting difference to people’s lives for the better – is always accompanied by institutional capacity development, anywhere in the world”* (UNDP, 2011). However, UNDP, 2015 note that capacity development needs to *“go beyond traditional training approaches.”* In addition to capacity development, IIED emphasise that a lack of data and information are all key constraints highlighted in the literature (2014).
- **Partnerships and coordination.** Experience from mainstreaming conflict-sensitivity into development shows that partnerships between a wide range of actors and sectors and good relationships are needed (International Alert, 2004). For example, the involvement of the private sector is noted as a critical element for effective governance for AIDS

⁷ Note this resonates with the trade-off between managing risk before and after a disaster

(UNDP, n.d). Similarly, collaborative working across public, private and voluntary sectors supported by networks, has been shown to support integration of gender equality (Mackay and Bilton, 2003). UNEP identify three core characteristics for effective environmental governance: i) formal/informal networks as a core precept for effective environmental governance; ii) networks and interactions between state and non-state actors; and iii) multi-level interactions across administrative boundaries and vertical integration (2011).

- **Buy-in and participation of communities.** Effective mainstreaming of conflict-sensitivity is reported to require participatory approaches, to ensure long-term commitment and sustainable capacity building (International Alert, 2004). The need for empowerment, representation and participation of those traditionally seen as the beneficiaries of development rather than active partners is emphasised: *“only by strengthening communities’ representation and participation in policy making and implementation can DRR interventions be expected to have a long impact on levels of risk. Taking a bottom-up approach to mainstreaming DRR ensures that local vulnerabilities and needs can be best addressed”* (UNDP, 2010). Genuine involvement of civil society in budget formation, monitoring and tracking of expenditure to ensure transparency and accountability has been identified as a critical element in effective AIDs response (UNDP, n.d.).

3.3 Defining risk governance in the context of resilient development

Learning from these lessons, more permanent and institutionalised mainstreaming of climate and disaster risk management requires governance strengthening not as an external add-on but nested within wider governance systems for development (Tierney, 2012). Risk governance (defined in Box 5) is therefore about adapting the people, mechanisms and processes associated with development decision making to the specific requirements of risk and its management (IRGC, 2008).

Box 5: Definition of risk governance

There is no common definition of risk governance across relevant academic disciplines (e.g., finance, environmental science, sociology) as this is a relatively new field. Academic and non-academic literature on the subject has only been emerging in the past decade and more work is needed to establish a consensus on what risk governance entails in relation to climate and disaster risk. In general, risk governance refers to the enabling environment for the management of risks and as such includes:

“the totality of actors, rules, conventions, processes and mechanisms and is concerned with how relevant risk information is collected, analysed and communicated, and how management decisions are taken” (IRGC, 2008:4).

Building upon the latest thinking, a working definition of risk governance in the context of this paper is:

“Risk governance is about ensuring risk management is central to development decision making by adapting the core components of governance – the actors, mechanisms and processes of development – to the specific requirements of risk.”

Risk governance strengthening cannot be carried out in isolation from wider governance for development. Risk governance is about ensuring that key stakeholders at all levels of development decision making have the right enabling environment to ensure risk is integral to development policy and practice. Specifically, this means that development actors (from community members to national policy makers) have the right capacities, knowledge, skills, leadership, funding, networks, legal support and organisational capacity, amongst other factors.

Risk governance strengthening involves behavioural change of key development actors i.e. actors need to adapt to the specific requirements of risk. In other words, a change in mindset and behaviour is needed to understand and proactively address risks from a variety of sources from within the development mainstream. will lend support for more permanent and ongoing transformational mainstreaming (UNDP, 2010). Behavioural change means sustained and continued ability to reduce, anticipate, prepare, respond and adapt to disaster and climate change

risks in the context of a changing risk landscape and changing political, economic and social context. Effective risk governance will therefore ensure that development actors are responsive to the complexities and inter-linkages of different risks (OECD, 2014) and it is this behavioural change, which will drive more permanent and ongoing transformational mainstreaming (UNDP, 2010).

Risk governance provides the foundation for risk informed development. Strengthening risk governance provides a more systematic approach to addressing the multiple risks to development progress (ODI, 2012). Stronger risk governance – that is closely allied within wider governance issues associated with development – provides the enabling environment for ongoing and sustained implementation of government led risk informed development projects and policies: *“risk informed development requires a functioning risk governance system”* (Scheuer, 2016).

Risk governance ultimately supports resilient development. The literature provides multiple definitions of resilience⁸. More recent interpretations identify resilience as an outcome and a process (UNDP, 2012) and lend support to the need for risk informed development supported by sustained behaviour change to ensure responsiveness to a changing risk landscape and ultimately more resilient development. This paper defines resilience as a development outcome but also an ongoing process of capacity development (ODI, 2015). *“Part of the challenge is that resilience needs to be thought about in the context of “resilience of what, for whom” and take account of capacities that enable people to be resilient, as well as the outcomes of resilience in terms of development gains, and the improvements in well-being despite multiple shocks and stresses”* (ODI, 2015). The transformation of governance outputs (e.g. policies and plans) into resilience outcomes will take time and progress will be context specific (Aysan and Lavell, 2014).

The next section proposes an approach to risk governance strengthening, which is sufficiently flexible to be applicable to a range of Pacific countries, levels (e.g. national, subnational), and context.

⁸ The term originates from the natural sciences (i.e. eco-resilience) conceptualized by Holling (1973).

4 RISK GOVERNANCE BUILDING BLOCKS

This section proposes an approach to mainstreaming, which encourages government practitioners to take a deep-dive and address the underlying risk governance challenges to mainstreaming from within the development agenda. Each of the three main governance components of development (people, mechanisms and processes) comprise a number of specific opportunities or entry points, which are identified in this section as the *Risk Governance Building Blocks*. Strengthening context specific priority building blocks, provides the foundations for transformative mainstreaming. This section goes on to propose a theory of change, based on strengthening the risk governance building blocks, in order to promote more permanent behavioural change, which drives sustained and ongoing mainstreaming of risk into development processes and products, helps address the root causes of vulnerability to risk, and ultimately supports more resilient outcomes.

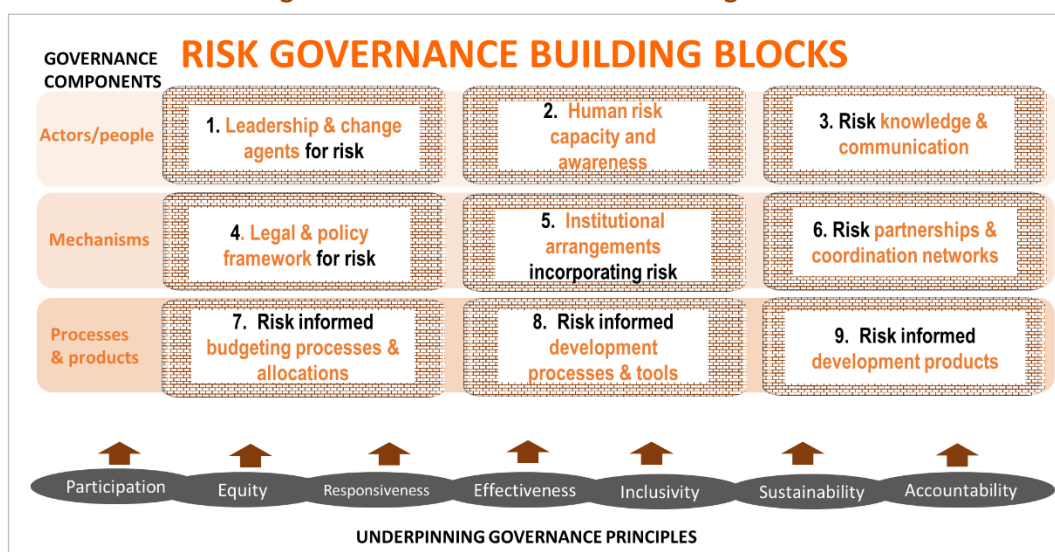
Overview

The risk governance building blocks are the main governance aspects identified from the review of experiences for other cross-cutting issues (see *Figure 3*). These are grouped into three governance components of development and are later described in turn:

- A) **PEOPLE** – the actors involved in development;
- B) **MECHANISMS** – the architecture for development (e.g. institutions, policy and financial arrangements);
- C) **PROCESSES** – the procedures and products guiding implementation of development practice.

Each of these three components of development comprise a number of specific opportunities or entry points known as the risk governance building blocks, which form the foundations for transformative mainstreaming. If development policy makers and planners from various levels and sectors of government simultaneously strengthen priority building blocks – the foundations for more sustained risk mainstreaming and therefore risk informed development will be in place. In other words, risk and its management will gradually become integral to development policy, planning, projects, budgeting, implementation, monitoring and evaluation at all levels.

Figure 2: The Risk Governance Building Blocks



The selection of priority building blocks (or entry points) will be dependent upon context analysis, which can help identify risk gaps or shortcomings in terms of the people, mechanisms and processes for risk informed development; as well as the context specific barriers or challenges to building good risk governance. The building blocks are also interdependent and mutually reinforcing – progress on one building blocks can trigger more rapid progress and support with other building blocks.

Although there is no linear process for strengthening risk governance, there is generally (although not always) a natural progression for tackling the building blocks. The literature has highlighted that jumping immediately to policies or legislation does not always provide the enabling or supportive environment for their implementation or enforcement (UNDP, 2015). Similarly, diving straight into projects, without working to strengthen subnational government capacities to implement and monitor the project, will not support the systematic changes needed to replicate good practices and sustain efforts.

Whilst strengthening the risk governance building blocks of development, it will be important to consider the quality of governance itself (Mackay and Bilton, 2003). Good⁹ and effective governance for risk management takes place when capable, accountable, transparent, inclusive and responsive governments work together with civil society, the private sector and at-risk populations to create an enabling environment to improve society's ability to prepare and respond to disasters and their capacity to adapt to changes in the climate (Turnbull, 2013). It will therefore be important to ensure that risk governance strengthening and ultimately development decision making takes into consideration a number of core governance principles. These are identified by UNDP as inclusion, equity, participation, sustainability, efficiency, transparency, effectiveness, responsiveness, rule of law and accountability (2013). For example, are risk informed institutional arrangements, risk financing allocations or risk informed plans inclusive and promote the participation, needs and priorities of economically and social marginalised groups? Similarly, a central criterion of good governance is inclusion. Therefore, ensuring that the voices of the poorest and most vulnerable are heard in decisions about the allocation of resources affecting them, will be essential for effective risk management (UNDP, 2010b). *“The core value of principles of governance are important means of achieving and maintaining the Sustainable Development Goals and national development goals* (Aysan and Lavell, 2014).

For all building blocks, a starting point must be a basic understanding of root causes of risks, otherwise practitioners risk building on existing risk generating systems (Aysan and Lavell, 2014). This means addressing inequalities and vulnerabilities at the heart of development (UNICEF, 2016). If these underlying issues are not addressed with positive transformative action, then the worst off will continue to be the most vulnerable and climate change and disasters will in fact polarise these inequalities, making it harder to achieve inclusive and resilient development. This approach resonates with human rights-based approaches in development (World Bank, 2013).

The building blocks: people, mechanisms and processes

A) PEOPLE AND ACTORS OF DEVELOPMENT

Three of the building blocks relate to the people or actors of development: 1) **Leadership and change agents**; 2) **human capacity and awareness**; and 3) **knowledge and communication**. Strengthening these, provides the

⁹ More recently “good enough” governance has been advocated for achieving measured but adequate improvements in risk governance (Aysan and Lavell, 2014).

enabling environment for risk informed development. Given their focus on the “people” of development, these building blocks are vital for engendering behavioural change and a transformative approach to mainstreaming.

Building blocks	COMPONENT A: PEOPLE AND ACTORS OF DEVELOPMENT
1. Leadership and change agents for risk	The literature emphasises the relevance of leadership and political commitment (Mackay & Bilton, 2003). More recent literature focuses on moving away from exclusive work with national disaster management authorities and providing support more widely, and engaging with development stakeholders including the development planning and budgeting apex ministries. This is because expertise for addressing risk is beyond the realm of national disaster management or climate change agencies to address single handily (UNDP/UNEP, 2015 & UNDP, 2015) and “working from within” development agencies ensures that development is designed to address vulnerability (Jahan 1995). It takes leadership to bring about change and commitment to risk mainstreaming – particularly in a context where there is a “reluctance of DRM Lead agencies to relinquish power and resources” (Ayan and Lavell, 2014).
2. Human risk capacity & awareness	Advocacy and awareness are essential for promoting support for risk informed development (Aysan and Lavell, 2014). There is also recognition that sustained change is needed and that stand-alone training activities are not enough to lead a shift in perspective and support behavioural change (UNDP, 2015). Capacity develop needs to move beyond traditional training: “we need to strengthen local institutions so that they are eventually able to coordinate, solve problems, involve communities, share information and train others” (Scheuer, 2016). Instead capacity development must be seen as a long-term requirement and effort (UNDP, 2008). A systematic approach to sustainable capacity development and meaningful participation in the risk agenda will involve capacity development at all levels to assume responsibilities (organisational, technical and managerial). It is therefore important to move beyond traditional training approaches to development existing capacity and supporting new risk capacity “within” government organisations, to create a network of change agents for sharing learning and expertise across different actors, institutions and levels.
3. Risk knowledge and communication	It is important that risk information is used to increase understanding of development priorities, sectors or geographical areas leading to more informed planning. However, development priorities should be the starting point rather than data first approaches, which use “climate data and projections” as the starting point and can often lead to parallel processes and project for risk (USAID, 2014). It is important that development decision-making is based on good knowledge – both traditional and scientific - of risks and possible management measures. Communities and local governments possess first-hand experience and knowledge of hazards and risks and know their specific risk management needs. This knowledge together with local development priorities needs to be incorporated into local plans that in turn inform high-level plans and project programme design. The communication of priorities and needs up and down this chain as well as between actors will be an essential behavioural change (Benson, 2009). New spaces and “hubs” for communication and learning will need to be created between different types of actors and different layers and strata of the development system. Such hubs may be created around or within a key sector, a key development programme and/ or a key policy design process. Horizontal and vertical links built between community groups, and between national, sector, subnational levels need to be strengthened. Understanding risk by necessity requires understanding of the gender and social dimensions, which lead to some people invariably more severely impacted.

B) MECHANISMS OF DEVELOPMENT

The next layer of building blocks comprises the enabling mechanisms: 4) **legal and policy framework**; 5) **institutional arrangements**; and 6) **partnerships and coordination networks**. This means ensuring that the architecture for risk informed development (i.e. the institutional arrangements, roles and responsibilities and networks that structure the way that people interact and take part in risk management) are in place and effectively integrate risk. UNDP’s work since 2005 in 125 countries has focused on strengthening institutional systems, legal frameworks and policy mechanisms including helping to decentralise risk management responsibilities (UNDP, 2015). However, focus on these more tangible building blocks needs to go hand-in-hand with strengthening the building blocks linked to the people and processes of development.

Building blocks	COMPONENT B: MECHANISMS OF DEVELOPMENT
4. Risk informed legal & policy framework	Although at times it might be appropriate to develop separate legislation, regulations, polices and strategies for climate and disaster risk, as far as possible it is more sustainable to integrate risk into existing national or sectoral development policies. Consultation should also be a fundamental part of legal, regulatory and policy development (UNDP, 2010) to ensure policy or legislation is responsive to community priorities and needs. Policy implementation and enforcement requires dedicated human and financial capacity (UNDP, 2015) and simultaneously strengthening building blocks 2 and 6 will be essential.
5. Risk informed institutional arrangements	Dedicated political commitment and leadership are not enough to ensure that risk is embedded into development practice (UNDP, 2010). The institutional setting in which laws are enacted and adaptive needs to be flexible (UNDP, 2015) but promote coordination, dialogue and exchange across a range of institutions, levels and stakeholders on CCA and DRR. Often the institutional and legislative arrangements for DRR are weakly connected to development sectors (GAR, 2009). Embedding risk into the development sphere, would ideally build upon existing arrangements (e.g. working groups, committees) and ensure that roles and responsibilities for risk are embedded within mainstream functions of departments, sections or cross-sectoral fora. In some cases, it may be necessary to create a separate coordinating mechanism for dialogue on risk to raise awareness of the importance of climate and disaster risk for development and a cross-sectoral Plan of Action.
6. Partnerships & coordination network for risk	Effective risk governance needs collaboration and ownership from many partners (Scheuer, 2016). Partnerships between key players at all levels are also important to support mainstreaming. Further, coordination is needed to strengthen relationships and linkages between national/subnational and sector levels (horizontal and vertical). In some countries, risk management responsibilities have or are in the process of being decentralised; although this has encountered a number of problems (UNDP, 2015; Aysan and Lavell, 2014). Local risk governance has been identified as key to accelerating the effective implementation of risk management at the local level (Williams, 2011). However, this requires shared decision-making between local authorities and local stakeholders; working openly in partnership on technical and functional tasks (such as community planning and budgeting) to incorporate risks; and increasing political commitment for local risk governance through greater public accountability and local allocation of resources. This cannot be done in isolation; local risk governance needs to be supported through coalitions and alliances at national and regional levels (Turnbull, 2013). Coordination is therefore required both between sectors and within a sector in order to guide action from the national to the local level (King, 2010).

C) PROCESSES FOR DEVELOPMENT

The final layer of building blocks in the framework comprise: 7) **budgeting processes**; 8) **planning processes and tools** (e.g. planning, monitoring processes, screening tools, project appraisal checklists); and 9) **development products** (e.g. development plans). It will be easier to embed risk into development planning and budgeting processes and products if the enabling environment (people and mechanisms) are in place, and if user friendly risk knowledge (e.g. risk maps for planners) is available. However, planned updates to existing planning and budgeting processes provide important opportunities for integrating risk and effective entry-points for mainstreaming.

Building blocks	COMPONENT C: PROCESSES and PRODUCTS FOR DEVELOPMENT
7. Risk informed budgeting processes & allocations	It will be important to support the allocation of mainstream budget for development projects to reduce vulnerability and support adaptation to risk – moving away from more traditional approaches of funding risk related projects only from disaster response budgets. Further, financing for resilience development is becoming increasingly relevant for countries and strengthening this building block will require concomitant support to institutional arrangements to effectively manage funds (i.e. from climate finance) and to direct funds from national to local levels. Strengthening this element focuses not only on identifying funds for risk management, but accessing and managing resources (Aysan & Lavell, 2015). More recently, climate or disaster risk financing reviews are being carried out often incorporating analysis of related risk governance mechanisms (e.g. institutional arrangements.)

8. Risk informed development processes & tools	<p>To embed risk into development practice including projects and programmes, it will be important to ensure that key development processes at national, sector and subnational level incorporate risk. Key processes include planning, implementation, monitoring and evaluation for both policy and project cycles and ideally risk should be at the heart of these (not a separate parallel process) at all levels. For example, key project processes such as site selection, design, screening, appraisal, implementation, M & E, reporting. Embedding risk into these processes should adhere to key governance principles (e.g. strengthening participation), foster synergy between multiple levels, drawing and building upon diverse sources of knowledge, address different timescales and instil flexibility and responsiveness (Turnbull <i>et al.</i>, 2015). Many development processes are supported by key tools (e.g. project proposal templates, project appraisal checklists, planning guidelines, M & E frameworks). Again these should be risk informed and it is vital that they are <u>owned or accepted</u> by country stakeholders/partners rather than seen to be externally imposed and adding to existing workloads. Sometimes the more “tangible” entry points (such as tools/guidelines) create space for embedding risk into associated development processes.</p>
9. Risk informed development products	<p>Development plans specific key activities and resources for delivering development policies and strategies. Risk informed development plans at all levels including national, sector, subnational (including community) plans are critical development products for specifying how risk informed development should take place including approaches to transforming the development agenda and reducing risks, underlying inequalities and increasing adaptive capacity. Ensuring risk is fully embedded in these plans, will be easier if other building blocks (capacity within core development agencies, funding arrangements, knowledge). In particular, implementation of plans at all levels will require significant capacity development and ideally “in-house capacity” to ensure their implementation.</p>

4.3 A theory of change

A theory of change based on strengthening priority risk governance building blocks in a particular context is identified in *Figure 3*.

Figure 3: A theory of change for embedding risk at the “heart” of development policy and practice



1. **A primary output will be strengthened risk governance** (i.e. *building blocks 1-6*) – but nested within the overall governance context for development policy and practice. For example, this might include strengthened risk capacity within a core planning ministry or a sector; a network of sector change agents for risk; private-public partnerships in support of good risk management; or a new development policy with risk at its core. If effort is directed towards a number of priority building blocks – the stronger the enabling environment or foundation for transformational change.
2. **A second output will be risk informed development budgeting and planning processes and products** (i.e. *building blocks 7-9*), which are perhaps most relevant for mainstreaming. These can be seen as follow-on outputs of strengthening the other building blocks; although can be viewed as entry points in their own right, (for example risk allocations within the development budget process, risk integrated national or community development plans and associated planning processes and tools). If effort is directed towards a number of priority building blocks – the more significant the result.
3. **A third output will be country led implementation of risk informed development** that is driven by change agents from within the development sphere. This will include development projects that contribute to reducing vulnerabilities and adapting to climate and disaster risks; and implementation of risk informed legislation, policies and plans.
4. **The ultimate test of risk governance is risk informed or resilient development at the community level** (Gero *et al.*, 2010) including communities with the capacities to absorb, anticipate and adapt to different kinds of shocks and stresses (ODI, 2015). It is at the community level that lives and livelihoods can be protected, development promoted and safety and resilience built¹⁰. Resilient development supported by risk governance strengthening is a long term process given that transformational change and support to reduce vulnerabilities and increase adaptation is ongoing and takes time. As the literature notes, it takes “*far longer for real change to take root and become sustained transformation*” (UNDP, 2011). Similarly, risk is not a fixed end state, but is a dynamic set of conditions and processes, so is important that resilience development (and underlying risk governance strengthening) is seen as an ongoing process, responsive to a changing risk landscape.

A litmus test for support for the risk governance building blocks is behavioural change by development actors. Only a change in the behaviour of development policy makers and planners will drive ongoing transformation of the development agenda, support sustained mainstreaming, and ensure that risk is ultimately part of everyday development decision making at all levels. This means that firstly development is deliberately targeted at reducing vulnerability and adapting to change; and secondly risk (and its identification, assessment, management and communication) are integral to the development policy, planning, budgeting, programming, implementation, monitoring and evaluation processes, with risk informed development the “new norm”.

Measuring behaviour change is more difficult than measuring outputs that are more tangible. Even more challenging is the link to governance strengthening activities. This is because the impact is achieved through a complex mix of factors whose causality cannot be traced to one or more ingredients in a linear fashion (UNDP, 2015). Further, wider governance strengthening (beyond risk) including support for core governance principles (i.e. transparency, participation, inclusion) will also contribute to supporting resilience.

¹⁰ In practice resilience also looks different in every context – and therefore resilient development relies on a mix of resilient behaviours, capacities and processes of stakeholders at all levels to anticipate, reduce, absorb, adapt and recover from risks.

5 OPERATIONALISING RISK GOVERNANCE IN THE PACIFIC

The building blocks for risk governance are not just conceptual; there are already experiences that demonstrate how these are being applied in the Pacific. Through ongoing collection of these experiences, it will be possible to refine the risk governance building blocks and provide more detailed guidance for policy makers and planners. This section documents how the Pacific Risk Resilience Programme (PRRP) has been working with governments at national, sub-national and sector level to apply this framework in the Pacific region. PRRP has been adopting an ‘emergent design’ approach to allow it to test, adapt and implement this Risk Governance Framework, whilst ensuring the programme is flexible to context specific needs and global discourses¹¹.

5.1 The process for strengthening the building blocks

There is no one process for strengthening the risk governance building blocks and different starting points are evident in the Pacific.

The building blocks are interdependent and mutually reinforcing. Initial findings show that strengthening a number of blocks simultaneously, means risk informed development processes and products are more likely to be implemented/enforced. As more blocks are put in place (via risk governance strengthening) there are likely to be an increasing number of mainstreaming

successes (mini results), which in time will combine to more sustained behavioural change and resilient development at the community level. Experiences have shown that the following are valid starting points:

- **Raising the profile and advocating for risk informed development.** In Solomon Islands and Fiji for example, the starting point has been to build a common understanding of why risk is relevant to development This involved raising the profile of climate, environmental and disaster risk amongst development policy makers and planners and advocating for risk to be included as an integral part of development decision making in support of resilient, sustainable, and inclusive development.
- **Understanding the current risk governance context - baseline analysis.** The process of strengthening risk governance is usually preceded by an analysis of current capacities, mechanisms and processes relating to development and how these can be risk-informed. For example, in Vanuatu, a Risk Governance Analysis (RGA) provided the starting point to help map out governance challenges and existing arrangements against the building blocks. Similarly, in Tonga an important starting point was the Climate and Finance Risk Governance Assessment (CFRGA) (2015). These ‘baseline’ analyses were used to identify the most appropriate ‘entry points’ for mainstreaming risk. They help build a picture of the different governance entry points, governance arrangements¹² (i.e. institutional landscape), the varied political and administrative histories and the social climate (i.e. roles of different actors) (see OECD, 2014; IRGC, 2008). Such analysis can also help identify the context, drivers, incentives and motivations for mainstreaming and the risk governance challenges including

“Policymakers must be given convincing knowledge and information of the importance and relationship of CCDRM and how it can reduce the economic burden which the country frequently faces in committing large budgets in post disaster situations.”

PRRP Country Manager, Solomon Islands

¹¹ For example, helping implement the Sustainable Development Goals (SDGs), the Paris Agreement (UNFCCC), the Sendai Framework and ensuring support for resilient development, gender and social inclusion, private-public partnerships (PPP) and bridging the humanitarian-development divide.

¹² This will include structure (mostly formal) governance arrangements and political economic drivers (including norms and cultural values) (Williams, 2011).

deficits in terms of institutional capacity, participation, coordination mechanisms etc¹³ (OECD, 2014). Political economy analysis also helps acknowledge differences in the governance contexts and trajectories, and has highlighted priority building risk governance building blocks as entry points.

- **Strengthening the building blocks for risk governance is a dynamic and continuous process.** The entry points and therefore priority building blocks for risk governance strengthening depend on the results of the context-specific risk governance baseline and success of advocacy. There is no predetermined sequence of steps and in practice the building blocks can be worked on simultaneously. The baselines, however, will provide concrete starting points and *Box 6* provides a general guide to approaching the building blocks based on experience in the Pacific to date.

“It is important that we deal with the ‘deep-seated’ issues and not get caught up with the ‘nitty-gritty’ of CCDRM work. We have to go ‘behind the scenes’ and address some of the root governance issues.”

CCDRM Director, Ministry of Agriculture, Solomon Islands

Box 6: Strengthening the risk governance building blocks

- **A common starting point is the people or actors** of development (*building blocks 1-3*). Experience shows that developing human capacity in core planning or budgeting functions and key sectors requires a great deal of groundwork. It requires leadership and political commitment (*block 1*) to drive a more sustainable mainstreaming process, and awareness raising alongside a more permanent process of capacity development (rather than more “ad-hoc” training approach to climate and disaster risk management) (*block 2*). Providing user friendly and targeted risk knowledge to inform decision making, will further build the enabling environment for mainstreaming (*block 3*).
- **Effective leadership, political support, capacity and user friendly risk knowledge can clear the way for developing strong mechanisms for risk-informed development** (*building blocks 4-6*). The legal and policy framework (*block 4*) and the institutional, coordination, networking and partnership arrangements (*blocks 5-6*) can further help institutionalise mainstreaming and provide a vision and road map for risk. Once entry-points have been identified and human capacities in place then other building blocks have been more easily strengthened. For example, in Solomon Islands it was much easier to risk inform the agricultural sector policy, once the Risk Resilient Development Director was recruited within the ministry. Similarly, developing a coordination network (of resilient development focal points), was much easier with champions, leadership and capacity in place.
- **With the enabling environment or foundations in place, it will be easier for government practitioners** (now with in-house climate and disaster risk capacity, risk information, high level commitment, coordination and clearly defined roles and responsibilities) to identify ongoing opportunities for integrating risk into: i) budgeting processes (i.e. resource allocation) (*block 7*); ii) development planning and programming processes (such as project site selection, design, assessment, appraisal, implementation, M & E) and associated tools (e.g. project proposal templates, project screening tools¹⁴ appraisal tools, M & E frameworks) (*block 8*); and ii) development products including national, sector, sub-national and community plans (*block 9*). For example, experience has shown that national, sub-national or sector development plans that are risk-informed are more likely to be implemented if backed with effective leadership, human capacity to implement, connect with relevant policy and legal frameworks, are grounded on credible analysis and

¹³ This approach resonates with “political economy” analysis, which proposes that risk management requires the identification and promotion of political incentives and an understanding of how reform priorities can be brought to the forefront- of policy-making (Williams, 2011; Wilkinson, 2012).

¹⁴ For example, Environmental Impact Assessments (EIAs) provide additional entry points for mainstreaming risk management into private sector planning.

ultimately are funded. Experience has shown that it is usually more effective therefore to integrate risk into developing and budgeting and planning processes (*blocks 7 and 8*) and products (*block 9*) as other building blocks are taking shape.

- Finally, with some of the core priority building blocks in place, the foundations (including capacities and behaviours) for ongoing **implementation of risk informed development** (e.g. projects, enforcement of regulations) will be in place.¹⁵

5.2 Country level experiences in the Pacific

A number of countries in the region have already been testing approaches to strengthening risk governance and the building blocks since 2013. Experiences presented in this paper are mainly through the Pacific Risk Resilience Programme (PRRP). Other initiatives in the region will also be captured and shared collectively across the region over time. PRRP has provided a testing ground for the building blocks and has been working with Pacific governments on multiple entry points. Some examples for each building block are highlighted in *Table 1*.

Table 1: Risk Governance Strengthening in Action

Building Blocks	Examples of Strengthening Activities
1. Leadership and change agents & awareness	<ul style="list-style-type: none"> • In <i>Solomon Islands</i>, the Permanent Secretary of MECDM has been identified as a leader and champion and is helping to drive the “from within development” approach. • In <i>Fiji</i>, leadership of the Commissioner Western in the Western Division demonstrates that momentum is possible when a high profile subnational champion is engaged.
2. Human capacity & awareness	<ul style="list-style-type: none"> • In <i>Tonga, Vanuatu, Fiji and Solomon Islands</i> new resilient development posts have been created in national development planning or finance ministries, core sectors and sub-national government to provide long-term support for transformative change from within.
3. Knowledge & communication	<ul style="list-style-type: none"> • In <i>Solomon Islands</i>, a Risk Resilient Development (RRD) GIS database was established to prepare risk maps for development planners to help with project site selection. • In <i>Vanuatu, Solomon Islands, Tonga and Fiji</i>, the subnational government together with agricultural extension workers have been establishing farmer knowledge hubs to share resilient farming approaches, develop networks and demonstration plots.
4. Legal and policy framework	<ul style="list-style-type: none"> • In <i>Solomon Islands</i>, risk was included as an integral component of the updated national Development Strategy (NDS) and the Agricultural Policy, • In <i>Tonga</i>, risk was included as an integral component of the Tonga Agriculture Sector Plan (TASP).
5. Institutional arrangements	<ul style="list-style-type: none"> • In <i>Solomon Islands</i>, the Recovery Coordination Committee (dormant for the past 15 years) was operationalised by MDPAC to ensure a coordinated, resilient recovery linked to ongoing development planning and budgeting (i.e. bridging the human development divide). • In <i>Vanuatu</i>, the National Advisory Board for Climate Change and DRM was created as a platform to coordinate, communicate, network and standardise approaches across sectors.
6. Partnerships and coordination networks	<ul style="list-style-type: none"> • In <i>Fiji</i>, a private-public sector partnership was brokered between a tourism company and the Provincial Office to establish Food Banks in the remote Yasawa Islands to improve food security, and is demonstrating that “risk is everyone’s business”.

¹⁵ This approach identifies that climate and disaster risk become an integral part of development, priorities are set by those who are at most risk while providing room for national and local politicians and communities to interact and coordinate their agendas (Christoplos et al, 2009).

Building Blocks	Examples of Strengthening Activities
7. Budgeting processes and tools	<ul style="list-style-type: none"> In <u>Fiji</u>, a <i>Climate Public Expenditure and Institutional Review (CPEIR)</i> study was carried out to determine the best pathway for better access to more direct and effective climate finance.
8. Planning processes and tools	<ul style="list-style-type: none"> In <u>Solomon Islands</u>, MDPAC is ensuring that risk is integral to the project cycle by incorporating risk screening and risk appraisal into development decision making. In <u>Vanuatu</u>, the Department of Local Affairs is rolling out risk informed subnational planning guidelines to ensure that development planning is “bottom up” and that community development priorities are risk informed.
9. Development products	<ul style="list-style-type: none"> In <u>Tonga</u>, the Ministry of Internal Affairs is working to ensure that Community, Ward and Island Development Plans identify opportunities to reduce vulnerability to risk and identify approaches to ensure resilient development projects.

PRRP is simultaneously working on multiple building blocks in each of the programme countries. Some examples of early results are emerging from the four PRRP countries as follows:

In Vanuatu progress has been significant on a number of the building blocks. At the start of the programme (mid 2013), there was no real integration of climate and disaster risk into national or subnational planning or budgeting processes. Climate change and disaster hazards were dealt with in “silos” by the Ministry of Climate Change (MCC) and National Disaster Management Office (NDMO) respectively. However, a Risk Governance Analysis (RGA) exercise in 2014, highlighted the importance of dealing with risk as a critical element of development rather than as a tokenistic add-on and identified key entry points for mainstreaming. The RGA further provided the advocacy platform for **leadership** and **ownership** (building block 1) within the Department of Local Authorities (DLA). The RGA further identified that the National Advisory Board NAB was duplicating functions of other agencies and was dominated by MCC and it therefore helped to support dual ownership, align leadership and reinforce secretariat and project management arrangements in support of more **coordinated** approaches (building block 6).

PRRP provided support to a NAB taskforce and MCC to prepare a National Climate Change and Disaster Risk Reduction (CCDRR) **Policy** and helped risk inform the new National Sustainable Development Plan (NDSP) (2016-30) providing the enabling environment for implementation (building block 4). Similarly, the provision of dedicated **capacities** or change agents i.e. posts, within the sub-national level (DLA) and national level (Department of Strategic Planning, Policy and Aid Coordination - DSPPAC) to facilitate mainstreaming (building block 2) as per the development planning framework, has initiated momentum for a more systematic risk informed local development planning **process** including development of “*risk informed subnational planning guidelines*” (building block 8). These have been successfully piloted and are being rolled out across the provinces, with the next step to link in GIS risk maps (building block 3), and align with national planning processes.

In Solomon Islands, progress has been particularly significant at national level. At the start of the programme (2013), there was only limited understanding of the development/risk nexus and need for mainstreaming of climate and disaster risk. However, with the **leadership** from the Permanent Secretary from MECDM, PRRP helped raise **awareness** and raise the profile of risk and advocate for risk informed development (building block 1). **Capacity development** within the Ministry of Development Planning and Aid Coordination (MDPAC) and key sectors (e.g. the Ministries for agriculture and education) through ongoing training and most importantly the creation of new Risk Resilient posts provided “in-house” capacity to lead mainstreaming ‘from within’ (building block 2). This has

supported risk integration into the National Development **Strategy** and associated Medium Term Development **Plan** alongside sector policies and plans (e.g. Agricultural **Policy**; Education Strategic Framework (2016-30), National Education Action **Plan** 2016-20) ([building blocks 4 and 9](#)).

Further, risk is now incorporated into the national project planning **process** led by MDPAC and risk screening of development projects is being rolled out across sectors drawing upon a number of **tools** e.g. risk screening guidelines ([building block 8](#)) and a new **knowledge** management GIS system ([building block 3](#)), which provides risk maps for planners. Increasingly, work is needed to connect this top-down planning process with PRRP’s support for integrating risk into community based development planning. PRRP has also helped strengthen **institutional arrangements** for risk and help MDPAC operationalise the Recovery Coordination Committee ([building block 6](#)). *Table 2* below, shows how PRRP is working to support simultaneous strengthening of a number of risk governance building blocks.

Table 2: Simultaneous strengthening multiple risk governance building blocks in Solomon Islands

Development component	Risk Governance Strengthening			Development Outcome
PEOPLE	1. Leadership of MECDM and MDPAC	2. Risk capacity – new post for Risk Resilient Development in MDPAC & key sectors	3. Risk knowledge - GIS Risk Resilient Development Database providing	<i>Behavioural change supporting risk informed decision making</i>
MECHANISMS	4. Policy – national DRM plan updated to reflect risk as “everyone’s business	5. Institutional - Cross-sectoral working group for risk resilient development	6. Network of risk resilient development focal points in key sectors	<i>Enabling environment in place to support mainstreaming</i>
PROCESSES	7. Budgeting processes - allocation based on risk screening and appraisal of project proposal GIS risk maps for planners	8. Planning processes – national processes updated to include risk (i.e. site selection, design, screening, appraisal, M & E)	9. Products - risk informed plans (e.g. Medium Term Development Plan, National Education Plan and community plans)	<i>Risk embedded into budgeting & planning processes ultimately leading to more resilient outcomes</i>

In Fiji, progress has been significant at the subnational level. In 2013 there was limited leadership and championing of risk informed development. However, **leadership** from the Commissioner for the Western division in Fiji ([building block 1](#)), is pioneering a ‘risk informed’ approach to development and planning at sub national level. PRRP is using the ‘from within’ approach to mainstream risk into the existing Integrated Rural Development Framework (IRDF) **process**. By raising **awareness** and advocating for a more unified approach to risk informed development, Commissioner Western is showcasing a proposed integrated way of providing risk informed decisions in good times as well as disaster times supported by **capacity development** ([building block 2](#)). Commissioners in the North and the West now have full-time Government staff dedicated to DRR and CCA within their teams. Through these posts, PRRP is collaborating with local government to weave in DRR and CCA within various development sectors, provincial, district and community level **plans** as well as their Annual Divisional Business Plan ([building block 9](#)). Evidence from Fiji is showing that by having permanent capacity for risk within government development at all levels, that government can be responsive to new opportunities, changing needs (before, during and after disasters) and provide “in-house” support to risk informing processes and products ([building blocks 8 and 9](#)).

In Tonga, progress has been particularly significant at sector and local levels. The newly developed Tonga Agriculture Sector Plan (TASP) presents the medium to longer term priority areas of growth for the agriculture sector (building block 9) and includes resilience guidelines and strategies to build capacities for resilient agriculture. This is being used as the basis for acquiring donor funding (building block 7) to implement resilience aspects of the sector strategy and has also provided the justification for a dedicated post on CCDRM within the Ministry of Agriculture (building block 2). Work at the sector level is being complemented by work with the Ministry of Internal Affairs (MIA) to risk inform the Community, District and Island Development Planning process (building block 8), and the development of local coordination networks for risk (e.g. Community Protection Committees and agricultural knowledge hubs) (building block 6).

5.3 Tracking change

Strengthening risk governance will not happen overnight and is inevitably complex and challenging.

Strengthening risk governance building blocks as a basis for more transformative risk mainstreaming and ultimately building resilience processes and capacities at community level, will take time and is an ongoing process (UNDP, 2010). The journey will also be context specific and will depend on the country, level, sector and stakeholders (*ibid*). Similarly, as an increasing number of building blocks are put in place, their interdependency will mutually reinforce progress.

“For example, “There are ‘early results’ of transformational change in Solomon Islands – where previously the perception was that CCDRM should fall on NDMO and climate change line Function. Now new ‘Line Ministries’ are taking up the challenge more seriously”

Permanent Secretary, MECDM, Solomon Islands

Based on a review of the literature and two years of testing, PRRP is starting to map the evolution of risk governance strengthening and to identify what progress would look like in different phases for each building block. This mapping is a “live” exercise and will be updated as more results emerge from application of the building blocks. The phases of evolution for each building block can be described as basic; intermediate and advanced. Each phase for the building blocks is explained in further detail in *Table 3* below.

PRRP is working with government counterparts to strengthen and track change across the risk governance building blocks as a basis for more permanent mainstreaming of risk into development planning, budgeting, programming, implementation, monitoring and evaluation. PRRP will continuously monitor, evaluate and learn from experiences across the countries not only to track change but to offer guidance across the region on issues relating to the resilient development agenda

Progress towards resilient development will be mapped in PRRP’s “Risk Governance in Action,” a series of pieces, illustrating the application of the Risk Governance Framework in a variety of countries, context, levels and sectors and by different stakeholders (public and private). Feedback on the Risk Governance Framework; and experiences will be used to illustrate the application of the framework and how this is supporting risk informed and resilient development in the Pacific.

Table 3: Risk Governance Trajectory of Change

RISK GOVERNANCE		TRAJECTORY OF CHANGE		
Building Blocks		Phase 1: Basic	Phase 2: Intermediary	Phase 3: Advanced
PEOPLE	1. Leadership and change agents	Resilient development agenda dominated by climate change and disaster management agencies alone, whilst development decision-makers at national and sub-national level relatively <u>disengaged</u> .	Development actors at national and sub-national levels <u>becoming more engaged</u> on the resilient development agenda, and starting to advocate for ‘mainstreaming’ of risk into development. This is leading to growing consensus and commitment on the importance of risk informed development.	Leaders and change agents in place at all levels and <u>setting the agenda</u> for resilient development with a shared vision and prioritisation of risk management. This comes with committed, effective & accountable leadership and decision making for resilient development at all levels.
	2. Human capacity & awareness	Capacity for managing climate and disasters risks rests mainly with technical CCDRM functions, with relatively <u>little or no capacity</u> nor accountability for addressing the resilient development agenda within development agencies at national and local levels.	Increased awareness that risk is ‘everyone’s business’ resulting in some <u>human resources</u> being dedicated towards the resilient development agenda within development agencies at national and local levels.	All development actors fully aware that resilient development is ‘everyone’s business.’ This comes with <u>dedicated capacities</u> within central planning functions as well as across sectors at national and local levels.
	3. Risk knowledge & communication	Development planning is <u>not based</u> on risk information. Hazard data and analysis exist but these are <u>not informing development</u> planning and implementation.	<u>Increased understanding</u> on risks to and caused by development, drawing on diverse sources of knowledge. Development decision makers and planners start to use risk information (e.g. GIS maps) to inform development decisions. Communities increasingly understand and identify risks and can <u>participate</u> in decision making.	<u>Risk informed development</u> decision making draws on user friendly scientific and local knowledge and information exchange. Risk information is shared with and used by all key stakeholders (open, transparent information systems) and communication strategies defined and implemented. Risk communication systems promote a two-way learning process incorporating the experiences, perceptions and concerns of communities.

RISK GOVERNANCE		TRAJECTORY OF CHANGE		
Building Blocks		Phase 1: Basic	Phase 2: Intermediary	Phase 3: Advanced
MECHANISMS	4. Legal and policy framework	Separate laws, policies and regulations exist for disasters response and preparedness but with limited monitoring and enforcement. Legal and policy frameworks for development priorities provide <u>little or no coverage</u> of resilient development.	As development policies, strategies, legislation and regulations are updated, they are <u>incorporating risk management</u> as an additional development priority. However, implementation and enforcement of policies and regulations are still limited.	Risk is <u>automatically considered</u> for new or revised policies and legislation relating to national development priorities (without the need for additional advocacy) and follows good governance principles i.e. participation, inclusion. Risk informed national, sector and subnational legislation, policies and strategies clearly identify the vision and roadmap for risk and are being implemented and enforced.
	5. Institutional arrangements	Institutional arrangements exist for CCDRM but these are mainly focused on disaster preparedness and response. Any arrangements for risk management sit <u>outside of development</u> processes.	Institutional arrangements for managing risks of climate change and disaster are <u>beginning to formulate</u> within and around development planning, policy and practice.	Resilient development <u>firmly embedded</u> within institutional arrangements for development planning, policy and practice. For example, roles and responsibilities are clearly identified between and within agencies for ensuring that development is 'risk-informed' and gender and socially inclusive. These are led by high-level decision-makers who set the agenda for development.
	6. Partnerships and coordination networks	Coordination mechanisms exist but mainly for information sharing on CCDRM specific projects. <u>Basic level of information sharing</u> between Government, development partners and private sector but most projects still working outside of the governance system.	Coordination mechanisms for disaster preparedness and response functioning more effectively and also being applied for risk informing development and broader CCDRM activities. This is providing the platform for <u>more effective engagement</u> and joint programming with private sector and development partners.	<u>More sustained partnerships</u> between government, development partners and private sector with fully established modalities for joint programming towards common resilient development outcomes. Clear <u>coordination mechanism</u> for cross-sectoral dialogue and action at national level for risk informed development.

RISK GOVERNANCE		TRAJECTORY OF CHANGE		
Building Blocks		Phase 1: Basic	Phase 2: Intermediary	Phase 3: Advanced
PROCESSES	7. Budgeting processes & tools	Funding allocations exist but mainly for CCDRM projects and these are mobilised and delivered outside of the governance system. Development budget provides <u>little or no coverage</u> for risk management and risk-informed development.	Risk is <u>integrated into budget allocation process</u> at national and sector levels but is still relatively top-down. Processes are being adopted to ensure that only risk informed projects that have been risk screened are allocated budget. More direct access to external funding sources being delivered within existing financial management systems.	<u>Substantive allocation and use of funding</u> in support of resilient development priorities and dedicated financial resources for mainstreaming. Funding streams are channelled through national, sector and local governance systems and ensure that these are <u>community-led</u> and owned. New resources are leveraged through existing partnerships and institutional arrangements that can mobilise additional funds (e.g. climate funds).
	8. Planning processes and tools	Development planning processes and associated tools <u>do not take into account</u> the impact on disaster and climate change risk.	Development planning processes and existing tools are <u>incorporating risk considerations</u> by identifying, assessing, screening and proposing activities to manage climate and disaster risks. However, these are not yet fully implemented.	All development processes and practices risk informed, <u>participatory</u> and gender <u>inclusive</u> as a matter of course. Routine integration of risk management into development planning processes and tools at all levels by all key stakeholders to promote systematic engagement, change and resilient development.
	9. Products	Development plans make <u>very limited reference</u> to disaster and climate risks	National, sectoral and sub-national development plans <u>include</u> priority activities to address climate and disaster risk.	All key development products (existing and new) incorporate risk as a <u>fundamental and integral component</u> of achieving Sustainable Development targets and are accompanied by sufficient budget for implementation.

Sources: Pasteur (2011), Twigg (2009), Centre for Community Enterprise (2009); Sources: UNDP (2010); IRGC (2006); Wilkinson (2012); Williams (2011); UNEP, (2011); UNDP (2014); OECD (2014); Brody (2009); and UNDP (n.d).

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